

Amend Compliance Rules Group

[See previous W5 version 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.


Compliance Rules						
<div><div>Refresh</div><div>Action</div><div>Group</div></div> <div><div>Search</div><div>Columns</div></div>						
<input type="checkbox"/>	App? ↑↓	Shortname ↑↓	Long Description ↑↓	Portfolio Group ↑↓	Rule Type ↑↓	Limit Type ↑↓ Limit ↑↓
<input type="checkbox"/>		R01	Investment in Bonds cannot exceed 45% of NAV		Risk Profile	Percent 45.00
<input type="checkbox"/>		R02	Foreign Bank Exposure cannot exceed 25% of NAV		Risk Profile	Percent 25.00
1-2 of 2 records << < 1 > >> 50 ▾						

2. Click Group.

Compliance Rules Group

Cancel
Refresh
Action

Columns

<input type="checkbox"/>	Shortname ↑↓	Description ↑↓
<input type="checkbox"/>	 Compliance Grp A	Compliance Grp A

1-1 of 1 records
<<
<
1
>
>>
50

3. Select the group to amend by clicking on the Edit button. In this example, Compliance Grp A will be chosen.

4. Make the necessary changes to Short Name, Long Name and Description.

Amend Group

Cancel
Save
Duplicate
Assign Member
History

Short Name*

Long Name


Description

5. Click Save.

6. If amending or assigning new rules to the group, click on the Edit button of the compliance rule group. The Amend Group will display.

Amend Group

 Cancel

 Save

 Duplicate

 Assign Member

 History

Short Name*

Compliance A Group

Long Name

Compliance A Group

Description

Compliance A Group

7. Click Assign Member.

Assign Compliance Rule Member

Short Name

Compliance A Group

 Cancel

 Refresh

 Save

Short Name

☐

R01

☐

R02



Selected Members

☐

R01

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

Assign Compliance Rule Member

Short Name Compliance A Group

✕ Cancel

↻ Refresh

💾 Save

Short Name

☐

R01

☒

R02



Selected Members

☐

R01

9. Click Add. The rules will be added to the Selected Members list on the right.

Assign Compliance Rule Member

Short Name Compliance A Group

✕ Cancel

↻ Refresh

💾 Save

Short Name

☐

R01

☐

R02



Selected Members

☐

R01

☐

R02

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 Cancel 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	Rewritten. Reformatted.
18-Nov-2019	Lyra	Updated screenshots.
21-Mar-2023	TS	Updated to W6 instructions and screenshots.