

# Alert Management User Guide

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# Alert Management User Guide

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# About this Guide

This guide explains the concepts of Oracle Financial Services Alert Management, Release 6.2.2, and provides step-by-step instructions for navigating the Oracle Financial Services web pages, analyzing alerts, acting on alerts, researching the business information.

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

## Who Should Use this Guide

The *Alert Management User Guide*, Release 6.2.2 is designed for the following users:

- **Analyst:** This user works on the alerts within the application frequently. This user's specific role (that is, Analyst I, Analyst II, or Analyst III) determines what this user can view and perform within the application.
- **Supervisor:** This user works on the alerts within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.
- **Executive:** This user may not be involved in the day-to-day analysis of alerts. However, this user can view many areas within the application and can perform only a limited set of actions.
- **Auditor:** This user has broad viewing rights within the application. However, user can perform a limited set of actions based on the user's role (that is, Internal Auditor or External Auditor).

## How this Guide is Organized

The *Alert Management User Guide*, Release 6.2.2, includes the following chapters:

- *Chapter 1, About Alert Management*, provides an overview of Oracle Financial Services application, how it works, and what it does.
- Chapter 2, *Getting Started*, explains common elements of the interface. includes instructions on how to configure your system, access Oracle Financial Services application, and exit the application.
- Chapter 3, *Managing Alerts*, explains the Alerts workflow, how to search for business data and create alerts, and the actions you can take on alerts.
- Chapter 4, *Managing Suppression Rules*, provides instructions for managing suppression rules.
- Chapter 5, *Managing Trusted Pairs*, provides instructions for managing trusted pairs.
- Chapter 6, *Managing Trade Blotter*, explains analysis on the trades.

- Chapter 7, *Managing Controlling Customers*, describes how to view existing or historical data, update certain components of the controlling customer, and delete existing controlling customers.
- Chapter 8, *Managing Security Restrictions*, explains securities restriction features providing a way to search for existing trading restrictions on different securities based on user-specified search parameters.
- Chapter 9, *Managing Regulatory Reporting*, explains the high-level information on Regulatory Reporting.
- Chapter 10, *Managing Watch List Management*, describes the Oracle Financial Services Watch List Management feature.
- Chapter 11, *Generating Interactive Analytic Reports*, describes the Interactive Analytic reports available in Oracle Financial Services.
- Chapter 12, *Setting User Preferences*, explains how to setup Oracle Financial Services Alert Management and Enterprise Case Management preferences.
- Appendix A, *Business Tabs*, identifies the possible business tab pages that Oracle Financial Services application displays for a specific scenario class and focus type.
- Appendix B, *Using Alert Management Web Pages* explains common elements of the interface.
- Appendix C, *Message Pages*, explains error and status pages that are not directly related to the business function of the application.
- Appendix D, *Security within Oracle Financial Services Alert Management*, explains how Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) security is used.
- Appendix E, *Calculating Risk*, describes how Oracle Financial Services Alert Management uses risk calculations as part of managing sensitivity when detecting behaviors of interest.
- Appendix F, *Graph 2Trade Blotter List Component Matrix*, lists trade blotter components in the Oracle Financial Services Alert Management application.
- The *Index*, provides an alphabetized cross-reference list that helps you to locate information quickly.

## Where to Find More Information

For more information about the Oracle Financial Services Alert Management, refer to the following documents:

- *Administration Guide*
- *Administration Tools User Guide*
- *Configuration Guide*
- *Data Interface Specification (DIS)*
- *Installation Guide - Stage 1*
- *Anti Money Laundering Technical Scenario Descriptions*
- *Trading Compliance Technical Scenario Descriptions*
- *Fraud Technical Scenario Descriptions*
- *Broker Compliance Technical Scenario Descriptions*
- *Energy and Commodity Trading Technical Scenario Descriptions*
- *Release Notes*

To find more information about Oracle Financial Services and our complete product line, visit our Web site [www.oracle.com/financialservices](http://www.oracle.com/financialservices).

## Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

This convention . . .	Stands for . . .
<i>Italics</i>	<ul style="list-style-type: none"> <li>● Names of books as references</li> <li>● Emphasis</li> <li>● Substitute input values</li> </ul>
<b>Bold</b>	<ul style="list-style-type: none"> <li>● Menu names, field names, options, button names</li> <li>● Commands typed at a prompt</li> <li>● User input</li> </ul>
Monospace	<ul style="list-style-type: none"> <li>● Directories and subdirectories</li> <li>● File names and extensions</li> <li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li> </ul>
<Variable>	<ul style="list-style-type: none"> <li>● Substitute input value</li> </ul>



This chapter gives an overview of Alert Management. This chapter discusses the following topics:

- Overview of Alert Management
- Alert Management Workflow
- Data Ingestion
- Behavior Detection
- Post Processing
- Alert Management
- Correlation
- Suppression Rules
- Trusted Pairs
- Trade Blotter
- Controlling Customer
- Security Restriction
- Watch List Management
- User Privileges

## ***Overview of Alert Management***

Oracle Financial Services Alert Management detects potentially problematic behaviors by identifying patterns in data and generating alerts. An *alert* is a unit of work in which a focus appears to have exhibited a behavior of interest, along with the supporting information. A *focus* represents a business entity or business unit around which activity is reviewed and aggregated. There are many supported types of focus, ranging from Account or Customer to Order, Execution or Trade, depending on the behavior of interest. Alerts can be generated from a pattern matching specific source events, a sequence of events, trends, conditions, or context. An alert is not necessarily tied to an event but rather to the behavior of a focus. An alert is a record of one or more pattern matches in a detection run, which is a signal for further investigation.

## Alert Management Workflow

The following figure illustrates the workflow of Oracle Financial Services Alert Management.

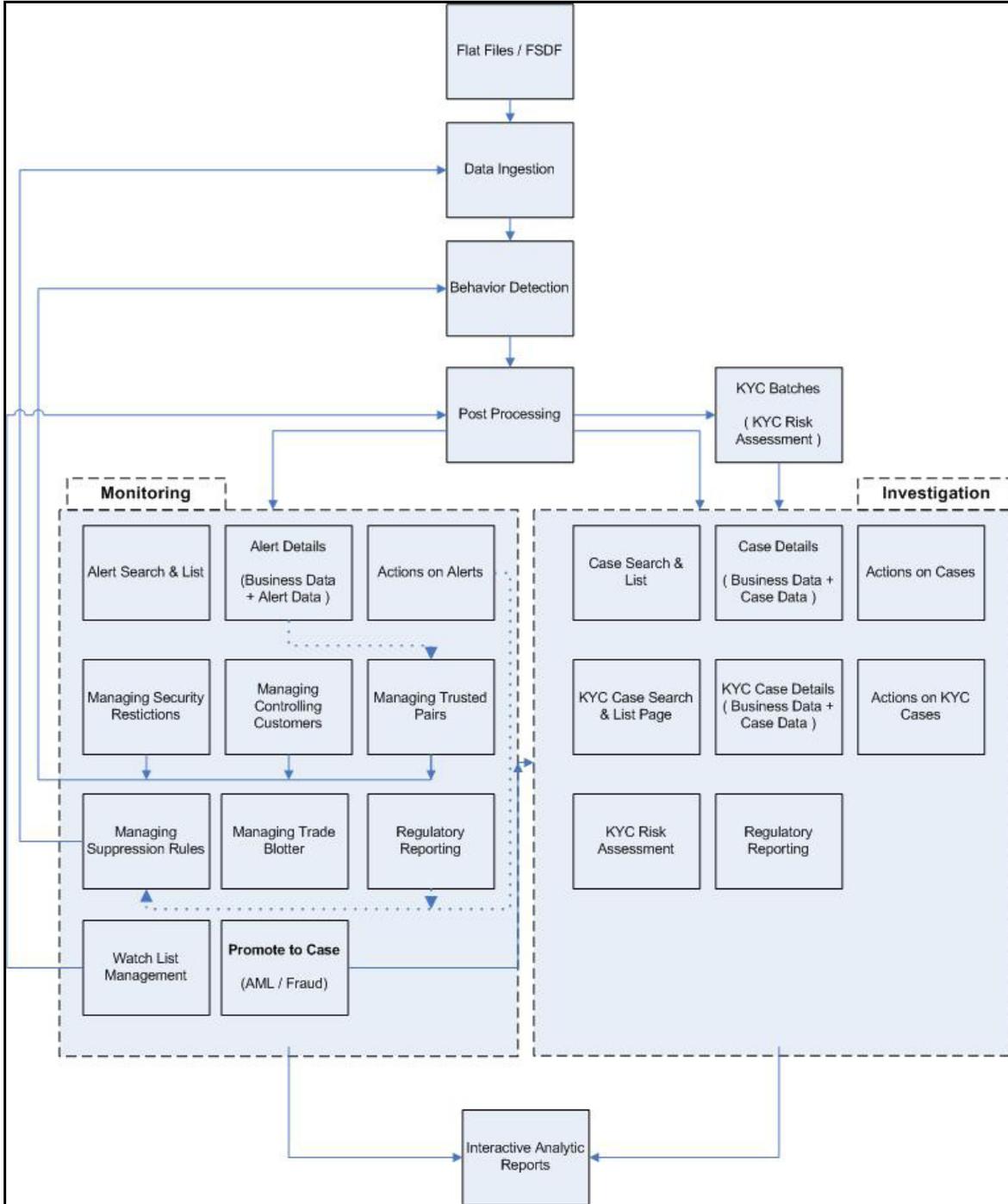


Figure 1. Alert Management Workflow

## Data Ingestion

The Oracle Financial Services Ingestion Manager receives, transforms, and loads Market data, Business data (such as Transactions or Orders and Trades), and Reference data (such as Account and Customer and Employee information) that alert detection processing requires. The Ingestion Manager typically receives Market data from a real-time Market data feed or file adapter interface, and both Business and Reference data through the file adapter interface. The Data Ingestion subsystem transforms Market, Business, and Reference data to create derived attributes that the detection algorithms require (much of the loaded data is as is). The system extracts and transforms data and subsequently loads the data into the database. After loading the base tables, the Oracle client's job scheduling system invokes BDF datamap XML to derive and aggregate data. The Data Ingestion component also uses the Fuzzy Name Matcher Utility to compare names found in source data with names in the Watch List.

The Oracle client implements Ingestion Manager by setting up a batch process that conforms to the general flow that this chapter describes. Typically, the system uses a job scheduling tool such as Maestro or Unicenter AutoSys to control batch processing of Ingestion Manager.

## Behavior Detection

The Oracle Financial Services Behavior Detection Framework uses sophisticated pattern recognition techniques to identify behaviors of interest, or *scenarios*, that are indicative of potentially interesting behavior. A *pattern* is a specific set of detection logic and match generation criteria for a particular type of behavior. These behaviors can take multiple representations in a firm's data.

The software detects behavior that matches the logic and criteria defined by specific patterns. When one or more data records equal a scenario's pattern of behavior, a *match* is created. Records that contribute to the exhibition of the behavior are associated to the match as *matched records* and display in the Oracle Financial Services Alert Management as building blocks. The entity that is responsible for the behavior of interest is considered the *focus* of the match. Examples of focus types are account, execution, correspondent bank, and employee.

The Oracle Financial Services Alert Management generates an *alert* to package one or more matches for analysis and action. If multiple matches are found that are closely related for the same focus (that is, instances of similar behaviors by the same entity), the matches can be combined to create a single alert, herein referred to as a multi-match alert, to help the analysis of the found behaviors.

Scenarios representing related business problems are grouped into scenario classes. Scenario classes are categories of behaviors or situations that have common underlying characteristics.

Depending on your deployment, one or more of the following solution sets are available: Anti-Money Laundering (AML) and Fraud (FR), Trading Compliance (TC), Broker Compliance (BC), and Energy and Commodity Trading Compliance (ECTC).

## Scenarios

The Oracle Financial Services Alert Management detection modules are divided into scenarios that typify specific types of business problems or activities of interest. The scenarios within Oracle Financial Services Alert Management are grouped into scenario classes that represent categories of behaviors or situations that have common underlying characteristics. The scenario class dictates the action choices available and the data that displays to you while an alert is processing.

## Oracle Financial Services Behavior Detection Framework UI

The pages that are available within the Oracle Financial Services Alert Management User Interface (UI), the fields on those pages, and the actions you can take are based on your firm's deployment of the product. There is a base set of pages that displays for all alerts (for example, the Alert Data tab pages).

The Alert Data tabs consist of Details, Disposition, Financials, Correlations, Relationships, Narrative, Evidence, and Audit tabs. These tabs display information pertaining to the focus of the alert and the entities related to the focus in relation to the firm's most recent data submission.

In addition to the Alert Data tab pages, Business Data tab pages are conditionally displayed, based upon the focus and scenario class of the alert class. In some instances, the content of the Business Data tab page can also be affected by attributes of the business entity that is being displayed. For example, the Customer business data page for an Individual type customer will display different information than the Customer tab page for a Customer which is a legal entity or business.

### *Post Processing*

During post-processing of detection results, Behavior Detection prepares the detection results for presentation to users. Preparation of the results depends upon the following processes:

- **Augmentation:** Collects additional information related to the matched behavior and focus for pattern detection, which enables proper display or analysis of the generated matches.
- **Match Scoring:** Computes a ranking for scenario matches indicating a degree of risk associated with the detected event or behavior.
- **Alert Creation:** Packages the scenario matches as units of work (that is, alerts), potentially grouping similar matches together, for disposition by end users. This is applicable when multiple matches with distinct scores are grouped into a single alert.
- **Update Alert Financial Data:** Records additional data for alerts such as the related Investment Advisor or Security involved in the alert which may be useful for display and analysis.
- **Alert Scoring:** Ranks the alerts (including each match within the alerts) to indicate the degree of risk associated with the detected event or behavior.
- **Alert Assignment:** Determines the user or group of users responsible for handling each alert or case.
- **Auto-Close:** Based on configurable rules, closes alerts which are considered to be of lower priority based on attributes of the alert or the alert focus.
- **Automatic Alert Suppression:** Suppresses alerts that share specific scenario and focal entity attributes for a particular time frame. This process will only impact alerts which match suppression logic defined for a specific scenario and focal entity combination.
- **Highlight Generation:** Generates highlights for alerts that appear in the alert list in the Alert Management subsystem and stores them in the database.
- **Augment Trade Blotter:** Provides the ability to differentiate between various types of trades using text-based codes. It also provides the ability to flag trades that require additional analysis before an analyst can mark trade as Reviewed or Reviewed with Follow up.

- **Score Trade Blotter:** Determines the maximum score of alerts generated in the same batch cycle associated with a trade; also determines the alert/trade mappings.
- **Historical Data Copy:** Identifies the records against which the current batch's scenario runs generated alerts and copies them to archive tables. This allows for the display of a snapshot of information as of the time the alert behavior was detected.
- **Alert Correlation:** Uncovers relationships among alerts by correlating alerts to business entities and subsequently correlating alerts to each other based on these business entities. The relationships are discovered based on configurable correlation rule sets.

## **Alert Management**

OFSBDF routinely generates alerts as determined by the configuration of the application in your environment, typically nightly, weekly, monthly, and quarterly. Alerts can be automatically assigned to an individual or group of users and can be reassigned by a user.

Once matches have been generated and alerts created and assigned, OFSBDF provides a User Interface (UI) for the investigation and disposition of those alerts. The Alert Management UI allows users to review details of the behavior which led to the alert, information about the focus of the alert, and a history of behavior related to the focus.

Users can take actions on an alert using OFSBDF, and move it through a series of statuses to a final disposition.

### **Alert Statuses**

An alert's status can change in the following ways:

- An eligible user views the alert
- An action is taken on the alert

While some actions can be taken automatically by the application that changes status, this section focuses on the manual actions you take that cause an alert's status to change.

If you access the Alert Details page of an alert with the status of New, and the alert is owned by a user group of which you are a member, the alert status is changed to Open through the Alerts workflow. However, ownership of the alert will only transfer to you if your firm's installation is configured to allow for Alert Inheritance (the transfer of ownership of a New alert to an authorized user upon the viewing of the alert).

During the process of closing an alert, several actions can be taken on the alert. Refer to Chapter 3, *Managing Alerts*, on page 23, for details on how to take these actions.

**Note:** You can only take actions on alerts that you are authorized to view. Oracle Financial Services Alert Management determines your ability to take action on alerts based on your role.

Table 2 lists alert statuses and the events that may cause the status to change.

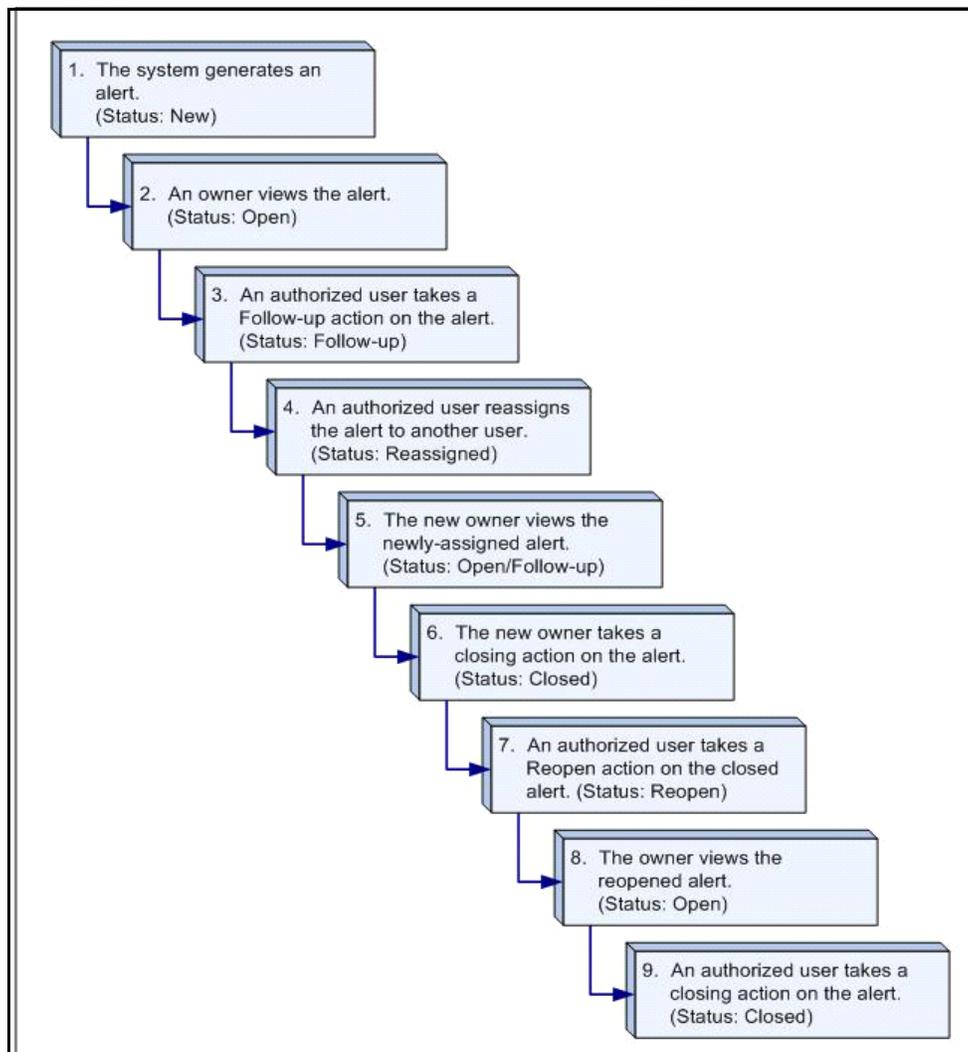
**Table 2. Alert Status Descriptions**

<b>Status</b>	<b>Description</b>
New	The application has generated an alert, and the owner has not yet viewed the alert detail information.
Open	An owner has viewed the alert detail information.
Follow-up	An authorized user has set a date when additional information needed to aid in the analysis of the alert must be received.

**Table 2. Alert Status Descriptions (Continued)**

Status	Description
Reassigned	An authorized user has assigned the alert to another owner, and the new owner has not yet viewed the details of the alert.
Closed	An authorized user has taken a closing action, or the alert is auto-closed or auto-suppressed by the application because it meets your firm's criteria for auto-closing or auto-suppression.
Reopened	An authorized user has opened an alert that had previously been closed, and the owner has not yet viewed the reopened alert.
VBO (Viewed by Owner)	An eligible user has viewed an alert or case that has been assigned to them or to a user group to which they have access. Often, depending on the status at the time the alert or case is viewed, the status may change to reflect the fact that an eligible user has viewed it.

Figure 2 identifies the events that can change the status of an alert as it moves throughout an organization.



**Figure 2. Potential Life Cycle of an Alert**

Table 3 provides a high-level walk-through of an alert's typical life cycle.

**Table 3. Alert Life Cycle Walk-Through**

	<b>Types of Actions</b>	<b>Alert Status</b>
1	Application generates an alert.	New
2	An owner views the alert.	Open
3	An authorized user takes a Follow-up action on the alert.	Follow-up
4	An authorized owner reassigns the alert to another user.	Reassigned
5	The new owner views the newly assigned alert.	Open/ Follow-up
6	An authorized user takes a Closing action on the alert.	Closed
7	An authorized user takes the Reopen action on the closed alert.	Reopen
8	The owner views the reopened alert.	Open
9	An authorized user takes a Closing action on the alert.	Closed

## Related Alerts

The UI displays the alerts related to the focal entity of the alert. Related alerts are alerts with either the same focal entity as the current alert or alerts whose focal entities share a business relationship with the focal entity of the current alert being investigated. Additionally, related alerts can be alerts related to the focal entity of the current alert based upon matching one or more business entities to alert correlation rules. Refer to section *Correlation* on page 7 for more information on alert correlation.

Related Alerts display on the Relationship tab.

## Related Cases

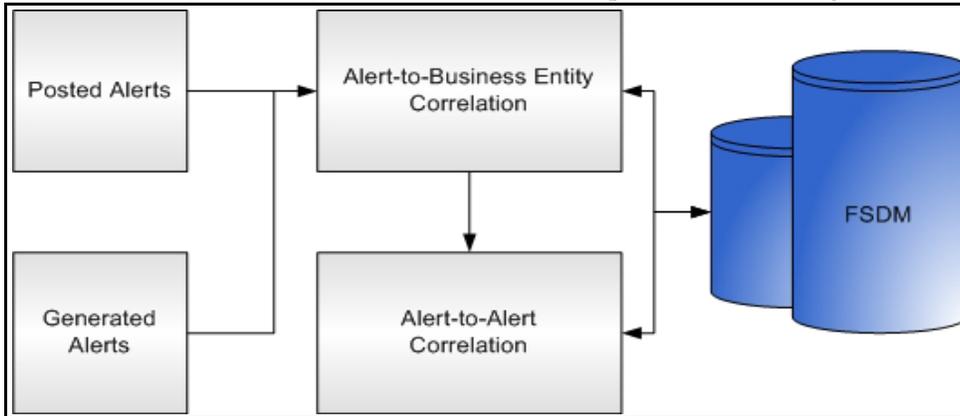
If your firm has implemented Oracle Financial Services Enterprise Case Management, the UI displays the cases related to the focal entity of the alert being investigated where the focal entity is included as a business entity or involved party on the case. The Related Cases display on the Relationship tab.

## Correlation

Alert Correlation is an Oracle Financial Services Alert Management module that automatically uncovers relationships among alerts based on configurable rule sets. It is executed on-demand by the Alert Management Supervisor Web Service as alerts are posted or as part of the behavior detection batch process. Its purpose is to find relationships between individual posted alerts and other existing alerts; to correlate alerts generated as part of a nightly batch process with other alerts generated in the same or prior batches; and, finally, to periodically identify relationships across alerts generated within a certain time period. If your firm has implemented Oracle Financial Services Enterprise Case Management, Alert Correlations can automatically be promoted to a case based upon configurable actions.

Business Entity correlations and alert correlations are displayed on the Correlation Tab in the Alert Management UI as additional information within the context of an alert or case.

Alert correlation occurs either as part of processing a posted alert (alerts which can be posted directly into the Alert Management subsystem from an external source) or during batch alert processing. Alert correlation derives the Alert-to-Business Entity Correlation and stores the resulting relationships in the FSDM (Financial Services Data Model). After the Alert-to-Business Entity Correlation, alerts are correlated to other alerts (Alert-to-Alert Correlation) and a set of action rules are instituted to process the resulting correlation (Figure 3).



**Figure 3. Alert Correlation— Process Flow**

## **Correlation Rules**

Alerts are correlated to other alerts based on the common business entities and correlation rules that are applied on the alerts. Multiple correlation rules are defined to correlate alerts for different business purposes. For example, you can set a correlation rule to link alerts generated over a specific time period that share the business entity. These correlation rules are version controlled with an audit trail to identify any changes made by the user.

## **Correlation Scoring Rule**

Similar to alert scoring rules, a correlation can also be scored. The correlation scoring rule, which is defined within the correlation rule, is driven by the alerts that are part of the correlation.

## **Alert Correlation in the Oracle Financial Services Alert Management UI**

The Oracle Financial Services Alert Management displays detected Alert-to-Business Entity Correlations within the context of alerts. The UI also displays discovered Alert Correlations (that is, Alert-to-Alert Correlations) within the context of alerts.

## ***Suppression Rules***

The Manage Suppression Rules feature provides a way to search for existing suppression rules based upon a set of user-specified parameters. Manage Suppression Rules also enables you to modify certain components of rules, in particular, to Update or to End an existing suppression rule as well as to track all the actions performed on that rule.

An alert suppression rule enables the system to automatically suppress a particular entity's newly-generated alerts based on criteria such as highlight, scenario, and suppression rule begin and end date. The rule captures information such as the creation date, the status, the generating scenario, the focal entity (focus type and focal entity ID) and the links to user comments associated with the suppression rule. Suppression rules are automatically created when you save a Close and Suppress action on an alert from within the Monitoring workflow.

## ***Trusted Pairs***

The Manage Trusted Pairs workflow is intended only for the management of existing trusted pairs, not the designation of trusted pairs. Through the Manage Trusted Pairs workflow, you can search, view, approve, reject, and modify existing trusted pairs based on your user privileges. Trusted Pairs can either be created by users during the course of investigating an alert or by the client providing trusted pairs via the DIS file. These options are mutually exclusive. Refer to Chapter 5, *Managing Trusted Pairs*, on page 113 for more information.

Designating pairs of entities as trusted helps to decrease the number of false positive alerts that are generated when the alerting activity is between entities that an institution considers to have a trusted relationship. During the process of ingesting transactional information (Wires, Checks and Monetary Instruments, Back Office Transactions and Insurance Transactions), Oracle Financial Services Behavior Detection Framework ingestion process flags a transaction as trusted if at least one party/counterparty pair on the transaction is considered to be a trusted pairs. These transactions can be optionally excluded from detection for many ML, IML, and FR class scenarios (through the use of a threshold parameter), thus reducing the number of false positives where alerts are generated on activity between parties trusted to do business with one another. As the relationship between a pair of entities is marked trusted for some period of time and is excluded from the process of behavior detection, the workload of an analyst can be greatly reduced. If the decision is made to not exclude trusted transactions from detection, alerts involving trusted transactions display information regarding the percent of the alert's transactions that involve trusted pairs versus transactions that do not involve trusted pairs.

## ***Trade Blotter***

The Trade Blotter functionality 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. Trade Blotter trades may or may not have been associated with an alert. You can access Trade Blotter only if the Trade Blotter functionality is enabled at installation and you have the appropriate permissions to do so.

Trade Blotter provides a list of trades returned after a search based on specified criteria. An analyst or supervisor can view various trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or reviewed with follow-up.

## ***Controlling Customer***

The Manage Controlling Customers feature provides a way to search for and manage customer relationships. A Controlling Customer is a customer who is in a controlling position in a company represented by a specific security. A customer can have a controlling position in more than one security. Controlling customer relationships are considered by some Oracle Financial Services Behavior Detection scenarios during alert generation.

Through the Manage Controlling Customers UI, you can view existing or historical controlling customers, update certain components or delete the controlling customer. In addition, it enables you to establish new controlling customers. This UI will only be available if your firm has enabled Manage Controlling Customers during installation.

## ***Security Restriction***

The Manage Securities Restriction feature provides a way to search for existing trading restrictions on different securities based on user-specified search parameters. It also enables you to view existing or historical data, update certain components of the restriction, and delete existing restrictions and establish new security trading restriction conditions.

A security restriction sets the conditions related to restriction on trading of specific securities. Oracle Financial Services Alert Management uses this information to generate alerts on suspicious trading behavior involving these restricted securities.

## ***Watch List Management***

The Watch List Management feature allows watch lists to be added, updated and deactivated. You can also add and deactivate watch list members. A watch list is a list of entries that have known risk characteristics. Watch lists can represent public sources or can be created and managed internally by the institution. Common public sources for watch lists include Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF). Watch lists are associated with a score.

For watch lists that can be categorized as risk lists (lists that contain entries that are considered to pose a risk to your firm), a risk score is assigned based on increasing risk, usually on a scale of 1 to 10. Watch lists can also be used to designate trusted or exempted entities. Watch lists play an important role in behavior detection for Anti-Money Laundering and Fraud behaviors. Refer to Appendix E, *Calculating Risk*, on page 275.

## ***About Interactive Analytics Reports***

Oracle Financial Services Alert Management supports integration of the alert investigation and resolution results with the Oracle Business Intelligence, thereby giving you the ability to perform queries on the results. This enables you to access seeded reports and dashboards and to quickly develop new reports on a wide variety of information. Standard reports and dashboards are part of the installation of Oracle Financial Services Alert Management. You can implement these reports as-is, or modify them according to your specifications. You can access valuable information such as AML Reports, Fraud Reports, KYC Reports, Broker Compliance Reports, Trading Compliance

Reports, Energy and Commodity Trading Compliance Reports, Productivity Reports and Drill-Down Reports for quick decision making.

## User Privileges

Oracle Financial Services Alert Management allows different types of roles to access the Alert Management UI. The various roles are: Analyst I, Analyst II, Analyst III, Supervisor, Executive, Internal Auditor, External Auditor, Data Miner, Oracle Administrator, and WLM Supervisor.

Table 4 describes the privileges for each role level.

**Table 4. User Privileges**

Privileges	Analyst I	Analyst II	Analyst III	Supervisor	Executive	Internal Auditor	External Auditor	Data Miner	AM Administrator	WLM Supervisor
<b>Access to Components</b>										
Access to Monitoring workflows	X	X	X	X	X	X	X			
Access to Reports workflow			X	X	X	X				
Access to Administration workflow									X	
Access to Manage Security Restrictions	X	X	X	X	X	X				
Access to Manage Controlling Customer	X	X	X	X	X	X				
Access to Manage Suppression Rules	X	X	X	X	X	X				
Access to Manage Trusted Pairs	X	X	X	X	X	X				
Access to Trade Blotter			X	X	X	X				
Access to Preferences	X	X	X	X	X	X	X		X	
Access to Create Alert page		X	X	X						
Access to Manage Watch Lists										X
Access to Manage Watch List Members										X
<b>Access to Tabs</b>										
Access to Relationships Tab	X	X	X	X	X	X	X			
Access to Narrative Tab	X	X	X	X	X	X	X			
Access to Disposition Tab	X	X	X	X						
Access to Audit Tab	X	X	X	X	X	X	X			
Access to Evidence Tab	X	X	X	X	X	X	X			
Access to Correlations Tab		X	X	X		X	X			
Access to Financials Tab	X	X	X	X	X	X	X			
<b>Access to Manage Suppression Rules Functionality</b>										
Access to View Search and List of for Suppression Rules	X	X	X	X	X	X				
Update Suppression Rules			X	X						
End Suppression Rules			X	X						

Table 4. User Privileges (Continued)

Privileges	Analyst I	Analyst II	Analyst III	Supervisor	Executive	Internal Auditor	External Auditor	Data Miner	AM Administrator	WLM Supervisor
View Suppression Rule Action History			X	X	X	X				
Access to Alert Actions										
Access to Add/Modify narrative		X	X	X						
Access to Print Alert Investigative reports (detailed and summary level)		X	X	X	X	X				
Access to add comments	X	X	X	X		X				
Access to remove attachments	X	X	X	X		X				
Access to Follow-up or Closing actions (additional restrictions may apply)		X	X	X						
Access to the Reassign action	X	X	X	X						
Ability to Reassign to owners in all organizations (additional access control restrictions may apply)	X	X	X	X						
Access to export actions		X	X	X						
Access to e-mail actions		X	X	X						
Access to suppression actions			X	X						
Ability to modify the highlight value while creating a suppression rule.			X	X						
Access to reopen actions		X	X	X						
Access to add attachments	X	X	X	X		X				
Access to Manage Trusted Pairs Functionality										
Access to Designate Trusted Pairs button on Matched Information section		X	X	X						
Access to View Search and List for Trusted Pairs	X	X	X	X	X	X				
Ability to Reject Trusted Pairs recommendations				X						
Ability to Self-Reject Trusted Pairs recommendations		X	X							
Ability to approve Trusted Pairs recommendations				X						
Ability to cancel Trusted Pairs				X						
Ability to recommend to cancel Trusted Pairs		X	X							
Ability to modify Trusted Pairs				X						
Ability to recommend to modify Trusted Pairs		X	X							
Ability to view Trusted Pairs History	X	X	X	X	X	X				
Access to Financials Functionality										
Access to enter data in Financials data entry sections		X	X	X						
Access to view history in the Financials tab		X	X	X	X	X				
Access to edit existing data on Financials tab		X	X	X						
Access to delete existing data on Financials tab		X	X	X						
Access to Adm in Tools										
Access to Threshold Editor								X		
Access to Alert Scoring Editor									X	
Access to Alert Creator Editor									X	

Table 4. User Privileges (Continued)

Privileges	Analyst I	Analyst II	Analyst III	Supervisor	Executive	Internal Auditor	External Auditor	Data Miner	AM Administrator	WLM Supervisor
Access to Alert Assigner Editor									X	
Access to Scenario Wizard								X		
Access to Threshold Analyzer								X	X	
Access to Common Productivity Reports for Alerts										
Alerts by Final Disposition - Monthly			X	X	X			X	X	
Alerts by Final Disposition - Weekly			X	X	X			X	X	
Alerts by Final Disposition - Yearly			X	X	X			X	X	
Alerts by Jurisdiction			X	X	X			X	X	
Alerts by Scenario			X	X	X			X	X	
Alerts by Status			X	X	X			X	X	
Alerts Late or near Late distributed by Jurisdiction			X	X	X			X	X	
Alerts Late or near Late distributed by Owner			X	X	X			X	X	
Alerts Late or near Late distributed by Scenario			X	X	X			X	X	
Access to AML Reports for Alerts										
SARs Submitted in a Period Distributed by Owner			X	X	X	X				
SARs Submitted in a Period Distributed by Scenario			X	X	X	X				
SARs Submitted in a Period Distributed by Jurisdiction			X	X	X	X				
False Positive Alerts Over a Period Distributed by Owner			X	X	X	X				
False Positive Alerts Over a Period Distributed by Scenario			X	X	X	X				
False Positive Alerts Over a Period Distributed by Jurisdiction			X	X	X	X				
AML Reports - Others										
SARs Due in a Period Distributed by Owner			X	X	X	X				
SARs Due in a Period Distributed by Jurisdiction			X	X	X	X				
Top 10 Branches with High Risk Customers			X	X	X	X				
Alert Entity Search Reports			X	X	X	X				
Access to Trade Blotter Reports										
Trade Review Activity Report			X	X	X					
Compliance Staff Productivity Report			X	X	X					
Access to Trade Blotter Functionality										
Access to View Trades in "Reviewed" status (This controls user's access to trades that are in the Reviewed status, and thus, also to the display of the "Reviewed" tab)			X	X	X	X				
Access to View Trades in "New- Un reviewed" status (This controls user's access to trades that are in the Pending status, and thus, also to the display of the "Pending" tab)			X	X	X	X				

Table 4. User Privileges (Continued)

Privileges	Analyst I	Analyst II	Analyst III	Supervisor	Executive	Internal Auditor	External Auditor	Data Miner	AM Administrator	WLM Supervisor
Access to View Trades in “Reviewed with Follow-Up” status (This controls user’s access to trades that are in the Reviewed with Follow-Up status, and thus, also to the display of the “Reviewed with Follow-Up” tab)			X	X	X	X				
Access to mark a trade as a “Reviewed” Trade (when the existing trade review status is “New- Un reviewed”)			X	X						
Access to mark a trade as a “Reviewed with Follow-Up” Trade (when the existing trade review status is “New- Un reviewed”)			X	X						
Access to Add Attachments to Trades			X	X						
Access to Add Comments to Trades			X	X						
Access to View Trade Attachments Audit History, Comment Audit History and Trade Action History			X	X		X				
Access to mark a trade as a Reviewed Trade (when the existing trade review status is Reviewed with Follow-Up)				X						
Access to mark a trade as a Reviewed with Follow-Up Trade (when the existing trade review status is Reviewed)				X						
Access to Send e-mail via Trade Blotter			X	X						
Access to Send e-mail and Request a Response via Trade Blotter			X	X						
Access to Watch List Management Functionality										
Access to Add Lists & Entries										X
Access to Edit Lists										X
Access to Deactivate Lists & Entries										X

This chapter discusses the information you need to start using Oracle Financial Services Alert Management:

- System Requirements
- Logging In to Oracle Financial Services Alert Management
- Access To Multiple Solutions
- Troubleshooting Your Display

## ***System Requirements***

The following applications are required to run Oracle Financial Services Alert Management:

- Microsoft Internet Explorer (IE) version 8 or later.  
Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.
- Adobe Acrobat Reader version 8.0, or later.  
You can download a free copy of the latest version of the Reader at [www.adobe.com](http://www.adobe.com).
- Java should be installed. JDK 1.6 (version 6) or above.
- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interface (UI).

## Logging In to Oracle Financial Services Alert Management

Access to the Oracle Financial Services Alert Management application depends on the Internet or Intranet environment. Oracle Financial Services Alert Management is accessed through Microsoft IE browser. Your system administrator provides the intranet address uniform resource locator (Figure 4).

Your system administrator provides you with a user ID and password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. Your password is case sensitive. If you have problems with the password, ensure that the **Caps Lock** key is off. If the problem persists, contact your system administrator



**Figure 4. Oracle Financial Services Login Page**

To log into Oracle Financial Services Alert Management, follow these steps:

1. Type your user ID in the **User ID** text box.
2. Type your password in the **Password** text box.
3. Click **Login**.

After verifying the user ID and password, the system displays the default page as defined by the system's defaults and as per your role.

### Copyright Information

To access the copyright information from the Alert Management UI, follow these steps:

Click the **About** menu and then click the hyperlinked Copyright text which displays.



**Figure 5. Copyright Information**

The full copyright information will be displayed in a pop-up window.

## Change Password

If you want to change your password, you can do so using the **Change Password** link available from the Login page. Enter your user ID and password and without clicking the **Login** button, click the **Change Password** link. The application will navigate to the Password Change page (Figure 6). Enter your old and new password in the given fields respectively, and click **OK**. Your password is changed successfully. On click of the **OK** in the pop-up window, the application navigates back to the login page where you can login with the new password.



**Figure 6. Change Password**

## Language Selection

The Login page provides you an option to choose the language that you want to display in the UI.

In the Login page, select a language from the **Language** drop-down list. Provide your user credentials and login. On successful login, the UI displays the contents in the language you have selected. The list of languages displayed is installation specific. Refer to the *Configuration Guide*, for more information on language configuration.

## Access To Multiple Solutions

If you have access to multiple solutions, such as, Know Your Customer (KYC), Monitoring (Alert Management) or Investigations (Case Management), when you first log in, the application navigates to a Start page that lists your

available solutions in a Left Hand Side (LHS) menu (Figure 7). From the Start page, you can designate one of these solutions as the default solution that you will navigate to when logging in, allowing you to bypass the Start page on future logins.



**Figure 7. Application Start Page**

The application Start page contains two main sections:

1. The main page has an option to set your default Start page.
2. The LHS page will have links to various administrative utilities and links to all the solutions to which you have access.

To set the default Start page when you are in the middle of the application Start page, select your desired default Start page from the drop-down list and click **Save**. If your user role is changed at any time, you may need to reset this preference.

To navigate to a solution using the LHS menu, follow these steps:

1. Click the **FCCM** icon.  
All the solutions you have access to lists on the page.
2. Click the desired application to navigate to that solution's landing page.

The application displays in a new window (Figure 8). You can logout from the application by clicking the **Logout** link present in the application Home page.

**Note:** The LHS section is a configurable item. Contact your system administrator for more information.

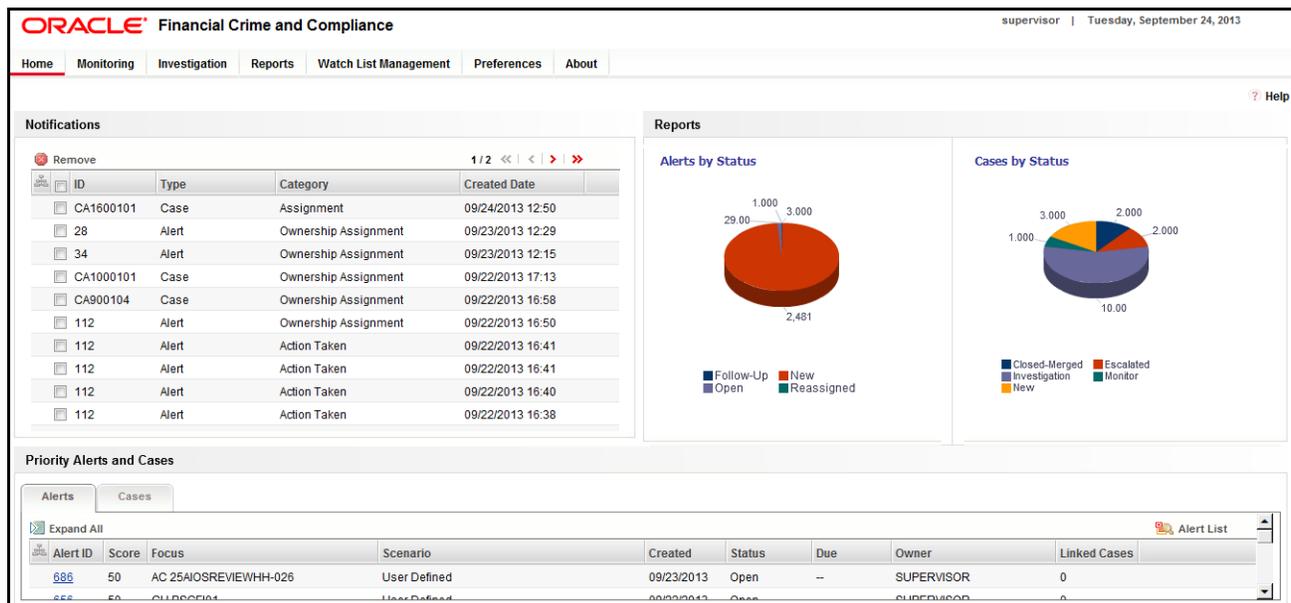


Figure 8. Alert Management Landing Page

## Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Alert Management or with your display, the browser settings may be incompatible with running Oracle Financial Services Alert Management. The following sections provide instructions for properly setting your Web display options for Oracle Financial Services Alert Management within IE.

**Note:** The following procedures apply to all versions of IE called out in the section “System Requirements,” on page 15. Separate procedures are listed for each version where differences exist in the locations of settings and options.

### Enabling JavaScript

JavaScript must be enabled. To enable JavaScript, follow these steps:

1. From the Tools menu, click **Internet Options**.  
The Internet Options dialog box displays.
2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.  
The Security Settings dialog box displays.
5. In the Settings list and under the Scripting setting, enable all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

## Enabling Cookies

Cookies must be enabled. The following sections list procedures for enabling cookies in Internet Explorer (IE) 8.0.

**Note:** If you have problems troubleshooting your display, please contact your System Administrator.

### In IE 8.0

To enable cookies in IE 8.0, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Privacy** tab.
3. Set the slider to **Medium**.

**Note:** If the slider is set on a different privacy setting, then click **Default** to set the slider to **Medium**.

4. Click **OK** to exit the Internet Options dialog box.

## Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page. To adjust your Temporary Internet File settings, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. On the General tab, click **Settings**.

The Settings dialog box displays.

3. Click the **Every visit to the page** option.
4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

## Enabling File Downloads

File downloads must be available. To enable file downloads, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.

4. Click **Custom Level**.

The Security Settings dialog box displays.

5. Under the Downloads section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

## Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

1. From the Tools menu, click **Internet Options**.  
The Internet Options dialog box displays.
2. Click the **Advanced** tab.
3. In the Settings list, under the Printing setting, click **Print background colors and images**.
4. Click **OK** to exit the Internet Options dialog box.

---

**Tip:** For best display results, use the default font settings in your browser.

---

## Enabling Pop-Blocker

Some user might experience difficulties on running the Oracle Financial Services Alert Management application when the IE pop-up window blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* to the pop-up window Blocker Settings in the IE Internet Options.

To enable pop-up window blocker, follow these steps:

1. From the Tools menu, click **Internet Options**.  
The Internet Options dialog box displays.
2. Click the **Privacy** tab.
3. In the pop-up window Blocker setting, select the **Turn on pop-up window Blocker** option.  
The **Settings** enables.
4. Click **Settings** to open the pop-up window Blocker Settings dialog box.
5. In the pop-up window Blocker Settings dialog box, enter the URL of the application in the text area.
6. Click **Add**.  
The URL appears in the Allowed site list.
7. Click **Close**, then click **Apply** to save the settings.
8. Click **OK** to exit the Internet Options dialog box.



This chapter explains how to examine and analyze alert-related information to determine what action to take in each situation.

This chapter covers the following topics:

- Monitoring Alerts
- Acting on Alerts
- Navigation Data Tabs
- Creating Alerts

## Monitoring Alerts

This section explains how to find and analyze alerts. The primary components of the Monitoring workflow discussed in this chapter include the following pages:

- **Home Page:** Enables you to view your notifications and priority alerts. You can also view the charts based on your role and reports configured for display.
- **Alert Search & List Page:** Enables you to set criteria to retrieve alerts, the results of which display on the Alert List matrix below the Search bar. The Search bar allows you to specify multiple criteria for your search to include searching for an alert by an Alert ID.

The Alert List matrix displays a list of alerts that meet the criteria specified on the Search bar. Clicking the **Alert ID** link for any alert in the list displays the Alert Details page. Refer to section *Alert Details Tab*, on page 67 for more information. Action buttons are available above the Search bar for the user to select one or more alerts and to take action.

## Accessing the Monitoring Workflow

You can access the Monitoring workflow by hovering over the Monitoring menu. Click the **Alerts** secondary menu option. The Alert Search & List page displays.

If you have access to the Home page, you can view the alert notifications and priority alert matrix here and access the Alert Search & List page by clicking on the Alert List button from the Priority Alerts Matrix.

### Home Page

The Home page provides visibility and quick access to a list of high priority alerts that may require more immediate attention. In addition, the Home page displays notifications of activity on alerts of interest to you. The Home page may also display graphical summaries of your current workload. You can navigate to the Home page by selecting **Home** from the primary level of navigation menu. Based on the access permissions of your role, the Home page may also display as the default page after you have logged into the system.

Refer to section *User Privileges*, on page 11 for information on Oracle Financial Services Alert Management access privileges.

## **Home Page Components**

The Home page consists of the following sections:

- Notification
- Reports
- Priority Alert Matrix

### **Notification**

The Notification section displays notifications for reassigned alerts and for alerts nearing the due date, for the following categories:

- **ID:** Identifier of the item for which you have received this notification (for example, Alert ID)
- **Type:** The type of item for which you have received this notification (for example, Alert)
- **Category:** The type of activity that has triggered this notification (for example, Due Date and Reassign Ownership)
- **Created Date:** Date and time this notification message was created

Double-click a notification to view the following additional information about the notification:

- **Due date:** For Notification category of Due Date, the actual due date that is nearing or has been exceeded for an entity
- **Status:** Where the item type is associated with some status, the current status of that item (for example, Pending, and so on)
- **Assigned To:** The current user to whom the item that is the subject of the notification is assigned
- **Action Taken:** If the notification category is Action Taken, the action taken on the item that is the subject of the notification
- **Taken By:** Displays the user who has taken action on the alert

You can select the check box against each notification and click the **Remove** button to delete the notification from your list.

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification
- You view the alert for which the notification of assignment or reassignment was received on action taken
- Or, the due date has been extended on the alert for which the notification of nearly due or overdue was received

**NOTE:** The display notification is configurable. Contact your system administrator to modify the default.

## Reports

Displays reports based on the role and reports configured for your firm's installation. Contact your system administrator for more information regarding what reports may be available. By default, the Reports section of the Home page displays charts for alerts owned by you and grouped by non-closed status.

## Priority Alerts Matrix

Displays only Active alerts, that is, those alerts in a non-closed status. By default, the system displays only five high priority alerts in the list. The alerts, and the order in which they are to be displayed, are based on the following ordering strategies:

- **Highest alert score** (displayed in descending order of score)
- **Due Date** (displayed in ascending order): When the highest scores are identical, the system uses the due date of an alert to determine the display order. If there is a due date associated with the alert, Oracle Financial Services Alert Management selects those alerts most near or exceeding their due date.
- **Create Date:** If the highest score alerts have identical due dates, Oracle Financial Services Alert Management use the most recent create dates of the alerts to determine display.

You can click the **Alert List** to navigate to the Alert Search & List page.

## Alert Search & List Page

The Alert Search & List page enables you to filter the alerts that you want to view and analyze on the Alert List section. You can navigate to the Alert Search & List page by selecting the **Alerts** secondary menu in the Monitoring primary level of navigation.

From the Home page, you can navigate to the Alert Search & List page by selecting the **Alert List** on the priority list of alerts.

## Alert Search & List Page Components

The Alert Search & List Page contains the following components:

- Action Buttons
- Alert Search Bar
- Alert List Matrix
- Additional Information

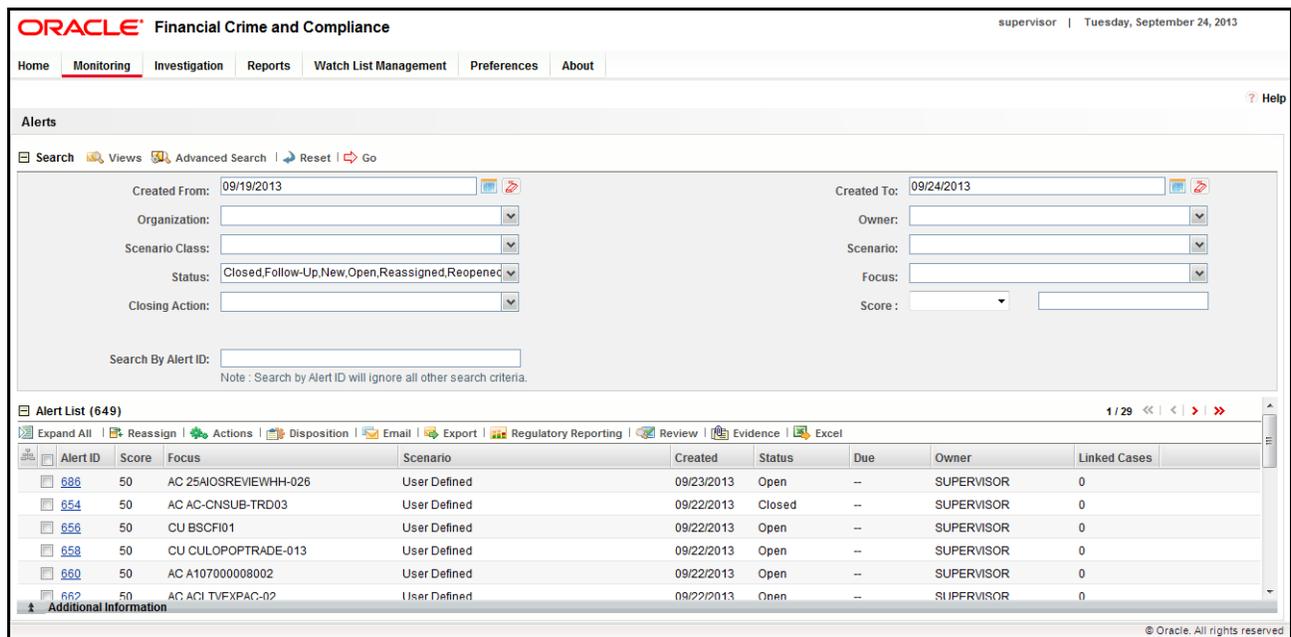


Figure 9. Alert Search & List Page Components

### Action Buttons

You can take actions using the Action buttons available above the Search bar. These buttons are visible as per your access permissions. Refer to section *About Alert Actions*, on page 37 for more details on actions.

### Alert Search Bar

The Alert Search bar enables you to filter the alerts that you want to view and analyze on the Alert List. The Alert Search bar supports three types of Search-Views, Simple Search, and Advanced Search.

By default, the Views search is available with **My Open Alerts** as the default queue.

You can also choose to search by available filter criteria in Simple Search and Advanced Search, which displays on clicking the respective buttons.

You can use only one search (Views, Simple Search, or Advanced Search) at a time.

Oracle Financial Services Alert Management retrieves alerts, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.
- Your access control permissions. Refer to *User Privileges*, on page 11

### Views Search

Views represent pre-populated search queries. Selecting a View for searching allows a single click option for returning a filtered alert list based upon the view's preset search criteria. By default, the Views search is available with **My Open Alerts** as the default queue. To search using views simply select the desired views from the list.

Table 5 list the View Filter and Sort Criteria for the View Names.

**Table 5. List of Views**

View Name	View Filter and Sort criteria
My New Alerts	From: Current Date -1 To: Current Date
	Owner: current user or pool to which the current user belongs
	Status: New
	Sort: By Score Descending; Alert ID Ascending
My Open Alerts	Owner: current user or pool to which the current user belongs
	Status: Open or Follow-up
	Sort: By Score Descending; Create Date Descending; Alert ID Ascending
My Reassigned Alerts	Owner: current user or pool to which the current user belongs
	Status: Reassigned
	Sort: By Score Descending; Create Date Descending; Alert ID Ascending
My Overdue Alerts	Due Date is not null and is <= Current Date
	Owner: current user or pool to which the current user belongs
	Sort: By Due Date Ascending; Alert ID Ascending
My Near Due Alerts	Due Date is not null and is > Current Day and <= (Current Day +4)
	Owner: current user or pool to which the current user belongs
	Sort: By Due Date Ascending; Alert ID Ascending
Management - Overdue Alerts	Due Date is not null and is <= Current Date
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Sort: By Owner Ascending; Due Date Ascending; Alert ID Ascending
Management - Near Due Alerts	Due Date is not null and is > Current Day and <= (Current Day +4)
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Sort: By Owner Ascending; Due Date Ascending; Alert ID Ascending
Management - Aged Alerts	Alert Age >= 30 days
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Status: Any status but a closed status
	Sort: By Owner Ascending; Create Date Ascending; Alert ID Ascending

The Alert Search bar supports the ability to search across the following types of information:

- Alert Search Dates
- Alert by Entity
- Linked Cases

Alert Information

Table 6 provides a list of the alert search components that display in the alert Simple and Advanced search bar.

