



PegaWorld*iN*spire

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Managing Sanctions Alerts with AI at Scale

Bryan Gasche Managing Director, J.P. Morgan

Kate Stern-Jones Managing Director, J.P. Morgan

J.P. Morgan



Agenda

- **Business Context**
- **Why Global Sanctions Manager?**
- **Why Pega?**
- **Feature Solution and Integration**
- **Modernization**
- **What's Next?**
- **Q & A**



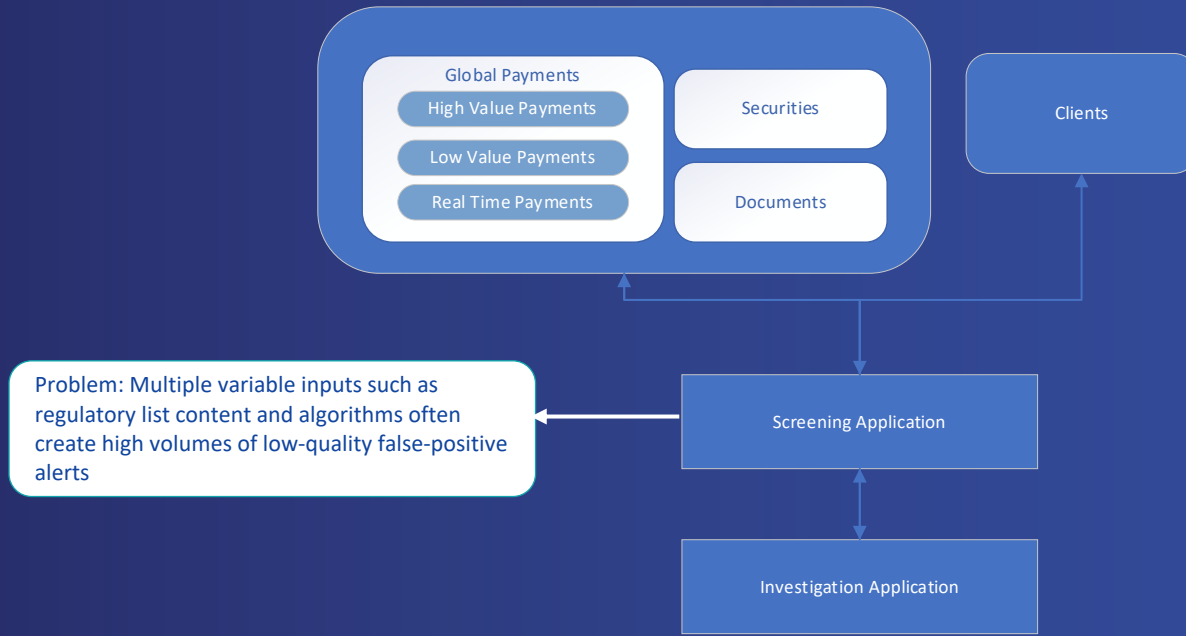


Business Context



Sanctions Screening

Financial institutions have a regulatory obligation to comply with local and international sanctions and KYC policies



Business Challenge:

