

Create Compliance Rules Group and Assigning Members (W5)

[This version is superseded.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

PURPOSE

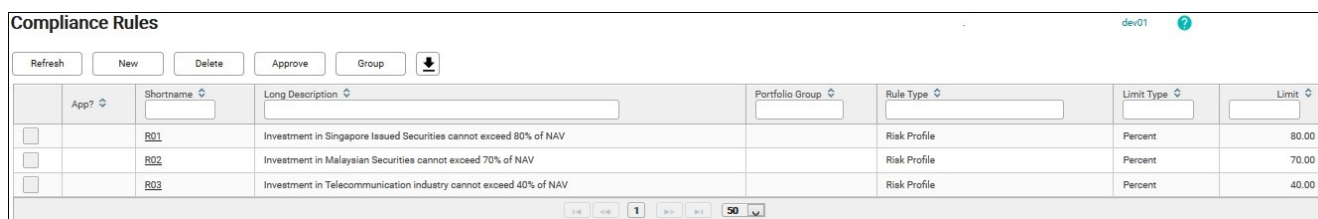
This document shows the detailed procedure in creating new compliance rules group and assigning members.

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.

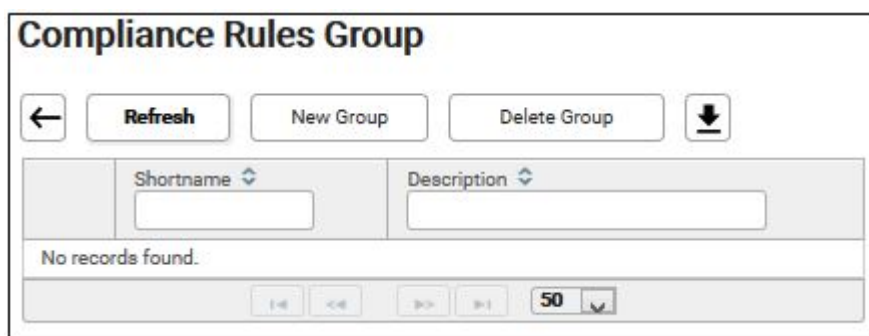
PROCEDURE

1. Select Set Up > Risk > Compliance.



App?	Shortname	Long Description	Portfolio Group	Rule Type	Limit Type	Limit
<input type="checkbox"/>	B01	Investment in Singapore Issued Securities cannot exceed 80% of NAV		Risk Profile	Percent	80.00
<input type="checkbox"/>	B02	Investment in Malaysian Securities cannot exceed 70% of NAV		Risk Profile	Percent	70.00
<input type="checkbox"/>	B03	Investment in Telecommunication industry cannot exceed 40% of NAV		Risk Profile	Percent	40.00

2. Click Group.



Compliance Rules Group

← Refresh New Group Delete Group ↓

Shortname Description

No records found.

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3. Click New Group.

4. Fill in the fields. The Short Name field is mandatory.

New Group

Short Name*

Long Name

Description

5. Click Save.

6. To assign members, click on the short name of the group.

7. Click Assign Member.

8. Choose the compliance rule to add by clicking on the check box beside the Short Name of the rule. In this example, R01 and R02 will be selected.

Assign Compliance Rule Member

Short Name Group A

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

Selected Members	
No records found.	

9. Click Add.

10. The rules will be copied to the right side of the screen.

Assign Compliance Rule Member

Short Name Group A

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

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

11. Click Save.

12. From the Amend Group screen, click Save again.

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.