Investment Management Firm Transforms Customer Onboarding with **AI-powered, Reimagined Experience**

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Summary

Our client, a leading investment management group, was struggling with their legacy customer onboarding system, highly manual-intensive processes, and disjointed workflows. This resulted in slow customer onboarding, poor user experience, reduced productivity, and an inability to manage and scale the overall process effectively.

The client chose to replace their legacy system with a cutting edge, AI-based system powered by Infosys Topaz AI Next (featuring NLP and LLM set up on NVIDIA NIMS and hosted on Microsoft Azure). The new system accelerated the customer onboarding process by >50%, boosted user productivity and experience with integrated and purpose-built experiences, and optimized compliance workflows.

Client Overview

The client is a leading investment management group, renowned for their extensive experience in managing assets and investment strategies. Within the group, Investor Onboarding Team plays a crucial role:

The team manages investment guideline document analysis as part of clients' financial instruments onboarding processes. It involved coding applicable investment rules that enable downstream compliance.

Challenges

The Investor Onboarding Team relied on an outdated legacy system that significantly slowed onboarding and compromised adherence to investment guidelines. The manual, time-consuming workflow required employees to extract data from multiple systems and manually review documents to identify relevant compliance rules.

With rigid, disjointed processes and missing checks and balances, the onboarding experience was inefficient, error-prone, and risk-laden, leaving the organization vulnerable to compliance issues and operational delays.

These challenges were leading to:

Low team productivity and poor user experience	Slow new account onboarding	Inability to scale and manage complex workflows

The client sought to:

- Modernize investment guidelines analysis by eliminating manual, fragmented workflows.
- Improve productivity through streamlined, automated, and integrated guideline review ops.
- Accelerate account onboarding with faster, more consistent decisioning.

Solution

The solution involved implementing an Investment Guideline Analysis and Rules application hosted on Infosys Azure cloud built on the Topaz AI Next platform, powered by NLP and LLM – Llama 3.1 set up on NVIDIA NIMS.

The solution features:

AI-Powered Document Analysis (Categorization and Rules Prediction):
Uses NLP and Llama 3.1 model to automatically categorize documents and recommend the most relevant investment compliance rules.

It can automatically understand over 70 types of intentions within investment guideline documents; linking them to over 10,000 different rules and presenting them in a user-friendly way.

Intuitive User Interface:
Enable extraction of multiple named entities from individual and bundled files through dynamic extraction capability, with validation based on business rules.

Seamless Integration:
Incorporate a Human-in-the-Loop user interface (UI) for various document types to facilitate review and feedback.

Operational Dashboards:
To track document progress and compliance with client onboarding commitments.

Built-in Controls:
Support future implementation phases by allowing existing models to be reused for similar document types in new LOBs.

Comprehensive Search and Audits:
Global semantic search capability to allow users to search across documents by category, language, and rules.

Special Considerations

To ensure alignment with the customer's needs, compliance requirements, and address any potential concerns, special consideration was given to the following:

Deployment Strategy:

Leveraged a mix of cloud and on-premises approach.

Cloud:

Deployed Topaz AI Next and client's application on Azure Cloud to address LLM-related security concerns.

On-premises:

Llama 3.1 was deployed on-premises via NVIDIA NIMS with microservices for secure, scalable, and rapidly deployable AI readiness.

Security and Privacy:

Enabled Bring Your Own Key (BYOK) in Azure using client-managed keys, ensuring compliance and full control over data encryption.

Responsible AI-driven Architecture:

Built for secure, controlled, need-based AI access.

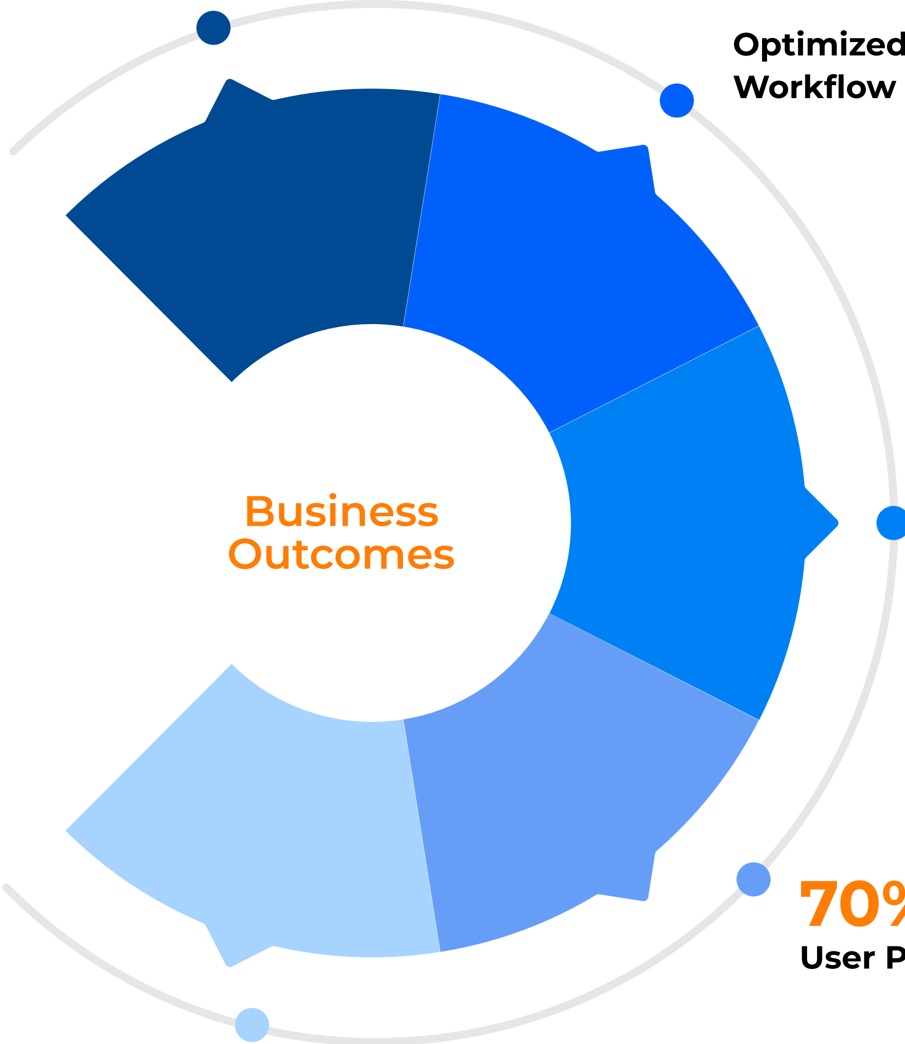
Benefits

The new solution is enabling much faster AI-powered, consistent and systematically orchestrated guideline review process.

- Accelerating account onboarding
- Content research
- Operational tracking
- Reporting
- Controls

>50%
Faster Account Onboarding

Optimized Compliance Workflow to Mitigate Risks



200+
Monthly Analysis Across 20–30 Categories

70%
User Productivity Improvement

Intuitive Operational Dashboards

Want to know how Infosys Topaz AI Next can help accelerate transformation for your enterprise?

Reach us at

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Infosys Topaz AI Next is an AI-first business operations platform designed to orchestrate and transform enterprise operations at scale, help unlock digital-native performance, and **accelerate the journey toward autonomous enterprises.** Infused with next-generation AI capabilities, it powers EdgeVerve's portfolio of curated industry solutions, helping enterprises move beyond AI experimentation to sustained value realization, maximize ROI, and witness faster time to value at scale.

About EdgeVerve

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