

Import Risk Profile Tagging

[See previous W5 version guide](#)

PURPOSE

This document shows the detailed procedures on how to import risk profile tagging for security and counterparty in CS Lucas system.

WHY IS THIS IMPORTANT?

Risk profiles that are tagged to security and counterparty in the system can be used for setting up rules to check for compliance in the system.

PROCEDURE



1. Risk profile tagging for counterparty and security can be imported via Counterparty or Security module. In this example, import from Security module will be shown. From the main menu, select Set Up > Static > Securities.

Security

Security Type*

Shortname

List

Exclude

Inactive

Refresh

Action

Group

Star

Print

Columns

☐	App? ↑↓	Security Type ↑↓	Shortname ↑↓	Fullname ↑↓	Status ↑↓
No records found.					

0-0 of 0 records << < > >> 50

2. Choose Security Type from the dropdown.

3. Click Refresh.

Security

Security Type*

Bond

Shortname

List

Exclude

Inactive

Refresh

Action

Group

Search

Columns

	App? ↑↓	Security Type ↑↓	Shortname ↑↓	Fullname ↑↓	Status ↑↓
☐		Bond	Anglo Amer 4.125% 9/22	Anglo Amer 4.125% 9/2022	Active
☐		Bond	CBA 2.25% 12/18	CBA 2.25% 12/2018	Active
☐		Bond	Lloyds Bank 2.75% 12/18	Lloyds Bank 2.75% 12/2018	Active
☐		Bond	SGS 0.5% 4/18	SGS 0.5% 4/2018	Active

1-4 of 4 records

<<

<

1

>

>>

50

4. Click on any one of the security short name.

Maintain Security Information

✕ Cancel

📄 Update

📄 Coupon

📄 Risk Profile

⚙️ Preference

📄 File/Note

☰ History

Security Type

Bond

Shortname*

Anglo Amer 4.125% 9/22

Security Sub Type

Fixed Coupon

Full Name*

Anglo Amer 4.125% 9/202

Issuer

Anglo American Capital PI

Price Type*

Percent

Trade Ccy*

GBP

Holiday Ccy

GBP

Settlement T+*

2

5. Click Risk Profile.

Security Risk Profile

Security

Anglo Amer 4.125% 9/22

✕ Cancel

↓ Import

Risk Profile

Setting

[Asset Class](#)

[Grouped by Ctpy](#)

[Grouped by Ctpy \(excl. Cash Ctpy\)](#)

[Grouped by Risk Profile](#)

[Investment Type](#)

[Maturity Ladder](#)

[Per Security](#)

[Per Security Group](#)

[Per Transaction](#)

[Risk Profile](#)

6. Click Import. The Import Risk Profile Tagging screen displays.

Import Risk Profile Tagging

✕ Cancel

↓ Template

Read File

☐

ID

Counterparty/Security*

Risk Profile*

Value

No records found.

7. Click Template to download CS Lucas template for importing risk profile tagging.

8. Save the file and open. An Excel sheet will be opened.

	A	B	C	D	E	F	G
1	Counterparty/Security*	Risk Profile*	Value				
2							
3							
4							

9. Fill out the sheet. Fields with asterisks (*) are mandatory.

	A	B	C	D	E	F	G
1	Counterparty/Security*	Risk Profile*	Value				
2	Anglo Amer 4.125% 9/22	Investment Type	Bond				
3	Lloyds Bank 2.75% 12/18	Investment Type	Bond				
4	Amundi MMF IC	Investment Type	MMF				
5							

10. Type in the counterparty short name or security short name for Counterparty/Security* column.

11. Type in the risk profile and the value as set up in the system.

12. Save the Excel file on the computer.

13. Go back to the Import Risk Profile Tagging screen, tick on Read File checkbox.

14. Click Choose File. Browse for the file saved in the computer.

Import Risk Profile Tagging

Read File ☒

File Load_Risk_Profile_Tagging_Template.xls

ID	Counterparty/Security*	Risk Profile*	Value
No records found.			

