

RA-CFGPT: Chinese Financial Assistant with Retrieval-Augmented Large Language Model

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Problems & Ideas

- Problems
 - The complexity of financial texts necessitates large language models (LLMs) to adeptly understand intricate financial terminology and concepts.
 - However, most current FinLLMs prioritize pre-training or supervised fine-tuning, overlooking the knowledge-intensive nature of the financial domain and underutilizing the RAG during FinLLM training.
- Ideas: The paper introduce an integrated system tailored for Chinese financial tasks to ensure the generated output not only is accurate but also meets compliance mandates, including but not limited to question answering, document analysis, and risk assessment

Main Contributions

- Contributions:
 - We first construct a hybrid knowledge base tailored for different aspects of the financial domain.
 - We fine-tune a Chinese LLM across various financial tasks with the retrieved document from our hybrid knowledge base as background knowledge.
 - We establish a system workflow to ensure the generated output not only is accurate but also meets compliance mandates and sufficiently flags associated risks.

