Complieaze

A GenAI assistant to make regulatory compliance easy.

<u>User Manual</u>

Complieaze

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Introduction

Welcome to Complieaze, a cutting-edge web-based chatbot application designed to streamline your compliance queries for various regulators like RBI (Reserve Bank of India), SEBI (Securities and Exchange Board of India) and others.

This manual is your comprehensive guide to navigating and utilizing the chatbot effectively, ensuring you get the most out of its capabilities for all your compliance needs.

1. Getting Started

Accessing the Chatbot

To access Complieaze application :

• Open your web browser and navigate to https://complieaze.ai

Complieaze Regulatory compliance assistant	Login
	Password
	Login Microsoft



• Click on the Microsoft login button



Chat Interface Overview

Once the chatbot interface is open:

• You will see a chatbot window or prompt inviting you to start a conversation.





• The chatbot has preset options for common inquiries related to regulatory compliances.

Complieaze Regulatory compliance assistant	Possib	le candida	te is bro	owse context: IN	TERNA	LGUIE	Delines q a	A Conte	ext: IՒ	ITERNAL GU	IDELIN	IES: All	l document	ts		More	<u>.</u>	Select Regulator	٢
	0	Question	i	References	(i)	٢	Changes	i	9	Checklist	í	Ø	Browse	í	Eà	Circular	í		
/browse	· · · ·																	•	
/browse																			
+ New Chat																			
Prompt Browse			Ø E	nter your query												1		Clear Chat	
product by dataeaze																			

2. Using the Chatbot

Recent Chat

2.1 The left section displays Quick access to your recent chats.





2.2.0 User can save current chat and create new chat by clicking on 'New Chat' button

Complieaze Regulatory compliance assistant	Possil	ble candida	te is br	owse context: IN	TERNA	LGUIE	DELINES QA	Conte	ext: IՒ	ITERNAL GU	JIDELIN	IES: All	documen	ts		More		Select Regulator	0
	0	Question	i	E References	i	٩	Changes	i	5	Checklist	i	\cong	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			@ E	nter your query												↑		Clear Chat	
product by dataeaze																			

2.2.1 Users can visit the recent chat box at the left side for fast access to their previous searches.

Complieaze Regulatory compliance assistant	Poss	ible candida	ite is bi	rowse context: IN	TERNA	LGUI	delines q	A Conte	ext: IN	ITERNAL GU	JIDELIN	NES: All	document	ts		More		Select Regulator	(9
	0	Question	i	References	i	٩	Changes	i	5	Checklist	i	\otimes	Browse	i	Eà	Circular	í		
/browse																			
/browse																			
	4																		
+ New Chat																			
Prompt Browse			@ E	Enter your query												1		Clear Chat	
product by dataeaze																			

Quick Summary of documents present in the database

2.3 The quick summary provides an overview of the regulator, highlighting key statistics such as its name, the number of Acts, Circulars, and General Orders. For



more detailed information about a specific regulator, users can click on the **"more" button**.

Complieaze Regulatory compliance assistant	Possil	ble candida	te is br	owse context: IN	TERNA	LGUI	DELINES QA	Conte	ext: IN	ITERNAL GU	IIDELIN	IES: All	document	ts		More		Select Regulator	٢
	0	Question	i	References	i	٩	Changes	í	9	Checklist	i	(Browse	í	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			@ E	nter your query												1		Clear Chat	
product by dataeaze																			

2.3.1 Clicking the **"more" button** provides users with a detailed summary of the regulator, including the total number of circulars issued, the title and date of the most recent circular, the count of master circulars, QA Context, and the number of master directions relevant to the regulator.

This feature keeps users informed with essential and current regulatory information at a glance.

assistant	Possible candidate is browse context: SEBI QA Context: SEBI: All doc	uments Less	٢
	Summary of Documents		
	Count of Documents	Latest Circular	
	Circulars: 2512 Master Circulars: 104 Master Directions: 104	Latest Circular Name: SEBI/HO/DDHS/DDHS-PoD-2/P/CIR/2024/114	
	Acts: 6 Regulations: 41 Rules: 18	Latest Circular Date: 21 August 2024	
	⑦ Question () ₽ References () () Changes ()	S Checklist () (2 Browse () 🔁 Circular ()	

