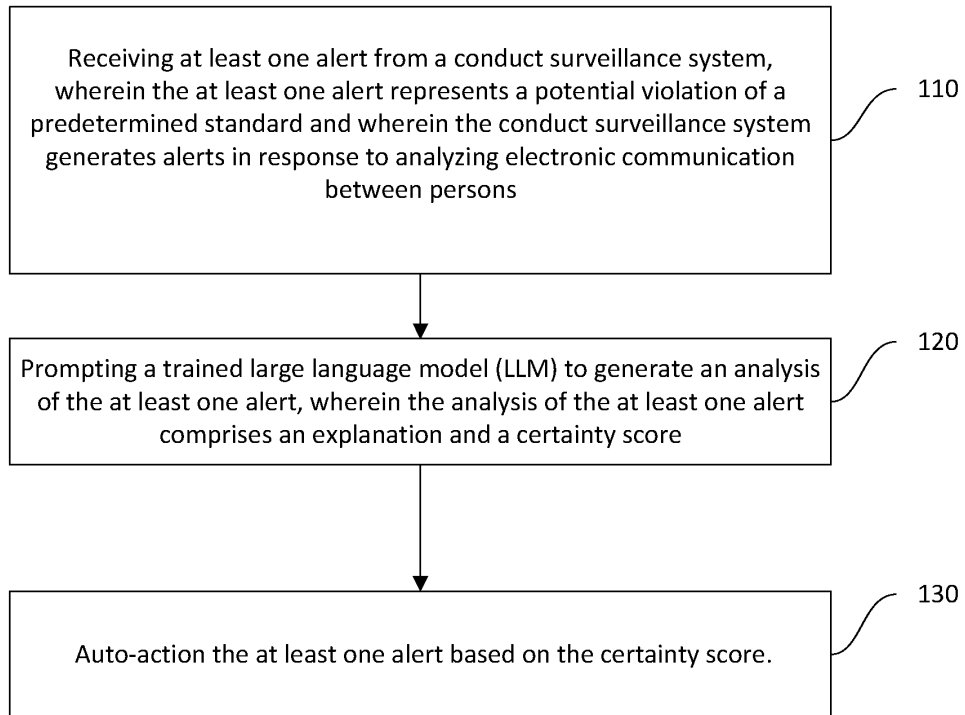
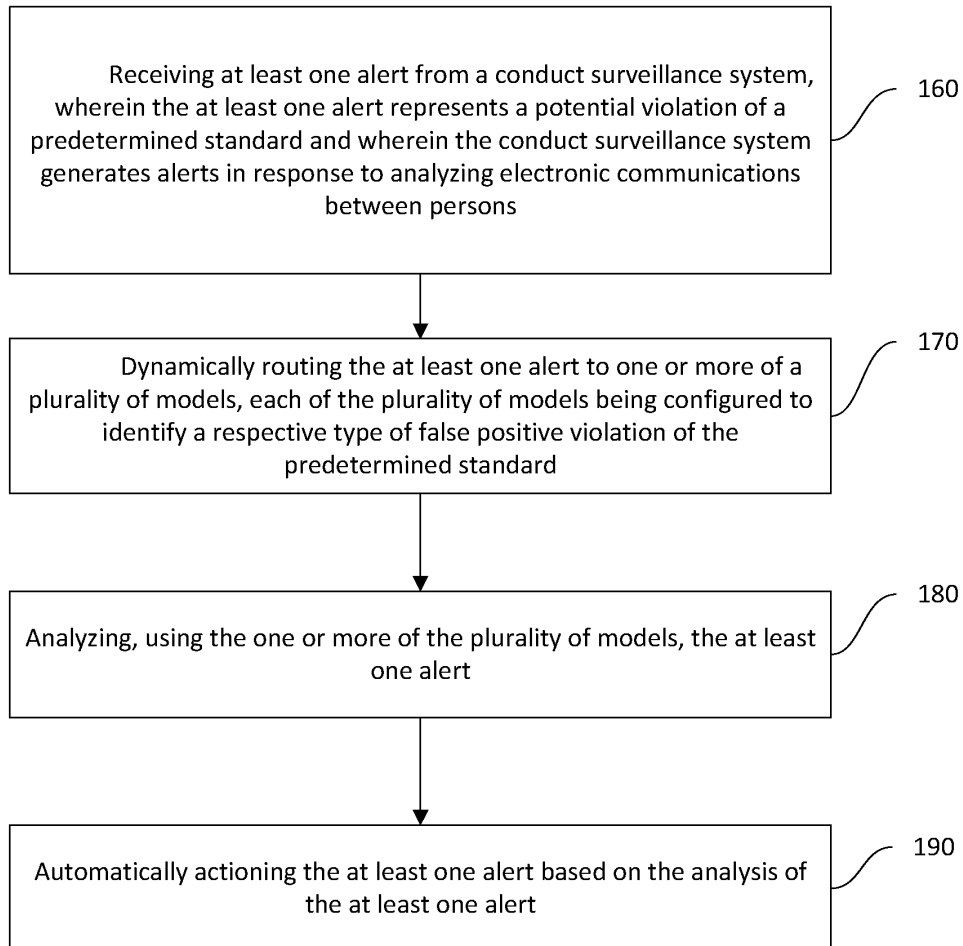


