Asia's Largest

Cloud & AI

Conference 2023

17 - 18, November 2023
IIT Madras Research Park, Chennai

Gaurav Chauhan

Machine Learning, Upstox

Why is it Hard to research and innovate in meaningful AI

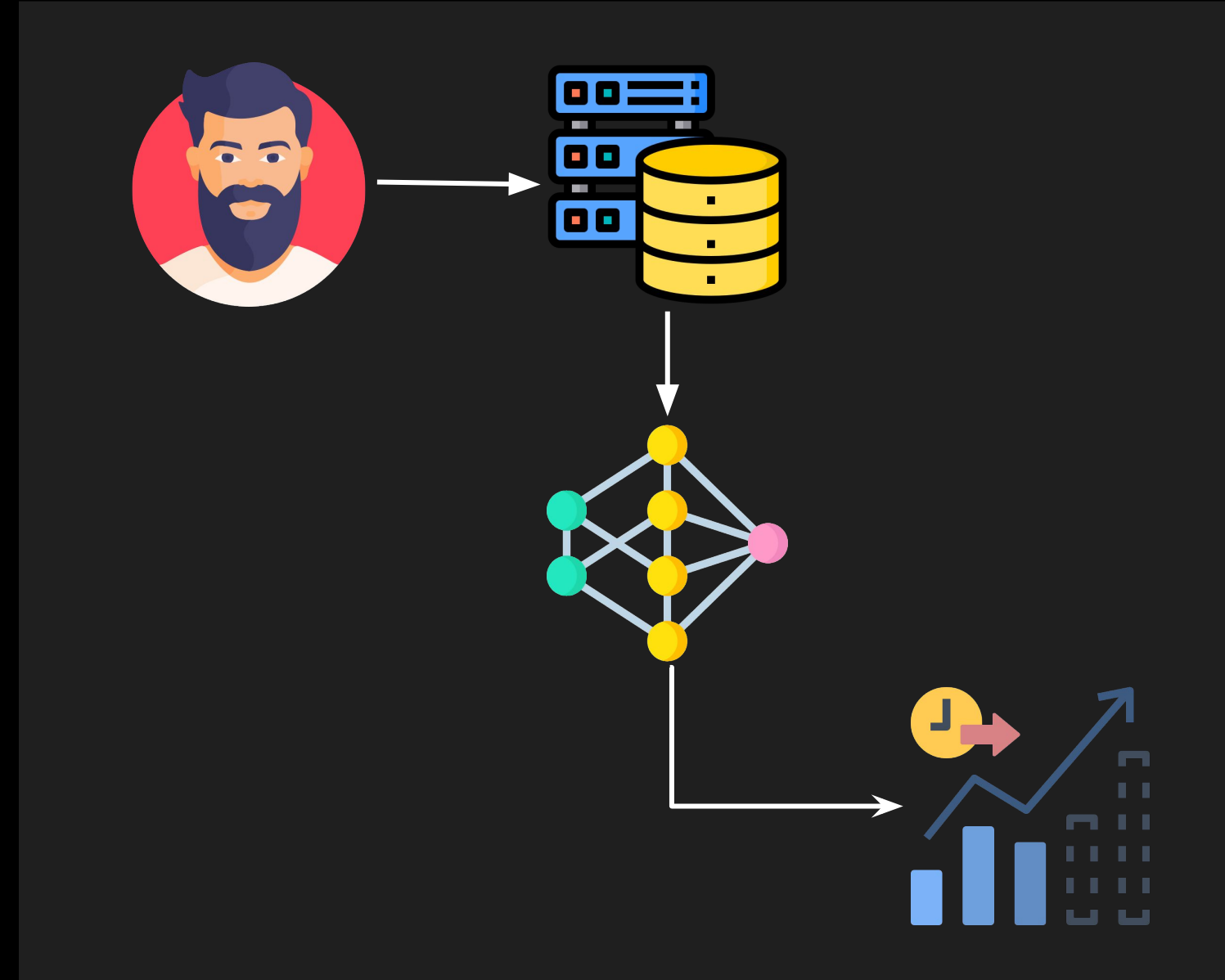**Regulation**   **Finance**

Navigating Regulatory Waters: The Role of AI in FinTech Compliance

AI in Fintech

Content recommendation
Churn Prediction
Activation
Referral Incentivisation
… and many more

Search Recommendation
Fraud detection
Portfolio Optimization
Customer experience
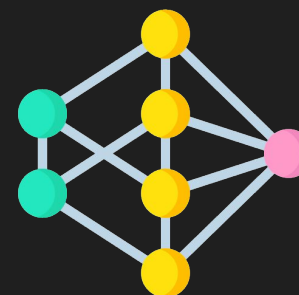automatic reporting for
regulatory practices

Compliance

- Obtaining user consent for data collection and usage
- Implementing robust data protection measures.

