

NuSumMit

BROCHURE

BrokerAid- Transforming Real-Time Compliance and Customer Support with AI



Introduction

BrokerAid is an AI-powered solution designed to help brokerage firms in India adhere to SEBI regulations by providing real-time, accurate responses to customer queries. Hosted on AWS, BrokerAid leverages generative AI to streamline customer service and ensure regulatory compliance through an intelligent chat assistant.

Capabilities

BrokerAid provides enterprise-grade AI capabilities that enable brokerage firms to streamline customer interactions, maintain SEBI compliance, and improve operational efficiency.

Data Extraction and Processing

BrokerAid continuously extracts SEBI circulars and updates from the NSE website using AWS Lambda and stores them in an S3 data lake. The system processes these documents, converting them into embeddings stored in FAISS Vector DB, allowing real-time, relevant answers to customer queries.

Chat Assistant

The intelligent chat assistant uses AWS Cognito for user sign-up and login, enabling agents to ask questions. Bedrock AI models generate responses, validated by compliance guardrails for accuracy. The chatbot supports follow-up questions, provides citations, and allows circular downloads for a seamless and secure experience.

Guardrails and Compliance

Built-in security ensures the chatbot follows SEBI regulations and does not engage in discussions outside its scope (e.g., financial advice or sensitive topics). Guardrails prevent misuse, such as prompt injections or unauthorized queries, ensuring secure and compliant communication.

Role-Based Access Control (RBAC)

Access is strictly controlled, allowing only authorized users to view and interact with relevant documents. Administrators can manage roles, ensuring that users interact only with the data pertinent to their department.

File Uploads

The chatbot allows end users to upload documents that may not be in the knowledge base. Users can then ask questions, request summaries, or analyze data based on the content of the uploaded documents.

Retention of Top Six Historical Chats

BrokerAid now preserves the six most relevant historical chats within each user profile, organized by topic and context. This allows users to quickly revisit past questions, continue previously started discussions, and avoid repeating queries. The result is a more personalized and efficient user experience.

Citations with Downloadable Source Files

All responses now include precise, highlighted citations that show exactly where information was sourced. Users can view the relevant content snippet and securely download the corresponding source file through a pre-signed link. This enhancement increases transparency, traceability, and confidence, especially important in compliance-driven environments.

Multi-Format File Ingestion and Chat Support

BrokerAid now supports a broader range of file formats, including PDF, PPTX, DOCX, TXT, PNG, and BMP, making content ingestion more flexible and user-friendly. Users can seamlessly upload documents, presentations, text files, and images, enabling the chatbot to retrieve information directly from stored content and deliver accurate, context-aware responses. This enhancement significantly expands practical, real-world application coverage.

Intelligent Interaction with 2D/3D Images, Charts, and Graphs

The platform now interprets visual content such as diagrams, bar charts, illustrations, and 3D images across supported file types. BrokerAid extracts meaningful insights from visuals embedded in PDFs, DOCX, and PPTX files, allowing users to ask targeted questions about technical drawings, product visuals, and analytical charts. This capability enhances contextual intelligence and supports more advanced, visually informed queries.

Clarifying Questions for Ambiguous Queries

To ensure accuracy and minimize misinterpretation, BrokerAid intelligently prompts clarifying questions whenever a user query lacks context or is unclear. This creates a more natural conversational flow, similar to interacting with a human expert, while reducing irrelevant or incorrect responses. The result is improved response reliability and a smoother user experience.

Enhanced Reasoning and Transparent Interpretation

Each response now includes clear, context-based reasoning that explains how the answer was derived. This transparency helps users understand the logic behind conclusions rather than receiving a simple output. The feature aligns with explainable AI principles, increasing trust and supporting compliance, research, and decision-support scenarios.

Speech-to-Text Processing

BrokerAid captures user voice input and transcribes it into text in real time. The transcribed text is used for downstream AI processing, enabling natural, hands-free interaction across BrokerAid workflows.



Use Cases

BrokerAid streamlines compliance and customer support, enabling instant query resolution, department-specific responses, and real-time access to updated regulations and FAQs.



Real-Time Customer Support

Brokerage firms can leverage BrokerAid to offer immediate and accurate responses to customer queries about SEBI regulations and circulars, improving service efficiency and client satisfaction.



Regulatory Compliance

Ensure your brokerage operations comply with SEBI's frequently updated rules through BrokerAid's automated data extraction and intelligent query responses.



Enhanced Agent Productivity

BrokerAid reduces the burden on human agents by handling routine, regulation-based queries, allowing service staff to focus on more complex issues.



Secure Document Access

With RBAC, users are granted access only to the documents relevant to their role, ensuring that sensitive data is protected, and interactions are aligned with compliance standards.

Why NuSummit?

With 20+ years of expertise in capital markets and compliance, NuSummit delivers AI-powered solutions like BrokerAid, ensuring

efficiency, security, and regulatory adherence for brokerage firms.

Expertise in Capital Markets



With over two decades of experience in capital markets and regulatory compliance, NuSummit is well-equipped to support financial institutions. Our solutions, like BrokerAid, are designed to address the specific needs of brokerage firms, ensuring regulatory compliance and operational efficiency.



Cloud and AI-Driven Innovation

NuSummit's AI-driven and cloud-based platforms empower firms to stay agile and competitive in a data-driven world. BrokerAid's integration with AWS ensures a scalable, secure infrastructure to meet the dynamic needs of financial services.

Trusted by 300+ Clients Globally



NuSummit is the trusted partner for over 300 clients across India, the US, and the Middle East. Our proven track record in large-scale digital transformations ensures that BrokerAid is a reliable and cutting-edge solution for brokerage firms.

BrokerAid empowers brokerage firms to stay compliant, improve customer service, and streamline operations with AI-driven insights and automation. Backed by NuSummit's expertise in capital markets and regulatory compliance, BrokerAid is the ideal solution for firms looking to stay competitive in a rapidly changing regulatory landscape.

About NuSummit

NuSummit is a global technology leader in AI-led digital transformation, specializing in applications, data, analytics, cloud, and cybersecurity. With over 300 clients worldwide, including 22 Fortune 500 companies, NuSummit supports organizations across industries. Our core expertise lies in banking, insurance, and capital markets, where we offer specialized solutions for these sectors.

With over two decades of experience and 3,000+ professionals, we deliver AI-driven, end-to-end solutions that integrate advanced cloud infrastructure and cybersecurity. Certified to top industry standards and backed by a robust partner ecosystem of hyperscalers and niche innovators, NuSummit is a trusted partner for secure, impactful digital innovation.

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