

# Investigation Hub Proof of Value

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Introducing Investigation Hub .....	4
What is a Proof of Value? .....	5
Who is a Proof of Value suitable for? .....	6
Pre-requisites (Customer Tenant POV) .....	6
Pre-requisites (SAI Tenant POV) .....	7
Recommended Approach .....	7
Suggested customer side project team required to conduct successful POV .....	8
Phases of POV project and approximate customer-side effort .....	9
Technical requirements .....	10

## Introducing Investigation Hub

Financial institutions are required by law to identify and prevent bad actors from using their services for criminal activity – this includes detecting those laundering the proceeds of crime or preventing sanctioned persons and entities (such as terrorist organisations and rogue states) from accessing regulated financial products. To achieve this, financial institutions use investigation and case management solutions. Typically, these solutions allow financial crime (FinCrime) prevention teams to analyze, assess, and prioritize the financial crime risks identified by risk management systems (such as name screening solutions or anti-money laundering transaction monitoring systems).

SymphonyAI Sensa-Investigation Hub (“IH” or “Investigation Hub”) is a tool engineered to help financial crime investigators to review customers who have behaved in a suspicious way and respond appropriately and efficiently. By combining cutting edge predictive and generative AI technology, with insights gained over 20 years of operating in the risk and compliance industry, the Sensa Investigation Hub arms financial institutions with the next generation of tools they need to counter financial crime.

IH is available as full software as a service, deployed on SymphonyAI Cloud services tenant or, for customers wishing to deploy on their own cloud services tenant or their own datacentre, IH can also be implemented using traditional license and support and maintenance model.

Sensa-NetReveal were the first organization to deploy generative AI to provide investigators with the Sensa Copilot, an intelligent investigative assistant. The Sensa Copilot assists investigators by summarizing the risks posed by a financial crime alert in unambiguous natural language, and completing, on command, investigative tasks such as conducting web searches or identifying payments to high-risk countries or entities. These outputs can be used to generate draft narratives for reports including SARs. The Sensa Investigation Hub also provides advanced visualizations that make the investigations process as intuitive and fast as possible, these include an entity resolution network diagram that shows how an entity has interacted with other entities, model explainability capabilities that articulate why an alert has been raised and how much risk it poses, as well as advanced management capabilities that allow a case to be prioritised and allocated to investigative teams accordingly.

## What is a Proof of Value?

A Proof of Value (or POV) offers customers the opportunity to evaluate this new technology in order to prove or measure the value that IH can provide to their own organization.

This document describes the recommended approach, pre-requisites and requirements for customers wishing to embark on a POV. As with the standard offering, a POV is available in two deployment options to suit the customer's own preferences: a Customer Tenant POV, in which IH is deployed onto the customer's own Cloud Services subscription and is conducted with an Investigation Hub trial license with a self-managed instance of the solution, or a SaaS POV, in which the customer is provided with a limited subscription to Investigation Hub on the SymphonyAI Cloud tenant.

The primary objectives of a POV are to enable the customer to experience and quantify, using their own data and business process, the potential benefits to their business of Investigation Hub, by:

- Assessing real-terms reduction of investigation time compared to existing case management systems and process.
- Realizing improvements in consistency of SAR narratives produced using the solution.
- Providing the ability to create, edit and electronic file disclosures to the regulator(s). Global disclosures are in development, starting with goAML.
- Identifying opportunities for further benefits and overall potential value to their organization through the adoption of the solution
- A POV will also provide additional valuable insights and advantages:
- Model tuning with prompt engineering and context injection, which can be transferred to production system for continuous learning.

For organizations considering a Customer Tenant deployment of Investigation Hub, a Proof of Value will also assist with:

- Assessment of performance and usage statistics in understanding the Cloud and OpenAI costs for operation of a full production system.
- Gaining an understanding of the system requirements and approvals required to go into production.

Who is a Proof of Value suitable for?

A proof of value is suitable for organizations who:

- Are an existing customer of SAI or are a potential new customer who will typically have already participated in a number of demonstrations of the product and are actively engaged with a SAI NR sales representative or partner.
- Are seeking quantitative evaluation of potential benefits of IH in order to support an internal business case.
- Are able to identify and provide technical and business resources to perform the evaluation, discuss / assess the results to map to the outcomes and value.
- Are able to provide a baseline for key operational metrics and have a clear business objective to improve these or explore ways to improve these.
- Are comfortable operating a self-driven assessment with low level of guidance from SAI NetReveal.
- Are able to meet the additional pre-requisites (see below).

Pre-requisites (Customer Tenant POV)

- A pre-production environment which is capable of hosting Production data should be stood-up prior to beginning the PoV, and this should be populated with a clone of the Production NetReveal database.
- API keys for the 3<sup>rd</sup> party integrations need to be procured.
- Typically, the customer Architecture and IT teams will require workshops and meetings to understand the systems requirements, infrastructure needs, and software used for security/system approval and Sensa-NR will provide architecture drawings, hardware recommendations, and other technical documents as required. We will have Technical Workshops and Q&A sessions with the Customer IT staff to facilitate review and approval of the environment before the official start of the PoV to ensure the environment is ready for installation on-time.
- Sensa-NR will provide terraform scripts (and related artifacts) for the customer IT team to stand up required infrastructure once the contract is executed.