15. Click Read File. The values inputted in the Excel File will display.

Import Risk Profile Tagging

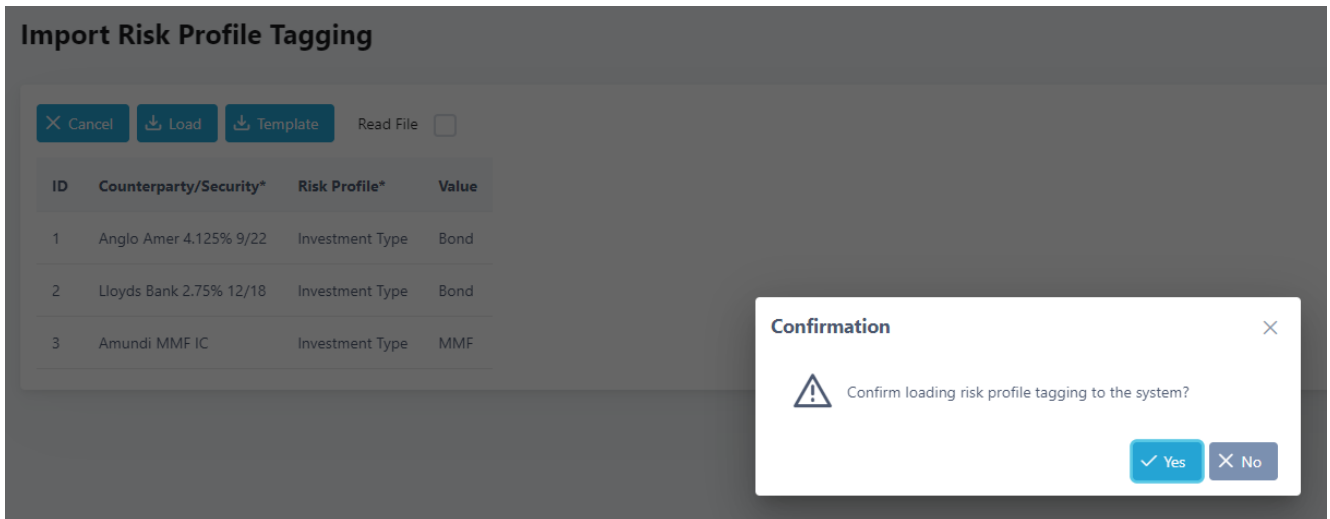
Read File ☐

ID	Counterparty/Security*	Risk Profile*	Value
1	Anglo Amer 4.125% 9/22	Investment Type	Bond
2	Lloyds Bank 2.75% 12/18	Investment Type	Bond
3	Amundi MMF IC	Investment Type	MMF

