Create Compliance Rules Group and Assigning Members

See previous W5 version guide

PURPOSE

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

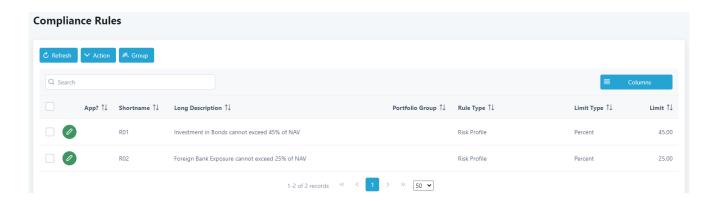
WHY IS THIS IMPORTANT?

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.

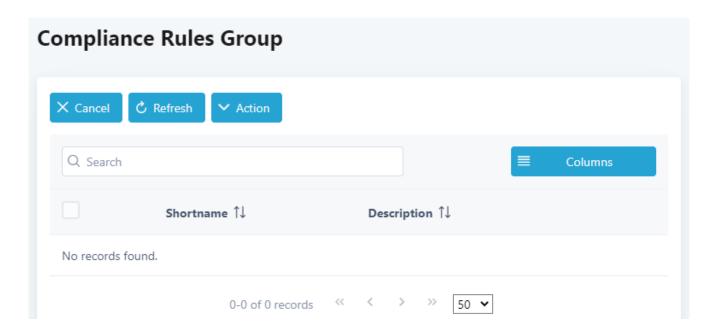
PROCEDURE



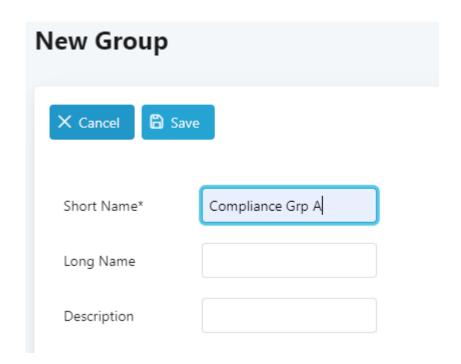
1. Select Set Up > Risk > Compliance.



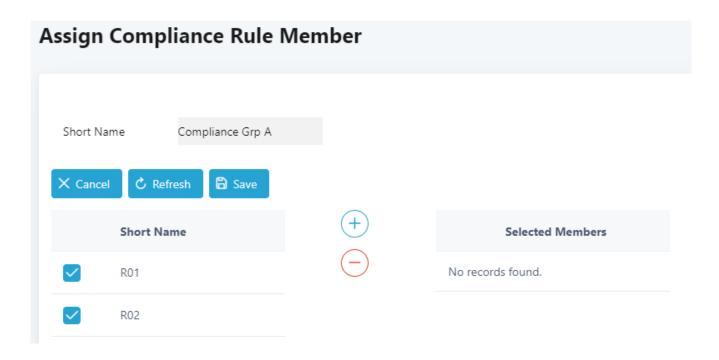
2. Click Group.



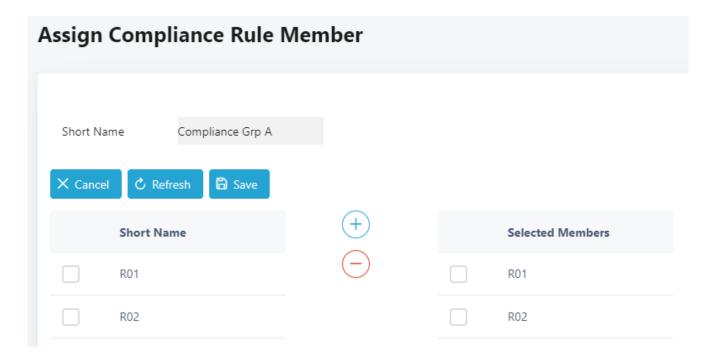
- 3. Click Action and select New Group.
- 4. Fill in the fields. The Short Name field is mandatory.



- 5. Click Save.
- 6. To assign compliance rules to a group, click on the Edit button 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.



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



- 11. Click Save.
- 12. From the Amend Group screen, click Cancel to return to Compliance Rules Group listing screen.

FREQUENTLY ASKED QUESTIONS

RELATED INFORMATION

CHANGE HISTORY

Date	Ву	Changes
15-Feb-2008	-	Created.
8-Sep-2017	Clarissa	Rewritten. Reformatted.
18-Nov-2019	Lуга	Updated screenshots.
21-Mar-2023	TS	Updated to W6 instructions and screenshots.