2.4 Users can clear recent chats using 'Clear Chat' button





Complieaze Regulatory compliance assistant	Possib	le candida	te is br	owse context: INT	ERNAL	GUIE	DELINES QA	Conte	ext: IN	ITERNAL GU	IDELIN	IES: All	document	s		More		Select Regulator	0
	0	Question	i	References	i	٩	Changes	i	5	Checklist	i	\odot	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			<i>©</i> E	nter your query												1		Clear Chat	
product by dataeaze	_																		

2.5 Users can write their question in the input box & click on the up arrow button (submit button) to submit any query.

Complieaze Regulatory compliance assistant	Possil	ole candida	te is br	owse context: SEI	BI QA	Cont	ext: SEBI: A	ll docu	ments	5	Mo	ore						Select Regulator	0
	0	Question	i	References	í	٩	Changes	i	9	Checklist	i	\otimes	Browse	i	Eà.	Circular	í		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			E	nter your query												ſ		Clear Chat	
product by dataeaze																			

2.6 Users can toggle between Prompt and Browse screens by selecting the appropriate option from the drop down list.

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Complieaze Regulatory compliance assistant	Possib	le candida	te is br	owse context: SEE	QA Co	ontext: SEBI: A	ll docum	nents		Mo	ore						Select Regulator	0
	0	Question	i	References	() (Changes	i	1	Checklist	i	\otimes	Browse	i	Ēà	Circular	i		
/browse																		
/browse																		
+ New Chat																		
Prompt Browse			E	nter your query											1		Clear Chat	
product by dataeaze																		

Dedicated Browse Window

2.7 After clicking on the Browse button, users will get the following options for browsing where users can browse through documents by giving the following inputs : Select topic, Start or End date filter, or by giving some context we will be able to get the specific document. Also users can search with title or circular number.

Complieaze Regulatory compliance assistant	Possib	le candidat	te is br	owse context: SEB	QA C	Conte	ext: SEBI: A	ll docu	ments	i	M	ore						Select Regulator	0
	0	Question	i	References	i	٩	Changes	i	9	Checklist	i	\bigotimes	Browse	i	Eq.	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			E	nter your query												1		Clear Chat	
product by dataeaze	_																		





Complieaze Regulatory compliance assistant	Browse Context	: INTERNAL GUIDELINES QA Conte	ext: INTERNAL C	GUIDELINES: All do	cuments	More		Select	Regulator
/browse			Sele	ct timeframe	for circulars t	o search			
/browse		Start Date			End Date				
				Туре	of search				
		Content Based Sea	arch 🗸	Enter your in	put				
		Clear Search			Upload	(Submit		
	LEXPORT	-							
	Sr. No.	Circular Number	Date	Subject	Document Ty	Regulator	Upload Status	Checklist Tim	. Document U
+ New Chat	1	THE FUGITIVE ECONOMIC OF	7/31/2018	THE FUGIT	upload_doc	internal_gui	completed	10-10-2024	Bhushan A
	2	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
product by dataeaze	3	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale

2.8 Clicking on a circular will take you to the prompt screen with the /circular command executing.

🛃 EXPORT								
Sr. No.	Circular Number	Date	Subject	Document Type	Regulator	Upload Status	Checklist Tim	Document U
1	THE FUGITIVE ECONOMIC OFF	31/7/2018	THE FUGIT	upload_doc	internal_gui	completed	10-10-2024	Bhushan A
2	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
3	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
4	iowhfow	1/10/2024	iowhfow	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
5	Petty Cash	11/10/2024	Petty Cash	upload_doc	internal_gui	completed	11-10-2024	tushar dalal
6	Test	1/10/2024	Test	upload_doc	internal_gui	completed	11-10-2024	Bhushan A
					Ro	ws per page: 10	00 → 1–8 of 8	в < >



/circular Petty Cash

💩 Circular Metadata:

Name:Petty Cash

Date: 11-10-2024

Subject: Petty Cash

Summary: The document outlines the petty cash management process for Birla Sun Life Insurance Company Limited, detailing applicable account codes, admissible expense items, and the replenishment process for branches. It includes specific guidelines for various expense categories such as agent maintenance, office upkeep, and staff welfare, along with limits and required documentation for each. The replenishment process involves auto-mailers, physical cash verification, and approval protocols. Additionally, it describes the reimbursement process for HO locations, emphasizing the need for proper documentation and approvals. Quality checks by Concentrix (Minacs) are also mentioned to ensure compliance.



