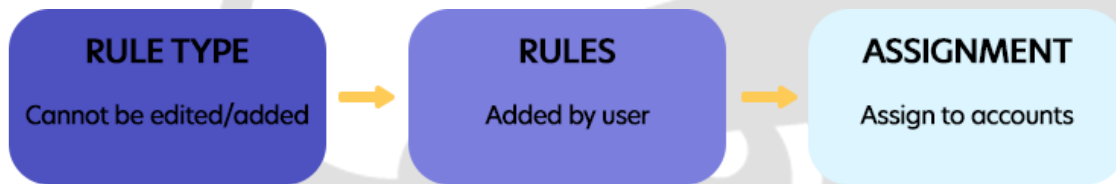


Compliance rules

VIEW RULES TYPE



In this section, you can view the different rule types. These rule types will be used to setup/edit compliance rules.

NOTE: These rule types CAN NOT BE EDITED/ADDED

RuleTypeCode	RuleTypeCode
ACCTLEV	Account Leverage
BROKEREXP	Broker Exposure
BROKERREST	Broker Restriction
CONTRATRADES	Contra Trade Restriction
COUNTERPARTYEXPGEN	Counter Party Exposure
COUNTRYEXP	Country Exposure
COUNTRYREST	Country Restriction
CURREXP	Currency Exposure
CURRREST	Currency Restriction
ISSUEREXP	Issuer Exposure
ISSUEREXPGEN	General Issuer
ISSUEREXPVOTING	Voting Shares Control

MAJORREST	Major Shareholders Restriction
MAXFIMAT	Max FI Maturity
MAXRATINGEXP	% Exp Max Rating
MINRATINGEXP	% Exp Min Rating
OUTSTANDING	Outstanding Shares
OVERSELL	Oversell Restriction
POSEXP	Position Exposure
RATING_REST	Rating Restriction
RATING_SP_REST	S&P Rating Restriction
RATINGEXP	% Exp Rating
RATINGMVWA	MVWA Rating
REALIZEDPL	Realized PL
SECTOREXP	% Exp Sector
SECTYPEEXP	Security Type Exposure
SECTYPERATINGREST	Security Type Rating Restriction
SECTYPEREST	Security Type Restriction
SECURITYELIGBLEREST	Restricted Eligible
SECURITYREST	Security Restriction
STRATEGYEXP	Exposure by Strategy
TRADELIMIT	Trade Limit
UNDERLYINGSECTYPEREST	Underlying Security Type Restriction

COMPLIANCE SEVERITY TYPES

	Shows message	Blocks Trade	Registers to log	Override
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Only Compliance Officer
Informational	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not required
Non-Overridable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not Allowed
Overridable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Needs Override Reason
Warning-Passive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not required
Warning-Active	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (Need to click OK to continue)

SETUP/EDIT COMPLIANCE RULES

In this section, you can setup a new rule using the different rule types.

Compliance: Setup/Edit Compliance rules, just click **NEW** and a blank window will appear. In this window you will enter the basic attributes for the rule (Code, Name, Description and RuleType).

After saved, user can add/edit several different parameters as below described just looking for the new added rule, selecting it and start editing in the right panel.

- **Active:** All rules can either be active or disabled (True or False).
- **Athena ID:** That can be left blank.
- **Attribute Value*:** Choose the Attribute value from the drop-down. (it can be NULL).
- **End Date:** This is an end date for the rule (it can be NULL).
- **Note:** You can enter anything here. (it can be NULL).
- **Rule Code:** Edit a Code to the rule.
- **Rule Description:** Edit a description of the rule.
- **Rule Name:** Edit a name to the rule.
- **RuleTypeID:** Edit from the drop-down the rule type (these are the rule types that can be found in "Compliance: View Rule Types").
- **Severity:** Here you can choose different available severity levels.
- **Start Date:** The date the rule will start (it can be NULL, so it will START today).

- **Extended*:** Here, you can add a rule scope, different constraints, states, attributes, transaction types, and security types.
- **Threshold*:** here you can set up the different values depending on the purpose of the rule.
- Click **Save**.

