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 candidat	e is bro	owse context: IN	ITERNA	LGUI	Delines Q/	A Conte	ext: IN	ITERNAL GU	IDELIN	IES: All	document	S		More		Select Regulator	0
/browse	0	Question	i	E References	i	٩	Changes	i	9	Checklist	i	S	Browse	i	Eq.	Circular	i		
/browse																			
+ New Chat																			
Prompt Browse			C Er	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	Possil	ble candidat	te is br	owse context: IN	FERNA	LGUI	DELINES QA	Conte	ext: IN	ITERNAL GU	IDELIN	IES: All	document	s		More		Select Regulator	٢
Regulatory compliance assistant																			0
	?	Question	i	References	i	٢	Changes	i	9	Checklist	i	\otimes	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			@ E	nter your query												1		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	Possil	ble candida	te is br	owse context: IN	TERNA	LGUI	Delines Q/	A Conte	ext: IN	ITERNAL GU	IDELIN	IES: All	l document	ts		More		Select Regulator	Q
	0	Question	í	E References	í	٩	Changes	i	9	Checklist	i	(\mathbf{S})	Browse	í	Eà	Circular	í		
/browse																			
/browse																			
	1																		
+ New Chat																			
Prompt Browse			@ E	nter 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	Possib	le candidat	e is bro	owse context: IN	FERNAI	LGUIE	DELINES QA	Conte	ext: IN	TERNAL GU	IDELIN	IES: All	document	s		More]	Select Regulator	٢
	0	Question	i	References	i	٩	Changes	i	9	Checklist	i	(\mathbf{S})	Browse	i	Eq	Circular	i		
/browse																			
+ New Chat																			
Prompt Browse			Ø 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	cuments 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	$\$	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	Possi	ole candida	te is br	rowse context: SEI	BI QA	Cont	ext: SEBI: A	ll docur	ments	5	M	ore						Select Regulator	0
	0	Question	i	References	(j	٩	Changes	i	9	Checklist	i	\bigotimes	Browse	í	Eq.	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
Prompt Browse 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.

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



/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
			NALGUIDELINES								C				Circular	()	Select Regulator	٢
Regulatory compliance assistant											0			Ēà	Circular	()		
Regulatory compliance assistant											S			E.	Circular	()	Logout	
Regulatory compliance assistant											Ø				Circular	î	Logout Generate	
Regulatory compliance assistant											Ø			Ē	Circular	()	Logout Generate	
Regulatory compliance assistant											٢			Eà	Circular	;	Logout Generate	
Regulatory compliance assistant											0				Circular		Logout Generate	
Regulatory compliance assistant											Ø			Eq	Circular	1	Logout Generate	
Regulatory compliance assistant											٢				Circular	Ū	Logout Generate	
Regulatory compliance assistant											۲			Eq	Circular	1	Logout Generate	
Regulatory compliance assistant /browse /browse		0												Eq.	Circular		Logout Generate	

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





Complieaze	Brow	se Context:	INTER	NALGUIDELINES	OA Cor	itext:	INTERNAL (GUIDELI	INES:	All docume	ents							Colored	te mulatare	
Regulatory compliance assistant					•••••								More	<u></u>				Select H	tegulator	2
	0	Question	i	References	i	٩	Changes	i	5	Checklist	i	\cong	Browse	i	Eq.	Circular	i		Logout	
/browse																			Generate T	oken
/browse																			Admin	
+ New Chat																				
Prompt Browse			Ø E	nter your query												1		Clear (Chat	
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	Browse Co	ontext:	NTERN	ALGUIDELINES	QA Co	ntext:	INTERNAL	GUIDEL	INES:	All docume	nts		More	<u></u>				Select	Regulator	0
	⑦ Qu	estion	í	References	í	٩	Changes	í	5	Checklist	í	(\mathbf{S})	Browse	í	Ŀà	Circular	í		Logout	
/browse																			Generate	Token
/browse																			Admin	
+ New Chat																				
Prompt Browse			Ø Ei	nter your query												1		Clear	Chat	
product by dataeaze																				



Admin Feature

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

Complieaze Regulatory compliance assistant	Brow	se Context:	INTERI	NALGUIDELINES	QA Co	ntext	INTERNAL	GUIDELI	NES:	All docume	nts		More	<u>)</u>				Select Regulator	٢
/browse	٢	Question		E References		٢	Changes		3	Checklist	⁽)	٢	Browse		Eq	Circular	i	Logout Generate To Admin	oken
+ New Chat Prompt Browse product by datagaze			@ E	nter 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	i	Mo	ore						Select Regulator	0
	0	Question	i	References	í	٩	Changes	í	9	Checklist	i	\bigotimes	Browse	i	Ēà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse			E	inter your query												1		Clear Chat	
product by dataeaze																			



