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.

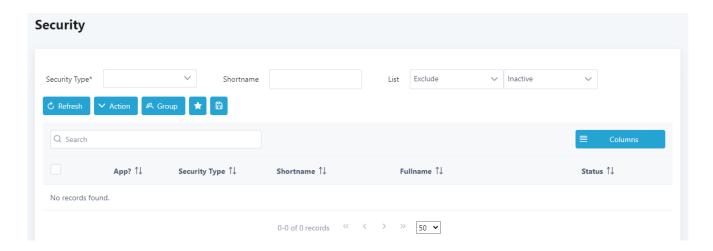
WHY IS THIS IMPORTANT?

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

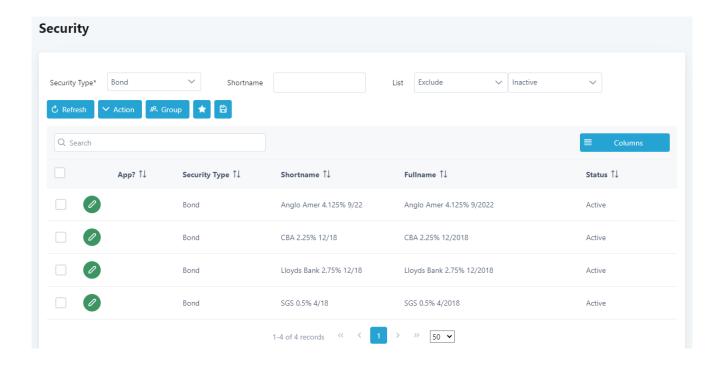


1. Risk profile tagging for counterparty and security can be imported via Counterparty or Security module. In this example, import from Security module will be shown. From the main menu, select Set Up > Static > Securities.

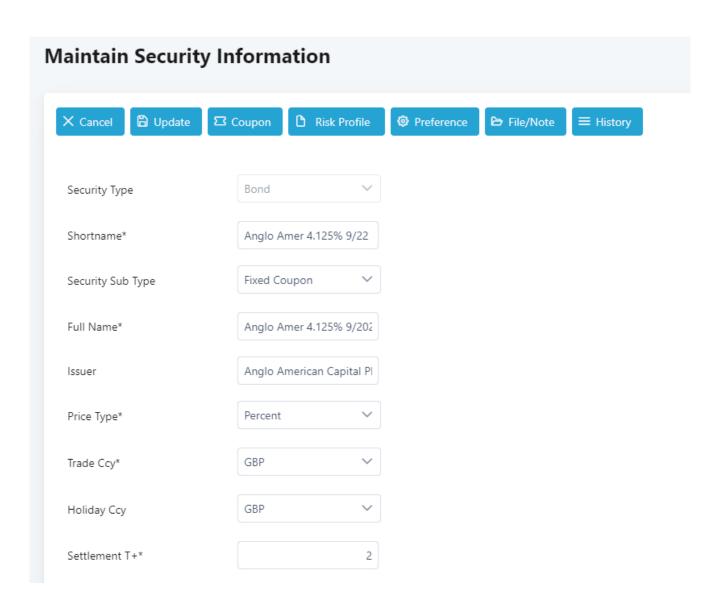


2. Choose Security Type from the dropdown.

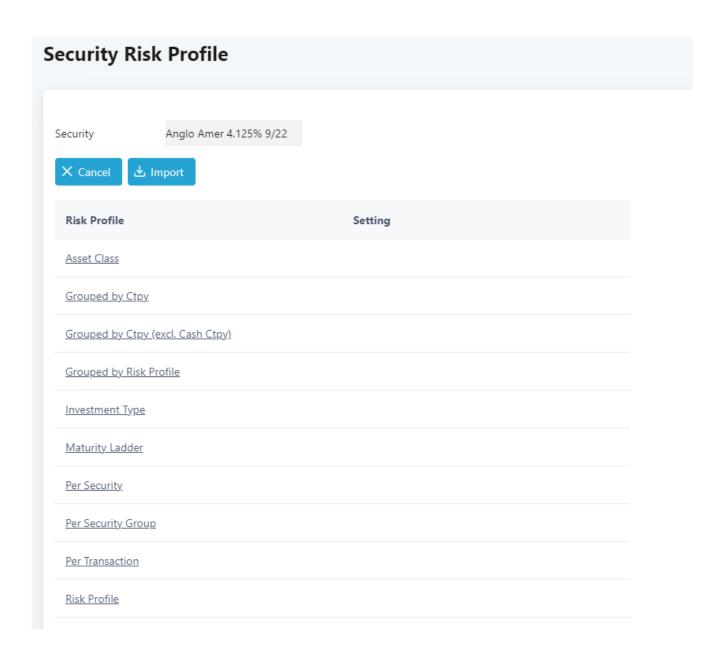
3. Click Refresh.



