

Oracle Financial Services
Behavior Detection
Applications Pack

Version 8.0.0.0.0

Release Notes



DOCUMENT CONTROL

Version Number	Revision Date	Changes Done
1.0	Created: January 2015	Captured Software environment details, new features, fixed issues, limitations and known issues for 8.0.0.0.0 release.
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Preface

This Preface provides supporting information for the Oracle Financial Services Behavior Detection (OFS BD) Applications Pack Release Notes.

This preface includes the following topics:

- [Purpose of This Document](#)
- [Intended Audience](#)
- [Related Documents](#)

Purpose of This Document

This document contains release information for the following products:

- Oracle Financial Services Analytical Applications Infrastructure (OFS AAI)
- Oracle Financial Services Behavior Detection

Intended Audience

This document is intended for users of Oracle Financial Services Behavior Detection (OFS BD) Applications Pack.

Related Documents

This section identifies additional documents related to Oracle Financial Services Behavior Detection (OFS BD) Applications Pack 8.0.0.0.0. You can access Oracle documentation online from the Documentation Library for OFS BD 8.0.0.0.0 ([OTN](#)).

OFSAA Related Documents

- [Oracle Financial Services Advanced Analytical Applications Infrastructure \(OFS AAAI\) Applications Pack 8.0.0.0.0 Installation and Configuration Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure Environment Check Utility Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure User Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure Administration Guide](#)
- [Oracle Financial Services Analytical Applications v8.0 Technology Matrix](#)

OFS BD Related Documents

- *Behavior Detection Applications Pack Installation Guide*
- *Administration Guide*
- *Know Your Customer Administration Guide*
- *FATCA Management Administration and Configuration Guide*
- *FATCA Regulatory Reporting Administration and Configuration Guide*
- *Configuration Guide*
- *Scenario Wizard Configuration Guide*
- *Services Guide*
- *Administration Tools User Guide*
- *Alert Management User Guide*
- *Enterprise Case Management User Guide*
- *FATCA Regulatory Reporting User Guide*
- *Scenario Manager User Guide*
- *Glossary*
- *Know Your Customer Risk Assessment Guide*
- *FATCA Regulatory Reporting Assessment Guide*
- *Data Interface Specification*
- *Know Your Customer Data Model Reference Guide*
- *FATCA RR Data Model Reference Guide*
- *Financial Services Data Model Reference Guide Volume 1: Business Data*
- *Financial Services Data Model Reference Guide Volume 2: Oracle Financial Services Data*
- *Financial Services Data Model Reference Guide Volume 3: Case Management Data*
- *Anti-Money Laundering Technical Scenario Descriptions*
- *Broker Compliance Technical Scenario Descriptions*
- *Energy and Commodity Trading Compliance Technical Scenario Descriptions*
- *Fraud Technical Scenario Descriptions*
- *Trading Compliance Technical Scenario Descriptions*

1 Introduction

This chapter covers following topics:

- [About Oracle Financial Services Analytical Applications \(OFSAA\)](#)
- [Components of Oracle Financial Services Behavior Detection \(OFS BD\) Applications Pack](#)

1.1 About Oracle Financial Services Analytical Applications (OFSAA)

In today's turbulent markets, financial institutions require a better understanding of their risk-return, while strengthening competitive advantage and enhancing long-term customer value. Oracle Financial Services Analytical Applications (OFSAA) enable financial institutions to measure and meet risk adjusted performance objectives, cultivate a risk management culture through transparency, lower the costs of compliance and regulation, and improve insight into customer behavior.

OFSAA uses industry-leading analytical methods, shared data model and applications architecture to enable integrated risk management, performance management, customer insight, and compliance management. OFSAA actively incorporates risk into decision making, enables to achieve a consistent view of performance, promote a transparent risk management culture, and provide pervasive intelligence.

Oracle Financial Services Analytical Applications delivers a comprehensive, integrated suite of financial services analytical applications for both banking and insurance domain.

1.2 Components of Oracle Financial Services Behavior Detection (OFS BD) Applications Pack

OFS Behavior Detection Applications Pack includes the following applications:

- **Financial Services Analytical Applications Infrastructure:** This application streamlines analysis using a set of tools for data management and security administration and creates a single, consistent, enterprise-wide source of all relevant customer and financial data.
- **Financial Services Behavior Detection:** This application enables financial institutions to meet their regulatory reporting requirements as part of integrated financial crime and compliance management approach and helps reduce compliance costs and manage potential exposures.

