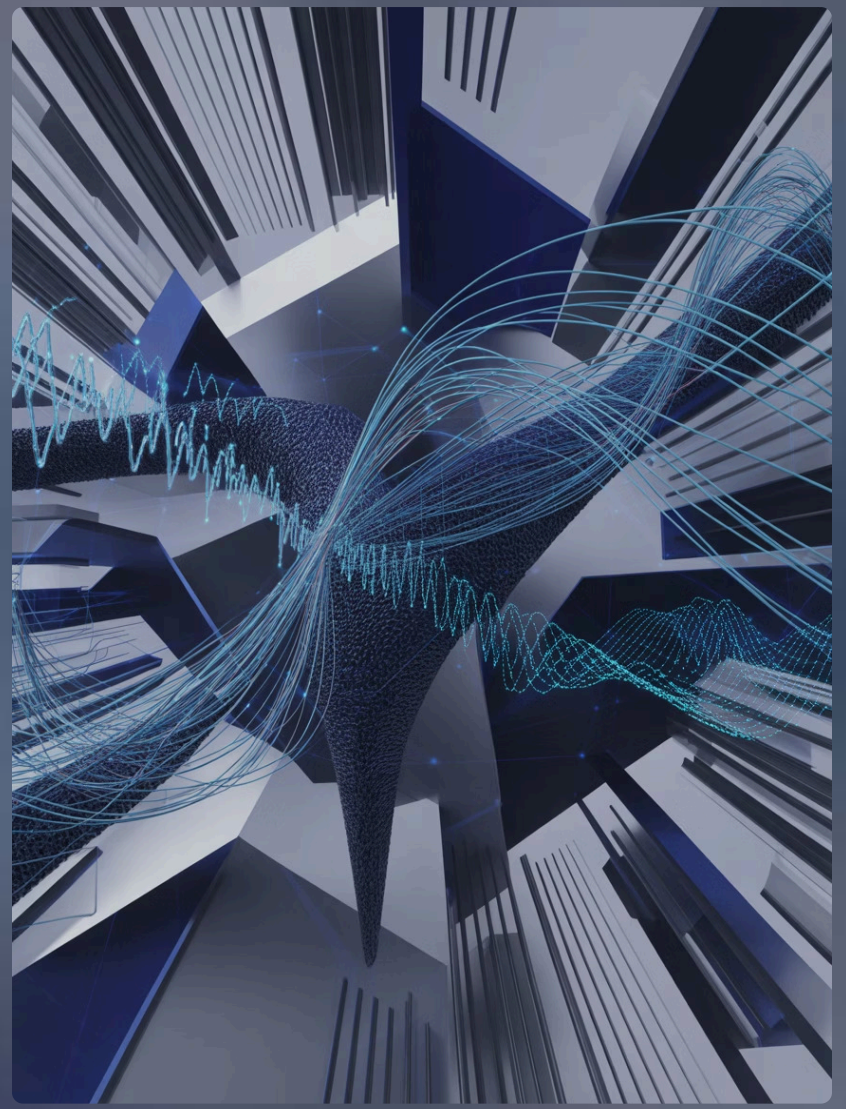
RAG Agents in Finance : Transforming Investment Banking Through Intelligent Automation using Prompts