**Table 6. Alert Search Components**

Column	Description	Simple Search	Advanced Search				
			AML	Fraud	BC	TC	ECTC
Created From	Filters the alert list by the date the alert was created.	X	X	X	X	X	X
Created To	Filters the alert list by the date the alert was created.	X	X	X	X	X	X
Organization	Filters the alert list by the name of the organization associated with the owner of an alert. The drop-down list contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. If you filter by Organization, you cannot filter by Owner.	X	X	X	X	X	X
Owner	Filters the alert list by a user or group of users to whom an alert is assigned. This drop-down list contains users or groups of users within the Organization. If you filter by Owner, you cannot filter by Organization.	X	X	X	X	X	X
Focus	Filters the alert list by the type of business object that exhibits the behavior of interest. Focus is a two-part representation that may display a focus type or the associated focal entity. Your access control privileges determine which focus types display in the drop-down list. For example, a focus of <i>TR SmithJ</i> may consist of a focus type of TR and a focal entity of SmithJ.	X	X	X	X	X	X
Scenario Class	Filters the alert list by the scenario class associated with an alert, listed by its abbreviation. This drop-down list contains only the scenario classes that you are authorized to view. If you filter by Class, you cannot filter by Scenario.	X	X	X	X	X	X
Scenario	Filters the alert list by the scenario, which is name of the behavior or activity that generated the alert.	X	X	X	X	X	X
Status	Filters the alert list by the current status of an alert, relative to its analysis and closure in the drop-down list.	X	X	X	X	X	X
Score	Filters the alert list by the score the alert received when based against your firm selected. Oracle Financial Services Alert Management retrieves alerts and cases greater than or equal to the score you enter in this text box.	X	X	X	X	X	X
Closing Action	Filters the alert list by one or more selected closing actions that have been taken on an alert.	X	X	X	X	X	X
Jurisdiction	Filters the alert list by the business jurisdiction associated with an alert. The drop-down list contains only the jurisdictions with which you are authorized to view.		X	X	X	X	X
Business Domain	Filters the alert list by the business domain associated with an alert. The drop-down list contains only the business domains with which you are authorized to view.		X	X	X	X	X
Due Date <=	Filters the alert list by past and up to the date you enter by which an action should be taken on the alert.		X	X	X	X	X

Table 6. Alert Search Components (Continued)

Column	Description	Simple Search	Advanced Search				
			AML	Fraud	BC	TC	ECTC
Prior All	Filters the alert list by the number you enter, and any number greater than of previously generated matches for the same focal entity across all scenarios and solution sets.		X	X	X	X	X
Prior Scenario	Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.		X	X			
Prior Class	Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.		X	X			
Age	Filters the alert list by the number of calendar or business days, and any number greater, since the creation of an Active alert.		X	X	X	X	X
Action	Filters the alert list by one or more actions that have been taken on an alert.		X	X	X	X	X
Last Action	Filters the alert list by one or more selected last actions that have been taken on an alert.		X	X	X	X	X
Linked Cases	Filters the alert list by the number of cases that are linked to the alert. Oracle Financial Services Alert Management retrieves alerts, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option will only be available if your firm has implemented Oracle Financial Services Enterprise Case Management.		X	X	X	X	X
Alert ID	Filters the alert list by the one or more Alert IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the alerts are found, the Alert List Matrix displays information about the alerts with the IDs that exactly matches the values you entered. The Alert ID search is mutually exclusive with all other filter criteria.	X	X	X	X	X	X
Regulatory Reporting Type	Filters the alert list by the Regulatory Reporting types that are available to you (for example, (SARDI). Regulatory Reporting is an optional Oracle application.		X	X	X	X	X
Regulatory Reporting Status	Filters the alert list by the current status of an alert that has been recommended for Regulatory Reporting, an optional Oracle application.		X	X	X	X	X
Limit to Focus	Filters the alert list to where the specified entity is the focus.		X	X	X	X	X
Entity Type	Filters the alert list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for alerts.		X	X	X	X	X
Entity ID	The unique identifier for entity that is associated with alerts you want to view. The field accept up to 50 characters of text in the Entity ID text box.		X	X	X	X	X
Entity Name	The entity name associated with alerts you want to view.		X	X	X	X	X

Table 6. Alert Search Components (Continued)

Column	Description	Simple Search	Advanced Search				
			AML	Fraud	BC	TC	ECTC
Commodity Instrument ID	Filters the alert list by the identification number of the commodity instrument involved in the alert.						X
Commodity Instrument Name	Filters the alert list by the name of the commodity instrument involved in the alert.						X
Security ID	Filters the alert list by the identification number of the security involved in the alert.					X	
Security	Filters the alert list by the name of security involved in the alert.					X	
Trader ID	Filters the alert list by the identification number of the trader involved in the alert.					X	X
Trader	Filters the alert list by the name of the trader involved in the alert.					X	X
Investment Advisor Firm ID	Filters the alert list by the identification of the firm associated with the Investment Advisor.				X		
Investment Advisor Firm	Filters the alert list by the name of the firm associated with the Investment Advisor.				X		
Service Team ID	Filters the alert list by the identifier of the primary service team of which this employee is a member.				X		
Registered Representative ID	Filters the alert list by identification number of the employee or contractor who is the Registered Representative.				X		
Representative	Filters the alert list by name of the employee or contractor who is the Registered Representative.				X		
Branch ID	Filters the alert list by the identification number of the organization where this account is domiciled.				X		
Branch	Filters the alert list by the name of the organization where this account is domiciled.				X		
Supervisory Organization ID	Filters the alert list by unique ID of the organization where the Registered Representative is employed.				X		
Supervisory Organization	Filters the alert list by the name of the organization where the Registered Representative is employed.				X		
Total/Net Loss Amount	Filters the alert list by the total net loss amount associated with the alert. This is the total loss remaining after Averted and Recovery Amounts have been subtracted from the Potential Loss.			X			
Primary Cost Center	Filters the alert list by the primary cost center to which the total net loss amount for an alert has been associated.			X			

### *Alert Search Dates*

You can specify the time frame in which you want to view alerts. When you specify the start (From) and end (To) dates, Oracle Financial Services Alert Management displays only those alerts that are created within the time frame.

In order to search for alerts in a closed status, select **Closed** from the Status drop-down list, then select a **From** Search Date.

### *Simple Search*

A Simple Search is a search based on limited set of search fields, which are a combination of a drop-down list and text fields.

### *Advanced Search*

An Advanced search offers the same search fields as provided for a simple search, along with an expanded set of additional fields.

In Simple and Advanced search:

- a. The alert list can be dynamically populated based on different set of input criteria or by Alert ID.
- b. Drop-down lists, text boxes, and drop-down lists enable you to filter alerts more precisely for analysis.
- c. The fields in Simple or Advanced search supports selection of multiple values in each drop-down list control. Selecting the blank list option within a drop-down list is the same as selecting all options within the list.
- d. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.
- e. Some text fields allow the use of wildcards when searching. The percent sign (%) and underscore (\_) are used to denote a wildcard.
- f. If you click the **Go** button without selecting any filter criteria, a message displays:  
No values were entered in the filter criteria. Please enter at least one filter criteria.  
You must enter data in at least one search field.
- g. Drop-down lists available in the Simple or Advanced search fields populate based on your security attributes access control. Only the data that matches your specified criteria and those alerts, which you are authorized to view, displays as search result.

### *Alert by Entity*

You can search the alert list by using the Entity filters on the Advanced Search bar. These filters enable you to search for an alert by either providing an Entity Name or Entity ID. For example, if you want to search the alert list for a customer focus entity, select CU from the **Entity Type** drop-down list and type the customer name in the Entity Name text box.

You can type up to 255 characters of text in the **Entity Name** field and up to 50 characters of text in the **Entity ID** field, respectively.

The **Limit to Focus** check box on the Alert Search page applies to the Entity filter options-Entity Type, Entity Name, and Entity ID.

Selecting the **Limit to Focus** check box limits your results to those in which the specified entity is the focus of an alert. De-selecting the **Limit to Focus** check box may return a larger set of results. If the **Limit to Focus** check box

is de-selected, the results will include those alerts where the specified entity is the focus, and include alerts, which are focused on entities, related to the specified entity.

The **Entity Type** drop-down list allows you to search for alerts by the type of business entity. It is distinct from the **Focus** selection box search filter. The **Entity Type** drop-down list refreshes according to the option that you set on the **Limit to Focus** check box filter.

If you select the **Limit to Focus** check box, the focal type options in the **Entity Type** drop-down list refreshes to include only those focal types that you can view based upon your role. For example, if you select the **Limit to Focus** check box and you have the access to view the scenarios that are focused on Accounts (AC) and External Entities (EN), then only AC and EN display in the **Entity Type** drop-down list as possible entity types.

If you clear the selection of the **Limit to Focus** check box, the focal type options in the **Entity Type** drop-down list refreshes to include the distinct superset of the focal entity types that you can view in addition to the complete list of focal types that form the basis for the business entity to alert correlations. For example, if you clear the **Limit to Focus** check box, and you have access to view the scenarios that are focused on Accounts (AC) and External Entities (EN), the **Entity Type** drop-down list populates with CU, EE, EN, CB, AD (which are the current defined business entity to alert correlation types) and AC.

Table 7 provides a list of the alert search entity filters that display on the Alert Search & List Page.

**Table 7. Alert Search Entity Filters**

Column	Description
Limit to Focus	Filters the alert list to where the specified entity is the focus.
Entity Type	Filters the alert list by the type of business entity you select in the drop-down list box. Select the focus from the <b>Entity Type</b> drop-down list and type either <b>Entity Name</b> or <b>Entity ID</b> to search for alerts.
Entity Name	The entity name associated with alerts you want to view. Wildcard characters '%' and '_' are supported for this field.
Entity ID	The unique identifier for an entity that is associated with alerts you want to view. The field accepts up to 50 characters of text in the <b>Entity ID</b> text box.

### Linked Cases

If your firm has implemented Oracle Financial Services Enterprise Case Management, you will have the option to filter the alert list based upon the number of cases to which an alert is linked. The Linked Cases text box enables you to enter the filter criteria based on the number of linked cases that are linked with the alert.

## Searching for Alerts

The Alert Search bar enables you to search and display data by Views, Simple, and Advanced search filters. You can also search for an alert by an Alert ID.

### Searching for Alerts Using Views

To search for alerts using views, follow these steps:

1. Navigate to the Search & List Page.  
The Views search bar displays.
2. Select any value from the **Views** drop-down list.

## Searching for Alerts using Simple/Advanced Search

To search for alerts by specifying your own criteria, follow these steps:

1. Navigate to the Simple/Advanced Search bar by clicking the **Simple Search/Advanced Search** button.
2. Specify your desired search criteria in the Simple/Advanced Search.

*Optional for Advanced Search:* Specify one or more criteria, which is specific to Advanced Search.

For example: Select the **Limit to Focus** check box and select an entity type in the **Entity Type** drop-down list, and then type a value in the **Entity Name** or **Entity ID** text box for the selected focus type.

3. Click **Go**.

If you choose to filter by **Entity ID**, Oracle Financial Services Alert Management automatically sets the filter by alert **Entity** selection box to the appropriate focus type.

If the search returns one or multiple alerts, the Alert List matrix displays a list of alerts that matched the criteria.

If no alerts meet the filter criteria, a message appears stating:

No data met the selected filter criteria. Please enter new filter criteria.

---

**Caution:** Once you click the **Go** button, you must allow the application time to generate and display the list. Do not click the **Go** button repeatedly as it can lock the Oracle Financial Services Alert Management application. You have to log off and log on again to run the application.

---

## Searching for an Alert by Alert ID

To search for an alert by Alert ID, follow these steps:

1. Navigate to the Simple or Advanced Search bar by clicking the **Simple Search/Advanced Search** button
2. In the Alert ID Search bar, type an alert ID in the **Alert ID** text box for the alert that you want to view.

*Optional:* Enter additional Alert IDs separated by commas (for example, Alert ID, Alert ID, Alert ID,...).

3. Click **Go**.

The Alert List returns all alerts with IDs that match exactly the values you entered in the **Alert ID** text box.

**NOTE:** Searches by Alert ID and other Simple/Advanced search criteria are mutually exclusive. If you attempt to search by a combination of Alert ID and other filters, filter criteria other than Alert ID will be ignored.

## Alert List Matrix

The Alert List matrix displays summarized information of alerts that you can further investigate or take actions.

When you search using view, the sort order is based on the view selected. Refer to Table 5 for the sort criteria in each view. When you search from Simple or Advanced search, the default sort order is based upon Due Date Ascending followed by Create Date Description and Alert ID Ascending.

By default, the list matrix displays 20 alerts. To view additional alerts returned by search, use the pagination controls to move to additional pages of alerts.

## Alert List Components

The Alert List matrix of the Alert Search & List page consists of the Alert List header and a matrix containing one or more alerts and associated data. Each alert has a check box and an **ID** link associated with it.

The components within the Alert List matrix are as follows:

- **Alert List header:** Contains the number of alerts displayed in the list, the total number of alerts returned by the search. Pagination controls within the header allow you to navigate to the additional pages of alerts.
- **List of Alerts:** Displays a list of alerts based on your search criteria on the Alert Search bar. Click the **Alert ID** link for any alert in the list to access the Alert Details page. If the selected alert is locked (meaning, another user has currently accessed the same alert), a message displays:

The selected alert is locked by another user. Click **OK** to view the alert details page in view mode only and **Cancel** to return to list page.

If you click **OK** in the dialog box, you navigate to the alert details page in view mode. In the view mode, you cannot take any action on the alert.

The Alert List header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.

The **Expand image (>>)** displays inside the **Scenario** and **Focus** fields if the text in the field is more than the column width. Clicking the **Expand image (>>)** refreshes the data to display the complete Scenario and Focus name.

After you click the **Expand image (>>)** link, it displays the **Contract image (<<)**, which, when clicked, refreshes the data to display only the abbreviated Scenario and Focus name.

For all other fields when the text in the field is more than the column width, a Tooltip displays for approximately three seconds when you position the mouse cursor over the field to display the complete text.

- **Check Boxes:** Appears at the beginning of each row. Select one or more of these boxes to take action on one or more alerts. Select the check box again to clear it. When you select using the check box, the alert row displays a blue color highlight.
- **Action Buttons:** Enables you to select and take action on one or more alerts. When an action button is clicked, the application navigates you to the applicable Actions pop up. You can take an action on a single alert or on several alerts (batch action). Refer to *Acting on Alerts*, on page 36 for more information on taking actions on alerts.

Before you take action on the selected alerts, Oracle Financial Services Alert Management checks each alert to determine if it is locked. If all the selected alerts are locked by another user, a message displays:

All selected alert records are locked by another user. Please try again later.

If some, but not all, of the selected alerts are locked, a message displays:

One or more Alerts are locked by another user. Select **OK** to continue; **Cancel** to return to the Alert List.

If you click the **OK** button, you can take actions on the alerts that are not locked.

If you fail to select at least one check box and click on any action button, a message displays:

You have not selected any alert(s). Please select one or more alerts.

- **Column Headings:** Labels that tell you what kind of information displays in the columns. All column headings in the Alert List matrix are sortable. You can sort each column in the alert list by right-clicking on the column header and choosing the ascending or descending options.

Table 8 provides a list of the columns that display in the Alert List matrix.

**Table 8. Alert List Components by Display Configuration by Solution Sets**

Column and Field	Anti-Money Laundering	Fraud	Broker Compliance	Trading Compliance	ECTC	Standard
Alert ID	X*	X	X	X	X	X
SC [ore]	X	X	X	X	X	X
Focus [Type and Name]	X	X	X	X	X	X
Scenario	X	X	X	X	X	X
Highlights						X
Created [Date]	X	X	X	X	X	X
Status	X	X	X	X	X	X
Alerts Due [Date and Time]	X	X	X	X	X	X
Regulatory Reporting Status						X
Regulatory Reporting Type						X
Owner	X	X	X	X	X	X
CL[ass] Prior						X
SCN [Scenario] Prior						X
Closing Action						X
[Business] Domain						X
[Involved] Security				X		
[Involved] Trader				X	X	
[Involved] Service Team ID			X			
[Involved] Registered Representative ID			X			
Total/Net Loss Amount		X				
Primary Cost Center		X				
Linked Cases	X	X	X	X	X	X
Commodity Instrument ID					X	

### Additional Information

The Additional Information section consists of the General Overview and Metrics bar and displays below the Alert List. The section refreshes to display additional information about the alert when you click the alert row in the Alert List section.

By default, the section is in the contracted mode. You can click the Expand ▼ image or Collapse ▲ in the section header to expand or contract the section.

**NOTE:** The Additional Information section display values only if you have clicked on the alert row. The section does not display if you only click the check box. The check box should be used only to perform actions from the action categories.

Table 9 provides a list of fields that display in the General Overview and Metrics section.

**Table 9. General Information Section Components**

Column	Description	General Overview	Metrics
Highlights	Pertinent information related to the alert.	X	
Organization	Organization associated with the owner of the alert.	X	
Business Domain	Business Domains associated with the alert.	X	
Closing Action:	Closing action that has been taken on an alert.	X	
Alerts for Prior Class Count	Number of matches previously generated for the same scenario class associated with the alert.		X
Alerts for Prior Scenario Count	Number of matches previously generated for the same focal entity by the same scenario as the alert.		X
Correlation Membership Count	Number of correlations the alert is a member of.		X
Regulatory Report Type	Regulatory Reporting types that are available to the user (for example, (SARDI). Regulatory Reporting is an optional Oracle Financial Services Alert Management.	X	
Regulatory Report Status	The current reporting status of a case that has been recommended for Regulatory Reporting, an optional Oracle Financial Services Alert Management.	X	

## **Acting on Alerts**

This section provides information about alert actions available from the Alert Search & List page, Alert Details tab, and Disposition tab, including how to take follow-up actions, close, reopen, reassign, and add comments/attachments to alerts.

This section covers the following topics:

- About Alert Actions
- Taking Actions
- Taking Follow-up Actions on an Alert
- Reassigning Alerts
- Exporting Alerts
- E-mailing Alerts
- Printing Alerts
- Closing Alerts
- Reopening Alerts

- Adding Comments to Alerts
- Adding Attachments to Alerts
- Removing Attachments from Alerts

## About Alert Actions

Oracle Financial Services Alert Management provides the following types of actions to document your analysis:

- Taking Follow-up Actions on an Alert
- Reassigning Alerts
- Exporting Alerts
- E-mailing Alerts
- Closing Alerts
- Reopening Alerts

Additionally, Oracle Financial Services Alert Management provides the following options that you can perform without selecting an action:

- Adding Comments to Alerts
- Adding Attachments to Alerts
- Removing Attachments from Alerts

Oracle Financial Services Alert Management classifies the actions available on alerts into eight distinct categories:

1. Evidence
2. Reassign
3. Actions
4. Disposition
5. Review
6. Regulatory Reporting
7. E-mail
8. Export

Action categories represent logical groupings of individual actions, which have similarities, either in the line of investigation or in the resulting status of the action. Each of these action categories are represented by buttons, which on click display a pop-up window corresponding to the category. Some actions represent definitive progress in analysis and can therefore update the status of the alert.

Oracle Financial Services Alert Management enables you to take multiple actions simultaneously, whether you apply them to a single alert or to a batch of alerts through the action category. For example, you can simultaneously Close and Suppress the alert for one-month and promote it to a Case from the Disposition category. However, there are some actions, which you cannot take simultaneously. For example, you cannot reassign and close an alert simultaneously. Oracle Financial Services Alert Management' Four-Eyes Approval feature enables you to propose the closing of an alert, but requires authorized users to look at that alert before it can actually be closed.

Oracle Financial Services Alert Management displays warning messages to help you in the appropriate way to use actions. Appendix C, *Message Pages*, on page 269 explains error messages in detail.

In addition, some actions may have been configured to automatically assign a due date.

**NOTE:** This topic includes instructions in *optional* steps that indicate additional functionality and *alternative* steps that indicate other methods to perform the operation successfully.

## Taking Actions

During analysis you can take various actions on an alert, such as adding comments and attachments and setting due-dates for following up on an investigative step. You can also take disposition actions that will close the alert for a specified reason.

You can take actions in the following ways:

- Within the Monitoring workflow, you can take actions on a single alert by navigating to the Alert Details tab, and taking one or more actions specific to that alert by selecting any of the action buttons. These action buttons represent action categories (that is, Reassign, Evidence, Actions, Disposition, E-mail, Export, Regulatory Reporting, and Review). The action pop-up window displays within a context of the current alert and any actions taken apply to the current alert.
- Within the Monitoring workflow, you can take actions simultaneously on multiple alerts from the Alert Search & List page by selecting any of the action buttons which represent an action category (that is, Evidence, Reassign, Actions, Disposition, E-mail, Export, Regulatory Reporting, and Review). The action pop-up window displays with a context of all of the selected alerts and any actions taken apply to each of the selected alerts.

**NOTE:** If you select one or more alerts from the list, and click the **Action** button, the system locks the selected alerts and make unavailable for action for other users. If another user attempts to access the same alert (either by selecting the alert and taking an action or by navigating to the Alert Details), the user will receive a message informing that the alert is locked by another user and the system will grant only view rights (user can take no action on the alert).

- Within the Monitoring workflow, you can select an alert, view Alert Details, Oracle Financial Services or Business tabs and select any of the action buttons (Evidence, Reassign, Actions, Disposition, E-mail, Export, Regulatory Reporting, and Review). The action pop-up window displays and any actions taken apply to the current alert.
- Within the Monitoring workflow, you can select an alert, view Alert Details, and navigate to the Disposition tab. Any Disposition actions taken apply to the current alert.
- Within the Monitoring workflow, you can select an alert, view Alert Details, and navigate to the Evidence tab. Any comment and/or attachment actions taken apply to the current alert.

The following describes the action buttons:

- **Evidence:** Includes options to add attachments and make comments to the selected alerts from the alert list matrix.
- **Reassign:** Under the Reassign category, only the Reassign action is available for certain roles.
- **Actions:** Includes a list of actions that may require follow-up analysis or may require an alert to be reopened. In addition, some actions may not alter the alert status, but serve to indicate steps taken in the course of investigation. Some actions within the Action category may require you to enter a due-date, which takes the alert to the Follow-up status. The section *Taking Follow-up Actions on an Alert*, on page 41 explains Follow-up

actions on alerts in detail. Refer to section *Reopening Alerts*, on page 62 for more information on reopening an alert.

**NOTE:** The **Reopen** action displays when you are taking an action on an alert in a Closed status.

- **Disposition:** Includes a list of actions that complete your analysis of this alert, and in most instances, results in closure of the alert. This list varies based on the scenario class that generated the alert. The section *Closing Alerts*, on page 48 explains closing an alert in detail.
- **E-mail:** Includes options to e-mail the alert details in HTML format. The section *E-mailing Alerts*, on page 47 explains e-mailing an alert in detail.
- **Export:** Includes options for exporting alerts. The section *Exporting Alerts*, on page 44 explains exporting an alert in detail.
- **Regulatory Reporting:** Includes a list of actions that may require follow-up analysis or may complete your analysis of the alert. These are the actions which generate reports. Additionally, some actions in this section may not alter the alert status, but may serve to indicate actions taken in the course of investigation.
- **Review:** Includes a list of actions that may require follow-up analysis or may complete your analysis of the alert. If you enter a due date when selecting an action from this area, Oracle Financial Services Alert Management changes the alert status to *Follow-up*. If you do not enter a due date, Oracle Financial Services Alert Management changes the alert status to *Closed*.

The action pop-up window corresponding to each action category contains the following major components:

- **Selected Alert IDs** label: Displays only those alerts on which you can perform the action, that is, those alerts which are in unlocked status during the selection (not currently opened by another user)
- **Select an Action** selection box: Enables you to take one or multiple actions pertaining to the action category on the selected alerts. Possible actions may vary based on the scenario class, status of the alert, and your role.

**NOTE:** If you are taking action on multiple alerts, Oracle Financial Services Alert Management displays only the actions and comments that are common to all of the selected alerts.

The following fields display once you select the actions. Based on the selection of actions, the fields are enabled or disabled for your inputs.

- **Reassign** list box: Includes a list of owners (that is, users and groups of users) to whom you can assign the alerts. This action is only available for certain roles. The list of owners only displays users who are allowed to own alerts and who have access rights to the current alert or alerts being acted upon. Refer to section *Reassigning Alerts*, on page 43 for more information.
- **Due Date** calendar control: Provides the ability to select a date by which the selected action should complete.

**NOTE:** If your system is configured with default due-dates for some actions, then the default due shall be applied to the alert when those actions are taken, provided you do not enter any date in the **Due Date** calendar control.

If multiple actions with default due-dates are taken on the alert then the nearest default due-date shall be applied to the alert.

However, if you explicitly enter a due-date in the control, it shall be given the highest priority irrespective of the default due configured for the actions.

- **Suppression Condition** label: If your access privileges permit, provides the ability to select binding information used in creating a suppression rule for an alert. Suppression conditions are enabled only when

you select an action that is designated to trigger the suppression of future alerts. This label provides the following unlabeled fields:

- **Binding name** drop-down list: Contains binding names.
- **Binding operator** drop-down list: Contains comparison operators. They are: equal to (=), greater than or equal to (>=), less than or equal to (<=), greater than (>), less than (<), and not equal to (!=).
- **Binding value** text box. Blank by default, but populates with the selected alert's highlight value associated with a selected binding name. If your role permits, the value is editable. Otherwise, this value appears as uneditable text. Refer to *User Privileges*, on page 11 for information about user roles.

**NOTE:** Bindings are variables captured in a scenario pattern that are used for defining highlights. The bindings displayed in the binding name drop-down list reflects the highlights associated with the current alert.

- **Suppression End Date** text box & calendar control: Provides the ability to select an end date for the suppression rule. When this date is reached, the suppression rule will expire. It is enabled only when you select an action that is designated to trigger the suppression of future alerts based upon a user-entered suppression time frame.
- **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected alerts. The scenario class of the alerts on which you are taking action determines which standard comments display.
- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected alerts. Use this text area if none of the standard comments applies to your action or if you want to include additional information. The number of characters you may enter display below the box.

**NOTE:** Certain actions require you to enter comment before you can save the action.

- **Save** button: Saves all actions and comments. When you click **Save**, a confirmation dialog box displays with the **OK** and **Cancel** buttons, prompting you to click **OK** to apply the selected actions and comments.
- **Save & Attach** button: Displays in every actions pop-up window, which facilitates addition of an Attachment along with the actions for an alert. Refer to the section *Adding Attachments to Alerts*, on page 63 for more information.

**NOTE:** Clicking the **Save & Attach** button saves the selected actions before it displays the option for adding attachments.

The following fields display for the Save & Attach window:

- **Choose a file to attach** text box with **Browse** button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name and browse for the file.
- **Logical File Name** text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use the text area to enter a descriptive name for the file attached. The text box is used as the display name for the attached file.
- **Attach File** button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.
- **Next** button: Enabled on clicking the Disposition tab or action button when one or more of the selected actions (for example, Promote to Case action) requires additional steps to be completed before saving. In this example, clicking the **Next** button navigates you to the Promote to Case page.

- **Reset** button: Resets the Actions pop-up window to initial values.
- **Cancel** button: Displays the unsaved data-warning message with **OK** and **Cancel** buttons. Based on the selection of the buttons, it closes either the pop-up window or stay in the same pop-up window.

## Taking Follow-up Actions on an Alert

If you are an Analyst II, III, or Supervisor, you can take actions that indicate that additional analysis is required (Figure 10)

Figure 10. Follow-up Action

Table 10. Actions with Post Status as Follow-up

Action Category	Action	Post Status
Actions	Awaiting Response	Follow-Up
Actions	Extend Due Date	Follow-Up
Actions	Further Analysis Required	Follow-Up
Actions	Requested Updated Customer Information	Follow-Up
Actions	Requested Updated Investment Profile	Follow-Up
Actions	Requested Updated Option Trading Approval	Follow-Up
Actions	Downgraded Option Trading Level	Follow-Up/Closed *
Actions	Removed Margin Feature	Follow-Up/Closed *
Actions	Restricted Account to Cash Up Front	Follow-Up/Closed *
Actions	Restricted Account to Liquidating Transactions Only	Follow-Up/Closed *
Actions	Canceled Trade(s)	Follow-Up/Closed *
Actions	Corrected Trade(s)	Follow-Up/Closed *
Actions	Adjusted Price	Follow-Up/Closed *
Actions	Closed Account	Follow-Up/Closed *
Actions	Corrected Reporting Error	Follow-Up/Closed *
Actions	Noted Price Error	Follow-Up/Closed *
Actions	Noted Timestamp Error	Follow-Up/Closed *
Actions	Removed Investment Advisor	Follow-Up/Closed *

**Table 10. Actions with Post Status as Follow-up (Continued)**

Action Category	Action	Post Status
Actions	Updated Investment Profile	Follow-Up/Closed *
Actions	Updated Option Trading Approval	Follow-Up/Closed *
Disposition	Close and Suppress - Enter Date	Follow-Up/Closed *
Disposition	Close and Suppress 1 month	Follow-Up/Closed *
Disposition	Close and Suppress 1 year	Follow-Up/Closed *
Disposition	Close and Suppress 3 months	Follow-Up/Closed *
Disposition	Close and Suppress 6 months	Follow-Up/Closed *
Disposition	Opened Investigation	Follow-Up/Closed *
Disposition	Withheld Action	Follow-Up/Closed *
Export	Export to Case Tool	Follow-Up/Closed *
Regulatory Reporting	Close and File CTR	Follow-Up/Closed *
Regulatory Reporting	Close and File UK SAR	Follow-Up/Closed *
Regulatory Reporting	Close and File US SAR	Follow-Up/Closed *
Review	Internally	Follow-Up/Closed *
Review	Registration Status	Follow-Up/Closed *
Review	Reviewed with Account Representative	Follow-Up/Closed *
Review	Reviewed with Customer	Follow-Up/Closed *
Review	Reviewed with Investment Advisor	Follow-Up/Closed *
Review	Reviewed with Manager	Follow-Up/Closed *
Review	Reviewed with Portfolio Manager	Follow-Up/Closed *
Review	Reviewed with Trader	Follow-Up/Closed *
Review	Reviewed with Other	Follow-Up/Closed *
Review	Reviewed with POA	Follow-Up/Closed *

\*If you take one or more actions with post follow-up without entering a Due Date, the alert will close. However, if you enter a Due Date, these actions place the alert into a Follow-up status.

To perform a Follow-up action on an alert, follow these steps:

1. On the Alert List matrix, select the check box next to each alert in *Open* status that you want to update or navigate to the Alert Details tab.
2. From the Alert List or Details tab, click the **Actions** button.

*Alternatively,* you can select the **Disposition**, **Export**, **Regulatory Reporting**, or **Review** button from the Alert List or Details tab for taking actions with status Follow-up or Closed \*.

The pop-up window for the selected category displays.

3. Select the appropriate action from the **Select an Action** selection box.

**NOTE:** Once you select an action, **Save**, **Save and Attach** and **Reset** buttons are displayed.

*Optional:* Select additional actions for the alert.

*Optional:* While performing actions on alerts and while creating manual alerts, an Analyst I, II, or Supervisor user can automate the assignment of ownership of the alert by selecting the **Auto Assignment** check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Alert Assigner Editor under Alert Management Configuration settings set by an Oracle Administrator.

**NOTE:** Deselect the **Auto Assignment** check box to enable the Reassign Ownership To field.

Auto Assignment is a feature which enables the user to select the owner by the system through pre-defined rules. The pre-defined rules are set under Alert Assigner Editor ( parameters such as Alert Type, Status and so on). If the system is unable to find an owner based on the rules defined then the alert will be auto assigned to the default owner set in Default Alert Owner attribute under the Installation Parameters table. For more details on the Alert Assigner Editor refer to the *Administration Tools Guide* and the *Configuration Guide* for Default Alert Owner settings.

4. Enter a due date in the **Due Date** text box.
5. Select as many standard comments from the **Standard Comments** selection box as appropriate.

You can also enter comments that you have regarding the action in the **Comments** text box.

6. Click **Save**.

The confirmation dialog box displays.

*Alternatively,* click **Save & Attach**.

The confirmation dialog box displays.

7. Click **OK**.

Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the refreshed Alert List matrix or Alert Details tab depending upon from where the action was taken.

If you do not want to save the actions you selected, click **Cancel**.

Oracle Financial Services Alert Management does not record the action and returns you to the Alert List matrix or Alert Details tab depending upon from where the action was taken and the alert status remains unchanged.

## Reassigning Alerts

If you are an Analyst I, II, III, or Supervisor, you can reassign alerts to different users or groups of users. If an alert's initial analysis reveals an issue that should be reviewed by another user, you can reassign the alerts to the most appropriate individual or group.

When you save a reassignment action, Oracle Financial Services Alert Management immediately reflects the new ownership of the alert.

To reassign an alert, follow these steps:

1. On the Alert List matrix, select the check box next to each alert that you want to reassign or navigate to the Alert Details tab of the alert that you want to reassign.
2. From the Alert List or Details tab, click the **Reassign** button.

*Alternatively,* you can select **Actions, Disposition, E-mail, Export, Regulatory Reporting,** or **Review** button from the Alert List or Details tab for taking actions and also reassign action.

The pop-up window for the selected category displays.

3. Select actions from the **Select an Action** selection box.

**Note:** Once you select an action, **Save**, **Save and Attach** and **Reset** buttons are displayed.

4. Select a user or group of users from the **Reassign** drop-down list.

*Optional:* Type comments you have regarding the assignment of the alert in the **Comments** text box.

*Optional:* While performing actions on alerts and while creating manual alerts, an Analyst I, II, or Supervisor user can automate the assignment of ownership of the alert by selecting the **Auto Assignment** check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Alert Assigner Editor under Alert Management Configuration settings set by an Oracle Administrator.

**Note:** Deselect the **Auto Assignment** check box to enable the Reassign Ownership To field.

Auto Assignment is a feature which enables the user to select the owner by the system through pre-defined rules. The pre-defined rules are set under Alert Assigner Editor ( parameters such as Alert Type, Status and so on). If the system is unable to find an owner based on the rules defined then the alert will be auto assigned to the default owner set in Default Alert Owner attribute under the Installation Parameters table. For more details on the Alert Assigner Editor refer to the *Administration Tools Guide* and the *Configuration Guide* for Default Alert Owner settings.

5. Click **Save**.

The confirmation dialog box displays.

*Alternatively,* click **Save & Attach**.

6. The confirmation dialog box displays.

Oracle Financial Services Alert Management reassigns the alerts, records the action, updates the alert information, and returns you to the refreshed Alert List matrix or Alert Details tab depending upon from where the action was taken.

At any point of time, if you do not want perform the action on the alert, click **Cancel**.

7. Click **OK**.

OFSAAI records the action, updates the alert information, and returns you to the Alert List page.

If you do not want to reassign the alert, click **Cancel**. Oracle Financial Services Alert Management returns you to the Actions page, and the alert is not reassigned.

## Exporting Alerts

Oracle Financial Services Alert Management enables you to export the information in an alert. This information is written to a file in eXtensible Markup Language (XML) format.

**NOTE:** If you export alerts to XML, Oracle Financial Services Alert Management sends all alert information, including information not displayed in the UI.

Your system administrator configures the location of the file that Oracle Financial Services Alert Management produces. Contact your system administrator for information about the file use and location.

The **Export** button displays for Analyst II, Analyst III, and Supervisors.

To export an alert, follow these steps:

1. On the Alert List matrix, select the check box next to each alert that you want to export or navigate to the Alert Details tab of the alert that you want to export.
2. From the Alert List or Details tab, click the **Export** button.

The pop-up window for the Export category displays.

3. Select the appropriate action from the **Choose an Action** selection box.

**Export Alert Information** saves the details of the alert as an .xml file in a pre-defined location while Export to Case Tools saves the same file inside a Case folder/directory in the pre-defined location.

*Optional:* Type comments you have regarding the export of the alert in the **Comments** text box.

4. Click **Save**.

The confirmation dialog box displays.

*Alternatively,* click **Save & Attach**.

The confirmation dialog box displays.

Oracle Financial Services Alert Management exports each of the selected alerts in a separate XML file and stores them in a pre-defined location with naming convention as <Alert ID>.XML, records all the action, updates the alert information, and returns you to the refreshed Alert List or Alert Details tab depending upon from where the action was taken.

When same alert is exported for the second time, the new export overwrites the already existing XML.

At any point of time, if you do not want to perform the action on the alert, click **Cancel**.

Oracle Financial Services Alert Management navigates to the refreshed Alert List matrix or Alert Details tab depending upon from where the action was taken.

5. Click **OK**.

The confirmation dialog box closes. Oracle Financial Services creates the output file and records the action.

If you do not want to export the alert, click **Cancel**. The confirmation dialog box closes, and the alert is not exported.

## Exporting Alerts to Excel

For all roles, Oracle Financial Services Alert Management enables you to export data to Microsoft Excel where you can then review and edit the data as necessary. The Excel function exports all records available within a particular matrix or from all matrices of the UI based on the option selected in Export Properties. If you select Grid Data then it exports records only from a particular matrix. If you select Form Data then it exports records from all matrices available in the UI. On performing this action, the list of records will be exported to the first sheet of a new Microsoft Excel workbook.

**NOTE:** Before taking Excel action, you need to change the setting in your Internet Explorer browser. Open your Internet Explorer. Go to **Tools > Internet options > Advanced** tab. In Security section, mark the check box for **Do not save encrypted pages to disk** option and click **Apply**. Re-launch the IE browser.

The Excel functionality works successfully on MS Excel 2003. However, you can encounter a warning message if your system has MS Excel 2007. This warning message does not prevent you from successfully exporting the selected content.

This functionality is available as follows within the Oracle Financial Services Alert Management UI:

- **Alert List page:** The **Excel** icon displays on the masthead and on Alert List headers. This functionality exports the Alert List data to Microsoft Excel.

**NOTE:** The Excel function exports all pages of alerts returned by your search as indicated in the Paging display in the Alert List page.

To export alert list data, click the **Excel** icon on the masthead. Oracle Financial Services Alert Management displays the alert list on the first worksheet of the Microsoft Excel workbook.

- **Alert Details page:** Once on the Details page the **Excel** icon will no longer appear in the action button row. The **Excel** icon displays next to the name of the following building blocks:
  - Back Office Journal Transactions
  - Cash Transactions
  - Check, Monetary Instrument Transactions
  - Funds Transfer, Electronic or Internet Transaction

In addition, the icon is available in all the Link pages.

- **Correlation tab:** The **Excel** icon displays in the header of Correlation Summary and Membership matrices.
- **Business tabs:** The **Excel** icon displays in Summary pop-up windows in all the business tabs where summary pop-up windows are applicable.
- **Financials tab:** The **Excel** icon displays in the header of each of Potential Loss, Averted Loss, and Recovered Loss matrices.
- **Manage Trusted Pairs:** The **Excel** icon displays on the Trusted Pairs List header
- **Manage Suppression Rules:** The **Excel** icon displays on the Suppression Rules List header

To export alerts to Excel, follow these steps:

1. Click the **Excel** icon on the Alert List or anywhere in the application where it is available.

A pop-up window displays with export details.

2. Set Document Type as *Excel* and select either *Form Data* or *Grid Data*. If you select Form Data, the system exports all the data available in the current page. If you select Grid Data it displays only the data of a particular matrix. For the Correlation tab, it is advisable to select form data to view the different matrixes at a time.

If you have used the Field Chooser feature to add or remove columns to a grid, you must select Grid Data to view the changes in the exported document.

3. Click the **Export** button.

When processing is complete, the data displays in an IE window with a dialog box.

4. Click **Save** from the dialog box.

The Save As dialog box displays.

5. Select a directory location where you want to save the file.
6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.
7. Click **Save**.

The application saves your file to the specified location.

*Optional:* Open the file in Microsoft Excel to edit as needed.

## E-mailing Alerts

If you are an Analyst II, Analyst III, or Supervisor, you can e-mail alert attachments in the form of an eXtensible Markup Language (XML).

On selecting an **E-mail** button from the Alert List or Details tab, an E-mail pop-up window displays. The pop-up window enables you to enter additional information regarding the alert.

The E-mail pop-up window is associated with the selected alerts displayed in the **Selected Alert IDs** field.

Oracle Financial Services Alert Management sends a single e-mail with each alert as a separate attachment. Each attached file follows the naming convention as <Alert ID>.HTML or <Alert ID>.XML according to the action performed.

By default, a footer is added to the e-mail, which can be configured at the time of installation. Refer to the *Configuration Guide*, on configuring the e-mail footer.

To e-mail alerts, follow these steps:

1. On the Alert List matrix, select the check box next to each alert that you want to e-mail or navigate to the Alert Details tab of the alert that you want to e-mail.
2. From the Alert List or Details tab, click the **E-mail** button.

The pop-up window for the E-mail category displays.

3. Select the appropriate action from the **Select an Action** selection box.

**Note:** Once you select an action, **Save**, **Save and Attach** and **Reset** buttons are displayed.

4. Select a user or group of users from the **Reassign** drop-down list.

*Optional:* While performing actions on alerts and while creating manual alerts, an Analyst I, II, or Supervisor user can automate the assignment of ownership of the alert by selecting the **Auto Assignment** check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Alert Assigner Editor under Alert Management Configuration settings set by an Oracle Administrator.

**NOTE:** Deselect the **Auto Assignment** check box to enable the Reassign Ownership To field.

Auto Assignment is a feature which enables the user to select the owner by the system through pre-defined rules. The pre-defined rules are set under Alert Assigner Editor ( parameters such as Alert Type, Status and so on). If the system is unable to find an owner based on the rules defined then the alert will be auto assigned to the default owner set in Default Alert Owner attribute under the Installation Parameters table. For more details on the Alert Assigner Editor refer to the *Administration Tools Guide* and the *Configuration Guide* for Default Alert Owner settings.

5. Type the e-mail address or addresses of the recipients in the **To** text box.

For multiple addresses, separate each address with a semi-colon.

6. The Subject text box is pre-populated with the Alert ID. You may also edit the Subject text box.
7. Type the subject of the alert information in the **Subject** text box.

*Optional:* In the Body text box, type any additional information regarding the alert information you are e-mailing.

**NOTE:** If the comments exceed 4000 characters, the system prints only the first 4000 characters.

8. Click **Send**. The Send E-mail pop-up window closes.

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**Caution:** Comments added to an e-mail attachment are not secure.

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Oracle Financial Services Alert Management sends the e-mail, records the action, and returns you to the Alert Search & List page or Alert Details tab depending upon from where the action was taken.

If you do not want to e-mail the alerts, click **Cancel** and the e-mail is not sent. The application returns you to the Alert List page or Alert Details tab depending upon from where the action was taken.

## Printing Alerts

Users mapped to the role of Analyst II, Analyst III, Supervisor, Executive or Internal Auditor can print a detailed report on a particular Alert Investigation by selecting a single or multiple business tab information from the drop-down list, and clicking the **Print Summary** or **Print Details** button in the Alert Details page. A dialog box prompts to open or save the file as a PDF.

If you have selected the **Print Details** button for an alert that displays business tabs, the Print Detailed Report pop-up window displays. Select the business tab you wish to print details for from the Select Business Tabs selection box. If no information related to any business tab is available for the alert, the report with the rest of the details is generated.

**NOTE:** The printed detail and summary reports contains only the first 4000 characters of the alert narrative contents.

## Printing Comments

Users mapped to the role of Analyst II, Analyst III, Supervisor, Executive or Internal Auditor can also print comments that are entered for the alert by clicking the **Print Comment** action icon. The **Print Comment** icon in the action bar when selected, prints the alert context and the comments entered by the user either from the Evidence tab or entered when taking other actions.

**NOTE:** If the comments exceed 4000 characters, the system prints only the first 4000 characters.

## Closing Alerts

Only an Oracle Financial Services Alert Management user with the role of Supervisor, Analyst II or Analyst III may close an alert.

Oracle Financial Services Alert Management recommends that your firm determines a standard practice for closing an alert. Examples of standard manual close actions include:

- Auto-Closed
- Suppressed
- Executed Open Order
- Invalid Alert
- Duplicate Alert

- Promote to Case
- Withhold Action
- Close and Suppress 1 month
- Close and Suppress 3 months
- Close and Suppress 6 months
- Close and Suppress 1 year
- Duplicate Alert - Recommended to Close
- Close and Suppress-Enter Date
- Opened Investigation - Recommended to Close

### **System Alert Closure**

Occasionally, your firm may want to defer the investigation of lower priority alerts in favor of higher priority alerts. Lower priority alerts are still processed by Oracle Financial Services Alert Management and require some type of closing action. To facilitate the closing of lower priority alerts, Oracle Financial Services Alert Management has an auto-close function.

The auto-close function cannot be set by typical users. Auto-close is configured by the System Administrator, and is handled transparently by the application.

### ***Automatically Closing an Alert***

Your firm establishes the criteria that determines when an alert should be auto-closed. This criteria defines one or more attributes of the alert to be evaluated in determining whether Oracle Financial Services Alert Management should automatically close the alert. For example, alerts may be closed based on their age, status, score, focus type, generating scenario, or any combination of these attributes.

Once your firm's auto-close parameters are established, Oracle Financial Services Alert Management then regularly evaluates all candidate alerts and closes each alert that satisfies the auto-close criteria. However, the closed alerts are maintained for viewing purposes and are still available for reopening.

The procedure for reopening a closed alert is the same whether the alert was closed by a user or by the application's auto-close process. Refer to section *Reopening Alerts*, on page 62 for information on how to reopen an alert that was closed.

### **System Suppression of a Scenario for a Specific Focus**

Oracle Financial Services Alert Management regularly runs an auto-suppression process to determine if there are alerts that meet the suppression criteria. The alerts that the scenario generates for the specific focus and that meet the suppression criteria do not display for a user's action. Instead, Oracle Financial Services Alert Management automatically closes them.

Even though Oracle Financial Services closes the alerts that meet the appropriate suppression criteria, it still maintains the alerts for viewing and tracking purposes, and the alerts are still available for reopening at any time through the Actions page.

### **Suppressing a Scenario for a Specific Focus**

To suppress a scenario for a specific focus, perform a Close and Suppress action (for example, Close and Suppress 3 Months) on an alert focused on the entity and generated by the scenario. Oracle Financial Services suppresses alerts for the same focal entity and scenario for the designated time.

**NOTE:** If you select an action (or actions) that is associated with a specific duration (for example, Close and Suppress 3 months), and then select an action (or actions) that is not associated with a duration (for example, Close and Suppress-Enter Date) the following message displays:

Close and Suppress Enter-Date action cannot be taken with other suppression actions. Please select the actions accordingly.

Therefore, the only time that the system enables and pre-populates the **Suppression End Date** field with a blank value is when you select one or more suppression triggering actions that are not associated with a duration.

**NOTE:** The **Close and Suppress...** options are not available in the Disposition action category or Disposition tab for multi-match alerts with multiple scenarios or for user-initiated alerts.

### **Reopening an Alert Closed by Suppression**

Refer to section *Reopening Alerts*, on page 62 for information on how to reopen an alert that was closed by auto-suppression.

The procedure for reopening a closed alert is the same whether the alert was closed by an Analyst or Supervisor or by an Oracle Financial Services Alert Management auto-suppression action.

### **Creating a Tailored Suppression Rule**

If your access privileges permit, you can create a tailored suppression rule for an alert by adding a highlight binding name and value pair, a suppression end date and a comment to an alert.

To create a tailored suppression rule:

1. On the Disposition category pop-up window or the Disposition tab for an alert for which you want to create a new suppression rule, select one of the Close and Suppress options from the **Select an Action** selection box.
2. Click **Go**.
3. In the **Suppression Condition** fields, specify a binding name and value pair associated with the current alert from the binding name drop-down list, the binding operator drop-down list and the value text box.
4. In the **Suppression End Date** field, enter an expiration date for this rule.

**Note:** The **Suppression End Date** field is enabled only when you select at least one action that is designated to trigger the suppression of future alerts, and the selected action is not associated with a specific time duration (for example, the system does not enable this field if you have selected only the Close and Suppress for 1 Month action).

5. Enter a mandatory comment describing your action in the **Comment** text box.
6. Click **Save**.

The system automatically generates a suppression rule for auto-suppressing future alerts that match the rule criteria you just created and changes the status of the alert to Closed.

**NOTE:** If your access privileges permit, you can edit the binding value of an existing suppression rule by changing the value in the **Suppression Condition Value** text box.

## Manually Closing Alerts with Four-Eyes Approval

Four-Eyes Approval is a dual control or approval process that requires an authorized user (for example, a Supervisor) to approve actions of other users prior to those actions taking full effect on the alert (for example, closing the alert or creating a suppression instruction). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

**NOTE:** You must select Four-Eyes Approval at installation time for this process to work.

If you are an Analyst II or an Analyst III user, Oracle Financial Services Alert Management enables you to recommend an alert for closure or suppression. For users requiring supervisory approval, actions are labeled with *Recommend to* to easily identify those actions that require additional oversight. If you are a Supervisor, Oracle Financial Services enables you to take an action to close or suppress a recommended alert with the status of New, Open, Follow-up, or Reassigned.

### **Approving an Alert Recommended for Close or Suppress Action**

The Supervisor views the alerts recommended for close or suppress action by filtering for alerts that have been reassigned to them. The Supervisor can then approve the recommended action on the alert.

To approve an alert recommended for close or suppress action, follow these steps:

1. On the Alert List, select the check box next to each alert that has been reassigned to you for approval and for which you want to approve the closure with the same closing information.

*Alternatively,* navigate to the Alert Details tab of the alert that you want to approve.

2. Click on the appropriate action category—Actions, Disposition, Export, Regulatory Reporting, and Review.

The pop-up window for the selected category displays.

3. Select the appropriate closing action from the **Select an Action** selection box.

**Note:** Once you select an action, **Save**, **Save and Attach** and **Reset** buttons are displayed.

*Optional:* Reassign the alert to the Analyst.

4. Select as many comments in **Standard Comments** selection box as appropriate. You may also enter comments you have regarding the action in the **Comments** text box.

5. Click **Save**.

The confirmation dialog box displays.

*Alternatively,* click **Save & Attach**.

The confirmation dialog box displays.

6. Click **OK**.

Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the refreshed Alert List matrix or Alert Details tab depending upon from where the action was taken.

If you do not want to close the alert with the actions you selected, click **Cancel**.

You are returned to the Alert Search & List page or Alert Details tab depending upon from where the action was taken, and the alert remains unchanged.

## Manually Closing Alerts without Four-Eyes Approval

If you are an Analyst II, III, or Supervisor, you can take an action to close an alert with the status of New, Open, Follow-up, or Reassigned.

To close an alert, follow these steps:

1. On the Alert List matrix, select the check box next to each alert that you want to close or navigate to the Alert Details tab of the alert that you want to close.
2. From the Alert List or Details tab, click the **Disposition** button.

*Alternatively*, if you are in the Alert Details tab, select the Disposition tab.

*Alternatively*, you can click the **Actions, Export, Regulatory Reporting**, or **Review** button from the Alert List or Details tab for taking actions with status Follow-Up or Closed. In this case, do not enter a **Due Date**.

The pop-up window for the selected category displays.

3. Select the appropriate closing action from the **Select an Action** selection box.
4. Click **Go**.

*Optional:* Select any additional actions for the alert.

## Promoting Alerts to Cases

The Promote to Case action is only applicable if your firm has implemented Oracle Financial Services Enterprise Case Management. The actions and steps described in this section of the user guide will not be available to you otherwise. The Promote to Case action enables you to link the promoted alerts to a newly created case. This action is a subset of the Close action of the Disposition action category. When you perform the Promote to Case action on the selected alerts, the status for the selected alerts changes to *Close* and reflects in the audit tab and alert context section.

The Promote to Case action is conditional based upon the scenario class of the alert. The action is applicable for the Fraud and Money Laundering solutions set.

The Promote to Case page enables you to add information regarding the new case and provides the options to create a single case for all the selected alerts or to create an individual case for each of the selected alerts.

You can promote alerts to case in three ways:

- Promoting to Case: Single Alert - Single Case
- Promoting to Case: Multiple Alerts - Single Case
- Promoting to Case: Multiple Alerts - Multiple Cases

### Promoting to Case: Single Alert - Single Case

The Promote to Case: Single Alert - Single Case page enables you to enter additional information regarding the new case. The page displays when you select a single alert and click the **Next** button in the Disposition tab, after selecting Promote to Case from the **Select an action** drop-down list and entering appropriate comments (Figure 11).

Figure 11. Promote to Case: Single Alert - Single Case

### Components of Single Alert - Single Case

The Promote to Case: Single Alert - Single Case page includes the following areas of information:

- **Promotion:** Displays the alert and its associated case.
  - **Alert ID** label: Displays the selected alert ID involved in the Promote to Case action.
  - **Case ID** label: Displays the new case ID, which is created from the Promote to Case action. The case IDs display when you promote a single alert to a single case or multiple alerts to single case. When you select multiple alerts to multiple cases in the global case information, case ID displays a blank value.
  - **Alert Focus** label: Displays text that is inherited from the alert.
  - **Primary Alert** drop-down list: When multiple alerts are selected to promote to a single case, this drop-down list allows you to select a base alert is to establish the focus and to pass security attributes to the case.
  - **Case Type** label: Includes a list of distinct case types available to the user.
  - **Case Subtype** label: Includes a list of distinct case subtypes available to the user. Case subtypes depend on the case type you select from the **Type** drop-down list.
  - **Subclass 1** drop-down list: Includes a list of distinct Subclass 1s available to you based on the value selected in the subtype field. Case Subclass 1s depend on the case type and subtype you have selected from the **Type** and **Subtype** drop-down list
  - **Subclass 2** drop-down list: Includes a list of distinct Subclass 2s available to you based on the value selected in the Subclass 1 field. Case Subclass 2s depend on the Subclass 1 you have selected from the **Subclass 1** drop-down list.
  - **Case Priority:** Enables you to select a priority for the new case. Options include High, Medium, and Low.
  - **Confidential Flag:** Enables you to indicate whether this case concerns confidential information.
  - **Owner** drop-down list: Includes a list of owners to which the case can be assigned. If you do not select a owner in the list, you would be assigned as the owner of the case by the system.

- **Auto-Assignment** checkbox: Enables the system to automatically assign an investigator to work on the case other than the owner.
- **Assigned To:** Enables you to select an investigator to work on the case other than the owner. Includes a list of users to which the case can be assigned based upon user roles and privileges
- **Due Date** text box: Enables you to select a due date with the help of the calendar for the case.
- **External Source System** drop-down list: Includes a list of all distinct available external source systems. If the selected alert is associated with an external source system, the **External Source System** drop-down list displays the associated value as a default value.
- **External ID** text box: Enables you to enter printable UTF-8 characters into the external ID field. You can enter up to 100 characters of text in the **External ID** text box.
- **Case Title** text box: Enables you to either enter or inherit the title from the individual alert that is promoted to the case.
- **Case Description** text area: Enables you to enter free text characters relevant to the analysis of the newly created case or inherit the description as highlights from the Individual alert that is promoted to the case.
- **Transfer Alert Information** multi select drop-down list: Includes a list of categories of alert information (for example, customer information, transaction activity, and so forth), which can be transferred to the case based on the focus of the alert and the selection of case type.

**NOTE:** To support the display of tab information, the system may transfer other alert information other than your selection. For example, to support the display of Account tab and its details, Employee related alert information would be passed to have proper data for investigation of the case.

Transfer Alert Information can be handled in two ways: Synchronous and Asynchronous mode. By default, the system transfers alert information in Synchronous mode. This is an installation configurable parameter. Contact your system administrator. for configuring the settings.

- ◆ Synchronous Mode: When Alert Data Transfer mode is in synchronous mode, once you select your data transfer options and select Save, you will not be able to perform any additional action on the alert until the data transfer is complete. A message displays:

Transfer of alert information may take a few moments and your Oracle Financial Services Alert Management session will be unavailable during this time. You will be notified when the transfer completes.

After the action is completed, the system displays the confirmation message for both successful and unsuccessful alert data transfer.

- ⑩ **Message for Successful Process:** Transferring of alert information is complete. Click **OK** to navigate to the Case Summary/List Page for your newly created case. Click **Cancel** to return to the Monitoring workflow.
- ⑩ **Message for Unsuccessful Process:** An error occurred during the requested transfer of some/all alert information to the case. The case may reflect incomplete business information. Click **OK** to navigate to the Case Summary/List page for your newly created case. Click **Cancel** to return to the Monitoring workflow.

When the process is unsuccessful, the case may reflect incomplete business information. The audit information for the promoted alert will indicate that the data transfer to the specific case was unsuccessful. The audit information for the created case will indicate for which alert ID the data transfer was unsuccessful. This information is available in the Audit tab for both alert and case.

**NOTE:** Verify with your administrator about the unsuccessful process of alert data transfer. Once the reason for the unsuccessful message is resolved, to have all the data available for the case, you can unlink the alert and again link the alert through relationships tab.

- ◆ **Asynchronous Mode:** When you perform the transfer of alert information in Asynchronous mode, you can continue to work within the system while the alert information is being transferred in the background. However, you can view the case only after the alert data transfer process is completed. You are reminded of this with a confirmation message:

Transfer of alert information may take a few moments and your newly created case will unavailable until the transfer is complete.

If, during asynchronous data transfer the transfer is unsuccessful, the case will become available, although the case may reflect incomplete business information. Entries for the alert and case in the Audit tab and in the comments column it will provide information regarding which alert or case was impacted by the failure.

A notification displays if you are the alert/case owner, and/or Assigned to User of the case, and/or the user who has performed the action within the Notification section of your Home page.

**NOTE:** Verify with your administrator about the unsuccessful process of alert data transfer. Once the reason for the unsuccessful message is resolved to have all the data available for the case, you can unlink the alert and again link the alert through Relationships tab.

- **Save button:** Saves all actions and comments entered.
  - ◆ When you don't select any value from the Transfer Alert Information drop-down list and click Save, a message displays:

The information provided by you will be applied to the case being created by this promotion action. As you have not selected a value(s) in the Transfer Alert Information drop-down list, all relevant information of the primary alert or Alert focus will get transferred to the case.
  - ◆ When you select a value from the Transfer Alert Information drop-down list, and click Save, a message displays:

The information provided by you will be applied to the case being created by this promotion action. As per your selection of values in the Transfer Alert Information drop-down list, all relevant information of the selected alert(s) will get transferred to the case.
- **Save & Attach button:** Saves all the actions and displays the attachment UI for attaching the documents. Attaches files applicable to all actions to the alert being promoted to the case but not to the newly created case.

Upon completion of the Save or Save & Attach action for alert promotion, the system provides the user an option to retain in the Monitoring Workflow or to navigate to Case Summary or List page based on the selection of the **OK** and **Cancel** button in the successful and unsuccessful message in synchronous mode. In the asynchronous mode, you will navigate to the List page or the Disposition tab.

**NOTE:** The confirmation message will inform you of the generated Case ID(s), which can be noted and used for later searches.

- ◆ In the synchronous mode, if you choose to retain in the Monitoring Workflow, the Case ID (s) displays in a pop-up window.
- ◆ In the asynchronous mode, before you are navigated to the list page or the disposition tab, the Case ID (s) displays in a pop-up window.
- **Reset** button: Resets all the values entered to default values.
- **Cancel** button: Displays unsaved data warning message with **OK** and **Cancel** button.
  - ◆ **OK** button: Cancels all the actions selected in the disposition action category and closes Promote to Case pop-up window
  - ◆ **Cancel** button: Displays the Promote to Case page

To promote a single case from an alert, follow these steps:

1. From the Alert List page, select the check box next to each alert that you want to promote to a case, or navigate to the Alert Details tab of the alert that you want to promote to a case.

2. From the Alert List page, click the **Disposition** button.

*Alternatively,* if you are in the Alert Details tab, click the **Disposition** tab.

The Disposition action category pop-up window displays.

3. Select the Promote to Case action from the **Select an Action** drop-down list.

*Optional:* Select additional actions for the alert

4. Enter only comments for the alert in the **Comments** text area if the selection is only Promote to Case.

*Alternatively,* if the selection includes Promote to Case and other actions enter all the required fields for the action.

5. Click **Next**.

Promote to Case pop-up window displays with the components. Refer to section *Components of Single Alert - Single Case*, on page 53 for more information.

6. From the Promote to Case section, select a case type from the **Case Type** drop-down list.

7. Select a case subtype from the **Subtype** drop-down list.

*Optional:* If appropriate, select a case Subclass 1 from the **Subclass 1** drop-down list. If appropriate, select a case Subclass 2 from the **Subclass 2** drop-down list.