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Complieaze Regulatory compliance assistant	Brows	e Context:	SEBI (QA Context: SEBI	: All doo	cumei	nts	Ī	More.	<u></u>							Select Regulator		0
/browse	٢	Question		References		٢	Changes		۲	Checklist	0	٢	Browse	0	2	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 (j)	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																			
+ New Chat																			
I 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 can	didate is b	rowse context: SEB	QA Co	ontext: SEBI: A	ll docum	nents		Mo	ore						Select Regulator	9
/browse	⑦ Ques	ion (j	References	0	ট্ট Changes	()	9	Checklist	()	٢	Browse	()	Ea	Circular	()		
+ New Chat Prompt Browse product by dataeaze			Enter your query											ſ		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		L																	
									_										

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?			
	Reverse Repo money to com	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.	he Reserve Bar	nk of India (RBI) lends
	Most relevant	context:			
	• Title: Lio	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1			
	• Title: Lic Sr. Number	quidity Adjustment Facility - Repo and Reverse Repo Rates, Page number: 1 PDF Name	Page Number	Date	Download
	Sr.	· · · · · · · ·	•	Date 2018	Download ↓
	Sr.	PDF Name Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations)	Number		

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 candic	ate is b	rowse context: SEBI	QA Cor	ntext: SEBI: A	ll docun	nents		M	ore						Select Regulator	0
/browse /browse	⑦ Question	()	References	0) Changes	()	9	Checklist	()	۲	Browse	(i)	Eq.	Circular	i		
+ New Chat Prompt Browse product by dataeaze		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 DoR.RET.REC.59/12.01.001/2023-24	
/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.39/12.01.001/2023-24
	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 candid	ate is bi	rowse context: SEBI	A Con	text: SEBI: A	ll docum	ients		Mo	ore						Select Regulator	0
/browse	② Question	í	References (i)	٩	Changes	i	9	Checklist	i	٢	Browse	i	Ēà	Circular	i		
/browse																	
+ New Chat																	
Prompt Browse		E	Enter your query											1		Clear Chat	
product by dataeaze																	

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: A	ll docume	ents	More						Select Regulator	0
	② Question	i	References	(i)	Changes	i	🕥 Checklist	() ()	Browse	i	Eà	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.

egulatory compliance assistant		context:	RBI,SEI	BIQAC	ontext: F	(BI,SEE	SI: All C	locuments			More								Select Regulator	
	() G	uestion	(i)	E Re	ferences	í	٢	Changes	i	9	Checklist	i	\bigotimes	Browse	i	Eq	Circular	í		
owse																				
owse																				
																		_		
		ſ				rection	n on li	nformation	1 Techn	olog	y Governa	ince, R	isk, Co	ontrols and	ł			٦		
		[Assu	rance F	ractices					ology	y Governa	ince, R	isk, Cc	ontrols and	ł					
		[Assu /cheo	rance F cklist N	Practices laster Cir	cular -	- Hou	sing Finar	ce				isk, Cc	ontrols and	d					
			Assu /cheo	rance F cklist N	Practices laster Cir	cular -	- Hou		ce				isk, Cc	ontrols and	ł					
+ New Chat			Assu /cheo /cheo	rance F cklist M cklist N	Practices laster Cir laster Cir	cular - cular f	- Hou for Alt	sing Finar	ce nvestme				isk, Cc	ontrols and	b					
+ New Chat			Assu /cheo /cheo	rance F cklist N cklist N cklist N	Practices laster Cir laster Cir	cular - cular f	- Hou for Alt	ising Finar ternative li	ce nvestme				isk, Cc	ontrols and	ł				Clear Chat	



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

Complicaze Regulatory compliance assistant	Browse Context: RBI,SEBI QA Context: RBI,SEBI: All documents More
	⑦ Question ① 居 References ① ⑧ Changes ① ⑧ Checklist ① ② Browse ① 昆 Circular ①
rowse	
rowse	Ochecklist Master Circular - Housing Finance
	💩 Master Circular – Housing Finance
	2. VARIOUS REGULATIONS
+ New Chat	 Verify Borrower's Declaration for Land Acquisition: Confirm that a declaration from the borrower stating their intention to construct a house on the purchased plot within a specified period is on file. Sanctioned Plan for Construction: Verify that a copy of the sanctioned plan by a competent authority, in the name of the person applying for a credit facility to construct a house, is on file before the home loan is sanctioned. Affidavit for Construction Compliance: Confirm that an affidavit-cum-undertaking from the applicant is on file, stating that the construction will strictly follow the sanctioned plan and that a completion certificate will be obtained within 3 months of completion. Architec Certification During Construction: Confirm that an architect appointed by the bank has certified at various stages of construction that the building is being constructed according to the sanctioned plan and that a completion certificate will be obtained within 3 months of completion. Architect Certification During Construction: Confirm that an architect appointed by the bank has certified at various stages of construction that the building is being constructed according to the sanctioned plan and that a completion certificate has been obtained. Affidavit for Built-up Property: Confirm that an affidavit-cum-undertaking from the applicant is on file, declaring that the built-up house/flat has been constructed as per the sanctioned plan and/or building bye-laws, for all credit facilities extended for such purchases. Architect Certification for Built-up Property: Confirm that an architect appointed by the bank has certified, prior to loan
rompt Browse	Enter your query Clear Chat