User Profile Options

2.9 Users are able to select Logout, Generate Token, Admin options from profile options.

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Complieaze Regulatory compliance assistant	Possible candida	ate is b	rowse context: S	ebi qa	Conte	ext: SEBI: A	ll docun	nents		Mc	ore						Select Regulator	0
	② Question	i	Reference	s (i)	٩	Changes	i	5	Checklist	i	$ \leq $	Browse	i	Eq.	Circular	i		
/browse																		
/browse																		
+ New Chat																		
Prompt Browse		E	Enter your query												1		Clear Chat	
product by dataeaze	_																	
Complieaze Regulatory compliance assistant	Browse Context:	INTERI	NALGUIDELINES	QA Cor	ntext:	INTERNAL	GUIDELII	NES: A	II docume	nts		More	<u></u>				Select Regulator	0
Complieaze Regulatory compliance assistant	Browse Context:	INTERI	NALGUIDELINES	QA Cor	ntext:	INTERNAL (NES: A	ll docume	nts (j)	C	<u>More</u> Browse	 (j)	E.	Circular	()	Select Regulator	٢
Complicaze Regulatory compliance assistant /browse	Browse Context:	interi	References	QA Cor	ontext:	INTERNAL (GUIDELII	NES: A	ll docume Checklist	i	0	<u>More</u> Browse	 (j)	Ēà	Circular	()	Select Regulator	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	INTERI	References	QA Cor	©	INTERNAL (GUIDELII	NES: A	ll docume	i	S	<u>More</u> Browse		E.	Circular	()	Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	INTERI	NALGUIDELINES	QA Cor	©	INTERNAL (GUIDELII	NES: A	ll docume	i	Ø	More	 (j)		Circular	i	Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	INTERI	NALGUIDELINES	QA Cor	©	INTERNAL (GUIDELII	NES: A	ll docume	i	Ø	<u>More</u> Browse		Ē	Circular	()	Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	INTERI	NALGUIDELINES	QA Cor	©	Changes	GUIDELII	NES: A	ll docume	i	٢	<u>More</u> Browse		Eà	Circular	;	Soloct Regulator Logout Generate Admin	Oken
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	()	References	QA Cor	©	Changes		NES: A	ll docume	i	0	More			Circular		Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:	()	References	QA Cor	©	Changes		NES: A	II docume	i	Ø	More	····	Eq	Circular	1	Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:		References	QA Cor	©	Changes	GUIDELII	NES: A හී (ll docume	î	٢	More Browse	·····		Circular	Ū	Select Regulator Logout Generate Admin	(2) Token
Complicaze Regulatory compliance assistant /browse /browse	Browse Context:		References	QA Cor	©	Changes		NES: A	ll docume	(i)	۲	More	<u></u>	Eq	Circular	1	Select Regulator	(2) Token
Complicaze Regulatory compliance assistant /browse /browse /browse Prompt Browse	Browse Context:		NAL GUIDELINES	QA Cor	©	Changes		NES: A ک) د	ll docume	(i)		More	•••	Eq.	Circular		Solect Regulator Logout Generate Admin	(2) Token

2.10 Users can log out from the application by clicking on the First option 'Logout'.





Complieaze	Brow	se Context:	INTER			ntext:		GUIDELI	INES:	All docume	onts									
Regulatory compliance assistant	5.01	Je contexti			4,1 601			501022		, in doodine			More	<u>)</u>				Select Re	gulator	2
	0	Question	i	References	i	٩	Changes	i	5	Checklist	i	\cong	Browse	i	Ea	Circular	i		Logout	
/browse																			Generate T	oken
/browse																			Admin	
+ New Chat																				
Prompt Browse			Ø E	nter your query												1		Clear C	hat	
product by dataeaze																				

2.11 The Second option of the profile option is Generate Token. This will generate a token that is used for authentication while accessing the application functionalities through APIs.

