



THE WONDERS OF BOTS IN LARGE, RISKY TRADES

Abstract

When Noah Miller, Product Manager at a leading American investment management firm, discovered that its fragmented, manually intensive trade management processes were delaying trade execution and causing operational losses, he turned to Infosys BPM for help. This case study outlines how Infosys BPM's comprehensive automation solution accelerated processes, saved 306 person-hours per year in manual effort, and achieved a 99.5% accuracy rate—while reducing the firm's risk exposure by over \$500 million.



Taking Control of Large Trades

Noah Miller is the Product Manager at a leading American investment management firm that offers a wide array of trade options, advisory services, and retirement solutions. In this role, he is primarily responsible for managing trade operations and ensuring that every account meets company standards. This includes overseeing trade executions and compliance checks, particularly for large and qualified trades (LTQT). However, with the firm managing \$10.4 trillion in assets, the task came with significant challenges.

During his weekly process reviews, Noah often encountered trades that were not executed within their cut-off times. Additionally, his team frequently failed to

accurately identify and flag risky trades, increasing the firm's overall risk exposure. Over time, these delays and prolonged exposures began translating into operational losses, potentially damaging the firm's market reputation.

Concerned, Noah analysed the trade management processes and consulted his team to identify the root causes. Team members revealed that manually identifying trades, running compliance checks, and generating reports was too time-consuming to meet deadlines. The workflow also involved multiple hand-offs, often resulting in inaccuracies and inconsistencies.

With risk exposure and delays increasing weekly, Noah realised a comprehensive process transformation was essential. Fortunately, he knew exactly where to turn. Without hesitation, he contacted Infosys BPM—the firm's long-standing transformation partner known for delivering AI and automation services. Confident in their capabilities, he signed them on for an extended contract and initiated a series of meetings with Baldeep Saini, the Infosys BPM Project Lead. Noah detailed the process flow, highlighted the delays and inconsistencies, and sought Baldeep's support in implementing a robust transformation.

Bringing in the firefighters

With a clear understanding of Noah's business requirements, Baldeep assembled a team of Infosys BPM business analysts (BAs) and technology experts. Together, they assessed the firm's trade management processes and identified key failure points across business and technology systems.

Based on their analysis, the team proposed implementing a robotic process automation (RPA) bot. Baldeep's BAs collaborated with Noah's onshore and offshore operations subject matter experts (SMEs) to document the current process, identify top use cases for automation, and develop a detailed business requirements

document (BRD). They proposed a blueprint for an independent RPA bot, built on an open-ended architecture, to automate trade status reviews, validations, and processing.

Approach summary



Once Noah and his team approved the BRD, deployment began with a 4–8 week timeline. The bot was designed to work around data restrictions and check the firm's transaction summary tool every 15 minutes for new reports. It automatically identified LTQT trades that exceeded limits or predefined rules, scanned transaction data, selected relevant trades, and updated the reporting tool with client-

specific trade details. It also generated and sent summary reports to Noah and his team, providing real-time updates on trade successes and failures. To avoid contractual violations, the bot's access to government plans was restricted, with a focus on inter-team transactions.

After development, the team conducted user acceptance testing (UAT) in a

non-production environment. Upon successful testing, the bots were deployed in production, followed by a hypercare phase to monitor performance and make adjustments. While configuring the technology and provisioning access took some time, the deployment was smooth overall.

