

Amend Compliance Rules Group (W5)

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PURPOSE

This document shows the detailed procedures for amending compliance rules group.

WHY IS THIS IMPORTANT?

In order for compliance rules to be applied and tested against investment holding of a portfolio, the relevant rules must first be assigned to a Compliance Rule Group and then the Group is assigned to a portfolio.

PROCEDURE

1. From the main menu, select Set Up > Risk > Compliance.

Compliance Rules

dev01

Refresh

New

Delete

Approve

Group

	App?	Shortname	Long Description	Portfolio Group	Rule Type	Limit Type	Limit
<input type="checkbox"/>		R01	Investment in Singapore Issued Securities cannot exceed 80% of NAV		Risk Profile	Percent	80.00
<input type="checkbox"/>		R02	Investment in Malaysian Securities cannot exceed 70% of NAV		Risk Profile	Percent	70.00
<input type="checkbox"/>		R03	Investment in Telecommunication Industry cannot exceed 40% of NAV		Risk Profile	Percent	40.00

1

50

2. Click Group.

Compliance Rules Group

Refresh

New Group

Delete Group

	Shortname	Description
<input type="checkbox"/>	Group A	Group A

1

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3. Select the group to amend by clicking on the Short Name. In

this example, Group A will be chosen.

4. Make the necessary change.

Amend Group

←

Save

Duplicate

Assign Member

History

Short Name*

Group A-1

Long Name

Group A-1

Description

Group A-1|

5. Click Save.

6. If amending or assigning new rules to the group, click on the Short Name. The Amend Group will display.

Amend Group

←

Save

Duplicate

Assign Member

History

Short Name*

Group A-1

Long Name

Group A-1

Description

Group A-1

7. Click Assign Member.

Assign Compliance Rule Member

Short Name

Group A-1

←

Refresh

Save

	Short Name
<input type="checkbox"/>	R01
<input type="checkbox"/>	R02
<input type="checkbox"/>	R03

Add

Remove

Selected Members

No records found.

8. Tick on the checkbox of the rules to add.

Assign Compliance Rule Member

Short Name Group A-1

← Refresh Save

	Short Name
<input checked="" type="checkbox"/>	R01
<input checked="" type="checkbox"/>	R02
<input checked="" type="checkbox"/>	R03

Add Remove

No r

9. Click Add. The rules will be copied to the right.

Assign Compliance Rule Member

Short Name Group A-1

← Refresh Save

	Short Name
<input type="checkbox"/>	R01
<input type="checkbox"/>	R02
<input type="checkbox"/>	R03

Add Remove

	Selected Members
<input type="checkbox"/>	R01
<input type="checkbox"/>	R02
<input type="checkbox"/>	R03

10. If a rule need to be removed from the group, tick on the checkbox on the right side, then click Remove. If all is okay, click Save.

11. In the Amend Group screen, click Back Button to return to Compliance Rules Group screen.

FREQUENTLY ASKED QUESTIONS

RELATED INFORMATION

CHANGE HISTORY

Date	By	Changes
15-Feb-2008	-	Created
8-Sep-2017	Clarissa	Reformatted. Rewritten.
18-Nov-2019	Lyra	Updated Screenshots.