*These parameters belong to every Rule Type, so they can be different for every Rule Type.

Compliance: Setup/Edit Compliance Rules	
Compliance: Setup/Edit Compliance Rules	
Active	True
AthenaId	
AttributeValue	
EndDate	
Note	
RuleCode	ExposureMax10_TotalPortfolio
RuleDescription	Exposure Less than 20% of total port
RuleName	Exposure Less than 20% of total port
RuleTypeId	POSEXP - Position Exposure
Severity	Informational
StartDate	
Extended	
RuleScope	
TransactionTypes	
TagValues	
SecurityTypeGroupsIncluded	(Collection)
SecuritiesIncluded	(Collection)
SecuritiesExcluded	(Collection)
Threshold	
Limit	0.2
UpTolerance	0
DownTolerance	0
LimitOperator	Max
Compliance: Setup/Edit Compliance Rules	

ASSIGN RULES TO ACCOUNTS OR GROUPS

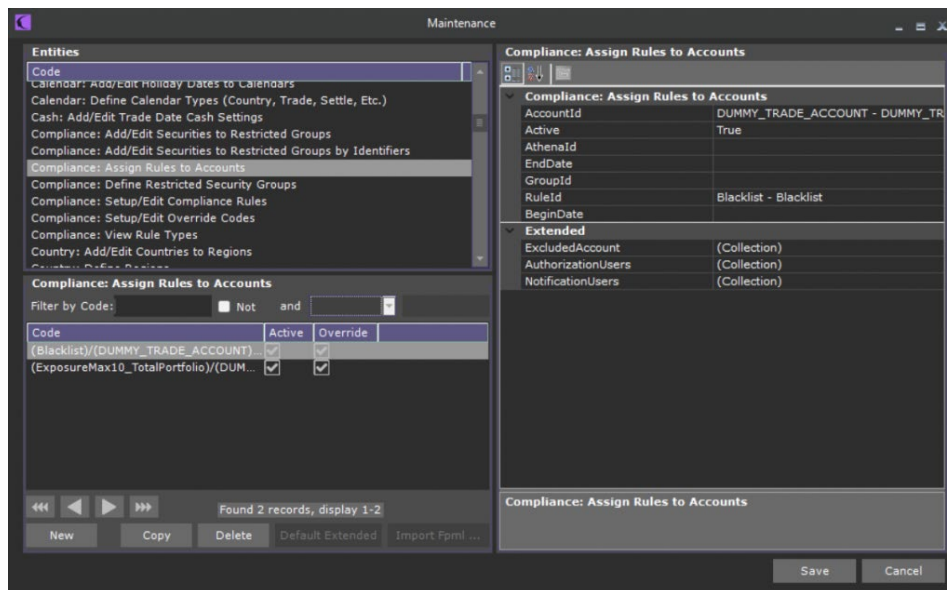
In this section, you can assign rules to different accounts/groups.

If you want to assign several rules to one account, you will have to create several entries for that one account. Each entry with a different Rule ID.

Same to assign a rule to a Group.

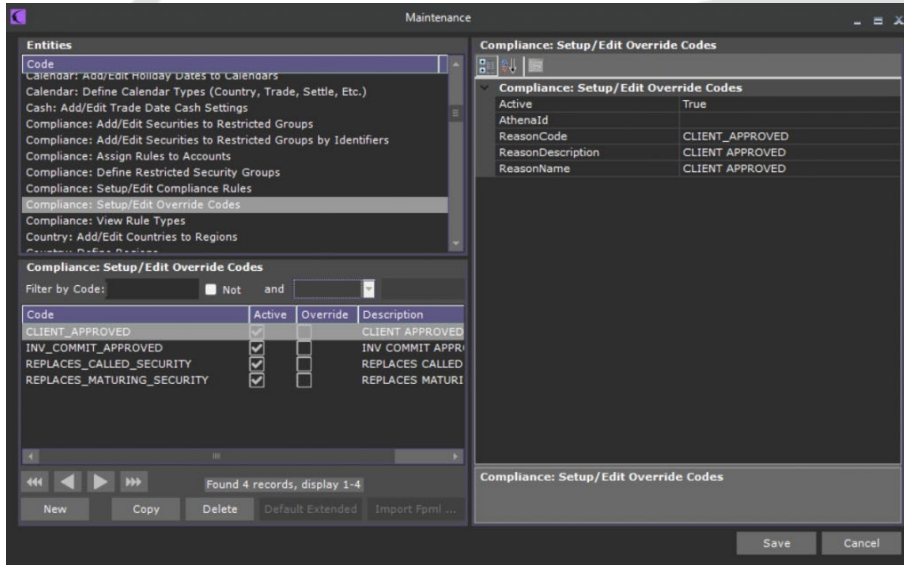
We cannot assign a rule to BOTH ACCOUNT and GROUP at the same time. An account is included in a group - if you assign a rule to an entire group, all the accounts it includes will be affected.