8. Select a case priority from the **Case Priority** drop-down list.

*Optional:* Select a confidential flag from the **Confidential Flag** drop-down list.

*Optional:* Select the owner of the case from the **Owner:** drop-down list.

*Optional:* Select the **Auto-Assignment** checkbox to allow the system to automatically assign this case.

*Optional:* Select the assigned to from the **Assigned To** drop-down list.

*Optional:* Select a date from the **Due Date:** calendar control.

*Optional:* Select the external source system from the **External Source System** drop-down list.

*Optional:* Type an identifier in the **External ID** text box.

9. Type or modify a case name in the **Case Title** text box, if required

*Optional:* Type any additional information for the case in the **Case Description** text area. By default, pre-population of the highlights displays.

*Optional:* Select value(s) from the **Transfer Alert Information** drop-down list

10. Click **Save**.

*Alternatively,* click **Save and Attach** to save and attach files.

Upon completion of the Save action, the system navigates to the Case Summary page of the case you have just created if you select **OK** on the confirmation message or remains in the Monitoring workflow if you select **Cancel**.

### Promoting to Case: Multiple Alerts - Single Case

The Promote to Case: Multiple Alerts - Single Case page enables you to enter additional information regarding the new case. The page displays when you select multiple alerts from the Alert Search & List page, click the **Disposition action category** icon, select the Promote to Case action, and click the **Next** button. You will have the following options:

- **Multiple Alerts to Single Case** option: Displays the Promote to Case page on selection of promoting a single case.
- **Multiple Alerts to Multiple Case** option: Displays Global Case Information page on the selection of promoting multiple cases.

Select Multiple Alerts to Single Case option to promote the alerts to a single case (Figure 12).

**Figure 12. Promote to Case: Multiple Alert - Single Case**

### Components of Multiple Alerts - Single Case

Refer to the section *Components of Single Alert - Single Case*, on page 53 for more information on the components of Multiple Alerts to Single case with the following exceptions:

- Alert Focus label is grayed out.

- **Primary Alert drop** down list: Includes the list of concatenated Focus Type and Focal Entity IDs that are inherited from the selected alerts.

When promoting a single alert to a single case, the case will automatically inherit the focus from the single case. When promoting multiple alerts with potentially different focus types and focal entities into a single case, it is necessary to select one of them to be the primary alert underlying the new case.

To promote a single case from multiple alerts, follow these steps:

1. From the Alert Search & List page, select the check boxes next to each alert that you want to promote to a case
2. From the Alert List page, click the **Disposition** button.

The Disposition action category pop-up window displays.

3. Select the Promote to Case action from the **Select an Action** drop-down list.

*Optional:* Select additional actions for the alert.

4. Enter only comments for the alert in the **Comments** text area if the selection is only Promote to Case.

*Alternatively,* if the selection includes Promote to Case and other actions, enter all the required fields for the action.

5. Click **Next**.

Promote to Case pop-up window displays with the two options as defined in the Promoting to Case: Multiple Alerts - Single Case.

6. Select **Multiple Alerts to Single Case** option.

The Promote to Case components displays. Refer to section *Components of Multiple Alerts - Single Case*, on page 57 for the list of possible components.

7. From the Promote to Case section, select a case type from the **Case Type** drop-down list.

8. Select the primary alert from the **Primary Alert** drop-down list.

9. Select a case subtype from the **Subtype** drop-down list.

*Optional:* If appropriate, select a case Subclass 1 from the **Subclass 1** drop-down list.

*Optional:* If appropriate, select a case Subclass 2 from the **Subclass 2** drop-down list.

10. Select a case priority from the **Case Priority** drop-down list.

*Optional:* Select a confidential flag from the **Confidential Flag** drop-down list.

*Optional:* Select the owner of the case from the **Owner:** drop-down list.

*Optional:* Select the **Auto-Assignment** checkbox to allow the system to automatically assign this case.

*Optional:* Select the Assigned To from the **Assigned To** drop-down list.

*Optional:* Select a date from the **Due Date:** calendar control.

*Optional:* Select the external source system from the **External Source System** drop-down list.

*Optional:* Type an identifier in the **External ID** text box.

11. Type a case name in the **Case Title** text box.

*Optional:* Type any additional information for the case in the **Case Description** text area.

*Optional:* Select value(s) from the **Transfer Alert Information** drop-down list.

12. Click **Save**

*Alternatively*, click **Save and Attach** to save and attach files.

Upon completion of the Save action, the system navigates to the Case Summary page of the case you have just created if you select **OK** on the confirmation message or remains in the Monitoring workflow if you select **Cancel**.

### Promoting to Case: Multiple Alerts - Multiple Cases

The Promote to Case: Multiple Alerts - Multiple Cases page enables you to enter additional information regarding the new cases. You can either define information that is common to all individual cases being created, or define information specific to each individual case for each selected alert. The page displays when you select multiple alerts from the Alert Search & List page, click the **Disposition action category** icon, select the Promote to Case action, and click the **Next** button. You have the following options:

- **Multiple Alerts to Single Case** option: Displays the Promote to Case page on selection of promoting a single case.
- **Multiple Alerts to Multiple Cases** option: Displays Global Case Information page on the selection of promoting multiple cases.

Select Multiple Alerts to Multiple Cases option to promote each of the selected alerts to its own case (Figure 13).

**Figure 13. Promote to Case: Multiple Alerts - Multiple Cases**

### Components of Multiple Alerts - Multiple Cases

The Promote to Case: Multiple Alerts - Multiple Cases page includes the following areas of information:

- **Global Case Information:** Enables you to enter the additional information for new cases and then elect to populate that information on all the individual cases on all the New Case sections. This section only appears if you select the **Multiple Alerts to Multiple Cases** option. Refer to the section *Components of Single Alert - Single Case*, on page 53 for more information on the components that displays for Global Case Information. The exceptions in the label and additional buttons are the following:
  - **Case ID** label: Grayed out
  - **Alert Focus** label: Grayed out
  - **Alert ID** label: Grayed out

- **Save/Save & Attach** button: Saves any value entered on the global screen for all cases and any pre-populated information specific to each individual case, and exits the promote to case screen with all cases created.

When you click the **Save/Save & Attach** button and do not select **Transfer Alert Information**, the following message displays:

The information provided by you will be applied to all cases created by this promotion action. As you have not made a global selection for transfer of alert information, for each created case the promoted alert's information will be transferred to its respective case.

When you click the **Save/Save & Attached** and do not select **Transfer Alert Information**, the following message displays:

The values you have specified will be applied to each case created by this promotion action. Where you have not supplied a global value to be used across all cases, the default value for each field will be used for each case. For each case the promoted alert's information will be transferred to its respective case.

- **Set Values/Next** button: Saves any values entered on the global case information screen for all cases, and navigates you to the first case of the multiple cases being created with all the global values entered as pre-populated for modifications or review for each case. Clicking the **Set Values/Next** button displays the message:

The values you have entered will be applied to each case created in this promotion action. You will now have the option to specify additional information for each individual case created by this promotion action.

- **Next** button: Allows you to by-pass setting for any global information and navigates you to the first case of the multiple cases being created. Clicking the **Next** button displays the message:

Any values entered by you on this global case information screen will not be applicable for the rest of the cases created by this promotion action. Click **OK** to continue and **Cancel** to return to the Promote to Case page.

Upon completion of the Save action, the system navigates to the Case Search & List page. The list matrix displays the list cases you have just created.

### **Promoting Common Case Information for Multiple Alerts**

To promote multiple selected alerts to individual cases using global case information, follow these steps:

1. From the Alert Search & List page, select the check box(es) next to each alert that you want to promote to a case
2. From the Alert List page, click the **Disposition** button.

The Disposition action category pop-up window displays.

3. Select the Promote to Case action from the **Select an Action** drop-down list.

*Optional:* Select additional actions for the alert

4. Enter only comments for the alert in the **Comments** text area if the selection is only Promote to Case.

*Alternatively,* if the selection includes Promote to Case and other actions enter all the required fields for the action.

5. Click **Next**.

The Promote to Case pop-up window displays with the two options as defined in the Promoting to Case: Multiple Alerts - Single Case.

6. Select Multiple Alerts to Multiple Case option.

The Global Case Information displays. You can add comments related to the attachments. Refer to section *Components of Multiple Alerts - Multiple Cases*, on page 59 for the list of possible components.

7. From the Global Case Information section, select a case type from the **Case Type** drop-down list.
8. Select a case subtype from the **Subtype** drop-down list.

*Optional:* If appropriate, select a case Subclass 1 from the **Subclass 1** drop-down list.

*Optional:* If appropriate, select a case Subclass 2 from the **Subclass 2** drop-down list.

9. Select a case priority from the **Case Priority** drop-down list.

*Optional:* Select a confidential flag from the **Confidential Flag** drop-down list.

*Optional:* Select the owner of the case from the **Owner:** drop-down list.

*Optional:* Select the **Auto-Assignment** checkbox to allow the system to automatically assign this case.

*Optional:* Select the Assigned To from the **Assigned To** drop-down list

*Optional:* Select a date from the **Due Date:** calendar control.

*Optional:* Select the external source system from the **External Source System** drop-down list.

*Optional:* Type an identifier in the **External ID** text box.

10. Type a case name in the **Case Title** text box.

*Optional:* Type any additional information for the case in the **Case Description** text area.

*Optional:* Select value(s) from the **Transfer Alert Information** drop-down list.

11. Click **Save**.

This assigns common case information to the selected alerts and creates the new cases.

*Alternatively*, click the **Save and Attach** button to assign common case information to the selected alerts and attach files.

*Alternatively*, click the **Set Values/Next** button to set global information and edit additional information for the individual cases.

*Alternatively*, click the **Next** button to not save any global values and edit each new case individually.

Upon completion of the Save action, the system navigates to the Case Summary page of the case you have just created if you select **OK** on the confirmation message or remains in the Monitoring workflow if you select **Cancel**.

### **Promoting Common Case Information for Multiple Alerts using Set Values/Next or Next button**

In the course of promoting multiple alerts to multiple cases, you may want to set a subset of common values globally across all new cases, however, still have a need to edit individual details of each case. To promote multiple alerts to individual cases with some global case information, refer to section *Promoting Common Case Information for Multiple Alerts*, on page 60 from step #1 to 12 but instead of **Save**, click the **Set Values/Next** button.

Click **Cancel** on the confirmation dialog box to stay on the same page. Click **OK** on the confirmation dialog box to navigate to the first case being created with all the global case information pre-populated. You can modify the case information for this specific case and will have the following options for proceeding:

- **Next** button: Allows you to navigate to the next case, with pre-populated values from Global Case Information. When you reach the last new case, the **Next** button will not be available.
- **Save** button: Displays in the last case, saves all the actions and cases are created.
- **Save & Attach** button: Displays in the last case, saves all the actions and cases are created and allows you to attach files.
- **Cancel and Reset** button: Refer to section *Components of Single Alert - Single Case*, on page 53 for more information on these buttons.

To promote multiple alerts to individual cases with no global case information specified, refer to section *Promoting Common Case Information for Multiple Alerts*, on page 60 from step #1 to 12, but instead of **Save** or **Set Values/Next**, click the **Next** button.

Click **Cancel** on the confirmation dialog box to stay on the same page. Click **OK** on the confirmation dialog box to navigate to the first case being created. Default information is pre-populated for the case based upon the associated alert. No global values will have been inherited. You can modify the case information for this specific case and will have the following options for proceeding:

- **Next** button: Allows you to navigate to the next case with blank values. When you reach the last new case, the **Next** button will not be available.
- **Save** button: Displays in the last case, saves all the actions and cases are created.
- **Save & Attach** button: Displays in the last case, saves all the actions and cases are created and allows you to attach files.
- **Cancel and Reset** button: Refer to section *Components of Single Alert - Single Case*, on page 53 for more information on these buttons.

## Reopening Alerts

If you are an Analyst II, Analyst III, or Supervisor with enabled user role permissions, then you may reopen closed alerts that require further investigation.

You can also assign the alerts to any user when you reopen an alert. When you save the Reopen action, the selected alert is set to the status of Reopened and assigned to its last owner before it was closed.

To reopen closed alerts, follow these steps:

1. On the Alert List matrix, select the check box next to each alert that you want to reopen or navigate to the Alert Details tab of the alert in *Closed* status that you want to reopen.
2. From the Alert List or Details tab, click the **Actions** button.

The pop-up window for the selected category displays.

3. Select the Reopen action from the **Select an Action** selection box.

**Note:** Once you select an action, **Save**, **Save and Attach** and **Reset** buttons are displayed.

4. Enter any comments you may have regarding the reopening of the alert in the **Comments** text box.

*Optional:* Select a user or group of users from the **Reassign** drop-down list.

*Optional:* Select the **Auto-Assignment** checkbox to allow the system to automatically assign this alert.

5. Click **Save**.

The confirmation dialog box displays.

*Alternatively,* click **Save & Attach**.

The confirmation dialog box displays.

6. Click **OK**.

Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the Alert List page or Alert Details tab depending upon from where the action was taken

If you do not want to reopen the alert, click **Cancel**.

## Adding Comments to Alerts

You can add comments to selected alerts in Oracle Financial Services Alert Management, exclusive of any other actions.

When you save comments to an alert, the status of that alert does not change as a result of those comments. However, the Comment action is added to the alert's history.

All roles except Executive and External Auditor can add comments.

To add comments to an alert, follow these steps:

1. Navigate to the Alert Details tab of the alert that you want to add a comment to and select the Evidence tab.

Or:

Select an alert and click the **Evidence** button. The Evidence button allows you to add comments and attachments to this alert.

2. Click the **Add** button in the Comments matrix.
3. Select as many comments from the **Standard Comments** selection box as appropriate.

*Optional:* You may also enter any additional free text comments you have regarding the alert in the **Comments** text box.

4. Click **Save**.

The confirmation dialog box displays.

5. Click **OK**.

Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the updated Evidence tab.

6. If you do not want to save the alert with the comments you entered, click **Cancel**.

You return to the Evidence tab, and the Add Comment action will not be added to the alert's history.

## Adding Attachments to Alerts

You can add attachments to selected alerts in Oracle Financial Services Alert Management, exclusive of any other actions or as a part of any other action.

Adding an attachment to an alert enables you to attach relevant documents to the alert. You might want to add information in order to make a decision about the alert.

When you save an attachment to an alert, the status of that alert does not change.

However, the attachment is added to the alert's history. The formats for attachments are deployment configurable.

**NOTE:** All users except Executive and External Auditor can add attachments.

To add an attachment to an alert, follow these steps:

1. Navigate to the Alert Details tab of the alert that you want to add an attachment to, and select the Evidence tab.
2. Click the **Add** button in the Attachments matrix.

*Alternatively*, select one or more actions from any action category pop-up window from the Alert List or Details tab. Enter all mandatory values and click the **Save & Attach** button.

*Alternatively*, select an alert and click the **Evidence** button. The Evidence button allows you to add comments and attachments to this alert.

The confirmation dialog box displays.

3. Click **OK** of the confirmation message.
4. Browse and select one or more files for the alert in the **Choose a File to Attach** text box and enter the logical file name of the file being attached.

This field is an optional. If provided, the logical file name displays in the audit entries, else the physical file name displays.

*Optional:* You may also enter any additional comments you have regarding the alert in the **Comments** text box when in the Evidence tab.

5. Click the **Attach File** button.

The confirmation dialog box displays and Oracle Financial Services Alert Management attaches the file to the selected alert.

6. Add optional information, if required.

7. Click **OK**.

Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the Alert List, Details tab, or Evidence tab as the case may be.

## **Removing Attachments from Alerts**

You can remove attachments from selected alerts in Oracle Financial Services Alert Management using the Evidence tab. When you remove an attachment from an alert, the status of that alert does not change. However, the removal action is added to the alert's history. You can view the removed attachment from the Audit tab.

**NOTE:** All users except Executive and External Auditor can remove attachments.

To remove an attachment to an alert, follow these steps:

1. Navigate to the Alert Details tab of the alert that you want to remove an attachment to and select the Evidence tab.
2. Click the **Attachment** icon in the Attachment column of Attachments matrix.

The Attachment List matrix displays in a pop-up window.

3. Select the check box next to each attachment that you want to remove. Enter any additional comments you have regarding the removal of the attachment in the Comments text box.

**Note:** The comments entered are applicable to all the attachments removed.

4. Click the **Remove** button.

The confirmation dialog box displays.

5. Click **OK** to the confirmation message.

6. Click **OK**.

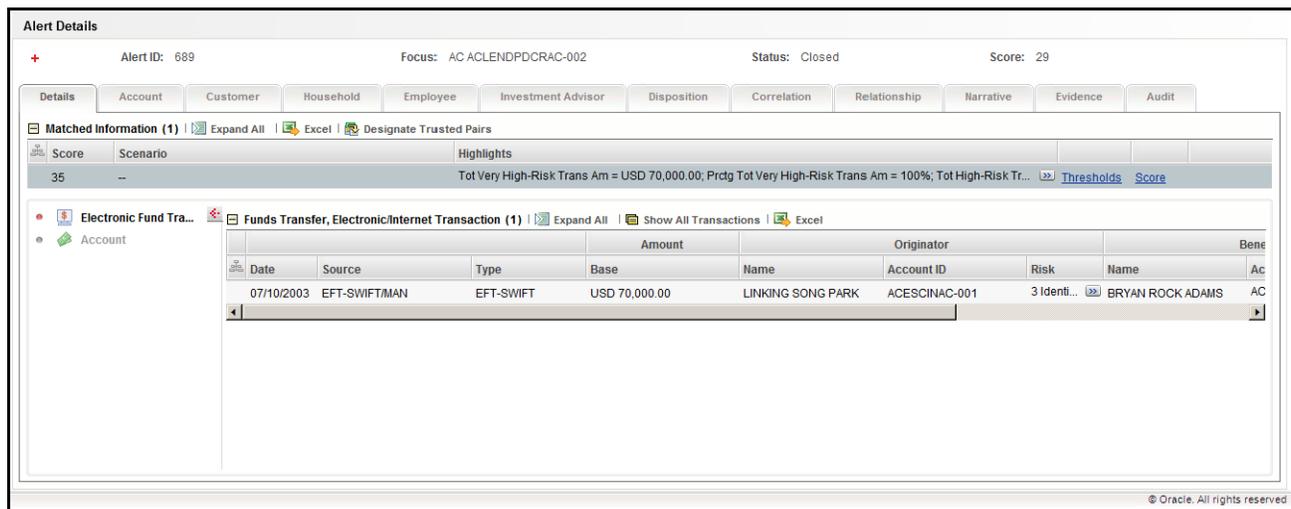
Oracle Financial Services Alert Management records the action, updates the alert information, and returns you to the updated Evidence tab.

If you do not want to remove the selected attachments, click **Cancel**. You return to the Attachment List pop-up window, and the Remove Attachment will not be added to the alert's history.

## Designating Trusted Pairs

In the course of reviewing and analyzing alerts, you can determine that the activity between two parties on a transaction constitutes acceptable business practice and poses little risk to your institution. If your role permits, you can mark the relationship between these parties as trusted, using a combination of multiple attributes and factors to identify the exact format of the relationship that is to be trusted and therefore, potentially, excluded in behavior detection. Having this ability to exclude selected parties from consideration in behavior detection over a period of time can greatly reduce your workload. Refer to *Managing Trusted Pairs*, on page 113 for information on searching, listing, updating and viewing the history of trusted pairs.

You can designate a trusted relationship from the Matched Information area (Figure 14).



**Figure 14. Designate Trusted Pairs from Matched Information**

To designate a relationship as trusted, follow these steps:

1. On the Details page, in the Matched Information area for an alert involved in transactions, click **Designate Trusted Pairs**.

The Designate Trusted Pairs pop-up window displays with a list of potential trusted pairings for the selected alert with a check box against each pair (Figure 15). Party pairings already in active trusted relationships will not appear. Only party identifiers in non-institutional roles can be designated as trusted.

Party 1	Party 2	Direction(Party 1 to Party 2)	Trust Period	Expiration Date
<input checked="" type="checkbox"/> AC ACESCINAC-001	AC ACLENDPDCRAC-002			

Comments:\*

Save Cancel

Figure 15. Designate Trusted Pairs pop-up window

2. Select the check boxes for pairs you want to designate as trusted.
3. Select a direction from the **Direction** drop-down list for the match or matches that you want to designate as trusted. Your options are Send, Receive, or Both.
4. Choose a Trust Period or an Expiration Date for each pair.  
**Note:** Trust Period and Expiration Date are mutually exclusive parameters for each pair.
5. Add a comment.
6. Click **Save**.

## Navigation Data Tabs

Tabs display information according to the focus and entities related to the focus of the alert in accordance with the access permissions appropriate for your user role. The Alert Data tabs and Business tabs display horizontally under the alert context and you can view them by clicking the **Alert ID** hyper link on the Alert List page. The alert context is always visible above the horizontal tabs.

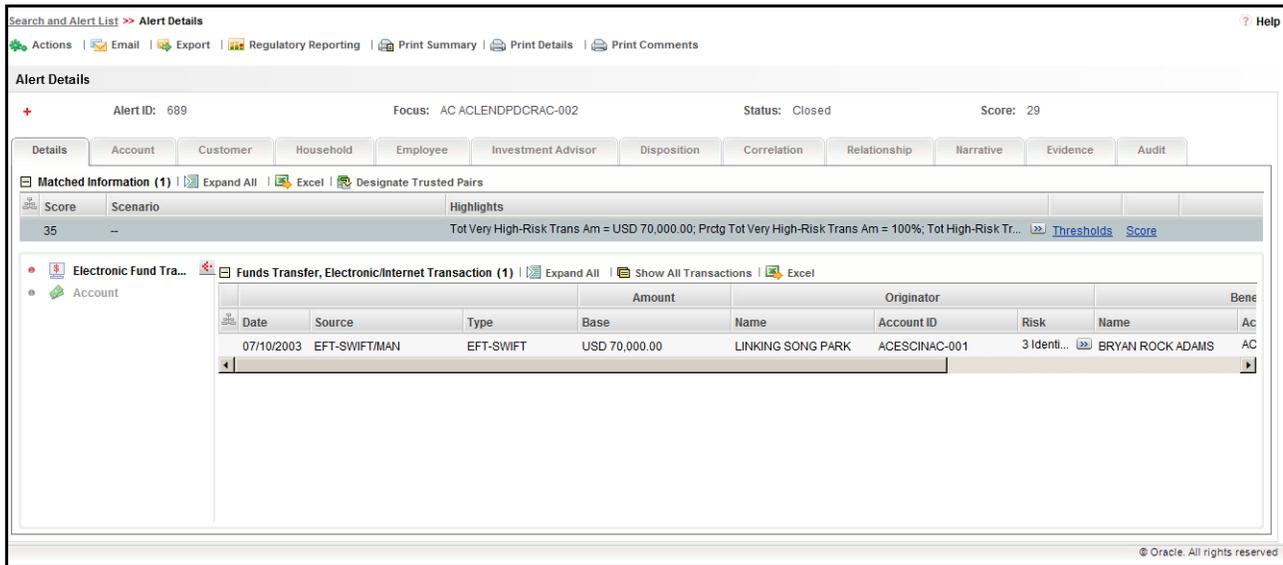
### Alert Data Tabs

Alert Data tabs refer to those tabs that display for all alerts and include the following:

- Details
- Disposition
- Correlation
- Relationship
- Narrative
- Evidence
- Audit

## Alert Details Tab

Oracle Financial Services Alert Management displays detailed information about an alert to assist you in your analysis and resolution of the alert. To access the Alert Details tab (Figure 16) from the Alert List section (Figure 9), you can click the **ID** link for the alert you want to analyze. The application then navigates you to the Alert Details tab.



**Figure 16. Alert Details Tab**

The Alert Details tab gives you access to detailed information regarding each match associated with an alert and the information that triggered each match.

When an Analyst (I, II, or III) or Supervisor views the alert details, the alert's status changes from New, Reassigned, or Reopened to Open if the user is an owner of an alert. Refer to section *Alert Statuses*, on page 5 for more information. If your firm configured your deployment to use the alert inheritance feature, and an organization or group owns the alerts, an Analyst (I, II, or III) or Supervisor takes ownership of the alert when the user views the alert details. Internal and External Auditors can view the alert details, but the application does not assign the alert to them or change the status.

Within the Alert Details tab, you can access additional information related to the alert by selecting one of the tabs on the page.

When you navigate to the Alert Details tab for an alert, the alert gets locked and the system allows other users the *view only* access to the alert. If other users attempt to access the same alert they receive a message informing them that the alert is locked by another user and granted only view rights (they can take no action on the alert).

In addition, the Alert Details tab contains **Show All Transactions** button on the header of all transaction building blocks. On clicking the **Show All Transactions** button, the tab displays matrices of all the transaction types for which there is data. These transaction type includes Funds Transfer, Monetary Instrument Transaction, Cash Transaction, and Back Office Transaction.

## Components of the Alert Details Tab

The Alert Details tab includes the following areas of information:

- **Page Context Controls (Bread crumbs):** Shows your location in the workflow and how you got to this particular page of the tab.

- **Alert Context Information:** Provides a brief description of the alert and the context for determining what actions need to be taken to dispose of the alert. This area displays on top of every tab. The fields that display in the Alert Context are based on the solution set associated with the class of the scenario generating the alert. The alert context initially displays in a contracted mode. Only the Alert ID, Focus, Status, and Score are visible. To view the complete details of the context you can select the **Expand** icon to expand the context section for additional information on the alert.

Table 11 provides a list of the fields that display in the Alert Context information based on your scenario class of the alert.

**Table 11. Alert Context Information by Scenario Class**

Column	Description	AML	Fraud	TC	BC	ECTC
Alert ID	Unique ID of the alert.	X	X	X	X	X
Focus [Type and Name]	Focus upon which the alert is based. Both the focus type abbreviation and the focus name display.	X	X	X	X	X
Score	Score the alert received.	X	X	X	X	X
Scenario	Scenario short name of the scenario that generated the alert.	X	X	X	X	X
Owner	Name of an individual or group of users to whom the alert is assigned.	X	X	X	X	X
Organization	Name of the organization for which an alert is assigned.	X	X	X	X	X
Business Domain	Business domain(s) associated with the alert focus.	X	X	X	X	X
Same Scenario Prior	Number of previous matches associated with the focus of the current alert and of the same scenario.	X	X	X	X	X
Same Class Prior	Number of previous matches associated with the focus of the current alert and of the same scenario class.	X	X	X	X	X
Linked Cases	The count of cases linked to the alert.	X	X	X	X	X
Status	Current state of the alert relative to its analysis and closure.	X	X	X	X	X
Alerts Due [Date and Time]	Date and time by which an action should be taken on the alert.	X	X	X	X	X
Highlights	Pertinent information related to the alert.	X	X	X	X	X
Total/Net Loss Amount	The total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. Applicable to Fraud class alerts.		X			
Total Potential Loss Amount	The total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the alert. Applicable to Fraud class alerts.		X			
Total Averted Loss Amount	The total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the alert. Applicable to Fraud class alerts.		X			
Total Recovery Amount	The total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the alert. Applicable to Fraud class alerts.		X			
Primary Cost Center	The primary cost center to which the total net loss amount for this investigation should be associated. Applicable to Fraud class alerts.		X			

Table 11. Alert Context Information by Scenario Class (Continued)

Column	Description	AML	Fraud	TC	BC	ECTC
Create Date	Date the alert was created.	X	X	X	X	X
Security ID	Identification number of the security involved in the alert.			X		
Security	Name of the security involved in the alert.			X		
Trader ID	Identification number of the trader involved in the alert.			X		
Trader	Name of the trader involved in the alert.			X		X
Investment Advisor Firm ID	Identification of the firm associated with the Investment Advisor.				X	
Service Team ID	Identifier of the primary service team of which this employee is a member.				X	
Registered Representative ID	Identification number of the employee or contractor who is the Registered Representative.				X	
Representative	Employee or contractor who is the Registered Representative.				X	
Branch ID	Identification number of the organization where this account is domiciled.				X	
Branch	Name of the organization where this account is domiciled.				X	
Supervisory Organization ID	Identification number of the organization where the Registered Representative is employed.				X	
Supervisory Organization	Name of the organization where the Registered Representative is employed.				X	
Commodity ID	Filters the alert list by the identification number of the commodity instrument involved in the alert.					X
Commodity	Filters the alert list by the name of the commodity instrument involved in the alert.					X

- Matched Information:** Contains the matched information that triggered the alert as a function of the scenario. The matched information may show a single match, or multiple matches if it is a multi-match alert. Detailed information displays in the form of Building Blocks. Building blocks display when you click on the match in the Matched Information matrix. The L.H.S. (Left Hand Side) menu helps in navigating through the detailed information in the Building Blocks. The information corresponding to the L.H.S. menu refreshes for each selection of match from the Matched information matrix. The information in this area is a snapshot in time of when the application created the alert and does not get updated. This contrasts with data on Oracle Business tabs that display the most recent submitted data.

The **Excel** icon displays next to the building block name if the data that the matched information contains qualifies for this functionality.

If your role permits, you can view the thresholds that were defined at the time the alert was generated. If you are viewing a multi-match alert, each match displays a separate **Thresholds** link. The layout of the information that this area contains varies based upon the focus type, entity type, and scenario class of the alert.

If your role permits, you can view scoring rules defined for the scenario that generated the match, and the match’s actual value of each scoring variable associated with the scenario’s scoring rule. In addition, it displays how the individual scoring values are added up to the total and final score of the match. If you are viewing a multi-match alert, each match displays a separate **Scoring** link. The layout of the information that this area contains varies based upon the focus type, entity type, and scenario class of the alert.

If your role permits, your application has been configured to allow designation of trusted pairs via the user interface and an alert has one or more matched transactions records, a **Designate Trusted Pairs** link appears on the Matched Information matrix. When clicked, this link displays a Designate Trusted Pairs pop-up window where you can mark a relationship between two parties as *trusted*. Refer to Chapter , “Designating Trusted Pairs,” on page 65, for instructions on how to designate trusted pairs.

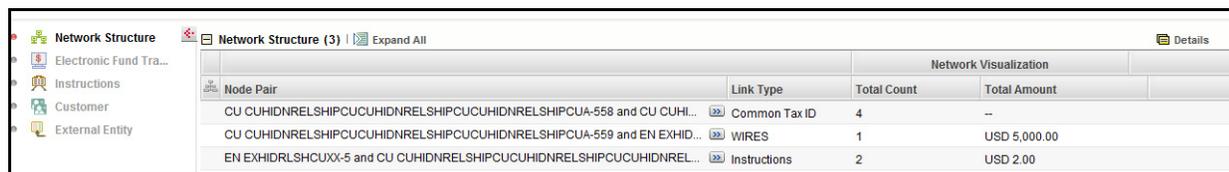
**NOTE:** User-initiated alerts do not provide matched information.

## Link Pages

Some matched information records on the Alert Details tab can have links to pop-up windows that contain additional information about those records. The data that displays on link pages is static and represents a snapshot at the time the alert was created. The system does not update this information.

## Network Details Page

The purpose of the Network Details page is to provide detailed information of related entities in a network. The Network Details link displays in the Network Structure section of the Alert Details pages (Figure 17).



Node Pair	Link Type	Total Count	Total Amount
CU CUHIDNRELSHIPCUCUHIDNRELSHIPCUCUHIDNRELSHIPCUA-558 and CU CUHI...	Common Tax ID	4	--
CU CUHIDNRELSHIPCUCUHIDNRELSHIPCUCUHIDNRELSHIPCUA-559 and EN EXHID...	WIRES	1	USD 5,000.00
EN EXHIDRLSHCUX-5 and CU CUHIDNRELSHIPCUCUHIDNRELSHIPCUCUHIDNREL...	Instructions	2	USD 2.00

**Figure 17. Network Details Page**

The Network Details page contains the Network Details List, which displays rows of network-related information for an alert. Each network row contains information for the nodes, direction, link, and weight of the transaction between the nodes.

This page displays for the Network Structure Building Block in the Hidden Relationships scenario.

## Transactions Details Page

The purpose of the Transaction link pop-up window is to provide detailed information of the transactions that happened between the beneficiary and remitter on an alert. The Transaction Details icon displays in the Electronic Funds Transfer Transactions, Check, Monetary Instrument Transactions, and Back Office Transactions building blocks of the Alert Details tab.

When you click the **Details** icon available on each row in the transaction building blocks, it enables you to view expanded details of the transaction in a pop-up window.

## Summary Details Page

The Summary Information pop-up window displays the focal entity-related information in the form of a matrix for an alert. The matrix provides the detailed information that is specific to a focal entity summary.

For example, for an Account Summary building block in an Alert Details tab, the Summary Details tab displays detailed information regarding the account’s Deposits and Disbursements across a rolling 12 month period.

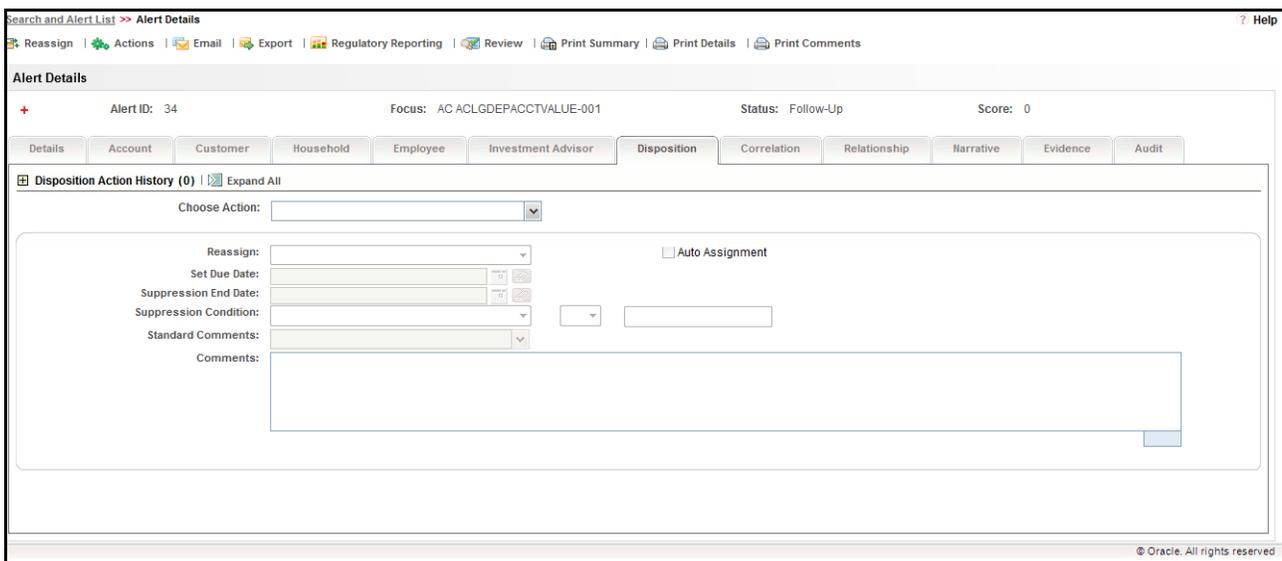
In the Summary building blocks, the Summary link pop-up window displays a 13-month summary when you click the **Summary** icon.

In the Business Tabs with summary information, a 3-month summary will display on the tab. You can use the Summary link pop-up window to display a 12-month summary when you click the **Summary** link.

For Correspondent Bank Peer Group Summary in the Correspondent Bank tab, the Summary link pop-up window displays a 12-month summary when you click the **Summary** icon.

## Disposition Tab

List the Disposition actions taken on the selected alert. Disposition actions are those actions, which have resulted in the closure of the alert. Where as, the Audit tab provides a complete view of all actions taken on the alert, the Disposition tab provides a concise view of the action(s) taken to resolve the alert. Refer to section *Audit Tab*, on page 80 for the details that display in the Disposition Action History matrix. Refer to section *Audit Tab*, on page 80 for the behavior of an **Attachment** icon and **Comments** column.



**Figure 18. Disposition Tab**

You can also take any Disposition action on the alert using the **Select an Action** drop-down list, which displays below the Disposition Action History matrix. Refer to *About Alert Actions*, on page 37 for more details on the Disposition actions.

## Correlation Tab

A Correlation is defined as a group of alerts that are associated to one another based upon matching a set of criteria as defined by a correlation rule. A major component of correlations is the establishment of business relationships between the entity or entities associated with an alert to other business entities, which may exist in your firm's data. Using these business relationships and the criteria specified for a correlation rule, an Alert Correlation can be created. An alert can be a part of more than one Correlation. Correlation rules are defined by your organization. Contact with your system administrator for more information on correlation rules, which your firm may use. Refer to *Correlation*, on page 7 for more information on correlation.

The Alert Correlation tab provides detailed information regarding the business associations of the current alert. In the context of an alert, the tab enables you to view a list of all correlations of which the current alert is a member as

well as a list of the business entities associated with the current alert, regardless of whether or not those entities become part of a correlation (Figure 19).

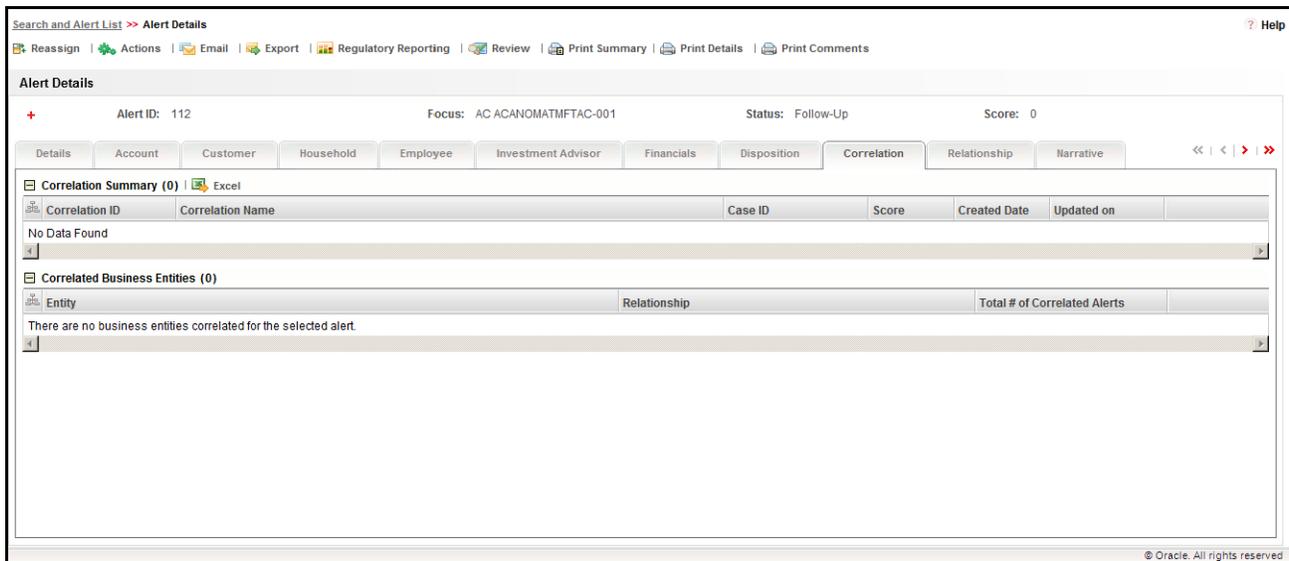


Figure 19. Correlation Tab

### Components of the Correlation Tab

The Alert Correlation tab contains the following components:

- Correlation Summary
- Correlation Memberships
- Correlation Business Entities

### Correlation Summary

The Correlation Summary matrix displays a list of correlations the alert is a member of. By default, the section includes up to five of the most recent correlations. If the alert is a member of more than five correlations then you can use the pagination options in the summary matrix to navigate to the additional correlations.

The Correlation Summary section displays the correlations in chronologically descending order based upon the update date associated with the correlation, and then by numerically ascending order by Correlation ID.

If your firm has implemented Oracle Financial Services Enterprise Case Management and the correlation has been promoted automatically to a case, then the summary record will contain a Case ID. If your role permits access to the case, then the section display the Case ID as a hyper link, which, when clicked, navigates you to the Case Details tab.

Table 12 describes fields in the Correlation Summary section.

If the alert has one or more correlations associated with it, then by default the first correlation from the Correlation Summary section displays the records in the Correlation Memberships area corresponding to the selected summary.

### Correlation Memberships

If a correlation rule has been selected, you can view the Correlation Memberships area. The Correlation Memberships area displays a list of alerts that are members of a correlation. The Correlation Memberships matrix refreshes on selection of record from the Correlation Summary matrix. By default, the section includes up to 10 of

the correlation members. If more than 10 alert-to-alert associations are part of this correlation, you can view others by using the pagination option provided on the Correlation Membership matrix.

Each row in the Correlation Membership matrix represents an association of two alerts with one another where the correlation is based on sharing some common relationship with the entity displayed in the Correlated Through column. In other words, each alert has an alert-to-business entity correlation to the same business entity.

The Correlation Membership section displays the correlations in chronologically ascending order by correlation date and then by from Alert ID, subject to access controls.

The section displays **Alert IDs** and **Correlated Through** business entities as hyper links that upon clicking, navigate you to the Alert Details tab and business entity tab pop up, respectively.

**NOTE:** If your role permits access to the Alert/Business Entity Details, then the section displays **Alert ID/Correlated Through** fields as hyper links.

Table 12 describes fields in the Correlation Membership section.

**Table 12. Correlation Summary and Membership Fields**

Field	Description	Correlation Summary	Correlation Membership
Correlation ID	Unique identifier of the correlation. For example, COR 1881.	X	
Correlation Name	Name of the correlation rule that resulted in the correlation. For example, Account Takeover.	X	
Case ID	Case identifier if correlation resulted in automatic promotion to a case. For example, CA8970. This field will only be applicable if your firm has implemented Oracle Financial Services Enterprise Case Management.	X	
Score	Numeric value of the correlation score. For example, 25.	X	
Created	Creation date of the correlation. For example, 1/25/2008.	X	
Updated	Date of the most recent update to the correlation. For example, 1/28/2008.	X	
From Alert ID	Identifier of the From Alert in the alert-to-alert correlation. For example, 1234.		X
From Scenario	Scenario display name of the alert associated with the From Alert ID. For example, Journal Between UnRItd Accts.		X
From Owner	Owner of the alert associated with the From Alert ID. For example, Jsmith.		X
From Status	Status of the alert associated with the From Alert ID. For example, Open.		X
To Alert ID	Identifier of the To Alert in the alert-to-alert correlation. For example, 4567.		X
To Scenario	Scenario display name of the alert associated with the To Alert ID. For example, Rapid Mvmt Funds.		X
To Owner	Owner of the alert associated with the To Alert ID. For example, Fjones.		X
To Status	Status of the alert associated with the To Alert ID. For example, Open.		X
Correlated Through	Entity type and identifier of the business entity through which the alert-to-alert correlation was made. For example, CU:1123456.		X
Correlation Date	Date the alert-to-alert correlation was established. For example, 1/25/2008.		X

## Correlation Business Entities

The Correlation Business Entities matrix calculates and displays a distinct list of business entities to which the currently selected alert is associated. In addition, it displays the total number of distinct alerts to which each displayed business entity is correlated. These correlated business entities display in the alphanumeric ascending order based upon the Entity field. Clicking the entity in the Entity column navigates you to a pop-up window displaying the Business Entity information of that entity.

By default, the section includes up to ten of the most recent correlated business entities. If there are more than ten correlation business entities, you have to use the pagination option that is included on the matrix to navigate to additional records.

**NOTE:** Only if your role permits, the Correlation Business Entities section displays each entity as a hyper link to the new window.

Table 13 describes the fields for the Correlated Business Entities area.

**Table 13. Fields for the Correlated Business Entities for Alert [ID]**

Field	Description
Entity	Displays the concatenated value of the two character, that is, business entity type code and the business entity identifier.
Relationship	Displays a translated data path name for each business entity to alert correlation.
Total # of correlated Alerts	Displays the total count, including the current alert (distinct alerts) to which the business entity is correlated.

## Relationship Tab

The Relationship tab provides information regarding other alerts related to the current alert being investigated. In context of an alert, the tab enables you to view the list of alerts related through entities and correlations. If your firm has implemented Oracle Financial Services Enterprise Case Management, the Relationship tab also display cases related to the current alert. Cases may be related to the current alert either through a common business entity association or by virtue of the current alert being linked to a case. If your firm has implemented Oracle Financial Services Enterprise Case Management, and your role permits, then you can link/unlink/add more links in the Related Cases section.

### Components of Relationship Tab

The Relationships tab contains the following components:

- Related Alerts
- Related Cases— applicable only if your firm has implemented Oracle Financial Services Enterprise Case Management

### Related Alerts

Displays up to five of the most recent alerts related to the focus of the alert, where the related alert may be focused on the same entity as the current alert or may be focused on entities related to the focus of the current alert. This can include alerts considered related to the focal entity of the current alert based upon matching one or more business entities to alert correlation rules. If the number of alerts exceeds the default, you can use the pagination option in the Related Alerts matrix to view additional records.

Refer to *Related Alerts*, on page 7 for more information on correlation.

If you have access to view the related alerts, the section displays an **Alert ID** as a hyper link. Upon clicking the **Alert ID** link, the page navigates you to the Alert Details tab.

Table 14 lists the possible related focus types that can appear in the Related Alerts section.

**Table 14. Related Alerts by Focus Type**

Current Alert Focus Type	Related Focus Types
Employee	Account, Customer
Account	Employee, Household, Customer, Correspondent Bank
Customer	Account, Related Customer, Correspondent Bank, Employee
Household	Account, Customer, Employee
Correspondent Bank	Customer
Representative	Employee
Portfolio Manager	Employee, Account

Table 15 lists the field displayed for the Related Alerts section.

**Table 15. Related Alerts**

Columns Displayed	Description
Alert ID	Alert ID number. Also serves as a link to the Alert Details tab.
Score	Score the alert received.
Focus	Focus upon which the alert is based. Both the focus type abbreviation and the focus name display.
Scenario	Scenarios name of the behavior or activity that generated the alert.
Highlights	Pertinent information related to the alert. The Highlights column display “- -”, when no highlights are found for an alert.
Created [Date]	Date the alert was created.
Status	Current state of the alert relative to its analysis and closure.
Alerts Due [Date and Time]	Date an action associated to an investigation record is to be completed. Blank value indicates a due date is not set.
Owner	Name of an individual or group of users to whom the alert is assigned.
Last Action	The action representing the last action recorded for an alert.
Last Comment	The comment associated with the last action recorded for an alert.
Domains	Business domains associated with the alert focus.
Relationship	Displays a translated data path name for each business entity to alert correlation.
History	Displays the history of the related alert in a pop-up window.

### **Related Cases**

The following section on Related Cases is only applicable if your firm has implemented Oracle Financial Services Enterprise Case Management. Refer to *Oracle Financial Services Enterprise Case Management User Guide*, for more information on case management. The Related Cases matrix displays up to five of the most recent cases to which the current alert is either linked or related. The list is sorted in descending chronological order by Created Date. If the number of cases exceeds the default, you can use the pagination option in the Related Cases matrix to view additional records.

If you have access to view the linked case, the section displays **Case ID** as a hyper link. Upon clicking the **Case ID** hyper link, the page navigates you to the Case Details tab.

Table 14 provides a chart of possible related focus types that can appear in the Related Cases section.

Refer to Table 16 for Related Cases Components for the fields of Related Cases.

**Table 16. Related Cases**

Columns Displayed	Description
[Check Box]	Available for the Link/Unlink actions.
Linked	Indicates if the case is linked or not. It should have values <i>Yes</i> or <i>No</i> . <i>Yes</i> refers linked and <i>No</i> refers not linked
Case ID	Case ID number. Also serves as a link to the Case Details page.
Title	Name of the case displayed in the case list matrix.
Focus [Type and ID]	Displays the focus of the case as the focus type abbreviation followed by the focal entity identifier.
Type	Type of the case displayed in the case list matrix. For example, AML.
Subtype	Subtype of the case displayed in the case matrix. For example, AML Surveillance.
Subclass 1	The type code of the case Subclass 1 associated with this case subclass.
Subclass 2	The type code of the case Subclass 2 associated with this case subclass.
Created [Date]	Date the case was created.
Alerts Due [Date and Time]	Date and time by which an action should be taken on the case. Due dates that are nearly due display in red font. Due dates that are due or overdue display in bold red font. The definition of nearly due is a value that is configurable by your firm.
Owner	Name or ID of an individual or group of users to who own the case.
Assigned To	Name or ID of an individual or group of users to who are assigned to the case.
Priority	The priority given to the case under investigation.
Organization	Organization or group that owns the cases.
Status	Current state of the case relative to its analysis and closure. The <i>New</i> , <i>Reopened</i> , and <i>Reassigned</i> statuses display in bold text.
Regulatory Reporting Status	Filters the case list by the current status of a case that has been recommended for Regulatory Reporting, an optional Oracle application
Last Action	Filters the case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.
Last Comment	The comment associated with the last action recorded for a case.
Linked Alerts	Filters the case list by count of alerts that are linked to the case. Alert Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option will only be available if your firm has implemented Behavior Detection.
User Linked	Indicates if the relationship is based on user-defined link or system-defined link. It displays <i>YES</i> when user manually links an alert/case and <i>NO</i> when system linked an alert/case (as part of alert promotion and correlation promotion to a case).
History	Displays the history of the related case in a pop-up window.

In addition, the Related Cases section displays the **Unlink/Link/Add More Links** button. If your role permits, you can click these to perform the action of **Link/Unlink** and **Add More Links**. However, you must provide text comments to complete the link and unlink action, respectively.

The related cases matrix has the following buttons:

- **Unlink:** An option to unlink related case(s), which are already linked to the current alert

- **Link:** An option to Link related cases, which are not yet linked to the current alert
- **Add More Links:** An option to search for any case record by Case ID for the purpose of adding additional case links to the current alert

**NOTE:** Linking and Unlinking activities of alerts and cases depends on the user roles and permissions.

The Relationship tab enables you to perform the following actions in the related cases matrix:

- Unlink the linked cases using the **Unlink** button
- Select one or more cases to link to the selected alert and transfer the alert information to the case
- Add cases by ID to link to the alert and transfer the alert information to the case

The Link and Unlink action requires you to select the case using a check box and clicking the **Link/Unlink** button, respectively.

When you click the **Link/Unlink** button, the Add Comment pop-up window displays, which provides a free-text comment area, where you can add comments while adding or deleting links to the current alert. Comments are mandatory for performing any of the above actions.

The **Add More Links** button enables you to search for, and add, additional Case ID(s) that you want to link to the alert. OFSAAI validates all the Case IDs before linking the cases and confirms the successful link actions.

When you link an alert to a case using the **Link** or **Add More Links** button in the Related Cases matrix, you can add comments for the Link action and also select Transfer Alert Information to be passed on to the case. Refer to *Promoting Alerts to Cases*, on page 52 for more details about the modes for transfer of alert information.

You can select one or more types of alert information to be transferred, provide comments, and click on save. All the selected alerts are linked to the case and data of all the selected data types associated with the alert is transferred to the case. You can view the alert information in the respective Enterprise Case Management tabs.

When the transfer alert information is in synchronous mode, the system display messages for Successful and Unsuccessful data transfer. When data transfer is successful, the message displays:

Selected alerts and cases were linked and requested transfer of alert information is also completed.

When data transfer is unsuccessful, the message displays:

Selected alerts and cases were linked. But an error occurred during the requested transfer of alert information to the case. The case may reflect incomplete business information.

When the transfer alert information is in asynchronous mode, the system will process the data transfer in the background, allowing you to continue to work. Notification of failure of the data transfer is made through the Notifications section on your Home page.

- If you do not make a selection of at least one data type of information to be transferred, the system will default to transferring all possible alert data during the link (that is, not making a selection is equivalent to selecting all).
- The data transferred to the case is the data available as of the date of link action.
- The alert information that is already associated with the case as a result of previous promotion or link actions will not be transferred again during the current link action.
- During Unlink action, when one or more alerts are unlinked from the case, the alert information, which is transferred during link action shall not be removed by the system. If required, you can manually remove the alert information from the appropriate Enterprise Case Management tabs through the Remove action.
- For link or unlink actions, the case has to be in a non-closed status.

## Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of an alert that has helped you decide how to dispose of the alert. The narrative exists as a single data element on an alert, which allows you to add and maintain that narrative.

You can access the Narrative tab of a particular alert after selecting that alert from the Alert List within the Monitoring workflow, viewing its details, and then selecting the Alert Narrative tab (Figure 20).

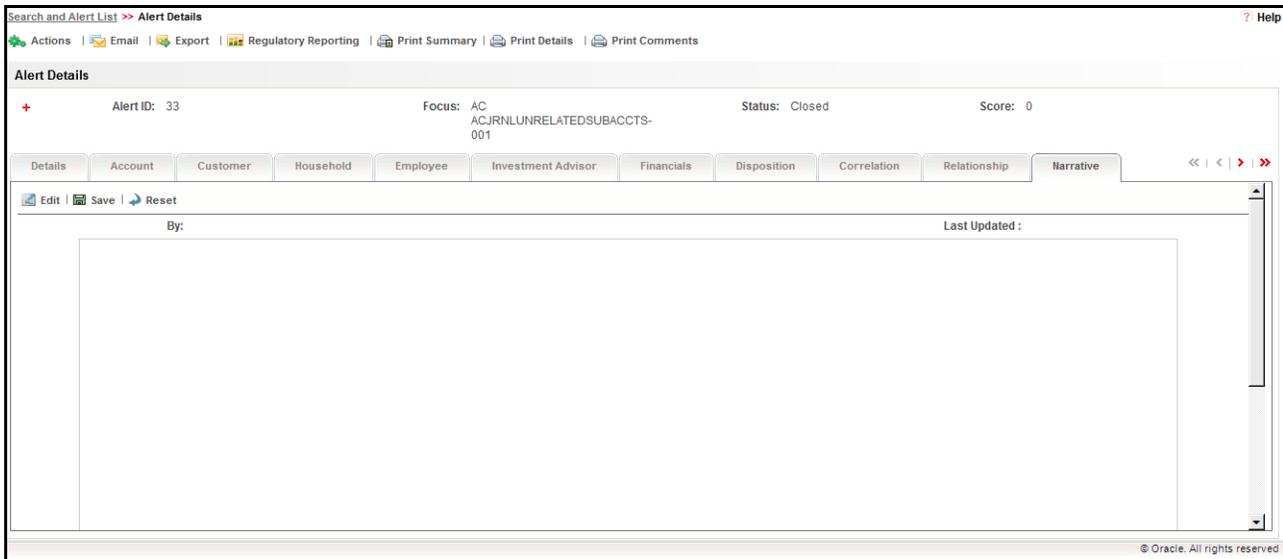


Figure 20. Narrative Tab

### Components of the Narrative Tab

The Alert Narrative area includes the following components:

- **Alert Narrative** entry box: Provides a large free text entry area which you can optionally enter, save and modify textual analyses of a particular alert. This area accepts up to 34 lines of text before requiring vertical scrolling.
- **Last Updated** field: Displays the latest date and time when the Alert Narrative entry box was modified. If the Alert Narrative entry box is blank, the Last Updated field is blank as well.
- **By** field: Displays the identity of the user who entered or modified the text in the Alert Narrative entry box.
- **Edit** button: When clicked, allows you to edit the text in the Alert Narrative entry box. If the entry box is blank, this button is grayed out until text is entered and saved. Only when the **Edit** button is selected does the previously entered text in the entry box become editable.
- **Save** button: When clicked, any modifications in the entry box are saved and the **Save** button becomes grayed out.
- **Reset** button: When clicked, any modifications in the text will revert to the previously saved version.

### Working with Narrative Tab

You can perform the following tasks when working with the Narrative tab:

- Creating a Narrative

- Editing a Narrative
- Deleting a Narrative

### ***Creating a Narrative***

To create a Narrative, follow these steps:

1. Select an alert for which you want to create a narrative from the Alert List tab.  
The Alert Details tab displays for that alert.
2. Select the Narrative tab that appears below the alert context.  
The Narrative tab displays blank for the selected alert.
3. Click **Edit**
4. Enter your analysis in the text box.
5. Click **Save**.

The system saves your changes, adds the current date to the Last Updated field and adds your name to the By field in the Narrative matrix header.

### ***Editing a Narrative***

To edit a Narrative, follow these steps:

1. From the Alert List tab, select the alert for which you want to change or add to the existing narrative.  
The Alert Details tab displays for that alert.
2. Select the Narrative tab that appears below the alert context.  
The Narrative tab displays for the selected alert.
3. Click **Edit**.
4. Make your changes or additions to the existing text.
5. Click **Save**.

The system saves your changes, adds the current date to the Last Updated field and adds your name to the By field.

### ***Deleting a Narrative***

Deleting a narrative can be accomplished by simply deleting the text from the narrative matrix using your standard keyboard options of backspace or select text and delete. This can only be done when you have selected to edit the narrative.

### **Evidence Tab**

If your role permits, the Evidence tab allows you to add comments or attachments to the alert under investigation. The Evidence tab displays the comments and attachments previously added to the current alert. The Evidence tab displays the comments added through the Evidence tab and all the attachments associated with the alert that are added through the Evidence tab and during specific alert actions.