Conf42.com Prompt Engineering 2025

By: **Swamy Biru**



The Critical Inflection Point

Data Silos

Fragmented information across systems

Manual Processes

Error-prone reconciliation workflows

Real-Time Risk

Continuous assessment demands

The Data Consistency Crisis

10M+

Daily Transactions

Processed across multiple systems requiring perfect consistency

100+

Integration Points

Between front, middle, and back-office platforms

24/7

Continuous Operations

Global markets demand round-the-clock processing

The Human Cost of Complexity

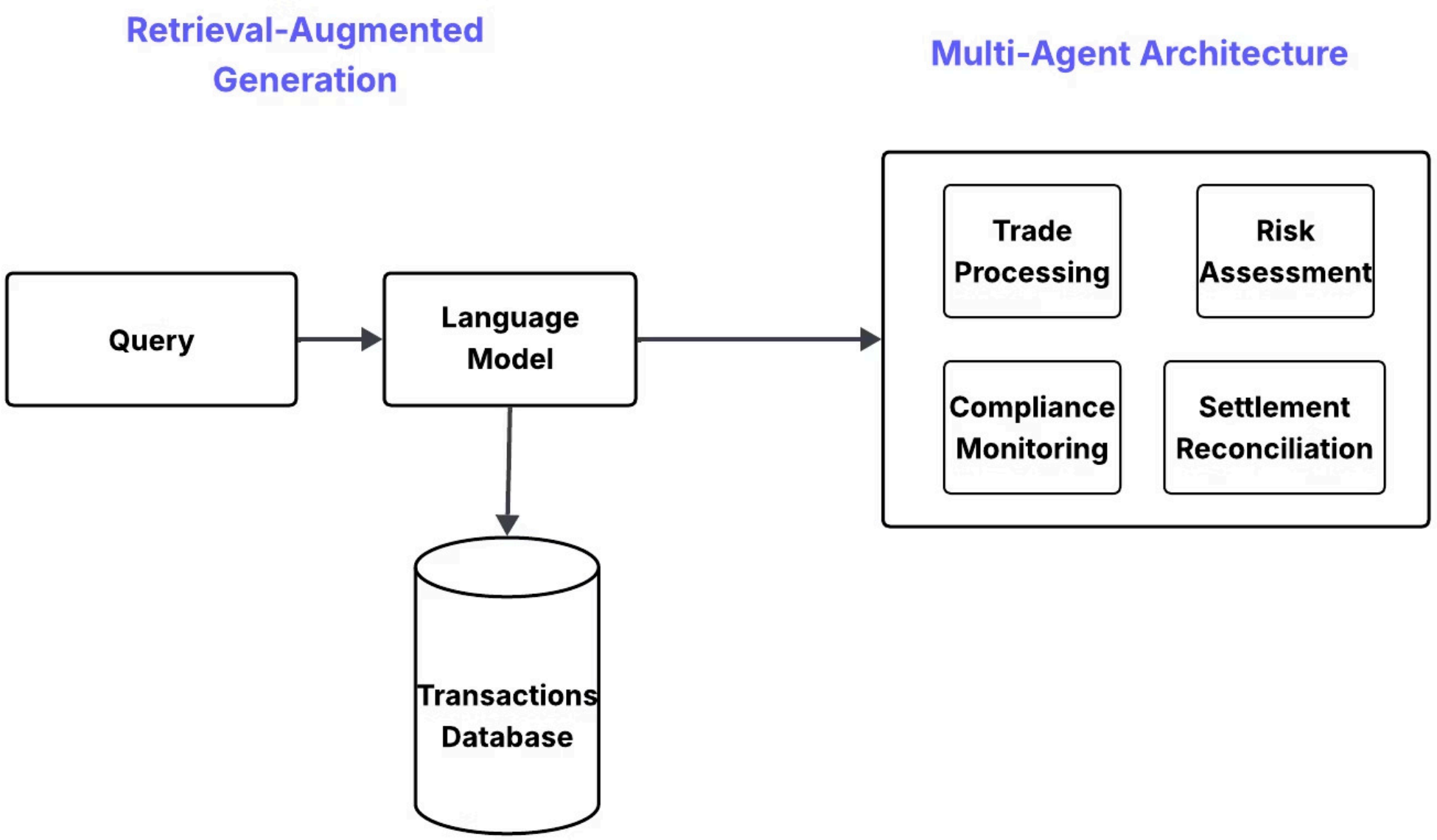
Data quality issues .

Manual reconciliation processes.

Regulatory requirements.