1/13

100**FIG. 1A**

2/13

150**FIG. 1B**

210

Proprietary Template Design

Prompt Structure

Context-slot

This portion of the prompt contains the domain relevant knowledge necessary to constrain the large language model's responses to the Compliance context, allowing it to better activate the latent natural language understanding and fact based knowledge we are interested in eliciting checklist answers through

Content-slot

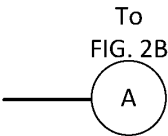
This is the message body from the communications content that triggered the original alert to be auto-reviewed by the large language model

Checklist-slot

This is the checklist of precise questions that the LLM is asked to reason about with respect to the content with the content slot using the context provided within the context slot of the prompt

Fig.

"As an expert in financial compliance and surveillance, classify this communication as either Mostly Business Matters or Mostly Personal Matters. Please provide the reasoning for the answer along with the answer itself."



To
FIG. 2B

FIG. 2A

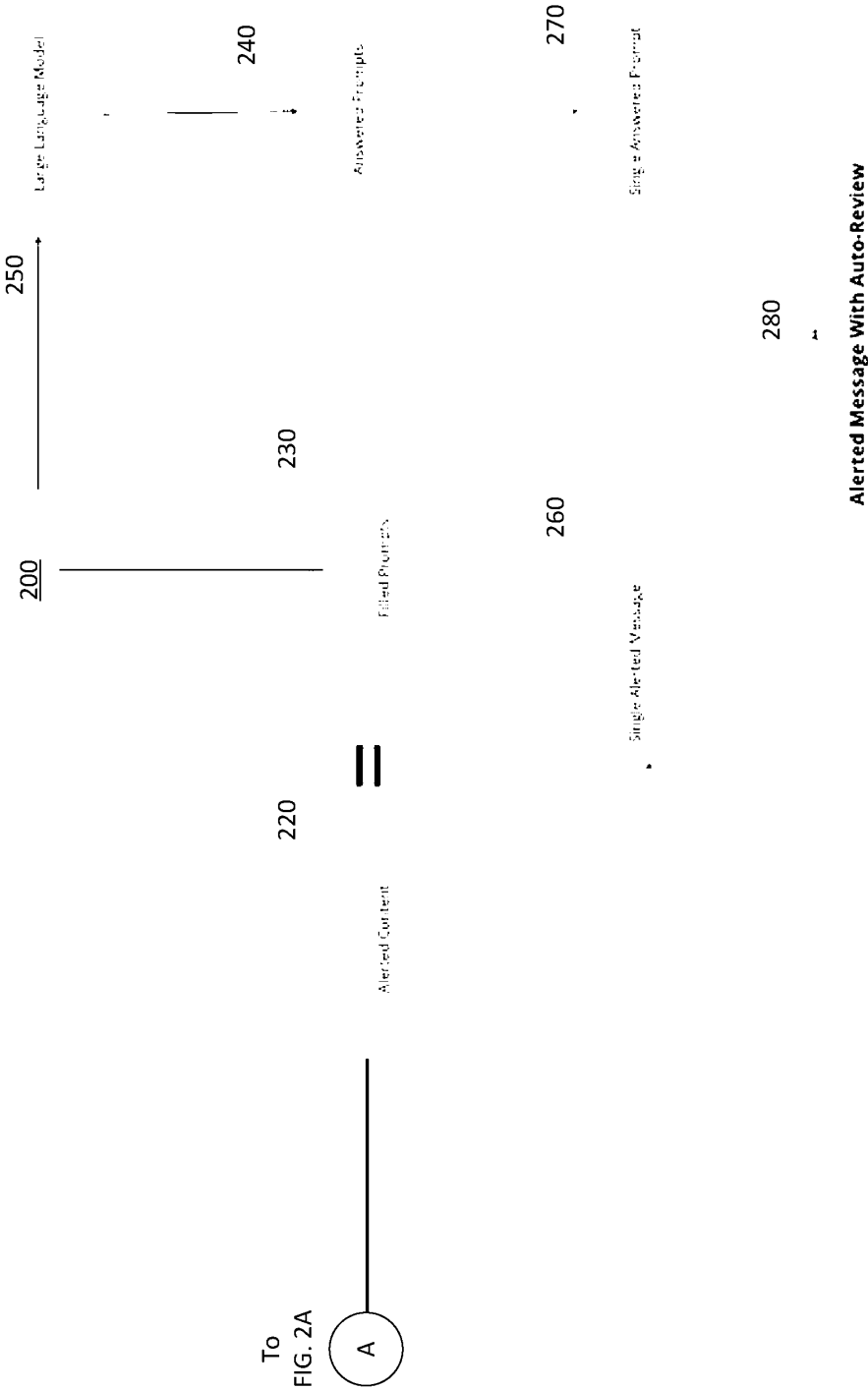


FIG. 2B

300

310
AI COMPLIANCE ANALYST DEMO
Enron Criminal Email

FROM: Nancy Temple (Anderson)
TO: David Duncan (Anderson)

Dave--Here are a few suggested comments for consideration--I recommend deleting reference to consultation with the legal group and deleting my name on the memo. Reference to the legal group consultation arguably is a waiver of attorney-client privileged advice and if my name is mentioned it increases the chances that I might be a witness, which I prefer to avoid.

--I suggested deleting some language that might suggest we have concluded the release is misleading.

--In light of the "non-recurring" characterization, the lack of any suggestion that this characterization is not in accordance with GAAP [generally accepted accounting principles], and the lack of income statements in accordance with GAAP, I will consult further within the legal group as to whether we should do anything more to protect ourselves from potential Section 10A [""] issues.

Nancy

320

AI Compliance Analyst

Is the communication about a business matter or a personal matter?

Answer: Dave's Release.
Reason: The communication focuses on suggested changes to a memo, concerns about attorney-client privilege, and potential Section 10A issues. These topics are primarily related to business matters.

How concerned are the people that others will find out about what they are speaking about?

Answer: High.
Reason: Nancy recommends deleting references to consultation with the legal group and her name on the memo, citing concerns about attorney-client privilege and her potential involvement as a witness. This indicates a high level of concern about others finding out about their conversation.

How likely is it that they are engaging in illicit activity?

Answer: Nancy.
Reason: Nancy discusses concerns about a potentially misleading release and potential Section 10A issues. While there is no direct indication of illicit activity, the concerns raised could suggest that some questionable practices might be involved.

If you answer Medium or High or #3, which individuals are of top concern?

Answer: Nancy and Dave.
Reason: Nancy and Dave are the individuals involved in the communication discussing the potentially misleading release and potential Section 10A issues.

Are any of the individuals raising ethical concerns?

Answer: Nancy.
Reason: Nancy raises concerns about the release's characterization and the lack of GAAP compliance, which may be considered ethical concerns. However, it is worth noting that she also proposes consulting further within the legal group to address potential issues, suggesting that she is taking appropriate steps to resolve the concerns.