Oracle Financial Services Behavior Detection (BD) provides automated, comprehensive, and consistent surveillance of all accounts, customers, correspondents, and third parties in transactions, trades, orders across all business lines. The application allows organizations such as banks, brokerage firms, and insurance companies to monitor customer transactions daily, using customer historical information and account profiles to provide a holistic view of

all transactions, trades, orders and other activities. It also allows organizations to comply with national and international regulatory mandates using an enhanced level of internal controls and governance. Behavior Detection is a common platform that supports the following OFSAA products:

- **Anti-Money Laundering Enterprise Edition (AML EE)** monitors transactions to identify possible money-laundering activities. These scenarios consider whether the geographical location or entities involved warrant enhanced scrutiny; monitor activity between accounts, customers, correspondents, and other entities to reveal relationships that could indicate efforts to launder funds; address sudden, significant changes in transaction activity that could indicate money laundering or fraud; and detect other types of activities that are considered potentially suspicious or indicative of money laundering.
- **Know Your Customer (KYC)** assesses the risk associated with a customer by considering different attributes of the customer and enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. Cases generated in Know Your Customer can be managed within Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Enterprise Fraud Management (EFM)** detects behaviors and patterns that evolve over time and are indicative of sophisticated, complex fraud activity. These scenarios monitor check and deposit / withdrawal activity, electronic payments, such as funds transfer and payments completed through clearing house (ACH) mechanisms, and ATM and Bank Card to identify patterns of activities that could be indicate fraud, counterfeiting or kiting schemes, identity theft or account takeover schemes. Fraud scenarios also monitor employee transactions to identify situations in which employees, acting as insiders, take advantage of access to proprietary customer and account information to defraud the financial institution's customers.
- **Currency Transaction Reporting (CTR)** analyzes transaction data from the organization and identifies any suspicious activities within the institution that may lead to fraud or money laundering and must be reported to the regulatory authorities. Currency Transaction Reports (CTRs) are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. Oracle Financial Services Currency Transaction Reporting then helps the organization file the CTR online with the U.S. Financial Crimes Enforcement Network (FinCEN) using a discreet form or uploaded in a batch form in a specific text file format.

Unlike alerts for other Oracle Financial Services products such as Anti-Money Laundering, Fraud, Trading Compliance, Broker Compliance, or Energy and Commodity Trading Compliance which appear in an Alert Management user

interface, CTR alerts are automatically processed and converted into CTR reports or Monetary Instrument Log reports which can be worked through the CTR user interface.

- **Foreign Account Tax Compliance Act (FATCA) Management** allows financial institutions to comply with FATCA regulations from the Internal Revenue Service and the US Treasury Department which prevent US taxpayers who hold financial assets in non-US financial institutions and other offshore vehicles from avoiding their US tax obligations. The FATCA Management solution integrates with Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Trading Compliance (TC)** examines prices and timing of orders and executions by comparing them to market conditions and detect behaviors or situations that violate exchange, market center, and individual broker or dealer policies and procedures, including behaviors that violate the Chinese Wall policies and procedures established by the Firm or those with confidential information held by the Firm about a security.
- **Personal Trading Approval (PTA)** monitors employee investment accounts and trades. Employees of the financial institution submit trade requests to be made from their approved investment accounts. Compliance officers can then review, approve, or reject the trade requests to ensure that their employees are acting in compliance with regulations. Financial institutions can also use this solution to maintain employee attestations.
- **Trade Blotter (TB)** allows trades to be viewed and reviewed, primarily for suitability issues within the wealth management sector, by compliance analysts and or business supervisors after a trade has been executed. The Trade Blotter is a list of trades returned after a search based on specified criteria. Users can view trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or requiring follow-up.
- **Broker Compliance (BC)** identifies activities or situations in customer accounts that involve either a significant amount of risk-and therefore may be unsuitable for the customer-or may violate trading rules set by the exchanges or regulators; trades in mutual fund securities that may violate regulatory trading guidelines, Commission policies, or are unsuitable for a particular customer; and activities performed by employees that may violate regulatory conduct rules or may be prohibited by firm policies. These scenarios also detect instances in which an investment advisor may be managing client accounts in a manner that is unsuitable for their customers, giving preferential treatment to particular customers, or manipulating transactions between accounts; and instances in which a portfolio manager may be placing orders on material, non-public information, misrepresenting portfolio performance, or unfairly allocating orders to accounts they manage.

- **Energy and Commodity Trading Compliance (ECTC)** monitors trading activities that involve the financial institution as the buyer or seller on energy and commodity related trades, including commodities, options, futures, and swaps.
- **Enterprise Case Management (ECM)** manages and tracks the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or your firm may integrate other Oracle Financial Services solutions, such as Alert Management, Know Your Customer, and FATCA Management, which can be used to create cases.

2 Oracle Financial Services Analytical Applications Infrastructure

This chapter includes the following topics:

- [New Features](#)
- [Limitations and Known Issues](#)
- [Fixed Issues](#)

2.1 New Features

The following new features are supported in this release:

- **Unified Install Experience**

Install multiple applications/ products using a single installer. This release of OFSAA ships various Application Installers with related applications packaged together in groups. User can install all applications that belong to a group, but choose to enable only the licensed applications.
- **Schema Creator**

This release of OFSAA comes with a utility to allow hassle-free creation of database schemas required for the OFSAA installation. The utility avoids user errors in schema creation/ assigning grants for the multiple schemas required.
- **Common Landing Page and Application Context**

