


# Complieaze



A GenAI assistant to make  
regulatory compliance easy.

## User Manual

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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.

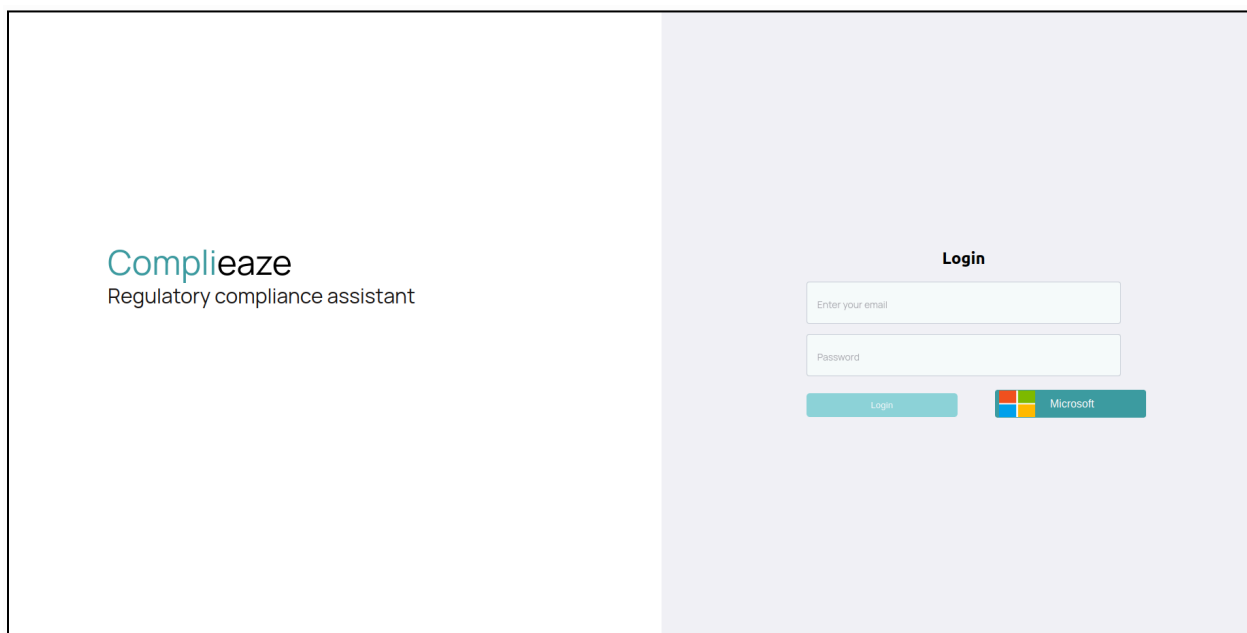
This manual is your comprehensive guide to navigating and utilizing the chatbot effectively, ensuring you get the most out of its capabilities for all your compliance needs.

## 1. Getting Started

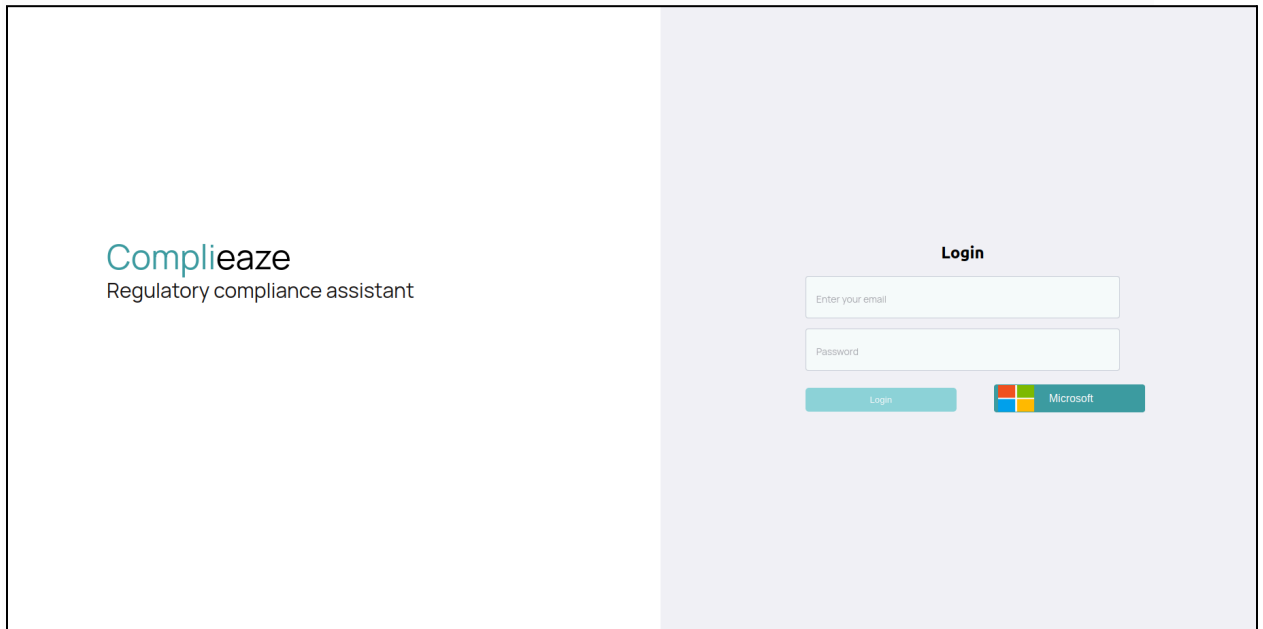
### Accessing the Chatbot

To access Complieaze application :

- Open your web browser and navigate to <https://complieaze.ai>



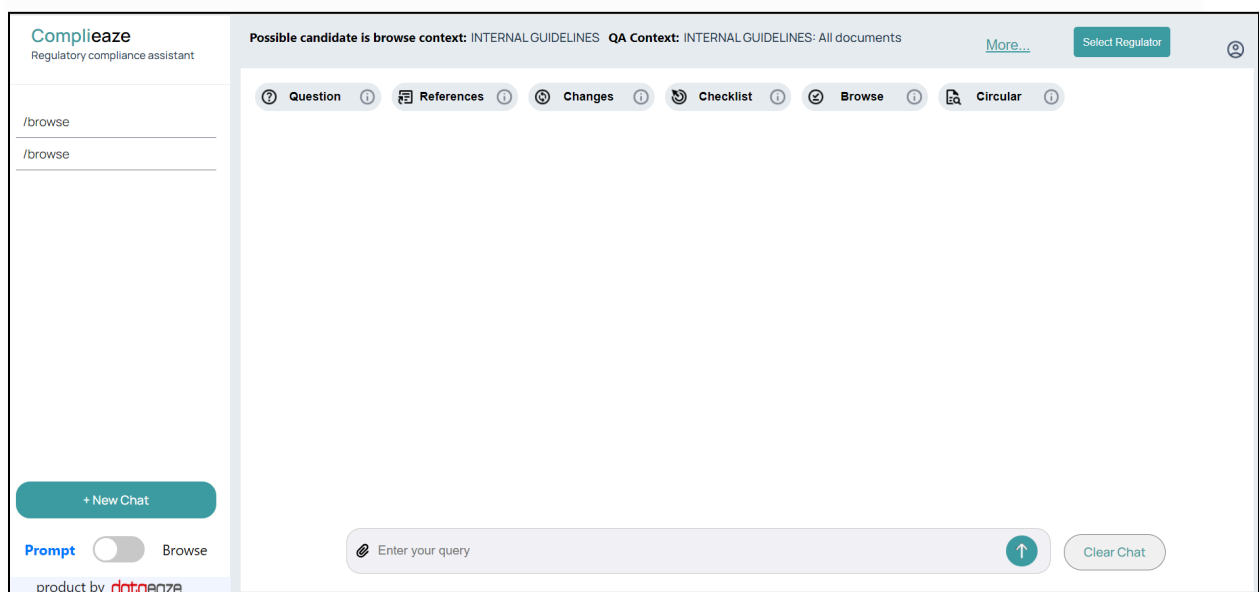
- Click on the Microsoft login button



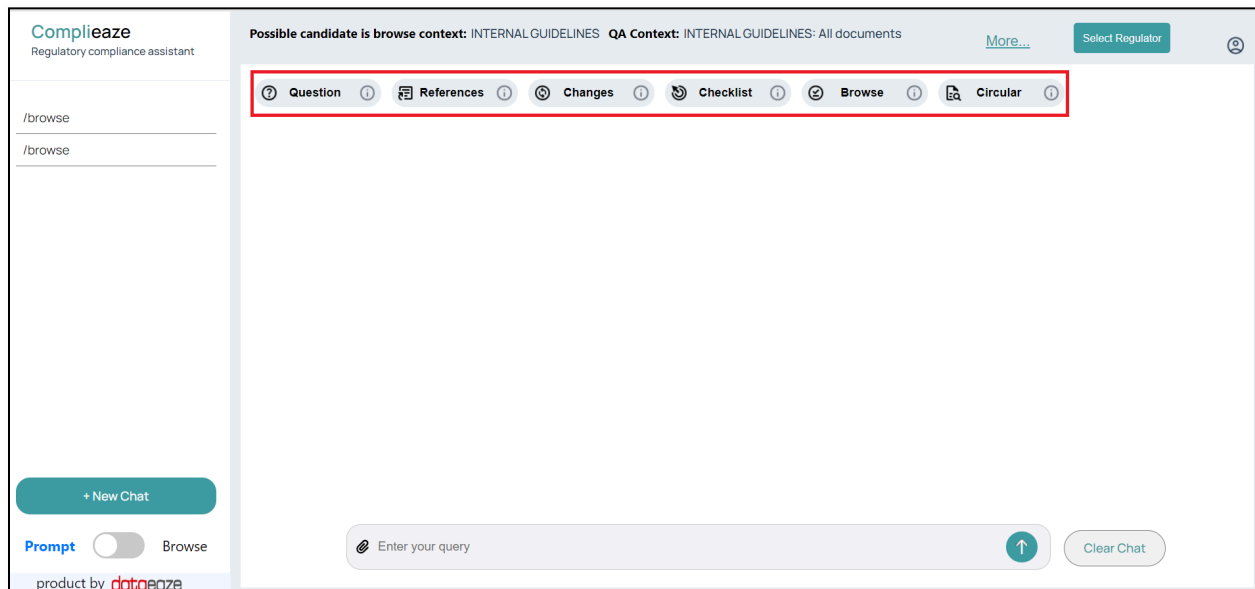
## Chat Interface Overview

Once the chatbot interface is open:

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



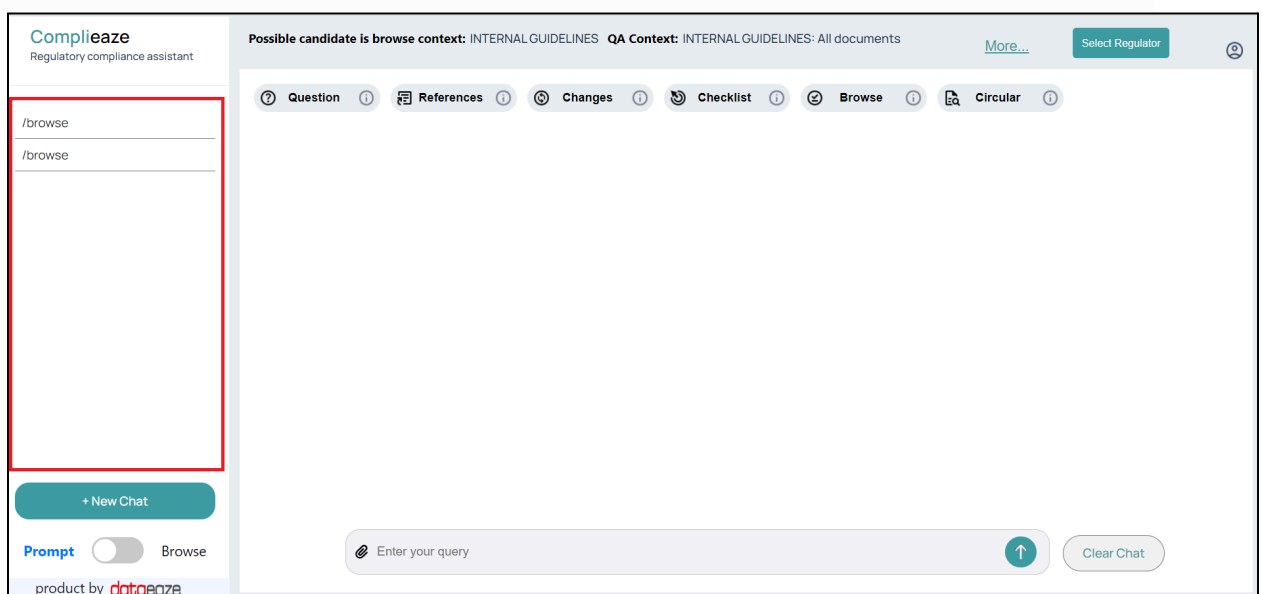
- The chatbot has preset options for common inquiries related to regulatory compliances.