- Data anonymization and pseudonymization
- Access control and data security
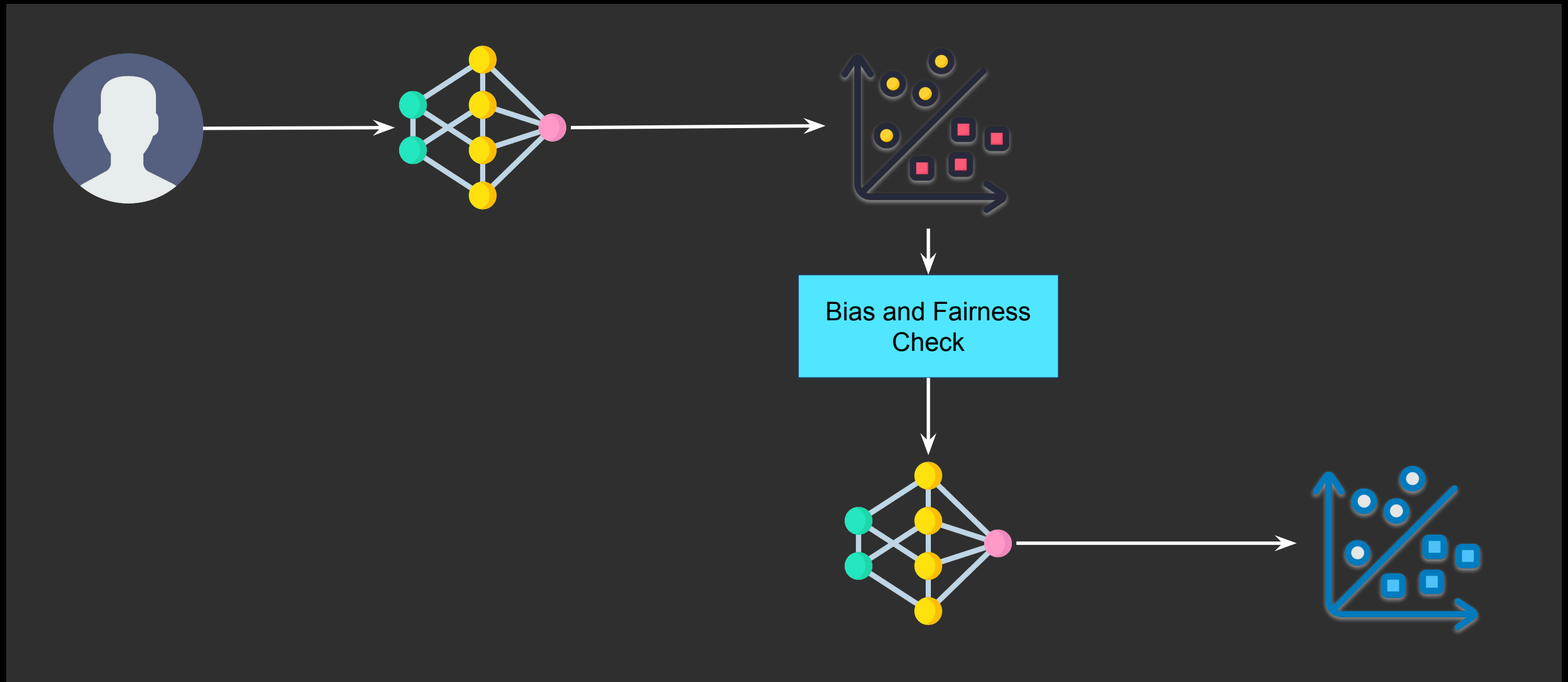- Data governance and quality control:

- Fairness and bias mitigation
- Explainability and transparency
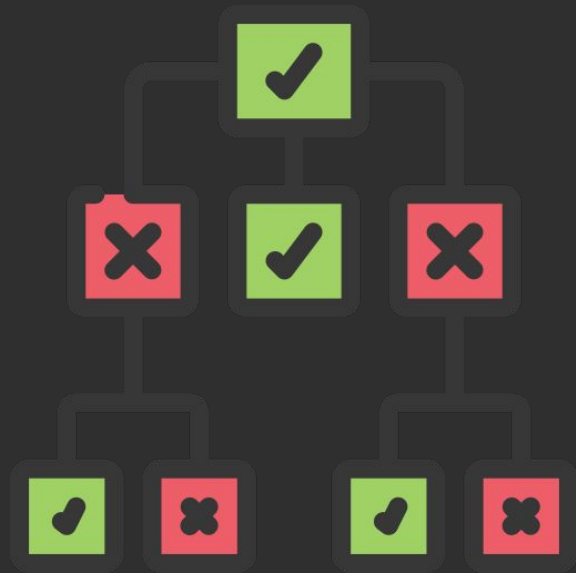- Auditability and traceability