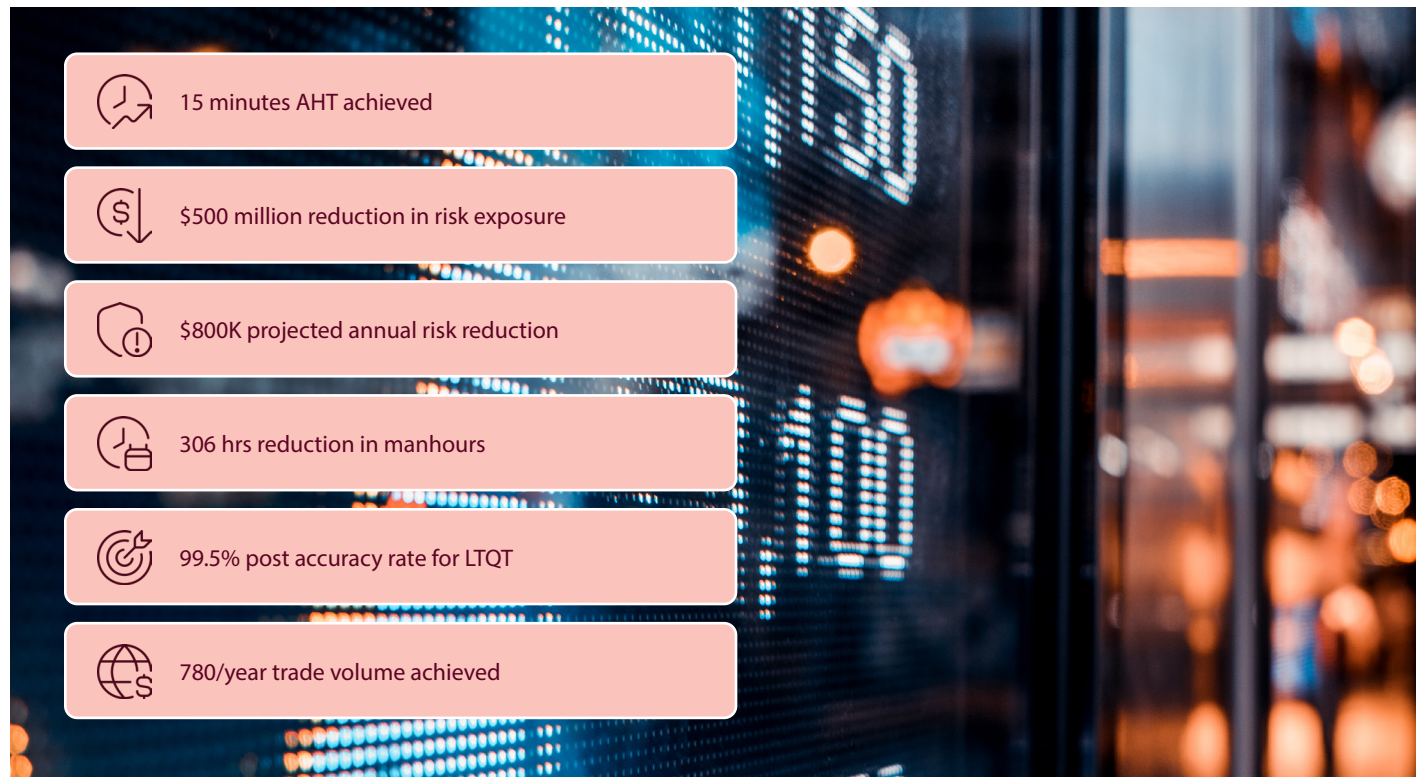
A New Era of Profitable Trades

Soon after the RPA bot was deployed, Noah observed remarkable improvements in trade management operations. What was once a heavily manual, error-prone process became a streamlined, high-efficiency system.

By automating trade identification, flagging and processing, the bot eliminated the need for manual checks and multiple hand-offs. This freed up 306 person-hours annually, allowing the operations team to focus on more

strategic, value-driven tasks. The improved workflow also enhanced performance and turnaround times (15 minutes per report), enabling the firm to process 780 transactions per year.

Key benefits



In addition to efficiency gains, the bot minimised operational errors, achieving a 99.5% accuracy rate for LTQT and delivering 100% quality of service. With near-zero errors and faster processing, the firm reduced its risk exposure by

\$500 million. The projected annual risk reduction reached \$800,000, underscoring the automation's impact on mitigating vulnerabilities.

Thanks to reduced risk and enhanced efficiency, the automation project

significantly streamlined the firm's trade management processes. Impressed by the results, Noah praised Baldeep and his team for their consistent support and dedication.

**Names have been altered to preserve the identities of the people involved.*

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