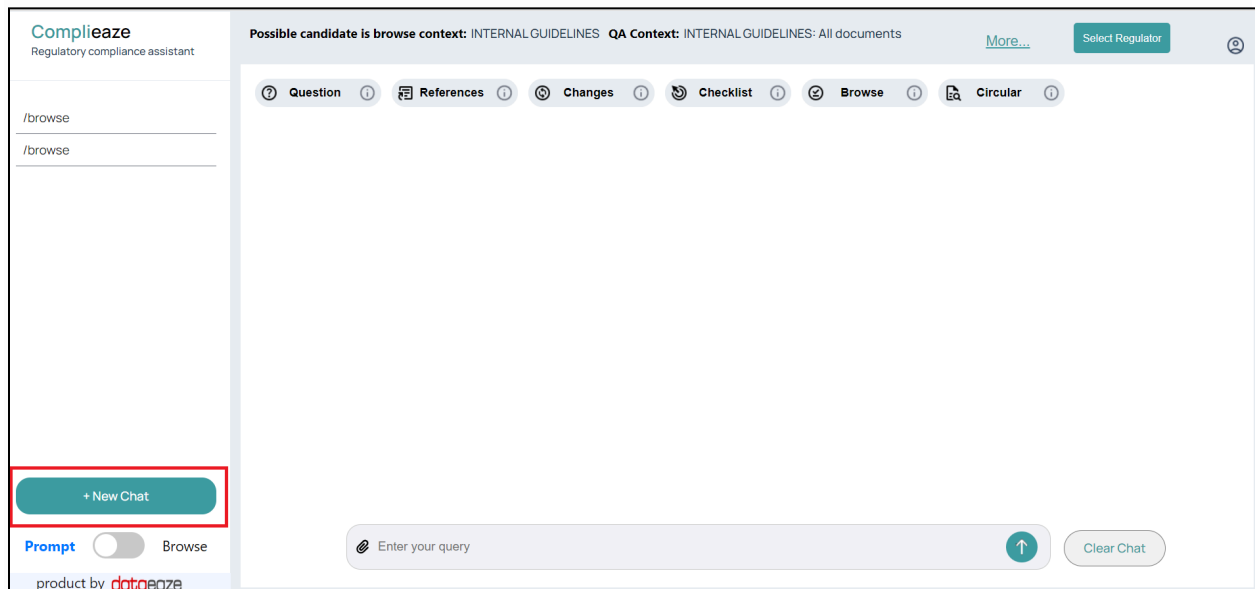
## 2. Using the Chatbot

### Recent Chat

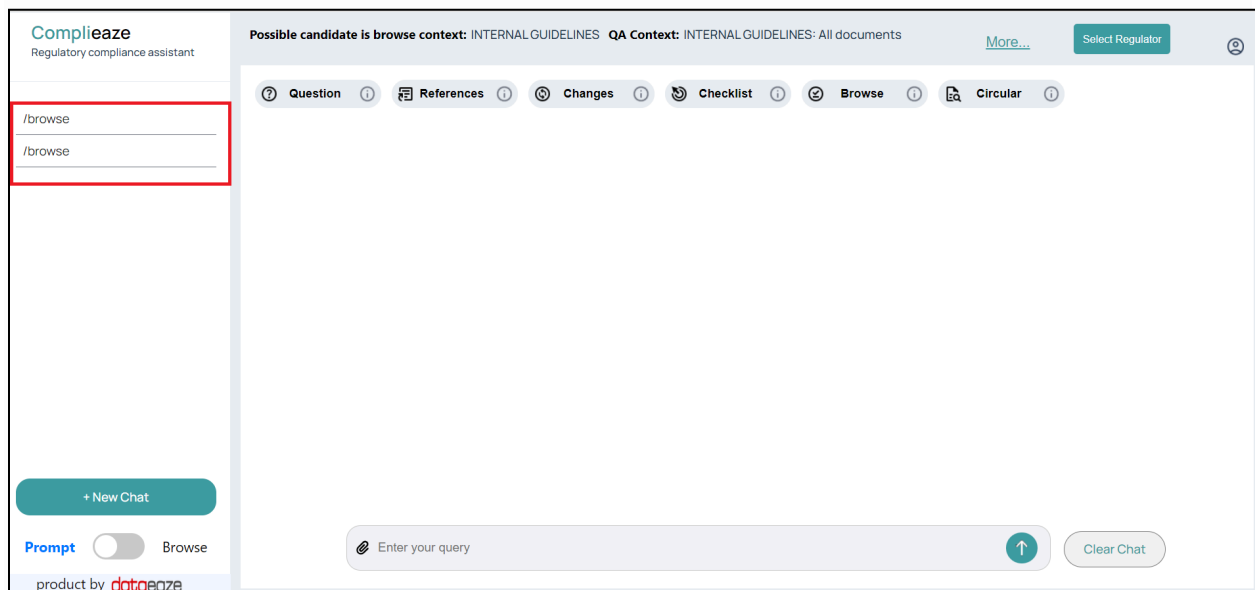
2.1 The left section displays Quick access to your recent chats.



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



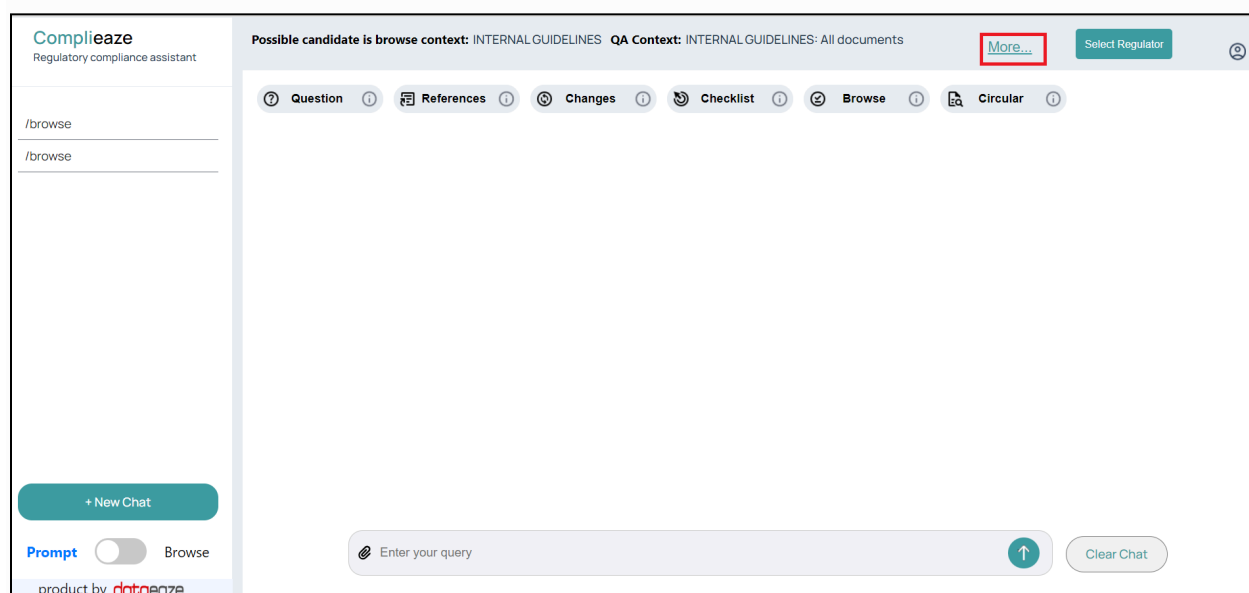
2.2.1 Users can visit the recent chat box at the left side for fast access to their previous searches.



## Quick Summary of documents present in the database

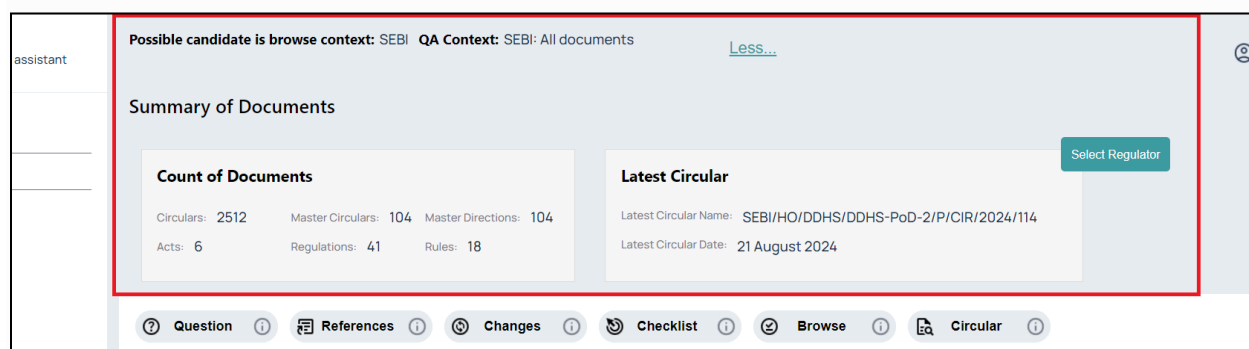
2.3 The quick summary provides an overview of the regulator, highlighting key statistics such as its name, the number of Acts, Circulars, and General Orders. For

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

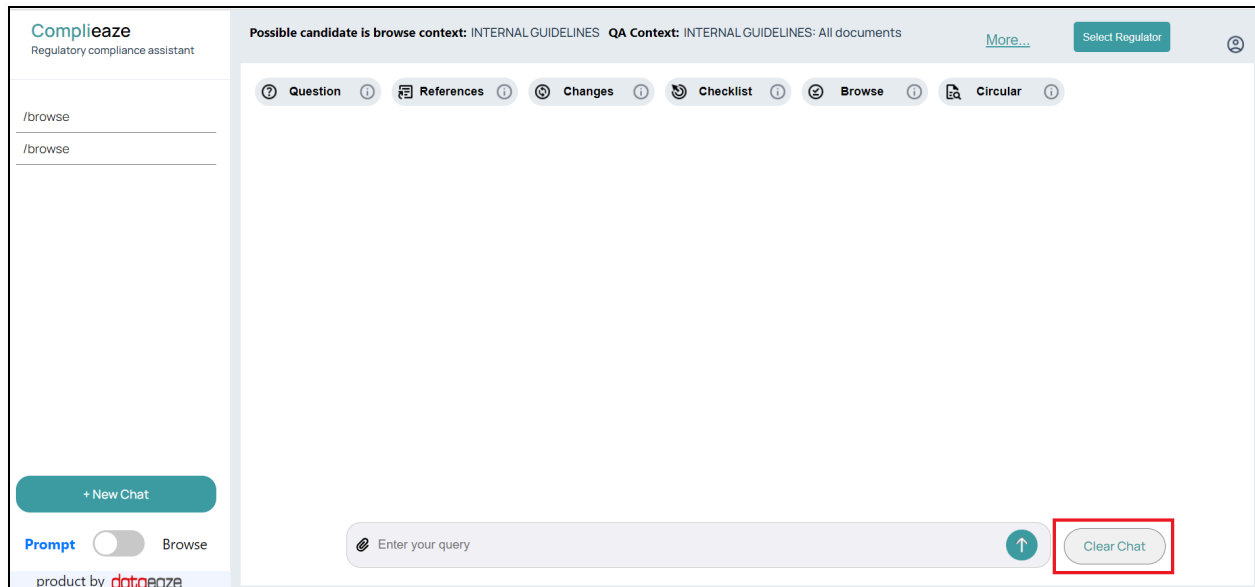


2.3.1 Clicking the "more" button provides users with a detailed summary of the regulator, including the total number of circulars issued, the title and date of the most recent circular, the count of master circulars, QA Context, and the number of master directions relevant to the regulator.

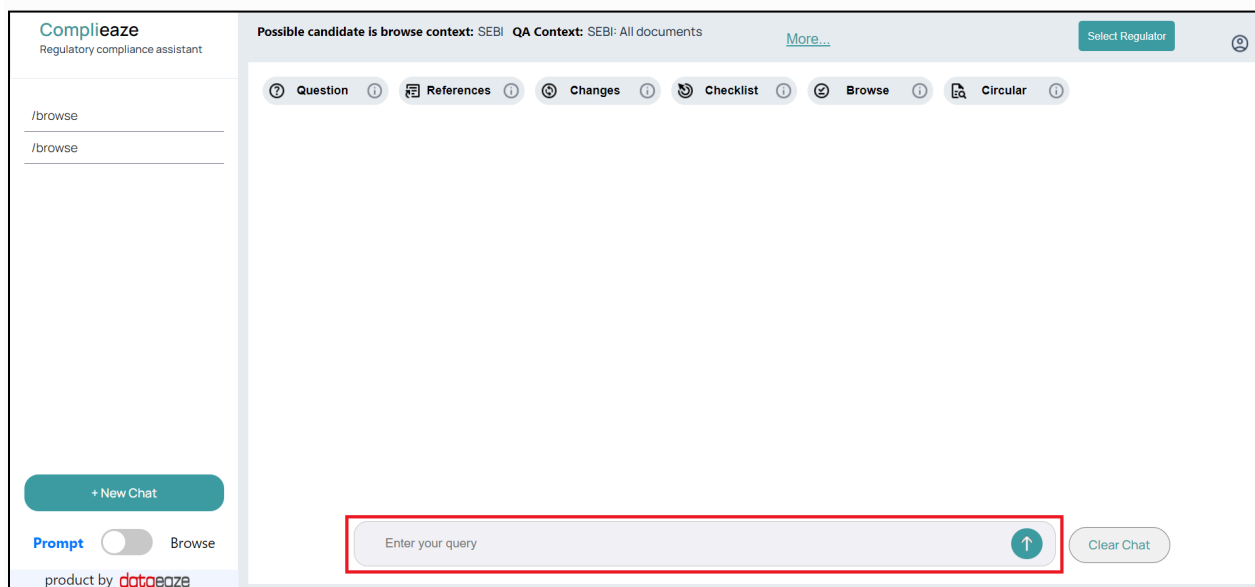
This feature keeps users informed with essential and current regulatory information at a glance.



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

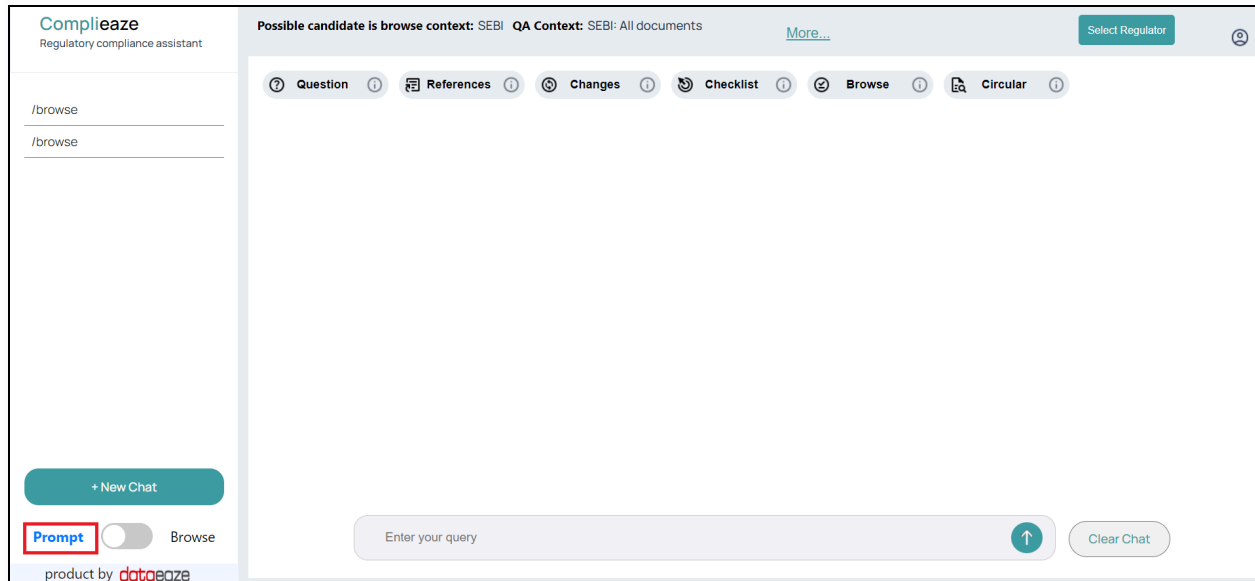


2.5 Users can write their question in the input box & click on the up arrow button ( submit button ) to submit any query.



