

Solution Proposed

TranSend solves this by using AI to listen, transcribe, and validate trade orders in real time. When an FA receives a verbal order, TranSend converts speech into text using Whisper AI, extracts key details like buy or sell action, quantity, company name, and ticker symbol using NLP, and compares them against what the FA manually entered. If there's a mismatch, an alert is triggered so that errors can be corrected before submission.

This ensures that trades are executed exactly as the client intended, reducing errors and improving efficiency.”

Benefit / Positive Impact to FA / Savings / How Does This Solution Reduce Friction?

Now, let's talk about the impact of TranSend and why it matters for Financial Advisors and the business as a whole.

Accuracy & Reduced Errors

Eliminates misinterpretation of verbal orders by converting them into structured text and validating against manual input.

Reduces trade errors, ensuring compliance and minimizing regulatory risks.

Time Efficiency & Improved Workflow

Reduces manual double-checking effort by providing instant feedback if discrepancies are found.

FAs can focus more on client interactions rather than correcting mistakes post-trade execution.

Operational Cost Savings

Prevents financial losses from incorrect trade executions.

Reduces back-office reconciliation efforts and associated costs

Enhanced Client Experience & Trust

Ensures that the trade executed aligns with the client's actual intent, leading to **better client relationships** and trust in the advisory process.

Next Steps

To enhance TranSend and make it even more powerful, we have a clear roadmap ahead.

We will integrate TranSend with FA trading platforms by connecting it with existing order management systems for seamless validation and developing APIs for easy adoption.

To improve trade order processing, we will incorporate **Large Language Models (LLMs)** for **summarizing trade orders** and handling **multiple orders in a single transaction**. This will

enhance extraction accuracy and ensure better contextual understanding of complex trade instructions.

For improved speech-to-text processing, we will upgrade from the **Whisper AI Tiny model** to the **Whisper AI Large model**. This will provide **higher transcription accuracy**, especially in noisy environments, and ensure better recognition of financial terms and client-specific accents.

In the future, we plan to introduce **Spanish transcription support**, as many clients, particularly in regions like Florida, Texas, and California, place trade orders in **Spanish**. Expanding TranSend's **multilingual transcription capabilities** will enable accurate transcription and validation of Spanish trade orders, ensuring seamless communication for Spanish-speaking clients.

"These enhancements will significantly improve the accuracy, efficiency, and reliability of TranSend, making it an indispensable tool for Financial Advisors."

TranSend is built on a robust AI-driven framework that ensures accurate speech-to-text conversion, natural language processing, and seamless integration with financial systems.

We use **Whisper AI** for speech-to-text processing, enabling accurate transcription of verbal trade orders, even in noisy environments. This ensures that trade instructions are captured with high precision.

For extracting key details such as action (buy/sell), quantity, company name, and symbol, we leverage **Natural Language Processing (NLP)** techniques. This helps in structuring the extracted data for validation and comparison.

The system is developed using **Python and Flask**, providing a lightweight and efficient backend for processing trade orders, integrating with existing trading platforms, and handling real-time validations.

"By combining these technologies, TranSend ensures accurate trade order processing, reducing errors and enhancing efficiency for Financial Advisors."