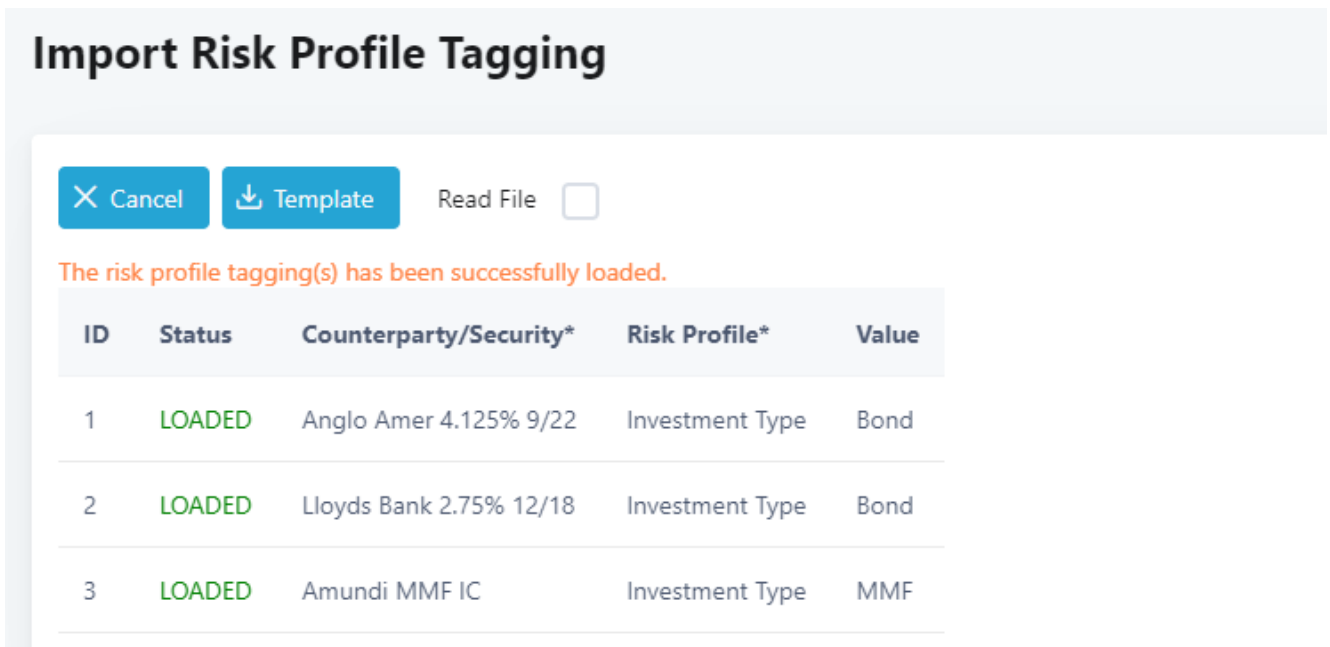
16. If there is an error, the user will be prompted with the rows to be corrected. To make corrections, go to the Excel file to make the necessary corrections and click Read File again.

17. If there is no error, click Load.

18. A popup appears to confirm, click Yes.



19. A message saying that loading is successful will be displayed.



20. Go back to the Security listing screen, tick on the checkbox beside the short name of the security imported.

Security

Security Type* Bond Shortname List Exclude Inactive

Refresh Action Group Star Print

Search Columns

		Security Type ↑↓	Shortname ↑↓	Fullname ↑↓	Status ↑↓
☒		Bond	Anglo Amer 4.125% 9/22	Anglo Amer 4.125% 9/2022	Active
☒		Bond	Lloyds Bank 2.75% 12/18	Lloyds Bank 2.75% 12/2018	Active
☐		Bond	CBA 2.25% 12/18	CBA 2.25% 12/2018	Active
☐		Bond	SGS 0.5% 4/18	SGS 0.5% 4/2018	Active

1-4 of 4 records << < 1 > >> 50

21. Click Action and select Approve. A popup appears to confirm, click Yes.

Security

Security Type* Bond Shortname List Exclude Inactive

Refresh Action Group Star Print

Search Columns

		App? ↑↓	Security Type ↑↓	Shortname ↑↓	
☒		N	Bond	Anglo Amer 4.125% 9/22	
☒		N	Bond	Lloyds Bank 2.75% 12/18	
☐			Bond	CBA 2.25% 12/18	Active
☐			Bond	SGS 0.5% 4/18	Active

1-4 of 4 records << < 1 > >> 50

Confirmation ×

Confirm approving selected item?

✓ Yes ✗ No

22. To approve counterparty, navigate to Set Up > Static > Counterparty . Tick on the checkbox beside the short name of the counterparty imported. Click Action and select Approve.

FREQUENTLY ASKED QUESTIONS

RELATED INFORMATION

[Tagging Risk Profile](#)

[Compliance](#)

CHANGE HISTORY

Date	By	Changes
22-Sep-2017	Clarissa	Created.
20-Aug-2018	Silpa	Updated step 1 and 22.
19-Nov-2019	Lyra	Updated screenshots.
10-Feb-2023	TS	Updated to W6 instructions and screenshots.