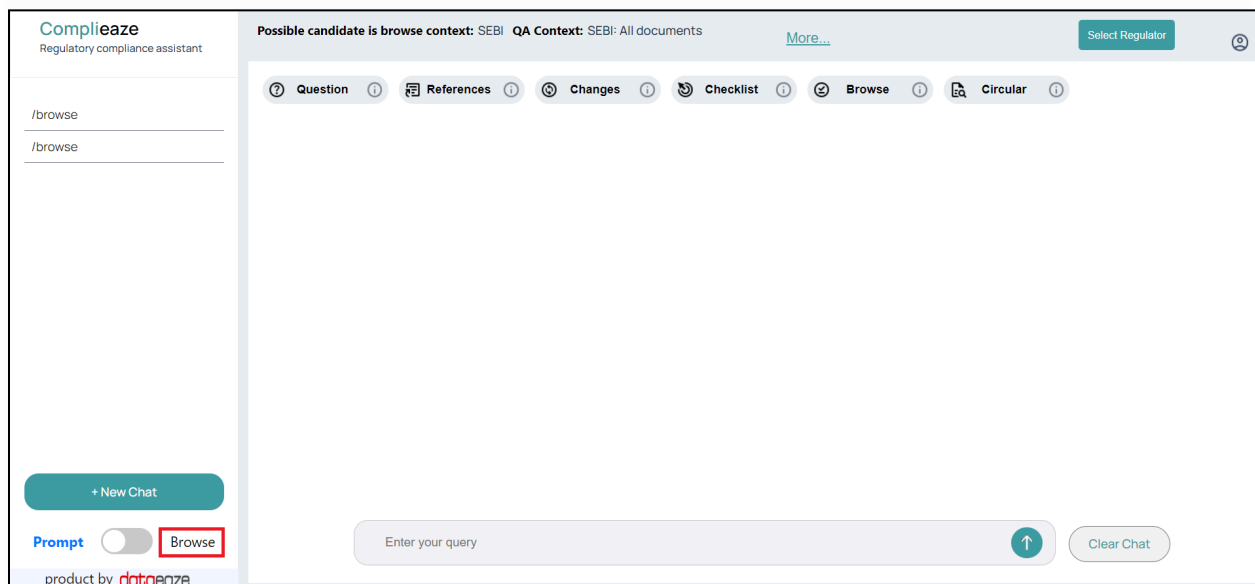
2.6 Users can toggle between Prompt and Browse screens by selecting the appropriate option from the drop down list.





## 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.



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Browse Context: INTERNAL GUIDELINES QA Context: INTERNAL GUIDELINES: All documents [More...](#) [Select Regulator](#)

/browse  
/browse

+ New Chat

Prompt ☐ Browse

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Select timeframe for circulars to search

Start Date  End Date

Type of search

Content Based Search  Enter your input

Clear Search Upload Submit

EXPORT

Sr. No.	Circular Number	Date	Subject	Document Ty...	Regulator	Upload Status	Checklist Tim...	Document U...
1	<a href="#">THE FUGITIVE ECONOMIC OFF</a>	7/31/2018	THE FUGIT...	upload_doc	internal_gui...	completed	10-10-2024...	Bhushan A...
2	<a href="#">new</a>	10/10/2024	new	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
3	<a href="#">new</a>	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	<a href="#">THE FUGITIVE ECONOMIC OFF</a>	31/7/2018	THE FUGIT...	upload_doc	internal_gui...	completed	10-10-2024...	Bhushan A...
2	<a href="#">new</a>	10/10/2024	new	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
3	<a href="#">new</a>	10/10/2024	new	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
4	<a href="#">iowhfow</a>	1/10/2024	iowhfow	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
5	<a href="#">Petty Cash</a>	11/10/2024	Petty Cash	upload_doc	internal_gui...	completed	11-10-2024...	tushar dalal
6	<a href="#">Test</a>	1/10/2024	Test	upload_doc	internal_gui...	completed	11-10-2024...	Bhushan A...

Rows per page: 100 1-8 of 8 < >

/circular Petty Cash



#### Circular Metadata:

Name: [Petty Cash](#)

Date: 11-10-2024

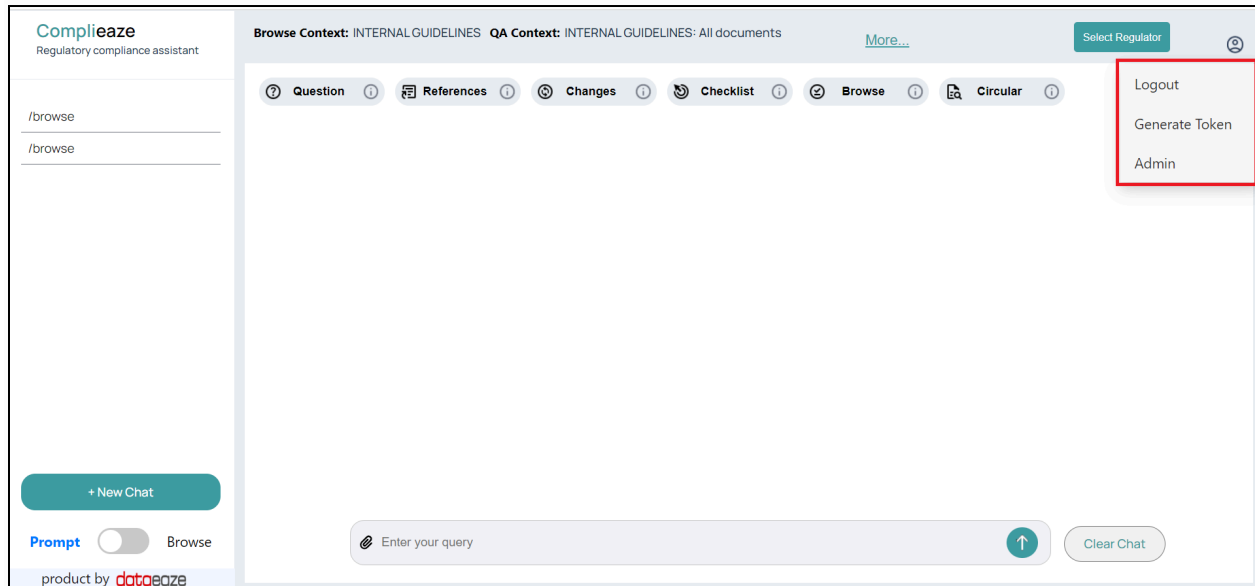
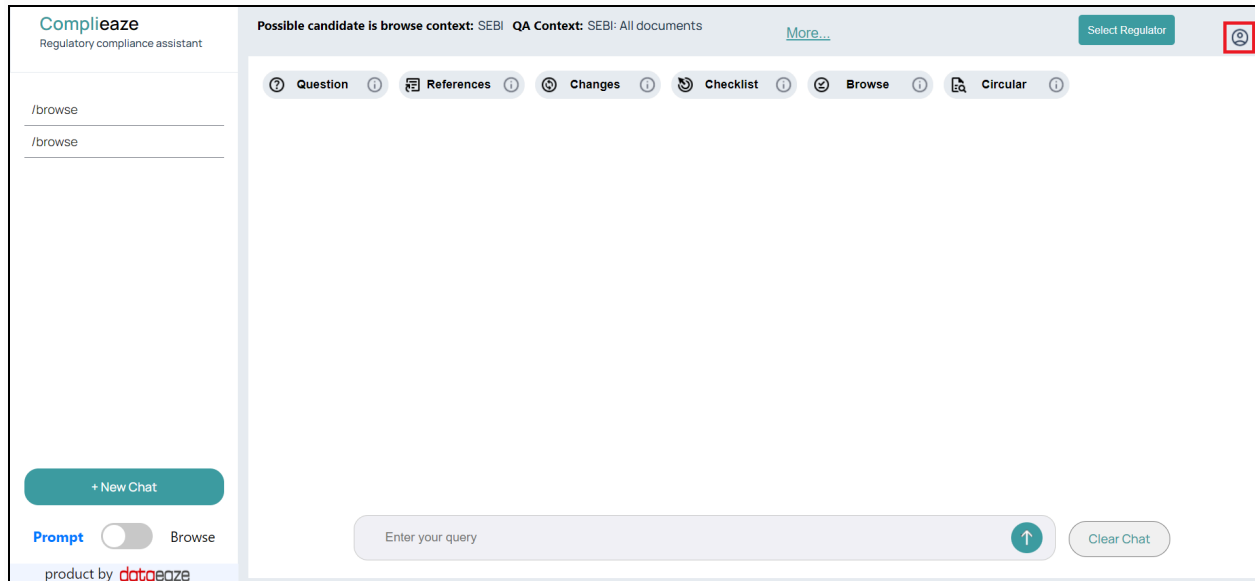
Subject: Petty Cash

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.

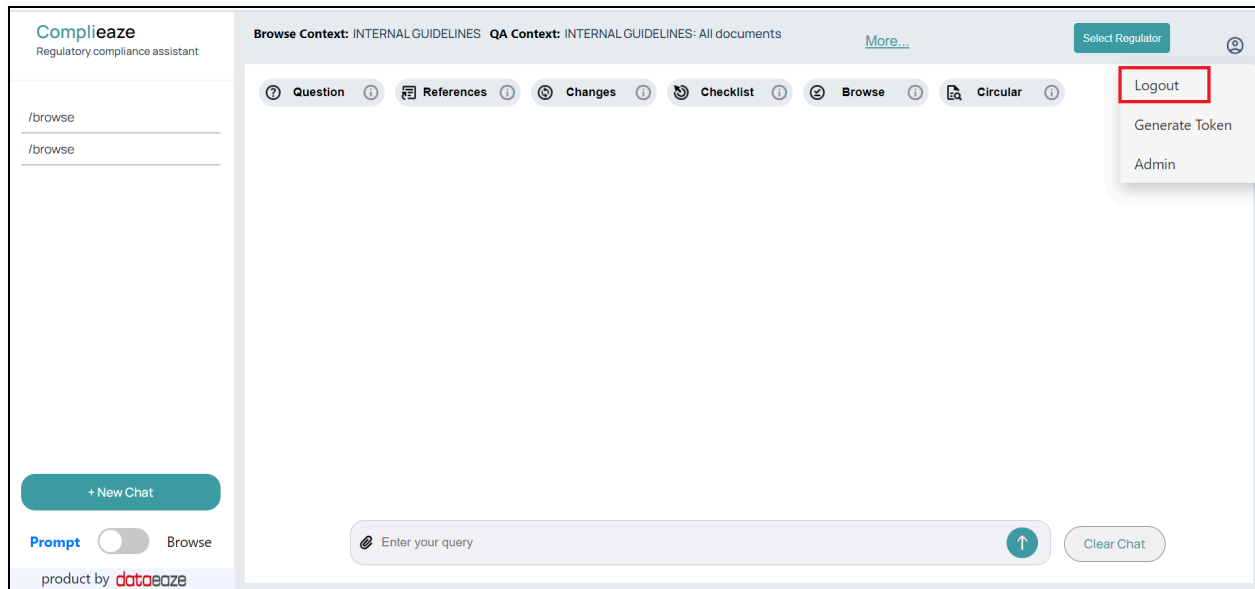
[Checklist](#)

## User Profile Options

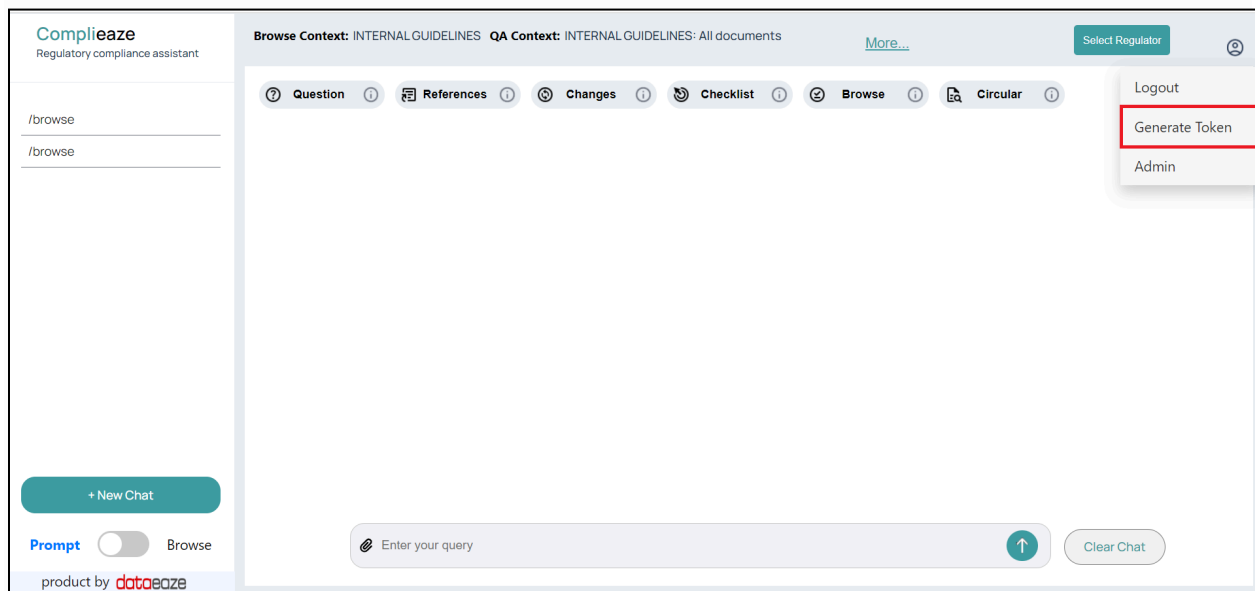
2.9 Users are able to select Logout, Generate Token, Admin options from profile options.