Architectural Foundations

How RAG-Enhanced Multi-Agent Systems Work



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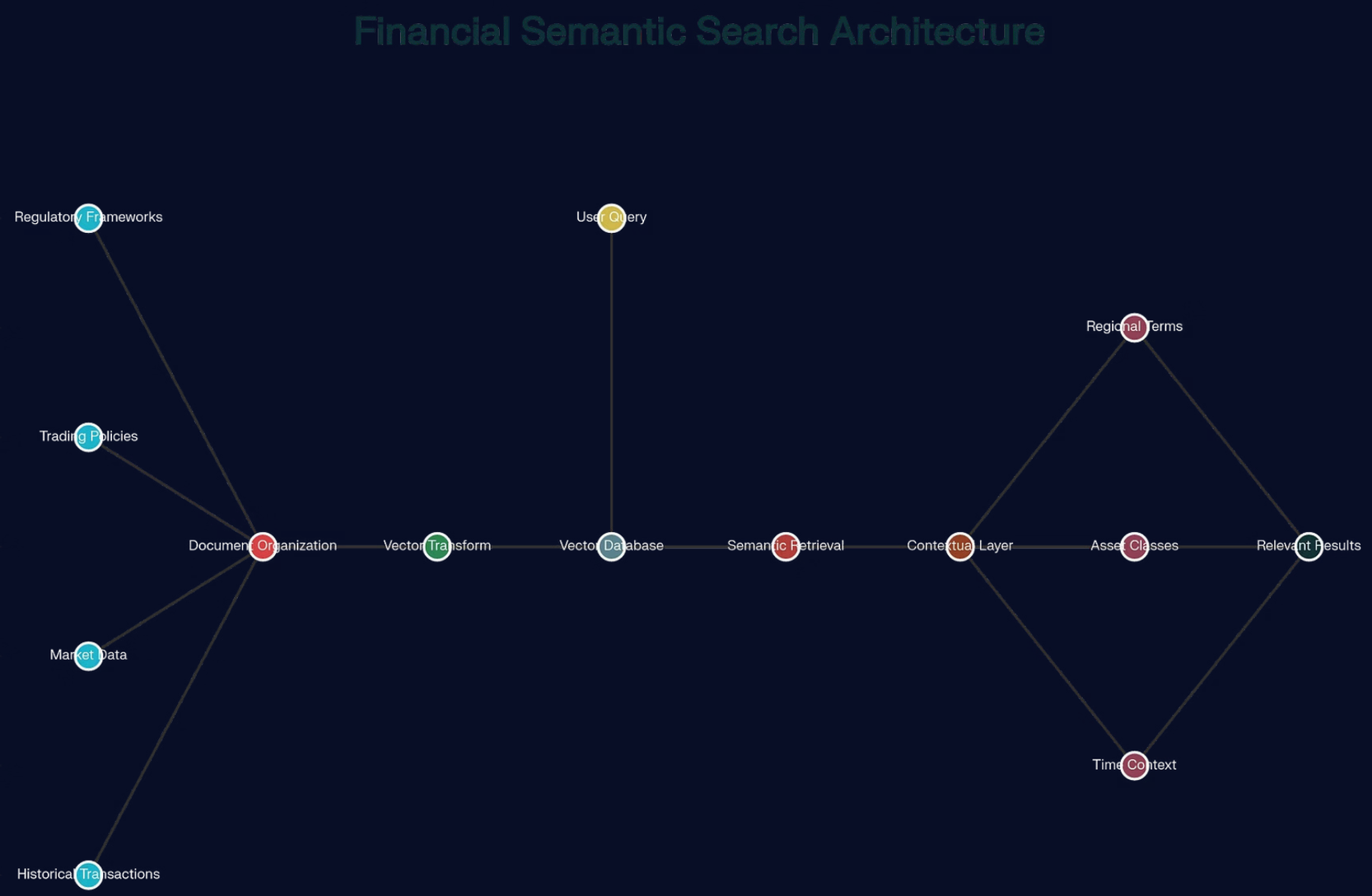
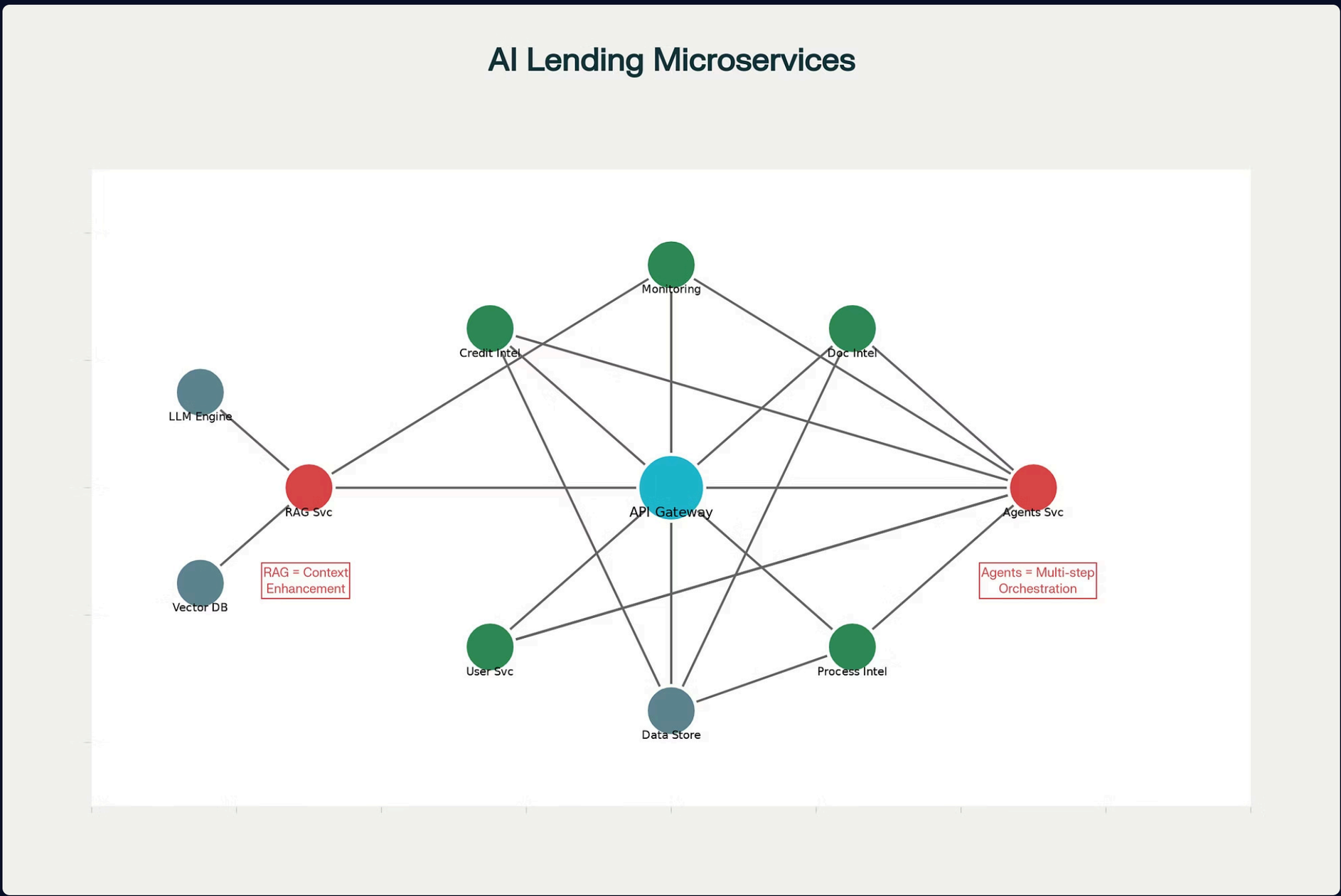