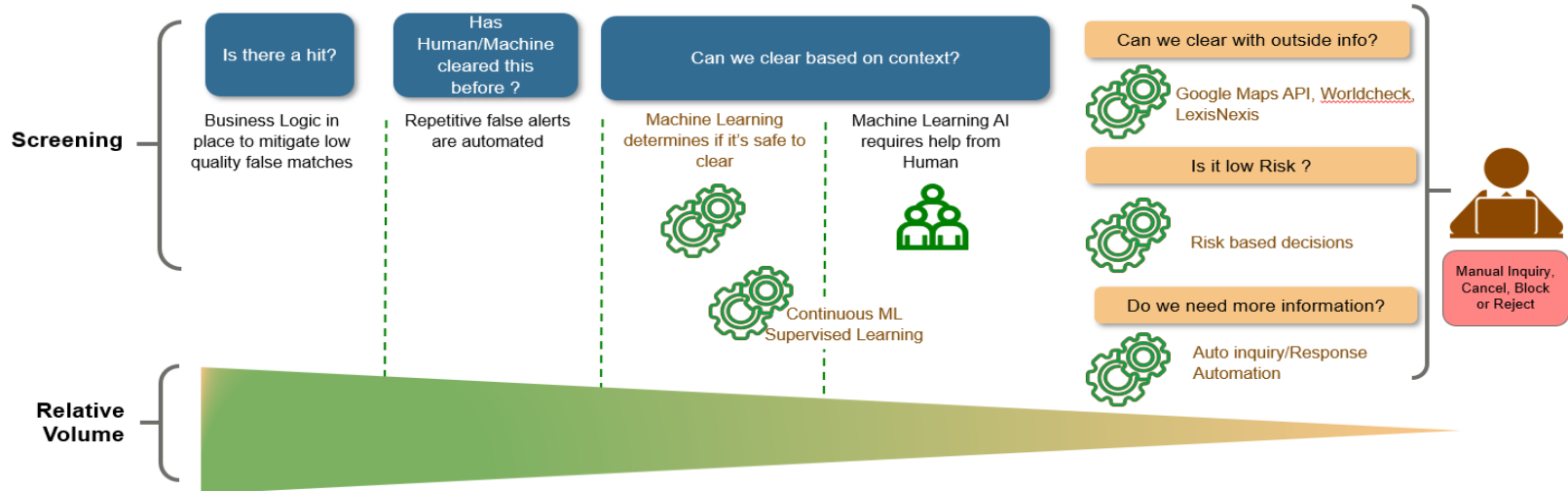
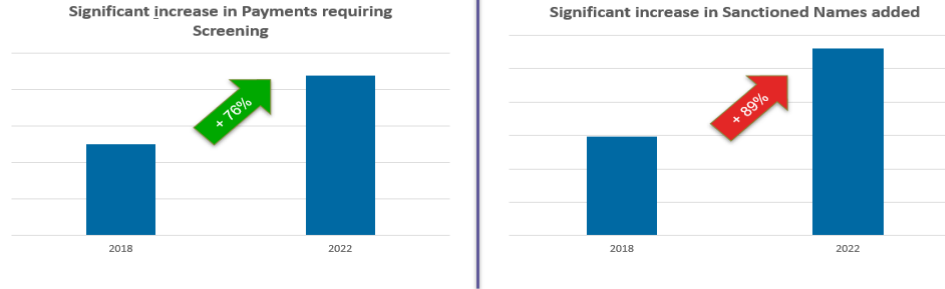
Deploy a controlled, scalable, efficient and effective end-to-end program that meets both JPM business and Regulatory Risk and Control objectives

Solution:

- *Transparent governance and oversight for upstream and downstream stakeholders*
- *Well documented outcomes driven by integrated automation with workflow and case management for auditable events associated with both systematic and human interactions.*

Automation at Scale is Needed

Is a zero false-positive environment possible?



Why Do We Need Global Sanctions Manager?



Why Global Sanctions Manager

Global Sanctions Screening Operations and Technology support a 24/7 franchise wide model. Critical quality attributes include:

- Globally consistent processes
- Ease of integration of additional data sources and automation
- Scalability and availability: 24/7 availability, 100k cases/day supporting over 1000 users.
- Controls – ability to configure which transactions are prioritized
- Real-time consistent communication between GSM and the screening applications
- Ease of additional filtering and systematic decision making for time critical transactions
- Identify false hits by learning from previous decisions and actions
- Single view of information needed for manual investigations
- Audit trail



Why Pega?

Credentials

Pega's reputation in the industry to remove friction

- Trusted BPM product
- Pega already widely used in the firm
- Expert developers available internally
- Business partners already experienced working on Pega