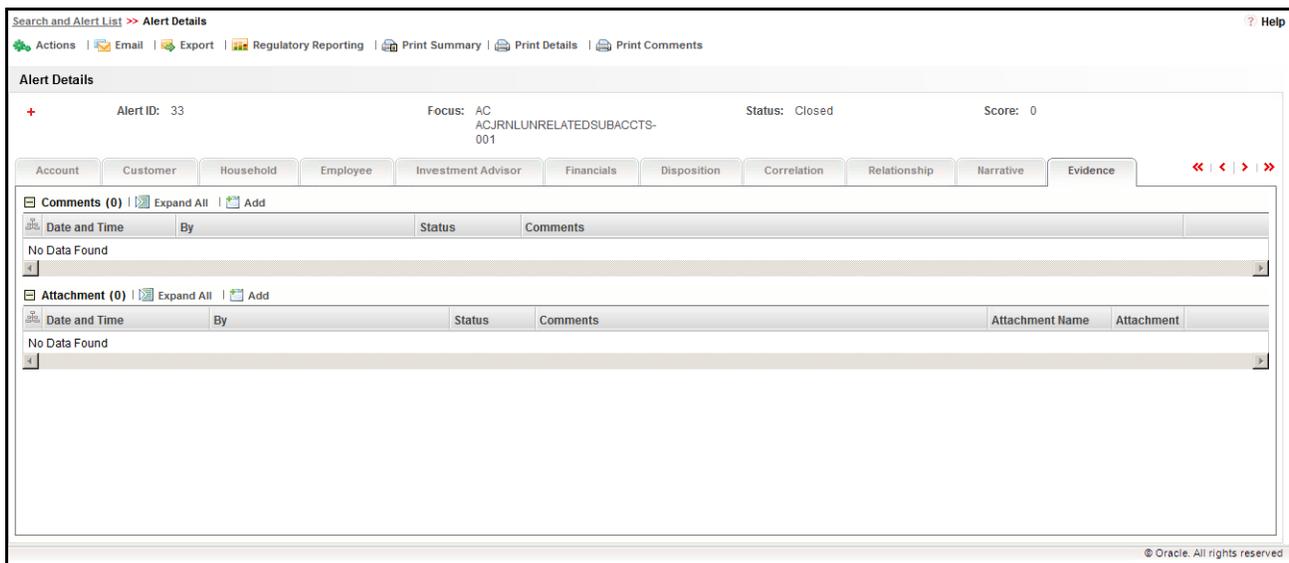


Figure 21. Evidence Tab

The Comments matrix includes the creation date and time of the comment action, the user who took the action, alert status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the alert either through the Evidence tab or added as a part of any actions taken on the alert during investigation. It includes the creation date and time of the alert action associated with the attachment of the file to the alert, the user who took the action, alert status at the time of the action or resulting from the action, any comments associated with the action, attachment name and the attachment icon fields.

You can add comments (both free text and standard comments) to the alert. Refer to *Adding Comments to Alerts*, on page 63 for details on how to add a comment to the alert.

You can also add and remove attachments during the investigation of an alert. Refer to *Adding Attachments to Alerts*, on page 63 for details on how to add an attachment and *Removing Attachments from Alerts*, on page 64 for details on how to remove an attachment to the alert.

Refer to section *Audit Tab*, on page 80 for more information on the behavior of the **Attachment** icon and the **Comments** column.

## Audit Tab

The Audit tab allows you to view all actions that were previously performed on the current alert. It includes the date and time of the alert action, the action, owner of the alert at the time of the action, the user who took the action, alert status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

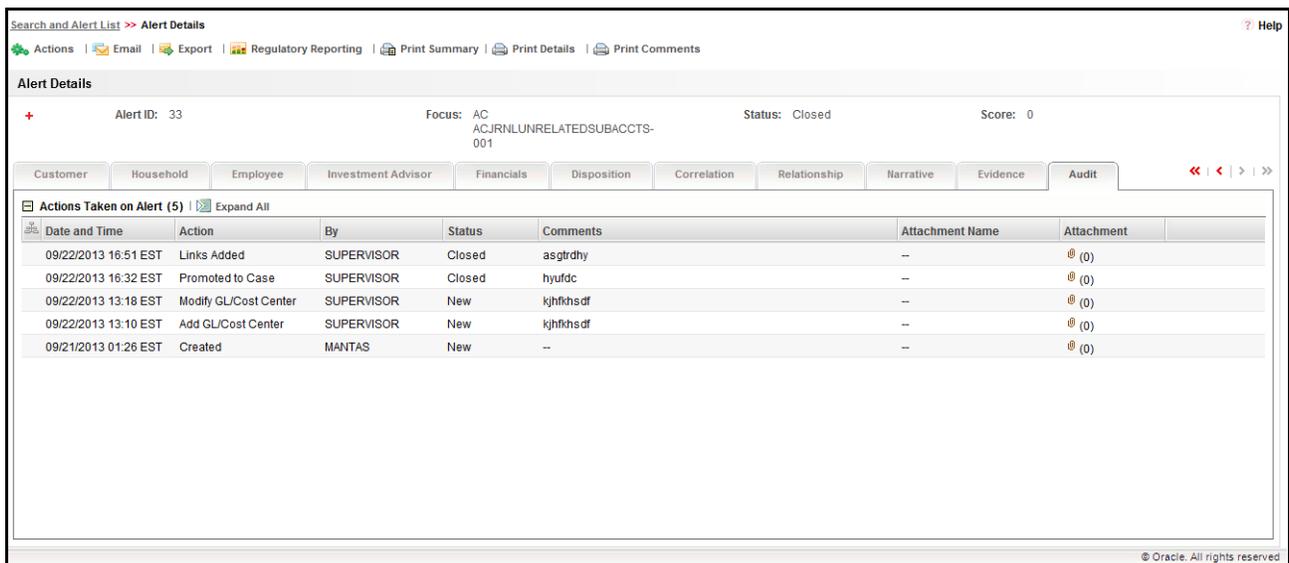


Figure 22. Audit tab

The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the **Attachment** icon to open the Attachment List pop-up window with a list of attachments available for viewing.

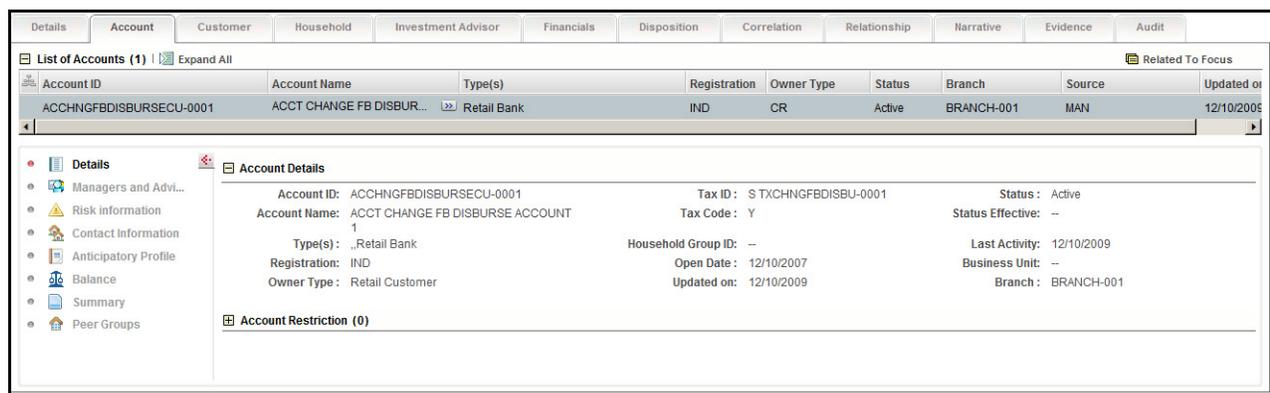
In the Comments column, the **Expand** button is provided when full text of the comment displays all comments that exceeds the width of the column, and also on the header, the **Expand All/Collapse All** button is available.

When both standard comments (comments selected from a preset list of comments) and free text comments display along with an action, the free text comments will appear appended with the selected standard comments.

If your firm has implemented Oracle Financial Services Enterprise Case Management and the alert is, or has been, associated with a case, you may see actions related to the linking and unlinking of the alert from a case. In the Comments column, for Link and Unlink actions, the Case ID(s) of the linked or unlinked cases are appended with the user-entered comments.

## Business Tabs

The Business tabs display conditionally based on the focus type and scenario class of the alert under investigation (Figure 23).



**Figure 23. Business Tab**

Business tabs correspond to similarly named information blocks that display within the Matched Information area on the Details tab. However, the information displayed on the Business tab updates each time your firm submits data, whereas the information contained with the Matched Information section is static. When viewing a Business tab, it displays *Update [it on]*, indicating the date of the last data submission.

For example, if an account-focused alert is generated within the Money Laundering scenario class, Oracle Financial Services Behavior Detection Framework displays the Account, Account Balance, Account Summary, Account Peer Group Summary, Customer, Employee, Household, Network, and Investment Advisor business tabs in addition to the Oracle tabs described earlier in this document.

The first section for all Business tabs displays the list of business entities matrix. This matrix lists the business entities that are associated with the current case. Business entities can be associated with a case in one of three ways. They can be manually added to the case using the Add feature available on most business tabs. They can be associated with a case based on their association with one or more alerts that were promoted from the Alert Management user interface and used to form the basis for the current case. Or, they can be associated with a case based on their association with one or more alerts that are linked to the current case at some point after the case's creation. The latter two methods are applicable only if your firm has implemented Oracle Financial Services Behavior Detection.

Examples of how business data is associated to a case based on an alert linked either through promotion or through linking to an existing case include such situations as follows: if a Customer-focused linked alert involved five distinct accounts, the Account business tab business entities matrix will display those five accounts. And the Customer tab will display information about the alert's focal customer.

By default, the business entities matrix displays five records. The lists of Business Entities have buttons for the view options-Related to Alert or Related to Focus. Related to Alert filters the data that is being displayed on the business tab based upon an entity's involvement in an alert. Related to Focus presents all business data associated with the focal entity of the alert, regardless of their involvement in the current alert. For example, if the current alert is Customer-focused and you select the Account tab, Related to Alert shows you the information only about those customer's accounts that are directly involved in the alerting behavior. Selecting Related to Focus shows you information about all of the customer's accounts, even if they were not involved in the current alert.

By default, the Related to Alert data displays. Not every Business tab displays both Related to Alert and Related to Focus. To use an above example, for a Customer-focused alert, the Customer tab would not display Related to Focus, as there would be no additional information it could offer about the focal customer.

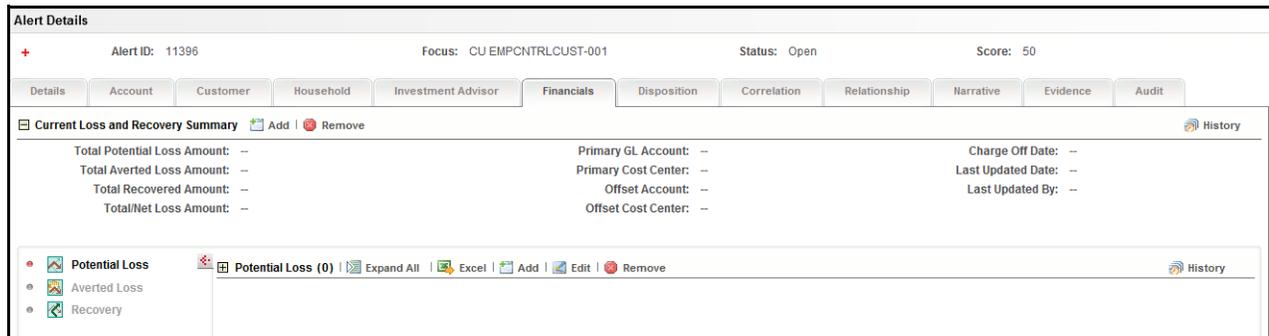
Appendix A, *Business Tabs*, on page 129, lists the possible Business tab that display relative to the workflow (alert) of an application and based on a specific focus type and scenario class.

## Financials Tab

In the course of investigating fraudulent activity, it may be necessary to track data pertaining to potential and actual losses (which can result from the activity identified), as well as to track any amounts that may be recovered during the course of the investigation. The Financials functionality aims at managing loss and recovery data, providing a mechanism to enter, edit and audit the data. The Financials business tab has been designed for this purpose.

You can access the Financials tab for a particular alert after selecting an alert generated on Fraud Class scenarios from the Alert List within the Monitoring workflow, viewing its details, and then selecting the Financials tab. This tab is visible based on the user-role as defined in *User Privileges*, on page 11.

This tab is visible based on user roles. Refer to the section *User Privileges*, on page 11 for more information.



**Figure 24. Financials Tab**

The Financials tab contains the following information:

- Current Loss and Recovery
- Loss and Recovery Items
- Loss and Recovery Data Entry

### **Current Loss and Recovery**

The Current Loss and Recovery area contains information for total loss and recovery values and for the Primary General Ledger (GL), Cost Center, and Offset Account information. This area contains the following components:

- **Add**
  - **Edit Selected:** When clicked, the system populates the Cost Center and GL Financials Data Entry section data entry boxes with the current values associated with the Primary GL, Primary Cost Center and Offset Account and Offset Cost Center and Charge Off Date in a pop-up window. The Edit function is based on user roles and is not displayed if you do not have the requisite rights to edit information or if information does not currently exist. Refer to *User Privileges*, on page 11 of this document for a description of roles and privileges.
  - **Remove:** When clicked, a confirmation message displays asking if you wish to delete the current GL and cost center information. Removed records are considered as inactive and are viewable only in the History pop up. The Remove function is based on user roles and is not displayed if you do not have the requisite rights to delete information. Refer to *User Privileges*, on page 11 of this document for a description of roles and privileges.

- **History:** When clicked, the system displays a pop-up window that lists a history of modifications to the current GL and cost center information. The History function is based on user roles and is not displayed if you do not have the requisite rights to view history information or if there is no current or previously entered information. Refer to *User Privileges*, on page 11 of this document for a description of roles and privileges.
- **Information Fields**

Table 17 lists and describes the individual information fields for the Current Loss and Recovery area.

**Table 17. Current Loss and Recovery Information Fields**

Field	Description
Total Potential Loss Amount	Represents the total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the alert. This value is calculated as an aggregate of all active Potential Loss data items for the alert.
Total Averted Loss Amount	Represents the total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the alert. This value is calculated as an aggregate of all active Averted Loss data items for the alert.
Total Recovered Amount	Represents the total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the alert. This value is calculated as an aggregate of all active Recovery data items for the alert.
Total/Net Loss Amount	Represents the total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. It is calculated as: Potential Loss – Averted Loss – Recovery Amounts = Total/Net Loss Amount
Primary GL Account	The primary general ledger (GL) account to which the total net loss amount for this investigation should be associated.
Primary Cost Center	The primary cost center to which the total net loss amount for this investigation should be associated.
Offset Account	Offset account associated with loss and recovery financials for this investigation.
Offset Cost Center	Offset account's cost center associated with loss and recovery financials for this investigation.
Charge Off Date	The date on which the loss was charged off.
Last Updated Date	The date and time at which loss and recovery data was last updated.
Last Updated By	The last user who update loss and recovery data.

**NOTE:** The total loss and recovery summary values are populated with the current information upon entry into this page and are refreshed only when you enter or edit the relevant data in the Loss and Recovery Data Entry area and have selected Save. A more detailed explanation is provided in the Loss and Recovery Data Entry area.

### *Cost Center and GL Financials Data Entry*

The Cost Center and GL Financials Data Entry pop-up window displays on click of the **Add** button in the Current Loss and Recovery header. It allows you to enter cost center and GL financial data.

This area contains the following components:

- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry. Table 17 lists the descriptions for each of the following fields for the Current Loss and Recovery Data area.
  - **Primary GL Account**—Text box

- **Primary Cost Center**—Drop-down List which is populated with available cost centers as defined by your firm

**NOTE:**If you require additional values, contact your System Administrator.

- **Offset Account**—Text box (limit entry to 50 characters or fewer)
- **Offset Cost Center**—Drop-down List which is populated with available cost centers
- **Charge Off Date**—Text box and calendar control

The **Comment** box is a text box in which you can enter relevant comments about the data you have entered.

### **Loss and Recovery Items**

The Loss and Recovery Items contains tabular matrices reporting individual loss and recovery records by type. The Loss and Recovery items matrices are accessible by using the L.H.S. menu options. The L.H.S. menu offers access to Potential Loss, Averted Loss, and Recovery matrices. Table 19 provides descriptions of the columns that display for each matrix.

- **Buttons**
  - **Add** button: Refer to the *Add Button on page 85*, of this section for details.
  - **Edit** button: Refer to the *Edit Button on page 85*, of this section for details.
  - **History** button: Refer to the *History Button on page 86*, of this section for details.
  - **Remove** button: Refer to the *Remove Button on page 87*, of this section for details.
- **Check Box**
  - **Add or Edit:** When checked and the **Add** or **Edit** button is clicked, the system displays the selected records in the Loss and Recovery data item entry pop up for editing.
- **Loss and Recovery Items Matrices:** Refer to *Loss and Recovery Items Matrices*, on page 87, for descriptions of the columns in each of the matrices.

#### *Add Button*

The system allows you to add the loss and recovery line item information displayed in each of the matrix tables. You can select the **Add** button within a matrix (Potential Loss, Averted loss, and Recovery) to add the items one at a time. By default, the data entry field is blank except the data entry type. Upon saving, the system refreshes the applicable Loss and Recovery Item list records to display the revised information. The system retains a history of changes to each item that you can access using the **History** button. The Add functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to *User Privileges*, on page 11 of this document for a description of roles and privileges.

#### *Edit Button*

The system allows you to edit the loss and recovery line item information displayed in each of the matrix tables. You can select the check boxes provided in each row within a matrix and click the **Edit** button to edit those items. You can edit one item at a time. When you select **Edit**, the information pertaining to each selected record is loaded into the Loss and Recovery Data Entry section for editing in a pop-up window. Upon saving, the system refreshes the applicable Loss and Recovery Item list records, displays the revised information, and closes the pop-up window. The system retains a history of changes to each item that you can access by the **History** link. User roles for the Edit functionality are the same as for the Add functionality.

When editing loss and recovery data items, you cannot change the data entry type for the record you are editing.

If you select records for editing and then click the **Reset** button without saving, the system clears the Loss and Recovery Data Entry area and applies no changes.

**History Button**

The system provides the **History** button for each type of loss or recovery matrix. When selected, the system displays a pop-up window containing the current versions of all records displayed in the current matrix and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or deleted, the system displays each loss and recovery item in an order reflecting the most current version of the record followed by previous, inactive versions of that record. (Refer to Table 18 for descriptions of the data displayed for each matrix in the History pop-up window.)

For example, if a Potential Loss record was edited to change the loss amount from USD 100 to USD 1000, you would see an active record showing the amount as USD 1000 (along with the date, time and user who made the change) followed by a row displaying the original, now inactive, version of the record showing the originally entered amount of USD 100. The History functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to *User Privileges*, on page 11 of this document for a description of roles and privileges. Figure 25 provides a screen shot of the Loss and Recovery History pop-up window for a sample Potential Loss matrix.

ID	Status	Date	Amount	GL Account	Cost Center	Loss Payee	Entered By
2	Active	09/09/2013	EUR 50,000.00	29788674	F1006A	--	SUPERVISOR
2	Inactive	09/09/2013	EUR 50,000.00	08521828191	F1006A	--	SUPERVISOR

**Figure 25. Loss and Recovery History pop-up window**

Table 18 provides descriptions of the columns that display for each of the matrices in the Loss and Recovery History pop-up window.

**Table 18. Display of History Data for Each Matrix**

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
ID	A unique identifier associated with the loss and recovery item record.	X	X	X
Status	The status of the loss and recovery item record.	X	X	X
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount for the loss and recovery item record.	X	X	X
GL Account	The general ledger account to which this loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this loss or recovery item is associated.	X	X	X
Loss Averted Type	The type of averted loss entry represented by this record, if one was specified.		X	
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Entered By	The user who entered this record.	X	X	X

**Table 18. Display of History Data for Each Matrix**

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
Entered Date	The system date and time on which this record was entered or edited.	X		X
Description	Any descriptive comment that was entered about this record.	X	X	X

**Remove Button**

Each matrix is provided with an individual **Remove** button. Using this you can remove information pertaining to that record. The system then prompts you to confirm the action taken. If you confirm that you want to remove information, the system refreshes the screen to reflect these changes in the summary data section and in the item list matrices.

**NOTE:** The remove functionality is user role-based and only users with appropriate access rights can use the functionality. User roles for the remove functionality are the same as for the Add functionality.

**Loss and Recovery Items Matrices**

Table 19 provides descriptions of the columns for each Loss and Recovery Items matrix.

**Table 19. Loss and Recovery Items**

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount of the loss or recovery item. Please note that the system shall consider the currency value entered to be in base currency only	X	X	X
GL Account	The general ledger account to which this individual loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this individual loss or recovery item is associated.	X	X	X
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Loss Averted Type	Specifies the type of averted loss entry represented by this record, if one was specified.		X	
Entered By	Reflects the User who entered this record.	X	X	X
Entered Date	System date and time on which this record was entered or edited.	X	X	X
Description	Any description comment that was entered with respect to this record.	X	X	X

## Loss and Recovery Data Entry

The Loss and Recovery Data Entry pop-up window displays when you click the **Add/Edit** button and allow you to enter individual financial loss and recovery data items. Itemized data entry permits you to enter the types of information related to the fraudulent activities as listed in Table 20.

- **Action Buttons:** This area contains the following action buttons:
  - **Save:** When clicked, refreshes the Current Loss and Recovery area in the Financials tab to display the current information and updates the Last Updated Date and Last Updated By fields.
  - **Reset:** When clicked, clears the Loss and Recovery Data Entry fields back to original values and no changes are applied.
  - **Cancel:** When clicked, displays the unsaved data warning message with **OK** and **Cancel** button. Based on the selection of the buttons, it closes either the pop-up window or stay in the same pop-up window.
- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry.

Table 20 lists the descriptions for each of these fields for the Loss and Recovery Data Entry area.

**Table 20. Loss and Recovery Data Entry Fields**

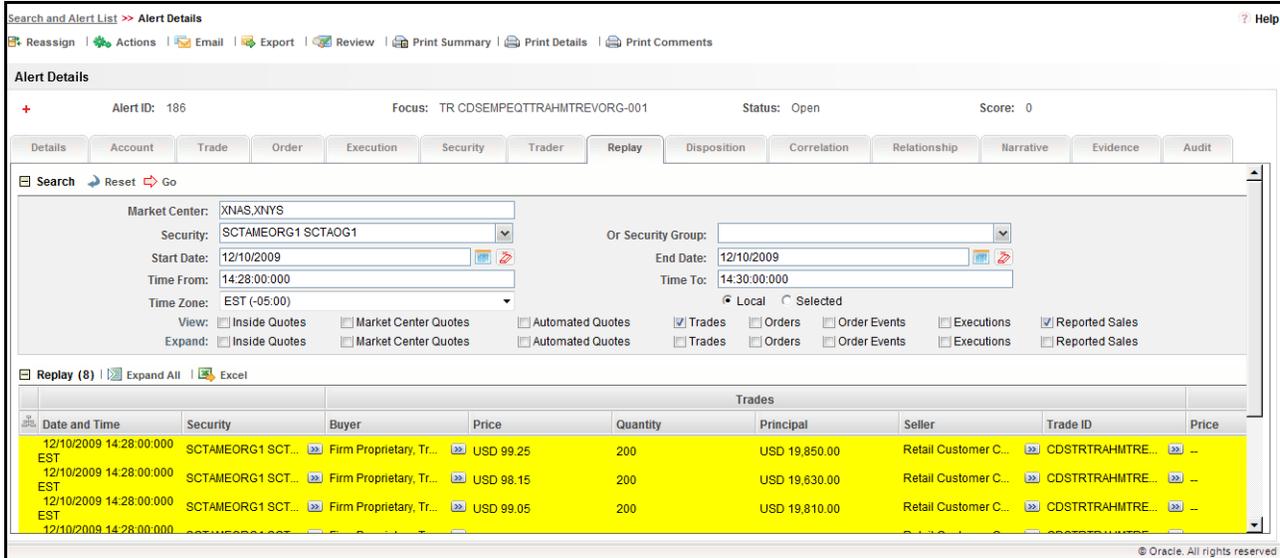
Field	Description
Data Entry Type	Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.
Date	Date on which this loss or recovery item was incurred.
Amount	The respective amount of the loss or recovery record. Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.
GL Account	The general ledger account to which this loss or recovery item is associated. This data item associates this GL account to the current item being entered only and not to the overall alert. This field allows you to associate a different G/L account to an individual item than might be appropriate for the entire alert.
Cost Center	Cost center to which this loss or recovery item should be associated. This field associates this cost center to the current item being entered only and not the overall alert, appropriate for the entire alert. It allows you to associate a different cost center to an individual item than might be appropriate for the entire alert. This drop-down list is populated with available cost centers as defined by your firm. <b>Note:</b> If you require additional values, contact your System Administrator.
Loss Averted Type (if applicable)	Drop-down List that specifies the type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down list will provide no entries for selection.
Loss Payee (if applicable)	Text field that allows for specification of a payee identified for the loss amount represented by this record.
Description	Text field that allows for entry of descriptive comments regarding the current item being entered in the row.

## Replay Tab

The Trading Compliance Solution Set enables you to replay the market and trade events for a match associated with the alert you are reviewing or for an activity during a specified time frame.

When you access the Replay page through the Monitoring workflow, the page presents the trade events associated with the match, interlaced with the market events in the market at the time the application generated the match. For

multi-match alerts, the Replay page displays only information for the match you selected on the Details page. To display information for another match involved in the alert, you must select a different match on the Alert Details page (Figure 26).



**Figure 26. Alert Replay Tab Page**

In the Replay tab page, if an alert is focused on an Order, the following events display. Table 21 displays the Order focus alerts on the Replay tab page.

**Table 21. Order Focus Alerts on Replay Tab Page**

Alert Focus On:	Events Displays:
Order	<ul style="list-style-type: none"> <li>● Each Execution against the Order (whether busted or not).</li> <li>● Each Inside Quote that affects the state of the Order.</li> <li>● Each Market Center Quote that affects the state of the Order, unless Automated Quotes are matched to the alert.</li> </ul>
Order with matched Automated Quotes	Each Execution against the Order (whether busted or not) and the Automated Quote that were associated to the order at time of placement ('New' order event).
Order or Order Event with matched Automated Quotes	Automated Quotes associated to the order's placement event ('New' order event).

When you click the **Replay** tab in the Alert Details page, Oracle Financial Services Alert Management navigates you to the Replay page. To maximize space in the Replay tab page, click the icons to contract or expand Alert Context and Search Bar.

### Components of the Alert's Replay Page

The Alert workflow of the Replay page displays only for alerts within the Trading Compliance Solution Set and contains the following:

- **Search bar:** The section *Components of the Replay Page Search Bar* on page 90 describes the Replay Market page search bar in greater detail.
- **Replay Matrix header:** The replay matrix header contains the **Expand All/Collapse All** and the **Excel** icons.

- **Display:** The data that displays below the Replay tab page search bar shows the trade events associated with the match, interlaced with the market events in the market at the time the application generated the match. The specific columns you see depend on the selections in the Replay tab page search bar.

The Replay matrix enables you to maximize the usability of the Replay page. It enable you to sort replay columns according to the date and time stamp associated with the entity expressed in Coordinated Universal Time (UTC) while replaying the match event.

### Components of the Replay Page Search Bar

The search bar on the Replay page enables you to control what data displays on the page. The data that displays can be an outcome from the Trading Compliance scenarios or MiFID scenarios.

Components of the Replay Search bar includes the following:

- **Market Center:** Name of the Market Center for the involved security. By default, this field is populated with the matched Market Center. This text box also requires the Market Center name only if you select the **Market Center Quote** check box under the View search bar.
- **Security Group:** List of distinct security groups for the involved replay match for trading compliance. The security groups list are sorted alphabetically in ascending order by the security group identifier.

In addition, the **Security Group** list box enables you to select a distinct security group list of which the security is matched or bound to the alert.

**NOTE:** The Replay Search bar displays the **Security Group** list box for only Trading Compliance Solution Sets *and* if Security Group option is Enabled from the Preference page.

- **Expand by ISIN:** The search filter is used to query MiFID-based records. It searches for the securities that come under the same ISIN in the **Security** list box of the security matched or bound to the alert. The following ToolTip message displays:

Add securities to the Security selection box that share the same ISIN.

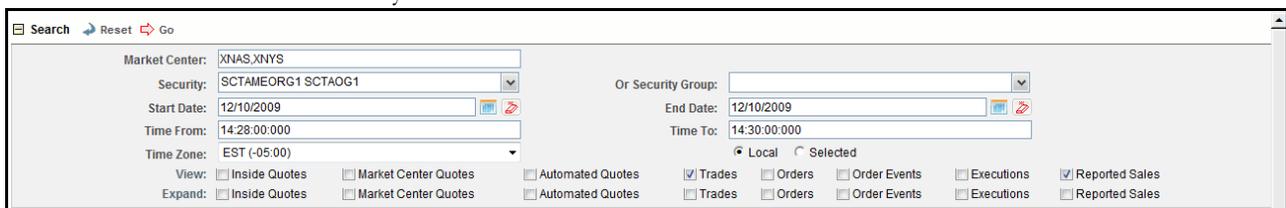


Figure 27. Replay Search

- **Security:** Default populated by distinct list of ISIN.

When the **Security Group** list box is set on the **Enabled** option, the ISIN list contains following:

- ISIN of the securities matched to the Alert
- All securities that are members of the security groups of which the matched security is a member.

When the **Security Group** drop-down list is set on **Disabled** option, the ISIN list contains ISIN of the securities matched or bound to the Alert with following functionality:

- ◆ If you select the Expand by ISIN check box, the security selection box repopulates with a distinct list by ISIN of all the securities that have the same ISIN as the security matched or bound to the alert. The page, by default, selects the security that have the same ISIN as the security matched or bound to the alert.

- ◆ If you clear the Expand by ISIN check box and click Search, the page restores the initial population of the Security list box.
- **Start Date:** Default populated by the date of the earliest event matched or otherwise associated with the alert replayed in the matrix expressed in the time zone local to the event.
- **End Date:** Default populated by the date of the latest event matched or otherwise associated with the alert replayed in the matrix expressed in the time zone local to the event.
- **Time From:** Default populated by the time of the earliest event matched or otherwise associated with the alert replayed in the matrix expressed in the time zone local to the event.
- **Time To:** Default populated by the time of the latest event matched or otherwise associated with the alert replayed in the matrix expressed in the time zone local to the event. If the time zones of earliest event and latest event are different, then by default this field will display the time of the latest event by converting it into the time zone of the earliest event.

The **Time From** value must be earlier than the **Time To** value, if using the same dates. When entering times, use the 24-hour standard of HH:MM:SS:mmm. You can change Date and Time filters as required. When entering times, enter the Time filters with the time values expressed in the **Time Zone** drop-down list.

- **Time Zone:** Shows a distinct list of time zones (configurable). Oracle Financial Services displays time zone values as the time zone displays text followed by a space and the UTC offset in parenthesis (for example, EST(-05:00)) sorted by UTC offset. The **Time Zone** drop-down list displays value as both negative and positive by UTC offset.

The default values for the time zone are the events matched to the alert. However, if the matched events occur in more than one time zone, then the time zone of the earliest event is considered.

You can choose the **Time Zone** filter either in **Local** or **Selected** mode. By default, the Replay page displays a Local option; however, you can change to a Selected option depending on your search criteria.

If you select the time zone as **Local**, the replay page displays the date and time value for each record in the time zone local to the record's event. Similarly, if you select the time zone as **Selected**, the replay page displays the date and time value for each record in the time zone selected in the Time Zone filter.

For example, consider the following information shown on the Replay page:

- **Case #1 (Default Case):** Search and display replay data in Local time zone.

Time From:	<input type="text" value="14:28:00:000"/>	Time To:	<input type="text" value="14:30:00:000"/>
Time Zone:	<input type="text" value="EST (-05:00)"/>	<input checked="" type="radio"/> Local <input type="radio"/> Selected	

The time in the Search bar and resultant matrix is expressed in the EST time zone.

Date and Time	Security	Buyer	Price	Quantity	Principal	Seller	Trade ID	Price
12/10/2009 14:28:00.000 EST	SCTAMEORG1 SCT...	Firm Proprietary, Tr...	USD 99.25	200	USD 19,850.00	Retail Customer C...	CDSTRTRAHMTRE...	...
12/10/2009 14:28:00.000 EST	SCTAMEORG1 SCT...	Firm Proprietary, Tr...	USD 98.15	200	USD 19,630.00	Retail Customer C...	CDSTRTRAHMTRE...	...
12/10/2009 14:28:00.000 EST	SCTAMEORG1 SCT...	Firm Proprietary, Tr...	USD 99.05	200	USD 19,810.00	Retail Customer C...	CDSTRTRAHMTRE...	...

Figure 28. Resultant matrix

- **Case #2:** Search replay data in GMT time zone; however, display replay data in Local time zone.

The time in the Search bar is expressed in the GMT time zone, whereas, time in the resultant matrix is expressed in the EST time zone, which is local to an alert.

- **Case #3:** Search and display replay data in the GMT time zone.

- The time in Search bar and resultant matrix is expressed in the GMT time zone, which is selected by the user.
- **View:** The search bar enables you to specify what columns of data you want to view in the match replay. You may select one or more of the following:
  - **Inside Quotes:** Matched events of Inside Quote or Framing records in the match, in case Order and Execution are involved in the match.
  - **Market Center Quotes:** Matched events of Market Center quote records that were involved in the match.
  - **Automated Quotes:** Automated quote records that were either involved in the match or provided context for the events involved in the match.
  - **Trades:** Trade information during the time frame for the involved security.
  - **Orders:** Order records that were either involved in the match or the executions involved in the match.
  - **Order Events:** Event records for the chosen securities, which are within date and time range. These event types are Route, Modification, Cancellation, Cancellation and Replacement, and Desk Transfer if Security Group is Enabled.  
Event records for the chosen securities, which are within date and time range. These event types are New or Routed if Security Group is Disabled.
  - **Executions:** Execution records that were involved in the match.
  - **Reported Sales:** Matched Reported Sales and Framing Records in case Trade is matched.

- **Expand:** Select a check box to expand the display of the corresponding column you selected in the **View** option. You can select one of the following: Inside Quotes, Market Center Quotes, Automated Quotes, Trades, Orders, Order Events, Executions, or Reported Sales.

By default, Replay displays only those events associated with the match. You can view these events in the context of other events during the same time frame by selecting an **Expand** option. Selecting an **Expand** option for an event type displays all records of the selected event type within the time frame between the first and last events associated with the match, not just the events associated with the match. The expanded context information displays in gray text.

If you select an **Expand** option without having selected its corresponding **View** option, the **View** option is selected by default, and the market data for that option displays.

You can enter more than one Market Center value in the text box separating a list of values by a comma.

Furthermore, if you enter any invalid value in the **Market Center** text box and select the **Market Center** check box, the following message displays in the Replay Matrix header:

The selected Market Center cannot be found. Please check the value and Try again.

By default, Oracle Financial Services displays a set of related events in the replay matrix. These events are associated with the default event or event that you select from the **View** and the **Expand** options in the search bar.

**NOTE:** If the default event is selected as Automated Quotes, then events Inside Quotes and Market Center Quotes must be unselected.

Table 22 displays the related events and default events in the replay matrix.

**Table 22. Related Events and Default Events**

Related Events vs. Default Events	Inside Quotes	Market Center Quotes	Automated Quotes	Trades	Orders	Order Events	Executions	Reported Sales
Inside Quotes	x							
Market Center Quotes		x						
Automated Quotes			x					
Trades				x				x
Orders	x				x			
Order Events	x				x	x		
Executions	x						x	
Reported Sales								x

Table 23 displays the related events and user-selected events in the replay matrix.

**Table 23. Related Events and User-defined Events**

Related Events vs. User-Selected Events	Inside Quotes	Market Center Quotes	Automated Quotes	Trades	Orders	Order Events	Executions	Reported Sales
Inside Quotes	x							
Market Center Quotes		x*						
Automated Quotes			x					
Trades				x				x
Orders	x							
Order Events	x				x	x		
Executions	x				x		x	
Reported Sales								x

\* To view records for the Market Center Quotes, enter a valid Market Center value.

### Replay Search Results

Oracle Financial Services Alert Management displays the search results in a tabular format beneath the search bar. The columns that can display in the search results are Date and Time, Security, Inside Quotes, Market Center Quotes, Automated Quotes, Trades, Orders, Order Events, Executions, and Reported Sales.

Your specifications in the View portion of the search bar determine which columns of data Oracle Financial Services displays. Your specifications in the Expand portion of the search bar determine which columns of data Oracle Financial Services expands to include data within the time frame between the first and last activities associated with the match.

If the number of retrieved records, based on the search bar criteria, exceeds the allowable number for an event type, Oracle Financial Services Alert Management only displays the default number of records that was set at the time of installation of the Oracle Financial Services UI.

### Replaying Market and Trade Activity for a Match

You can use the **View** and **Expand** options on the Replay search bar to replay the market and trade activity for a match included in an alert you are reviewing.

To see order information and expanded execution information, follow these steps:

1. Click the **Replay** tab.  
If the alert is a multi-match alert, select a match in the **Matched Information** area, then click the **Replay** tab.
2. Select the check boxes for the additional events you want to view in the **View** row. By default, the system selects the events matched to the current alert. All data is selected in the search bar and the resultant matrix is displayed accordingly.
3. Select the check boxes for the events for which you want more details in the **Expand** row.

4. Click **Go**.

Oracle Financial Services Alert Management refreshes and displays the data based on these selections.

## Creating Alerts

This section describes how to use the Oracle Financial Services Alert Management to create alerts manually from the Monitoring workflow.

This section discusses the following topics:

- Components of Create an Alert
- Search for Business Entity
- List of Focus Matrix
- Create an Alert

### Components of Create an Alert

The Create Alert page enables you to create user-defined alerts within the Monitoring workflow. You can access Create Alert from the Monitoring menu if your role permits.

The screenshot shows the 'New Alert' page interface. At the top, there is a search bar with 'Focus Type: AC', 'Focus Name: H%', and 'Focus ID:'. Below the search bar, there is a table titled 'Account (296)' with columns for Account ID, Type(s), Name, Tax ID, Business Unit, Branch, Registration, Alert Count, and Case Count. The table contains 18 rows of account data.

Account ID	Type(s)	Name	Tax ID	Business Unit	Branch	Registration	Alert Count	Case Count
25DXXXACPORTFOLIOHH-01	CR,CR,LOH	HENERY BUSH	T 999907469	--	BRANCHIC001	IND	0	0
AC-101	CR,CR,RBR	HOWARD	554455469	--	BRANCHIC004	IND	0	0
AC-CNSUB-TRD71	EE,EE,RBK	HELLEN	TX-CNSUB-TRD71	--	BRANCH-001	IND	0	0
AC-CR30483-001	CR,CR,RBK	HUFFMAN	S PP-0116	--	BRANCHIC004	IND	0	0
AC-CR30483-004	CR,CR,RBK	HUFFMAN	S PP-0119	--	BRANCHIC004	IND	0	0
ACANTYSWTHCU-021	CR,CR,RBK	HMLOCK	S TXANTYSWTHC...	--	ICICIBK	IND	0	0
ACANTYSWTHCU-022	CR,CR,RBK	HMLOCK	S TXANTYSWTHC...	--	ICICIBK	IND	0	0
ACANTYSWTHCU-021	CR,CR,RBK	HMLOCK	S TXANTYSWTHC...	--	ICICIBK	IND	0	0
ACANTYSWTHCU-022	CR,CR,RBK	HMLOCK	S TXANTYSWTHC...	--	ICICIBK	IND	0	0
ACANTYTRDAC-009	CR,CR,RBK	HRICHARD	S TXANTYTRDAC-009	--	CITIBK	IND	0	0
ACCCALLSITMAC-1000	CR,CR,RBR	HULK	S 554455529	--	100	IND	2	0
ACCIBPRODUTLSHAC-001	CR,CR,RBR	HELINA	T TAXCIBPRODUTL...	--	BRANCH-001	IND	4	0
ACCIBPRODUTLSHCB-001	CI,CI,CBK	HELINA	T TAXCIBPRODUTL...	--	BRANCH-001	IND	0	0
ACCLAROPETRAC-002	CR,CR,RBR	HOWARD	S CU-TAX-000013	--	BRANCHIC004	IND	0	0
ACCLAROPETRAC-008	CR,CR,RBR	HOWARD	S 554455457	--	BRANCHIC004	IND	0	0

**Figure 29. Create Alert Page**

The Create Alert page has the following components:

- Search for Business Entity
- List of Focus Matrix
- Create an Alert

### Search for Business Entity

When you click **Create Alert**, the page provides an option to search for business entities, which can become the focus of your user defined alert.

Table 24 lists the fields of Searching for business entity component.

**Table 24. Fields of Searching for Business Entity**

Field	Type of Control	Description
Focus Type	Drop-down List	Filters on all the focus available as per your access control privileges.
Focus Name	Text box	Filters the focus by the name of the business entity that matches the search criteria.
Focus ID	Editable text box	Filters the focus by the ID of the business entity that matches the search criteria.

**Focus Name** and **Focus ID** are mutually exclusive. You can search either by **Focus Name** or by **Focus ID**. If you enter both **Focus Name** and **Focus ID** and click **Go**, a message displays indicating that the fields are mutually exclusive.

It is necessary to specify a **Focus Type** selection with either the **Focus Name** or **Focus ID** option. If you do not select a **Focus Type** field, a message displays that the selection of **Focus Type** is required with **Focus Name** and **Focus ID** searches.

### List of Focus Matrix

On clicking the **Go** button, displays the list of entities based on the search criteria with the **Create** button. If no matches are found for the focus based on the entered search criteria, *No Data Found* message displays in the List of Focus.

The list displays below the search bar. The fields displayed in the list of focus are based on the selection of focus type.

### Create an Alert

Select an entity in the focus list and click the **Create an Alert** button. The Create an Alert section displays below the List of Focus matrix. You can create only one alert at a time.

Table 25 lists the fields of Create an Alert component.

**Table 25. Fields of Create an Alert**

Field	Type	Description
Focus Type	Pre-population of the value	Pre-populates the Focus Type and ID concatenated, as per your selection from the List of Focus.
Focus Name	Pre-population of the value	Pre-populates the Focus Name as per your selection from the List of Focus.
Score	Text box	Enables you to enter a score for the alert. The default value shall pre-populate.
Creation Date	Pre- populated non editable field	Pre-populates the Create Date with the current date.
Scenario Class	Drop-down List	The possible values to be populated based on the selection of the focus type.
Alerts Due Date	Calendar control	Enables you to enter a Date by which an action should be taken on the alert.
Auto Assignment	Checkbox	Allows the system to automatically assign this alert
Owner	Drop-down List	Enables you to select an owner for the newly created alert. The list displays those owners who have access to the focal entity selected and scenario class.
Status	Pre- populated non editable field	Pre-populates the Status with status as 'New'.
Comments	Text box	Enables you to enter comments to support the creation of a new alert.

This section enables you to enter the values for the new alert. Scenario Class, Score, and Comments are mandatory for creation of an alert.

The default, minimum, and maximum score value is configurable. Contact your system administrator for the default, minimum, and maximum scores.

The score value has to be in the range of minimum and maximum score. If you attempt to enter less than minimum score or more than the maximum score, a message displays asking you to enter a value within the range of minimum and maximum score.

Once you click the **Save** button, the system displays a message with **OK** and **Cancel** buttons. The message provides the following options:

A new alert will be created. Click **OK** to continue to the Alert Details for your newly created alert. Click **Cancel** to remain within the Create Alert workflow.

Upon selecting either **OK** or **Cancel**, your new alert is created.

Once you create an alert successfully, if you selected **OK** in the message box, you can navigate to the Alert Details tab of the alert with all the applicable Oracle Financial Services and business tabs for this alert. The values in the Same Scenario Prior and Same Class Prior fields in the alert context are set to zero and display as hyphens “-” in those fields.

Refer to *Appendix A, Business Tabs*, on page 129, for more details on the tabs that display based on Scenario Class and Focus. Because user created alerts are based off of business entities rather than actual transactional activity, you will not see transactional information or other matched data on the Details tab.

If your role permits, you can take actions on the alert from the Details page. If you selected **Cancel** in the message box, you will remain in the Create Alert workflow with the option to create additional alerts

To create an alert, follow these steps:

1. From the Monitoring menu, select the **Create Alert** secondary menu.

The Search for Focus search bar displays.

2. Select **Focus Type** and either **Focus Name** or **Focus ID**, and click **Go**.

The List of Focus matrix displays with the focus based on the search criteria.

3. Select any one focus from the List of Focus matrix, and click **Create**.

The Create an Alert section displays. Refer to Table 25 for the fields of this section.

4. Enter values in the **Score** and **Comments** fields.

5. Select the scenario class.

**Note:** If you do not enter the score, comments, and scenario class, a message displays indicating you to enter these values.

*Optional:* Enter values in the additional fields

6. Click **Save**.

A message display with the **OK** and **Cancel** button:

A new alert will be created. Click **OK** to continue to the Alert Details for your newly created alert. Click **Cancel** to remain within the Create Alert workflow.

7. Click **OK**.

The application creates an alert and navigates you to the Alert Details page with the alert context and all the tabs.

If you do not want to create an alert, clicking **Cancel** will close the Create an Alert section. The previously displayed List of Focus section will not be refreshed and will continue to display the results of your last search.

Clicking **Cancel** on the Create Alert confirmation message will create an alert but will not navigate you to the Alert Details page. You will remain on the Create Alert workflow with the alert context of the newly created alert displayed in read only mode. If you have entered information into the Create Alert container, an unsaved warning message will display .

This chapter describes how to search for and modify existing suppression rules.

The following topics are covered here:

- Accessing Suppression Rules
- Managing Suppression Rules
- Updating Suppression Rules
- Ending Suppression Rules
- Viewing Suppression Rules Action History

## ***Accessing Suppression Rules***

You can access the Suppression Rules workflow by clicking on Alert Suppression from the Monitoring menu in the primary level of navigation.

## ***Managing Suppression Rules***

An alert suppression rule enables the system to automatically suppress a particular entity's newly-generated alerts based on criteria such as highlight, scenario, and suppression rule begin and end date. The rule captures information such as the creation date, the status, the generating scenario, the focal entity (focus type and focal entity ID) and the links to user comments associated with the suppression rule. Suppression rules are automatically created when you save a *Close and Suppress* action on an alert from within the Monitoring workflow.

The Manage Suppression Rules feature provides a way to search for existing suppression rules based upon a set of user-specified parameters. Manage Suppression Rules also enables you to modify certain components of rules, in particular, to Update or to End an existing suppression rule as well as to track all the actions performed on that rule.

This section focuses on the following topics:

- Accessing the Suppression Rule Search & List Page
- Suppression Rule Search & List Page Components
- Updating Suppression Rules
- Ending Suppression Rules
- Viewing Suppression Rules Action History

**NOTE:** Refer to *Creating a Tailored Suppression Rule*, on page 49 for instructions on creating a suppression rule.

## Accessing the Suppression Rule Search & List Page

You can access the Suppression Rule Search & List page from the Suppression Rules secondary menu in the Monitoring primary level of navigation. The system shows the Suppression Rules Search & List page by default when you navigate to this workflow. The path to this page is Monitoring >> Alert Suppression.

## Suppression Rule Search & List Page Components

The Suppression Rules Search & List page has the following components:

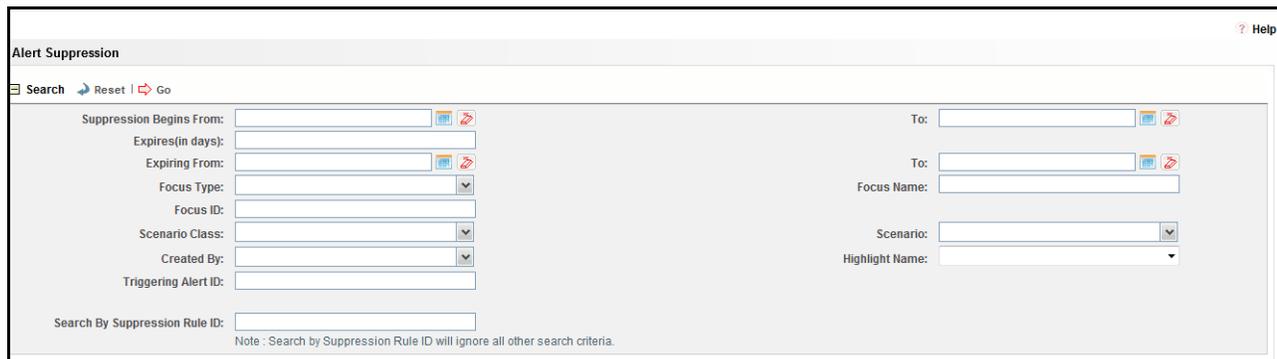
- Suppression Rules Search Bar
- Suppression Rule List

### Suppression Rules Search Bar

The Suppression Rules Search page enables you to search for a selected list of suppression rules, based on the criteria that you provide in the search fields. By default all the search fields are blank. Drop-down Lists, text boxes, and drop-down lists enable you to filter suppression rules precisely for analysis. Selecting the blank value within a drop-down list is the same as selecting all options within the list. If a search is performed with blank values in a search field, then the result displays without applying filters on those fields.

Only the data that matches your specified criteria displays. All the suppression rules that you are authorized to view display in the Suppression Rule List matrix based on the search criteria selected.

**NOTE:** Blank search is not supported. You will need to enter one or more search criteria in order to execute a search. Figure 30 shows a sample Suppression Rules Search page.



The screenshot shows the 'Alert Suppression' search interface. It features a search bar with a 'Search' button, a 'Reset' button, and a 'Go' button. Below the search bar are several search criteria fields: 'Suppression Begins From', 'Expires(in days)', 'Expiring From', 'Focus Type', 'Focus ID', 'Scenario Class', 'Created By', and 'Triggering Alert ID'. There are also 'To' fields for 'Suppression Begins From' and 'Expiring From'. A 'Focus Name' field is located below the 'To' fields. A 'Scenario' field is a dropdown menu, and a 'Highlight Name' field is another dropdown menu. At the bottom, there is a 'Search By Suppression Rule ID' field and a note: 'Note : Search by Suppression Rule ID will ignore all other search criteria.' A 'Help' icon is visible in the top right corner.

Figure 30. Suppression Rules Search Page

### Suppression Rules Search Bar Components

The Suppression Rule Search bar consists of filters that allow you to enter various search criteria. These search criteria are related to attributes of the suppression rule along with searching based on the Suppression Rule ID.

**NOTE:** Suppression Rule ID Search is mutually exclusive of other search options. If you attempt to search by the combination of Suppression Rule ID and other filters, then filter criteria other than Suppression Rule ID is ignored.

### Suppression Rules Search Bar

The Suppression Rule Search bar enables you to search for a selected list of suppression rules based on the criteria that you select within this search bar.

### Suppression Rules Search Information

Table 26 provides a list of the search components that display in the Suppression Rules Search page.

**Table 26. Suppression Rules Search Components**

Criteria	Description
Suppression Rule Created From Date (Start Date)	Filters the suppression rule list by the date the rule was created
Suppression Rule Created To Date (End Date)	Filters the suppression rule list by the date the rule was created
Expires (in days)	Filters the results based upon suppression rules expiring within the number of days entered
Expiring From (Start Date)	Filters the suppression rules list based upon the expiration start date entered
Expiring To (End Date)	Filters the suppression rules list based upon the expiration end date entered
Focus Type	Filters the suppression rules by the focal type of the business entity associated with the suppression rule
Focus Name	Filters the suppression rules by the Focus Name of the business entity associated with the suppression rule
Focus ID	Filters the suppression rules by the Focus ID of the business entity associated with the suppression rule
Scenario Class	Filters the suppression rules by the scenario class associated with a rule, listed by its abbreviation. This drop-down list contains only the scenario classes that you are authorized to view. If you filter by Class, you cannot filter by Scenario
Scenario	Filters the suppression rules by the scenario associated with a rule, in other words, by the name of the behavior or activity that generated that rule.
Created By	Filters the results by the user ID of the user who created the rule
Highlight Name	Filters the suppression rules by the highlight binding used in the suppression rule. (Bindings are variables captured in a scenario pattern that, in this case, are used for defining highlights.)

**Table 26. Suppression Rules Search Components (Continued)**

Criteria (Continued)	Description
Triggering Alert ID	Filters the suppression rules based on the alert ID of the alert that was closed with the Close and Suppress action. This filter can accept up to 100 natural numbers and provides comma-separated searching
Suppression Rule ID	Filters the suppression rules based on the Suppression Rule ID you enter. This filter can accept up to 100 natural numbers and provides comma-separated searching

The following subsections describe the Suppression Rule Search bar components in detail:

- Suppression Search Dates
- Expiration Search Dates
- Focus Type, Focus Name, and Focus ID
- Suppression Rule ID

### *Suppression Search Dates*

You can specify the time frame in which you want to view suppression rules. When you enter the start (Suppression Rule Created From) and end (Suppression Rule Created To) dates, Oracle Financial Services Alert Management displays only those rules that are created within the time frame. In order to search for suppression rules after the specified date, you must enter only a From search date; to search for rules before a certain date, you must enter only a To search date. Leaving the date fields blank returns rules regardless of their creation dates.

You can use the calendar control located adjacent to the entry box for selection of the dates.

### *Expiration Search Dates*

You can specify the time frame for searching the suppression rules based on the expiration dates of those rules. Specifically, you can specify the time frame in one of two ways:

- You can specify the number of days in which the rule expires by entering a value in the Expiring (in days) filter. When this filter is used, Oracle Financial Services Alert Management displays only those rules that will expire within the specified number of days.
- You can specify the start (Expiring From) and end (Expiring To) dates. When these filters are used, Oracle Financial Services Alert Management displays only those rules that are set to expire within the time frame identified by those dates. You can use the calendar control located adjacent to the entry box for selection of the dates.

These filters are mutually exclusive per search. The system does not support searching by both Expires (in days) and Expiring From and Expiring To dates at the same time.

### *Focus Type, Focus Name, and Focus ID*

Focus represents the type of business object that exhibits the behavior of interest. Focus is a three-part representation that includes a focus name or ID and an associated focal type. Your access control privileges determine which focus types display in the Focus Type drop-down list.

You can search by selecting one or more Focus Types. You can also combine a search by Focus Type with a specified Focus ID or Focus Name. However, Focus ID and Focus Name are mutually exclusive and entry in any one is allowed along with the Focus Type, but not both.

When searching by Focus Name or Focus ID, you can use wildcards. In Oracle Financial Services Alert Management, the wildcard character is represented by the percent (%) sign. For example, to search for all entities whose names start with *Smi*, enter **Smi%**.

When the Focus Type filter is used, Oracle Financial Services Alert Management returns rules created on entities of that focal type; when the Focus Name or Focus ID filter is used, Oracle Financial Services Alert Management returns rules created on the specified entity.

### Suppression Rule ID

The Suppression Rule ID search enables you to search for information about the suppression rules by typing the **Suppression Rule ID** in the text box. To search for multiple IDs, you must enter the IDs individually and separated by commas.

To search for a suppression rule by Rule ID, follow these steps:

1. In the Suppression Rule ID text box, type the **Rule ID** that you want to view. Do not enter any other search criteria.

**NOTE:** To search for multiple Suppression rules at a time, you can enter comma separated suppression rule IDs in the **Suppression Rule ID** text box.

2. Click **Go**.

## Suppression Rule List

The Suppression Rule List displays summarized information of rules that you can further investigate or take actions on. By default, the List matrix displays 20 results per page and indicates the total number of pages in the search result (Figure 31). If less than 20 results display, no page numbers shall be displayed. .

The screenshot shows the 'Alert Suppression' interface. At the top, there are search filters including 'Suppression Begins From', 'Expires (in days)', 'Expiring From', 'Focus Type', 'Focus ID', 'Scenario Class', 'Created By', 'Triggering Alert ID', 'To', 'Focus Name', 'Scenario', and 'Highlight Name'. Below the filters is a 'Search By Suppression Rule ID' field with a note: 'Note: Search by Suppression Rule ID will ignore all other search criteria.' Below the filters is a table titled 'Suppression Rule List (4)' with columns: Suppression Rule ID, Focus Name, Focus ID, Scenario, Highlight, Created By, Rule Status, Expires on, and Triggering. The table contains four rows of data.

Suppression Rule ID	Focus Name	Focus ID	Scenario	Highlight	Created By	Rule Status	Expires on	Triggering
2	CU INSHID-558 DRA...	CUHIDNREL.SHIPCUCUHIDNREL	High Risk Instructions	--	SUPERVISOR	Inactive	09/24/2014	4517
4	EN ACXA11	ACXA11	High Risk EFT	--	SUPERVISOR	Active	09/24/2014	4544
5	EN ACXA102	ACXA102	High Risk EFT	--	SUPERVISOR	Active	09/24/2014	4547
3	EN KULDEEP KAUR	KULDEEP KAUR	High Risk EFT	--	SUPERVISOR	Active	10/24/2014	4529

Figure 31. Suppression Rule List

### Suppression Rule List Components

The Suppression Rule List consists of the Suppression Rules List header, individual check boxes for each rule that, when selected, provide you with the option to designate the selected rules for either Update Suppression Rule, End Suppression Rule actions or View Suppression Rule History, and a matrix containing one or more suppression rules.

The Suppression Rule List is composed of the following components:

- Suppression Rule List Header
- Action Buttons
- Check Boxes
- Column Headings
- Suppression Rule List Matrix

### Suppression Rule List Header

The header contains the title Suppression Rule List, with the count of total number of rules returned by your search. Action buttons display for **Update**, **End**, **History**, and **Excel**. Refer to Action Buttons section for a detailed explanation of the buttons.

### Check Boxes

Check boxes are provided at the beginning of each row in the Suppression Rule List matrix. Select one or more of these boxes to take action on one or more rules. Select the check box again to clear it. You can check individual rules and then proceed with Update or End actions. To select all the check boxes, click the check box available in the column header. Select the check box again to clear all selected check boxes.