FIG. 3

400 AI COMPLIANCE ANALYST DEMO Enron False Positive	410 FROM: Amy Mulligan (Enron) TO: Jason Wolfe (Enron) Actually, (keep this between you and me, because it is kind of serious), Ted's romance led to some trouble for him as word got back to his fiancée. He seems to be out of the doghouse, now. Though, which is good. The second trip had it's own share of weirdness that I will tell you about another time (if you haven't heard from someone already). Off to a meeting... J
420 AI Compliance Analyst	Answer: Reason: The communication mostly discusses personal experiences, gossip, and social interactions, rather than focusing on specific business tasks or issues. How concerned are the people that others will find out about what they are speaking about? Answer: Reason: Jason asks Amy to keep the information about Ted's romance between them, indicating a moderate level of concern about others finding out about their conversation. How likely is it that they are engaging in illicit activity? Answer: Reason: The conversation is mainly about personal experiences, gossip, and social interactions. There is no clear indication of illicit activity in their communication. If you answer Medium or High or #3, which individuals are of top concern? Answer: Not Applicable Reason: Notably Paraphrased Are any of the individuals raising ethical concerns? Answer: Reason: While the conversation mostly revolves around personal matters, there might be minor ethical concerns related to discussing workplace gossip and sharing private information about colleagues, such as Ted's romance. However, these concerns are not severe or definitive.