Capabilities

Proven capabilities aligned to JPMorgan Chase roadmap

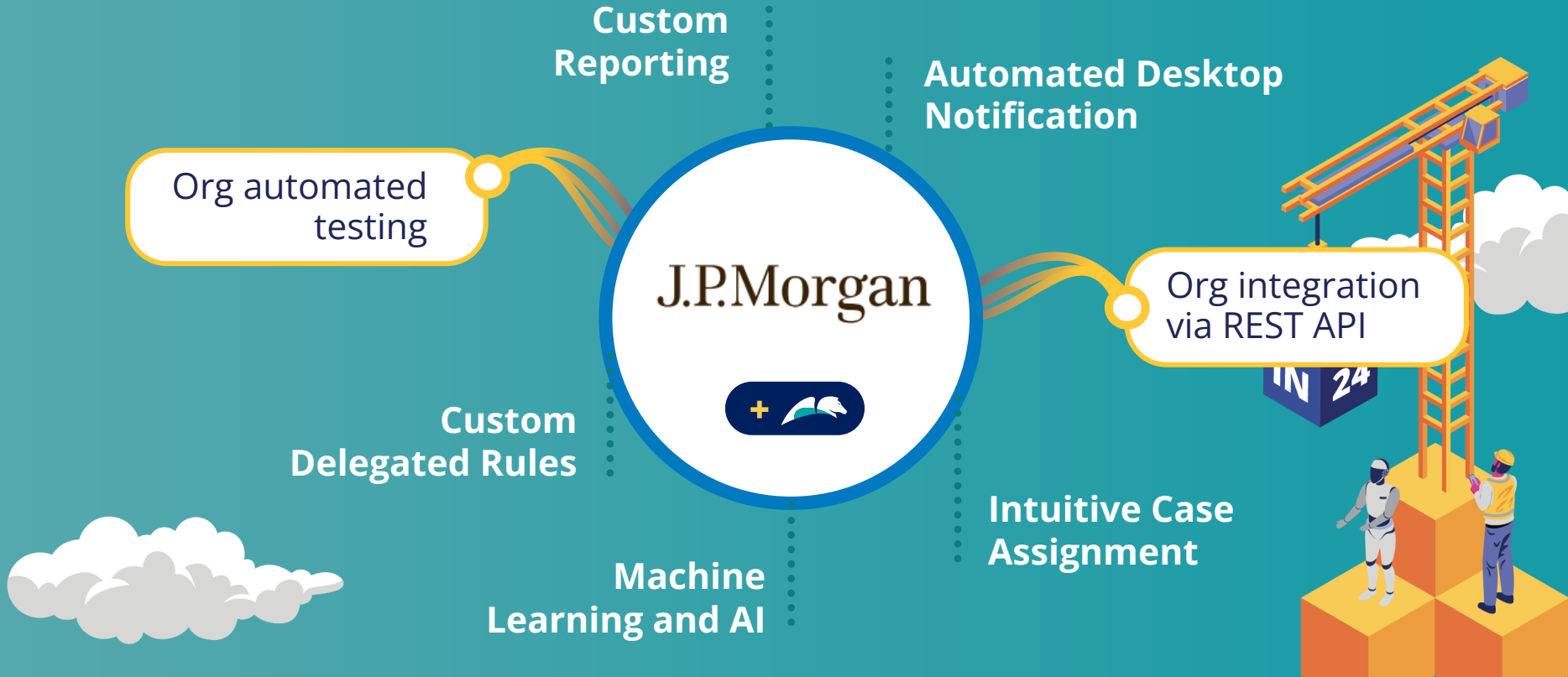
- Efficient processing of large volumes
- Robust case management and investigation
- Quick and easy to create complex workflows
- Quickly able to respond to consent orders

Strategic

Key strategic implications are important to ongoing success

- The technology is future-proof and easily scalable
- Operations have flexibility to directly configure business rules based on business needs

What Our Partnership Delivered



Road To Modernization

with Pega Infinity '23 on the Cloud

>50% resource and time saved with Pega upgrades

PRODUCTIVITY

Data flow utilization

Queue-processors and event—driven architecture

Data optimization

Reduced infrastructure operational costs

Scalability and availability

OPERATIONAL

Service externalization

Legacy code removal and operational benefits

J.P.Morgan



Future-proofing What's Next

with Pega Constellation UI

Consistent user experience

Customization options

CUSTOMER-FACING

Scalability and reduced cost

Responsive design

J.P.Morgan

ORGANIZATIONAL

Modern look and feel



Enhanced accessibility and productivity

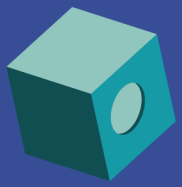
Streamline development





Q & A





Presenters



Presenters



Bryan Gasche

J.P. Morgan Payments Technology Trust, Safety, & Applied Sciences

Bryan Gasche is the Managing Director of Software Engineering and Portfolio Owner of the JPMC firm-wide transaction screening, client screening, and screening operations technology platforms. He has over 25 years of experience in brokerage and banking operations and technology. Prior to joining JPMorgan in 2006, he supported brokerage and banking technology platforms regionally and globally for HSBC and RBC Wealth Management.