Complieaze Regulatory compliance assistant	Brow	se Context:	INTER	NALGUIDELINES	QA Co	ntext:	INTERNAL	GUIDEL	.INES:	All docume	ents		More	<u>)</u>				Select	Regulator	٢
	0	Question	í	References	i	٩	Changes	i	5	Checklist	i	\odot	Browse	í	B	Circular	i		Logout	
/browse																			Generate	Token
/browse																			Admin	
+ New Chat																				
Prompt Browse			@ E	inter your query												1		Clear	Chat	
product by dataeaze	_				_			_			_	_			_					



Admin Feature

Complieaze

2.12 The Third option of the profile option is Admin Panel.

Complieaze Regulatory compliance assistant	Browse Context: INTE	RNALGUIDELINES QA Con	text: INTERNAL GUIDEL	INES: All documents	More		Select Regulator
/browse	Question	हा References 🕕	Changes O	S Checklist	Browse 🕜 🔁	Circular	Logout Generate Token Admin
+ New Chat Prompt Browse product by dotoeoze	¢	Enter your query				1	Clear Chat

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2.13 Below is a glimpse of how the Admin Panel looks. The detailed admin functionalities will be shared separately.

Complieaze Regulatory compliance assistant				
Roles	Roles			Add Ro
Regulators				
Access Control	Roles	Operations	Description	Acti
User Management	Super Admin	Full Access	Full read and upload access to regulatory documents and information	0
	Regulator Admin	action changes circular circularqa compliance question references upload_doc get_regulator	Read and upload access to regulatory documents and information	ı
	nww	changes	uhikh	ı
	jhgbkhki	action changes compliance upload_doc	yhgkughik	0
	Regulator Reader	action changes circular circularqa compliance question references	Read-only access to regulatory documents and information	0

Select Regulators

2.14 Users can click on the select regulator button to select the desired regulator.

Complieaze Regulatory compliance assistant	Possil	ole candida	te is br	owse context: SE	BIQA (Conte	ext: SEBI: A	ll docur	ments	1	Mo	ore						Select Regulator	0
	0	Question	i	References	í	٩	Changes	í	9	Checklist	í	\bigotimes	Browse	i	Ēà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			E	nter your query												1		Clear Chat	
product by dataeaze																			



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Complicaze Regulatory compliance assistant	Brows	e Context:	SEBI	QA Context: SEBI	: All doo	cumei	nts	1	More.								Select Regulator		0
/browse	٢	Question		References		٢	Changes		۳	Checklist	0	٢	Browse	0	E.	Circular	Regulator SEBI Submit	×	
+ New Chat																			
Prompt Browse			E	nter your query												1	Clear Chat)	
product by dataeaze																			

Complieaze Regulatory compliance assistant	Browse Context: SEBI QA Context: SEBI: All documents More	Select Regulator
/browse	⑦ Question () ႃ References () ⑧ Changes () ℕ Checklist () ② Browse () 🖳 Circular	Regulator
+ New Chat Prompt Browse	Enter your query	Clear Chat
product by dataeaze		



2.15 Then the user can click on the submit button to use other functionalities of the application explicitly for the selected regulator/s.

Complieaze Regulatory compliance assistant	Browse Context: SEB	A Context: SEBI: All docume	nts <u>More</u>		5	Select Regulator
/browse	② Question ()	References 🕡 🕲	Changes (i) 🕥 Che	ecklist 🕡 🕑 Browse 🥡	Circular Regu	ulator X
/browse						EBI
					R	BI
					Ir	nternal Guidelines
+ New Chat						
Prompt Browse		Enter your query				Clear Chat
product by dataeaze						

Complieaze Regulatory compliance assistant	Browse Contex	: RBI Q	A Context: RBI: All	document	ts	More	<u></u>								Select Regulator	0
	⑦ Question	i i	References	(i) (i)	Changes	(i) R	Checklist	i	(\mathbf{C})	Browse	i	Ēà	Circular	í		
/browse																
/browse																
+ New Chat																
Prompt Browse		E	nter your query										1		Clear Chat	
product by dataeaze																



2.16 User can have the facility to select multiple options at the same time by which user will be able to use the functionalities on multiple regulators

Complieaze Regulatory compliance assistant	Browse Context:	rbi qa	Context: RBI: All	documen	ts	More	<u>)</u>				Select Regulator
/browse /browse	(?) Question		E References	0 6	Changes	0	S Checkiist	2 Brows	9 ()	Circular	Regulator RBI, SEBI SEBI RBI Internal Guidelines
+ New Chat Prompt Browse product by dataeaze		En	ter your query							1	Clear Chat

2.16.1 After clicking on the submit button, you will be able to see both the options which you have selected.

Complieaze Regulatory compliance assistant	Brows	se Contex <mark>:</mark> :	RBI,SE	BI CA Context: F	BI,SEBI:	All do	ocuments			More								Select Regulator	0
	0	Question	i	References	i	0	Changes	i	5	Checklist	i	\bigotimes	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ Now Chat																			
T New Chat																			
Prompt Browse			@ E	nter your query												\uparrow		Clear Chat	
product by dataeaze																			
					_				_		_			_	_		_		