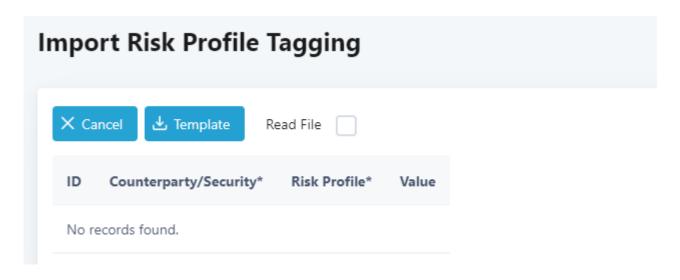
4. Click on any one of the security short name.



5. Click Risk Profile.

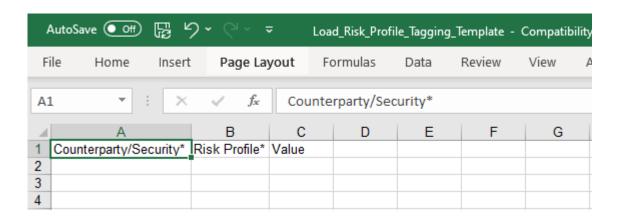


6. Click Import. The Import Risk Profile Tagging screen displays.

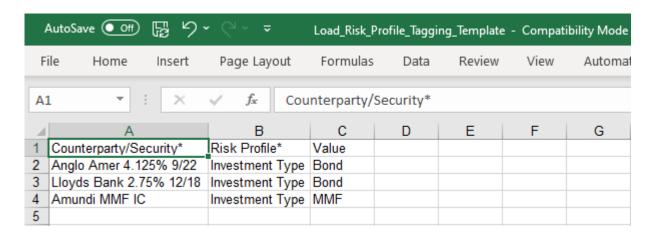


7. Click Template to download CS Lucas template for importing risk profile tagging.

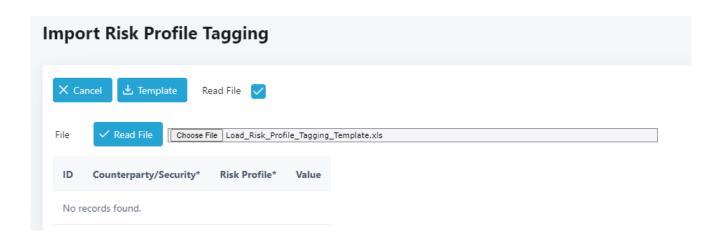
8. Save the file and open. An Excel sheet will be opened.



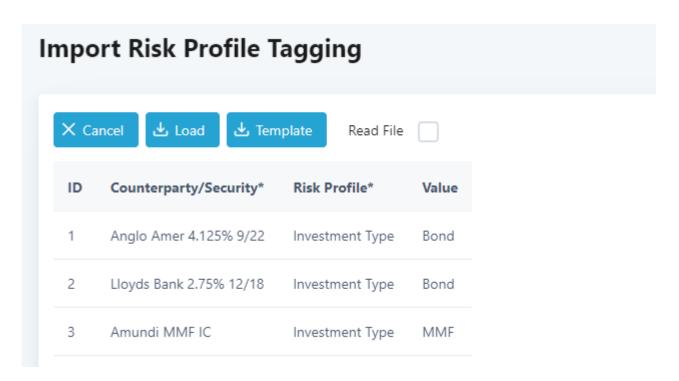
9. Fill out the sheet. Fields with asterisks (*) are mandatory.