FIG. 4

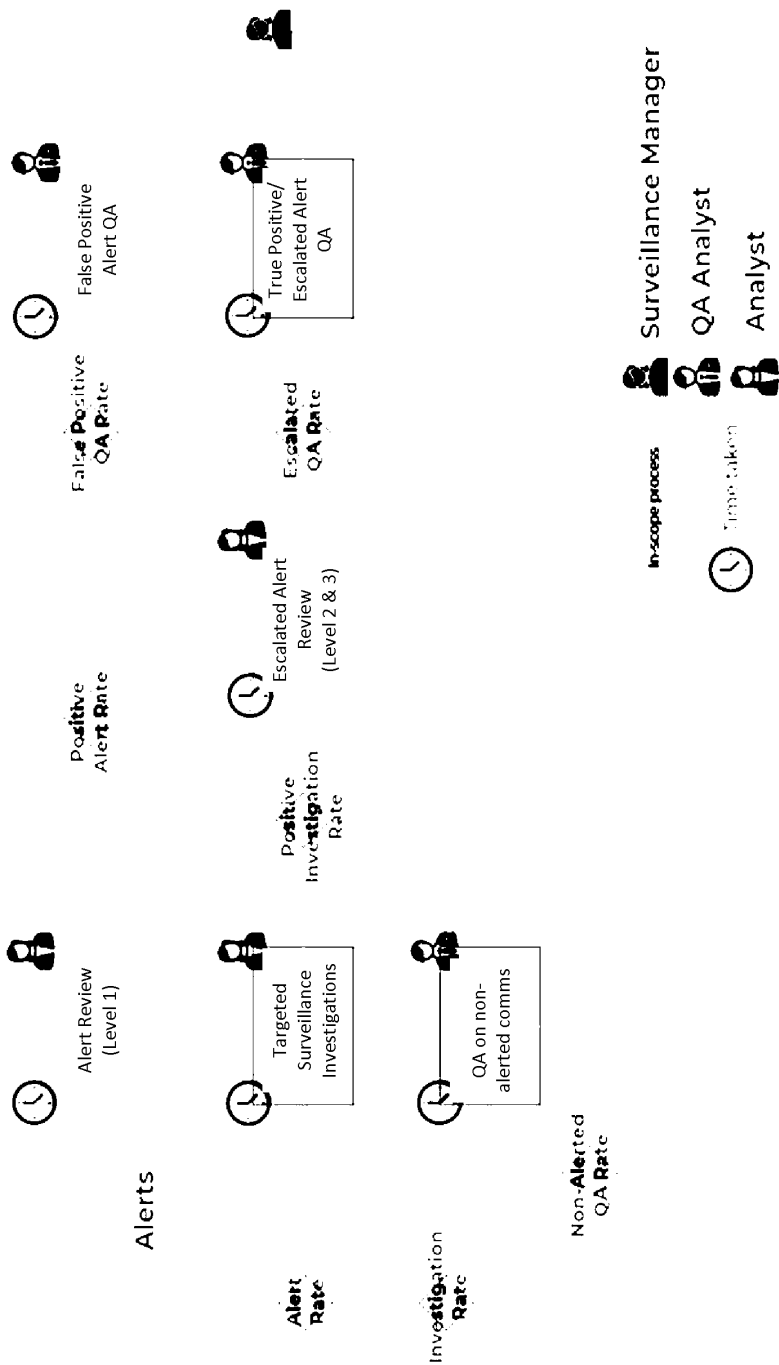


FIG. 5

600