### Action Buttons

The system provides the following action buttons that appear in the Suppression Rule List Header:

- **Update Suppression Rule:** Provides you with an option to update one or more suppression rules from the List page. You can select one or more suppression rules using the check box provided and click on the Update Suppression Rule button. The Suppression Rule Update page displays when you click the **Update** button after selecting one or more rules from the List page (refer to *Updating Suppression Rules* on page 106).

**NOTE:** The Update option is available only for Active and Inactive rules.

- **End Suppression Rule:** Provides you with an option to end one or more suppression rules from the List page. You can select one or more rules using the check box provided and click on the End Suppression Rule button. The Suppression Rule End page displays when you click on the End Suppression Rule button (refer to *Ending Suppression Rules* on page 109).

**NOTE:** The End Suppression Rules feature is provided only for Active Suppression Rules.

- **History:** Displays next to the **End Suppression Rules** button and allows for viewing the action history for a selected suppression rule in a separate pop-up window. You can view the history of only one suppression rule at a time.
- **Excel:** Displays next to the **History** button to allow you to export the rule list data to Microsoft Excel.

### Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the Suppression Rules List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays such as Sort Ascending, Sort Descending, Clear Sort, Transpose and Field Chooser.

Select the relevant sorting option. Oracle Financial Services Enterprise Case Management refreshes the list matrix and re-sorts the particular column according to the selected option.

OFSAAI refreshes the list and re-sorts the alert display by that field, based on the criteria you selected in the Suppression Rule Search.

Selecting **Field Chooser** allows you to hide or expose columns on the current grid from a pre-set list of columns. You can also reorder the order of the columns on the grid by moving the columns up and down in the Field Chooser list. You can change the width of the column by modifying the values shown in Field Chooser. (The values represent pixels not characters.) If these settings are Saved, the Field Chooser will remember the settings for the next time you view the grid.

To export column data selected through Field Chooser, select **Grid Data** from the Select Form Data/ Grid Data drop-down list on the Export-Properties dialog box. If **Form Data** is selected, the fields selected are not considered for export.

### Visual Indicators

The system displays a visual indicator for all rules that are *near expiration*. Starting from the first day (of the X days) until the day before the rule expiration date (for example, if the near expiration duration is set to 5 days and the suppression rule end date for a suppression rule is May 5th, the system displays the rule end date in the color red from April 31st to May 4th). The system displays a different visual indicator than the *near expiration* indicator when the rule reaches the rule end date (in other words, the system displays the rule end date in a white font with a red background on the date it is set to end. For example, if the suppression end date for a rule is May 5th, the system displays the rule end date in a white font with a red background on May 5th). Visual indicators are system-configurable. Contact your System Administrator if you want to reconfigure these indicators (Figure 32).

Suppression Rule ID	Focus Name	Focus ID	Scenario	Highlight	Created By	Rule Status	Expires on	Triggering
4	EN ACXA11	<a href="#">ACXA11</a>	High Risk EFT	--	SUPERVISOR	Active	09/22/2014	4544
2	CU INSHID-558 DRA...	<a href="#">CUHIDNRELSHIPCUCUHIDNREL</a>	High Risk Instructions	--	SUPERVISOR	09/25/2013	09/24/2014	4517
5	EN ACXA102	<a href="#">ACXA102</a>	High Risk EFT	--	SUPERVISOR	09/26/2013	09/24/2014	4547
3	EN KULDEEP KAUR	<a href="#">KULDEEP KAUR</a>	High Risk EFT	--	SUPERVISOR	Active	10/24/2014	4529

**Figure 32. Visual Indicators for Suppression Rules Expiration Dates**

### Suppression Rule List Matrix

Table 27 provides a list of the columns and their descriptions in the Suppression Rule List matrix.

**Table 27. Suppression Rule List Matrix**

Column	Description
Focus Name	The focus upon which the suppression rule is based. The system displays the Focus Name for the particular rule search.
Focus ID	Displays one of the two focal entities that belong to the suppression rule. The focal entity identifier displays as a hyperlink that, when clicked, generates a pop-up window providing detailed business information about the entity.
Scenario	The name of the behavior or activity that generated the rule.
Highlight	The highlight binding, operator and value used in the creation of the rule.
Created By	The user who created the rule.

Table 27. Suppression Rule List Matrix (Continued)

Column (Continued)	Description
Rule Status	Current state of the rule relative to its analysis and closure.
Expires On	The date on which the suppression rule expires.
Suppression Rule ID	The identifier of a particular suppression rule.
Triggering Alert ID	The accompanying identifier of the alert that has generated the suppression rule.

## Updating Suppression Rules

The Update Suppression Rule page provides you with the option to update all the selected rules from the Suppression Rule List section. The Suppression Rule Update page displays when you click the **Update** button after selecting one or more rules from the Suppression Rules List matrix (Figure 33).

Figure 33. Update Suppression Rule Page

## Components of the Update Suppression Rule Page

The Update Suppression Rules page is composed of the following areas:

- Update Suppression Rule Area
- Add a Comment Area
- Selected Suppression Rules Area

### Update Suppression Rule Area

The Update Suppression Rule area includes the following functions:

- Extend Suppression By
- Suppression End Date

### Extend Suppression By

The Extend Suppression By field enables you to extend the suppression rules by a certain time frame of 1, 3, 6 or 12 months. If one of these time frames is selected, the suppression rule for the particular scenario is extended by the chosen period, from the original day it was due to expire. This field is a drop-down list, and by default it is blank.

## Suppression End Date

The Suppression End Date field provides the option to select the suppression rule's end date by using the calendar control. You can select the date on which you want the suppression rule to end.

The Extend Suppression By and the Suppression End Date options are mutually exclusive, therefore you can enter only one of them at a time.

The Suppression End Date field is pre-populated in the following cases:

- When you have selected only one rule from the List matrix
- When multiple suppression rules are selected and all of them have the same end date

The system updates the relevant dates once you have saved your entries and returns you to the Suppression Rules Search & List page, where the updates are displayed in the Suppression Rules List matrix.

Table 28 provides examples of date changes discussed here.

**Table 28. Examples of Updated Dates for Suppression Rules**

Suppression Rule ID	End date (before updating)	Results (after updating) Extend Suppression By 6 months	Results (after updating) Suppression End Date 05/25/2009
SR1	03/16/2009	09/16/2009	05/25/2009
SR2	04/17/2009	10/17/2009	05/25/2009
SR3	04/25/2008	10/25/2008	05/25/2009

## Add a Comment Area

You must enter comments in the text box provided in this area to document the changes made and to support the modifications made in the suppression rules. If you try to save updates without entering comments, the system displays a warning to remind you to enter comments. The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of rules you select. If multiple rules are selected for the update process, these comments will be applied to all selected suppression rules.

## Selected Suppression Rules Area

The Selected Suppression Rules area displays the rules that have been selected for updating. This matrix is sorted on the Suppression Rule ID in ascending order. The selected rules display the following columns with the **History** icon:

- Suppression Rule ID
- Focus Name
- Focus ID
- Scenario
- Highlight
- Created By
- Rule Status
- Expires on
- Triggering Alert ID

Refer to Table 27 for descriptions of these column headings.

## **Steps for Updating Suppression Rules**

The following procedures provide steps for updating suppression rules.

### **Updating Active Rules Containing Pre-Populated End Dates**

If you have selected one or more rules with the same expiration date from the Suppression Rules List and clicked on **Update**, the Suppression Rule End Date will be pre-populated with the common end date.

To update Active rules with pre-populated suppression end dates, follow these steps:

1. Modify the pre-populated end date to a new date which is prior/subsequent to the existing date or select an Extend Suppression By option.

In order to enter a Extend Suppression By option, you must clear the pre-populated end date.

2. Provide comments in the comments field.
3. Click **Save**.

The system records the action as Modified and retains the Active status to the rule or rules.

### **Updating Active Rules Containing Blank Suppression Dates**

If you have selected one or more rules from the Suppression Rules List with different expiration dates and clicked on **Update**, the Suppression End Date and the End Suppression By fields will both be blank.

To update Active rules that contain blank suppression dates, follow these steps:

1. Add the suppression end date that is prior/subsequent to the existing date or select a Extend Suppression By option.
2. Provide comments in the comments field.
3. Click **Save**.

The system records the action as Modified and retains the Active status to the rule or rules.

### **Adding Comments Only to Active/Inactive Rules**

If you have selected one or more rules for updating and navigated to the Update Suppression Rules page, you may elect to enter only comments without taking any other action.

To add only comments to Active/Inactive rules, follow these steps:

1. Enter the comments in the text box without taking any action.
2. Click **Save**.

The system records the Comments action on all the selected rules, but the existing status of any of the selected rules will not be changed.

### **Updating Inactive Rules**

If you have selected one or more rules with the same expiration date from the Suppression Rules List and clicked on **Update**, the Suppression Rule End Date will be pre-populated with the common end date.

To extend the Suppression End Date for Inactive rules, follow these steps:

1. Select an extension duration or a new end-date.

2. Enter comments in the text box provided.
3. Click **Save**.

For the selected rules that are associated with the Inactive status, when you click **Save**, the system records the Reactivated action and assigns an Active status.

### Notes on Updating Suppression Rules

Note the following when updating suppression rules:

- If one or more suppression rules expires (reaches the end date), the system records the action as Expired and changes the status to Inactive.
- If you attempt to leave the Update Suppression Rule page without saving or cancelling your changes, the system displays a message prompting you to either click **OK** to continue without saving, or to click **Cancel** to return to the page and save your work.
- An expiration end date entered in the Update section applies to all the currently selected suppression rules.

## Ending Suppression Rules

The End Suppression Rules page enables you, based on user roles, to end the suppression rules. The End Suppression Rule page replaces the Suppression Rules Search & List page when you click the **End Suppression Rule** button after selecting one or more suppression rules. The path for End Suppression Rules is Monitoring >> Alert Suppression >> (Figure 34).

The screenshot shows the 'Alert Suppression' page. At the top, there is a section titled 'End Suppression Rule' with a text input field labeled 'Add a Comment:'. Below this is a section titled 'Selected Suppression Rules' which contains a table with the following data:

Suppression Rule ID	Focus Name	Focus ID	Scenario	Highlight	Created By	Rule Status	Expires on	Triggering Alert ID	Action
5	EN ACXA102	ACXA102	High Risk EFT	--	FCCM SU...	Active	09/24/2014	4547	[Icon]

At the bottom of the page, there are three buttons: 'Save', 'Reset', and 'Cancel'.

Figure 34. End Suppression Rule Page

### Components of the End Suppression Rule Page

The End Suppression Rule page is composed of the following areas:

- End Suppression Rule Area
- Add a Comment Area
- Selected Suppression Rules Area

#### End Suppression Rule Area

You can end rules by selecting one or more rules from the Suppression Rules List matrix and clicking **End Suppression Rule**. Click **Save** to end the Suppression Rule.

### Add a Comment Area

You must enter comments in the text box provided in this area to document the changes made and to support the modifications made in the suppression rules. If you try to save updates without entering comments, the system displays a warning to remind you to enter comments. The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of rules you select.

The system displays a message asking you to confirm the actions taken and the comments entered. If you confirm your actions and comments, the system updates the suppression rule and the list matrix is refreshed with the changes (in other words, the **Expires on Date** field in the refreshed List matrix reflects the date on which the rule was terminated).

You cannot leave this page without saving or cancelling your actions, and the system prompts you to click **OK** to continue without saving or to click **Cancel** to return to the page and save your changes before leaving the End Suppression Rules page. The system assigns *Inactive* status and records the action as *Terminated* for the suppression rule that you have selected to end.

### Selected Suppression Rules Area

The Selected Suppression Rules area displays the rules that have been selected for updating. This matrix is sorted on the Suppression Rule ID in ascending order. The selected rules display the following columns with the **History** icon in the header:

- Suppression Rule ID
- Focus Name
- Focus ID
- Scenario
- Highlight
- Created By
- Rule Status
- Expires on
- Triggering Alert ID

Refer to Table 27 for descriptions of these column headings.

### Steps for Ending Suppression Rules

To end suppression rules, follow these steps:

1. From the Suppression Rules List matrix, select one or more Active records.
2. Navigate to the End Suppression Rule page.
3. Provide comments in the **Add a Comment** text box.
4. Click **Save**.

The system records the action as *Terminated* and assigns the status as *Inactive*.

**NOTE:** The rule status of Active suppression rules changes to *Terminated* when those rules are terminated manually. For all Active suppression rules that reach their expiration date, the system automatically changes their status to *Expired*. This system action is also tracked in the rule Action History.

## Viewing Suppression Rules Action History

You can view the history of the suppression rule actions for individual suppression rules, which displays in the Suppression Rule Action History of [Suppression Rule ID] pop-up window for a particular rule (Figure 35).

Action	Action Taken Date	Rule End Date	By	Comments
--	09/23/2013 00:00	09/24/2014 17:05	MANTAS	--
Created	09/24/2013 17:05	09/24/2014 17:05	SUPERVISOR	hty
Terminated	09/24/2013 18:51	09/24/2014 17:05	SUPERVISOR	ZxczcxZXX

Figure 35. Suppression Rule Action History of [Suppression Rule ID] pop-up window

## Viewing the Action History for a Rule

Depending on your user access permissions, you can view the action history for a particular rule.

To view the action history for a particular rule, select a suppression rule in the Suppression Rules List or Selected Suppression Rules Matrix and click **History**.

The Suppression Rule Action History displays in a pop-up window. The data displays in ascending order of the Action Taken Date column. For example, if the suppression rule was created on June 20th and the user updated it on June 25th, the data for the action taken on June 20th would be displayed first.

### Column Headings

The pop-up window displays the following list of columns:

- **Action:** The action taken on the associated rule. Possible actions are as follows:
  - Created
  - Expired
  - Re-activated
  - Terminated
  - Modified
- **Action Taken Date:** Date and time of the action.
- **Rule End Date:** End date specified for the suppression rule.
- **By:** User who took the action.
- **Comments:** Comments associated with the action.

If the comments are lengthy and exceed the width of the Comments column, you can click the **Expand** button (>>) to display the complete comment text.



This chapter describes how to search for and modify existing pairs of parties involved in transactions that have been designated as trusted.

The following topics are covered here:

- Accessing Trusted Pairs
- Managing Trusted Pairs
- Accessing the Trusted Pairs Search Page
- Updating Trusted Pairs
- Viewing Trusted Pairs Action History

## ***Accessing Trusted Pairs***

You can access the Trusted Pairs workflow by clicking on Trusted Pairs from the Monitoring menu in the primary level of navigation.

## ***Managing Trusted Pairs***

While reviewing and analyzing an alert, you can determine whether the activity between two parties on one or more of the alerting transactions is an acceptable business practice for the entities involved, posing little risk to the institution. If it is determined that the two parties enjoy a trusted relationship, you can designate the two parties as being a *trusted pairs*.

Designating pairs of entities as *trusted* helps to decrease the number of false positive alerts that are generated when the alerting activity is between entities that an institution considers to have a trusted relationship. During the process of ingesting transactional information (Wires, Checks and Monetary Instruments, Back Office Transactions and Insurance Transactions), Oracle Financial Services Alert Management flags a transaction as trusted if at least one party/counterparty pair on the transaction is considered to be a trusted pair. These transactions can be optionally excluded from detection for many ML, IML, and FR class scenarios (through the use of a threshold parameter), thus reducing the number of false positives where alerts are generated on activity between parties trusted to do business with one another. As the relationship between a pair of entities is marked *trusted* for some period of time and is excluded from the process of behavior detection, the workload of an analyst can be greatly reduced. If the decision is made to not exclude trusted transactions from detection, alerts involving trusted transactions display information regarding the percent of the alert's transactions that involve trusted pairs versus transactions that do not involve trusted pairs.

The Manage Trusted Pairs workflow discussed here is intended only for the *management* of existing trusted pairs, not the *designation* of trusted pairs. Through the Manage Trusted Pairs workflow, you can search, view, approve, reject, and modify existing trusted pairs based on your user privileges. Refer to Chapter , “User Privileges,” on page 11, for

a detailed description of user roles and their privileges. Refer to *Designating Trusted Pairs*, on page 64 for information on how to designate trusted pairs.

Manage Trusted Pairs utilizes a versioning approach to maintaining records of trusted pairs to support a Four-Eyes Approval workflow as well as audit changes to records. *Versioning* means that for each trusted pairs that is created, subsequent modifications, cancels, approvals, or rejections create a new version of that record reflecting any change in status to the trusted pairs as well as tracking the actual change. The trusted pairs ID remains the same from version to version, allowing you to easily identify and track the history of that trusted pairs.

**NOTE:** The ability to Manage Trusted Pairs through the Manage Trusted Pairs workflow user interface (UI) is dependent upon how an organization chooses to work with trusted pairs. If your site has elected to create trusted pairs by passing them into the Oracle Financial Services FSDM directly via the loading of a Data Interface Specification (DIS) file, then management of those trusted pairs will not be enabled via the UI and the Manage Trusted Pairs tab will be suppressed.

## Accessing the Trusted Pairs Search Page

You can access the Trusted Pairs Search page by clicking on Trusted Pairs from the Monitoring menu in the primary level of navigation.

### Trusted Pairs Search Page

The Trusted Pairs Search page enables you to filter for the trusted pairs that you want to view and analyze on the Trusted Pairs List page. The Search page consists of the Trusted Pairs Search bar and the Trusted Pairs ID search bar (Figure 36).

**Figure 36. Trusted Pairs Search Page**

### Trusted Pairs Search Page Components

The Trusted Pairs Search page enables you to search for trusted pairs based on criteria that you provide within this search section. Drop-down Lists, text boxes, and radio buttons enable you to filter trusted pairs more precisely for analysis. By default, all search fields are blank. Selecting the blank list option within a drop-down list is the same as

selecting all options within the list. Only the trusted pairs that match your specified criteria are displayed when you click the **Go** button. If a search is performed with blank values in fields, then the results are displayed without applying filters on those fields. In particular, if a status is not specified, the system applies a set of underlying rules to the records returned in the results. The results include the following:

- Trusted pairs that are in an Active status as well as any Pending/Risk Esc Rec Cancel/User Rec Cancel versions of that trusted pairs record that may currently exist
- Trusted pairs that are currently in an Expired status
- Trusted pairs that are currently in an Inactive status where the latest version of that trusted pairs record is Inactive with no Active/Pending/Risk Esc Rec Cancel/User Rec Cancel records

**NOTE:** Blank search is not supported. You will need to enter one or more search criteria in order to execute a search. Figure 36 shows a sample Trusted Pairs Search page.

### ***Trusted Pairs Search Bar***

The Trusted Pairs Search bar contains the following search filters:

- Trusted Pairs Created From
- Trusted Pairs Created To
- Expires (in number of days)
- Expiring From
- Expiring To
- Cancellation Date From
- Cancellation Date To
- Review Date From
- Review Date To
- Status
- Direction
- Focus Type
- Focus ID
- Created By
- Triggering Alert ID
- Trusted Pairs ID

These search filters are described in detail in the following subsections.

### ***Trusted Pairs Creation Search Dates***

Optionally, you can specify the time frame in which you want to view trusted pairs. When you specify the start (Trusted Pairs Created From) and end (To) dates, Oracle Financial Services Alert Management displays only those trusted pairs that were created within the specified time frame. The From date must be earlier than the To date. You may also choose to search by specifying only the From or only the To date. You can use the Calendar button that is provided adjacent to the entry box to select the dates.

### **Expiration Search Dates**

Expiration search dates enable you to specify the time frame for searching the trusted pairs based on their expiration dates. You can specify the number of days in which the trust expires by entering a value in the Expiring (in days) filter. When you use this filter, Oracle Financial Services Alert Management displays only those trusted pairs that are set to expire within the specified number of days.

On the other hand, you can specify the start (Expiring From) and end (To) dates. When these filters are used, Oracle Financial Services Alert Management displays only those trusted pairs that will expire within the specified time frame. You may choose to enter either the From or the To date. It is not required to enter both. You can use the Calendar button that is provided adjacent to the entry box to select the dates.

You should enter values for only one of these Expiration date search filters per search. The system does not support searching by both Expires (in days) and Expiring From and To dates, simultaneously.

### **Cancellation Search Dates**

Cancellation search date filters allow you to search for trusted pairs that have been cancelled within a certain time frame. When you specify the start (Cancellation Date From) and end (To) dates, Oracle Financial Services Alert Management displays only those trusted pairs that have been cancelled within the specified time frame. The From date must be earlier than the To date. You may also choose to search by specifying only the From or only the To date. You can use the Calendar button that is provided adjacent to the entry box to select the dates.

### **Review Search Dates**

Review search date filters allow you to search for trusted pairs that have been flagged by the system as requiring review based upon an escalation in effective risk of one or more of the members of the trusted pairs. The review date represents the date the system flagged the pair as needing the review. When you specify the start (Review Date From) and end (To) dates, Oracle Financial Services Alert Management displays only those trusted pairs that were flagged for review within the specified time frame. The From date must be earlier than the To date. You may also choose to search by specifying only the From or only the To date. You can use the Calendar button that is provided adjacent to the entry box to select the dates.

### **Status**

When you select to filter the status of the trusted pairs, Oracle Financial Services Alert Management displays only those trusted pairs whose status matches the filter value selected. Possible statuses are:

- **Active:** The trusted pairs is in an active status.
- **Inactive:** The trusted pairs is inactive. A trusted pairs record is inactive if the trusted pairs has been modified in some way resulting in the currently active version of the record becoming inactive. A trusted pairs is considered to be completely inactive *only* if all versions of the trusted pairs are in an Inactive status. A search for inactive trusted pairs records returns only those trusted pairs that are *completely* inactive. If a trusted pairs is currently active but has inactive records associated with it due to modifications and updates, that trusted pairs is not returned in the results.
- **Pending:** A trusted pairs has either been newly recommended or a recommendation has been made for some modification to the trusted pairs record that requires supervisory approval. Until the recommendation is either accepted or rejected, the record will remain in a Pending status.

**NOTE:** Active trusted pairs with a pending recommendation are still considered to be active and will continue to be used to flag transactions based upon the trust pair attributes as they were before any modifications. A search for pending trusted pairs records returns only those trusted pairs records in a Pending status.

- **Expired:** The trusted pairs has reached its expiration date and the system has set the status to Expired. A search for expired trusted pairs records returns only those trusted pairs records in an Expired status.
- **Risk Esc Rec Cancel:** (Risk Escalation Recommend Cancel) One or more members of the trusted pairs has experienced an increase in their effective risk that may affect whether or not you want to continue to let them be a member of a trusted pairs. The risk increase was sufficient enough to cause the system to flag the trusted pairs as needing review due to risk escalation, with a system recommendation to cancel the trust.

**NOTE:** Trusted pairs with a Risk Esc Rec Cancel recommendation are still considered to be active and will continue to be used to flag transactions until such time as the recommendation to cancel is approved. A search for Risk Esc Rec Cancel trusted pairs returns only those trusted pairs currently in Risk Esc Rec Cancel status.

- **User Rec Cancel:** (User Recommend Cancel) A user has recommended that this trusted pairs be cancelled. Records in a User Rec Cancel status require supervisory approval of the cancel recommendation.

**NOTE:** Trusted pairs with a User Rec Cancel recommendation are still considered to be active and will continue to be used to flag transactions until such time as the recommendation to cancel is approved. A search for User Rec Cancel trusted pairs returns only those trusted pairs currently in User Rec Cancel status.

### ***Direction***

When you select to filter for a specific direction of a trusted relationship, Oracle Financial Services Alert Management displays only those trusted pairs whose trust direction matches the filter value specified. Possible directions are Send, Receive and Both. So a search on a Direction of Send will return all trusted pairs where party 1 is trusted to Send to party 2. A direction of Both means that the two parties are allowed to both send and receive funds from one another.

### ***Focus Type/Focus ID***

Focus represents the type of business object that exhibits the behavior of interest. Your access control privileges determine which focus types display in the Focus Type drop-down list. Trusted pairs involve only two types of entities – Account and External Entity.

You can search by selecting one or more Focus Types. You may combine a search by Focus Type with a specified Focus ID. You can search by only a Focus ID, without specifying a Focus Type. You can also search by specifying only a Focus Type with no accompanying Focus ID.

When the Focus Type filter is used, Oracle Financial Services Alert Management displays trusted pairs created on entities of that focal type, where one or both members of the pair match the focus type. When the Focus ID filter is used, Oracle Financial Services Alert Management displays pairs where a pair member matches on the specified entity identifier.

You can also search by Focus ID using wildcards. In Oracle Financial Services Alert Management, wildcards are represented by the percent sign (%). For example, to search for all parties whose Focus ID begins with AC1 enter AC1% in the Focus ID search field. To search for parties whose Focus ID ends in AC1 enter %AC1 in the Focus ID search field. You can also use the wildcard anywhere in the middle of the identifier if you know the beginning and end but are unsure of the middle values.

### **Created By**

When you specify the creator of the trusted pairs, Oracle Financial Services Alert Management displays only those trusted pairs that were created by the specified user.

### **Triggering Alert ID**

When you specify the triggering alert ID, Oracle Financial Services Alert Management displays those trusted pairs that were created during the investigation of the specified alert (in other words, the *create trusted pairs* action was taken while investigating this alert).

### **Trusted Pairs ID**

You can search by the Trusted Pairs ID for information about the trusted pairs by typing the Trusted Pairs ID in the text box. To search for multiple IDs, separate IDs with commas are to be entered.

To search for a trusted pairs by Trusted Pairs ID, follow these steps:

1. In the Trusted Pairs ID Search section, type a trusted pairs ID in the text box for the pair that you want to view.
2. Click **Go**.

If trusted pairs are found, the Trusted Pairs List returns all trusted pairs with IDs that match exactly the values you entered in the text box, be it be one or many. When searching by a Trusted Pairs ID, the system returns all versions of that trusted pairs.

**NOTE:** Searches by Trusted Pairs ID and other search criteria are mutually exclusive. If you attempt to search by this combination of Trusted Pairs ID and other filters, filter criteria other than Trusted Pairs ID will be ignored.

### **Trusted Pairs List**

The Trusted Pairs List enables you to view the trusted pairs that are returned based on the search criteria you entered on the Trusted Pairs Search. The Trusted Pairs List displays when you click the **Go** button after you have entered search criteria. The bread crumbs displays Trusted Pairs >> Search & List on the List page (Figure 37).

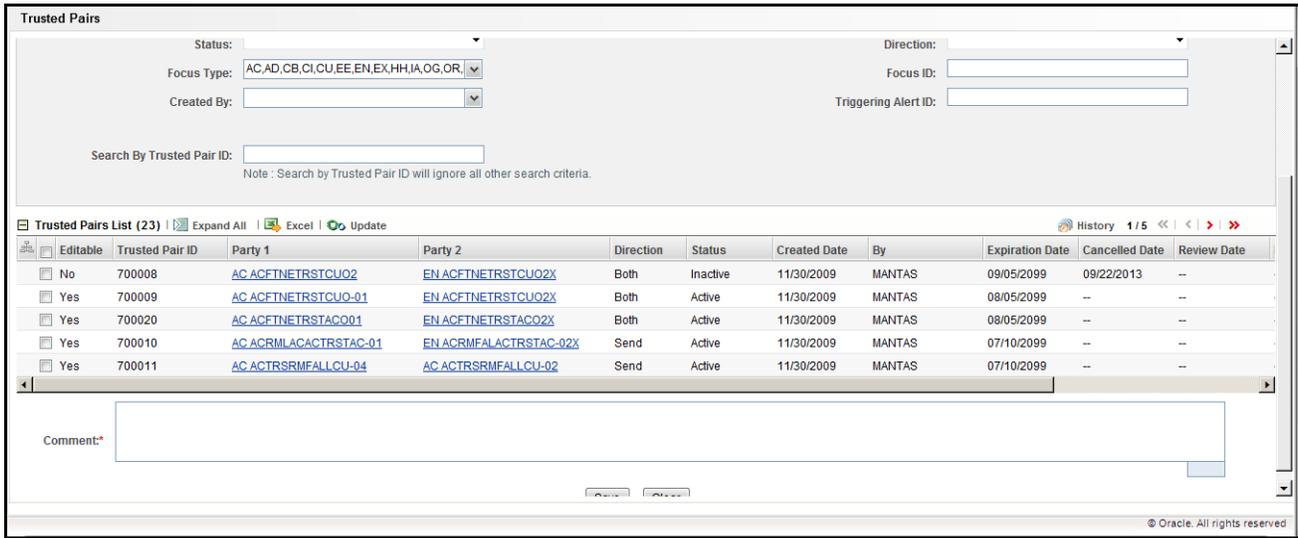


Figure 37. Trusted Pairs List Page

## Components of the Trusted Pairs List Page

The Trusted Pairs List page consists of the Trusted Pairs List headers which contain an **Excel** icon, a check box, and an **Update Trusted Pairs** link. Individual check boxes are provided for each trusted pair that, when selected, allows you to designate the selected pair for the update action; and a matrix containing one or more trusted pairs.

### Trusted Pairs List Header

The header contains the title *Trusted Pairs List*, the **Update** button, and the **Excel** icon. The Excel icon allows you to export the Trusted Pairs List data to Microsoft Excel.

### Check Boxes

Check boxes are provided at the beginning of each row in the Trusted Pairs List matrix. Select one or more of these boxes to take an action on one or more trusted pairs. Select the check box again to clear it. You can check individual trusted pairs and then proceed with Update action. To select all records, click the check box that is available in the List header. Select the check box again to clear all selected records.

Records are considered *not editable* if there are other versions of the trusted pairs record that exist in a Pending, User Rec Cancel or Risk Esc Rec Cancel state. Any pending recommendations for modification to a trusted pairs must first be approved or rejected before additional modifications or recommendations are created.

### Action Buttons

The system provides the following action buttons that appear above the list of trusted pairs:

- **Update Trusted Pairs:** Provides you with an option to update one or more trusted pairs from the List page, based on user roles and access. You can select one or more trusted pairs using the check box provided and click on the **Update** button. The Trusted Pairs Update page displays. Refer to section “Updating Trusted Pairs,” on page 122, for more information.

The Update Trusted Pairs functionality is available for trusted pairs in an Active, Inactive, or Expired status with no subsequent records reflecting a recommendation for modification (in other words, no outstanding records in Pending/User Rec Cancel/Risk Review Rec Cancel status for that trusted pairs). For example, if

someone has made a recommendation to modify or cancel an active trusted pairs, but that recommendation has not yet been approved (meaning that the recommendation is reflected in a subsequent Pending or User Rec Cancel version of that trusted pairs) no update activity can be taken on the active version of the trusted pairs until the outstanding recommendation is handled.

**NOTE:** The update functionality is also available for trusted pairs records that are in a Pending status with the following exception: if you are a user who does not have supervisory privileges, you only have access to update a Pending record if you are the user who created that Pending record.

The update functionality is not available for trusted pairs records that are in a Risk Esc, Rec Cancel, or User Rec Cancel status. When the update functionality is not available, the Editable column displays a value of *Na*.

By default, the List page displays the count of the results per page.

### **Column Headings**

Column headings provide labels that tell you what kind of information displays in the columns.

Most of the column headings in the Trusted Pairs List matrix are sortable. You will be able to sort each column in the trusted pairs list by right-clicking on the column header and choosing ascending or descending options.

The column heading that is selected for the sorting option displays with an arrow beside it. The direction of the arrow indicates the sort order (ascending or descending). When you click a different column heading, the arrow displays beside that column with the direction indicating the sort direction. Oracle Financial Services Alert Management refreshes the list and re-sorts the trusted pairs display by that field, retaining the current list entries based upon the criteria you selected in the Trusted Pairs Search.

Table 29 describes the columns that display in the Trusted Pairs List matrix.

**Table 29. Trusted Pairs List Matrix**

<b>Column</b>	<b>Description</b>
Trusted Pair ID	Displays the ID of the trusted pairs.
Party 1	Displays one of the two entities that belong to the trusted pairs. The entity identifier displays as a hyperlink that, when clicked, generates a pop-up window providing detailed business information about the entity. If your access privileges do not give you rights to see information about this entity, the hyperlink is disabled.
Party 2	Displays the other entity that belongs to the trusted pairs. The entity identifier displays as a hyperlink that, when clicked, generates a pop-up window providing detailed business information about the entity. If your access privileges do not give you rights to see information about this entity, the hyperlink is disabled.
Direction	Displays any one of the values Send, Receive or Both based on the direction of the selected trusted pairs. Direction displays relative to the direction of trust from Party 1 to Party 2.
Status	Displays the status of the trusted pairs. Possible statuses are Active, Inactive, Pending, Expired, Risk Esc Rec Cancel, and User Rec Cancel.
Created Date	Displays the date on which the trust relationship was created.
By	Displays the ID of the user who created the trusted pairs.
Expiration Date	Displays the expiration date of the trust relationship.
Cancelled Date	Displays the cancellation date of the trust relationship
Review Date	Displays the date on which the trusted pairs was flagged for review.
Review Reason	Displays the reason the trusted pairs was flagged for review.

**Table 29. Trusted Pairs List Matrix (Continued)**

Column (Continued)	Description
Action	<p>May be suppressed depending upon your role or the status of the current record. Possible actions in the Action drop-down list are:</p> <ul style="list-style-type: none"> <li>● Approve</li> <li>● Reject</li> <li>● Cancel</li> </ul> <p>The availability of the actions drop-down list is not affected by the value in the Editable column. Records that are not available for modifications of the trusted pairs attributes may still be eligible for approval and rejection actions. Refer to the section <i>User Actions Available on the Trusted Pairs List</i> on page 122 of this document for further details on possible actions based upon status. Refer to <i>User Privileges</i>, on page 11 for roles and permissions regarding trusted pairs actions.</p>
Action History	When clicked, navigates you to the Trusted Pairs Action History pop-up window for that trusted pairs record.
Editable	Displays the rows of the trusted pairs list that are available for modification. Depending on your search criteria, you may have records in the list that have been modified and have subsequent records that are in a Pending or Rec Cancel status awaiting approval. You cannot modify a record if there is already a record for that trusted pairs awaiting approval. Possible values are <i>Yes</i> the record can be updated or <i>No</i> the record cannot be updated.

### Visual Indicators

The system displays a visual indicator for all pairs that are *near expiration* where *near expiration* means the pair’s expiration date is within X number of days of the current date. By default, near expiration is considered to be within 5 days. For example, if the near expiration duration is set to 5 days and the trust end date for a trusted pairs is May 5th, the system displays the trust expiration date in the color red from April 31st to May 4th.

The system displays a different visual indicator than the near expiration visual indicator when the pair reaches the trust expiration date. For example, if the trust expiration date for a pair is May 5th, the system displays the trust expiration date in a font of the color white with a red background on May 5th (Figure 38).

These visual indicators are system-configurable. Contact your System Administrator if you want to reconfigure these indicators.

The screenshot shows a table with columns: Editable, Trusted Pair ID, Party 1, Party 2, Direction, Status, Created Date, By, Expiration Date, Cancelled Date, Review, and Next. The 'Expiration Date' column for two records (ID 650045 and 650046) is highlighted in red, indicating they are expired.

Editable	Trusted Pair ID	Party 1	Party 2	Direction	Status	Created Date	By	Expiration Date	Cancelled Date	Review	Next
<input type="checkbox"/> Yes	650030	AC ACTRUSTEDPAIR-033	AC ACOFFSETBANK-001	Both	Active	01/01/2001	MANTAS	01/01/2099	--	--	
<input type="checkbox"/> Yes	650031	AC ACTRUSTEDPAIR-041	AC ACOFFSETBANK-001	Both	Active	01/01/2001	MANTAS	01/01/2099	--	--	
<input type="checkbox"/> Yes	650042	AC ACTRUSTEDPAIR-004	AC ACTRUSTEDPAIR-005	Both	Active	01/01/2001	MANTAS	01/01/2099	--	--	
<input type="checkbox"/> Yes	650045	AC ACFTNITRSTCU-02	AC ACFTNITRSTCU-03	Both	Expired	11/30/2009	MANTAS	09/30/2003	--	--	
<input type="checkbox"/> Yes	650046	AC ACFTNITRSTCU-01	AC ACFTNITRSTCU-03	Both	Expired	11/30/2009	MANTAS	09/30/2003	--	--	

**Figure 38. Visual Indicator for a Trusted Pairs Reaching Expiration Date**

### Add a Comment

The Add a Comment area provides a free-form field for entering comments related to selected trusted pairs. If you take actions on any items within the Trusted Pairs List matrix, it becomes mandatory for you to enter comments regarding the changes you have made, using the Comment text box. If you try to save without entering comments, the system displays a warning message, reminding you to enter comments. You may also select one or more records

from the trusted pairs list and simply enter comments (no other actions required). The comments text box has no character restrictions and scroll bars are provided in case the text exceeds the visible space provided.

### User Actions Available on the Trusted Pairs List

Depending upon your role, there are certain actions that you can take on a trusted pairs while you are on the Trusted Pairs List page. Refer to *User Privileges*, on page 11 for a listing of Manage Trusted Pairs actions and the roles approved to take them. Some roles can take an action on a trusted pairs with a status requiring supervisory approval. Some roles can only recommend actions on a trusted pairs while other roles are allowed to act on those recommendations (approve or reject). The drop-down list in the Actions column of the Trusted Pairs List can contain the following possible actions, depending on the status of the current record:

- **Approve:** This action is available if the current record is in a Pending, Risk Esc, Rec Cancel, or User Rec Cancel status.
  - Taking this action on a Pending record will accept the recommended modifications and that modified record will be the active trusted pairs record for that pair.
  - Taking this action on a Risk Esc, Rec Cancel, or User Rec Cancel record will signify approval of the recommendation to cancel, or end the trusted pairs. The trusted pairs will become Inactive.
- **Cancel:** This action is available only if the current record is in an Active Status and is marked as Editable.
  - If this action is taken by a user that requires supervisory approval, the record displays a status of User Rec Cancel, but the trusted pairs is still considered Active.
  - If this action is taken by a user that does not require supervisory approval, the trusted pairs is canceled and set to a status of Inactive.
- **Reject:** This action is available if the current record is in a Pending, Risk Esc, Rec Cancel or User Rec Cancel status.
  - Taking this action on a Pending Record rejects the recommended modifications. The modified record is set to Inactive. The trusted pairs remains Active, but based on the trusted pairs attributes as they existed before the recommended modifications.
  - Taking this action on a Risk Esc, Rec Cancel, or User Rec Cancel record signifies rejection of the recommendation to cancel, or end the trusted pairs. The recommend cancel record is set to Inactive. The trusted pairs remains Active, based on the trusted pairs as it existed before the recommended cancellation.

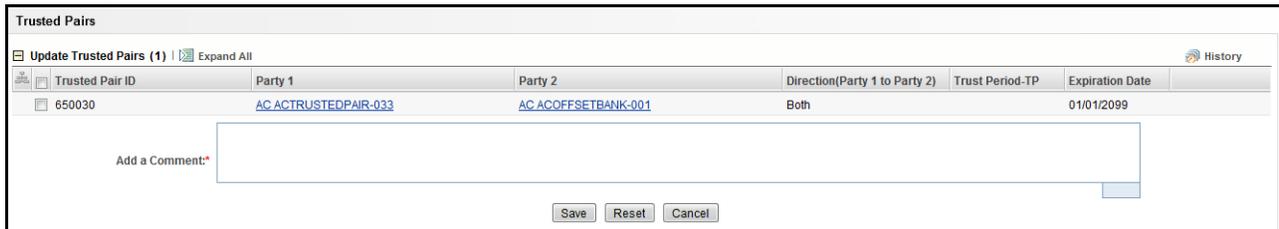
For trusted pairs in an Inactive and Expired status, the action column does not display the Action drop-down list. Inactive or Expired trusted pairs can be acted on only through the Update Trusted Pairs page. The Update Trusted Pairs options can be used to *reactivate* an expired or inactive trust if they are given a new expiration date.

Actions that you take using the Actions column on the Trusted Pairs List are only applied once you have selected the **Save** button.

### Updating Trusted Pairs

The Update Trusted Pairs page provides you with the option to modify one or more trusted pairs. You can access the Update Trusted Pairs page from the List page by selecting one or more trusted pairs and clicking the **Update Trusted Pairs** action button at the top of the list matrix. The navigation path (bread crumbs) for this page is Monitoring > Trusted Pairs (Figure 39).

**NOTE:** Only users with appropriate access rights can navigate to the Update Trusted Pairs page.



**Figure 39. Update Trusted Pairs Page**

## Components of the Update Trusted Pairs Page

The Update Trusted Pairs page is composed of the following areas:

- Update Trusted Pairs Area
- Add a Comment Area

### Update Trusted Pairs Area

The Update Trusted Pairs page displays a matrix of the trusted pairs that you selected to be updated on the Trusted Pairs List page. This matrix is sorted on the Trusted Pairs ID column in ascending order.

The selected trusted pairs will display the following columns:

- Trusted Pairs ID
- Party 1
- Party 2
- Direction Party 1 to Party 2
- Trust Period
- Expiration Date
- Action History

The section *Components of the Trusted Pairs List Page* on page 119 describes several of these columns in detail. This section describes the fields that you can update.

### **Direction Party 1 to Party 2**

The system provides the option to modify the direction of the trust by selecting a new trust direction from the **Direction** drop-down list. The system pre-populates the drop-down list with the current direction.

For example, if Direction is pre-populated with the value *Receive*, it means that the entity in the Party 1 column is trusted to receive funds from the entity in the Party 2 column.

This explanation implies that Party 2 is trusted to send funds to Party 1. Selecting a new value of *Send* in the **Direction** drop-down list modifies the trusted pairs so that now the entity identified as Party 1 is trusted to send funds to Party 2, but is no longer trusted to receive funds from that party.

### **Trust Period**

The Trust Period field enables you to extend the trust period for a trusted pairs. You can select from the drop-down list a time frame for the periods of 1, 3, 6 and 12 months. By doing so, the trusted pairs relationship in this case is extended by the period selected from the original day it was due to expire. For example, if the trust relationship was set to expire on May 1 and you select 1 month from the **Trust Period** drop-down list, the trust relationship will now expire on June 1. By default, a blank value is pre-selected and highlighted when you navigate to Update Trusted Pairs page.

**NOTE:** The Trust Period and Expiration Date are mutually exclusive parameters. You can only enter values in one of these fields.

### **Expiration Date**

The Expiration Date field provides the option to enter a specific trusted pairs expiration date by using the Calendar icon. The expiration date is pre-populated based upon the current expiration date.

**NOTE:** The Trust Period and Expiration Date fields are mutually exclusive. You can only enter values in these fields one at a time.

### **Add a Comment Area**

The Add a Comment area provides a free-form field for entering comments related to selected trusted pairs. If you try to save updates without entering comments, the system displays a warning message, reminding you to enter comments. The comments text box has no character restrictions and scroll bars are provided in case the text exceeds the visible space provided.

## **Updating a Trusted Pairs Relationship**

To update a trusted pairs relationship, follow these steps:

1. From the Trusted Pairs List page, select one or more editable trusted pairs and click **Update**.
2. Do one or more of the following:
  - To modify the expiration date of the trust relationship, do one of the following:
    - Select a trust period from the **Trust Period** drop-down list.
    - Enter a new expiration date.
  - To modify the direction of the trust, select a different direction from the direction drop-down list.
3. Enter a comment.
4. When you have completed any of the steps above for the desired records (modify the date, direction or add a comment), click **Save**.

An action of *Modified* is recorded for each record and the status is set to *Active* or *Pending*, depending upon your role.

If you attempt to move away from the Update Trusted Pairs page without saving or cancelling your updates, the system displays a message prompting you to either click **OK** to continue without saving or click **Cancel** to return to the page and save your work.

## Canceling a Trusted Pairs Relationship

To cancel a trusted pairs relationship, follow these steps:

1. From the Trusted Pairs List page, select one or more editable trusted pairs.
2. Select **Cancel** from the drop-down list in the Actions column.

The screenshot shows the 'Trusted Pairs' interface. At the top, there are search filters for Focus Type, Created By, Focus ID, and Triggering Alert ID. Below these is a search bar for 'Trusted Pair ID' with a note: 'Note: Search by Trusted Pair ID will ignore all other search criteria.' The main section is a table titled 'Trusted Pairs List (84)' with columns: Editable, Trusted Pair ID, Party 1, Party 2, Direction, Status, Created Date, By, Expiration Date, Cancelled Date, Review Date, Review Reason, and Action. The first row is selected, and the 'Cancel' button is visible in the Action column. Below the table is a 'Comment\*' text area and 'Save' and 'Clear' buttons.

Editable	Trusted Pair ID	Party 1	Party 2	Direction	Status	Created Date	By	Expiration Date	Cancelled Date	Review Date	Review Reason	Action
<input checked="" type="checkbox"/>	1000008	AC ACFTNETRSTCU02	EN ACFTNETRSTCU02X	Both	Active	11/30/2009	MANTAS	08/05/2009				Cancel
<input type="checkbox"/>	1000009	AC ACFTNETRSTCU0-01	EN ACFTNETRSTCU02X	Both	Active	11/30/2009	MANTAS	08/05/2009	--	--	--	
<input type="checkbox"/>	1000020	AC ACFTNETRSTAC001	EN ACFTNETRSTAC02X	Both	Active	11/30/2009	MANTAS	08/05/2009	--	--	--	
<input type="checkbox"/>	1000010	AC ACRMLACACTRSTAC-01	EN ACRMFALACTRSTAC-02X	Send	Active	11/30/2009	MANTAS	07/10/2009	--	--	--	
<input type="checkbox"/>	1000011	AC ACTRSRMFALLCU-04	AC ACTRSRMFALLCU-02	Send	Active	11/30/2009	MANTAS	07/10/2009	--	--	--	

Figure 40. Canceling Trusted Pairs

3. Enter a comment.
4. Click **Save**.

An action of *Cancelled* is recorded for each record and the Cancelled Date column is populated.

If you attempt to move away from the Update Trusted Pairs page without saving or cancelling your updates, the system displays a message prompting you to either click **OK** to continue without saving or click **Cancel** to return to the page and save your work.

## Results from Updating Trusted Pairs Relationships

The system updates the trusted pairs with the relevant dates or direction or both once you save the changes. Once you have saved your changes, the system updates the status of the trusted pairs accordingly (setting it to either Pending or Active based upon your role – see Table 31 and Table 32) and you are navigated back to a refreshed Trusted Pairs List page.

Table 30 illustrates how the expiration date reflects changes based on updates made.

Table 30. Results from Updating the Expiration Date

Trusted Pairs ID	Expiration date (before updating)	Results (after updating Trust Period 6 months)	Results (after updating Expiration Date to 05/25/2009)
TP1	03/16/2009	09/16/2009	05/25/2009
TP2	04/17/2009	10/16/2009	05/25/2009

Table 31 illustrates the update actions and status for users requiring 4-Eyes Approval for updating trusted pairs relationships.

**Table 31. Results for User Requiring 4-Eyes Approval for Updating**

Current Status	Action	Resulting Status	Action By
None	Created	Pending	User
Active	Cancelled	User Rec Cancel	User
Pending	Rejected**	Inactive	User
User Rec Cancel	Rejected**	Inactive	User
Pending/User Rec Cancel/Risk Esc Rec Cancel/Active	Comments	No change	User
Expired	Modified	Pending	User
Inactive	Modified	Pending	User

\*\* 4-Eyes Approval users can Modify or Reject their own Pending recommendations if they have not be acted upon.

Table 32 illustrates the update actions and status for users requiring 4-Eyes Approval for updating trusted pairs relationships.

**Table 32. Results for User Not Requiring 4-Eyes Approval for Updating**

Current Status	Action	Resulting Status	Action By
None	Created	Active	User
Pending	Approved	Active	User
Pending	Rejected	Inactive	User
Active	Cancelled	Inactive	User
User Rec Cancel	Approved	Inactive	User
User Rec Cancel	Rejected	Active	User
Risk Esc Rec Cancel	Approved	Inactive	User
Risk Esc Rec Cancel	Rejected	Active	User
Pending/User Rec Cancel/Risk Esc Rec Cancel/Active	Comments	No change	User
Expired	Modified	Active	User
Inactive	Modified	Active	User

## ***Viewing Trusted Pairs Action History***

Trusted Pairs Action History displays a history matrix that provides an audit trail of changes to a trusted pairs over time. It can show where a trusted pairs’s trust period was extended multiple times or the direction of the trust changed. In addition, it shows where a trusted pairs was cancelled. By retaining copies of the modified records, you can trace how the characteristics of the trusted pairs may have changed over time by seeing changes to such attributes as the direction or expiration date from when the record was created, to when it was cancelled, to when it was modified to become active again by receiving a new expiration date. The audit trail also provides complete visibility into who took the actions on the pair and when (Figure 41).



Figure 41. Trusted Pairs Action History pop-up window

## Viewing the Action History for a Trusted Pairs

You can view the history of all actions taken on a trusted pairs by clicking on the **History** link of the selected trusted pairs record on the Trusted Pairs List page or the Update Trusted Pairs page. The action history displays as a pop-up window, which also displays the two parties that are the members of the current trusted pairs.

### Column Headings

The Trusted Pairs Action History matrix displays the following columns:

- **Action** – The action taken on the selected trusted pairs. Possible actions are as follows:
  - Modified
  - Cancelled
  - Created
  - Approved
  - Rejected
  - Risk Review Required
- **Action Taken Date** – Date (and time) that the action was taken.
- **Resulting Status** – The status that resulted for that record as a result of action taken on the selected trusted pairs.
- **By** – The user who took the action.
- **Direction** – The direction (Send, Receive, or Both) specified for the selected trusted pairs record on which the action was taken.
- **Expiration** – The expiration date of the selected trusted relationship on which the action was taken.
- **Cancellation** – The date on which the trusted relationship was cancelled if the action taken was Cancelled.
- **Review/Date** – The date on which the trusted pairs was flagged for review.
  - **Review/Reason** – The reason the trusted pairs was flagged for review.
- **Comments**— Comments associated with the action that was taken. If the comments are lengthy and exceed the width of the Comments column you can click on the **ellipses (...)** to display a separate pop-up window with the complete comment text.

The data displays in ascending order of the Action Date Taken column. You can close the Trusted Pairs Action History page by clicking **Close Window**.



This chapter describes the Trade Blotter functionality and gives step-by-step instructions for using it. The following topics are covered in this chapter:

- About Trade Blotter
- Trade Blotter Page
- Trade Blotter List Tabs
- Viewing and Changing the Status of a Trade
- Locking and Unlocking a Trade
- Adding Comments on a Trade
- Adding an Attachment to a Trade
- Exporting Trades to Excel
- Sending an E-mail on a Trade

## ***About Trade Blotter***

The Trade Blotter functionality 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. An analyst or supervisor can view various trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or reviewed with follow-up.

You can access Trade Blotter only if the Trade Blotter functionality is enabled at installation and you have the appropriate permissions to do so. You can navigate to Trade Blotter from the Monitoring workflow. When you click on the Trade Blotter menu Trade Blotter page displays.

You can set the Trade Blotter default search page from your Oracle Financial Services Alert Management UI.

## ***Trade Blotter Page***

The Trade Blotter page enables you to search and list for trades based on the filter criteria displayed on that page. The Trade Blotter page is the default starting point for the Trade Blotter functionality (Figure 42).

The Trade Blotter page contains two search options: Simple Search and the Advanced Search. By default, the Trade Blotter page displays the Simple Search section in its maximized format and the Advanced Search section as minimized. For convenience, the Simple Search section contains the filters most commonly used by a reviewer.

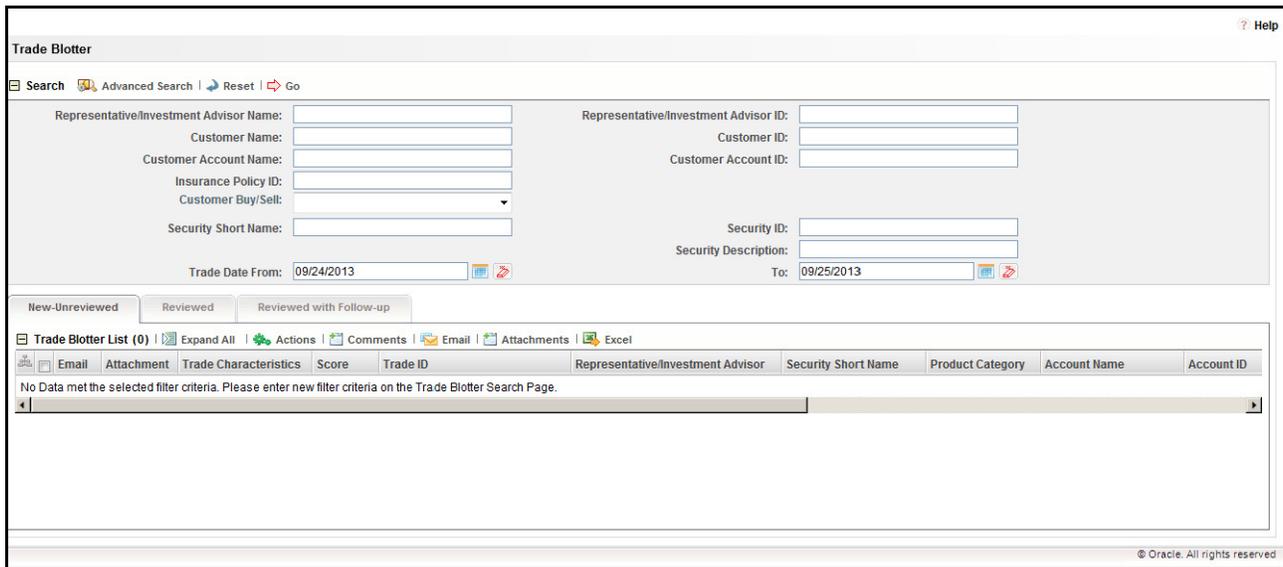


Figure 42. Trade Blotter Page

## Trade Blotter Search Components

The Trade Blotter page contains the Simple Search section and the Advanced Search section.

### Trade Simple Search Bar

The Trade Simple Search bar enables you to search for information about a trade by typing the name or identifier of a registered representative or investment advisor, an insurance policy ID, a customer, or a security and the time frame of execution associated with a trade you want to know more about. To search for multiple names or IDs, separate the names or IDs with commas. If the trades are found, the Trade List section displays information about the trades with the names or IDs that exactly match the values you entered.

The Trade Blotter Simple Search bar contains the following default search filters:

- **Representative/Investment Advisor Name:** Filters the Trade List by the name of the Registered Representative or the Investment Advisor associated with the order that is associated with the trade.
- **Representative/Investment Advisor ID:** Filters the Trade List by the identifier of the Registered Representative or the Investment Advisor associated with the order that is associated with the trade.
- **Customer Name:** Filters the Trade List by the names of the customers who placed the orders.
- **Customer ID:** Filters the Trade List by the identifiers of the customers who placed the orders.
- **Customer Account Name:** Filters the Trade List by the name associated with the customer account that is associated with the trade.
- **Customer Account ID:** Filters the Trade List by the identifier associated with the customer account that is associated with the trade.
- **Insurance Policy ID:** Filters the Trade List by the identifiers associated with the insurance policy with which the trade is associated.
- **Customer Buy/Sell:** Filters the Trade List by whether the customer is buying or selling the security.
- **Security Short Name:** Filters the Trade List by the short names of the securities that were traded.

- **Security ID:** Filters the Trade List by the identifiers of the securities that were traded.
- **Security Description:** Filters the Trade List by the descriptions of the securities that were traded.
- **Trade Date From:** Filters the Trade List by the trade execution date against which the data is being filtered (start date).
- **Trade Date To:** Filters the Trade List by the trade execution date against which the data is filtered (end date).

### Trade Advanced Search Bar

The Trade Blotter Advanced Search bar contains the following search filters:

- **Score >=:** Filters the Trade List by a score that is greater than or equal to that associated with the trade.
- **Trade Entered Date From:** Filters the Trade List by the date on which the trade was entered into the system (start date).
- **Trade Entered Date To:** Filters the Trade List by the date on which the trade was entered into the system (end date).
- **Settlement Date From:** Filters the Trade List by the beginning trade settlement date against which to filter data.
- **Settlement Date To:** Filters the Trade List by the ending trade settlement date against which to filter data.
- **Review Status:** Filters the Trade List by the trade review status.
- **Review Status From:** Filters the Trade List by the status of trades reviewed within a duration starting with this date.
- **Review Status To:** Filters the Trade List by the status of trades reviewed within a duration ending with this date.
- **Reviewer Name:** Filters the Trade List by the name of the person reviewing the trades.
- **Reviewer ID:** Filters the Trade List by the identifier of the person reviewing the trades
- **Organization Name:** Filters the Trade List by the names of organizations to which you have access.
- **Division Name:** Filters the Trade List by the division names within an organization to which you have access.
- **Branch Name:** Filters the Trade List by the branch names within a division to which you have access.
- **Trade Desk:** Trade desk name associated with the trade.
- **Trader Name:** Filters the Trade List by the name of the trader who executed the trade.
- **Trader ID:** Filters the Trade List by the identifier of the trader who executed the trade.
- **Trader Buy/Sell:** Filters the Trade List by whether the trader is buying or selling the security. You can select from one of two radio buttons.
- **Agent/Principal:** Filters the Trade List by the agent or principal associated with the trade. You can select *Yes* or *No* from a drop-down list.
- **Solicited:** Filters the Trade List by whether the client of the Oracle Financial Services client solicited this order. You can select from one of two radio buttons.
- **Product Category:** Filters the Trade List by the product categories associated with a trade. You can select from a drop-down list.