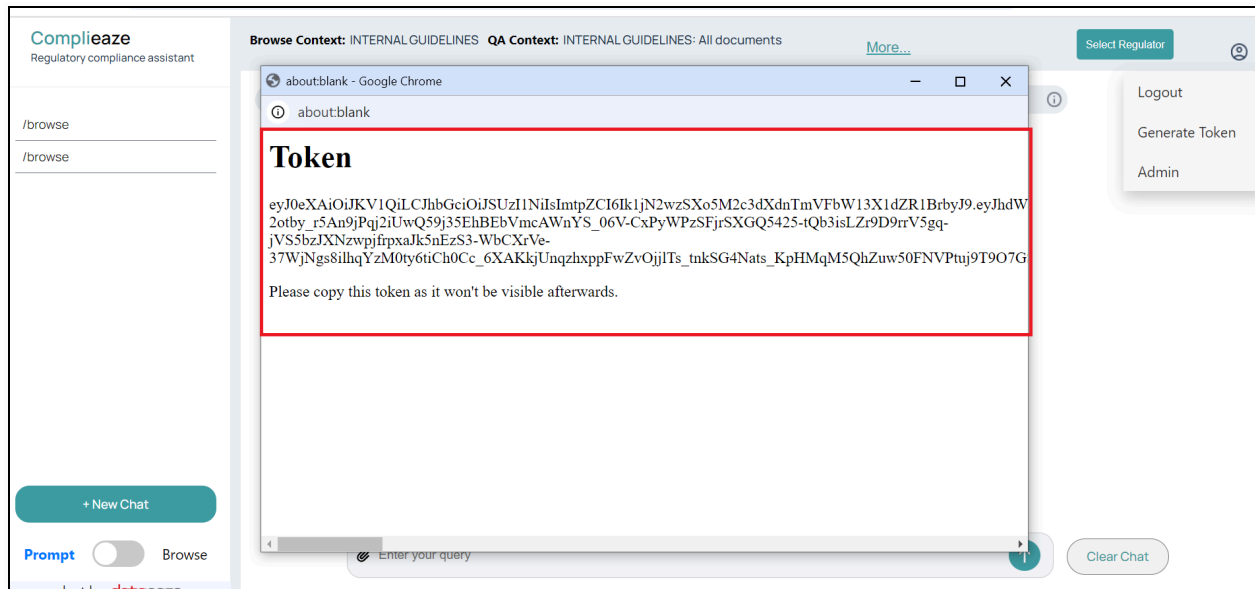


2.10 Users can log out from the application by clicking on the First option 'Logout'.



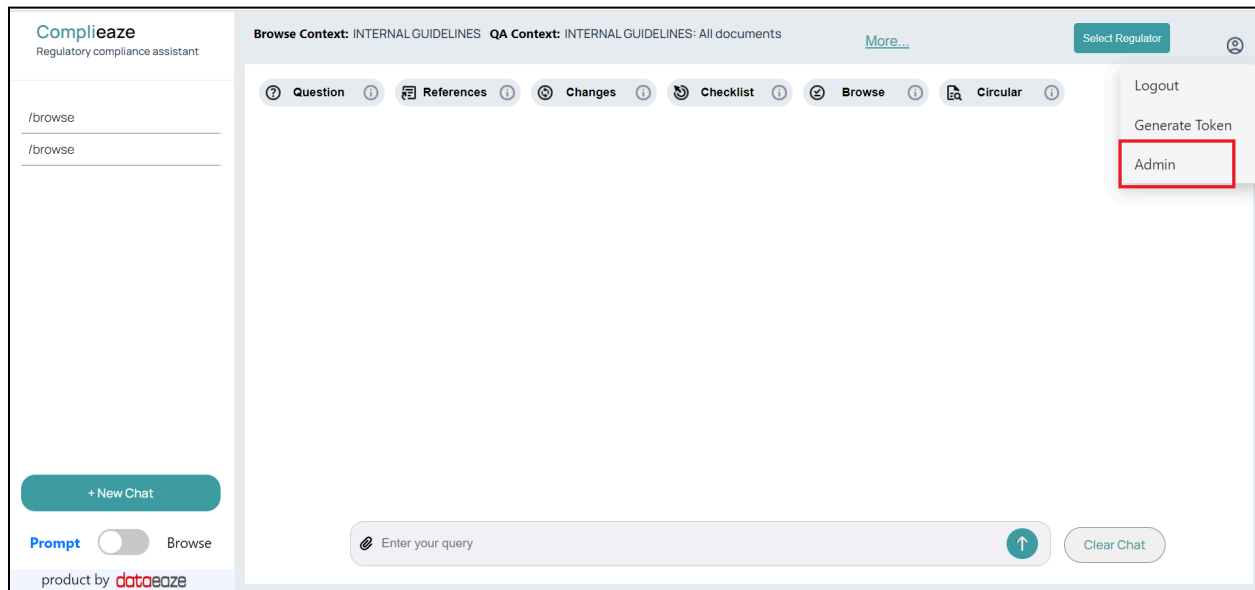
2.11 The Second option of the profile option is Generate Token. This will generate a token that is used for authentication while accessing the application functionalities through APIs.



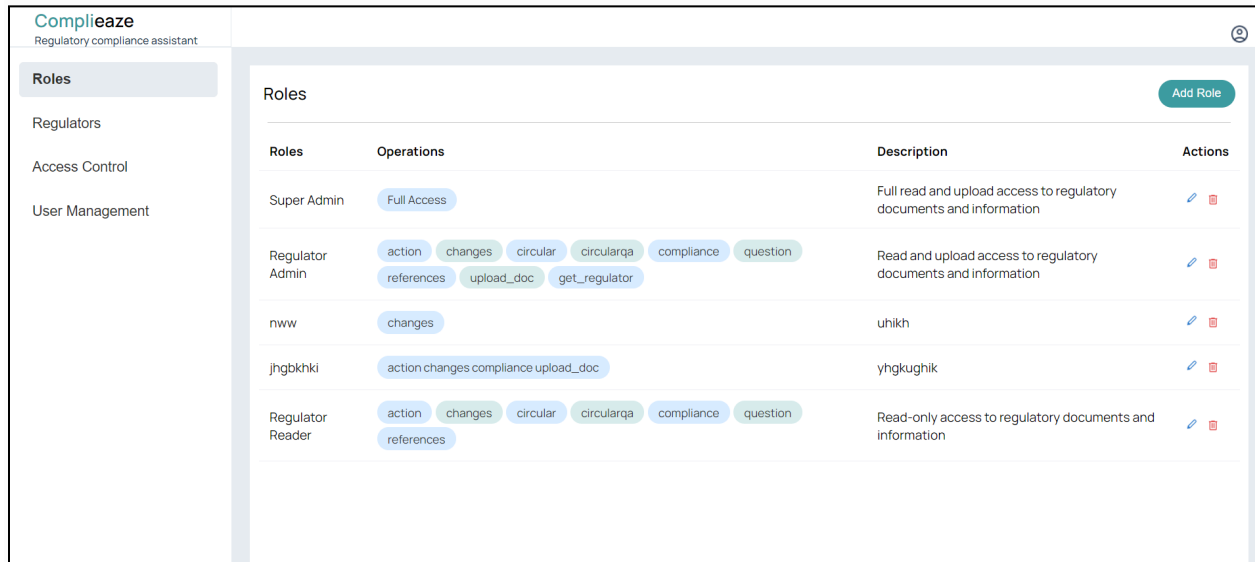


## Admin Feature

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



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

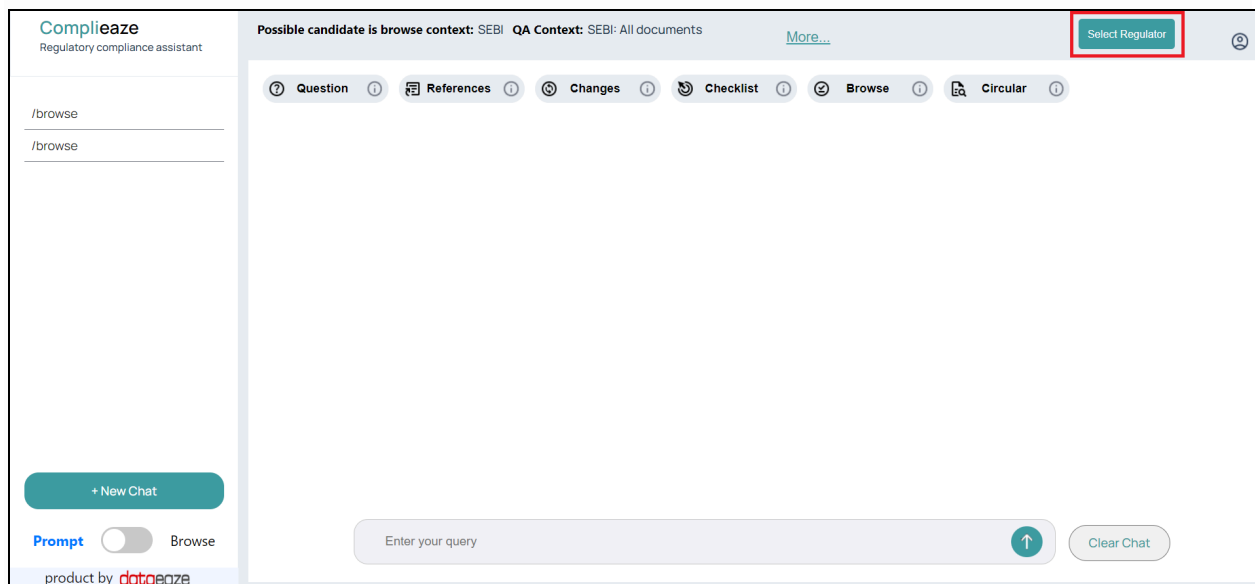


The screenshot shows the 'Roles' management interface in the Complieaze Admin Panel. On the left is a sidebar with navigation links: Roles, Regulators, Access Control, and User Management. The main area displays a table of roles with columns for Roles, Operations, Description, and Actions. An 'Add Role' button is in the top right corner.

Roles	Operations	Description	Actions
Super Admin	Full Access	Full read and upload access to regulatory documents and information	<a href="#">Edit</a> <a href="#">Delete</a>
Regulator Admin	action, changes, circular, circularqa, compliance, question, references, upload_doc, get_regulator	Read and upload access to regulatory documents and information	<a href="#">Edit</a> <a href="#">Delete</a>
nww	changes	uhikh	<a href="#">Edit</a> <a href="#">Delete</a>
jhgkxhki	action changes compliance upload_doc	yhgkughik	<a href="#">Edit</a> <a href="#">Delete</a>
Regulator Reader	action, changes, circular, circularqa, compliance, question, references	Read-only access to regulatory documents and information	<a href="#">Edit</a> <a href="#">Delete</a>

## Select Regulators

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



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Regulatory compliance assistant

/browse

/browse

+ New Chat

Prompt ☐ Browse

product by **dataeaze**

Browse Context: SEBI QA Context: SEBI: All documents [More...](#)

Select Regulator

Question References Changes Checklist Browse Circular

Regulator

SEBI

Submit

Enter your query

Clear Chat

**Complieaze**  
Regulatory compliance assistant

/browse

/browse

+ New Chat

Prompt ☐ Browse

product by **dataeaze**

Browse Context: SEBI QA Context: SEBI: All documents [More...](#)

Select Regulator

Question References Changes Checklist Browse Circular

Regulator

SEBI

☒ SEBI

☐ RBI

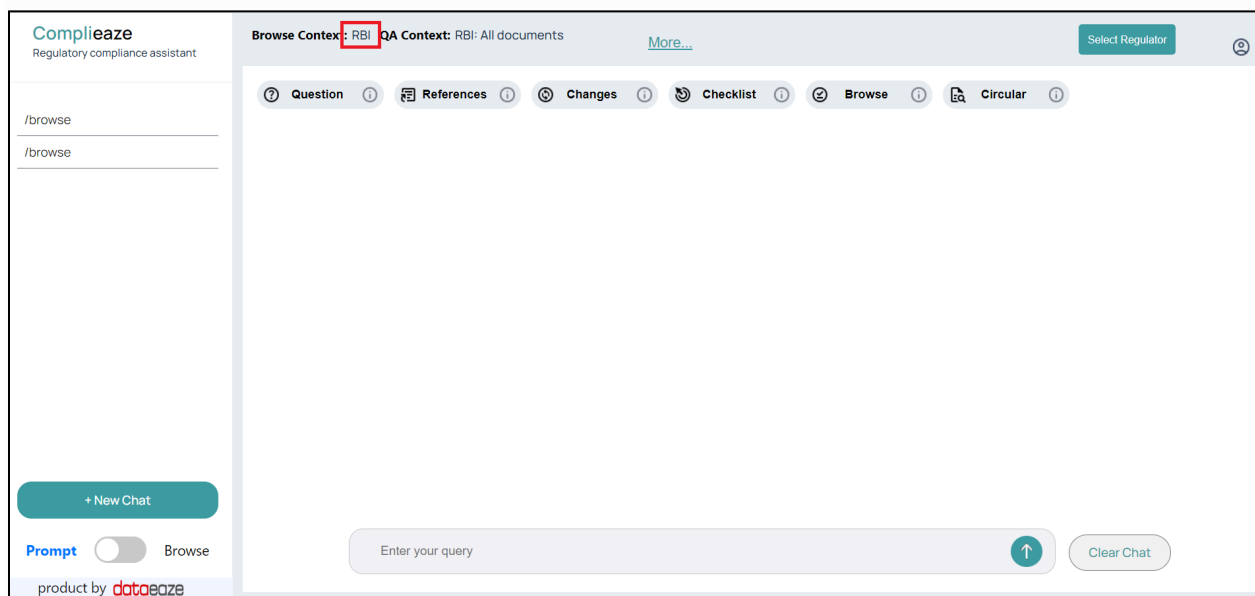
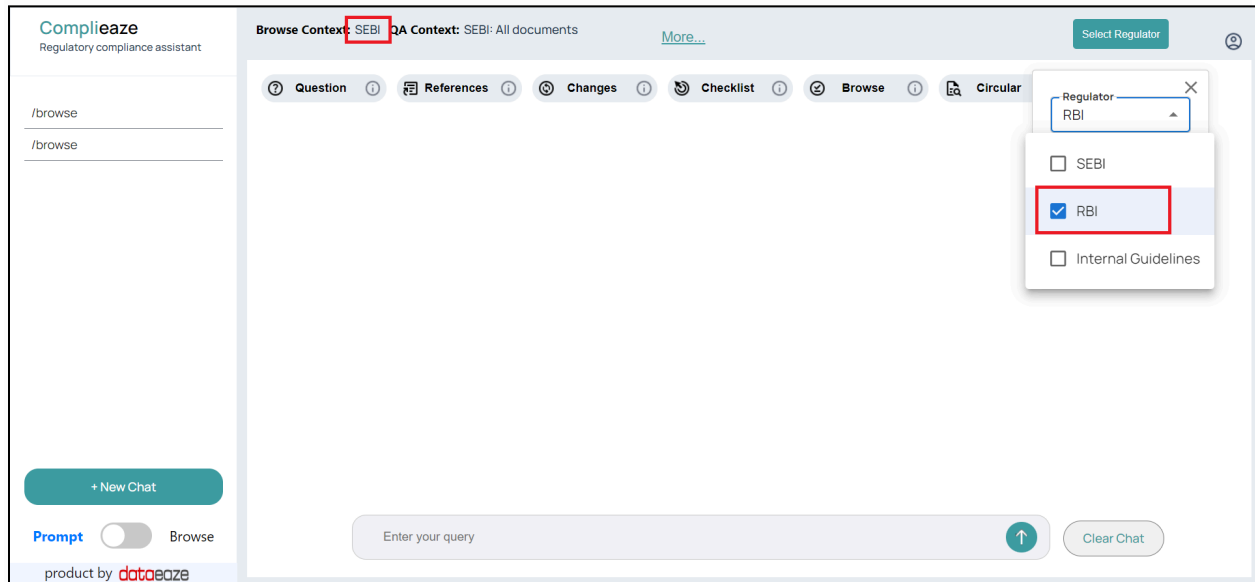
☐ Internal Guidelines