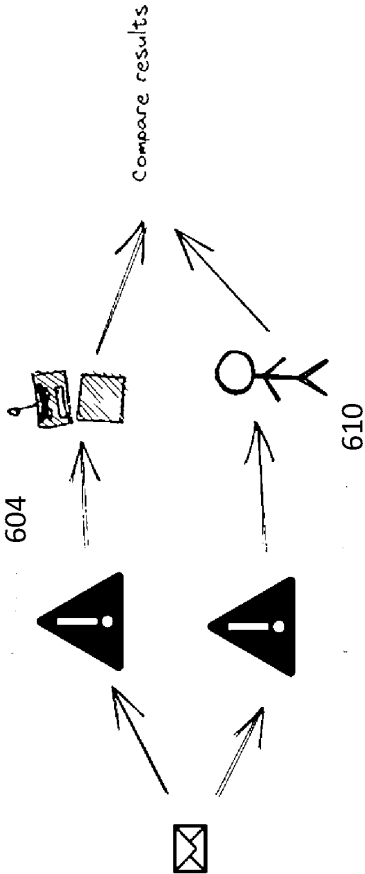


FIG. 6

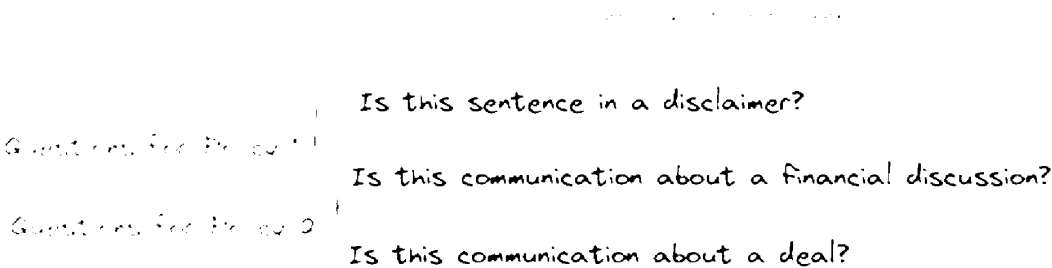


FIG. 8