- **Product Type:** Filters the Trade List by the product type designation of the security associated with the trade. You can choose from a drop-down list.
- **Product Subtype:** Filters the Trade List by the product subtype associated with the trade. You can choose from a drop-down list.
- **ISIN:** Filters the Trade List by the International Securities Identification Numbers (ISIN), which are unique international codes that identify securities issues.
- **CUSIP:** Filters the Trade List by the Committee on Uniform Security Identification Procedures (CUSIP) unique identifier of the issuer of the trade.
- **Maturity Date:** Filters the Trade List by the date on which the security matures.
- **Quantity >=:** Filters the Trade List by the total number of units of the security that was traded that are greater than or equal to the entered amount.
- **Yield >=:** Filters the Trade List by the rate of return on the security.
- **Coupon Rate >=:** Filters the Trade List by the interest rates paid for the securities that are greater than or equal to the entered amount.
- **Principal Amount:** Filters the Trade List by the principal amounts of the trades expressed in the issuing currency that are greater than or equal to the entered amount.
- **Commission >=:** Filters the Trade List by the monetary amount greater than or equal to that of the broker commission associated with this trade, expressed in the issuing currency.
- **Gross Amount >=:** Filters the Trade List by the principal amounts of the trades expressed in the issuing currency plus the commission associated with each trade expressed in the issuing currency the totals of which are greater than or equal to the entered amount.
- **Market Price >=:** Filters the Trade List by trades associated with market prices greater than or equal to the entered market price.
- **Trade ID:** Filters the Trade List by the entered trade ID or IDs.
- **Trade Event Type:** Filters the Trade List by the entered trade or trades associated with the selected trade event type.
- **Trade Characteristics:** Filters the Trade List based on the Trading Characteristics display criteria associated with the trade.
- **Associated Alert ID:** Filters the Trade List by the trade or trades associated with the entered alert identifier or identifiers.

## Searching for Trades

The Trade Blotter page enables you to search and display trade data by selecting Simple and Advanced search options.

To search for trades, follow these steps:

1. Select any or all of the filter criteria in the **Search** or the **Advance Search** sections of the Trade Blotter page.

**Note:** By default, the Trade Simple Search area is expanded while the Advanced section is contracted, making it more convenient to do a quick search.

2. Click **Go**.

## Trade Blotter List Tabs

The Trade List section displays the trades retrieved as the search results based on the criteria you entered on the Trade Blotter Search section. The Trade List section allows users with appropriate permissions to quickly review trades that need to be reviewed, and displays trades that have already been reviewed and reviewed trades that need follow-up action. The columns displayed on the Trade List section depend on the product category selected on the Trade Search page.

The Trade List section comprises the following three tabs:

- New-Unreviewed
- Reviewed
- Reviewed with Follow-Up

## New-Unreviewed

The New—Unreviewed tab displays trades that are in New or unreviewed status. The system displays a trade on the New—Unreviewed tab only if the following rules apply:

- You have access permissions to view trades.
- You have access permissions to view trades that are in the New-Unreviewed status.
- You are associated with an organization that matches the Organization ID that is associated with the trade originator.
- The trade is in the New-Unreviewed status (Figure 43).

Email	Attachment	Trade Characteristics	Score	Trade ID	Representative/Investment Advisor	Security Short Name	Product Category	Account Name	Account ID
<input type="checkbox"/> No	No	--	0	TRDTRDBLT035	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT036	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT037	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT038	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT141	CASE ANALYST3	SECTRDBLT006	Equity	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT142	CASE ANALYST31	SECTRDBLT007	Equity	MEENY ROSS	ACTRDBL
<input type="checkbox"/> No	No	--	0	TRDTRDBLT143	CASE ANALYST32	SECTRDBLT008	Equity	MEENY ROSS	ACTRDBL

Figure 43. Trade Blotter List Section: New-Unreviewed Tab

## Reviewed

The Reviewed tab displays trades that are in the Reviewed status (Figure 44). The system displays a trade on the Reviewed tab only if the following rules apply:

- You have access permissions to view trades.
- You have access permissions to view trades that are in the Reviewed status.
- You are associated with an organization that matches the Organization ID that is associated with the trade originator.
- The trade is in the Reviewed status.

Email	Attachment	Trade Characteristics	Score	Trade ID	Representative/Investment Advisor	Security Short Name	Product Category	Account Name	Account ID
No	No	--	0	TRDTRDBLT033	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBLT00
No	No	--	0	TRDTRDBLT034	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBLT00

Figure 44. Trade Blotter List Section-Reviewed Tab

## Reviewed with Follow-Up

The Reviewed with Follow-Up tab displays trades that are in the Reviewed with Follow-up status (Figure 45). The system displays a trade on the Reviewed with Follow-up tab only if the following rules apply:

- You have access permissions to view trades.
- You have access permissions to view trades that are in the Reviewed with Follow-Up status.
- You are associated with an organization that matches the Organization ID that is associated with the trade originator.
- The trade is in the Reviewed with Follow-Up status.

Email	Attachment	Trade Characteristics	Score	Trade ID	Representative/Investment Advisor	Security Short Name	Product Category	Account Name	Account ID
No	No	--	0	TRDTRDBLT035	CASE SUPERVISOR	SECTRDBLT005	Option	MEENY ROSS	ACTRDBLT00

Figure 45. Trade Blotter List Section-Reviewed with Follow-Up Tab

## Trade List Components

All three of the Trade Blotter List tabs have the same components, which are described here:

- Trade Blotter Headers
- Action Buttons
- Column Headings

### Trade Blotter Headers

The Trade Blotter List headers display the tab labels (New-Unreviewed, Reviewed, and Reviewed with Follow-Up) of the tabs and the title of the section (Trade List).

### Action Buttons

The Trade Blotter List section provides the following action buttons, or icons:

- **Expand All/Collapse All:** When clicked, expands/collapses the trade information present in each row of the Trade List matrix.

- **Actions:** When clicked, displays the Actions pop-up window in which you can select an action on one or more trades. The actions can be a Reviewed or Reviewed/ w Follow-Up along with the standard and free line comments if the trade is in the New-Unreviewed state.
- **Comments:** When clicked, displays the Global Comment pop-up window in which you can type a comment in the text box and/or select one or more standard comments as well for the current individual trade. Any saved comments are then listed in Comment Audit History at the bottom of the pop-up window.
- **E-mail:** When clicked, displays a Send E-mail pop-up window for the current individual trade. After entering the message recipient's e-mail address and a subject for the message, you can type a message in the text box and choose to request a response by selecting the appropriate check box. The message is sent when you click **Save** and information about the e-mail is listed in the E-mail Action History.
- **Attachments:** When clicked, displays an Add Attachments pop-up window for the current individual trade. An attachment is added when you click **Save** and the display name of the attachment is listed in the Attachment Action History section.
- **Excel:** When clicked, displays an Export-Properties pop-up window. Export of trade data can be done in Excel file format.

### Column Headings

Column headings provide labels that tells you what kind of information displays in the columns. Table 33 describes the columns that display for a standard configuration if no product category is selected on the Trade Blotter Search section. If you select a product category on the Search section, the columns on the List section may vary. Refer to Appendix F, *Graph 2 Trade Blotter List Component Matrix*, on page 285 for a table showing all of the possible fields that may display on the Trade Blotter List and the Trade Details page by the user interface section and the product category specified on the Trade Blotter Search section.

**Table 33. Trade List Matrix**

Column	Description
Trade Characteristics	Displays a special text that represents the specific attribute or attributes associated with a particular trade. Multiple trade characteristics are comma-separated and ordered according to the degree of interest each holds. Refer to Table 34 for more information.
Score	Displays a score for a trade, which is assigned by the system based on the highest score associated with the alerts that are associated with the trade. For example, if a trade is associated with Alert 123 that has a score of 20 and Alert 234 that has a score of 40, the system assigns a score of 40 to that trade.
Representative/ Investment Advisor	Displays the name of the Registered Representative or the Investment Advisor associated with the trade.
Security Short Name	Displays the short name of the security that was traded.
Product Category	Displays the product category designation for the security associated with the trade.
Account Name	Displays the name of the customer's account associated with the trade.
Account ID	Displays the identifier of the customer's account associated with the trade.
Customer Buy/Sell	Displays the designation of Buy, Sell or N/A (not applicable) to indicate whether the customer associated with the trade is the buyer, the seller, or whether that designation is not applicable.
Quantity	Displays the total number of units of the security (for example, shares, contracts, or face value) that were traded.

**Table 33. Trade List Matrix (Continued)**

Column	Description
Price	Displays the price at which the security was traded (bought or sold) as expressed in the issuing currency.
Principal	Displays the principal amount of the trade as expressed in the issuing currency.
Investment Objective	Displays the specific investment objective of the account associated with the trade.
Trade ID	Displays the trade identifier for the trade.

### Trade Characteristics

The page displays special text in the Trade Characteristics column of a trade row to represent the specific attributes associated with that trade that might make the trade of higher interest than the other trades (for example, the system displays RET in this column for a trade that is associated with a Retirement Account). If a trade matches more than one of the Trade Characteristics criteria, the page displays a comma-separated list of these characteristics in order according each characteristic's display ranking.

Table 34 lists the default trade characteristics and the text and ranking associated with each.

**Table 34. Trade Characteristics Display Ranking**

Trade Characteristics Display Criteria	Text Displayed on the User Interface	Display Ranking
Employee Account	EA	1
Age 64+	C64+	2
Cancelled Trade	CT	3
Cancelled and Replaced Trade	CRT	4
Retirement Account	RET	5
Trade associated with an Annuity	ANNU	6

### Criteria for "Requires More Analysis"

If a trade is associated with one or more specific attributes (depending on your site's business needs and configured during deployment) that may require that you review the details of a trade, the system will force you to navigate to the Trade Details pop-up window for that trade before you can save an R or an RF action on the trade. As a system default, Oracle Financial Services application flags trades for which the last action was **Cancelled** as *Requires more analysis*.

### Trade Details pop-up window

The Trade Details pop-up window allows you to view additional details about a trade, such as, account details associated with the trade, customer details associated with the trade, alerts and cases associated with the trade, and so forth. Double-clicking on a trade row of any one of the Trade Blotter List section displays the Trade Details pop-up window specifically for that trade (Figure 46).

**Figure 46. Trade Details pop-up window**

The Trade Details pop-up window displays all the sections configured for display for this particular trade in the expanded format. Refer to Appendix F, "Trade Blotter List Component Matrix," on page 269, for information on the fields that will display on the Trade Details pop-up window by user interface section and product category.

## Components of the Trade Details pop-up window

Depending on the data associated with a particular trade, the Trade Details pop-up window may display one or more of the following areas of information, or sections:

- Trade Section
- Trader Section
- Security Rating Section
- Representative Section
- Investment Advisor Section
- Order Section
- Account Section
- Customer Section
- Trade Review Action History
- Associated Alert List
- Associated Case List

Refer to Appendix F, *Graph 2 Trade Blotter List Component Matrix*, on page 285, for a detailed table with all possible fields that may display on the Trade Details pop-up window by user interface section and product category. These sections are summarized here.

### **Trade Section**

The Trade section displays detailed information about the trade you selected on the Trade Blotter List section.

### **Security Rating Section**

The Security Rating section displays detailed information about the investment rating service for the security associated with the selected trade. This matrix displays such information as the investment rating source, the rating value, and the effective and expiration dates of the investment rating of the security.

### **Representative Section**

The Representative section displays detailed information about the registered representative associated with the order that is associated with the selected trade. This matrix displays such information as the primary representative ID; the representative's name, ID, type, title, and role; whether the representative is full or part time; the name, ID, and organization ID of the representative's supervisor; and so forth.

### **Investment Advisor Section**

The Investment Advisor section displays detailed information about the investment advisor associated with the order that is associated with the selected trade. This matrix displays such information as the investment advisor's name, ID, Tax ID and format; the name and ID of the investment advisor's firm; and the number of and total net worth of all the active subaccounts managed by this investment advisor.

### ***Trader Section***

The Trader section displays details related to the trader who executed the selected trade. This matrix displays such information as the trader's employee name and ID, Central Registration Depository ID, title, role, supervisor's name, line organization name and ID, and so forth.

### ***Customer Section***

The Customer section displays details related to the customer associated with the selected trade. This matrix displays such information as the customer's customer ID, birth date, tax ID, level of risk (determined in large part by membership on one or more watch lists), type (individual or organization), and so forth.

### ***Account Section***

The Account section displays details related to the customer's account associated with the selected trade. This matrix displays such information as the account ID and type; the dates on which the account was opened and on which the last activity occurred; the organization where the account is domiciled; and so forth.

### ***Order Section***

The Order section displays details related to the order associated with the selected trade. This matrix displays such information as the Order ID of the order associated with the trade; the date and time on which the order was placed, first routed, and completely filled; whether the order was an instruction to buy or sell a security; original order quantity; and so forth.

### ***Trade Review Action History***

The Trade Review Action History section allows you to view the various actions and modifications that have been saved on the selected trade during the trade review process. This matrix displays the action performed (such as, New, Viewed, and E-mail), the date and time of the action, the user ID of the user that performed the action, the employee ID of that user, the status resulting from the action and any comments or attachments that were added.

### ***Associated Alert List***

An alert is considered to be associated with a trade if the alert was created within the same batch in which the trade was ingested and the trade has been recorded as a matched record on the alert. For each alert in the Associated Alert List section, a hyperlinked alert ID displays, which when clicked, displays the Alert History Details page for that alert.

An alert will display in this section only if you have appropriate access permissions to view that alert.

### ***Associated Case List***

A case is considered to be associated with a trade if the trade is recorded as a matched record on at least one alert that is linked to the case. For each case in the Associated Case List section, a hyperlinked case ID displays, which when clicked, displays the Case History Details page for that case.

A case will display in this section only if you have appropriate access permissions to view that case.

## Viewing and Changing the Status of a Trade

You can view and/or modify the status of a trade only if you have access permissions to do so. The instructions in this section assume that you have access to view and modify the status of trades on all three of the tabs on the Trade Blotter page: New-Unreviewed, Reviewed, and Reviewed with Follow-Up.

To view or modify the status of one or more trades currently in the New-Unreviewed status, follow these steps:

1. Ensure that you are on the New-Unreviewed tab (this is the default Trade Blotter starting tab), and perform one of the following:

To view trade details, follow these steps:

- a. Double-click the row of the trade you want to view.

The Trade Details pop-up window for that trade displays.

- b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.

To change the status of one or more trades to Reviewed, follow these steps:

- a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed**.
- b. Click **Actions**.
- c. The Review Actions pop-up window displays having the trade ID prepopulated in the field.
- d. Select Reviewed from the **Select an Action** drop-down list.
- e. Select a standard comments from the **Standard Comments** drop-down list.  
*Optional:* Enter any custom comments, if applicable in the text fields.
- f. Click **Save**.

The system refreshes all the tabs, moving the trades that you have marked as Reviewed to the Reviewed tab.

To change the status of one or more trades to Reviewed with Follow-Up, follow these steps:

- a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed with Follow-Up**.
- b. Click **Actions**.  
The Review Actions pop-up window displays having the trade ID pre populated in the field.
- c. Select Reviewed with Follow-Up from the **Select an Action** drop-down list.
- d. Select a standard comments from the **Standard Comments** drop-down list.  
*Optional:* Enter any custom comments, if applicable in the text fields.
- e. Click **Save**.

The system refreshes all the tabs, moving the trades that you have marked as Reviewed to the Reviewed with Follow-Up tab.

To view one or more trades currently in the Reviewed status or to modify the status of one or more trades from Reviewed to Reviewed with Follow-Up, follow these steps:

1. Go to the Reviewed tab by clicking on the **Reviewed** label for that tab.

To view trade details, follow these steps:

- a. Double-click on the row of the trade you want to view.

The Trade Details pop-up window for that trade displays.

- b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.

To change the status of one or more trades, go to Step 2.

2. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed with Follow-Up**.
3. Click **Actions**.

The Review Actions pop-up window displays having the trade ID prepopulated in the field.

4. Select Reviewed with Follow-Up from the **Select an Action** drop-down list.
5. Select a standard comments from the **Standard Comments** drop-down list.

*Optional:* Enter any custom comments, if applicable in the text fields.

6. Click **Save**.

The system refreshes all the tabs, moving the trades that you have marked as Reviewed to the Reviewed with Follow-Up tab.

To view one or more trades currently in the Reviewed with Follow-Up status or to modify the status of one or more trades from Reviewed with Follow-Up to Reviewed status, follow these steps:

1. Go to the Reviewed with Follow-Up tab by clicking **Reviewed with Follow-Up**.

- To simply view trade details:

- a. Double-click on the row of the trade you want to view.

The Trade Details pop-up window for that trade displays.

- b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.

- To change the status of one or more trades to Reviewed:

- a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed**.

- b. Click **Actions**.

The Review Actions pop-up window displays having the trade ID prepopulated in the field.

- c. Select Reviewed with Follow-Up from the **Select an Action** drop-down list.
- d. Select a standard comments from the **Standard Comments** drop-down list.

*Optional:* Enter any custom comments, if applicable in the text fields.

- e. Click **Save**.

The system refreshes all the tabs, moving the trades that you have marked as Reviewed to the Reviewed tab.

## Locking and Unlocking a Trade

Oracle Financial Services application controls access to trades via a locking mechanism in order to prevent inconsistent results caused by more than one user at a time trying to take an action on the same trade or trades. The system locks unlocked trades for you when you select one or more check boxes of one or more trades. In addition, the system locks a trade when you click on the **Comments**, **e-mail** or **Attachments** icon of an individual trade and then taking an action. The system maintains the lock on a particular trade if you take additional actions on that trade until you save or deselect all the actions on that trade.

To unlock a trade, deselect the selected check boxes. If no check boxes are selected, the Comments, e-mail or Attachments actions remove the lock automatically when saved or cancelled.

**Note:** If you try to select a trade that is locked by another user, the system displays a Selected Trade Locked dialog box with an error message.

When you click **Ok**, the system closes the dialog box and returns you to the original tab on the List page.

## Adding Comments on a Trade

If you have the appropriate access permissions, you may add comments to selected trades on the Trade Blotter page. When you save comments to a trade, the status of that trade does not change as a result of those comments. However, the comment action is added to the Comment Audit History matrix.

You can add a free-text comment to more than one trade, add one or more standard comments to those trades, and view the comment audit history for those trades.

Date and Time	By (User Name)	Comments
09/24/2013 19:44	FCCM SUPER...	Zx0zcxcc

**Figure 47. Global Comments pop-up window**

To add global comments to more than one trade, follow these steps:

1. On the Trade Blotter page, do one of the following depending on whether you want to add comments on more than one trade but not the whole page of trades, or add global comments to the whole page of trades:
  - For comments on more than one trade, select the check boxes adjacent to the trades and click the **Comments** button.

- For comments on the entire page of trades, click on the check box on list header and click the **Comments** button.
2. In the Global Comments pop-up window, follow these steps:
    - a. Select one or more applicable standard comments from the **Select a standard comment** drop-down list.
    - b. Type free-text comments in the **Comments** text area.
  3. Click **Save**.

A confirmation message displays.

## ***Adding an Attachment to a Trade***

You can add one or more attachments to an individual trade, remove one or more attachments from an individual trade, and view the attachment action history for that trade.

Attachment Name	Date and Time	By (User Name)	Attachment
No attachment(action history) is associated with this trade			

**Figure 48. Add Attachment pop-up window**

To add one or more attachments to a trade, follow these steps:

1. On the Trade Blotter List section, select the check box adjacent to the trade to which you want to add an attachment.

The Add Attachments pop-up window displays.
2. In the Add Attachments pop-up window, enter file name in the **Logical File Name** text field.
3. Browse for the file you want to add via the **Choose a file** field.
4. When the Choose File to Upload dialog appears, select the file you want to attach to the trade and click **Open**.
5. Click **Attach File**.

The display name of the file appears in the Attachments Action History list.
6. If you want to add another attachment to this trade, repeat Steps 1 through 4.

**Note:** If you decide to remove one or more attachments from the Attachments Action History list, simply select the attachment name or names from this list and click **Remove**.
7. When you are sure of the file or files you want to attach to this trade, click **Save**.

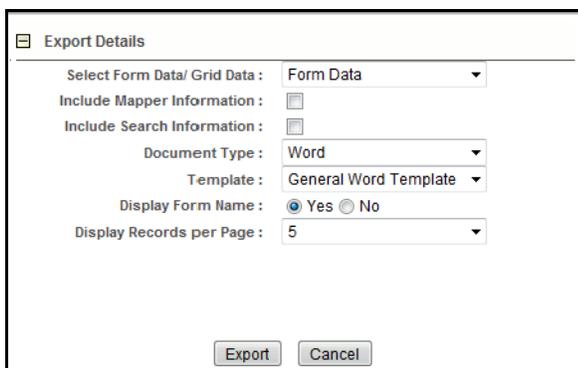
The pop-up window returns you to the Trade Blotter page and adds the attachments to the Attachments Action History section.

If you do not want to save the trade with the attachments you added, click

**Cancel**. The system returns you to the Trade Blotter page and your attachments are not added to the Attachments Action History.

## Exporting Trades to Excel

You can export trades from the Trade Blotter List section to a Microsoft Excel format where you can then review and edit the data as necessary. You can export trade data separately from each individual tab or you can export all of the trade data to an Excel for each tab.



**Figure 49. Export pop-up window**

**Note:** Oracle does not currently support exporting grid data to formats other than Excel. The Excel functionality works successfully on MS Excel 2003. However, you can encounter an error message if your system has MS Excel 2007.

## Exporting Trades from the Individual Trade Blotter Tabs

To export trades from one of the New-Unreviewed, Reviewed, or Reviewed with Follow-Up tabs, follow these steps:

1. Click the **Excel** icon at the top of the trade list.  
An Export-Properties pop-up window displays
2. In the Export-Properties pop-up window, follow these steps:
  - a. Select display style (form or grid) from the **Select Form Data/Grid Data** drop-down list.
  - b. *Optional:* Select a check box to include the mapper information.
  - c. *Optional:* Select a check box to include the search information.
  - d. Select the output type from the **Document Type** drop-down list.
  - e. Select a template from the **Template** drop-down list.
  - f. Select **Yes/No** option to display or not to display a form name.
  - g. Select the number of records to display from the **Display Records per Page** drop-down list.
  - h. Click **Export**.

The application saves your file to the specified format and location.

## ***Sending an E-mail on a Trade***

If you have the appropriate access permissions, you can send an e-mail and request a response regarding a particular trade.

The system does not automatically include any information on the trade. You can enter any trade details in the body of the e-mail message.

The screenshot shows a web-based form for sending an email. The 'From' field is pre-filled with 'mohd.mustaqeem@oracle.com'. The 'Subject' field contains 'TRDTRDBLT032'. A 'Request Response' checkbox is checked. Below the form is a table titled 'Email Action History (0)' with columns for 'Date and Time', 'Action', 'By (User Name)', and 'Comments'. The table is empty, and a message below it states 'No email(action history) is associated with this trade'. At the bottom of the window are 'Send' and 'Cancel' buttons.

**Figure 50. Trade Blotter Send e-mail pop-up window**

To send an e-mail regarding a particular trade, follow these steps:

1. From the Trade List, click the **e-mail** icon associated with the particular trade you want to discuss.  
The Send E-mail pop-up window displays.
2. Enter the e-mail recipient's e-mail address in the **To:** field.
3. Provide an appropriate subject in the **Subject** field.
4. Select the **Request Response** check box if you want a response, or go to Step 5 if you don't.

If you select Request Response, the system attaches a response form in which the recipient can enter comments. When the recipient has finished entering comments and clicks **Send Comments**, the response is automatically returned to you.

5. Type your message in the **Body** field.
6. Click **Save** to send the message.

The system sends your message and records information about it in the E-mail Action History list.

The Manage Controlling Customer feature provides a way to search customer relationships based on user-specified search parameters. It also enables you to view existing or historical data, update certain components of the controlling customer, and delete existing controlling customers. In addition, it enables you to establish new controlling customer. Access to the Manage Controlling Customers workflow is dependent upon your role. This chapter focuses on the following topics:

- Accessing the Controlling CUSTOMER Search Page
- Viewing Controlling Customer Search Page
- Viewing Controlling Customer List Page
- Updating Controlling Customer
- Removing Controlling Customer
- Adding Controlling Customers
- Exporting Trades to Excel

## About Controlling Customers

A Controlling Customer is a customer who is in a controlling position in a company represented by a specific security. A customer can have a controlling position in more than one security. Controlling customer relationships are considered by some Oracle Financial Services behavior detection scenarios during alert generation. The Controlling customer information flows into Oracle Financial Services Enterprise Alert Management and be used for behavior detection through one of two ways. A client may choose to provide information regarding controlling customer relationships during the batch process of loading data from files (refer to the *Data Interface Specification*, for more information on Controlling Customer data files). Or, a client may choose to add and maintain controlling customer relationships via the Manage Controlling Customer interface provided in the Monitoring workflow as described in this chapter.

## Accessing the Controlling CUSTOMER Search Page

You can access Controlling Customer Search page from the Monitoring workflow. The page is available only to those users who require entering the data related to adding controlling customer through the Oracle Financial Services Alert Management UI.

**Note:** The Controlling Customer data can flow either through DIS files or entered manually on the Oracle Financial Services Alert Management UI, but not both ways.

In Monitoring workflow, hover over the Monitoring menu and select **Manage Controlling Customer** to get the Manage Controlling Customer page.

## Viewing Controlling Customer Search Page

The Controlling Customer Search page enables you to search for a selected list of controlling customers, based on the criteria that you provide in the search fields. By default, all the search fields are blank. Text boxes enable you to filter controlling customers precisely for analysis. Selecting the blank value within a drop-down list is the same as selecting all list options within the list.

Only the data that matches your specified criteria display. If you click **Go** within the search bar without selecting any filter criteria, then the system will display an error message (Figure 51).

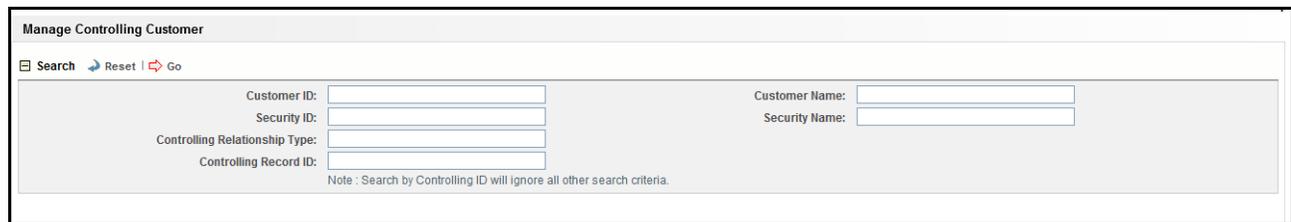


Figure 51. Controlling Customer Search Page

## Components of the Controlling Customer Search Page

The Controlling Customer Search page consists of the Controlling Customer Search bar.

### Controlling Customer Search Bar

The Controlling Customer Search bar enables you to search for a selected list of controlling customers based on the criteria that you have selected within this search bar.

Table 35 provides a list of the search components that display in the Controlling Customer Search page.

Table 35. Controlling Customer Search Components

Criteria	Description
Customer ID	Filters the controlling customer list by the Customer ID of the business entity. If you search by Customer ID then Customer Name field is disabled.
Customer Name	Filters the controlling customer list by the Customer Name of the business entity. If you search by Customer Name then Customer ID field is disabled. You can also search using the wild card entries in the text field.
Security ID	Filters the controlling customer list by the Security ID of the business entity. If you search by Security ID then Security Name field is disabled.
Security Name	Filters the controlling customer list by the Security Name of the business entity. If you search by Security Name then Security ID field is disabled. You can also search using the wild card entries in the text field.
Controlling Relationship Type	Filters the controlling customer list based on the Controlling Relationship type. You can also search using the wild card entries in the text field.
Controlling Record ID	Filters the controlling customer list based on the control ID. <b>Note:</b> Search by Controlling ID will ignore all other search criteria

## Viewing Controlling Customer List Page

The Controlling Customer List page displays information regarding the conditions related to controlling customers trading. The List page enables you to view the details of the controlling customers' relationships existing in the system and also to update and delete particular relationships, depending on the user access (Figure 52).

**Note:** By default, the List page displays 10 results per page and indicates the page number and the total number of pages in the search result.

The screenshot shows the 'Manage Controlling Customer' interface. At the top, there are search filters for Customer ID, Security ID, Controlling Relationship Type, and Controlling Record ID. To the right, there are filters for Customer Name (set to '%A%') and Security Name. Below the filters is a table titled 'Controlling Customer List (5)' with columns: Customer ID, Customer Name, Security ID, Security Name, Controlling Relationship, and Controlling Record ID. The table contains five rows of data. Below the table is a 'Comments' text area. At the bottom right, there is a copyright notice: '© Oracle. All rights reserved.'

Customer ID	Customer Name	Security ID	Security Name	Controlling Relationship	Controlling Record ID
XXXCUTRUNAPPTGAC-004	JEANNE	XXXSETRUNAPPTGAC-004	CLMS	DIRECTOR	100004
XXXCUTRUNAPPTGAC-004	JEANNE	EMSHC01	EMSHC01	DIR	200001
CUCNTRLCUST-001	JOAN ONEAL KUTER	EMSHC01	EMSHC01	10PRSHRHL	150003
CUMVFDWOTRDINSTCU-001	MOLLY PRAKASH COOLER	SMPCTRL01	SMPCTRL01	10PRSHRHLD	150002
CUTRUNAPPTGAC-001	PACHUKO	SETRUNAPPTGAC-001	IOCL	DIRECTOR	100001

Figure 52. Controlling Customer List Page

## Components of the Controlling Customer List Page

The Controlling Customer List page consists of the Controlling Customer List header, individual check boxes for each controlling customer that, when selected, provide you with the option to designate the selected customer for either Update or Delete actions, and a matrix containing one or more controlling customer.

The Controlling Customer List page is composed of the following components:

- Controlling Customer List Header
- Check boxes
- Action Buttons
- Column Headings
- Controlling Customer List Matrix
- Action History

### Controlling Customer List Header

The header contains the title *Controlling Customer List*, the number of customers displayed, and the total number of customers retrieved by the search criteria.

## Check boxes

Check boxes are provided at the beginning of each row in the Controlling Customer List matrix. Select one or more of these boxes to take action on one or more controlling customer records. Select the check box again to clear it. You can check individual controlling customer and then proceed with an update or delete actions.

## Action Buttons

The system provides the following action buttons that appear above the list of Controlling Customer:

- **Expand All:** Provides the complete detail for the items where text cannot be accumulated in the column length. This can be vice versa if you click **Collapse All**, and this takes you to the original view of controlling customer.

**NOTE:** You can also expand the details of controlling customer by clicking , this will be available only if the text is longer than column length.

- **Update:** Provides you an option to update one or more controlling customers from the List page. When you mark the check box against the selected controlling customer in the grid that particular Customer ID becomes editable. Make the necessary changes and click **Update**. Refer to *Updating Controlling Customer* for more information.
- **Remove:** Provides you an option to delete one or more customer from the Controlling Customer list. You can select one or more customer using the check box provided and click on the **Remove**. The pop-up window displays with the following message:

*X record(s) are going to be deleted from the list. To confirm deletion, select OK. Select Cancel to cancel the deletion and return to the list page.*

**NOTE:** If you don't enter comments before deleting any customer in the list, a message pop-up windows stating *You are attempting to delete, but you have not added comment. Please add comments.*

- **Add:** Provides you an option to add one or more customer in the Controlling Customer list.
- **Add Comment:** Provides you an option to add comments to the selected customer/s in the Controlling Customer list without modifying the record columns.
- **Excel:** Provides you an option to export the customers in the Controlling Customer list to an excel sheet.

## Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the columns in the Controlling customer matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays. For example, Ascending, Descending, Clear Sort, Field Chooser, and Transpose. Select the relevant sorting option. Oracle Financial Services Enterprise Case Management refreshes the list matrix and re-sorts the particular column according to the selected option.

OFSAAI refreshes the list and re-sorts the alert display by that field, based on the criteria you selected in the Suppression Rule Search.

Selecting **Field Chooser** allows you to hide or expose columns on the current grid from a pre-set list of columns. You can also reorder the order of the columns on the grid by moving the columns up and down in the Field Chooser list. You can change the width of the column by modifying the values shown in Field Chooser. (The values represent pixels not characters.) If these settings are Saved, the Field Chooser will remember the settings for the next time you view the grid.

To export column data selected through Field Chooser, select **Grid Data** from the Select Form Data/ Grid Data drop-down list on the Export-Properties dialog box. If **Form Data** is selected, the fields selected are not considered for export.

### Controlling Customer List Matrix

Table 36 provides a list of the columns and their descriptions in the Controlling Customer List matrix.

**Table 36. Controlling Customer List Matrix**

Column	Description
Customer ID	Displays an identifier of the controlling customer.
Customer Name	Displays the name of the controlling customer.
Security ID	Displays an identifier of the security restriction.
Security Name	Displays the security short name.
Controlling Relationship	Displays the controlling relationship between the customers.
Controlling Record ID	Displays the controlling customer record identifier.

### Action History

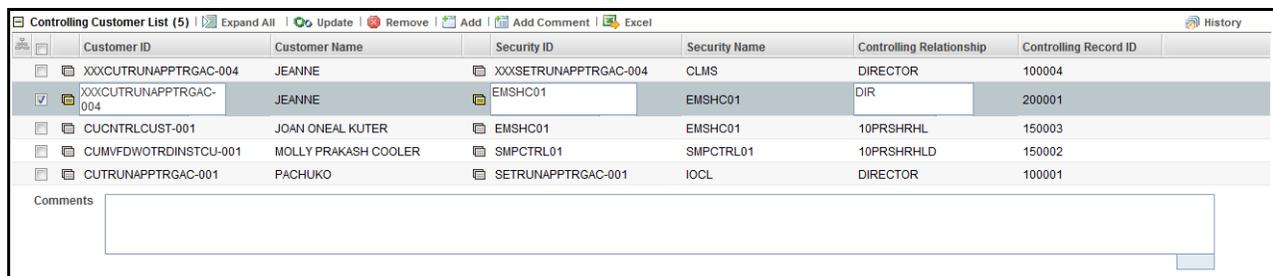
The Controlling Customer section allows you to view the historical Customer record. Click **History** to view the Controlling Customer as a pop-up window.



**Figure 53. Action History pop-up window Controlling Customer Page**

## Updating Controlling Customer

The Controlling Customer Update page provides you with the option to update all the selected customers from the Controlling Customer List section. The Controlling Customer Update page displays when you click an update option after selecting one or more customers from the Controlling Customer List page (Figure 54).



**Figure 54. Controlling Customer Update Page**

### Components of the Controlling Customer Update Page

The Controlling Customer Update page is composed of the following areas:

- Update Controlling Customer Area

- Add a Comment Area

## Update Controlling Customer Area

The Update Controlling Customer area contains editable fields that enable you to modify the customers records imposed on the securities. Mark the check box to select the desired Controlling Customer in the list. When you mark the checkbox the selected customers becomes editable. Do the necessary changes you wish to do, and enter the comments for modifying and click **Update**.

On successfully modifying the records, a confirmation message box displays.

**Note:** In the Update Controlling Customer area, if you modify one or more Customers IDs, and either the security does not exist within the available Customers master table or you do not have access to the updated Customers IDs, the page displays one of the following error message:

Table 37 lists the error messages.

**Table 37. Controlling Customer Error Messages**

Workflow	Occurrence	Error Message
Update	If the user wants to update one or more Customer IDs or Security IDs for all the updated controlling records, but the new values entered are not available in the Customer table or Security table, or the user does not have access to that Customer ID.	Controlling Customer Record(s) have been modified to reference Customer ID(s)/Security ID(s) that do not exist and will not be updated. Please check and enter again.
Update	If the user wants to update Customer list for some of the records Customer ID is invalid or the user doesn't have access to the modified Customer IDs.	Rec#, Rec# Controlling Customer Record(s) have been modified to reference Customer ID(s) that do not exist and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries.
Update	If the user wants to update records, and modified records are duplicate of each other.	Some of the updated records are identical. Please check and enter again.
Update	If the user wants to update controlling records, and all entered records are duplicate of records already existing in database.	Controlling Record (s) that have been modified are identical to existing records and will not be updated. Please check and enter again.
Update	If the user wants to update multiple controlling records, and some entered records are duplicate of records already existing in database.	Rec#, Rec# Controlling Customer Record(s) are identical to existing records and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries.
Add Comment	If user updates any selected record from the search list, enters comment text, and clicks on <i>Add Comment</i> instead of Update.	You are attempting to add comments only but some of the selected records have been modified. Please use <i>Update</i> to save record modifications.
Add	If the user want to add a Customer ID which is not available with the system, or user does not have access to it.	Entered Customer ID value does not exist. Please check and enter again.
Add	If the user wants to add a Security ID which is not available with the system, user does not have access to it.	Entered Security ID value does not exist. Please check and enter again.

### Add a Comment Area

You must enter comments in the text box area to document the changes made and to support the modifications made on the controlling customer record(s). If you try to save updates without entering comments, the system displays a warning to remind you to enter comments.

**Note:** The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of controlling customers you select.

## Removing Controlling Customer

The Controlling Customer Remove page provides you with the option to delete all the selected customers from the Controlling Customer List section. (Figure 54).

Customer ID	Customer Name	Security ID	Security Name	Controlling Relationship	Controlling Record ID
<input type="checkbox"/> XXXCUTRUNAPPTRGAC-004	JEANNE	XXXSETRUNAPPTRGAC-004	CLMS	DIRECTOR	100004
<input checked="" type="checkbox"/> XXXCUTRUNAPPTRGAC-004	JEANNE	EMSHC01	EMSHC01	DIR	200001
<input type="checkbox"/> CUCNTRLCUST-001	JOAN ONEAL KUTER	EMSHC01	EMSHC01	10PRSHRHL	150003
<input type="checkbox"/> CUMVFDWOTRDINSTCU-001	MOLLY PRAKASH COOLER	SMPCTRL01	SMPCTRL01	10PRSHRHL	150002
<input type="checkbox"/> CUTRUNAPPTRGAC-001	PACHUKO	SETRUNAPPTRGAC-001	IOCL	DIRECTOR	100001

Comments

Figure 55. Controlling Customer Remove Page

### Components of the Controlling Customer Remove Page

The Controlling Customer Remove page is composed of the following areas:

- Remove Controlling Customer Area
- Add a Comment Area

### Remove Controlling Customer Area

Mark the check box to select the desired Controlling Customer in the list. Click **Remove**. On successfully deleting the records, a confirmation message box displays.

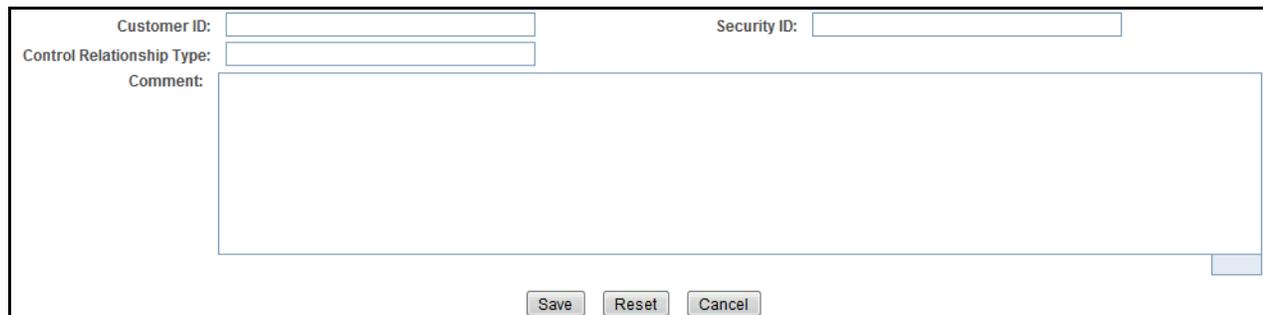
### Add a Comment Area

You must enter comments in the text box area to support the purpose of deleting the controlling customer record(s). If you try to delete without entering comments, the system displays a warning to remind you to enter comments.

**Note:** The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of controlling customers you select.

## **Adding Controlling Customers**

The Add Controlling Customer page enables you to set conditions related to controlling customers trading. (Figure 56).



**Figure 56. Add Controlling Customer Page**

### **Components of Add Controlling Customer Page**

The Add Controlling Customer area enables you to create new Controlling Customer relationship by entering the information in the fields. Certain fields (Customer ID and Security ID) are mandatory for adding a new Controlling Customer. By default, all fields displays as blank.

Table 38 lists of the fields that display in the Add Controlling Customer area.

**Table 38. Add Controlling Customer Fields**

<b>Field</b>	<b>Description</b>
Customer ID	Enables you to enter identifier in the <b>Customer ID</b> text field. Multiple comma separated values are not allowed.
Security ID	Enables you to enter identifier in the <b>Security ID</b> text field. Multiple comma separated values are not allowed.
Controlling Relationship Type	Enables you to enter the control relationship type in the <b>Controlling Relationship Type</b> text field.
Comments	Enables you to enter comments while creating new controlling customers. The Comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided

### **Exporting Trades to Excel**

You can export the Controlling Customer List to a Microsoft Excel format where you can review and edit the data as necessary. Export to Excel will export the complete search list result to Excel. Refer to *Exporting Alerts*, on page 44, for more information on Exporting Trades to Excel.

The Manage Securities Restriction feature provides a way to search for existing trading restrictions on different securities based on user-specified search parameters. It also enables you to view existing or historical data, update certain components of the restriction, and delete existing restrictions. In addition, it enables you to establish new security trading restriction conditions. Access to the Manage Securities Restriction workflow is dependent upon your role.

This chapter focuses on the following topics:

- Accessing Security Restriction Search Page
- Viewing Security Restriction Search Page
- Viewing Security Restriction List Page
- Updating Security Restrictions
- Removing Security Restrictions
- Adding Security Restrictions
- Exporting Trades to Excel

## ***About Security Restrictions***

A security restriction sets the conditions related to restriction on trading of specific securities. Oracle Financial Services Alert Management uses this information to generate alerts on suspicious trading behavior involving these restricted securities. The Security Restriction information flows into Oracle Financial Services Alert Management and can be used for behavior detection through one of two ways. A client may choose to provide information regarding security restrictions during the batch process of loading data from files (refer to the *Data Interface Specification*, for more information on Security Trading Restriction data files). Or, a client may choose to add and maintain security restrictions via Manage Security Restrictions interface.

## ***Accessing Security Restriction Search Page***

You can access the Security Restriction Search page from the Monitoring workflow. The page is available for only those users who have the role, which permits entering the data related to managing security restrictions through the Oracle Financial Services Alert Management UI.

**Note:** The Security Restriction data can flow either through DIS files or entered manually on the Oracle Financial Services Alert Management UI, but not both ways.

In Monitoring workflow, hover over the Monitoring menu and select **Manage Security Restrictions** to get the Manage Security Restriction page.

## Viewing Security Restriction Search Page

The Security Restriction Search page enables you to view and search for a selected list of securities restriction, based on the criteria that you provide in the search fields. By default, all the search fields are blank. Drop-down Lists, text boxes, drop-down listes, and calendar buttons enable you to filter securities restriction precisely for analysis. Selecting the blank value within a drop-down list is the same as selecting all list options within the list. If a search is performed with blank values in a search field, then the error message displays.

Only the data that matches your specified criteria display. If you click **Go** within the search bar without selecting any filter criteria, system will display an error message (Figure 57).

Figure 57. Manage Security Restrictions Search Page

## Components of the Security Restriction Search Page

The Security Restriction Search bar enables you to search for a selected list of securities restriction based on the criteria that you select within this search bar.

Table 30 provides a list of the search components that display in the Security Restriction Search page.

Table 39. Security Restriction Search Components

Criteria	Description
Security ID	Filters the securities restriction list by the Security ID of the business entity. If you search by Security ID then Security Name field is disabled.
Security Name	Filters the securities restriction list by the Security Name of the business entity. If you search by Security Name then Security ID field is disabled. You can also search using the wild card entries in the text field.
Restriction Type	Filters the securities restriction list by restriction types. You can select multiple restriction types from the <b>Restriction Type</b> drop-down list menu. By default, the field is blank.
Restriction List	Filters the securities restriction list by restriction list. You can select multiple restriction list types from the <b>Restriction List</b> drop-down list menu. By default, the field is blank.
Restriction List ID	Filters the securities restriction list by restriction list ID. You can select multiple restriction list types from the <b>Restriction List ID</b> drop-down list menu. By default, the field is blank.

**Table 39. Security Restriction Search Components (Continued)**

Criteria	Description
Effective Date 'From' and 'To'	Filters the securities restriction list based upon the effective start and end date entered. You can select from the <b>Calender Control</b> field. By default, the field is blank.
Expiry Date 'From' and 'To'	Filters the securities restriction list based upon the expiration start and end date entered. You can select from the <b>Calender Control</b> field. By default, the field is blank.
Trading Activity	Filters the securities restriction list by trading activities, such as, Buy, Sell, and combined. You can select multiple trading activities from the <b>Trading Activity Selection</b> box. By default, the field is blank.
Restriction Quantity >=	Filters the securities restriction list based on the restriction quantity value greater than or equal to the user entered value in the field. The restriction quantity value should be a positive numeric value. By default, the field is blank.
Search By Restriction Record ID	Enables you to search for information about the securities restriction by typing the Restriction Record ID in the text box. To search for multiple IDs, you must enter the IDs individually and separated by commas. <b>Note:</b> Search by Restriction Record ID will ignore all other search criteria

## Viewing Security Restriction List Page

The Security Restriction List page displays information regarding the applicable restrictions on trading of securities. The List page enables you to view the details of the security restrictions existing in the system and also to update, add, and delete a security restriction, depending on the user access (Figure 58).

**Note:** By default, the List page displays 20 results per page and indicates the page number and the total number of pages in the search result.

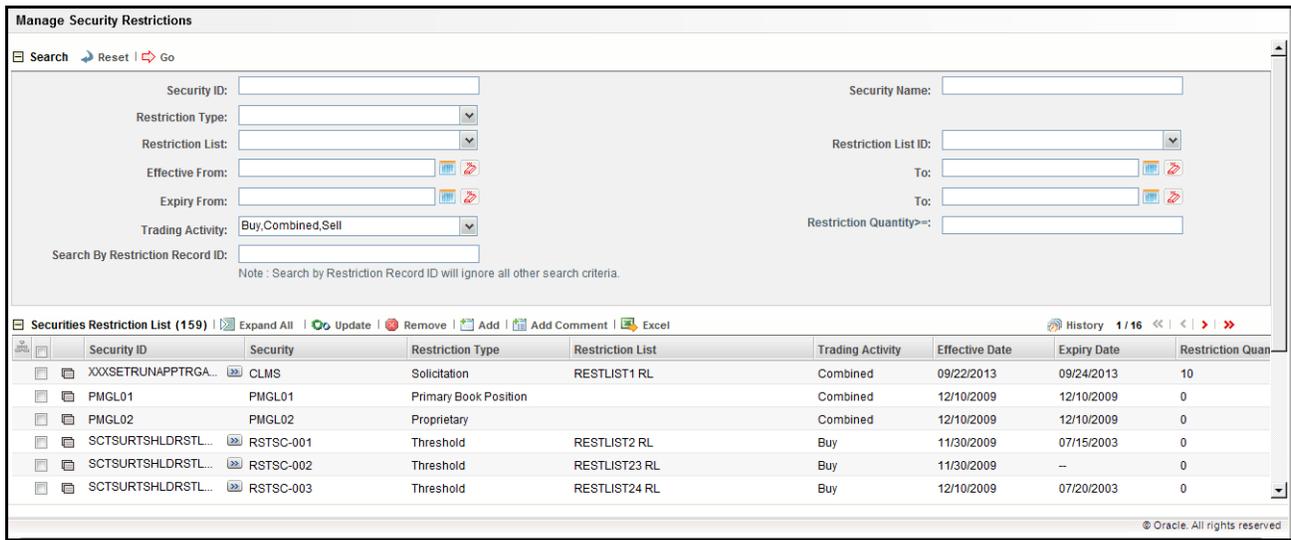


Figure 58. Security Restriction List Page

## Components of the Security Restriction List Page

The Security Restriction List page consists of the Security Restriction List header, individual check boxes for each restriction that, when selected, allows you to designate the selected restriction for either Update, Delete, and a matrix containing one or more security restrictions.

The Security Restriction List page is composed of the following components:

- Securities Restriction List Header
- Action Buttons
- Check Boxes
- Column Headings
- Securities Restriction List Matrix
- Action History

### Securities Restriction List Header

The header contains the title Securities Restriction List, the number of restrictions displayed, and the total number of restrictions.

### Check Boxes

Check boxes are provided at the beginning of each row in the Securities Restriction List matrix. Select one or more of these boxes to take action on one or more restrictions. Select the check box again to clear it. You can check individual restriction and then proceed with update or delete actions.

### Action Buttons

The system provides the following action buttons that appear above the list of securities restrictions:

- **Expand All:** Provides you the complete details about the securities restrictions. This can be vice versa, if you click **Collapse All**, and this takes you to the original view of securities restrictions.

**NOTE:** You can also expand the details of securities restrictions by clicking



, this will be available only if the text is longer than column length.

- **Update:** Provides you with an option to update one or more securities restrictions from the List page. When you mark the check box against the selected Security Restriction in the grid that particular restriction ID becomes editable. Make the necessary changes and click **Update**. Refer to “Updating Security Restrictions,” on page 158, for more information.

- **Remove:** Provides you an option to delete one or more security restrictions from the Security Trading Restriction list. You can select one or more restrictions using the check box provided and click **Remove**. The pop-up window displays with the following message:

*X record(s) are going to be deleted from the list. To confirm deletion, select OK. Select Cancel to cancel the deletion and return to the list page.*

**NOTE:** If you don't enter comments before deleting any security restriction in the list, a message pop-up windows stating *You are attempting to delete, but you have not added comment. Please add comments.*

- **Add:** Provides you an option to add one or more security restrictions in the Security Trading Restriction list.
- **Add Comment:** Provides you an option to add comments to a selected security restrictions in the Security Trading Restriction list without modifying the record columns.
- **Excel:** Provides you an option to export a selected security restrictions in the Security Trading Restriction list to an excel sheet.

## Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the Securities Restriction matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays. For example, Ascending, Descending, Clear Sort, Transpose and Field Chooser.

Select the relevant sorting option. Oracle Financial Services Enterprise Case Management refreshes the list matrix and re-sorts the particular column according to the selected option.

OFSAAI refreshes the list and re-sorts the alert display by that field, based on the criteria you selected in the Suppression Rule Search.

Selecting **Field Chooser** allows you to hide or expose columns on the current grid from a pre-set list of columns. You can also reorder the order of the columns on the grid by moving the columns up and down in the Field Chooser list. You can change the width of the column by modifying the values shown in Field Chooser. (The values represent pixels not characters.) If these settings are Saved, the Field Chooser will remember the settings for the next time you view the grid.

To export column data selected through Field Chooser, select **Grid Data** from the Select Form Data/ Grid Data drop-down list on the Export-Properties dialog box. If **Form Data** is selected, the fields selected are not considered for export.

## Securities Restriction List Matrix

Table 40 lists of the columns and their descriptions in the Securities Restrictions List matrix.

**Table 40. Securities Restriction List Matrix**

Column	Description
Security ID	Displays the unique identifier of the security restriction.
Security	Displays the security short names.
Restriction Type	Displays the security restriction type.
Restriction List	Displays the security restriction list.
Trading Activity	Displays the trading activity of the security restriction.
Effective Date	Displays the date on which the securities restrictions is effective.
Expiry Date	Displays the date on which the securities restriction is due for expiry.
Restriction Quantity	Displays the security restriction quantity.
Restriction Record ID	Displays the securities restriction record identifier.

## Action History

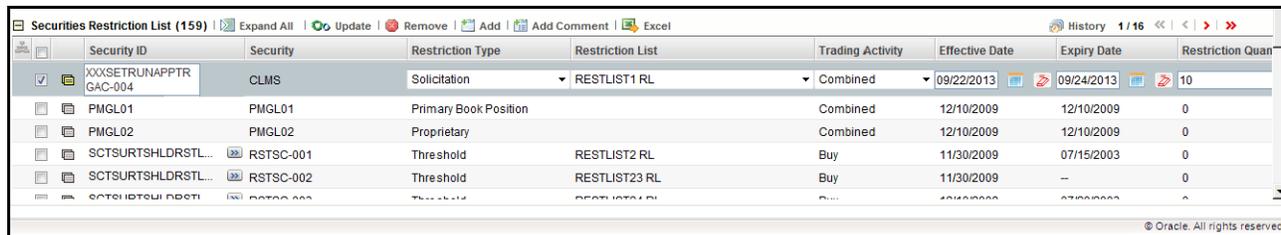
The Securities Restriction section contains link for viewing the historical Security Restriction record. Click **History** to view the Security Restriction History pop-up window.



**Figure 59. Action History pop-up window Securities-Restriction Page**

## Updating Security Restrictions

The Security Restriction Update page allows you to update all the selected restrictions from the grid. When you mark the check box against the selected Security Restriction in the grid that particular restriction ID becomes editable. Modify the necessary changes and click **Update** (Figure 60).



**Figure 60. Security Restriction Update Page**

## Components of the Security Restriction Update Page

The Security Restriction Update page is composed of the following areas:

- Update Securities Restriction Area

- Add a Comment Area

### Update Securities Restriction Area

The Update Securities Restriction area contains editable fields that enable you to modify the restriction records imposed on the securities. Mark the check box to select the desired Security Restriction in the list. When you mark the checkbox, the selected Security Restriction becomes editable. Make the necessary changes, and enter the comments for editing and click **Update**.

On successfully modifying the records, a confirmation message box displays.

**Note:** In the Update Securities Restriction area, if you modify one or more Security IDs, and either the security does not exist within the available Security master table or you do not have access to the updated Security IDs, the page displays one of the following error message:

Table 41 lists the error messages.

**Table 41. Securities Restriction Error Messages**

Workflow	Occurrence	Error Message
Update	If the user enters Expiry date lesser than System date.	Please enter an Expiry date equal to or greater than the System date
Update	If the user modifies one or more Security IDs such that all new values entered are not available in the Security table, or the user does not have access to the updated Security IDs.	Restriction Record(s) has been modified to reference Security ID(s) that does not exist and will not be updated. Please check and enter again
Update	If the user selects multiple security restrictions to update and enters values such that some of them pass validation as existing and accessible securities. However, for others either they do not have access to the security ID, or the security ID does not exist in the Security table.	Rec#, Rec# Restriction Record(s) have been modified to reference Security ID(s) that do not exist and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries
Update	If any two or more records updated by the user are identical to each other.	Some of the updated records are identical. Please check and enter again
Update	If some of the updated records are duplicates and rest are fine (Rec # = rest rec id).	Rec#, Rec# Restriction Record ID(s) are identical to existing records and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries
Update	If all the updated records are duplicates of already existing records in the database.	Restriction Record ID(s) that have been modified are identical to existing records and will not be updated. Please check and enter again
Add Comment	If the user updates any selected record from the search list, enters comment text, and clicks on 'Add Comment' instead of Update.	You are attempting to add comments only but some of the selected records have been modified. Please use 'Update' to save record modifications
Add	If the user enters a Security ID which is not available with the system, or if the user does not have access to it.	Entered Security ID value does not exist. Please check and enter again
Add	If the User enters data in identical to the existing record in DB.	The entered Security Restriction already exists. Please check and enter again

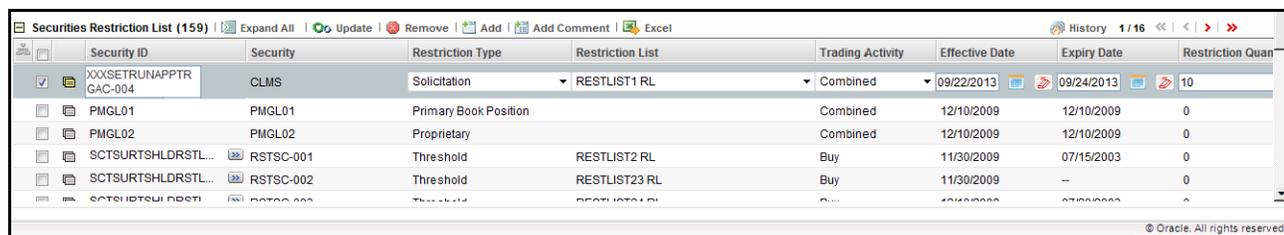
## Add a Comment Area

You must enter comments in the text box area to document the changes made and to support the modifications made in the securities restrictions. If you try to save updates without entering comments, the system displays a warning to remind you to enter comments.

**Note:** The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of restrictions you select.

## Removing Security Restrictions

The Security Restriction Remove page provides you an option to delete the selected restrictions from the grid. (Figure 61).



Security ID	Security	Restriction Type	Restriction List	Trading Activity	Effective Date	Expiry Date	Restriction Quantity
XXXXSETRUNAPPTR GAC-004	CLMS	Solicitation	RESTLIST1 RL	Combined	09/22/2013	09/24/2013	10
PMGL01	PMGL01	Primary Book Position		Combined	12/10/2009	12/10/2009	0
PMGL02	PMGL02	Proprietary		Combined	12/10/2009	12/10/2009	0
SCTSURTSHLDRSTL...	RSTSC-001	Threshold	RESTLIST2 RL	Buy	11/30/2009	07/15/2003	0
SCTSURTSHLDRSTL...	RSTSC-002	Threshold	RESTLIST23 RL	Buy	11/30/2009	--	0

Figure 61. Security Restriction Remove Page

## Components of the Security Restriction Remove Page

The Security Restriction Remove page is composed of the following areas:

- Remove Security Restriction Area
- Add a Comment Area

## Remove Security Restriction Area

The Remove Security Restriction grid enables you to delete the restriction records imposed on the securities. Mark the check box to select the desired Security Restriction in the list and click **Remove**. On successfully deleting the records, a confirmation message box displays.

## Add a Comment Area

You must enter comments in the text box area to support the purpose of deleting the restriction record(s). If you try to delete without entering comments, the system displays a warning to remind you to enter comments.

**Note:** The comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. By default, the comments text box is blank regardless of the number of restrictions you select.

## Adding Security Restrictions

The Add Security Restriction page enables you to set new security restrictions on trading (Figure 62).