Bryan holds a Bachelor of Business Administration in Finance from the University of Minnesota and works out of the Tampa, Florida JP Morgan Payments Center of Excellence.



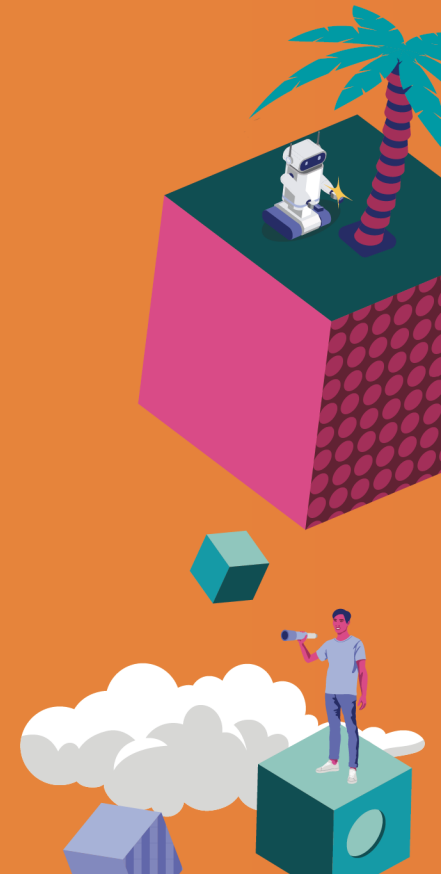
Kate Stern-Jones

J.P. Morgan Payments Technology Trust, Safety, & Applied Sciences

Kate Stern-Jones is the Managing Director responsible for Internal Product Solutions for Client-list and Sanctions Screening as well as Core Cash Fraud Detection at JPMorgan. With nearly 30 years of tenure at JPMorgan, Kate has held roles across the Payments and Domestic Custody Operations space with a focus on transformation, application of new technologies for automation and merger integration.

Kate has a Masters degree from the University of Glasgow, Scotland in Economic and Social History and is located in Tampa, Florida and supports the Florida JPMorgan Payments Center of Excellence.

Contributors



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Santanu Roy, Santanu is certified Pega Lead System Architect with breadth of experience in various technologies, focus on GSM Application Modernization journey to Theme-Cosmos, delivering intuitive and reliable solutions.

Pradyuman Pandey, Prady is a Vice president and Sr. Lead Software Engineer with 11 years at JP Morgan. Performing Design Authority responsibilities on behalf of Sanctions DA and part of the GSM Application Modernization tech group.

Prasanth Malladi – Prasanth is a Vice President , Sr Lead Software Engineer with 14 years of experience in Designing and Developing Pega Applications and leading the redesign of workflows and App functions for GSO initiative. CSSA, CUIS and CKAD certified.

Campbell Ben is Vice President, Sr Manager of Software Engineering leading the Global Sanctions Manager strategic and BAU deliverables. He manages multiple feature agile teams across globe focused on transaction and client screening Workflows and has around 20+ years of IT experience. He started working in Pega Technology since 2006 starting from Pega V4 and evolved to be an effective people manager in the firm.

Jonathan Alfonso, Jonathan is a Vice president and Application owner of the GSM Application. 15 years at JPM.

Satish Chitturi, Satish is Certified PEGA Lead System Architect and AWS Solutions Architect. He has over 15 years of experience spanning across diverse domains in BPM space, working in JPMorgan for 9 years as Lead Software Engineer focusing on the initiatives to uplift the GSM Platform with modern technologies aimed at driving innovation, optimizing efficiencies and future proof for ever evolving platform needs.

Hal Goodridge, Hal is a Vice President and Lead Software Engineer with over 30 years at JP Morgan working across the Payment Service and Investigations and the Sanctions Pega applications. Hal is currently leading the Data Retention and Archive Integration initiatives for GSM.

Jerry Russo, Jerry is a Vice President, Sr Manager of Software Engineering with the Sanctions Technology team. He manages the Tampa GSM Software Engineering team that lead GSM strategic initiatives and the Sanctions automation team. Jerry has over 29 years' experience at JPMorgan focusing on business process Improvement, efficiency and automation.

Yuvamoorthy Sundaramoorthy, Yuva is a Vice president and Manager of Software Engineer with 12 years at JPMorgan, leading GSM BAU enhancements across the streams, focus on operational efficiency, providing real-time solution to Business problems.