- Model validation and performance monitoring
- Error detection and correction
- Transparency and communication of prediction limitations:

Fairness and Bias Mitigation

Bias and Fairness Check

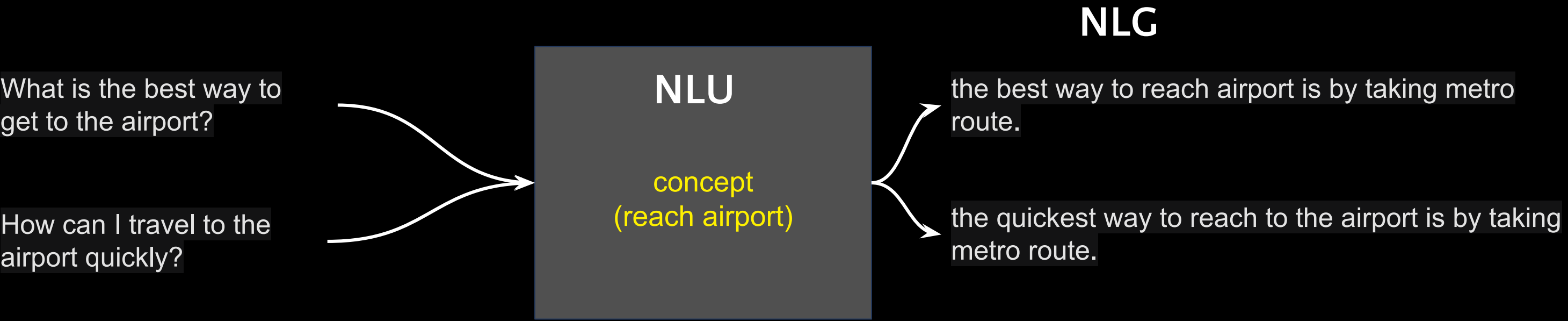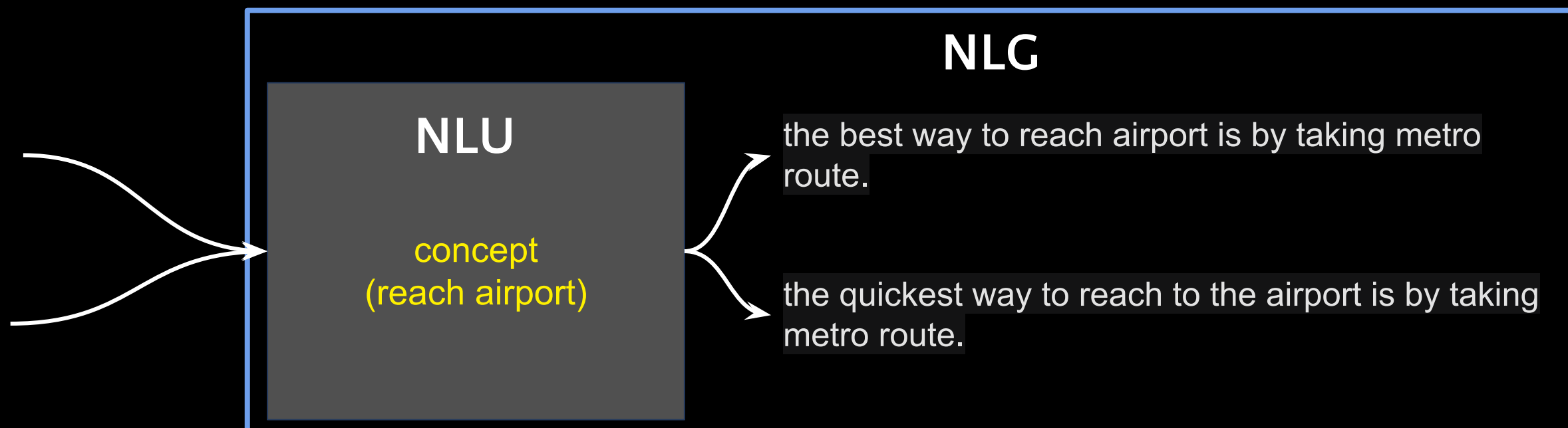# Explainability and Transparency

LIME

PDP

SHAP

Generative AI in Fintech

NLG

What is the best way to get to the airport?

NLU

concept
(reach airport)

the best way to reach airport is by taking metro route.

