Deloitte's Trade and Communication Surveillance Operate Offering provides customizable operational support services for different groups and departments (Compliance, Surveillance, Supervision / Internal Controls, Internal Audit (IA), Legal). These are based on our extensive regulatory and operational knowledge and our skilled and experienced delivery center teams.

Deloitte's Surveillance Operate Pillars Surveillance DNA

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- Timely Review, Disposition & Escalation of Alerts
- Use of Analytics and AI for alert tuning and parameter review
- Analytics and Management Information

Global Talent Pool



Scalable and Flexible Delivery Model



6-9+ Month Engagement

With Extended access to our experienced team for AI/NLP models preparation and tuning

Client challenges

- Rising costs
- False Positives & Manual Review
- Data Management
- Workforce and capacity
- Adopting new technology
- Lexicon and Coverage Limitation

Our Surveillance Operate services

 Level 1 Alert Review **Alert Review &** Define Use Cases and Surveillance Disposition scenarios Perform Quality Assurance Parameter Review and fine tune Review thresholds/parameters Controls • Monitoring and testing of surveillance **Testing/Validation** controls Pattern Analysis Accelerated Apply AI/ML models to accelerate and Closures automate investigations Lexicon Review Review and enhance lexicons used and AI Model for Communications Surveillance Use of AI to reduce false positives Tuning

How clients are using our services

- Level 1 Alert Review, Disposition & QA for BAU support, handling back logs, handling lookback runs
 Periodic review and tuning of surveillance controls
 Digitization and automation of Continuous Monitoring and Supervisory activities leveraging Al and ML
 - Controls Assessment and model validation



Surge support to meet capacity

Key Achievements – Surveillance Case Study

98% Quality Assurance (QA)	25%+ increased productivity	30k monthly alerts	40% decrease in cost

- Consistent quality improvements and robust QA practices have enhanced risk management and reduced overall costs for a global bank.
- Process accelerators have significantly increased productivity and achieved substantial cost savings for the bank.
- Reviewed and dispositioned a large volume of monthly trade surveillance alerts, resulting in a notable decrease in costs in a Surveillance Operate project.

Our global talent pool

- Our model delivers consistent & effective outcomes providing accountability, alignment to lines of business and regulatory requirements, and advantages of a unified offshore delivery team
- Our offshore team has extensive experience across Supervision, Trade & Comms Surveillance



Key highlights of offshore team



1.5m+ alerts reviewed Reviewed and dispositioned as part of Level 1 alert review in last 3 years



Including CA, MBA, BE/ME, CFE and CAMS



Surveillance processes and procedures experience

Experience in enhancing surveillance processes and in drafting procedures and BRDs



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With Deloitte you have access to

- Extensive experience in global trade and communications surveillance programs, processes, and technology services, including hands-on configuration, workflow, and tuning, supported by a dedicated team committed to building a robust surveillance strategy and monitoring framework with tools for collecting, archiving, monitoring, reviewing, and escalating communications (voice, text, email, and social media)
 - Scalable and flexible services delivery and staffing model combining dedicated support and **flexible resource pools** to meet specific business circumstances efficiently, **ensuring cost savings, risk mitigation, and enhanced competitiveness.**
- **Experienced data science team**, skilled in integrating and designing data analytics to help your organization design, test and tune AI and NLP specific models

*The services described above are examples; scope, timeline, and pricing likely be determined with clients as requested.

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