If you click new, a blank window will appear. Here you can choose the AccountID OR GroupID (created in "Account: Define Account groups") and the RuleID (created in "Compliance: Setup/Edit Compliance Rule").



SETUP/EDIT OVERRIDE CODES

You can create different reasons why a rule was overridden. You can copy an existing code and edit the fields or you can create a new one.



The screenshot shows a software interface for managing override codes. It is divided into several sections:

- Entities:** A list of system entities, with 'Compliance: Setup/Edit Override Codes' selected.
- Compliance: Setup/Edit Override Codes (Filter):** A table showing a list of codes with columns for Code, Active, Override, and Description.

Code	Active	Override	Description
CLIENT_APPROVED	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CLIENT APPROVED
INV_COMMIT_APPROVED	<input checked="" type="checkbox"/>	<input type="checkbox"/>	INV COMMIT APPROVED
REPLACES_CALLED_SECURITY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REPLACES CALLED
REPLACES_MATURING_SECURITY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REPLACES MATURING
- Compliance: Setup/Edit Override Codes (Form):** A form for editing a specific code. The fields are:

Active	True
AthenaId	
ReasonCode	CLIENT_APPROVED
ReasonDescription	CLIENT APPROVED
ReasonName	CLIENT APPROVED
- Navigation:** At the bottom, there are navigation buttons: New, Copy, Delete, Default Extended, Import Fpml, Save, and Cancel. A status bar indicates 'Found 4 records, display 1-4'.



CONTACT US

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AMERICAS:

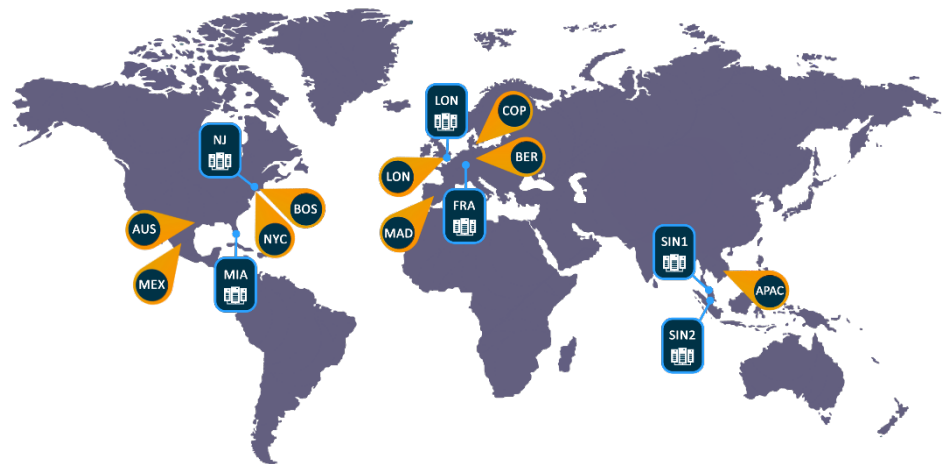
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28014 Madrid, SPAIN

APAC:

11 Doan Van Bo, 23rd Floor
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