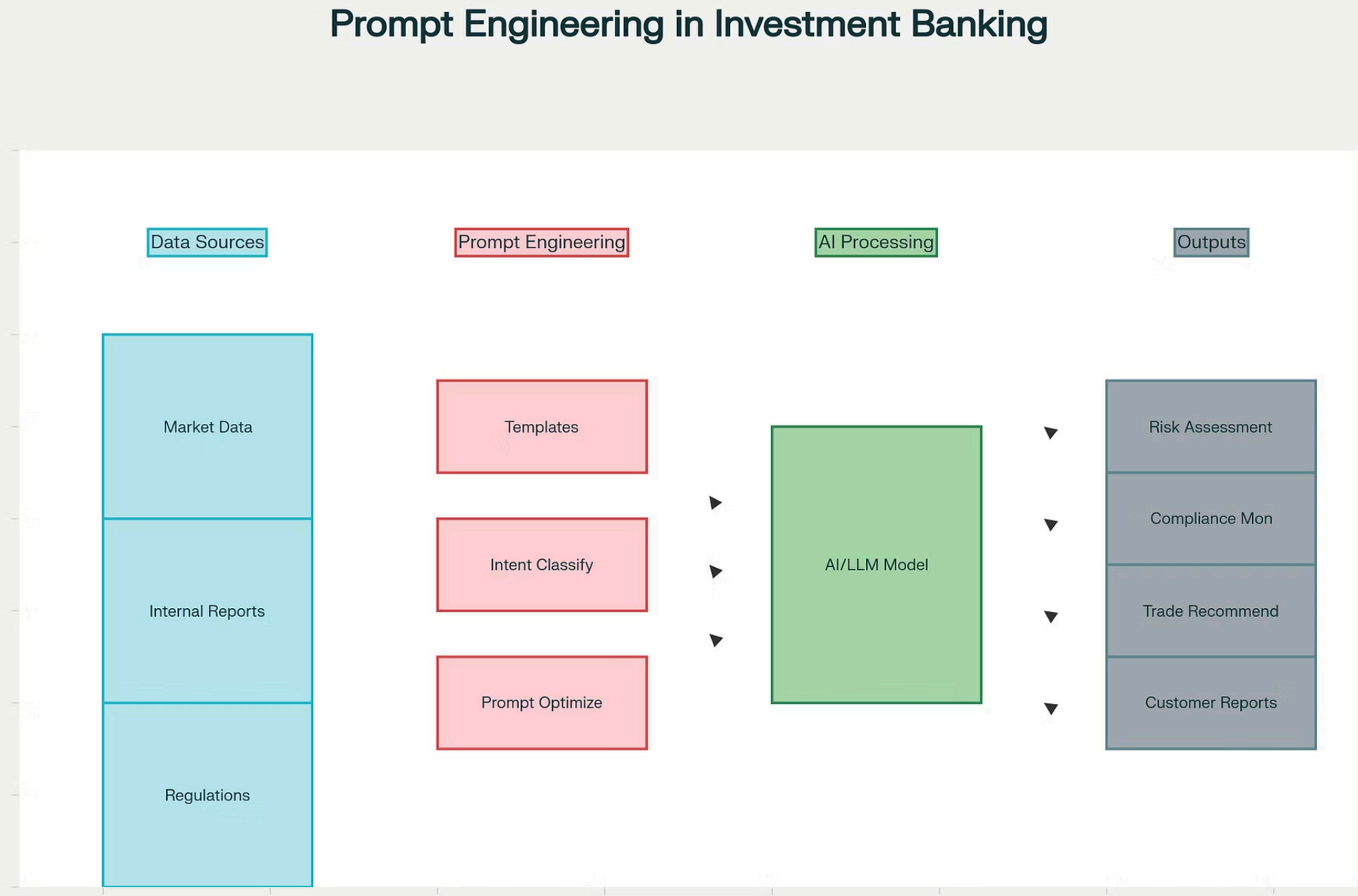
Semantic Search and Vector Databases