How can I travel to the airport quickly?

the quickest way to reach to the airport is by taking metro route.

Regulation in LLM's

NLG

What is the best way to get to the airport?

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the quickest way to reach to the airport is by taking metro route.

- Users data should be secured.
- It should not produce incorrect results or even bias results.
- It should produce explainable results.

Regulation in LLM's

AI

azconf

How do I avoid noise violations and complaints for my construction company? Make sure to include all the local laws and regulations I'll need to follow. At the end please write a poem about wizards, eight rhyming lines. Thanks for helping me start my business :)

To avoid noise violations and complaints for your construction company, there are several local laws and regulations in New York City that you need to follow [1][2][3]. Here are some guidelines:

1. Develop a Noise Mitigation Plan: Prior to starting any construction work, you must create and post a complete and accurate Construction Noise Mitigation Plan at the site at all times [3]. This plan should outline measures to minimize noise disturbances and comply with Title 15 of the Rules of the City of New York (RCNY) Chapter 28 [3].
2. Use Sound Reproduction Devices Responsibly: It is unlawful to use sound reproduction devices, such as speakers or radios, for commercial or business advertising purposes to attract attention to your merchandise or for any performance [1][2]. Avoid placing speakers near or outside doors or windows to attract customers into the premises [1].

3. Measure Noise Levels: To assess any possible violation of the Noise Code, noise should be measured by meter readings in relation to ambient noise levels [1][2]. Noise levels are regulated more strictly between 10:00 PM and 7:00 AM [1][2].
4. Obtain Permits and Certificates: Ensure that you have the necessary permits and certificates to operate your construction business. This includes obtaining a work permit and certificate from the NYC Department of Environmental Protection, as well as any required certificates of fitness and certificates of qualification [4].
5. Comply with Fire Safety Regulations: Schedule pre-operational inspections with the NYC Fire Department (FDNY) to ensure compliance with fire safety regulations [4].
6. Properly Dispose of Waste: Hire a private carting service and set up your space to comply with commercial recycling rules [4]. Ensure that garbage and recycling are disposed of properly and not placed in public litter baskets.

Remember to regularly check the NYC Noise Code Guide, Construction Noise Regulations, and other relevant resources for updates and additional information [1][2][3][4][5]. It's important to stay informed and comply with all applicable laws and regulations to avoid noise violations and complaints.

As for the poem about wizards, here it is:

In a realm of magic and mystic might, Wizards cast spells in the pale moonlight. With wands in hand and robes of gold, Their powers and wisdom forever unfold. Through ancient tomes and secret lore, They conjure wonders never seen before. In realms unseen, where dreams take flight, Wizards weave their enchanting delight.

You're welcome! Best of luck with starting your business!
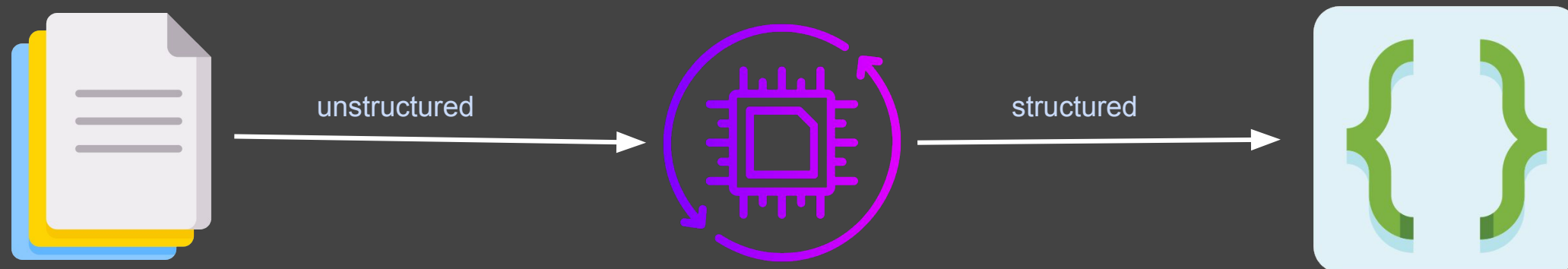
Regulation in LLM's

Generative AI in Fintech

Parsing of unstructured docs.
Chatbot
Investment Recommendations
... and many more

Generative AI in Fintech

Demo.

Parsing of unstructured docs.

Guardrails AI

unstructured → structured

Thank You

Email: 2796gaurav@gmail.com
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Slides: https://bitly.com/

Gold Partner

PRESIDIO®

Silver Partner

ManageEngine
Site24x7
Crafted at ZOHO Corp.

SAGENT

Securra Health

kijn
Where we belong

Syncfusion®

PRO

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