Question & Answering

2.17 The first option is Question, where users can click & can ask any question.

Complieaze Regulatory compliance assistant	Possible	candidat	e is br	owse context: SE	BI QA	Cont	ext: SEBI: A	ll docu	ments	i	M	ore						Select Regulator	0
/browse /browse	0	Question	()	References	()	٢	Changes	(j)	9	Checklist	(j)	٢	Browse	(j)	Eq.	Circular	(i)		
+ New Chat																			
Prompt Browse			E	nter your query												1		Clear Chat	

2.17.1 To ask for any question, users can write '/question ' in the input box followed by the specific question.

Complieaze Regulatory compliance assistant	Possil	ole candida	te is bı	rowse context: SEI	BI QA	Conte	ext: SEBI: A	ll docu	ment	3	Mo	ore						Select Regulator	0
	0	Question	í	References	í	٩	Changes	í	9	Checklist	í	\bigotimes	Browse	í	EQ.	Circular	í		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			E	nter your query												1		Clear Chat	
product by dataeaze																			
									_										

2.17.2 Users can see the responses based on the provided question and also get some other references of the documents in which they can read more about the response.

) /que	stion What i	is Repo Rate?			
	The most rece Reverse Repo money to com reduced by 25	ent context relevant to the definition of the Repo Rate is from the document titled "Liquid Rates" dated 04-10-2016. According to this context, the Repo Rate is the rate at which t imercial banks under the Liquidity Adjustment Facility (LAF). As of the announcement on 5 basis points from 6.50 percent to 6.25 percent.	dity Adjustmen the Reserve Bar n October 4, 201	t Facility - F hk of India (6, the Repo	Repo and RBI) lends o Rate was
	Most relevant	context:			
	• Title: Lic	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1			
	• Title: Lie Sr. Number	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1 PDF Name	Page Number	Date	Download
	• Title: Lie Sr. Number	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1 PDF Name Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2018 [Last amended on August 29, 2024]	Page Number	Date 2018	Download
	 Title: Lie Sr. Number 1 2 	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1 PDF Name Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2018 [Last amended on August 29, 2024] Repurchase Transactions (Repo) (Reserve Bank) Directions, 2018 - Amendment	Page Number 5	Date 2018 28-11- 2019	Download ↓

2.17.3 The user can click on the clear chat button and can ask new questions again or can visit other options like references, changes, actions, compliances, circulars.

Complieaze Regulatory compliance assistant	Possible candid	ate is b	rowse context: SEBI	QA Cor	itext: SEBI: A	ll docur	ments		M	ore						Select Regulator	0
/browse /browse	⑦ Question		References (0) Changes	()	3	Checklist	()	C	Browse	()	Â	Circular	()		
+ New Chat Prompt Browse		E	Enter your query											1		Clear Chat	



References

2.18 Now users can have a second option, References, where users can get the reference of a specified document.



2.18.1 Users can hover their mouse on the references option and can see the help about references.



2.18.2 Users can use **/references <doc title>** in the input box. And can select any reference doc from suggestions.

/references DoP PET PEC 59/12.01.001/2022-24	
/references	Clear Chat

2.18.3 Users can see the document and its reference along with legend (showing circulars, Act, master direction, notification).

		Dor.RET.REC.43/12.01.001/2023-24
		Dor.RET.REC.59/12.01.001/2023-24
	Legend Circular Act Master Direction Other Notifications	
Lenter	your query	4



Changes

2.19 Now users can have a third option, Changes, where users can get the changes that the specified document makes to other documents

Complieaze Regulatory compliance assistant	Possible	candidate	e is br	owse context: SEE	BI QA	Cont	ext: SEBI: A	ll docur	ments	3	M	<u>ore</u>					Select Regulator	0
/browse /browse	(?) Q	uestion	()	문 References	(i)	٢	Changes		۳	Checklist	()	٢	Browse		Circular	()		
+ New Chat																		
Prompt Browse product by dataeaze			E	nter your query											1		Clear Chat	

2.19.1 Clicking on 'Changes' opens the Changes help prompt.



2.19.2 Users can use **/changes <doc name>** in the input box. And can select any document from suggestions.

/changes DoR.RET.REC.59/12.01.001/2023-24	
/changes	Clear Chat

2.19.3 Users will be able to view the document and its changes along with legend (showing circulars, Act, master direction, notification).