Enter your query

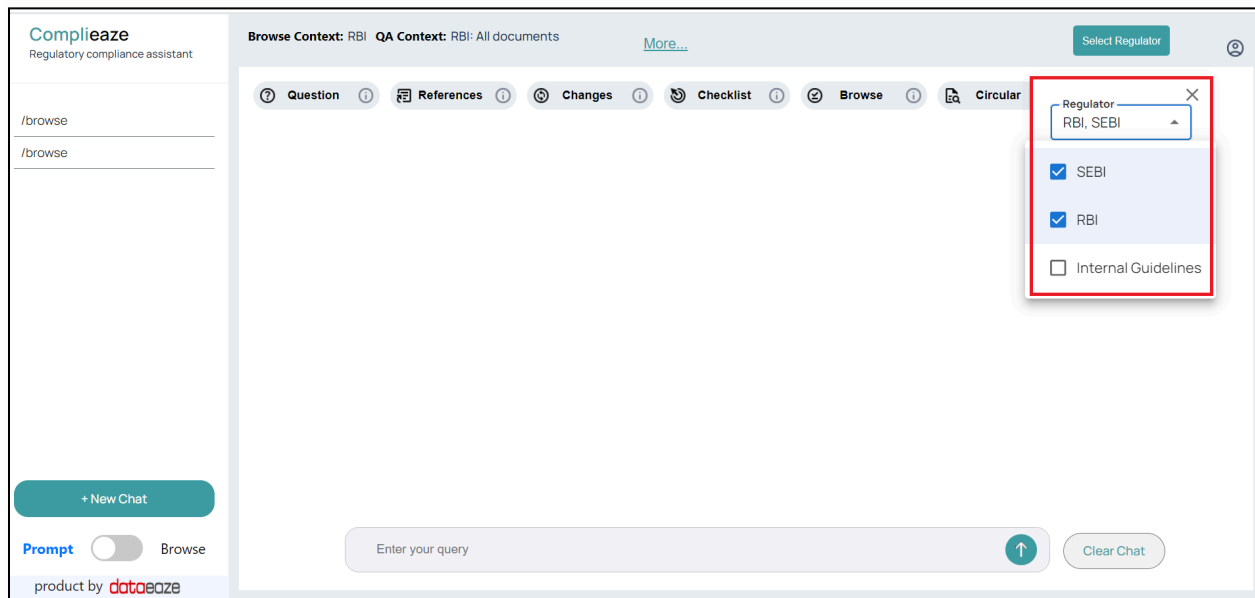
Clear Chat



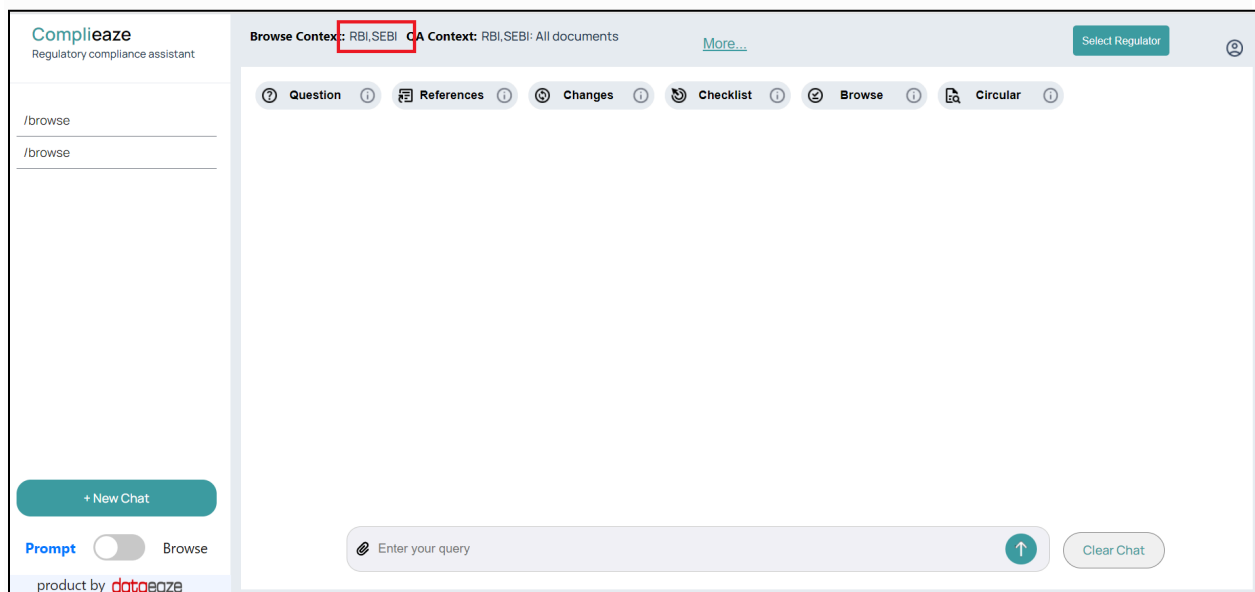
2.15 Then the user can click on the submit button to use other functionalities of the application explicitly for the selected regulator/s.



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

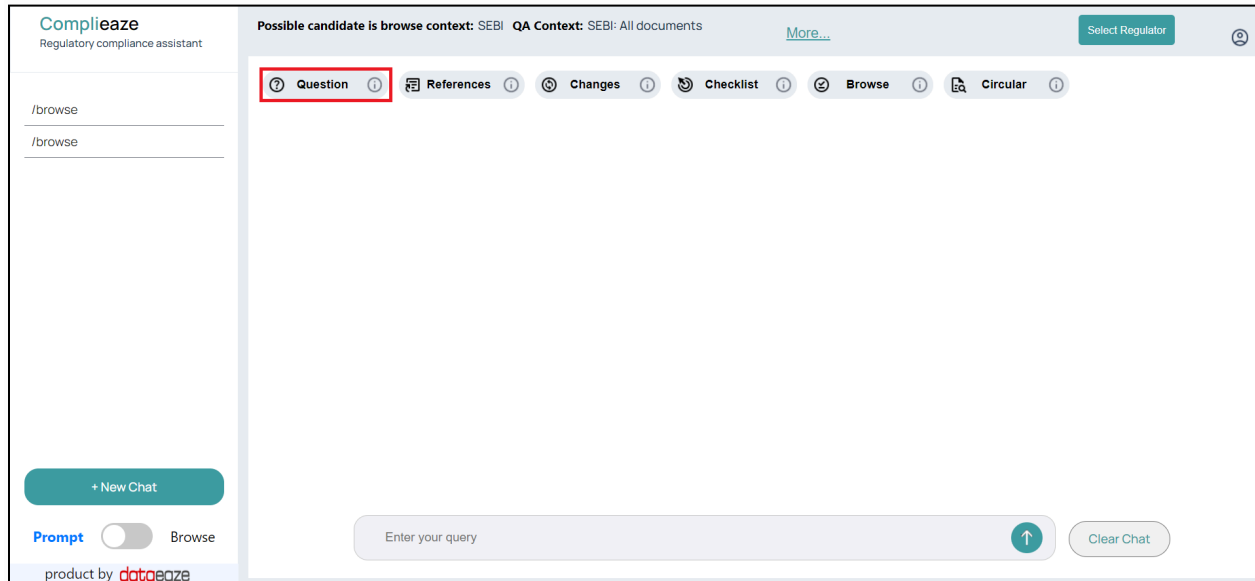


2.16.1 After clicking on the submit button, you will be able to see both the options which you have selected.

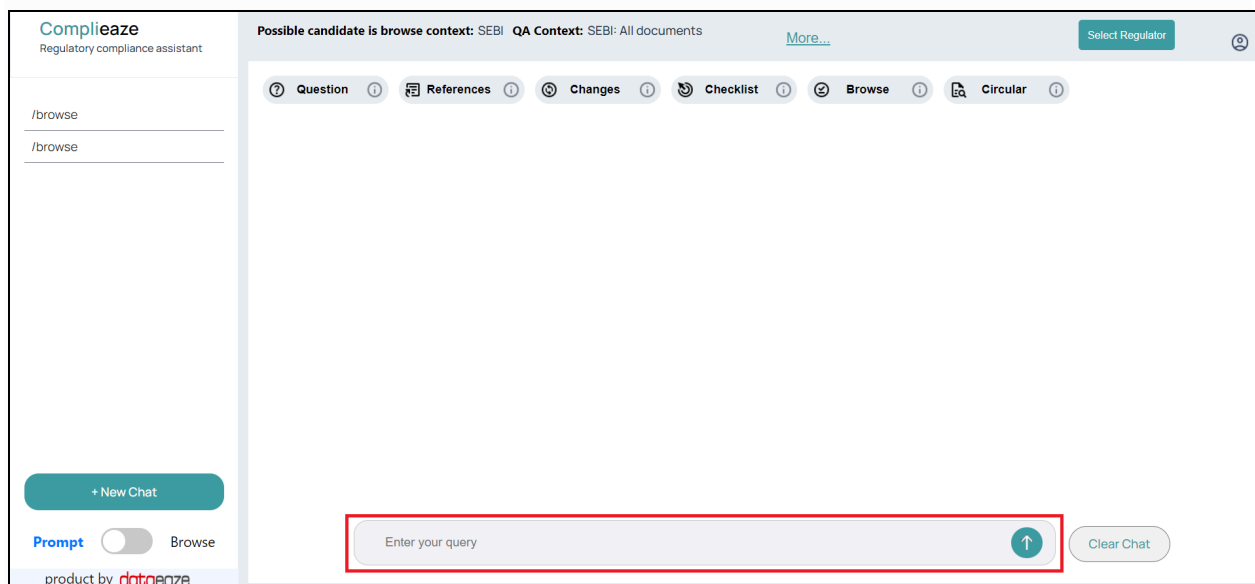


## Question & Answering


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




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



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.

 /question What is Repo Rate?





The most recent context relevant to the definition of the Repo Rate is from the document titled "Liquidity Adjustment Facility - Repo and Reverse Repo Rates" dated 04-10-2016. According to this context, the Repo Rate is the rate at which the Reserve Bank of India (RBI) lends money to commercial banks under the Liquidity Adjustment Facility (LAF). As of the announcement on October 4, 2016, the Repo Rate was reduced by 25 basis points from 6.50 percent to 6.25 percent.


Most relevant context:

- Title: Liquidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1



Sr. Number	PDF Name	Page Number	Date	Download
1	Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2018 [Last amended on August 29, 2024]	5	2018	<a href="#">↓</a>
2	Repurchase Transactions (Repo) (Reserve Bank) Directions, 2018 - Amendment	4	28-11-2019	<a href="#">↓</a>












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.



 Regulatory compliance assistant

Possible candidate is browse context: SEBI QA Context: SEBI: All documents
 [More...](#)

 Question
  References
  Changes
  Checklist
  Browse
  Circular

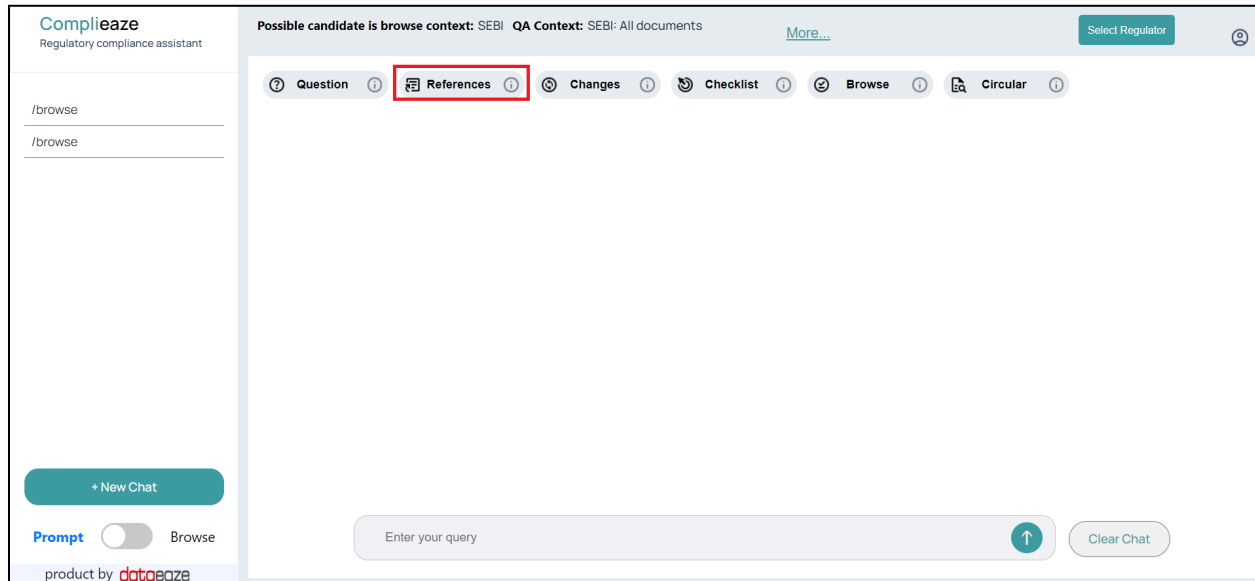


Prompt ☐ Browse

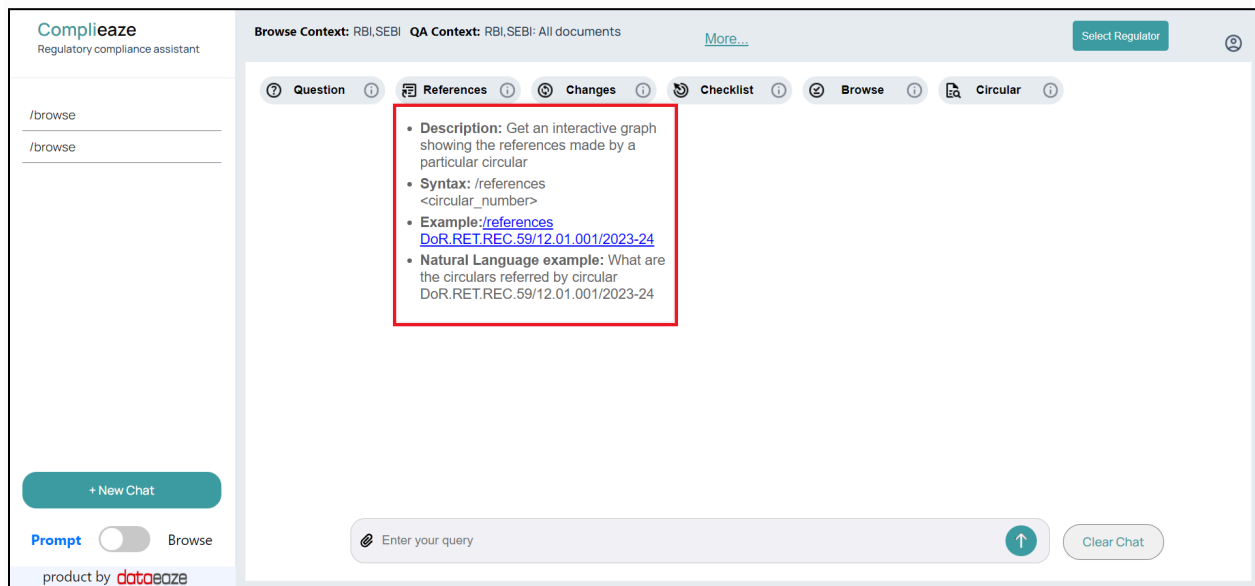
product by dataeaze

## References

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



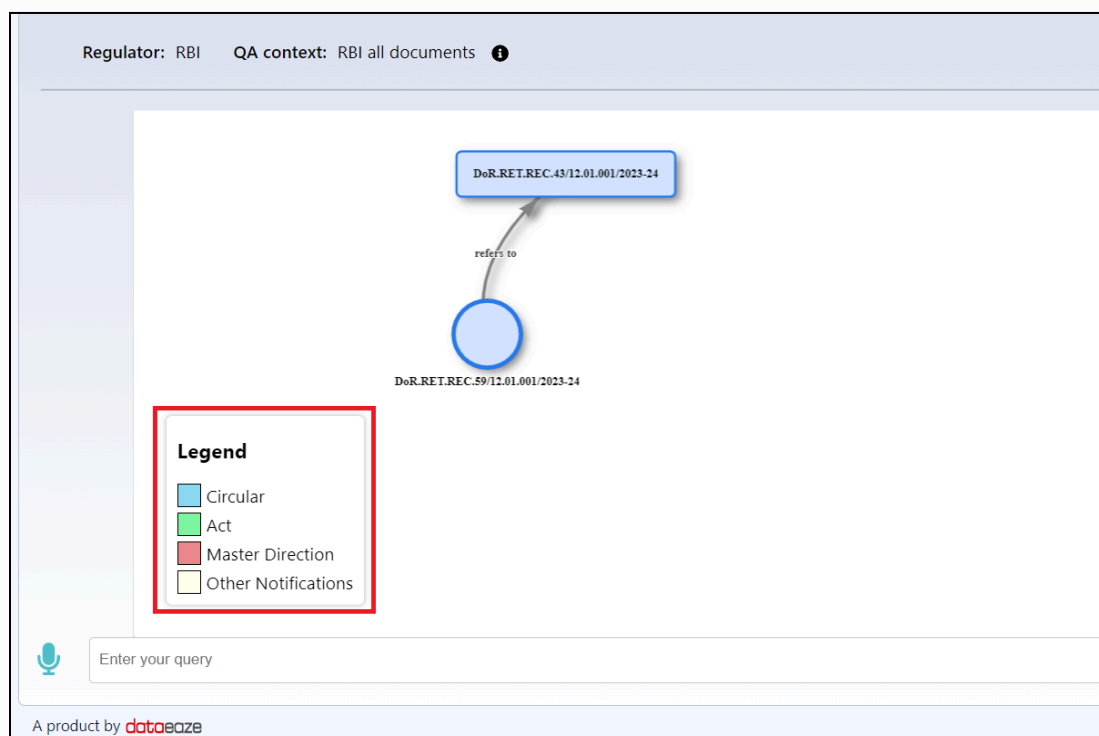
2.18.1 Users can hover their mouse on the references option and can see the help about references.



