Amend Compliance Rules Group (W5)

[This version is superseded. Click here to view the latest guide.]

PURPOSE

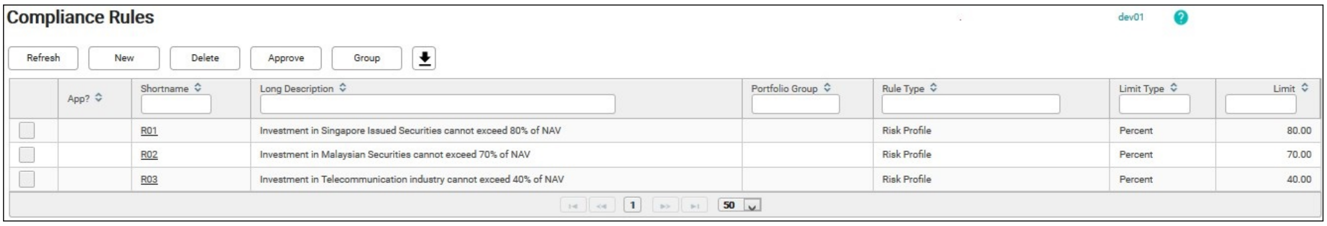
This document shows the detailed procedures for amending compliance rules group.

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.

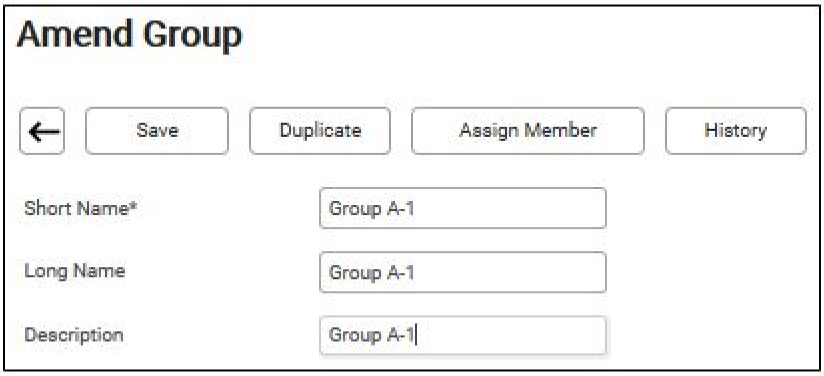


2. Click Group.

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

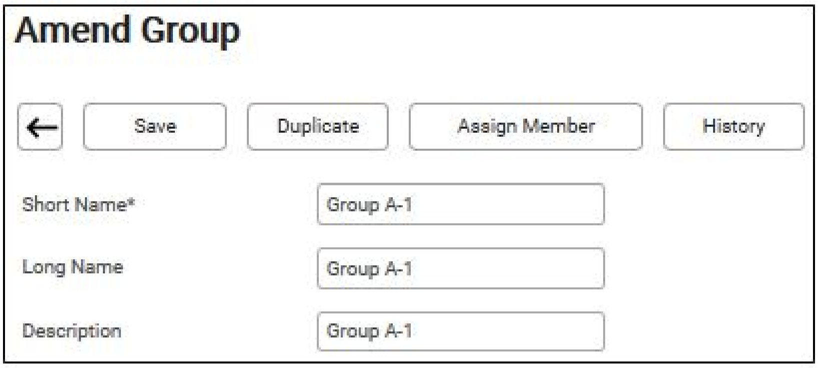
this example, Group A will be chosen.

4. Make the necessary change.

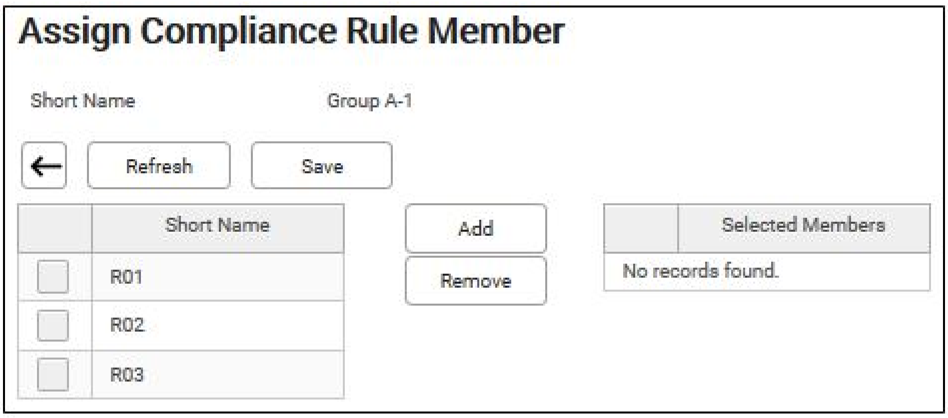


5. Click Save.

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

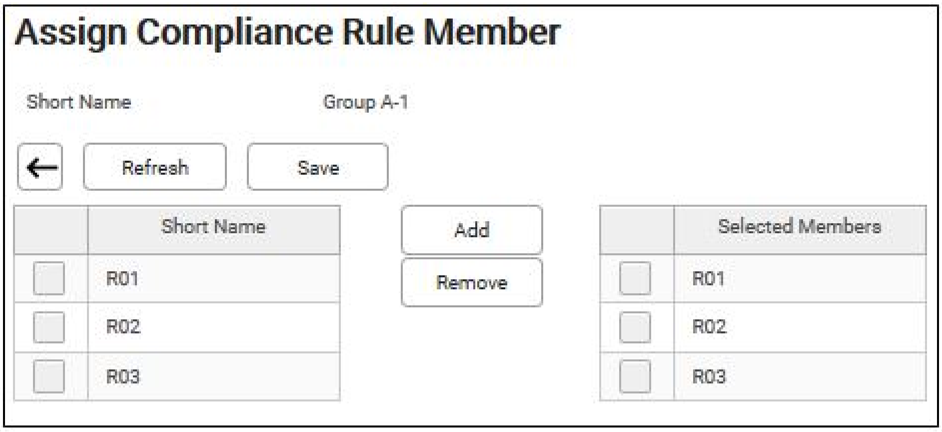


7. Click Assign Member.



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

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



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.