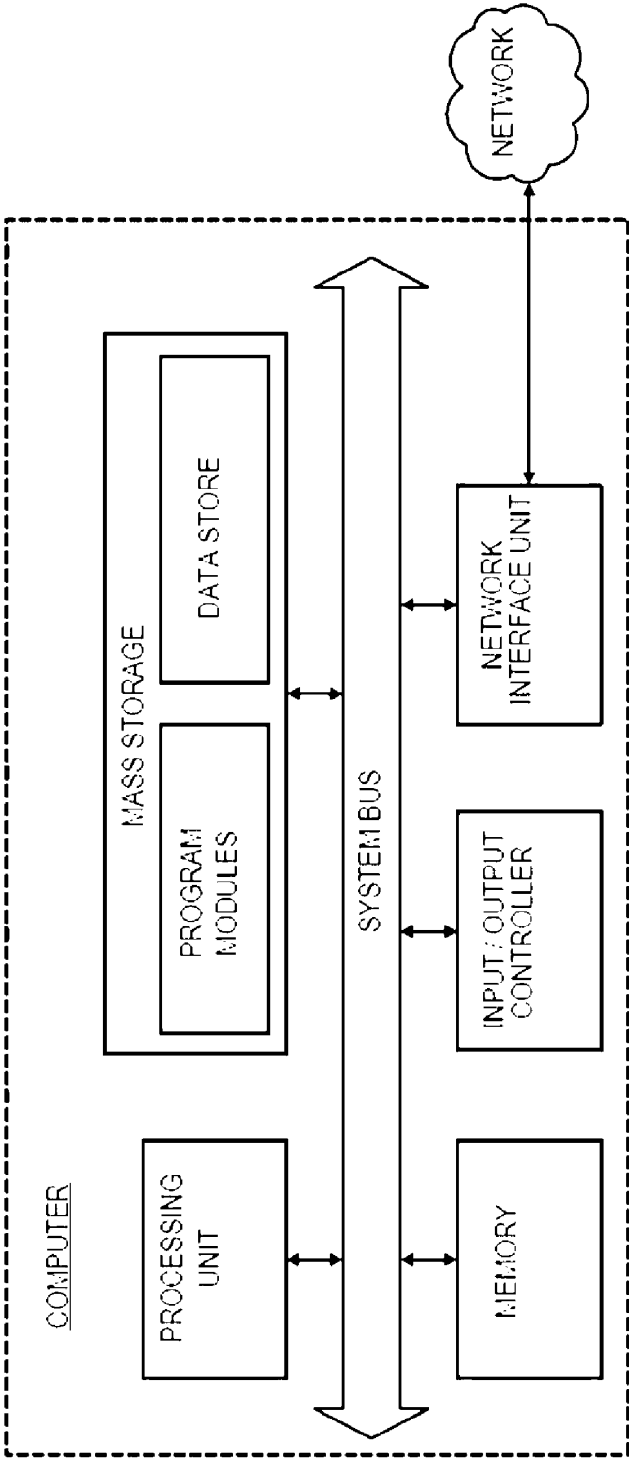


FIG. 9

1000

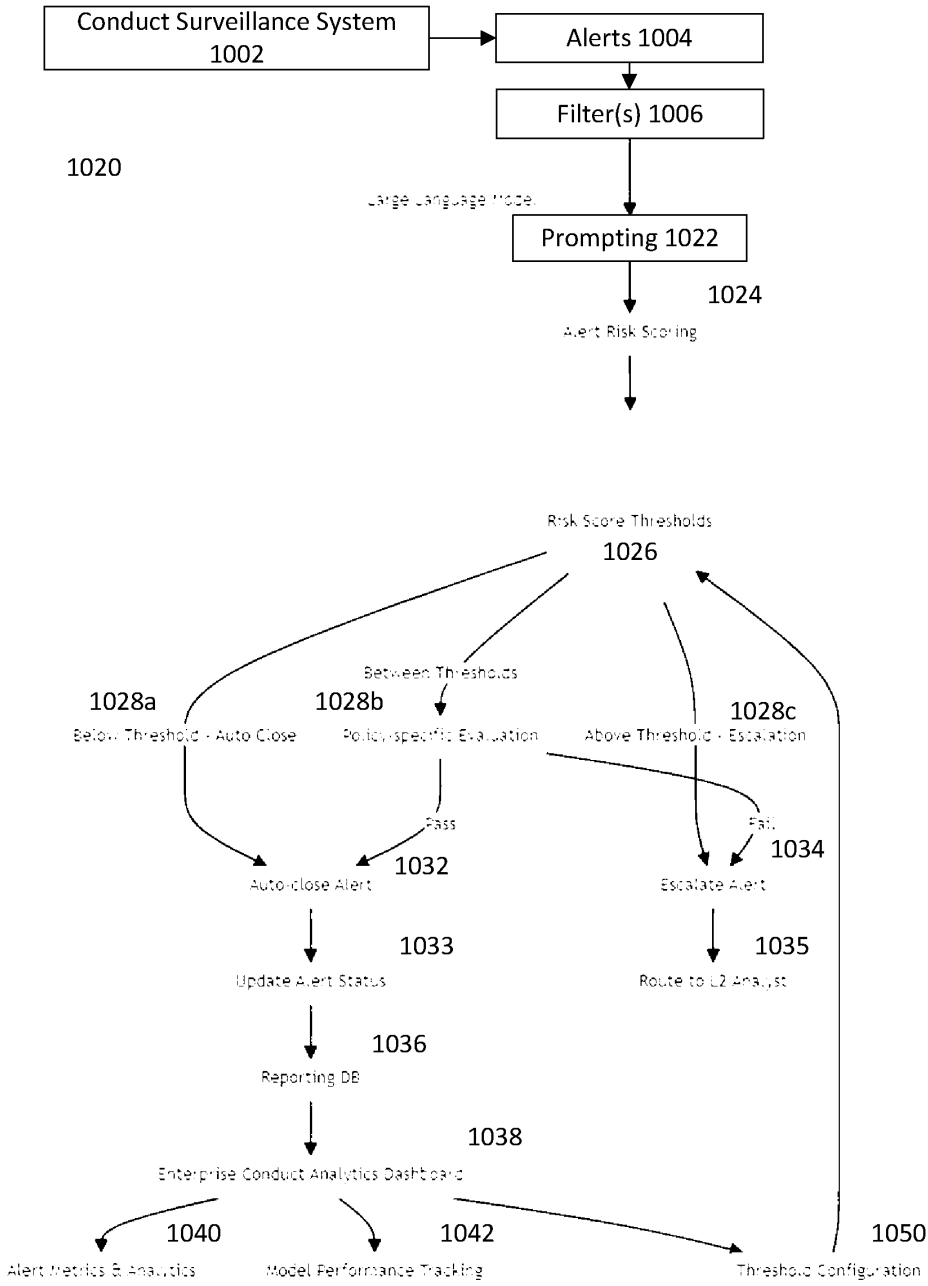