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

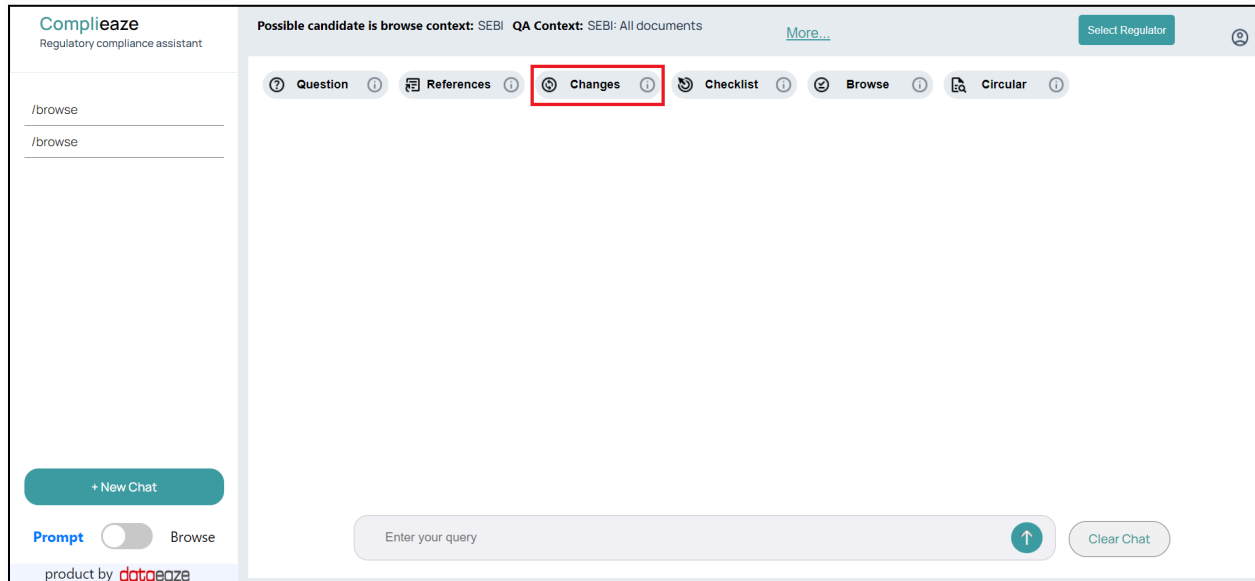


2.18.3 Users can see the document and its reference along with legend (showing circulars, Act, master direction, notification).

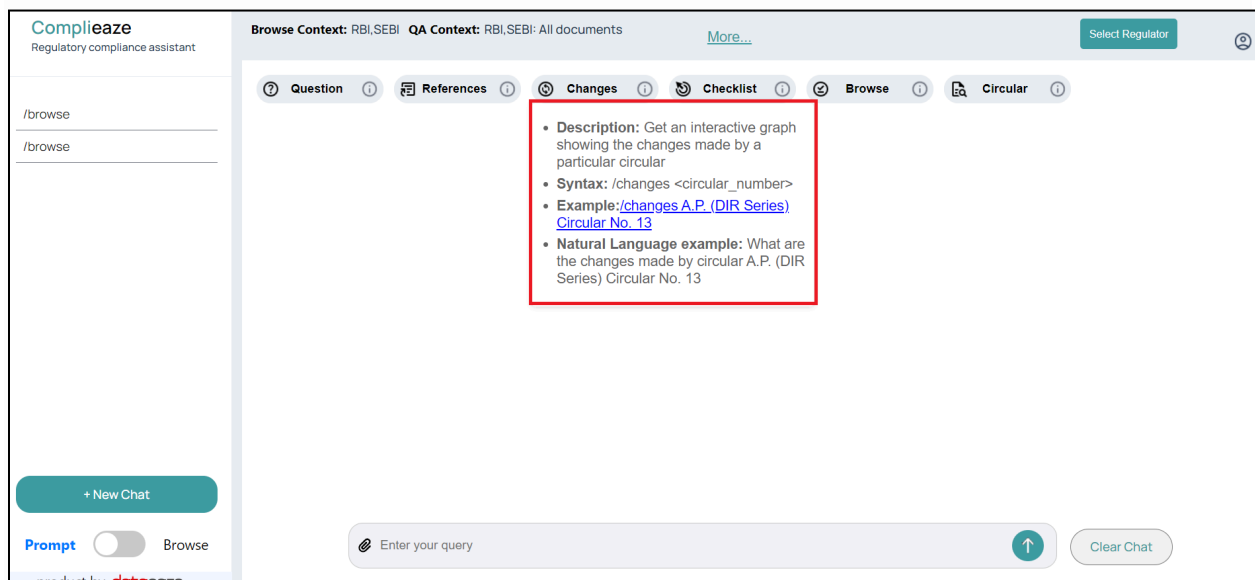


## Changes

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



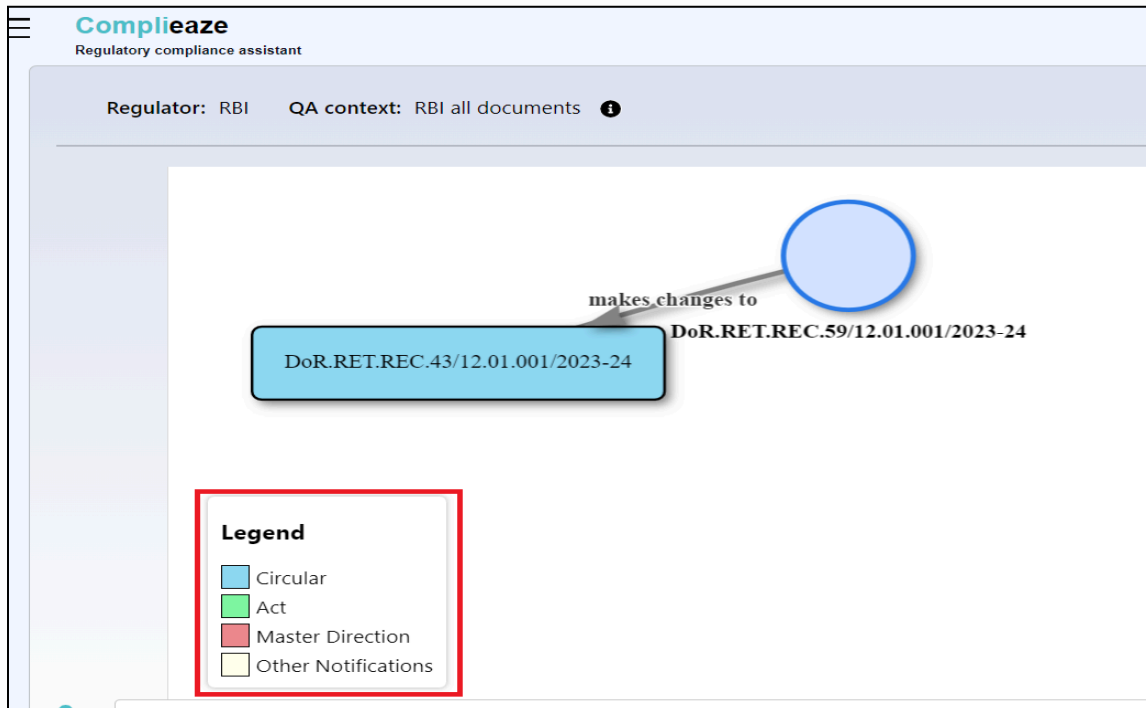
2.19.1 Clicking on 'Changes' opens the Changes help prompt.



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



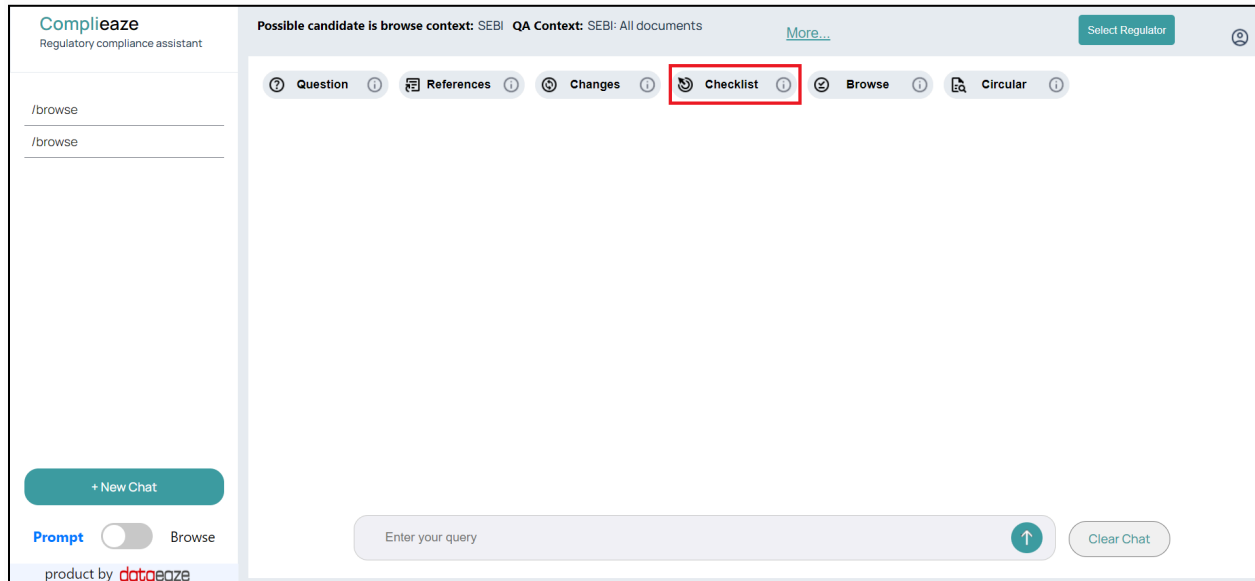
2.19.3 Users will be able to view the document and its changes along with legend (showing circulars, Act, master direction, notification).



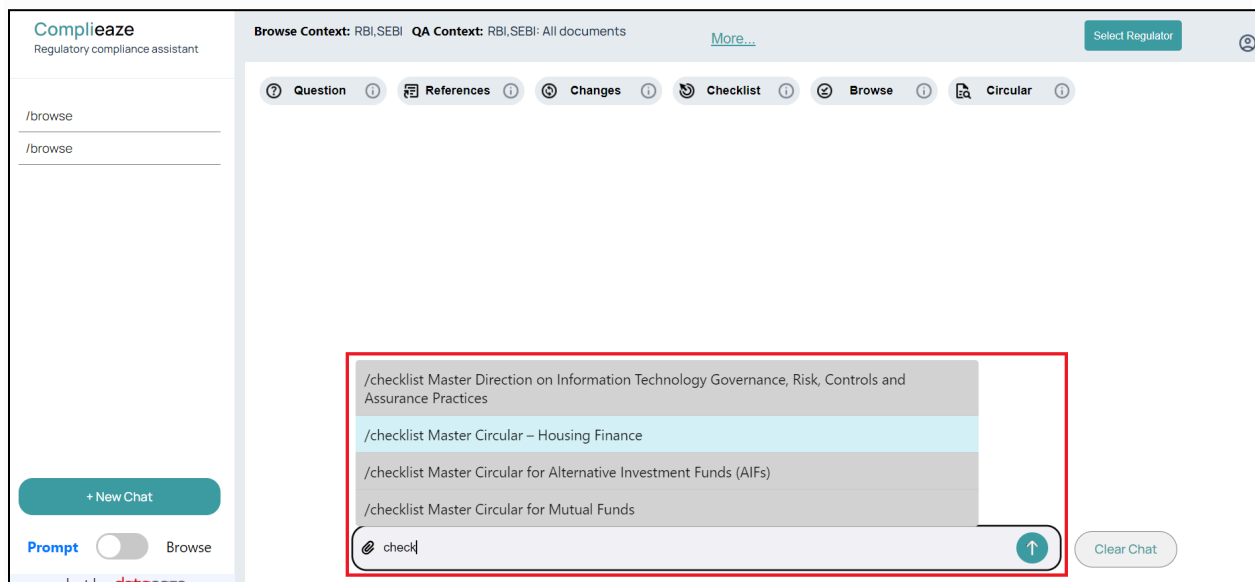


## Checklist

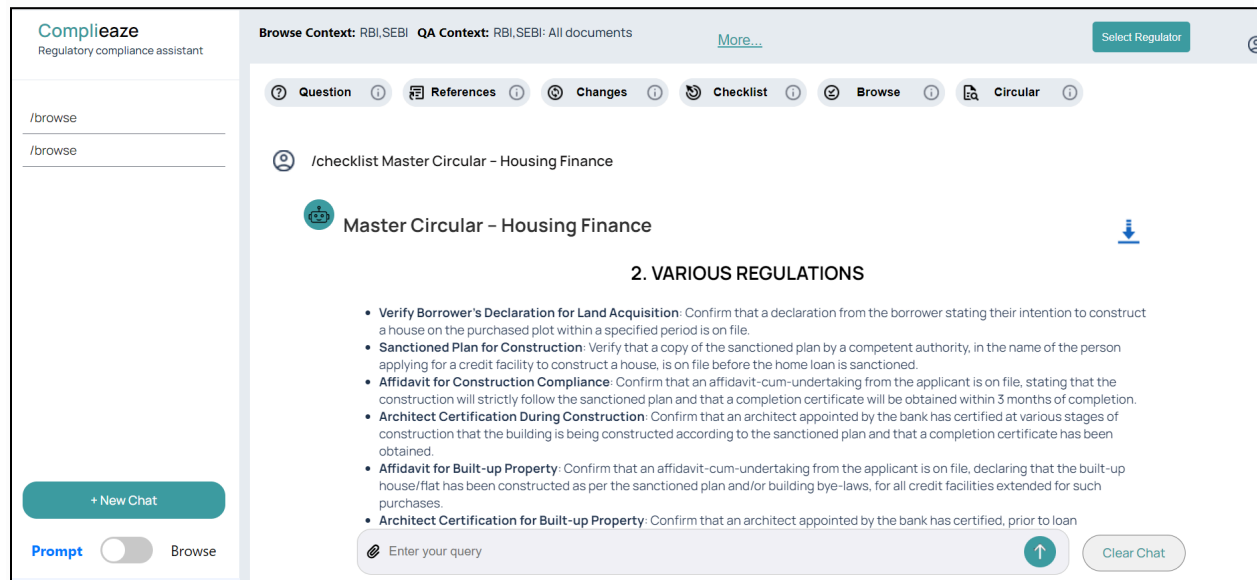
2.20 Now users can have a fourth option **Checklist**, where users can get the checklist for a specified document.