### Pre-requisites (SAI Tenant POV)

- A pre-production environment which is capable of hosting Production data should be stood-up prior to beginning the PoV, and this should be populated with a clone of the Production NetReveal database.
- An API key for the Azure OpenAI service needs to be procured.
- All necessary approvals the Customer requires in order to provide Production data to the SAI cloud services should be in place ahead of commencing the PoV.
- Typically, the customer Architecture and IT teams will require workshops and meetings to understand the systems requirements, infrastructure needs, and software used for security/system approval and Sensa-NR will provide architecture drawings, hardware recommendations, and other technical documents as required.

### Recommended Approach

Specific approach may vary depending on the Customer's preferences and procurement process. The following recommendations are included to assist the Customer with planning a POV and to understand the basic stages of the assessment, activities that the Customer will be required to carry out, and estimated resourcing and effort for each.

Suggested customer side project team required to conduct successful POV

**Role**



Executive Sponsor/  
Program Manager



Investigators



IT Team

**Responsibilities during POV**

Objectives setting  
Empowering the team  
Escalation in case of blockers  
Participate in training/Q&A  
Participate in PoV assessment

Preparation for PoV  
Participation in training & onboarding  
Completion of Investigations on system  
Provide feedback and data collection  
Participate in PoV assessment

**Customer Tenant**  
Provision of Infrastructure for hosting NetReveal data and installation of Investigation Hub.  
Installation oversight and guidance  
Sensa-Netreveal onboarding troubleshooting and user support  
Progress reporting  
Participate in PoV assessment

**SAI Tenant**  
Provision of Infrastructure for hosting the NetReveal data.  
Securing data security approvals to submit data into the SAI Sensa-NetReveal cloud service.

**Estimated FTEs & level of effort**

**1 FTE:**  
Approx 10 hours total

**6-10 FTE<sup>1</sup>** profiles:  
L1: 3-5 FTEs, 2-4 hours per day  
L2: 3-5 FTEs, 2-4 hours per day






**2 FTE** profiles:  
Infrastructure / Cloud  
Data Security

Approx 40 hours total

<sup>1</sup> Precise size of investigation team participating in POV to be determined by customer, based on total size of current team



Phases of POV project and approximate customer-side effort

Phase	1 	2 	3 	4 	5 
	<b>Planning &amp; Kick-off workshop (week 1)</b>	<b>System Installation (week 1)</b>	<b>User Onboarding (week 2)</b>	<b>Operation &amp; Test (weeks 2-5)</b>	<b>Wrap-up &amp; KPI review workshop (week 6)</b>
<b>Activities in phase</b>	Team introductions, Software Demonstration and high level Q&A. Project plan agreed, Baseline metrics and project KPIs established.	Platform Installed and connectivity established. Performance testing. LLM tuned using customer specific data.	Accounts created for Investigators. Investigators receive training, carry out initial access and few days of use of system, followed by Q&A session.	Main operational assessment is carried out.	Final Meeting with Customer to discuss project, review KPI metrics, qualitative reviews with SMEs.
<b>Customer responsibilities:</b>	Team overview and Discussion of current KPI and Metrics along with current values	Approx 50 case narratives for model training Azure OpenAI API Key <b>Customer Tenant only:</b> Dev Environment, Installation Support, Azure, SERP, Google API credentials, Database login. <b>SAI Tenant only:</b> Dev Environment for NetReveal data.	<b>Customer Tenant only:</b> Account creation and platform access.	Customer Investigators use and evaluate solution.	Investigators to be available for short interview (30-45 minutes). Results of KPI metric script.
<b>SAI responsibilities:</b>	Presentation and Software Demo	IoC scripts, Installation package and installation support. Expertise to tune models and prompts.	Multi-hour Training session and 1 hour Q&A session. Option of on-site or virtual	Weekly 1 Hour Office Hour for Q&A (if required)	KPI metric script (enable customer to analyze event log and determine metrics). Final presentation with inputs from event logs and analyst interviews
<b>Exec Sponsor</b>	2 hours	Minimal	3 Hours (optional)	As Needed	90 minute project review
<b>IT Team</b>	2 hours per person	40 hours	As needed (create accounts)	As Needed	Environment tear down ~ 1 day
<b>Investigators</b>	2 hours per person	Minimal / None	3 hours per person	As directed by customer	2 hours per person (interview and review meeting)

## Technical requirements

### *Customer dependencies (Customer Tenant POV only)*

- Architecture review meeting and Q&A systems to support customer IT process to for system approvals
- Customer will stand up an Azure development environment
- Microsoft will provide technical assistance to ensure customer environment is secure, vpns are configured correctly, etc
- Customer will ensure they have Azure OpenAI model access / credentials
- Customer will acquire SERP API access credentials
- Customer will acquire Google Maps API access credentials (need to get more specific?)
- Customer will stand up NetReveal database (others are possible but could result in extra work/configuration)
- Customer will configure firewalls to permit connections for remote performance tracking.

### *Customer dependencies (SAI Tenant POV)*

- Architecture review meeting and Q&A systems to support customer IT process to for system approvals
- Customer will stand up NetReveal database (others are possible but could result in extra work/configuration)

### *Data requirements*

Investigation Hub was designed to connect to production Transaction Monitoring systems, specifically their SQL database systems that contain tables for Customer, Accounts, Transactions, and Alerts. Investigation Hub will either need to connect to a development version of your system, or a development database will need to be deployed into the development or PoV environment. We will provide a list of tables and fields that need to be exported from your existing NetReveal system if standing up a separate database.

The exact size of the data extraction is up to the customer, and depends on the size of customer side project team and time allowed for carrying out the evaluation. For the minimum described in the recommended approach above, it is recommended that the minimum data required for Transaction Monitoring POV should cover approximately 600 subjects known previously to have alerted, with 9 to 12 months' worth of transactions for each alerted subject.