Regulat	or: RBI QA context: RBI all documents 🚯
	makes changes to DoR.RET.REC.43/12.01.001/2023-24
	Legend Circular Act Master Direction Other Notifications



Checklist

2.20 Now users can have a fourth option **Checklist**, where users can get the checklist for a specified document.

Complieaze Regulatory compliance assistant	Possible candida	ite is br	owse context: SEB	QA Co	ontext: SEBI	: All docu	uments		More	<u>.</u>					Select Regulator	0
	② Question	i	References	(i)	③ Change	s (i)	1	Checklist	() ()) Browse	i	Ēà	Circular	i		
/browse																
/browse																
+ New Chat																
Prompt Browse		E	nter your query										1		Clear Chat	
product by dataeaze																

2.20.1 Users can put **/checklist <doc name>** in the input box to get action items for a particular document.

Complieaze Regulatory compliance assistant	Browse Conte	ct: RBI,SI	EBI QA Co	ontext: RBI,S	SEBI: All	documents			More								Select Regulator	0
/browse	⑦ Questie	n (j	E Refe	erences (i	0	Changes	()	3	Checklist	i	٢	Browse	()	Eq	Circular	(j)		
		/che	ecklist Ma urance Pra	ister Direct actices	ion on l	Informatio	n Techn	iology	Governar	nce, Ri	sk, Co	ontrols and	ł					
+ New Chat		/che /che	ecklist Ma ecklist Ma	ister Circula ister Circula	ar for Al ar for M	Iternative I Iutual Fund	nvestm Is	ent Fu	unds (AIFs)								
Prompt Browse			check												1		Clear Chat	



2.20.2 Users can hit enter to see the checklist of the specified document.

Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: RBI,SEBI: All documents More
/browse	Question F References Changes Checklist Checklist
+ New Chat Prompt Browse	 Waster Circulate - Housing market A Control of Circulate - Housing market Control of Circulate - Housing market Control Circulate - Housing market Second Plane For Construction Control Control Control Housing Constructed a completion certificate will be obtained within 3 months of completion. Control Point Construction Control Point Construction Control Point Construction Control Control Control Market Control Control Control Market Control Control Control Control Market Control Control Construction

Browse

2.21 Users can now access a fifth Browse option

Complieaze Regulatory compliance assistant	Possibl	e candida	te is bi	owse context:	SEBI C	A Con	text: SEBI: A	All docu	ments	5	Mo	ore						Select Regulator	(2)
Incourse	0	Question	i	E Reference	es (j	٢	Changes	i	9	Checklist	i	۲	Browse	i	Ēà	Circular	i		
/browse																			
+ New Chat																			
Prompt Browse			E	nter your query												1		Clear Chat	
product by dataeaze																			

2.21.1 After clicking on the Browse option, users will see a prompt that provides guidance on how to effectively use the browse feature while staying within the prompt interface





Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: RBI,SEBI: All documents	More	Select Regulator
	⑦ Question (i) 🔁 References (i) 💿 Changes	i) 🖏 Checklist 🕡 🖉 Browse 🧃) 📴 Circular
/browse		Description:	Set an interactive table
/browse		showing all the	e RBI circulars
		Syntax: /brow Example:/brow	se NSe
		Natural Lange	Jage example: 1. List all
		2. List all the F	RBI circulars from first
		quarter of 202	3
+ New Chat			
Prompt Browse	Enter your query		Clear Chat
product by dataeaze			

2.21.2 Users can access all the documents from the selected regulator using by using **/browse** command

Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: RBI,SEBI: All documents More
/browse	⑦ Question 🕡 肩 References 🕡 ③ Changes 🕡 数 Checklist 🕡 ② Browse 🕡 🗟 Circular 🕠
/browse	(2) /browse
	 Below is the list of circulars that you requested. You can navigate through all the circulars from this table. Use any of the following commands to find out more about the circulars: Jaction - What are the action items mentioned in the circular? Ireferences - What all Circulars/Acts/Regulations are referred in this circular? /changes - What are the changes mentioned in this circular? Circulars: EXPORT
	Sr.Number Circular Date Title
	0 DOR.STR.REC.41/04.02.001/2024-25 8/29/2024 Interest Equalization Scheme (IES) on Pre and Post Shi
+ New Chat	1 CO.FMRD.FMIA.No.S242/11-01-051/2024- 8/29/2024 Scheme for Trading and Settlement of Sovereign Green
Prompt Browse	Enter your query

