

YCHARTS AI: Oversight Built In



Y is an AI agent built for financial professionals.

It handles time-intensive workflows like portfolio analysis, report generation, and client content drafts, while operating entirely within a governed, SOC 2-certified environment that keeps compliance teams in control.

Field	Details
Security Certification	SOC 2 Type I and II
Data Residency	AWS us-east-1 (U.S. only)
Client Data Used for Training	No. Neither YCharts nor Anthropic uses customer data, prompts, or chat history to train or improve the model.
Underlying Model	Anthropic Claude Sonnet 4.6
Training Data Cutoff	May 2025

Full technical documentation is available upon request.



Built-In Guardrails

- All AI-generated outputs (including analysis, summaries, and charts) are produced as a draft and require advisor review before use. Y cannot distribute content directly to clients.
- Human confirmation is required before any live portfolio or watchlist is modified or saved.
- Y cannot access or act on tools or data outside a user's licensed entitlements, enforced at the architecture level.
- Outputs do not constitute a recommendation. Investment, legal, tax, or financial advice is out of scope.
- Disclosure language is included on all AI-generated reports and is configurable at the firm level.

Home Office Controls

- User access is managed at the individual level by account administrators.
- Admins can push shared prompt templates to standardize workflows.
- For firms with hard AI block requirements, Y can be disabled at the feature level.

AI That Works Within Your Framework

Advisors at every firm are already reaching for AI tools. Y gives compliance teams the visibility and control they need, with all activity logged and outputs traceable back to source. The result is a governed, auditable environment your firm can stand behind.