Figure 62. Add Security Restriction Page

## Components of the Add Security Restriction Page

The Add Security Restriction area enables you to create new securities restriction by entering the information in the fields. Certain fields (Security ID, Restriction Type, Restriction List Type, Trading Activity, and Effective Date ) are mandatory for adding a new security restriction. By default, all fields are blank.

Table 42 provides a list of the fields that display in the Add Securities Restriction area.

Table 42. Add Securities Restriction Fields

Field	Description
Security ID	Enables you to enter identifier in the <b>Security ID</b> text field. Multiple comma separated values are not allowed.
Restriction Type	Enables you to select a restriction type from the <b>Restriction Type</b> drop-down list. The <b>Restriction Type</b> drop-down list populates with all the restriction types in the system.
Restriction List	Enables you to select a restriction list from the <b>Restriction List</b> drop-down list. The <b>Restriction List</b> drop-down list populates with all the restriction list in the system.
Trading Activity	Enables you to select a trading activity from the <b>Trading Activity</b> Selection box. The <b>Trading Activity</b> drop-down list populates with the following values: Buy, Sell, and Combined.
Effective Date	Enables you to enter date in the <b>Effective Date</b> text field or select date from the calender control.
Expiry Date	Enables you to enter date in the <b>Expiration Date</b> text field or select date from the calender control.
Restriction Quantity >=	Enables you to enter a positive number in the <b>Restriction Quantity</b> text field.
Comment	Enables you to enter comments while creating new security restriction. The Comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided

**Note:** Trading activity and the Effective date are mandatory.

## Exporting Trades to Excel

You can export the Security Restrictions List to a Microsoft Excel format where you can then review and edit the data as necessary. You can export trade data separately from each individual tab or you can export all of the trade data to an Excel for each tab. Refer *Exporting Alerts to Excel*, on page 45, for more information on Exporting Trades to Excel.



This chapter provides high-level information about Regulatory Reporting (RR). Regulatory Reporting is integrated with the Oracle Financial Services Behavior Detection Framework to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed.

The chapter covers the following topics:

- About Regulatory Reporting
- Logging in to OFSRR from OFSFCCM
- Where to Find More Information

## ***About Regulatory Reporting***

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

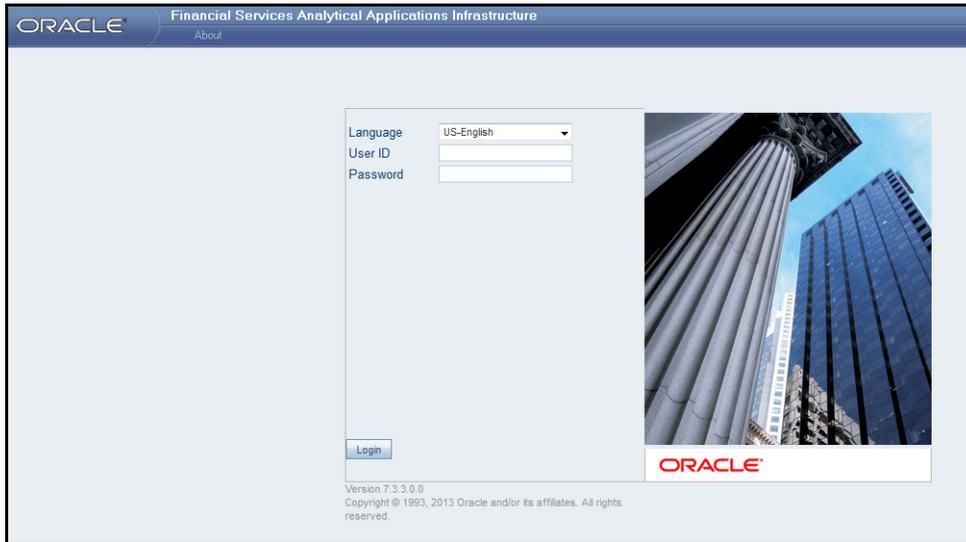
Oracle Financial Services Regulatory Reporting supports the management, delivery, and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

Regulatory Reporting is integrated with the Oracle Financial Services Behavior Detection Framework to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed. Regulatory Reporting is an optional product. Access to Regulatory Reporting actions and functions depends on whether your firm have implemented the Regulatory Reporting.

## Logging in to OFSRR from OFSFCCM

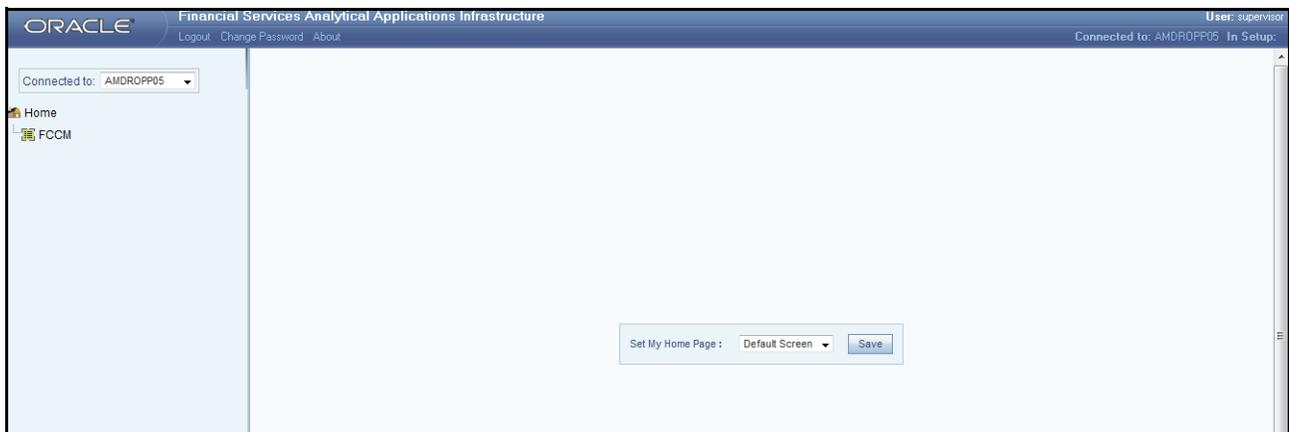
To access OFSRR from OFSFCCM, follow these steps:

1. Go to the OFSFCCM Login page.



**Figure 63. OFSFCCM Login Page**

2. Select the Language for the application.
3. Enter your User ID.
4. Enter your Password.
5. Click **Login**. The OFSFCCM page displays.



**Figure 64. FCCM page**

**Note:** From the Set My Home Page drop-down list, select Financial Services Regulatory Reporting and click **Save**. This saves the Regulatory Reporting List page as the start page. If the Regulatory Reporting List page is the start page, the Home and the Logout links are enabled on this page. If not, the Logout link is available only in the landing page.

6. Click **FCCM**. The OFSFCCM Home page is displayed.

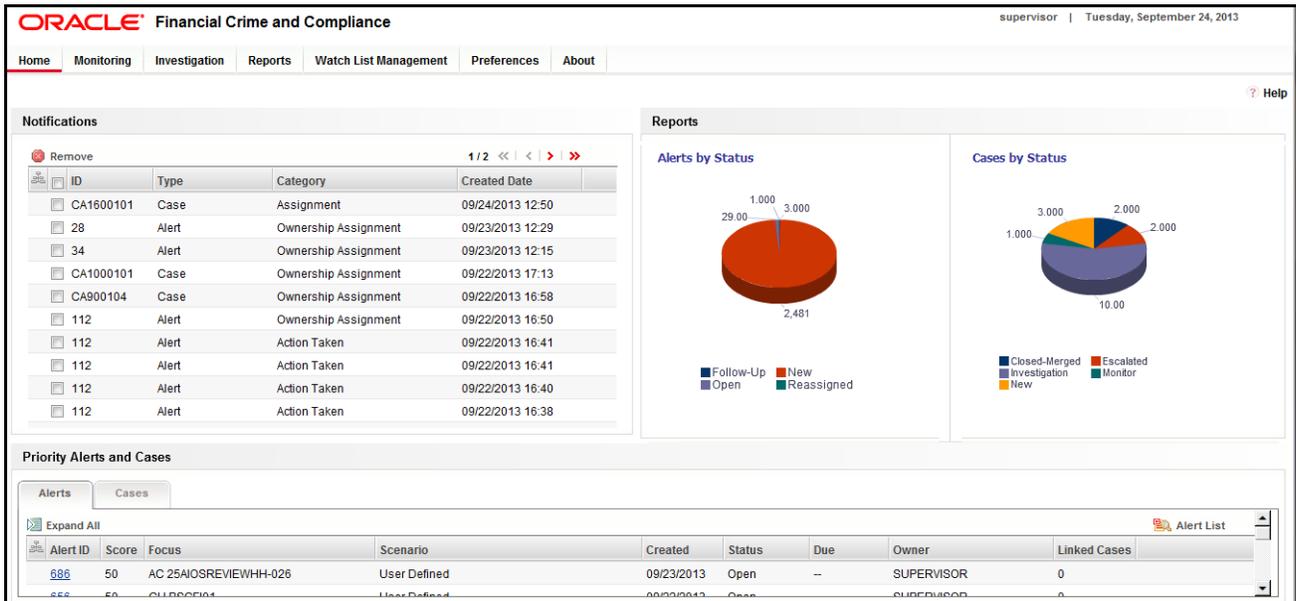


Figure 65. OFSFCCM Home Page

7. Click the Regulatory Reporting tab in the OFSFCCM Home page. The Regulatory Reporting List page opens.

**Note:** OFSRR can be configured and accessed from within the OFSFCCM. For more information, refer to the *Regulatory Reporting Installation Guide* and *Administration Guide*.

The Regulatory Reporting link is enabled only for users who have access to the OFSRR Application.

## Where to Find More Information

In order to have more information about the Oracle Financial Services Regulatory Reporting application, refer to the following Regulatory Reporting 2.4 documents:

- *Install Guide*
- *Web Services Guide*
- *Data Model Ref Guide*
- *Release Notes*

In addition, Regulatory Reporting 2.4 has the following form-specific documents:

- *User Guide and Admin Guide for SGSTR*
- *User Guide and Admin Guide for MYSTR*
- *User Guide and Admin Guide for NGSTR*
- *User Guide and Admin Guide for USSAR*
- *User Guide and Admin Guide for BAHAMAS STR*
- *User Guide and Admin Guide for NZ STR*



This chapter describes the Watch List Management functionality and gives step-by-step instructions for using it. The following topics are covered in this chapter:

- About Watch List Management
- Accessing Watch List Management
- Managing Watch Lists
- Managing Watch List Members

## ***About Watch List Management***

A Watch List is a list of entries that are known to have the same level of risk characteristics. Watch Lists can represent public sources or can be created and managed internally by the institution. Watch list data can originate from public sources, for example, the Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF) or a private sources like a client's list of entities on which suspicious activity reports have been filed.

Oracle Financial Services Watch List Management gathers risk metrics based on the processing of risk or trust values from client records during data ingestion. You can then use these risk metrics to identify high-risk behaviors. Watch lists and their entries conform to types and characters that the *Data Interface Specification (DIS)* specifies; OFSBDF audits all modifications.

Public lists used by clients are huge, and may contain typographical errors. Without the Watch List Management UI, clients have to accept these errors, or manually correct them each time the list is updated and transformed for delivery to Ingestion. Some clients established staging databases in which they applied corrections, managed internal lists, and transformed lists into the Oracle Financial Services DIS format. The staging database process created the following limitations:

- Inefficient processing
- Increased complexity
- Increased cost for installation
- Requirement that clients review

The Watch List Management UI addresses these limitations. With Watch List Management you can do the following:

- Search and select watch lists based on one or more criteria (that is, Name, Risk Type, Rating, Status, and Status Date)
- Create or deactivate a watch list
- Modify watch list attributes (for example, name, description, risk type, and trust level)

- Add and remove watch list entries (for example, names, addresses, and account numbers)
- Select multiple lists on which to apply modifications
- View a history of changes to each list and its entries

Users with roles mapped to this functionality can see it on the Oracle Financial Services Alert Management UI. For more information about user roles, refer to *User Privileges*, on page 11.

## Accessing Watch List Management

You can access the Watch List Management workflow by hovering over the Watch List Management menu. Click the **Manage Watch Lists** submenu option.

### Manage Watch Lists Page

The Manage Watch Lists page enables you to filter for the watch lists that you want to view and analyze on the Manage Watch Lists List page. The Manage Watch Lists page consists of the Manage Watch Lists Search section and the Manage Watch Lists section.

The screenshot shows the 'Manage Watch Lists' interface. It features a search section with various filters: Watch List Name, Risk Level, Status (set to Active), Created By, Business Domain, Watch List Code, Public/Private, Status Date From (07/27/2013), Jurisdiction, Watch List Type, Reason Added, Status Date To, and Created To (09/25/2013). Below the filters is a table with columns: Status, Watch List Code, Watch List Name, List Type, Risk Level, Public/Private, Reason Added, Business Domain, Jurisdiction, Created By, Create Date, Status Date, Edit, and History. A single row is visible with the following data: Active, TC, Test, Risk List, 1, Private, Y, CWS EMP, GEN..., DN of ..., supervi..., 09/22/2013, 09/22/2013.

Figure 66. Manage Watch Lists page

### Manage Watch Lists Search Section

The Manage Watch Lists Search section enables you to search for watch lists based on criteria that you provide within this search section. Drop-down lists and text boxes enable you to filter available watch lists more precisely for analysis. A blank value in a filter means that no specific value has been selected. If the blank value is selected, it will have no impact on filter criteria. The following fields are pre-populated:

- **Status:** Displays all statuses except *Deactivated*.
- **Created From:** Displays today's date - 60 days
- **Created To:** Displays today's date.

Only the watch lists that match your specified criteria are displayed when you click the **Go** button. If a search is performed with blank values in fields, then the results are displayed without applying filters on those fields. In particular, if a status is not specified, the system applies a set of underlying rules to the records returned in the results.

Blank search is not supported. You will need to enter one or more search criteria in order to execute a search. The following table describes the available filters.

**Table 43. Watch List Search Section Filters**

Field	Description
Watch List Name	Enter the name of the watch list that you wish to search for.
Watch List Code	Enter the unique three-character identifier of the watch list that you wish to search for.
Watch List Type	Select the type of watch list you wish to search for from the drop-down list.
Risk Level	Select the degree of risk associated with the watch list from the drop-down list.
Public/Private	Select whether the watch list you are searching for is a public or private watch list.
Reason Added	Enter the description of the watch list you wish to search for.
Status	Current status of the watch list. There are two possible statuses: <ul style="list-style-type: none"> <li>● Active</li> <li>● Deactivated</li> </ul> If you have access to view only Deactivated lists, this field will be blank.
Status Date From	Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.
Status Date To	Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.
Created From	Select a date range from which the watch list was created. By default, this field selects a date 60 days ago.
Created To	Select a date range during which the watch list was created. By default, this field selects today's date.
Created By	Select the name of the watch list creator from the drop-down list of all users that have a role with permission to Add Lists and Entries.
Business Domain	Select the business domain associated with the watch list. You must be mapped to the business domain that is associated with the watch list to be able to view it on the UI.
Jurisdiction	Select the jurisdiction associated with the watch list. You must be mapped to the jurisdiction that is associated with the watch list to be able to view it on the UI.

## Watch Lists Section

The Watch Lists section enables you to view the watch lists that are returned based on the search criteria you entered on the Watch Lists Search. The Watch Lists section displays when you click the **Go** button after you have entered search criteria. You must be mapped to the business domains and jurisdictions that are associated with the watch list to be able to view it on the UI.

### Components of the Watch Lists Section

The Watch Lists section consists of the Watch Lists header which contains the title *Watch Lists* and a count of the watch list search results. Individual check boxes are provided for each watch list that, when selected, allows you to designate the selected watch list for an action; and a matrix containing one or more watch lists.

#### Check Boxes

Check boxes are provided at the beginning of each row in the Watch Lists section. Select one or more of these boxes to take an action on one or more watch lists. Select the check box again to clear it. You can check individual watch

lists and then proceed with an action. To select all records, click the check box that is available in the List header. Select the check box again to clear all selected records.

### Action Buttons

The system provides the following action buttons that appear above the list of watch lists:

- **Expand All:** Click this button to expand all rows to display complete data for all watch lists in the Watch Lists section.
- **Add:** Click this button to add a new watch list. The Add Watch List pop-up window opens. For more information about adding a watch list, refer to *Adding Watch Lists* on page 171.
- **Deactivate:** Click this button to deactivate one or more watch lists. The Deactivate Watch List pop-up window opens. You cannot deactivate watch lists that are in the status *Deactivated*.
- **Export:** The Export icon allows you to export the Watch List data to Microsoft Excel.

**Note:** In the Watch List Management UI, the lock mechanism prohibits you from performing any activity while the batch processing of the watch list is in progress. Once the lock is cleared by the batch processes, you can again access the utility.

### Column Headings

Column headings provide labels that tell you what kind of information displays in the columns.

Most of the column headings in the Watch Lists section are sortable. You will be able to sort each column by right-clicking on the column header and choosing ascending or descending options.

The column heading that is selected for the sorting option displays with an arrow beside it. The direction of the arrow indicates the sort order (ascending or descending). When you click a different column heading, the arrow displays beside that column with the direction indicating the sort direction. Oracle Financial Services Alert Management refreshes the list and re-sorts the watch lists display by that field, retaining the current list entries based upon the criteria you selected in the Watch List Search. If you click the same column heading again, Oracle Financial Services Alert Management sorts the column in the opposite direction. The following table describes the columns in the Watch Lists section.

**Table 44. Watch List Columns**

Column Name	Description
Status	Displays the current status of the watch list and an icon that represents the status. The following statuses may display: <ul style="list-style-type: none"><li>● Pending</li><li>● Active</li><li>● Deactivated</li></ul>
Watch List Code	Lists the unique three-character identifier of the watch list as a hyperlink. Click the Watch List Code to view the Manage Watch List Members page, which displays all members associated with the selected watch list. Use the bread crumbs to navigate back to the Manage Watch Lists page.
Watch List Name	Displays the name of the watch list.
List Type	Displays the type associated with the watch list.
Risk Level	Displays the degree of risk associated with members of the watch list.

**Table 44. Watch List Columns**

Column Name	Description
Public/Private	Indicates the origin of the watch list: <ul style="list-style-type: none"> <li>● <b>Public:</b> Indicator of a public source as the origin of the watch list.</li> <li>● <b>Private:</b> Indicator of a private source as the origin or watch list; that is, a list maintained by the Oracle client.</li> <li>● <b>All:</b> Indicator of both Public and Private sources of watch lists.</li> </ul>
Reason Added	Displays the watch list description.
Business Domain	Displays the business domains associated with the watch list. You must be mapped to the business domain that is associated with the watch list to be able to view it on the UI.
Jurisdiction	Displays the jurisdictions associated with the watch list. You must be mapped to the jurisdiction that is associated with the watch list to be able to view it on the UI.
Created By	Name of the user who created the watch list.
Create Date	Date the watch list was created.
Status Date	The date when the status of this watch list was last updated.
Edit	Click the Edit button to open the Edit Watch Lists pop-up window and edit the watch list details. The Edit button is enabled only when you have access to edit and the list is not in Deactivated status. Deactivated lists cannot be edited. For more information, refer to <i>Editing Watch Lists</i> on page 172.
History	Click the History button to open the Watch Lists History pop-up window and view the watch list history. For more information, refer to <i>Viewing Watch List History</i> on page 173.

## Managing Watch Lists

The following sections describe how to manage watch lists.

- Adding Watch Lists
- Editing Watch Lists
- Viewing Watch List History
- Deactivating Watch Lists

### Adding Watch Lists

To add a watch list, follow these steps:

1. In the Watch Lists section of the Manage Watch Lists page, click the **Add** button. The Add Watch List pop-up window displays.

Figure 67. Add Watch List pop-up window

2. Enter the following information into the appropriate fields. Mandatory fields are marked with a red asterisk.

Table 45. Add Watch List fields.

Field	Description
Watch List Name	Enter the name of the watch list you wish to add.
Watch List Code	Enter the unique, three character identifier for the watch list you wish to add.
Watch List Type	Select the type of watch list you wish to add from the drop-down list. The Watch List Type you select helps populate your options in the Risk Level drop-down list.
Risk Level	Select the degree of risk associated with the watch list you wish to add from the drop-down list. The drop-down list is populated with specific values based on your selection in the Watch List Type drop-down list. However, if you have selected the Watch List Type <i>Trust</i> or <i>Exemption</i> , the system automatically assigns a risk level -1 and -2 (respectively) to the watch list and you will not need to select a value.
Public/Private	Select whether the watch list you are adding is public or private from the drop-down list.
Reason Added	Enter the watch list description.
Business Domain	Select the business domain you wish to associate with the watch list from the drop-down list. You must be mapped to the business domain associated with the watch list to be able to view it on the UI.
Jurisdiction	Select the jurisdiction you wish to associate with the watch list from the drop-down list. You must be mapped to the jurisdiction associated with the watch list to be able to view it on the UI.
Comments	Enter any comments for this watch list.

3. Click **Save**. The watch list is added to the Manage Watch Lists page and assigned an *Active* status.

## Editing Watch Lists

To edit a watch list, follow these steps:

1. Select a watch list in the Watch Lists section of the Manage Watch Lists page.
2. Click **Edit**. The Edit Watch List pop-up window displays.

**Figure 68. Edit Watch List pop-up window**

3. Enter the updated information in the appropriate field. Mandatory fields are marked with a red asterisk.

Not all fields are editable. You cannot remove a business domain or jurisdiction that is currently linked with at least one watch list member associated with this watch list.

The following fields are pre-populated and cannot be edited:

- Watch List Code
- Status
- Status Date
- Created By
- Create Date

4. Click **Save**. The watch list is updated in the Manage Watch Lists page.

## Viewing Watch List History

To view watch list history, follow these steps:

1. Select a watch list in the Watch Lists section of the Watch Lists page.
2. Click the **History** icon. The Watch List History pop-up window displays.

Action Name	Date and Time	By	Status	Watch List Name	List Type	Risk Level	Public/Private	Reason Added	Comments	Business Domain	Jurisdiction
Created	09/22/2013 02:26:04	SUPERV...	Active	Test	Risk List	1	Private	Y	tes	CWS,EMP,...	SA

**Figure 69. Watch List History pop-up window**

The history of the watch list displays in ascending order, based on date and time the action was recorded. The following table describes the columns in the Watch List History pop-up window.

**Table 46. Watch List History Columns**

Column Name	Description
Action Name	Name of the action which was taken on the watch list.
Date and Time	Date and Time at which the action was saved in the database.
By	Name of the user who has taken the action on the.

Table 46. Watch List History Columns

Column Name	Description
Status	Status of the watch list after the action was recorded.
Watch List Name	Name of the watch list after the action was recorded.
List Type	List Type associated with the watch list after the action was recorded.
Risk Level	Risk Level assigned to the watch list after the action was recorded.
Public/Private	Whether the watch list was public or private after the action was recorded.
Reason Added	Description of the watch list after the action was recorded.
Comments	Any user comments recorded with the action.
Business Domain	Business domain associated with the watch list after the action was recorded.
Jurisdiction	Jurisdiction associated with the watch list after the action was recorded.

3. Click **Close** to close the Watch List History pop-up window.

## Deactivating Watch Lists

To deactivate a watch list, follow these steps:

1. Select one or more watch lists in the Watch Lists section of the Watch Lists page. The status of the selected watch lists must be *Active*.
2. Click the **Deactivate** icon. The Deactivate Watch List pop-up window displays.



Figure 70. Deactivate Watch List pop-up window

The Deactivate Watch List pop-up window lists the watch lists you have selected to deactivate.

3. Enter comments in the Comments field.
4. Click **Save**. The watch list or lists are deactivated, and appear in the Manage Watch Lists page.
5. Click **OK** on the confirmation pop-up window to navigate to the Manage Watch Lists page.

**Note:** The Watch List Management Utility does not allow you to reactivate the deactivated watch lists. Therefore, you must perform the deactivation action carefully.

## Manage Watch List Members Page

You can manage Watch List Members by hovering over the Watch List Management option. Click the **Manage Watch List Members** submenu option. The Manage Watch List Members page displays.

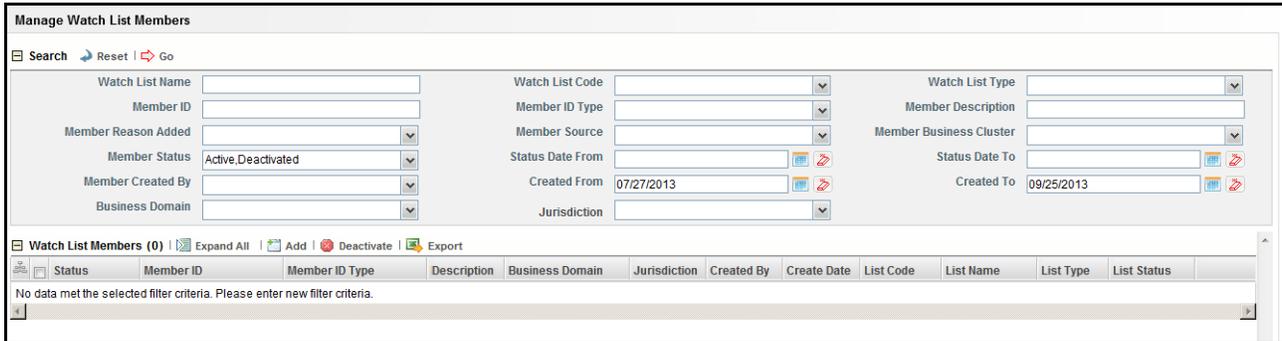


Figure 71. Manage Watch List Members page

## Manage Watch List Members Page Components

The Manage Watch List Members Search Section enables you to filter for the watch list members that you want to view and analyze on the Watch List Members List page. The Manage Watch List Members page consists of the Manage Watch List Members Search section and the Watch List Members section.

### Manage Watch List Members Search Section

The Manage Watch List Members Search section enables you to search for watch list members based on criteria that you provide within this search section. Drop-down lists and text boxes enable you to filter available watch list members more precisely for analysis. Only the watch list members that match your specified criteria are displayed when you click the **Go** button. A blank value in a filter means that no specific value has been selected. If the blank value is selected, it will have no impact on filter criteria. The following fields are pre-populated:

- **Status:** Displays all statuses except *Deactivated*.
- **Created From:** Displays today's date - 60 days
- **Created To:** Displays today's date.

You will need to enter one or more search criteria in order to execute a search. The following table describes the available filters.

Table 47. Watch List Members Search Section Filters

Field	Description
Watch List Name	Enter the name of the watch list that is associated with the watch list member you wish to search for.
Watch List Code	Enter the unique, three character identifier of the watch list that is associated with the watch list member that you wish to search for.

**Table 47. Watch List Members Search Section Filters**

Field	Description
Watch List Type	Select the type of watch list that is associated with the watch list member you wish to search for from the drop-down list.
Member ID	Enter the identifier or name of the member on the watch list.
Member ID Type	Select the type of entity represented by the member you wish to search for from the drop-down list.
Member Description	Enter a description for the watch list member.
Member Reason Added	Select the reason the member was added from the drop-down list.
Member Source	Select the source of the member you wish to search for from the drop-down list.
Member Business Cluster	Select the business cluster associated with the member you wish to search for from the drop-down list.
Member Status	Select the status of the watch list member you wish to search for from the drop-down list. There are two possible statuses: <ul style="list-style-type: none"> <li>● Active</li> <li>● Deactivated</li> </ul> If you have access to view only Deactivated lists, this field will be blank.
Status Date From	Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.
Status Date To	Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.
Member Created By	Select the name of the user who created the watch list member you wish to search for in the drop-down list.
Created From	Select a date range from which the watch list member was created. By default, this field selects a date 60 days ago.
Created To	Select a date range during which the watch list member was created. By default, this field selects today's date.
Business Domain	Select the business domain associated with the watch list member you wish to search for. You must be mapped to the business domain that is associated with the member to be able to view it on the UI.
Jurisdiction	Select the jurisdiction associated with the watch list member you wish to search for. You must be mapped to the jurisdiction that is associated with the member to be able to view it on the UI.

## Watch List Members

The Watch List Members matrix displays all the watch list members who match the default search criteria. If you change the search criteria and click **Go**, the matrix will display watch list members that match the updated search criteria.

## Components of the Watch List Members Section

The Watch List Members section consists of the Watch List Members header which contains the title *Watch List Members* and a count of the watch list member search results. Individual check boxes are provided for each watch list member that, when selected, allows you to designate the selected watch list member for an action; and a matrix

containing one or more watch list members. If you have navigated to this page by clicking **Watch List Code** in the Manage Watch Lists page, this section will display only members associated with that watch list, and the Watch List Name and Watch List Code fields will be pre-populated with the selected watch list. All other search filters will be set to blank.

### **Check Boxes**

Check boxes are provided at the beginning of each row in the Watch List Members section. Select one or more of these boxes to take an action on one or more watch list members. Select the check box again to clear it. You can check individual watch list members and then proceed with an action. To select all records, click the check box that is available in the List header. Select the check box again to clear all selected records.

### **Action Buttons**

The system provides the following action buttons that appear above the list of watch list members:

- **Expand All:** Click this button to expand all rows to display complete data for all watch list members in the Watch List Members section.
- **Add:** Click this button to add a new watch list member. The Add Watch List Members pop-up window opens. For more information about adding a watch list, refer to *Adding Watch List Members* on page 178. This button is enabled for users who have the appropriate role to add watch lists only.
- **Export:** The Export icon allows you to export the Watch List Member data to Microsoft Excel.

**Note:** In the Watch List Management UI, the lock mechanism prohibits you from performing any activity while the batch processing of the watch list is in progress. Once the lock is cleared by the batch processes, you can again access the utility.

### **Column Headings**

Column headings provide labels that tell you what kind of information displays in the columns.

Most of the column headings in the Watch List Members section are sortable. You will be able to sort each column by right-clicking on the column header and choosing ascending or descending options.

The column heading that is selected for the sorting option displays with an arrow beside it. The direction of the arrow indicates the sort order (ascending or descending). When you click a different column heading, the arrow displays beside that column with the direction indicating the sort direction. Oracle Financial Services Alert Management refreshes the list and re-sorts the watch lists display by that field, retaining the current list entries based upon the criteria you selected in the Watch List Search. If you click the same column heading again, Oracle Financial Services Alert Management sorts the column in the opposite direction. The following table describes the columns in the Watch List Members section.

Table 48. Watch List Members columns

Column Name	Description
Status	Displays the current status of the watch list member and an icon that represents the status. The following statuses may display: <ul style="list-style-type: none"><li>● Active</li><li>● Deactivated</li></ul>
Member ID	Displays the identifier or name of the watch list member. This identifier is a hyperlink that opens the Member Details popup. You will be able to see only the first 50 characters of the Member ID. You can increase the width of the field via the Field Chooser.
Member ID Type	Displays the type of entity represented by the watch list member.
Description	Provides a description of the watch list member.
Business Domain	Displays the business domains associated with the watch list member.
Jurisdiction	Displays the jurisdiction associated with the watch list member.
Created By	Displays the name of the watch list creator who created this member.
Create Date	Displays the date this watch list member was created.
List Code	Lists the unique identifier of the watch list this member is associated with.
List Name	Displays the name of the watch list this member is associated with.
List Type	Displays the type of watch list this member is associated with.
List Status	Displays the current status of the watch list this member is associated with.

## Managing Watch List Members

The following sections describe how to manage watch list members.

- Adding Watch List Members
- Viewing Watch List Member Details
- Deactivating a Watch List Member

### Adding Watch List Members

To add a watch list member, follow these steps:

1. In the Watch List Member Matrix, click the **Add** button. The Add Watch List Member pop-up window displays.

**Figure 72. Add Watch List Member pop-up window**

2. Enter the following information into the appropriate fields. Mandatory fields are marked with a red asterisk.

**Table 49. Add Watch List Member fields**

Field	Description
Watch List Code	Select the unique identifier Watch List Code for the watch list you wish to associate with this member.
Watch List Name	Name of the watch list associated with this member. This field is pre-populated based on the Watch List Code.
Watch List Type	Watch list type for the watch list associated with this member. This field is pre-populated based on the Watch List Code.
Watch List Status	Status of the watch list associated with this member. This field is pre-populated based on the Watch List Code.
Risk Level	Risk level of the watch list associated with this member. This field is pre-populated based on the Watch List Code.
Public/Private	Whether the watch list associated with this member is public or private. This field is pre-populated based on the Watch List Code.
Business Domain	The business domains associated with the watch list that is associated with this member. This field is pre-populated based on the Watch List Code.
Jurisdiction	The jurisdiction associated with the watch list that is associated with this member. This field is pre-populated based on the Watch List Code.
ID Type	Select the type of entity represented by the member from the drop-down list.
ID	Enter the identifier or name of the member you wish to add.
Source	Select the source of the member from the drop-down list.
Business Cluster	Select the business cluster associated with the member you wish to add from the drop-down list.
Reason Added	Select the reason this member is being added from the drop-down list.
Description	Enter a description for this member.
Comments	Enter comments for this member.

**Table 49. Add Watch List Member fields**

Field	Description
Business Domain	By default, this drop-down list is disabled and the Inherit Watch List Business Domains checkbox is checked. This means that the watch list member will inherit all domains assigned to the parent watch list (selected via the Watch List Code). Un-check the Inherit Watch List Business Domains checkbox to enable the Domains drop-down list, which is populated with all domains assigned to the watch list. If a watch list has not been selected via the Watch List Code, then the Domains drop-down list is blank. Check the checkbox again to clear and disable the Domains drop-down list.
Jurisdiction	Jurisdiction associated with the watch list member. This field is pre-populated.

**Note:** A watch list member **MUST** be associated with a watch list.

The values in the Business Cluster and Reason Added fields in the Add Watch List Member pop-up window will be displayed based on the attribute values available in the Reference Table Detail table.

The following table describes the attribute values for these fields:

**Table 50. Values in the Business Cluster and Reason Added fields**

Business Table	Business Field	Code Set Identifier	Instruction
Watch List Entry	Reason Added	Watch List Entry Reason Added	Code 1: Code for the Reason Added Code 2: not used Code Description: Description of reason for creating the watch list entry. Code Additional Information: not used
Watch List Entry	Source	Watch List Entry Source	Code 1: Code for the Source Code 2: not used Code Description: Description of source of the watch list entry. Code Additional Information: not used
Watch List Entry	Business Cluster	Watch List Entry Business Cluster	Code 1: Code for the business cluster Code 2: not used Code Description: Description of business cluster of the watch list entry. Code Additional Information: not used

3. Click **Save**. The member is added to the watch list.

## Viewing Watch List Member Details

To view member details, follow these steps:

1. In the Watch Lists section of the Watch Lists page, click the **Member ID** of the member you wish to view details for. The Watch List Member Details and History pop-up window displays.

Member Details				
<b>Watch List Details</b>				
Watch List Name:	A9	Watch List Code:	A9	
Watch List Type:	Risk List	Watch List Status:	Active	
Public/Private:	Private	Risk Level:	0	
<b>Member Details</b>				
Member ID:	1st member of A9	Member ID Type:	Central Bank	
Status:	Active	Status Date:	09/27/2013	
Source:	--	Business Cluster:	--	
Business Domain:	INST	Jurisdiction:	DN of AMEA	
Created By:	FCCM SUPERVISOR	Create Date:	09/27/2013	
Reason Added:	Internet			
Description:	--			
<b>Member History (1)</b>    Expand All				
Action Name	Date and Time	Status	By	Comments
Created	09/27/2013 02:31:06	Active	SUPERVISOR	Illegal Money Transfer.

**Figure 73. Watch List Member Details and History pop-up window**

The following table describes the columns in the Watch List Member Details and History pop-up window.

**Table 51. Fields in Watch List Member Details and History**

Field Name	Description
Watch List Name	Watch list name
Watch List Code	Watch list unique identifier
Watch List Type	Type of watch list.
Watch List Status	Status of watch list.
Risk Level	Degree of Risk associated with the watch list.
Public/Private	Public or Private watch list.
Status	Current status of this member
Status Date	Last status change date for this member.
Created By	Creator of the member.
Create Date	Date the member was created
ID Type	Type of entity represented by the member
ID	Identifier or name of member
Source	Source of the member
Business Cluster	Business cluster associated with the member
Business Domain	Business domain(s) associated with the member. If the member is associated with more than one domain, the UI displays available business domains in alphabetical order.
Jurisdiction	Jurisdiction associated with the member.
Reason Added	Reason member was added.
Description	Description of the watch list member.

## Deactivating a Watch List Member

Depending on your role and privileges, you can deactivate a watch list member in the Manage Watch List Members page.

To deactivate a watch list member, follow these steps:

1. Select one or more watch list members in the Watch List Members section of the Manage Watch List Members page. The status of the selected watch lists must be *Active*.
2. Click the **Deactivate** icon. The Deactivate Watch List Member pop-up window displays.

Status	Member ID	Member ID Type	Description	Business Domain	Jurisdiction	Created By	Create Date	Status Date	List Code	List Name	List Type	List Status
Active	1st member...	Central Bank	--	INST	DN of AMEA	FCCM SUPER...	09/27/2013	09/27/2013	A9	A9	Risk List	Active

Comment

Save Cancel

**Figure 74. Deactivate Watch List Member pop-up window**

The Deactivate Watch List Member pop-up window lists the watch list members you have selected to deactivate.

3. Enter comments in the Comments field.
4. Click **Save**. The watch list member or members are deactivated, and appear in the Manage Watch List Members page.
5. Click **OK** on the confirmation pop-up window to navigate to the Manage Watch List Members page.

**Note:** The Watch List Management Utility does not allow you to reactivate the deactivated watch lists. Therefore, you must perform the deactivation action carefully.

# *Generating Interactive Analytic Reports*

This chapter describes the Oracle Financial Services Interactive Analytic Reports reports and covers the following topics:

- About Interactive Analytic Reports
- AML Reports
- Fraud Reports
- .Broker Compliance Reports
- Trading Compliance Reports
- Energy and Commodity Trading Compliance Reports
- Productivity Reports
- Drill-Down Reports

## ***About Interactive Analytic Reports***

If you have Oracle Business Intelligence, Enterprise Edition (OBIEE) installed at your site, you will have access to the Oracle Financial Services Interactive Analytic reports.

## **Accessing the Interactive Analytic Reports Workflow**

You can access the Oracle Financial Services Alert Management Interactive Reports by clicking the **Reports** menu available as part of the primary navigation bar.

Upon navigation, you will see the dashboard tabs: AML, Productivity, and Threshold Analyzer based on user access. By default, AML dashboard displays first. You can select a different dashboard by clicking on the name of that dashboard on the tabs displayed at the top of the page.

Figure 75 displays the Oracle Interactive Dashboards for the Interactive Analytic Reports.

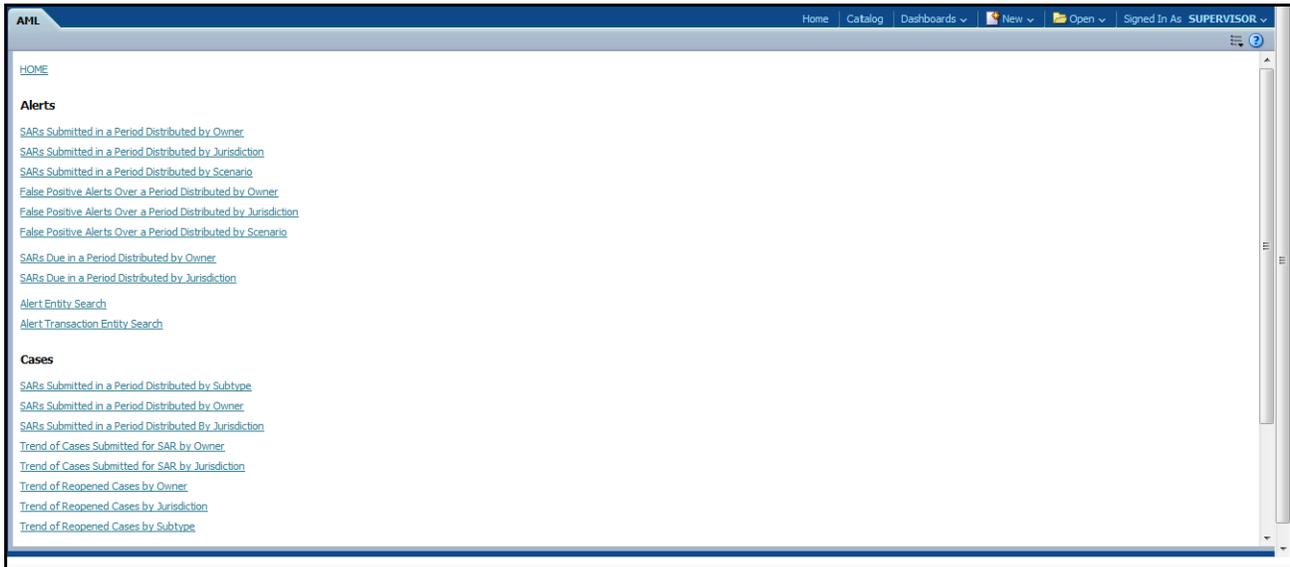


Figure 75. Interactive Analytic Reports Home Page

## Screen Elements Common to the Interactive Analytic Reports

The following section describes the common screen elements on the Oracle Financial Services Interactive Analytic Reports user interface.

### Dashboard Filters

The dashboard filters allow you to filter the reports by the data contained within them. The data in the filters depends on the user that has logged on to the system. Unless otherwise designated, the filters are optional and the report you generate will contain all the data (if the filters are left blank) or the data that is screened by the default data existing in the filters. After selecting the required filters, you click the **Go** button to generate the report. The filter elements are categorized as follows:

#### **Multi-Select Filters**

A multi-select filter allows you to select multiple values as a filter condition for the reports. To use a multi-select filter, click on the ellipsis button next to the field. A window opens with the list of available filter options on the right pane (Figure 76). The right of the multi-select box provides a list of the filter options available to you. At the top of this list, you have the option to further filter the data. You can select the type of match from one of the following options: **begins with**, **ends with**, **contains**, **is LIKE (pattern match)** and the condition you require. For example, if you want to find the data beginning with the letter **K**, you select **begins with** on the **Match** field, enter the letter **K** in the corresponding text box, and click **Go**. The results returned will be all the data starting with the letter K. This search is not case-sensitive.

Below this section the number of choices returned displays. The section on the left provides a space for selected data. To select a data item for the filter, double-click on the data item or select the data and click the (**<**) button. You can also select all the data by clicking the (**<<**) button. To deselect the data from the Selected section, double-click on the data you do not want to use as a filter, or select the data and click the (**>**) button. You can deselect all the data

from the Selected list box by clicking the (>>) button. When you have selected the required filters, click **OK** to confirm the selection, or **Cancel** to discard it.

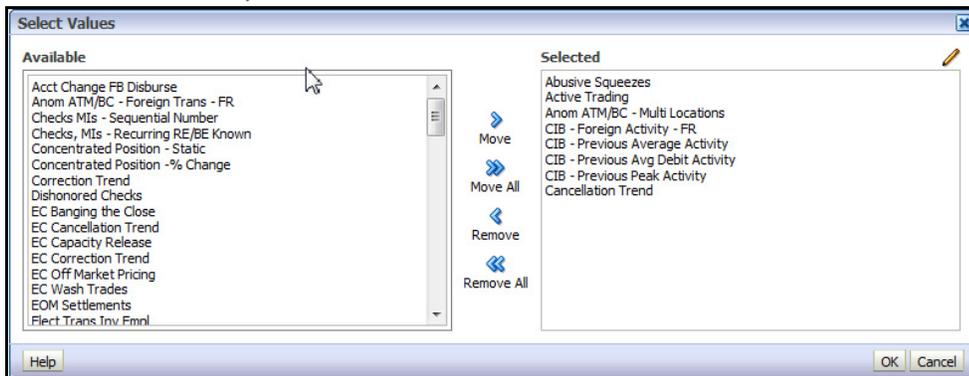


Figure 76. Multi-select Box for Interactive Analytic Reports

### **Drop-down list Filters**

Drop-down List filters provide a list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selections. Following are the drop-down lists common to Interactive Analytic Reports.

#### **Trend Drop-down List**

The trend drop-down list provides two values—Weekly and Monthly. The weekly trend displays the data for the past rolling quarter on a weekly basis. The monthly trend displays the data for the past rolling year on a monthly basis.

#### **Period Drop-down List**

The period drop-down list provides a list of three options—Week, Month, and Year. The Week option returns data for the past one week; the Month option returns data for the past one month; and the Year option returns data for the past one year.

### **Text Box Filters**

A single rectangular box in which you can type text. If the box already contains text, you can select that default text or delete it and type new text. Some text boxes limit the number of characters that you can use. If so, the text box will show the maximum number of characters you can enter.

### **Report Links**

Report links are provided beneath each report allowing you to refresh, download, or print the report.

#### **Refresh**

When clicked, the **Refresh** link refreshes the results of the current request. It clears the filters (if the **Go** button has not been clicked after selection of the filters thereby refreshing the report with the selected filters).

#### **Print**

When clicked, displays the current report in PDF or HTML format at which point you can select **Print** to print it.

## Download

When clicked, downloads the current report into Excel, PowerPoint, or a Web page.

## Error Messages

When there is not enough data in the database for the system to display results for the selected filters, or if a required field has not been filled, the application generates the following message: No Result For the Selected Criteria. You can then change the filters, check to see if any mandatory fields are left blank, and try again.

## Hover Over Feature

You can hover over a sector of a bar or pie chart to get an actual count for that sector.

## Navigating the Reports

The Oracle Financial Services Alert Management Interactive Analytic Reports provide three separate dashboards:

- AML
- BC
- ECTC
- Productivity
- Threshold Analyzer
- TC

**Note:** Threshold Analyzer is not documented in this guide. Refer to the *Administration Guide*, for information on Threshold Analyzer.

By default, the AML dashboard the first report you see when you access the Interactive Analytic reports. You can click on one of the tabs at the top of the dashboard to access a different dashboard. The tab for the current dashboard remains highlighted.

For each of the AML and Productivity reports, there are links on the left of the screen divided into various categories such as Alerts, Cases, Others, Financials, and so forth. Under each category there are links to the various individual reports within that category. To access a report, click on the link displaying the name of the report that you want to view.

Chapter , “User Privileges,” on page 11, provides the access to all reports based on access permissions provided to your role.

## Customizing the Reports

You can customize the Interactive Analytic Reports; however, customization information is not documented in this guide. Refer to the *Configuration Guide* for customization information.

## AML Reports

The Anti-Money Laundering (AML) reports are divided into three categories, Alerts, Cases, and Others (Figure 77).

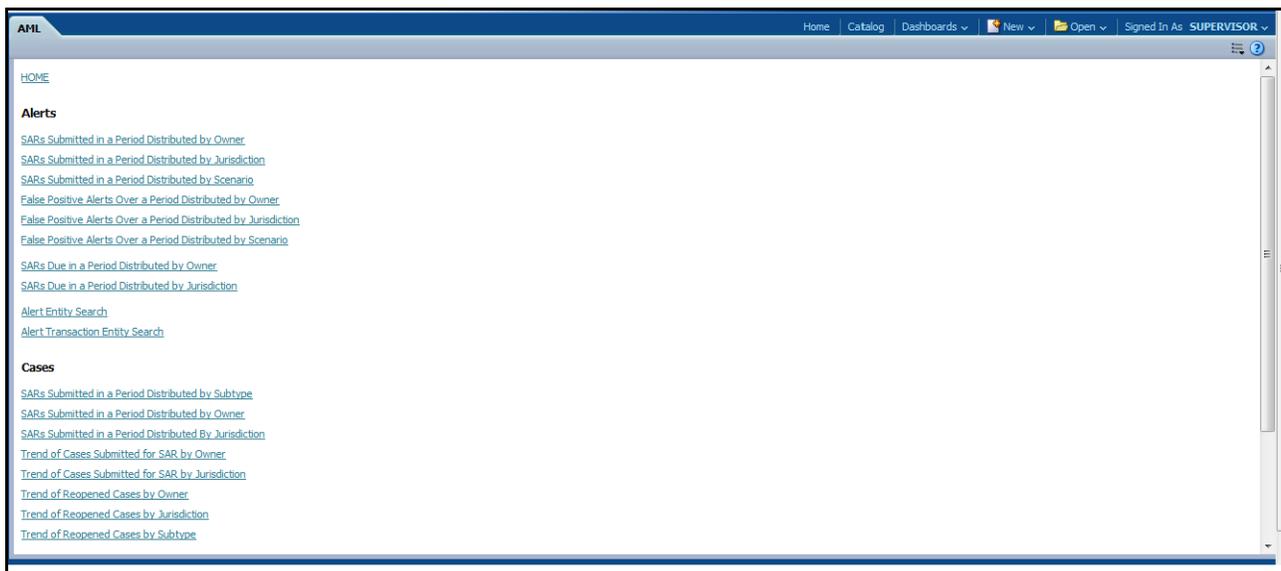


Figure 77. AML Reports Dashboard

## AML Reports for Alerts

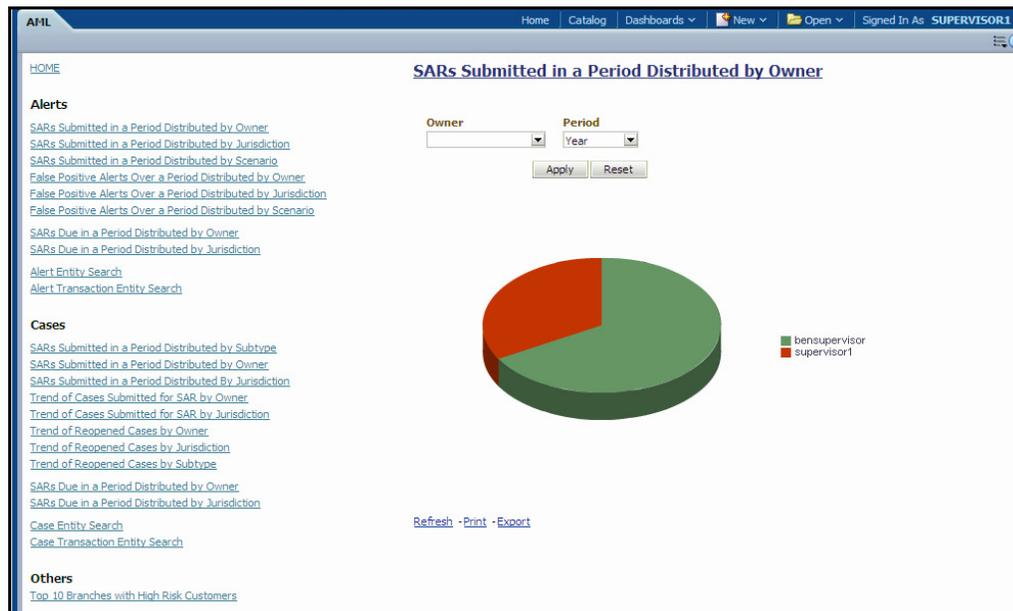
The following AML reports are generated for alerts:

- **SARs Submitted in a Period Distributed by Owner:** Displays a pie chart for the count of SARs submitted in a period associated with alerts and distributed by Owner.
- **SARs Submitted in a Period Distributed by Jurisdiction:** Displays a pie chart for the count of SARs submitted in a period associated with alerts and distributed by Jurisdiction.
- **SARs Submitted in a Period Distributed by Scenario:** Displays a pie chart for the count of SARs submitted in a period associated to alerts and distributed by Scenario.
- **False Positive Alerts Over a Period Distributed by Owner:** Displays a pie chart for the count of alerts that are closed in a period with a closing classification of non-actionable and distributed by Owner.
- **False Positive Alerts Over a Period Distributed by Jurisdiction:** Displays a pie chart for the count of alerts that are closed in a period with a closing classification of non-actionable and distributed by Jurisdiction.
- **False Positive Alerts Over a Period Distributed by Scenario:** Displays a pie chart for the count of alerts that are closed in a period with a closing classification of non-actionable and distributed by Scenario.
- **SARs Due in a Period Distributed by Owner:** Displays a pie chart for SARs due during a period by owners of the underlying investigation.
- **SARs Due in a Period Distributed by Jurisdiction:** Displays a pie chart for SARs due during a period for jurisdictions associated to the underlying.
- **Alert Entity Search:** Displays a pie chart for alerts that are associated to the entity of interest to the user.
- **Alert Transaction Entity Search:** Displays a pie chart for alerts that contain the transaction of interest to the user.

## SARs Submitted in a Period Distributed by Owner

This report shows the count of Suspicious Activity Reports (SARs) associated with alerts for a status of FILED and distributed by Owner. This is a pie chart report. Each section of the pie chart represents the count of SARs within a time period and for a selected owner. When you click this report link, the system displays the pie chart of all the available owners and filtered by the period shown in the **Period** drop-down list.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected owner between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 78).



**Figure 78. SARs Submitted in a Period Distributed by Owner**

The following filter options are available for this report:

- **Owner:** A multi-select box that provides a list of current owners associated with the alert. The list of display names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. This filter option is blank by default.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List*, on page 224 to see an example of a SAR List drill-down report.

## SARs Submitted in a Period Distributed by Jurisdiction

This report shows the count of Suspicious Activity Reports (SARs) associated to alerts with a status of FILED and distributed by Jurisdiction. This is a pie chart report. Each section of the pie chart represents the count of SARs within a time period and for a selected jurisdiction. When you click this report link, the system displays the pie chart of all the available jurisdictions and filtered by the period shown in the Period drop-down list.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected jurisdiction between May

14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 79).



**Figure 79. SARs Submitted in a Period Distributed by Jurisdiction**

The following filter options are available for this report:

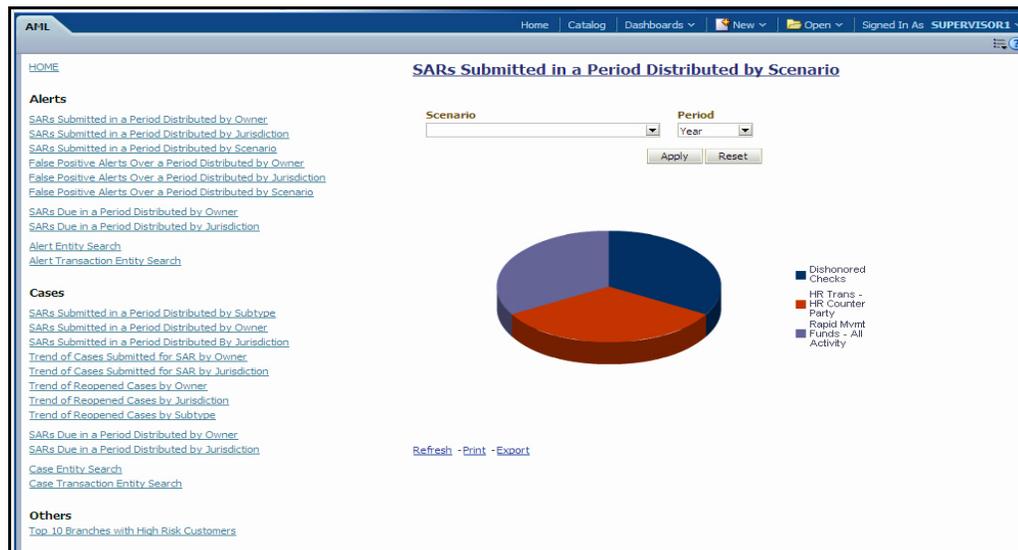
- **Jurisdiction:** A multi-select box that provides a list of possible jurisdictions associated with the investigations for which SARs have been filed.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. The list shows only those SAR IDs that are in Active status. Refer to *SAR List*, on page 224 to see an example of a SAR List drill-down report.

### SARs Submitted in a Period Distributed by Scenario

This report shows the count of Suspicious Activity Reports (SARs) associated with alerts with a status of FILED and distributed by Scenario. This is a pie chart report. Each section of the pie chart represents the count of SARs within a time period for selected scenarios. When you click this report link, the system displays the pie chart of scenarios for which a SAR has been submitted within the selected period.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected scenario between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 80)



**Figure 80. SARs Submitted in a Period Distributed by Scenario**

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of the scenarios associated with the investigations for which SARs have been filed. This list provides the distinct value of the scenario short name sorted alphabetically in ascending order. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

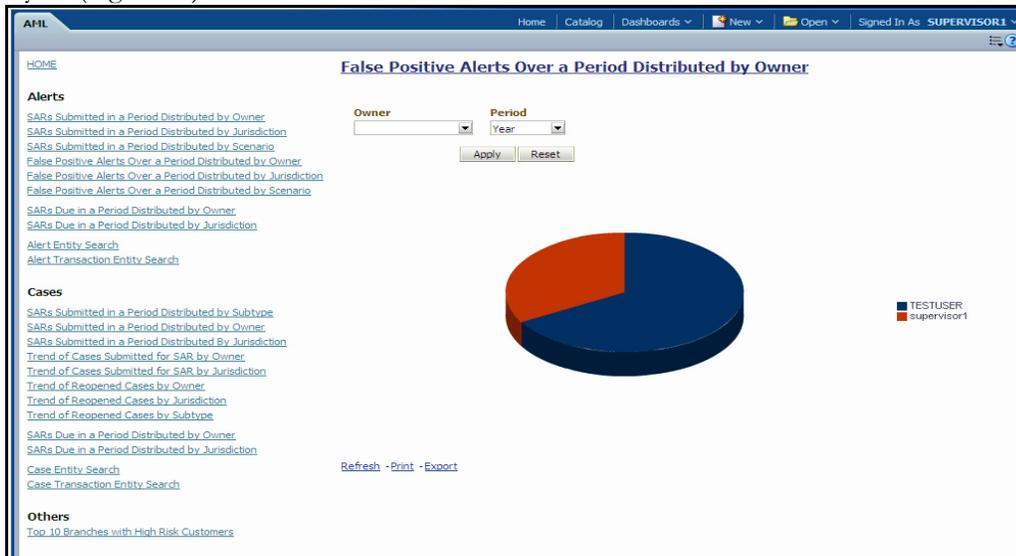
When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List*, on page 224 to see an example of a SAR List drill-down report.