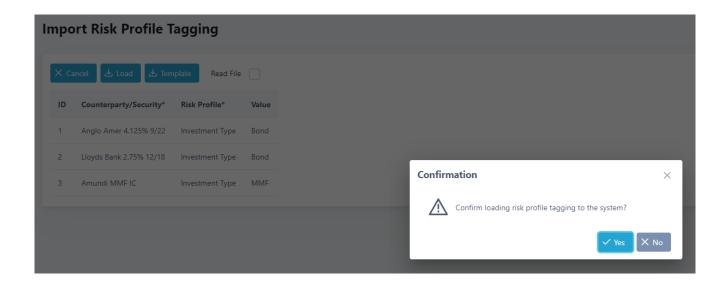
- 10. Type in the counterparty short name or security short name for Counterparty/Security* column.
- 11. Type in the risk profile and the value as set up in the system.
- 12. Save the Excel file on the computer.
- 13. Go back to the Import Risk Profile Tagging screen, tick on Read File checkbox.
- 14. Click Choose File. Browse for the file saved in the computer.



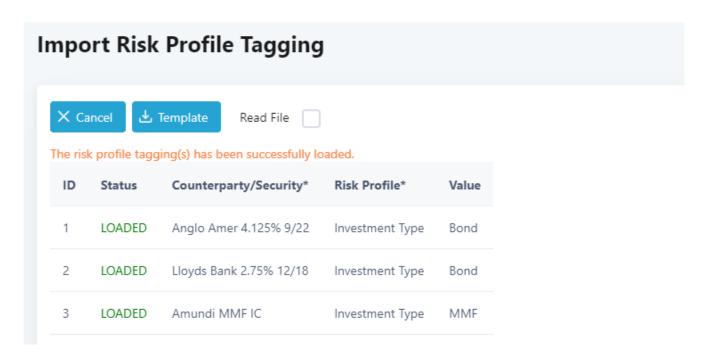
15. Click Read File. The values inputted in the Excel File will display.



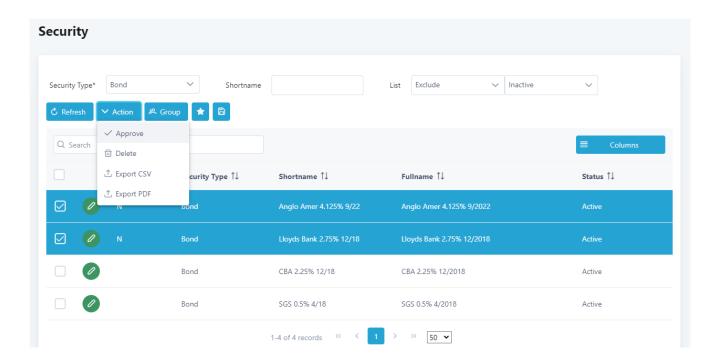
- 16. If there is an error, the user will be prompted with the rows to be corrected. To make corrections, go to the Excel file to make the necessary corrections and click Read File again.
- 17. If there is no error, click Load.
- 18. A popup appears to confirm, click Yes.



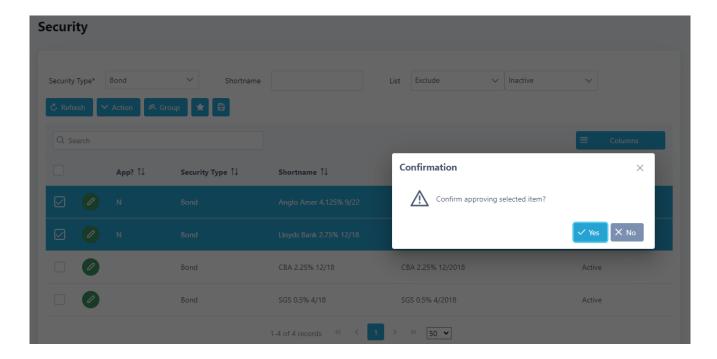
19. A message saying that loading is successful will be displayed.



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



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



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

<u>Compliance</u>

CHANGE HISTORY

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