A common landing page is available for all users until a preferred application landing page has been set. The landing page is divided into multiple tabs and each tab has specific links to OFSAA Infrastructure and/ or Application modules. Depending on the OFSAA Application being accessed and the access roles mapped to the logged in User, the tab and links would be displayed.
- **Applications Tab**

This tab lists the various OFSAA Applications that are installed in the OFSAA setup and the “Select Application” drop-down lists the OFSAA Applications based on the logged in User and mapped OFSAA Application User Group(s). Links to related modules within Applications and Infrastructure are grouped appropriately to maintain a unified experience.
- **Object Administration Tab**

This tab lists the various OFSAA Information Domains created in the OFSAA setup and the “Select Information Domain” dropdown lists the OFSAA Information Domains based on the logged in User and mapped OFSAA Application User Group(s). Links to modules that enable object traceability and migration of objects are grouped in this tab.
- **System Configuration & Identity Management Tab**

This tab lists the OFSAA Infrastructure System Configuration and Identity Management modules. These modules work across Applications/ Information Domains and hence

there are no Application/ Information Domain dropdown list in this tab). Links to modules that allow the maintenance of setup installation and identity management tasks are grouped together in this tab.

- **Model Upload changes**
Use the NO VALIDATE option to bypass referential integrity checks during the model upload process.
- **Support for new technologies**
Additional support for Oracle Database12c, WebLogic Server 12c, WebSphere Application Server 8.5 +, Internet Explorer 11(Compatibility Mode), Windows 8.1 & Office 2010 & 2013 is available in this release. Encryption uses SSL 3.0.

2.2 Limitations and Known Issues

The following table lists the Limitations and Known Issues:

Component	Bug ID	Description
Forms Framework	16594419	On selecting the currency control feature along with field chooser option, some fields are displayed as blank even if there is data.
	10090072	Export does not work if the column name and mapper information have special characters such as '&' and '<' and '>' respectively.
	12678207	Quick Select does not display the Key Business Dimensions combinations when any of the selected hierarchy node descriptions contain = and ` characters.
Administration	18937484	Segments/ Folder is not deleted if objects are present in it.
	12744050	Users exceeding the Number of Invalid Login attempts / dormant day / Inactive Days are sent to System Authorizer for authorization even if there is an authorization pending for the same user whose details are modified.
Generic Issues	9540094	Keyboard backspace button when clicked from Infrastructure home page logs out from the application
	9883414	Opened child window from the home page remains active even after the parent window is closed by clicking on "X" button; operations performed on child window are getting saved
	10144582	OFSAAI Login page cannot be accessed when Google toolbar for Internet Explorer is enabled. Workaround: Disable the "Google toolbar" from the tools properties of your browser.

Component	Bug ID	Description
	12663701	Expressions containing special characters such as @, ~, # are displayed as "undefined" under Variants in Entity Group Selection pane
	20268074	Cube is not saved in the AW due to initialization error.
RDBMS	18501701	Maximum length of CLOB object supported is 65535 characters.

2.3 Fixed Issues

The following table lists the fixed issues:

Component	Sub component	Bug ID	Description
Data Model		16298167	Dimension columns defined as nullable in Portfolio super class.
Install and Upgrade Issues	Base Installer	19434764	Appropriate message not prompted during Reveleus server start up for first time.
System Configuration	Information Domain	20042362	Generate BI hierarchy option in Infodom creation is removed & defaulted as None
	Configuration	19332737	Database server details name can be only 20 characters
	Configuration	19073237	In clustered environment, configuration parameter updated are getting refreshed

3 Oracle Financial Services Behavior Detection

This chapter includes the following topics:

- [New Features](#)
- [Limitations and Known Issues](#)

3.1 New Features

None

3.2 Limitations and Known Issues

The following table lists the Limitation and Known Issues:

Component	Bug ID	Description
Database	19693182	ORA-01795 error while purging Alerts.
Data Ingestion	20213726	Unable to start Watchlist Services.
	20309393	BDF ingestion using external directory deletes records in business schema tables.
Services	20280484	Post Alert Service is failing.
Utilities	20278477	JAVA.SQL.SQL Exception is thrown while loading scenarios. This error can be ignored as scenarios will load successfully.
User Interface	19641527	Cases not getting purged in the Purge Utility.
	20093006	The Add Case Entities action fails when there are multiple cases with the same CREATE_TS.
	20113418	Cross-scripting error displayed on Internet Explorer. This issue is seen when the user navigates from the Home page or Alert List page to the Details page and then to the Business tab.
	20307421	Documents uploaded via DIS load in the Customer Identification Document file do not display in the UI properly.
	20436259	If the user selects View as their preferred search option, their selection for a specific view in Set View for Case List in the Preference page is not being saved and shown on the Case Search and List Page.
	20443807	When changing any value for the Email parameter in the

Component	Bug ID	Description
		Manage Parameters window the changes made are not being saved.

4 Hardware/Software Tech Stack Details

The hardware/software combinations required for OFS BD 8.0.0.0.0 are available at [OTN Tech Stack](#).

5 Information of third party software tools used

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5.7 Werken Digital

5.8 JDOM, Version 1.1.6



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