

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.

Compliance Rules						
Refresh Action Group Search Columns						
☐	App? ↑↓	Shortname ↑↓	Long Description ↑↓	Portfolio Group ↑↓	Rule Type ↑↓	Limit Type ↑↓
☐		R01	Investment in Bonds cannot exceed 45% of NAV		Risk Profile	Percent
☐		R02	Foreign Bank Exposure cannot exceed 25% of NAV		Risk Profile	Percent
1-2 of 2 records << < 1 > >> 50						

2. Click Group.

Compliance Rules Group

✕ Cancel ↻ Refresh ▼ Action

Columns

☐	Shortname ↑↓	Description ↑↓
No records found.		

0-0 of 0 records << < > >> 50 ▼

3. Click Action and select New Group.

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

New Group

✕ Cancel 💾 Save

Short Name*

Compliance Grp A|

Long Name

Description

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.

Assign Compliance Rule Member

Short Name

Compliance Grp A

✕ Cancel

↻ Refresh

💾 Save

Short Name



R01



R02



Selected Members

No records found.

9. Click Add.

10. The rules will be added to the Selected Members list on the right.

Assign Compliance Rule Member

Short Name

Compliance Grp A

✕ Cancel

↻ Refresh

💾 Save

Short Name



R01



R02



Selected Members



R01



R02

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	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.