Talk to a circular

2.22 Users can also query and ask questions on a particular circular with the /circular command.

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Complieaze Regulatory compliance assistant	Possible car	ndidate is b	rowse context: SEE	BI QA Con	text: SEBI: A	Mo	ore				s	elect Regulator			
(harrier	⑦ Ques	ation (j	E References	() (\$	Changes	() E) Checklist	i	\bigotimes	Browse	i	Circular	(i)		
/browse															
+ New Chat															
Prompt Browse		E	Enter your query									1		Clear Chat	
product by dataeaze															

2.22.1 Clicking on 'Circular' opens a help box which shows the info of how to use the circular command.

Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: OA Context: DoR.REG/LIC.No.72/16.05.000/2023-24 More					
	⑦ Question ① 寢 References ① ⑧ Changes ⑦ ⑧ Checklist ① ② Browse ① 🕃 Circular ①					
/browse	Circular DoR.REG/LIC.No.72/16.05.000/2023-24 • Description: Get the important information about a circular, an A generated summary along with the second summary along with the	N hree				
	Circular Metadata:	, hat				
	Name:DoR.REG/LIC.No.72/16.05.000/2023-24 • Syntax: /circular <circular_numb< th=""><th>oer></th></circular_numb<>	oer>				
	Example: <u>\circular</u> Date: 17-01-2024 DoR.REG/LIC.No.72/16.05.000/ 24	• Example:/ <u>circular</u> DoR.REG/LIC.No.72/16.05.000/2023- 24				
	Subject: Second Schedule to the Reserve Bank of India Act, 1934 – Norms f • Natural Language example: Na language support for this comme	atural and is				
	Summary: The Reserve Bank of India has revised the eligibility norms for the					
	operative Banks (UCBs) in the Second Schedule to the Reserve Bank of India Act, 1934. Eligible					
	minimum requirement and having no major regulatory concerns. These UCBs are required to					
	submit their applications along with necessary documents to the concerned Regional Office of the					
+ New Chat	Department of Supervision. The revised instructions come into force immediately, repealing the previous circular dated September 27, 2013.					
Prompt Browse	Enter your query Clear Chat					

2.22.2 Users can put /circular <doc name> in the input box and hit the submit button





Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: QA Context: DoR.REG/LIC.No.72/16.05.000/2023-24												More	<u>ə</u>	Select Regulator	0			
	(?)	Question	(i)	References	(i)	٩	Changes	(i)	5	Checklist	(i)	(2)	Browse	(i)	Fà	Circular	(i)		
/browse	Ū		U		0	Ū	-	U	•		U	U		U			0		
/browse																			
		Г																	
+ New Chat			/circi	ular DoR.REG/L	IC.No.7	2/16.	05.000/202	23-24											
			/circi	ular SEBI/HO/D	DHS/DI	DHS-	PoD-2/P/C	IR/2024	/108										
Prompt Browse			@ /g	irc												1		Clear Chat	
product by dataeaze																			

2.22.3 After pressing submit button user will get a short summary about the document and now user can start asking questions specifically on this document

Complieaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: OA Context: DoR.REG/LIC.No.72/16.05.000/2023-24 More
/browse	⑦ Question () ፼ References () ⑧ Changes () ⑧ Checklist () ② Browse () ि Circular ()
/browse	Date: 17-01-2024 Subject: Second Schedule to the Reserve Bank of India Act, 1934 – Norms for inclusion Summary: The Reserve Bank of India has revised the eligibility norms for the inclusion of Urban Co- operative Banks (UCBs) in the Second Schedule to the Reserve Bank of India Act, 1934. Eligible UCBs must meet specific criteria, including maintaining a CRAR of at least 3% more than the minimum requirement and having no major regulatory concerns. These UCBs are required to submit their applications along with necessary documents to the concerned Regional Office of the Department of Supervision. The revised instructions come into force immediately, repealing the previous circular dated September 27, 2013.
Prompt Browse	Enter your query Clear Chat

2.22.4 Users can also click on the checklist button to generate the checklist for the corresponding circular.

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Note: To switch the question answering context back to global, user can just type in /question command

(Q) /question	
Nouvou are in quantian mode	
Now you are inquestion node	
a louration	
e iquesuon	Clear Chat

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2.23 Users can then select the internal guidelines option from the select regulator menu to use all the complicate features on the uploaded internal guidelines.