Microservices Architecture

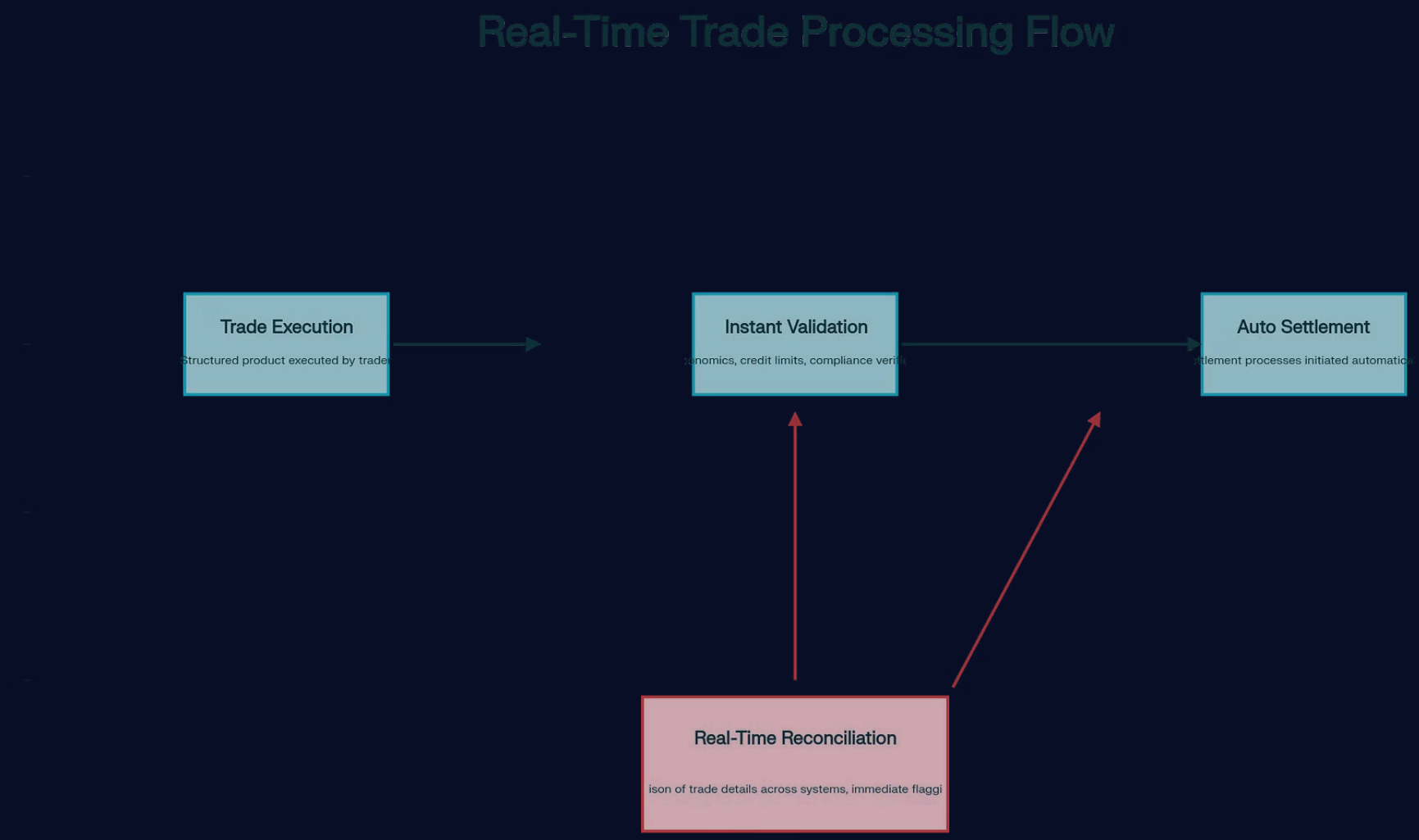


Prompt Engineering



Real-Time Trade Processing

From Execution to Settlement in Milliseconds



Intelligent Reconciliation

Traditional Approach

- Batch processing overnight
- Extended periods with undetected discrepancies
- Numerous false positives from format variations
- Manual investigation of every flag
- Delayed problem resolution

AI-Enhanced Approach

- Continuous real-time reconciliation
- Immediate discrepancy detection
- Contextual understanding of equivalence
- Intelligent filtering of false positives
- Proactive issue prevention

Advanced Risk Assessment

Historical Analysis

Pattern recognition across decades of market data

Position Monitoring

Real-time exposure assessment across portfolios

Emerging Risks

Proactive identification of non-standard threats

Correlation Detection

Identifying hidden relationships between positions

Proactive Compliance Monitoring

1. **Regulatory Tracking**
   Continuous monitoring of regulatory changes across jurisdictions
2. **Pattern Analysis**
   Identifying behaviors that suggest potential issues
3. **Impact Assessment**
   Evaluating how changes affect current strategies
4. **Proactive Prevention**
   Addressing issues before they become violations

Performance at Scale

Production System Characteristics

Transactions Per Second

Peak processing capacity during market volatility

System Availability

Five-nines uptime with automated failover

Response Time

Sub-second performance for interactive operations

Security and Compliance Implementation

- Data Protection
- Access Control
- Audit Logging
- Explainability
- Model Validation
- Incident Response

Measurable Business Impact

Cost Reduction

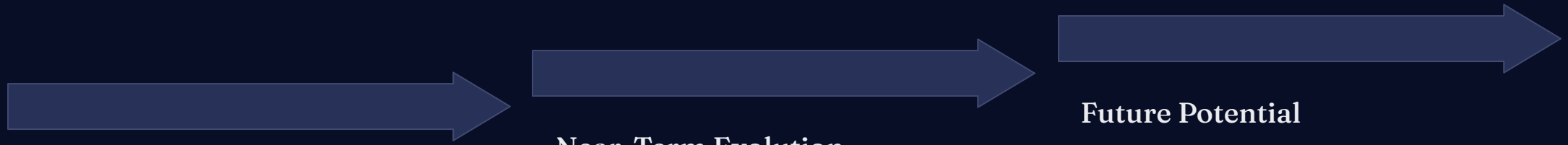
Efficiency Gains

Error Reduction

Strategic Flexibility

The Path Forward

Fundamental Transformation of Financial Operations



Current State

Measurable returns through cost reduction, efficiency, and risk management.

Near-Term Evolution

Faster implementation, reduced risk, and expanded capabilities.

Future Potential

Fully autonomous operations, advanced reasoning, and proactive risk prevention.

Thank You

https://linkedin.com/in/swamy-biru