Browse

2.21 Users can now access a fifth Browse option

Complieaze Regulatory compliance assistant	Possible candida	te is bro	owse context: SEE	BI QA	Cont	ext: SEBI: A	ll docur	ments		M	ore						Select Regulator	0
/browse	② Question	i	References	(j	٢	Changes	i	9	Checklist	i	Ø	Browse	<u>(</u>)	EQ.	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
/browse	⑦ Question () PR References () ③ Changes ()	S Checklist ()	Browse Circular Description: Get an interactive table showing all the RBI circulars Syntax: /browse Example:/browse Natural Language example: 1. List all the RBI circulars from last month List all the RBI circulars from first quarter of 2023
+ New Chat Prompt Browse product by dotoenze	Enter your query		Clear Chat

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

/browse /browse	/browse Below is the list You can navigat • /action	References () (Changes () of circulars that you requested. e through all the circulars from this table. U			D Circular D
	Below is the list You can navigat • /action -'	e through all the circulars from this table. U	se any of the follo	owing commands to find ou	it more about the circulars:
	You can navigat • /action -	e through all the circulars from this table. U	se any of the follo	owing commands to find ou	It more about the circulars:
		What are the action items mentioned in the es - What all Circulars/Acts/Regulations ar - What are the changes mentioned in this :	e referred in this o	circular?	
	Sr.Number	Circular	Date	Title	
	0	DOR.STR.REC.41/04.02.001/2024-25	8/29/2024	Interest Equalization So	cheme (IES) on Pre and Post Shi…
+ New Chat	1	CO.FMRD.FMIA.No.S242/11-01-051/2024- 2025	8/29/2024	Scheme for Trading and	d Settlement of Sovereign Green
Prompt Browse	@ Enter yo	bur query			Clear Chat

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	Possib	le candida	te is br	owse context: S	EBI QA	Cont	ext: SEBI: A	Idocum	nents		Mo	ore						Select Regulator	Q
	0	Question	i	References	i	٩	Changes	i	5	Checklist	i	\bigotimes	Browse	i	A	Circular	i		
/browse																			
browse																			
+ New Chat																			
Prompt Browse			E	nter 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: QA Context: DoR.REG/LIC.No.72/16.05.000/2023-24 More Select Regulator	
	⑦ Question ① 寢 References ① ⑧ Changes ① 题 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 Al generated summary along with th 	ree
	Circular Metadata: buttons to access the references, changes and actions related to the circular.	
	Name:DoR.REG/LIC.No.72/16.05.000/2023-24 • Syntax: /circular_oumber	er>
	Example:/circular Date: 17-01-2024 DoR.REG/LIC.No.72/16.05.000/2 24 24	<u>023-</u>
	Subject: Second Schedule to the Reserve Bank of India Act, 1934 – Norms f • Natural Language example: Nat language support for this comman still under development	
	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 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	
+ 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	Brows	se Context:	RBI,SEI	BI QA Context:	QA Cont	ext: [DoR.REG/LIC	C.No.72/1	6.05.	.000/2023	-24		More	<u>ə</u>				Select Regulator	0
	0	Question	i	E References	(i)	٩	Changes	(i)	5	Checklist	(i)	\otimes	Browse	i	Fà	Circular	i		
/browse	Ū		U		0	Ŭ	-	U	•		U	U		U			0		
/browse																			
		Г																	
+ New Chat				ular DoR.REG/L															
			/circi	ular SEBI/HO/D	DHS/D[DHS-	PoD-2/P/C	IR/2024	/108										
Prompt Browse			Ø /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: 0A Context: DoR.REG/LIC.No.72/16.05.000/2023-24 More Select Regulator
/browse	⑦ Question ()
/browse + New Chat	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

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

Operation	
Now you are in question mode	
Ø /question	↑ 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:	QA Context:	Latest Circular:	Latest Circular Date:	Select Regulator
CUSTOM	CUSTOM all docume	Order_SBI_Life_Insu	15-09-2024	
Question ()	E References 🕧 ⓒ Chang	es 🕡 🕲 Action	i Compliance i 🔒	C Regulator X INTERNAL GUIDELINES A RBI SEBI INTERNAL GUIDELINES

3. Upload a document

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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	ldocun	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	e Contex:	INTER	NALGUIDELINES	QA Con	itext:	INTERNAL	GUIDELI	INES:	All docume	ents		More	<u>)</u>				Select Regulator	C
	?	Question	i	References	i	٩	Changes	i	9	Checklist	i	\bigotimes	Browse	i	Eà	Circular	i		
/browse																			
/browse																			
+ New Chat																			
Prompt Browse		[0	nter your query												1		Clear Chat	

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	1
			Туре	of search				
	Content Based Search	×	nter 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	iter 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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