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

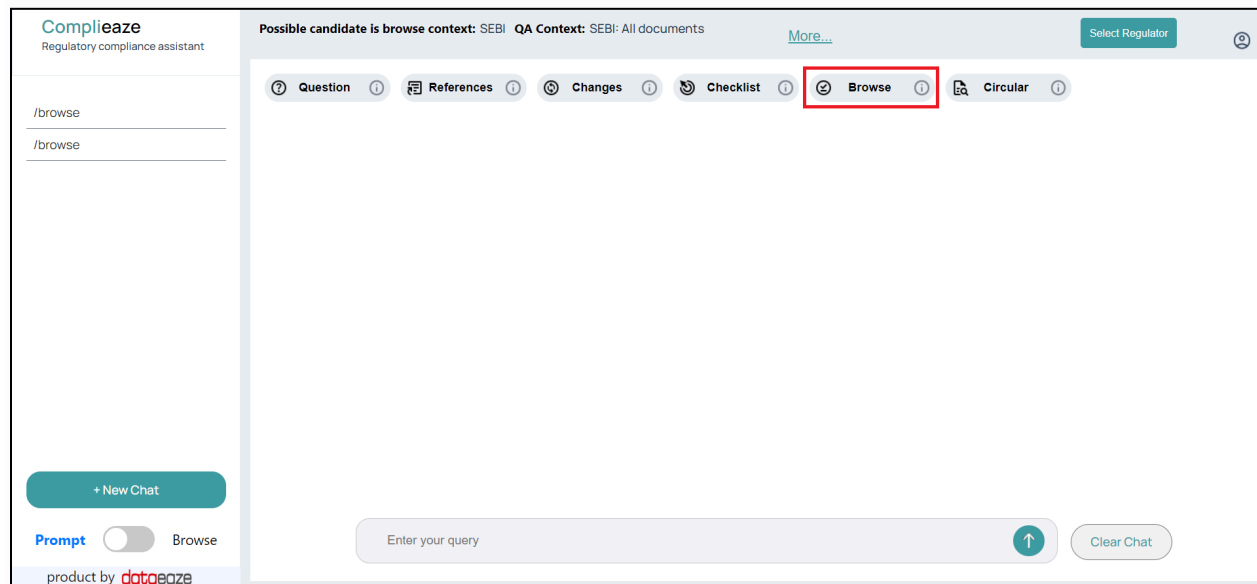


## 2.20.2 Users can hit enter to see the checklist of the specified document.

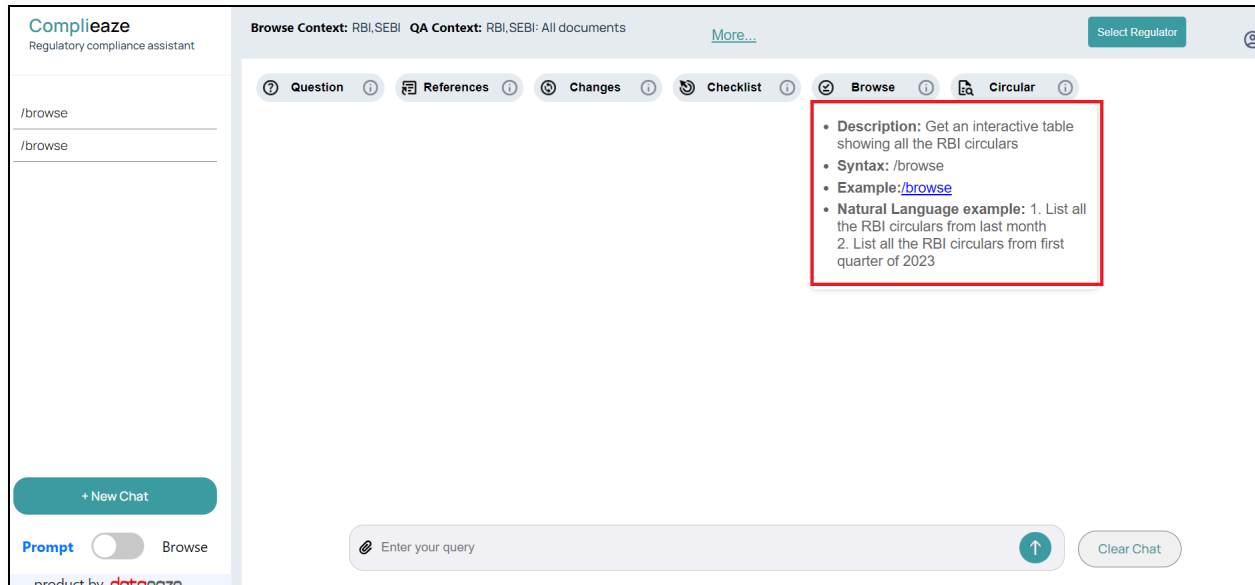


## Browse

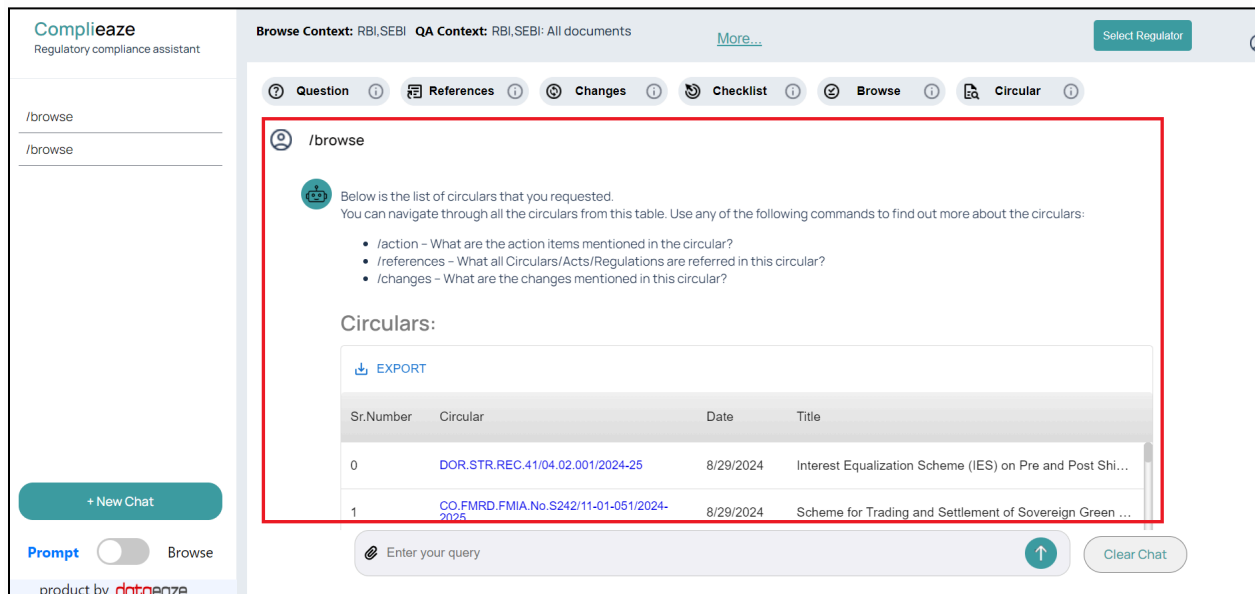
### 2.21 Users can now access a fifth Browse option



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

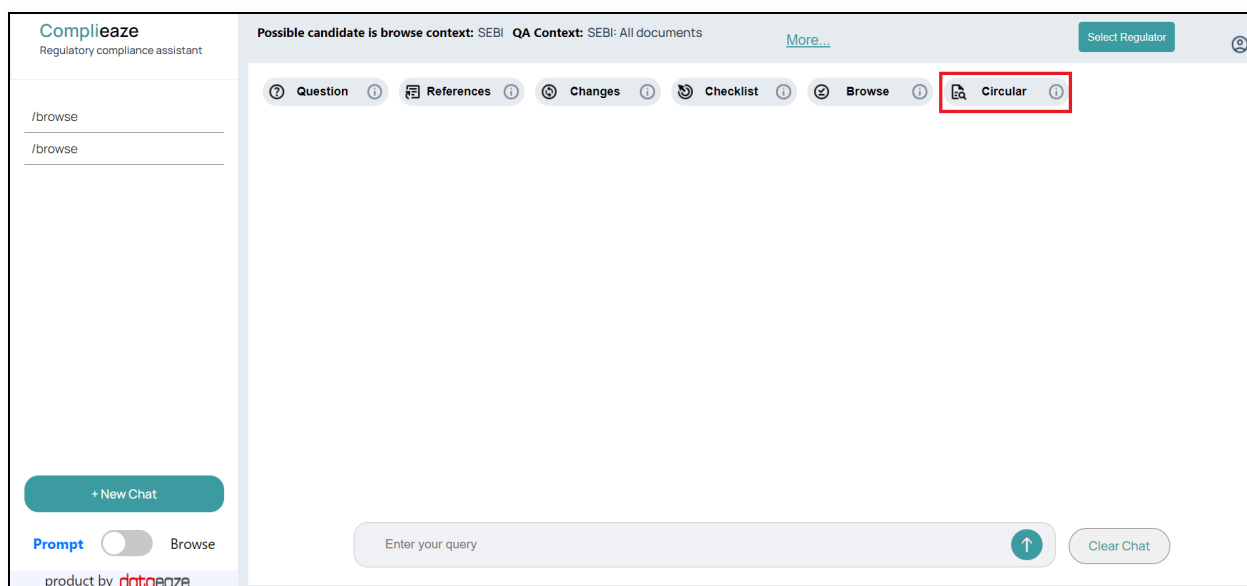


2.21.2 Users can access all the documents from the selected regulator using by using **/browse** command



Talk to a circular

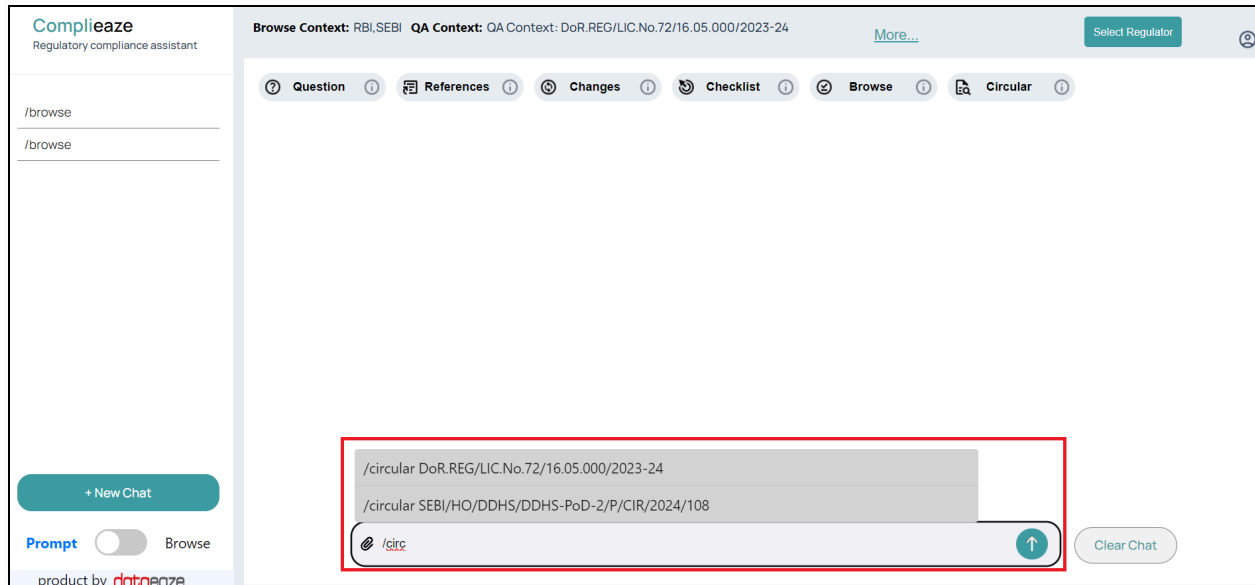
2.22 Users can also query and ask questions on a particular circular with the **/circular** command.



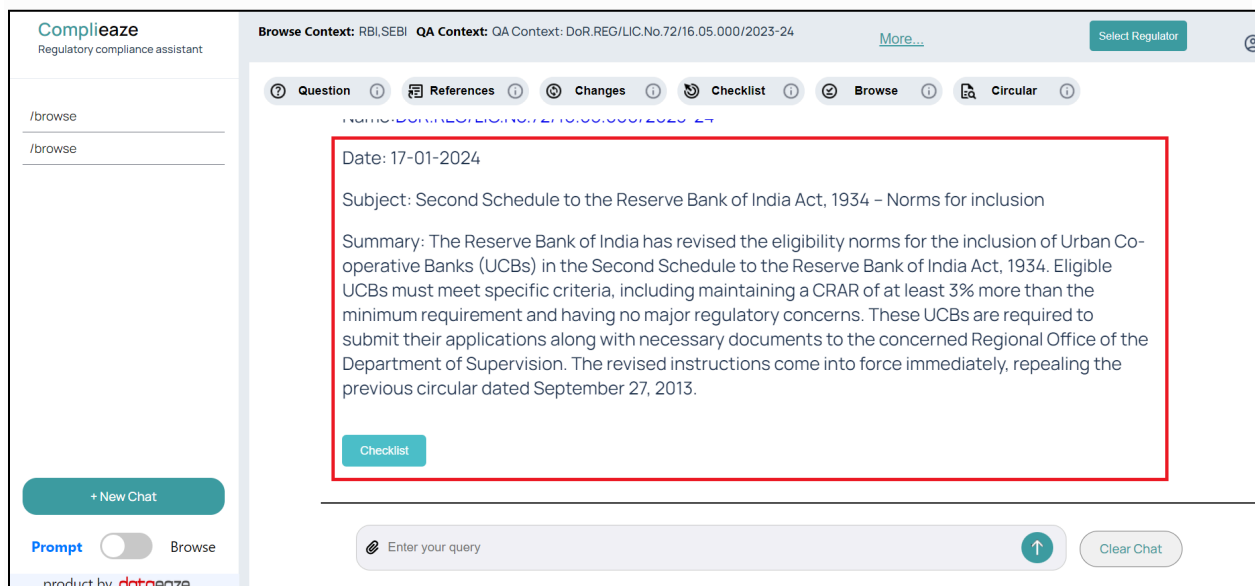
2.22.1 Clicking on 'Circular' opens a help box which shows the info of how to use the circular command.