Regulator:	OA Context:	Latest Circular:	Latest Circular Date:	Select Regulator
CUSTOM	CUSTOM all docume	Order_SBI_Life_Insu	15-09-2024	
⑦ Question ()	🖅 References 🕡 🕲 Chang	es 🕡 🕥 Action	🕜 🥝 Compliance 🕡 📴 C	Regulator X INTERNAL GUIDELINES INTERNAL GUIDELINES

3. Upload a document

Complieaze

3.1 Users can also upload their documents related to internal guidelines from the browser and prompt window only when the regulator selected is the **Internal** guidelines.





Complieaze Regulatory compliance assistant	Possib	le candida	te is br	owse context: SE	BI QA (Conte	ext: SEBI: AI	l docur	nents	;	Mo	ore						Select Regulator	0
	0	Question	í	References	(i)	٩	Changes	i	9	Checklist	í	\bigotimes	Browse	í	Eà.	Circular	í		
/browse																			
/browse																			
+ New Chat				_															
Prompt Browse			E	nter your query												1		Clear Chat	
product by dataeaze	_																		

Complieaze Regulatory compliance assistant	Brows	Browse Context: INTERNAL GUIDELINES QA Context: INTERNAL GUIDELINES: All documents											More	<u>ə</u>	Select Regulator	٢			
	0	Question	í	References	i	٩	Changes	i	9	Checklist	í	Ø	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse		[e	nter your query												1		Clear Chat	
L. A.L. alata a see																			

3.2 After clicking the attachment icon the user will get the form to be filled for uploading the document. Fill the form with the details as shown below.

Upload Document			
Subject * 🚯			
Regulator * 🚯	Select Regulator	~	
Date of Circular 🚯	dd-mm-yyyy		
Select Document * 🚯	Browse No file selected.		
	Upload		

3.3 Once you upload the document you will get a confirmation message like so.

Clear Search			Upload	
⊕ complieaze.ce	ntralindia.cloud	app.azure.com		
Upload accepted,	processing will c	omplete soon.		
			ок	

3.4 You can keep track of the upload process in the browse window.

	Start Date		Ē	End Date			Ē	i
			Туре	of search				
	Content Based Search	∽ Er	iter your input					
	Clear Search			Upload			Submit	
🕁 EXP	PORT							
Sr. No.	Circular Number	Date	Subject	Document Type	Regulator	Upload Status	Checklist Tim	Document L
3	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
4	iowhfow	1/10/2024	iowhfow	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale
5	Petty Cash	11/10/2024	Petty Cash	upload_doc	internal_gui	completed	11-10-2024	tushar dalal
6	Test	1/10/2024	Test	upload_doc	internal_gui	completed	11-10-2024	Bhushan A.
7	RBI MD	27/12/1998	RBI MD	upload_doc	internal_gui	completed	14-10-2024	Tony Tom
8	Small example	16/10/2024	Small exam	upload doc	internal gui	processing	16-10-2024	Tony Tom

3.5 Once the upload is done the status will be reflected in the browse window and you can use all other features except references/changes on the uploaded documents.



d	at	50	e		7	e
-	-			-		-

	Start Date End Date									
Type of search										
	Content Based Search	~ En	nter your input							
	Clear Search			Upload			Submit			
🕁 EXP	ORT									
Sr. No.	Circular Number	Date	Subject	Document Type	Regulator	Upload Status	Checklist Tim	Document U		
3	new	10/10/2024	new	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale		
4	iowhfow	1/10/2024	iowhfow	upload_doc	internal_gui	completed	10-10-2024	Ketki Bhale		
5	Petty Cash	11/10/2024	Petty Cash	upload_doc	internal_gui	completed	11-10-2024	tushar dalal		
6	Test	1/10/2024	Test	upload_doc	internal_gui	completed	11-10-2024	Bhushan A		
7	RBI MD	27/12/1998	RBI MD	upload_doc	internal_gui	completed	14-10-2024	Tony Tom		
8	Small example	16/10/2024	Small exam	upload_doc	internal_gui	completed	16-10-2024	Tony Tom		

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