FIG. 10

1100

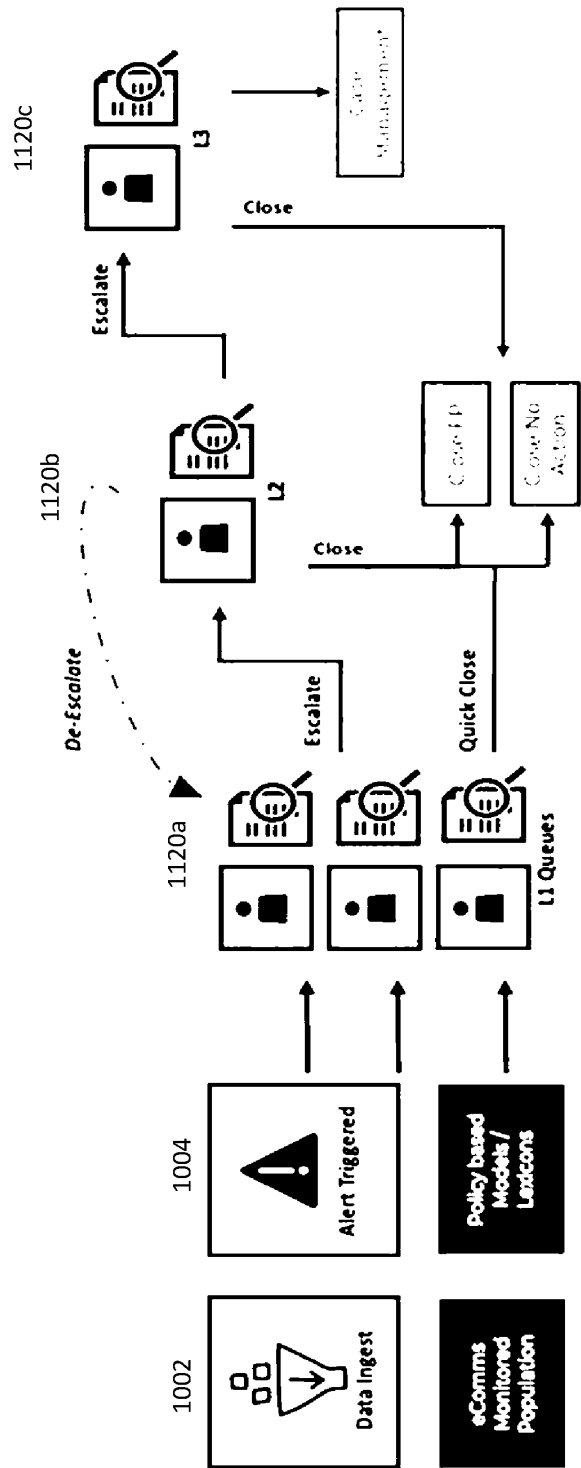


FIG. 11