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



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



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

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Browse Context: RBI, SEBI    QA Context: QA Context: DoR.REG/LIC.No.72/16.05.000/2023-24    [More...](#)    [Select Regulator](#)

[Question](#) [References](#) [Changes](#) [Checklist](#) [Browse](#) [Circular](#)

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.

**Checklist**

Enter your query    [↑](#)    [Clear Chat](#)

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Browse Context: RBI, SEBI    QA Context: QA Context: DoR.REG/LIC.No.72/16.05.000/2023-24    [More...](#)    [Select Regulator](#)

[Question](#) [References](#) [Changes](#) [Checklist](#) [Browse](#) [Circular](#)

Department of Supervision. The revised instructions come into force immediately, repealing the previous circular dated September 27, 2013.

**Checklist**

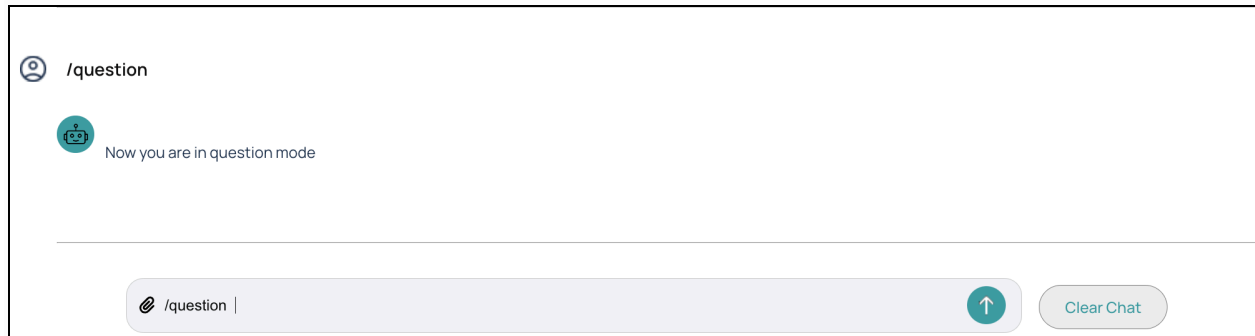
**Second Schedule to the Reserve Bank of India Act, 1934 – Norms for inclusion**

**DoR.REG/LIC.No.72/16.05.000/2023-24**

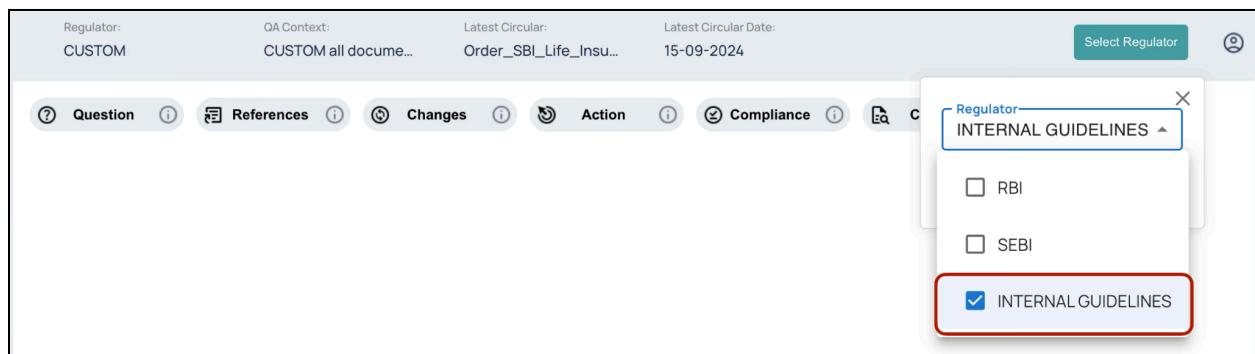
- Eligible UCBs must submit their application for inclusion in the Second Schedule to the Reserve Bank of India Act, 1934 to the concerned Regional Office of Department of Supervision along with a copy of the resolution passed by the Annual General Body/Board of Directors and major financial details of the bank together with copies of the published balance sheet for the last three years.
- Deadline:** Not applicable

Enter your query    [↑](#)    [Clear Chat](#)

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

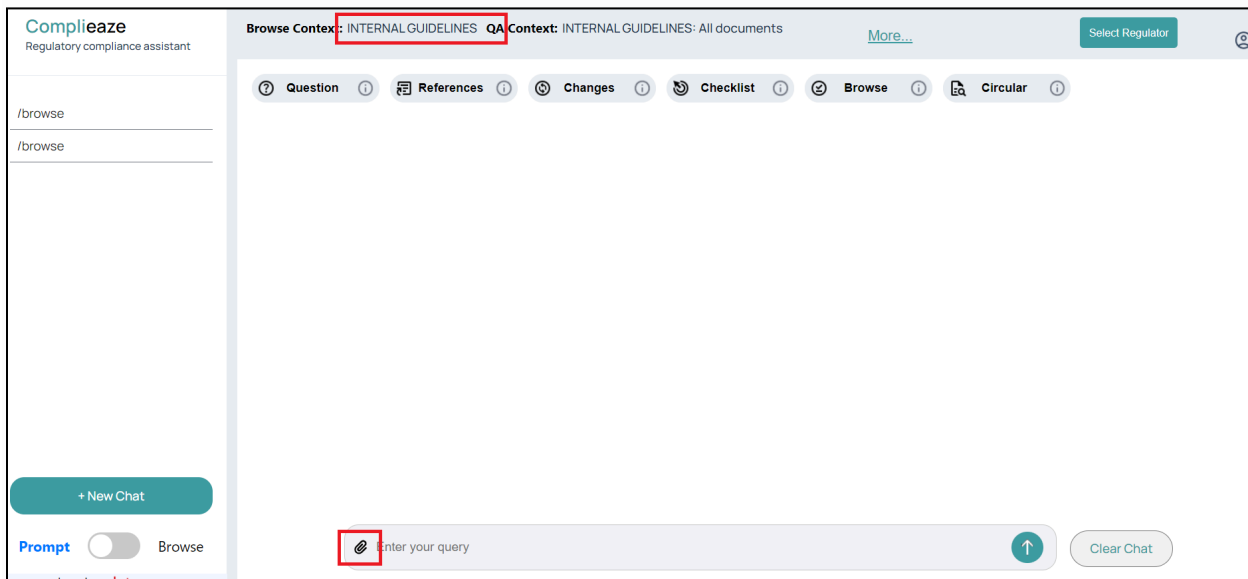
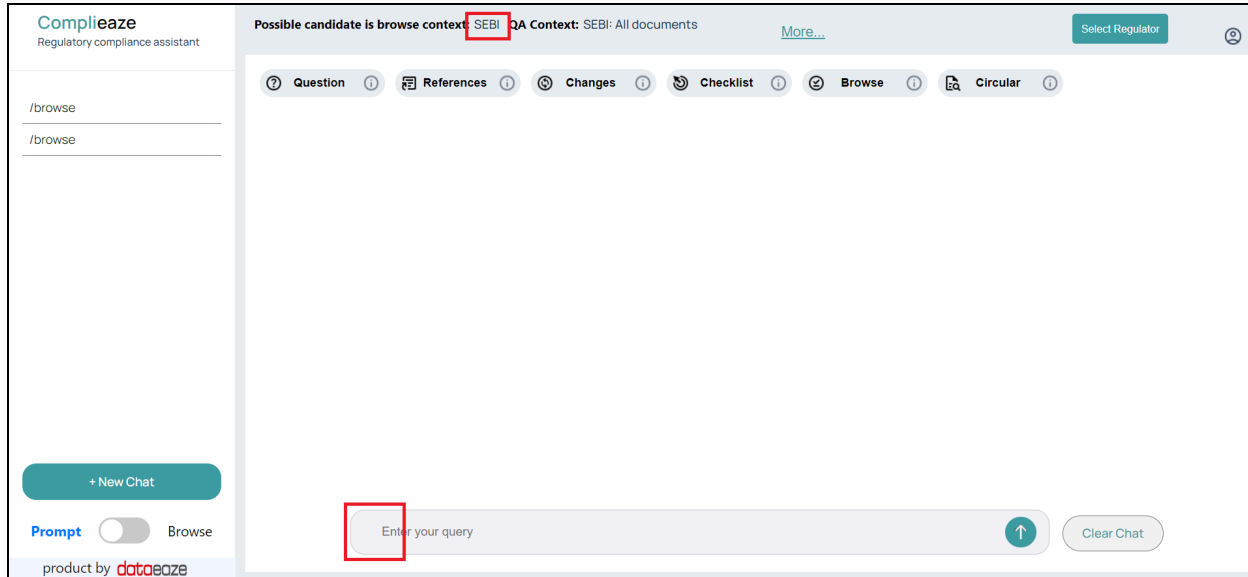


2.23 Users can then select the internal guidelines option from the select regulator menu to use all the complieaze features on the uploaded internal guidelines.



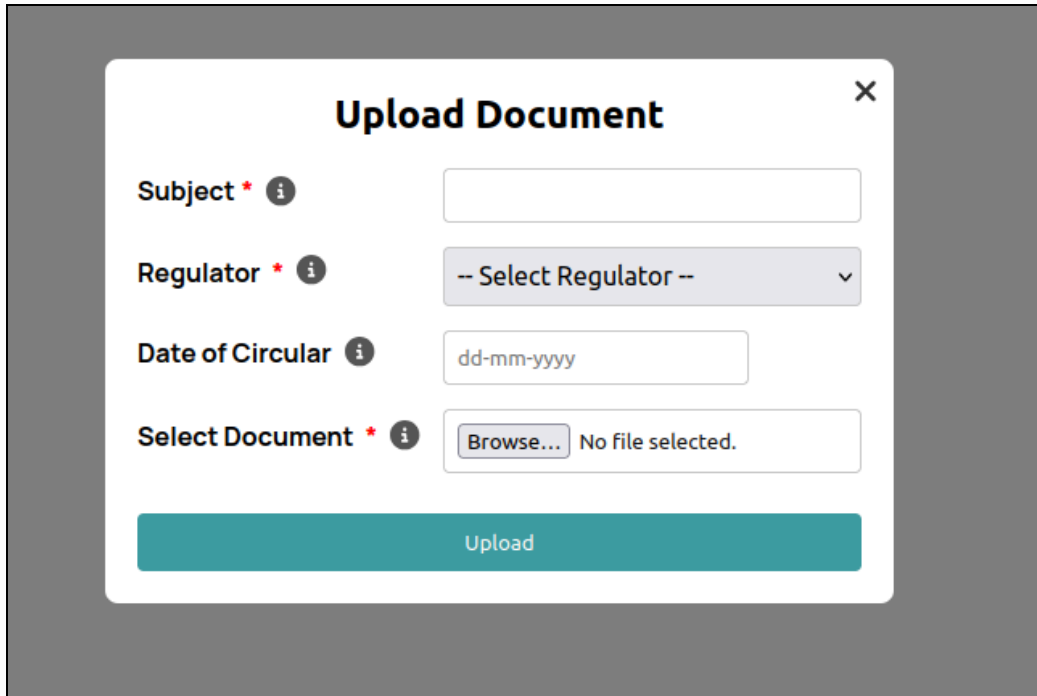
## 3. Upload a document

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**.



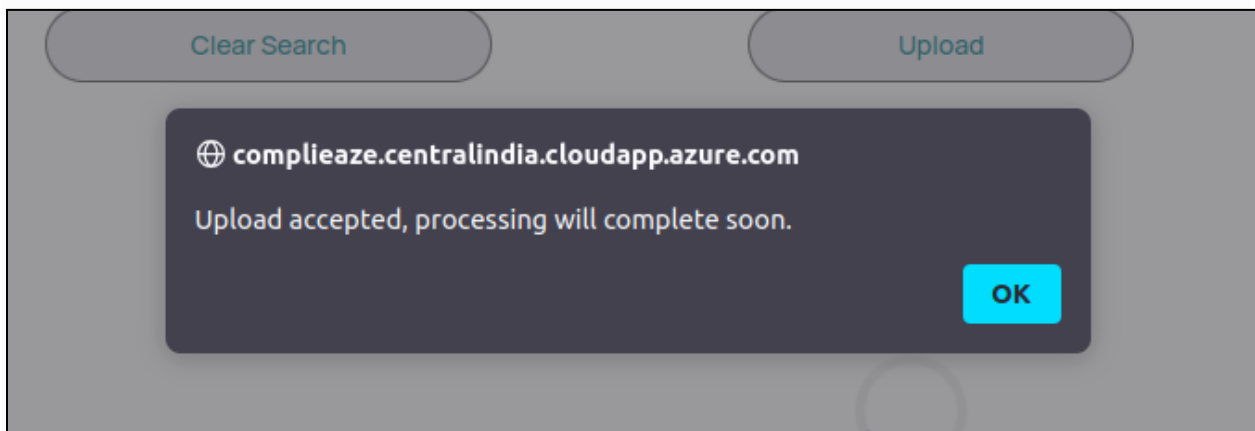
3.2 After clicking the attachment icon the user will get the form to be filled for uploading the document. Fill the form with the details as shown below.







The screenshot shows a modal window titled "Upload Document" with a close button (X) in the top right corner. The form contains four fields: "Subject" with a red asterisk and an information icon, a text input field, "Regulator" with a red asterisk and an information icon, a dropdown menu showing "-- Select Regulator --", "Date of Circular" with an information icon, a text input field with a placeholder "dd-mm-yyyy", and "Select Document" with a red asterisk and an information icon, a "Browse..." button, and the text "No file selected.". At the bottom of the modal is a large teal button labeled "Upload".

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




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


Select timeframe for circulars to search

Start Date  End Date 




Type of search

Content Based Search  Enter your input

Clear Search Upload Submit

 EXPORT

Sr. No.	Circular Number	Date	Subject	Document Type	Regulator	Upload Status	Checklist Tim...	Document U...
3	<a href="#">new</a>	10/10/2024	new	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
4	<a href="#">iowhfow</a>	1/10/2024	iowhfow	upload_doc	internal_gui...	completed	10-10-2024...	Ketki Bhale
5	<a href="#">Petty Cash</a>	11/10/2024	Petty Cash	upload_doc	internal_gui...	completed	11-10-2024...	tushar dalal
6	<a href="#">Test</a>	1/10/2024	Test	upload_doc	internal_gui...	completed	11-10-2024...	Bhushan A...
7	<a href="#">RBI MD</a>	27/12/1998	RBI MD	upload_doc	internal_gui...	completed	14-10-2024...	Tony Tom
8	<a href="#">Small example</a>	16/10/2024	Small exam...	upload_doc	internal_gui...	processing	16-10-2024...	Tony Tom

Rows per page: 100  1-8 of 8  

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.

Select timeframe for circulars to search

Start Date

End Date

Type of search

Content Based Search

Enter your input

Clear Search

Upload

Submit

EXPORT

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8	<a href="#">Small example</a>	16/10/2024	Small exam...	upload_doc	internal_gui...	completed	16-10-2024...	Tony Tom

Rows per page: 100 1-8 of 8

\*\*\*\*\*End\*\*\*\*\*