### False Positive Alerts Over a Period Distributed by Owner

This report provides a pie chart for the count of false positive alerts distributed by Owner over a period of time. A false positive alert is an alert for which the status is closed and the closing classification is CL03 (Non-actionable code).

When you click this report link, the system displays a pie chart of all the available owners and filtered by the period shown in the Period drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of false positive alerts distributed by owner between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 81).



**Figure 81. False Positive Alerts Over a Period Distributed by Owner**

The following filter options are available for this report:

- **Owner:** This multi-select filter provides a list of current owners associated with the alert. The list of names presented in the **Owner** selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select a count of the false positive alerts distributed by owner within the past week, month or year. The default value is Month.

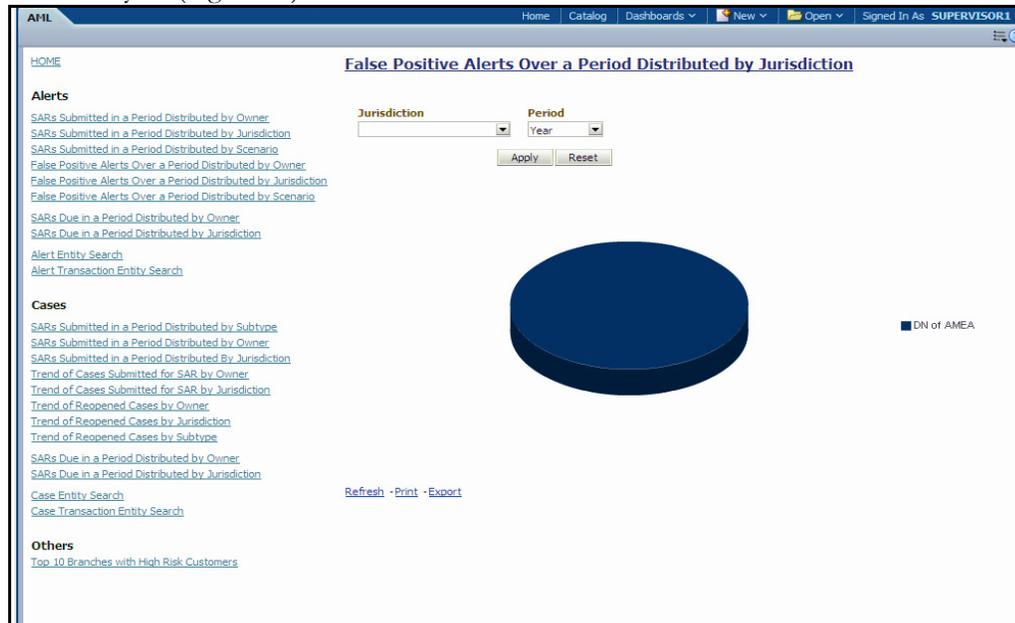
When you click on a section of the pie chart, the corresponding Alert List drill-down report displays. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

### False Positive Alerts Over a Period Distributed by Jurisdiction

This report provides a pie chart for the count of false positive alerts distributed by Jurisdiction over a period of time. A false positive alert is an alert for which the status is closed and the closing classification is CL03 (Non-actionable code).

When you click this report link, the system displays a pie chart of all the available jurisdictions and filtered by the period shown in the **Period** drop-down list.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of false positive alerts distributed by jurisdiction between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 82).



**Figure 82. False Positive Alerts Over a Period Distributed by Jurisdiction**

The following filter options are available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the alert. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select a count of false positive alerts distributed by jurisdiction within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding Alert List drill-down report displays in tabular format. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

### False Positive Alerts Over a Period Distributed by Scenario

This report provides a pie chart for the count of false positive alerts distributed by Scenario over a period of time. A false positive alert is an alert for which the status is closed and the closing classification is CL03 (Non-actionable code).

When you click this report link, the system displays a pie chart of all the available scenarios and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of false positive alerts distributed by scenario between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 83).



**Figure 83. False Positive Alerts Over a Period Distributed by Scenario**

The following filter options are available for this report:

- **Scenario:** A multi-select filter that provides a list of scenarios associated with the alerts. The list of names presented in the **Scenario** selection box is sorted alphabetically in ascending order by the distinct scenario short name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select a count of false positive alerts distributed by scenario within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding Alert List drill-down report displays in tabular format. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

### SARs Due in a Period Distributed by Owner

This report displays a pie chart showing the count of SARs due within the period and distributed by Owner. The SAR due date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the owners available to be viewed by you and filtered by the period shown in the Period drop-down list.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected owner between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year

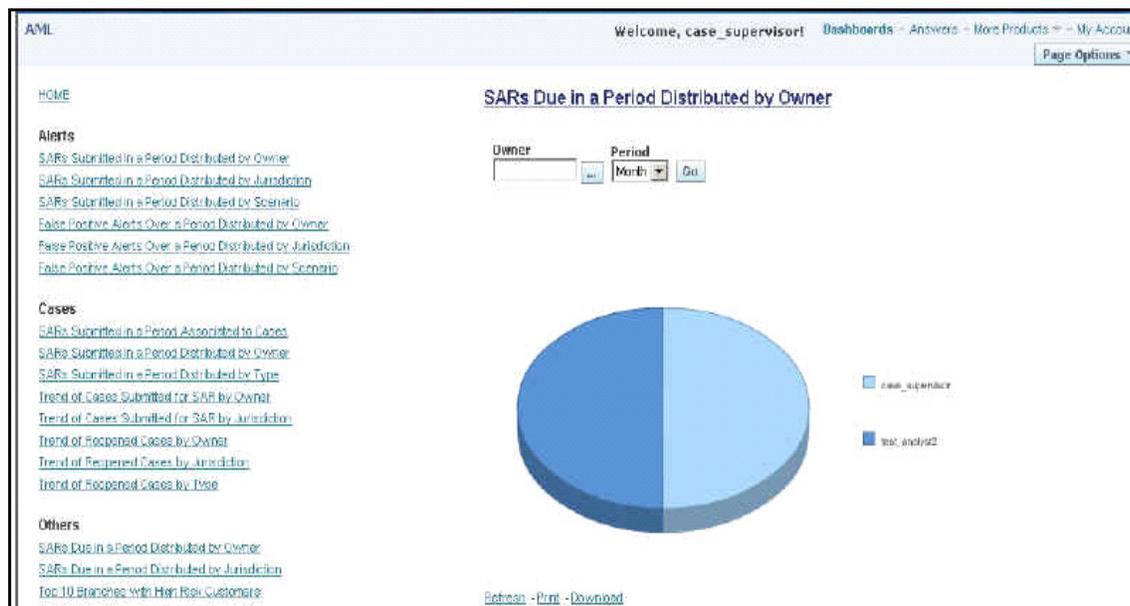


Figure 84. SARs Due in a Period Distributed by Owner

The following filter options are available for this report:

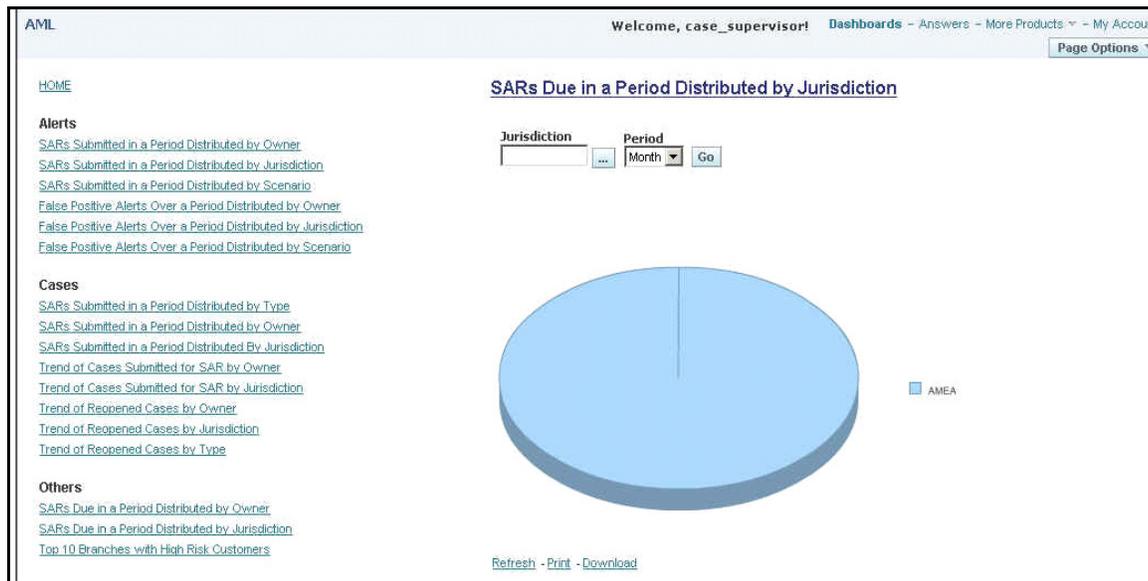
- **Owner:** A multi-select filter that provides a list of current owners associated with the underlying investigation. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs distributed by Owner due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 224 for an example of a SAR List drill-down report.

### SARs Due in a Period Distributed by Jurisdiction

This report displays a pie chart showing the count of SARs in OPEND status and distributed by Jurisdiction associated to the underlying investigation. Each section of the pie chart denotes the count of SARs due within a time period for selected jurisdictions. The SAR due-date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the jurisdictions available to be viewed by you and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected jurisdiction between May 14th and June 14th. In other words, for the past one month. Similarly, the report can display data for a week or a year.



**Figure 85. SARs Due in a Period Distributed by Jurisdiction**

The following filter options are available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs distributed by Jurisdiction due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 224 for an example of a SAR List drill-down report.

### Alert Entity Search

This report shows information related to alerts that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Account, Alert Matched Employee (for example, Employee, Trader or Registered Rep), and Alert Correlated Customers.

Hover over a pie in the chart to display the name of the scenario and the number of alerts found for that scenario (Figure 86).



**Figure 86. Alert Entity Search for AML**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

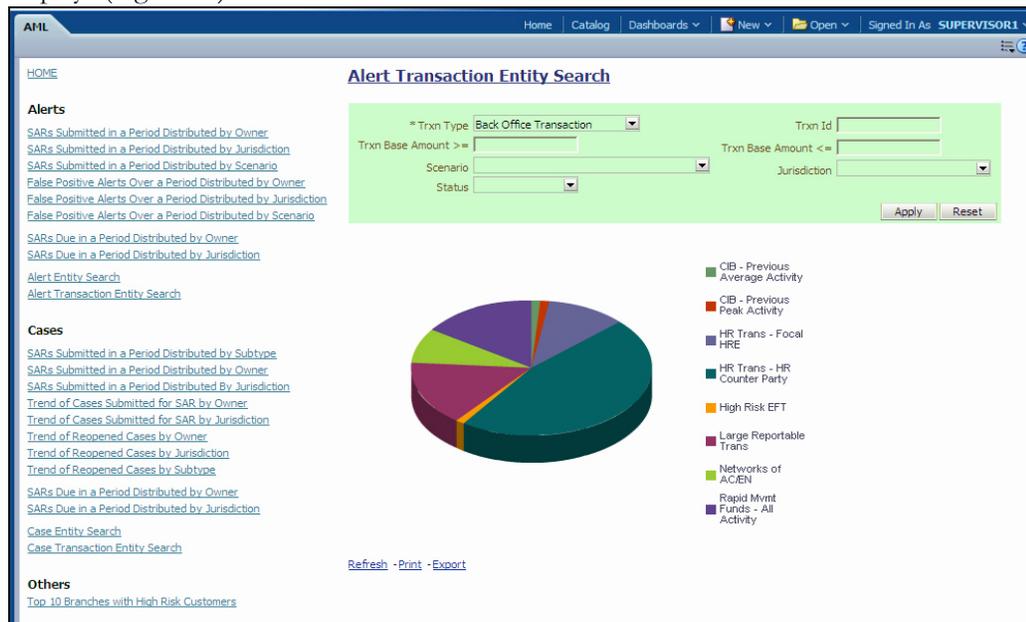
## Alert Transaction Entity Search

This report shows information related to alerts that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the scenarios of the alerts within the selected scenario, status, and jurisdiction.

You can enter a transaction and search for those alerts, which have an association to that transaction entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include:

- Alert Matched Cash Transactions
- Alert Matched Wire Transactions
- Alert Matched Monetary Instrument Transaction
- Alert Matched Back Office Transactions
- Cash Transaction
- Back Office Transaction
- Monetary Instrument Transactions
- Wire Transactions

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 87).



**Figure 87. Alert Transaction Entity Search for AML**

The following filter options are available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the alert. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.
- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.

- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop down list box that allows you to select from the list of scenarios associated with the alert transaction entity. The list of names presented in the **Scenario** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

## **AML Reports for Others**

The Others report for the AML is the **Top 10 Branches with High Risk Customers**. This report displays a stacked bar graph for each of the top 10 branches of an organization that have the largest number of high risk customers.

### **Top 10 Branches with High Risk Customers**

This report displays a stacked bar for each of the top 10 highest risk branches for an organization. Each bar shows the count of customers for that branch segmented into a risk level from 6 to 10. Each color on the bar corresponds to a risk level specified on the legend axis. There is no drill-down capability and no filtering mechanism for this report.

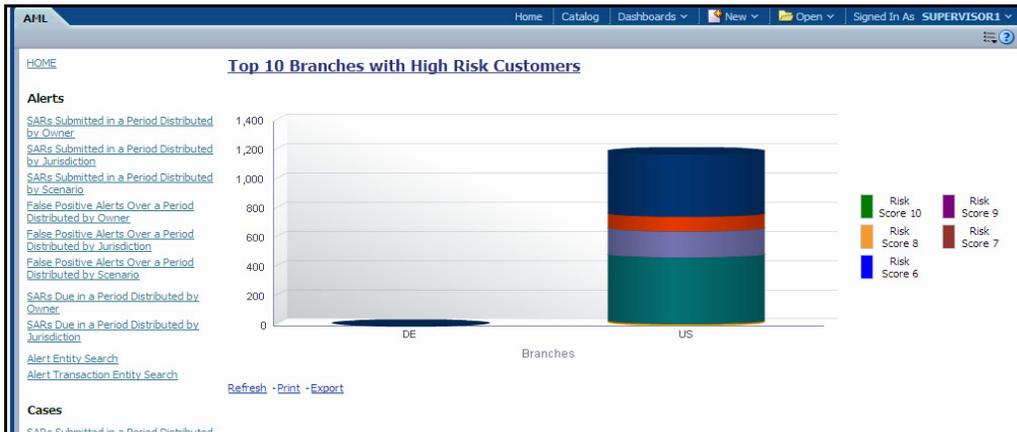


Figure 88. Top 10 Branches with High Risk Customers

## Fraud Reports

Fraud reports contain Regulatory Activity, Financials, Alerts, and Cases reports (Figure 89).

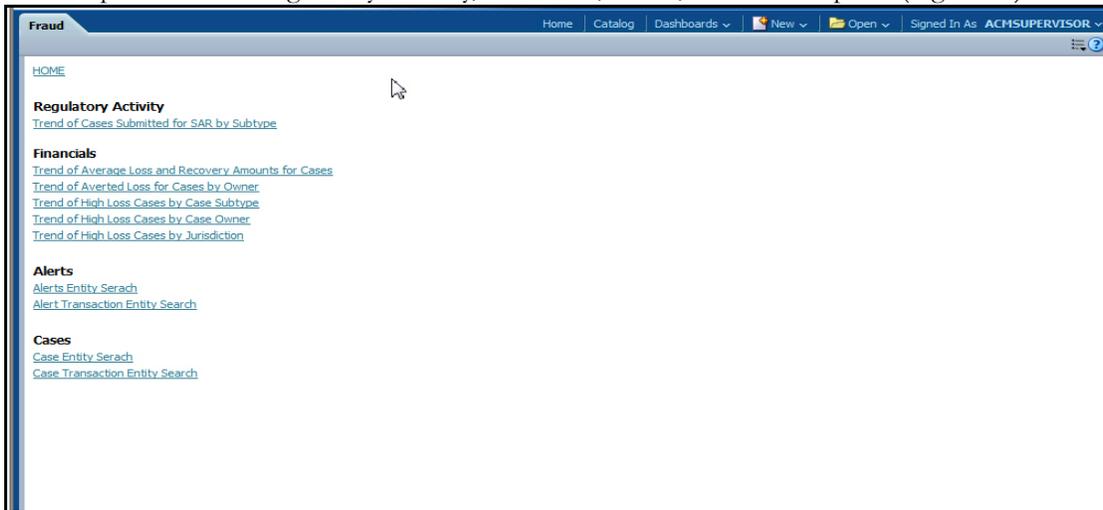


Figure 89. Fraud Reports Dashboard

## Fraud Reports for Alerts

The following Fraud reports are generated for alerts:

- **Alert Entity Search:** Displays a pie chart for alerts that are associated to the entity of interest to the user.
- **Alert Transaction Entity Search:** Displays a pie chart for alerts that contain the transaction of interest to the user.

## Alert Entity Search

This report shows information related to alerts that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Account, Alert Matched Employee (for example, Employee, Trader or Registered Rep), and Alert Correlated Customers.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 90).

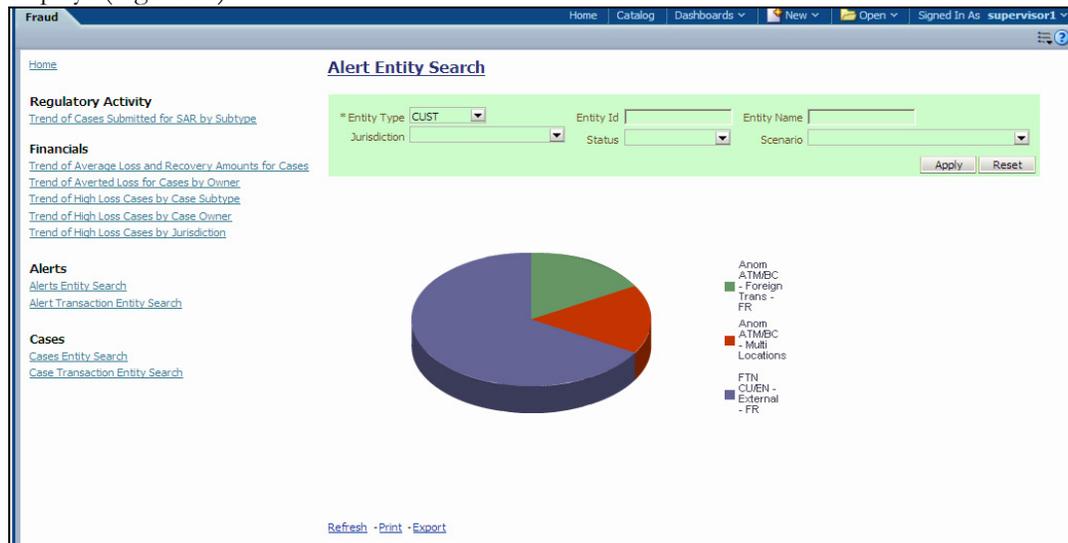


Figure 90. Alert Entity Search for Fraud

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted

alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

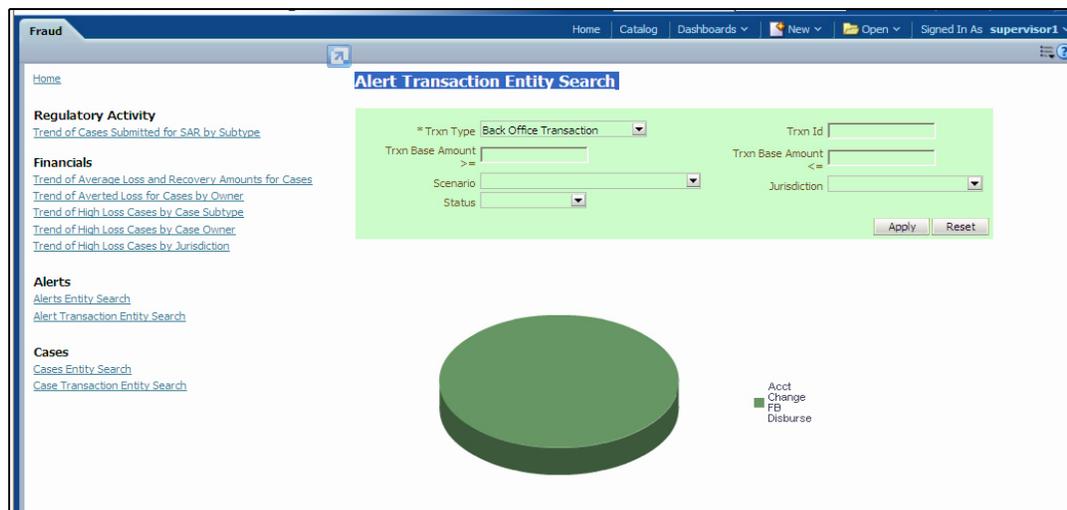
### Alert Transaction Entity Search

This report shows information related to alerts that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the scenarios of the alerts within the selected scenario, status, and jurisdiction.

You can enter a transaction and search for those alerts, which have an association to that transaction entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include:

- Alert Matched Cash Transactions
- Alert Matched Wire Transactions
- Alert Matched Monetary Instrument Transaction
- Alert Matched Back Office Transactions
- Cash Transaction
- Back Office Transaction
- Monetary Instrument Transactions
- Wire Transactions

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 91).



**Figure 91. Alert Transaction Entity Search for Fraud**

The following filter options are available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the alert. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.

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When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the **Alert Details** page

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- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.
- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop down list box that allows you to select from the list of scenarios associated with the alert transaction entity. The list of names presented in the **Scenario** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the **Alert Details** page

## **.Broker Compliance Reports**

The Broker Compliance (BC) reports comprises of Alerts categories (Figure 77).

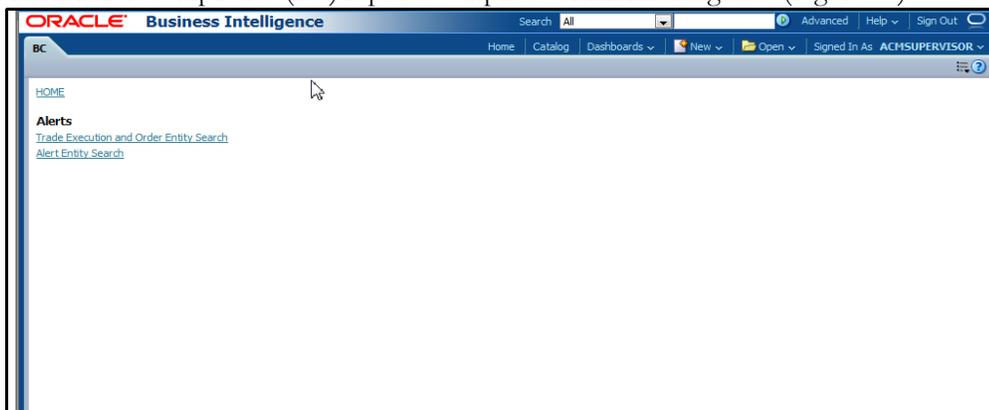


Figure 92. Broker Compliance Reports Dashboard

## **Broker Compliance Reports for Alerts**

The following BC reports are generated for alerts:

- **Trade Execution and Order Entity Search:** Displays a pie chart for alerts that contain the trade execution of interest to the user.
- **Alert Entity Search:** Displays a pie chart for alerts that are associated to the entity of interest to the user.

### Trade Execution and Order Entity Search

This report shows information related to alerts that contain the trade execution of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Trades, Alert Matched Executions, Alert Matched Orders, Trade, Order, and Execution.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 93).



**Figure 93. Trade Execution and Order Entity Search for BC**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Amount >=:** A text box that allows you to search based on the trades or executions amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the trades or executions amount satisfies the user entered condition.
- **Amount <=:** A text box that allows you to search based on the trades or executions amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the trades or executions amount satisfies the user entered condition.

- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

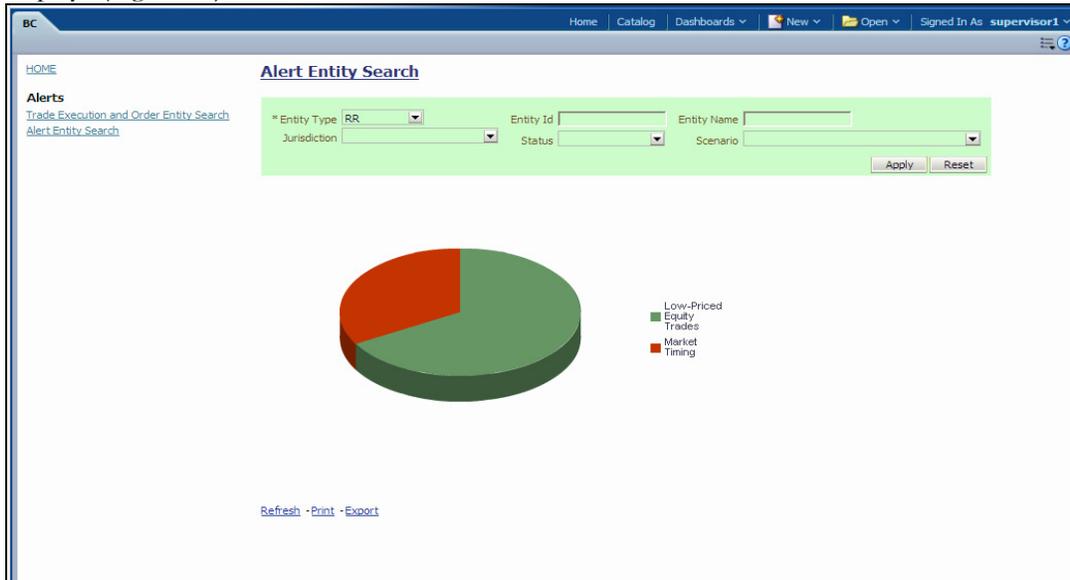
When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

### Alert Entity Search

This report shows information related to alerts that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Account, Alert Matched Employee (for example, Employee, Trader or Registered Rep), and Alert Correlated Customers.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 90).



**Figure 94. Alert Entity Search for BC**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

## Trading Compliance Reports

The Trading Compliance (TC) reports comprises of the Alerts categories (Figure 77).

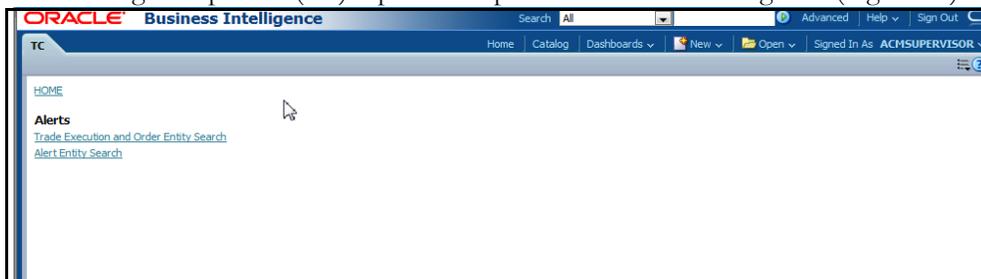


Figure 95. Trading Compliance Reports Dashboard

### Trading Compliance Reports for Alerts

The following BC reports are generated for alerts:

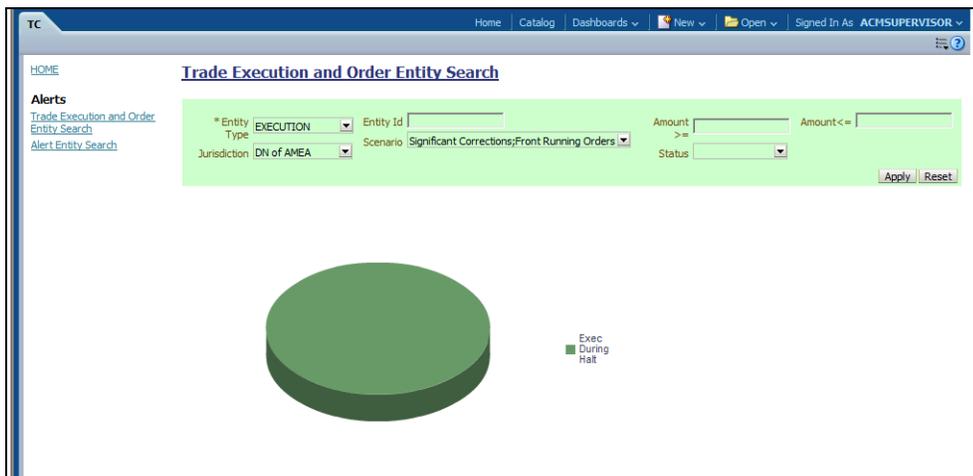
- **Trade Execution and Order Entity Search:** Displays a pie chart for alerts that contain the trade execution of interest to the user.
- **Alert Entity Search:** Displays a pie chart for alerts that are associated to the entity of interest to the user.

## Trade Execution and Order Entity Search

This report shows information related to alerts that contain the trade execution of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Trades, Alert Matched Executions, Alert Matched Orders, Trade, Order, and Execution.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 96).



**Figure 96. Trade Execution and Order Entity Search for TC**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Amount >=:** A text box that allows you to search based on the trades or executions amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the trades or executions amount satisfies the user entered condition.
- **Amount <=:** A text box that allows you to search based on the trades or executions amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the trades or executions amount satisfies the user entered condition.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted

alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert' entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

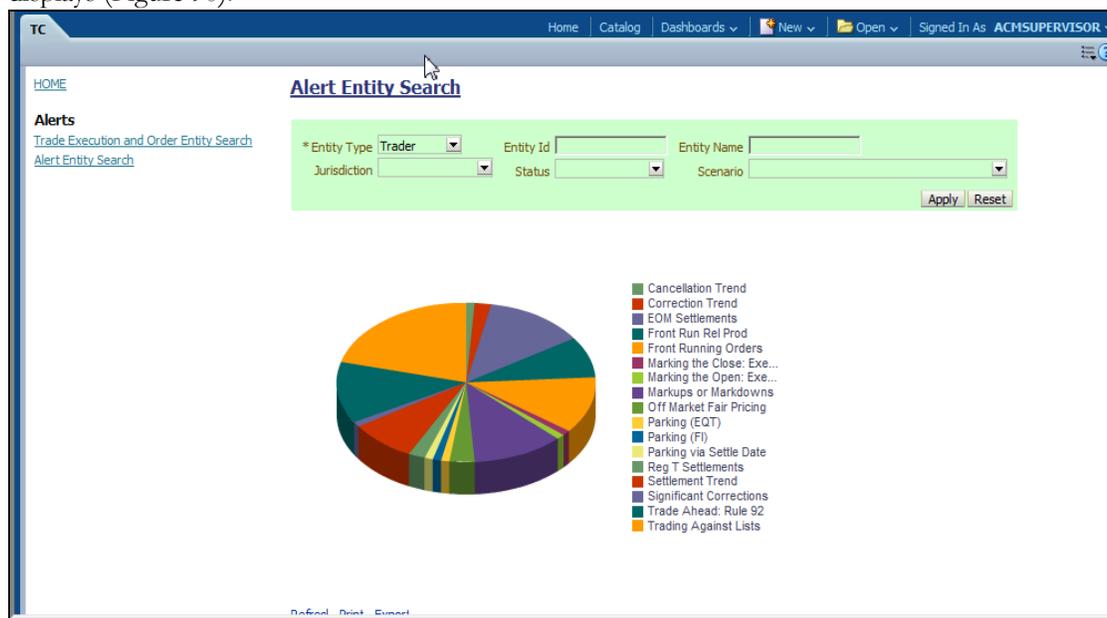
When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

## Alert Entity Search

This report shows information related to alerts that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search entity to alerts. These views include: Alert Matched Account, Alert Matched Employee (for example, Employee, Trader or Registered Rep), and Alert Correlated Customers.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 90).



**Figure 97. Alert Entity Search for TC**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.

- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

## Energy and Commodity Trading Compliance Reports

The Energy and Commodity Trading Compliance (ECTC) reports comprises of the Alerts category (Figure 77).

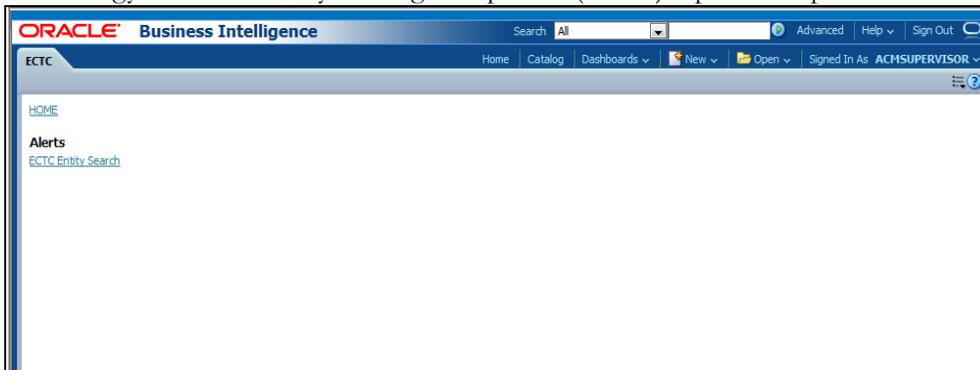


Figure 98. Energy and Commodity Trading Compliance Reports Dashboard

### ECTC Reports for Alerts

The following ECTC reports are generated for alerts:

- **Alert Entity Search:** Displays a pie chart for alerts that are associated to the ECTC entity of interest to the user.

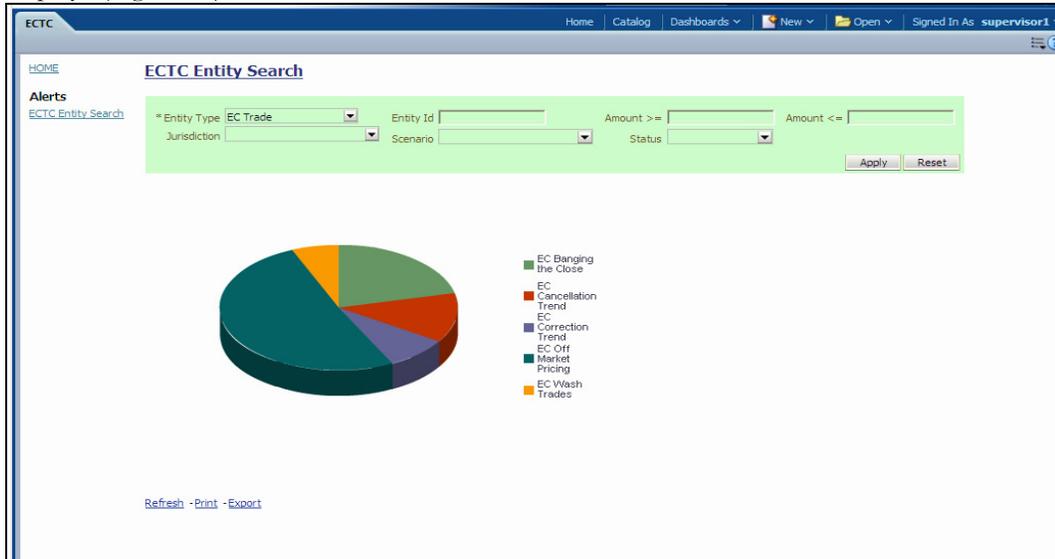
#### Alert Entity Search

This report shows information related to alerts that are associated to the ECTC activity of interest to the user. This is a pie chart report. Each section of the pie chart represents the scenarios of the alert within the selected scenario, status, and jurisdiction.

You can enter an entity and search for those alerts, which have an association to that entity. Entity search utilizes the Alert Matched Entity views created for the various business subject areas to determine association of the search

entity to alerts. These views include: Alert Matched EC Trades, Alert Matched Natural Gas Flows, Natural Gas Flows, and Energy and Commodity Trades.

On hover over to a pie in the chart, the name of the scenario and the number of alerts found for that scenario displays (Figure 99).



**Figure 99. Alert Entity Search for ECTC**

The following filter options are available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the alert. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Amount >=:** A text box that allows you to search based on the transactions amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transactions amount satisfies the user entered condition.
- **Amount <=:** A text box that allows you to search based on the transactions amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transactions amount satisfies the user entered condition.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the alert's entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the alert's entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Scenario:** A multi-select drop-down list box that allows you to select from the list of scenarios associated with the alert's entity. The list of names presented in the **Scenario** multi-select drop down list box is sorted

alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Alert** link. Clicking the **View Alert** link opens a pop-up window along with the Alert Details page.

## Productivity Reports

Productivity reports are divided into three categories, Alerts, Cases, and Trade Blotter (Figure 100).

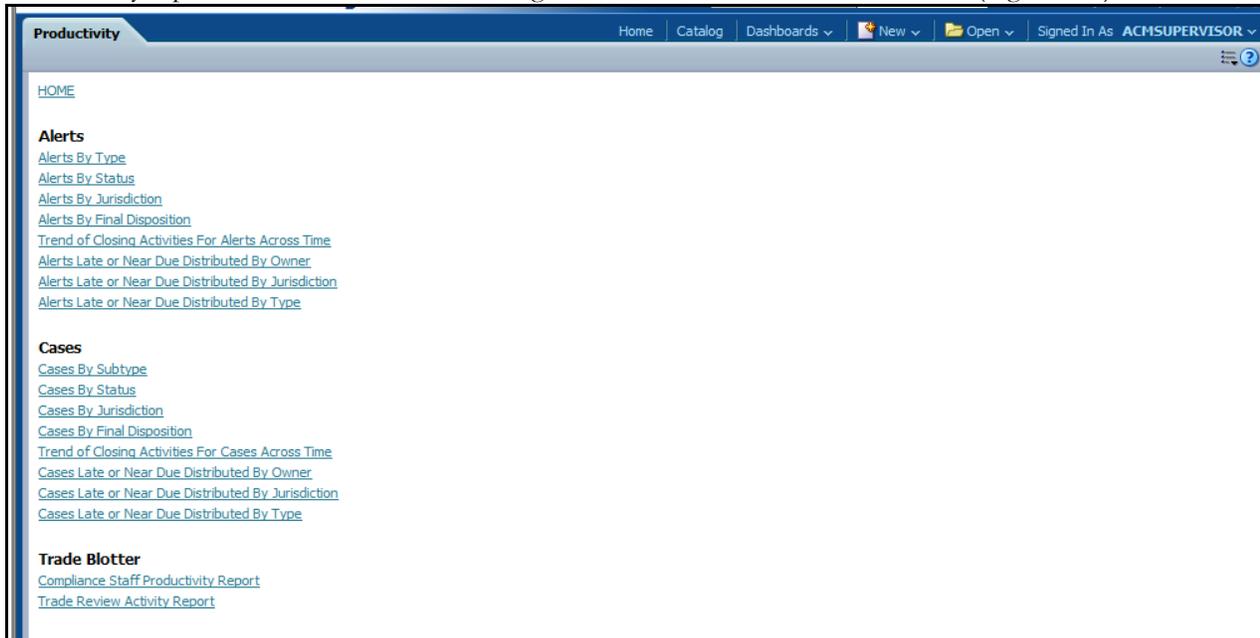


Figure 100. Productivity Reports Dashboard

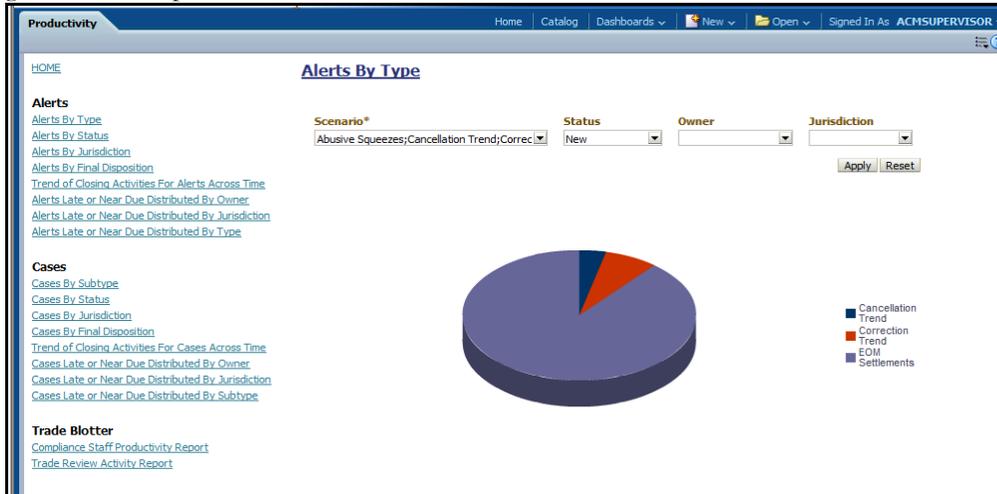
### Productivity Reports for Alerts

The following Productivity reports are generated for alerts:

- **Alerts By Type:** Displays the count of active alerts by scenario.
- **Alerts By Status:** Displays the count of active alerts by status.
- **Alerts By Jurisdiction:** Displays the count of active alerts by jurisdiction.
- **Alerts By Final Disposition:** Displays the count of closed alerts by their closing activity.
- **Trend of Closing Activities For Alerts Across Time:** Displays the trend of closing activity for alerts across time.
- **Alerts Late or Near Due Distributed by Owner:** Displays the count of alerts that have passed their due date (SLA deadline) or are approaching their due date distributed across owners.
- **Alerts Late or Near Due Distributed by Jurisdiction:** Displays the count of alerts that have passed their due date (SLA deadline) or are approaching their due date distributed across jurisdictions.
- **Alerts Late or Near Due Distributed by Type:** Displays the count of alerts that have passed their due date (SLA deadline) or are approaching their due date distributed across scenarios.

## Alerts by Type

The Alerts by Type report displays the active alerts by their type (Scenario) in a graphical pie chart (Figure 101). By default, the report is not displayed, therefore you must select one or more scenarios and click on the **Go** button to generate the report.



**Figure 101. Alerts by Type**

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of scenarios associated with the alert. You must select one or more scenarios to display the report.
- **Status:** A multi-select box that provides a list of alert statuses. You can select a status to see the count of alerts associated with it.
- **Owner:** A multi-select box that displays the owners associated with the alerts. You can filter the alerts based on the current owner of the alert.
- **Jurisdiction:** A multi-select box from which you can filter the alerts by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays (Figure 101). Each section of the pie chart defines the count of active alerts based on the selected filter.

When you click on a section of the pie chart, the corresponding Alert List drill-down report displays. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Alerts by Status

The Alerts by Status report displays the active alerts by their status in a graphical pie chart (Figure 102). Initially, the report displays with no filtering.

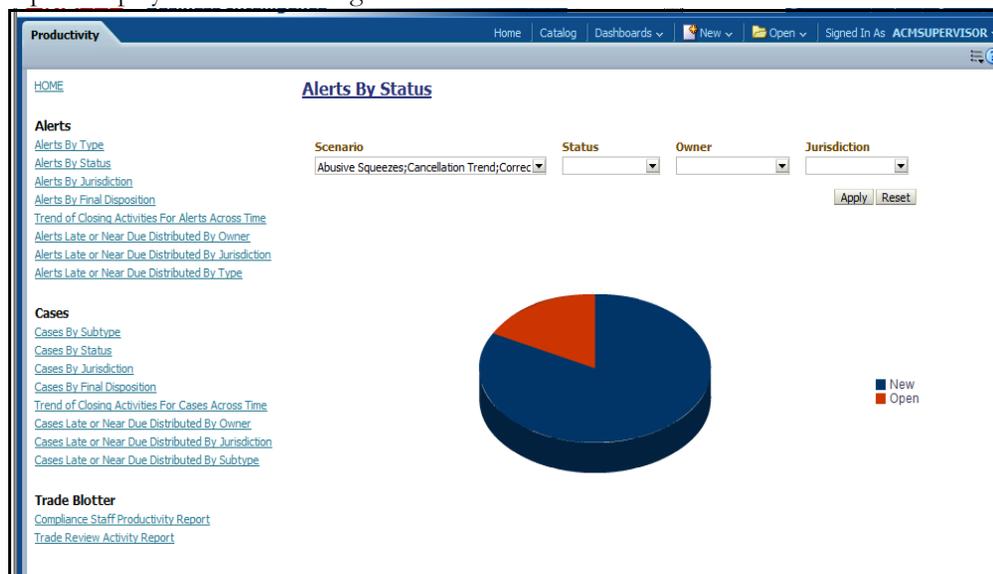


Figure 102. Alerts by Status

**Note:** Refer to the section *Alert Statuses*, on page 5 for more information about how an Oracle Financial Services Alert Management alert moves through the alert life cycle.

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of scenarios associated with the alert.
- **Status:** A multi-select box that provides a list of alert statuses. You can select a status to see the count of alerts associated with it.
- **Owner:** A multi-select box that displays the owners associated with the alerts. You can filter the aggregated alerts by the current owner of the alert.
- **Jurisdiction:** A multi-select box from which you can filter the alerts by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of active alerts based on the selected filters.

When you click on a section of the pie chart, the corresponding Alert List drill-down report displays. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Alerts by Jurisdiction

The Alerts by Jurisdiction report displays the count of active alerts by their jurisdiction in a graphical pie chart (Figure 103). Initially, the report displays without filtering.



**Figure 103. Alerts by Jurisdiction**

The following filter options are available for this report:

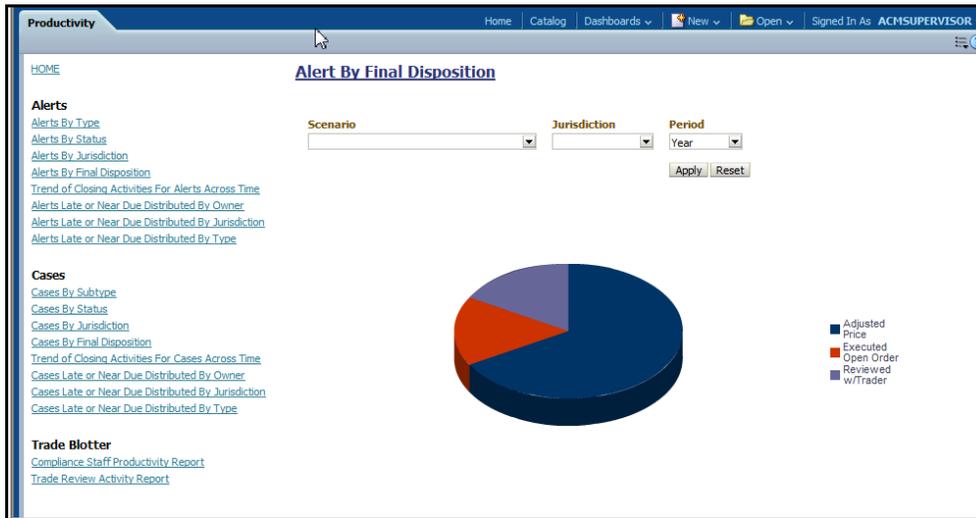
- **Scenario:** A multi-select box that provides a list of scenarios associated with the alert.
- **Status:** A multi-select box that provides a list of alert statuses. You can select a status to see the count of alerts associated with it.
- **Jurisdiction:** A multi-select box from which you can filter the alerts by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of active alerts based on the selected filters.

When you click on a section of the pie chart, a corresponding Alert List drill-down report displays in tabular format. Refer to *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Alerts by Final Disposition

The Alerts by Final Disposition report displays a graphical pie chart for the count of closed alerts by their final disposition activity. By default, the chart shows the final dispositions for the alerts closed in the last month based on date. For example, if the report is run on June 14th, then the report will cover the time period from May 14th to June 14th (Figure 104).



**Figure 104. Alerts by Final Disposition**

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of scenarios associated with the alert.
- **Jurisdiction:** A multi-select box from which you can filter the alerts by the jurisdiction associated with them.
- **Period:** A drop-down list box that allows you to select the alerts closed within the past week, month or year based on date.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of alerts based on the selected filters.

When you click on a section of the pie chart, a corresponding Alert List drill-down report displays in tabular format. Refer to section *Alert List*, on page 223 to see an example of an Alert List drill-down report.

### Trend of Closing Activities for Alerts Across Time

The Trend of Closing Activities for Alerts Across Time report looks at the trend for closing activity among alerts. Only alerts with a closed status are considered. Initially, the clustered bar graph displays the trend of closing activities by the week for the rolling quarter to date. You can also display the trend on a monthly basis for the past rolling year to date (Figure 105).



**Figure 105. Trend of Closing Activities for Alerts Across Time**

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of scenarios associated with the alert.
- **Closing Activity:** A multi-select box that provides a list of closing activities for alerts where the status is closed.
- **Owner:** A multi-select box that displays the current owners associated with the alerts.
- **Jurisdiction:** A multi-select box from which you can filter the alerts by the jurisdiction associated with them.
- **Trend:** The drop-down list provides the option to select a time period

When you have selected your search criteria, click **Go** to display the report. You can click on the closing activity in the clustered bar graph to drill down to the detailed report for that activity. You can also drill down by clicking on the week/month in the respective axis label below the graph. Refer to section *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Alerts Late or Near Due Distributed by Owner

The Alerts Late or Near Due Distributed by Owner displays a clustered bar chart for counts of alerts that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across owners (Figure 106).



**Figure 106. Alerts Late or Near Due Distributed by Owner**

The following filter options are available for this report:

- **Owner:** A multi-select box that provides a list of the current owners associated with the alerts.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for an owner to access the associated drill-down report. You can also drill down to see all the late alerts or near due alerts for owners by clicking on the legend to the right of the chart. To see both late and near due alerts for a particular owner, click on the owner name located on the axis below the graph. Refer to section *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Alerts Late or Near Due Distributed by Jurisdiction

The Alerts Late or Near Due Distributed by Jurisdiction displays a clustered bar chart for counts of alerts that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across jurisdictions (Figure 107).



**Figure 107. Alerts Late or Near Due Distributed by Jurisdiction**

The following filter options are available for this report:

- **Jurisdiction:** A multi-select box that provides a list of the jurisdictions associated with the alerts.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a jurisdiction to access the associated drill-down report. You can also drill down to see all the late alerts or near due alerts for jurisdictions by clicking on the legend to the right of the chart. To see both late and near due alerts for a particular jurisdiction, click on the jurisdiction name located on the axis below the graph. Refer to section *Alert List*, on page 223 to see an example of an Alert List drill-down report.

### Alerts Late or Near Due Distributed by Type

The Alerts Late or Near Due Distributed by Type report displays a clustered bar chart for counts of alerts that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across types (Figure 108).



**Figure 108. Alerts Late or Near Due Distributed by Type**

The following filter options are available for this report:

- **Scenario:** A multi-select box that provides a list of the scenarios associated to the alerts.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a type to access the associated drill-down report. You can also drill down to see all the late alerts or near due alerts for types by clicking on the legend to the right of the chart. To see both late and near due alerts for a particular type, click on the type name located on the axis below the graph. Refer to section *Alert List*, on page 223 to see an example of an Alert List drill-down report.

## Productivity Reports for Trade Blotter

Trade Blotter provides the following two reports, each of which is accessed from within the Report workflow:

- Compliance Staff Productivity Report
- Trade Review Activity Report

## Compliance Staff Productivity Report

The Compliance Staff Productivity Report enables you to evaluate the productivity of individual staff members, in particular analysts (or reviewers) who are assigned to review (approve or reject) the trades that are executed every day. This report displays statistics on trades that have been reviewed and that have yet to be reviewed (Figure 109).

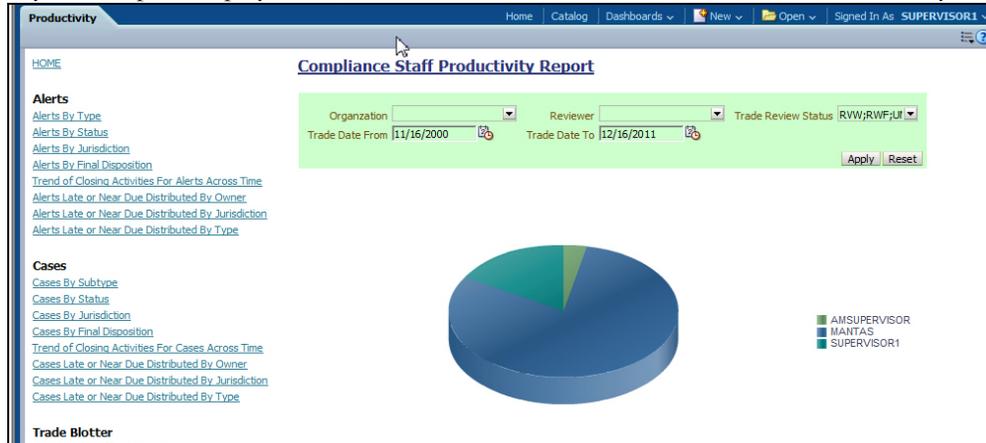


Figure 109. Compliance Staff Productivity Report

### Compliance Staff Productivity Report Search Bar

The search bar for the Compliance Staff Productivity Report provides the criteria for which the system generates the report data, as follows:

- **Organization:** A multi-select list of organizations for which you have access permissions and all organization descendents within the organization hierarchy.
- **Reviewer:** A multi-select list of the names of the reviewers that have the following attributes:
  - Appropriate reviewer access permissions
  - Experience having reviewed at least one trade (where an action was saved on at least one trade where the status changed to Reviewed or Reviewed with Follow-Up)
  - Have at least one of the same business domains as yours
  - Have at least one of the same jurisdictions as yours
  - Are associated with at least one organization with which you have a business association or an organization that is a descendent of an organization with which you have an association
- **Trade Date From:** Trade execution date to filter the data against (starting). The system filters trades that are associated with execution dates that are on or after the specified date.
- **[Trade Date] To:** Trade execution date to filter the data against (ending). The system filters trades that are associated with execution dates that are on or before the specified date.
- **Trade Review Status:** A multi-select list of the three possible review statuses to filter by:
  - **New—Unreviewed:** The trade is new and has not yet been reviewed.
  - **Reviewed:** The trade has been reviewed and marked as such by a reviewer.
  - **Reviewed with Follow-Up:** The trade has been reviewed and needs follow-up action.

### ***Compliance Staff Productivity Title Bar Area***

The title bar area of the Compliance Staff Productivity Report provides the following information about the report:

- **Report Date:** Displays the date when Oracle Financial Services generated the report. Example date format: 11/16/2009.
- **Report Time:** Displays the time when Oracle Financial Services generated the report. Example time format: 14:11:44.
- **Date Range:** Displays the date range selected on the Search bar.
- **Review Status:** Displays one of the three review statuses selected on the Search bar or All, if no review status is selected.
- **Subject:** Displays the name of one or more of the organizations selected on the Search bar or All, if no organization is selected.
- **Review pending duration:** Displays the duration that was selected on the Search bar to filter by.
- **Trade Reviewer:** Name of the reviewer or reviewers selected on the Search bar to filter by.

### ***Compliance Staff Productivity Report Data***

The contents of the Compliance Staff Productivity Report vary based on the criteria you specified on the search bar.

The report contains matrixes in the following sections:

- Trades Being Reviewed
- Trades Awaiting Review

#### ***Trades Being Reviewed***

This section provides a summary of the trades that are currently being reviewed and that meet the search criteria for this report.

- **Supervisor:** Displays the employee name of the user who is associated with the reviewer displayed in the Analyst column in a supervisor-employee relationship.
- **Analyst:** Displays the employee name of the analyst who is the user that reviewed the trade returned in the search.
- **Reviewed Count:** Displays a count of all the trades executed in the specified time frame that are currently in the Reviewed status and for which the last action to modify the status of the trade was saved by the corresponding analyst.
- **Reviewed with Follow-Up Count:** Displays a count of all the trades executed in the specified time frame that are currently in the Reviewed with Follow-Up status and for which the last action to modify the status of the trade was saved by the corresponding analyst.

#### ***Trades Awaiting Review***

This section provides a summary of the trades that are currently awaiting review (in other words, are in the New—Unreviewed status) and that meet the search criteria for this report.

- **Trade Desk:** Displays a list of trade desks. A trade desk displays if the current user is associated with at least one trade that is associated with the trade desk.

- **New—Unreviewed Count:** Displays a count of all the trades that are currently in the New—Unreviewed status and that are associated with the corresponding trade desk.

## Trade Review Activity Report

The Trade Review Activity Report is a more detailed report than the Compliance Staff Productivity Report and allows you to evaluate the productivity of individual staff members, in particular, analysts (or reviewers) who are assigned to review (accept or reject) trades and/or the Representative/IAs associated with the trades that are executed every day. The report allows you to search for various types of counts associated with the trades and also displays percentages based on search results (Figure 110).



Figure 110. Trade Review Activity Report

### Trade Review Activity Report Search Bar

The search bar for the Trade Review Activity Report provides the criteria for which the system generates the report data, as follows:

- **Organization:** A multi-select list of organizations for which you have access permissions and all organization descendents within the organization hierarchy.
- **Trade Executed From:** Beginning trade execution date to filter the data against. The system filters trades that are associated with execution dates that are on or after the specified date.
- **[Trade Executed] To:** Ending trade execution date to filter the data against. The system filters trades that are associated with execution dates that are on or before the specified date.
- **Trade Review Status:** A multi-select list of the three possible review statuses to filter by:
  - New-Unreviewed
  - Reviewed
  - Reviewed with Follow-Up

### ***Trade Review Activity Report Title Bar Area***

The title bar area of the Trade Review Activity Report provides the following information about the report:

- **Report Date:** Displays the date when Oracle Financial Services generated the report. Example date format: 12/20/2009.
- **Report Time:** Displays the time when Oracle Financial Services generated the report. Example time format: 15:12:45.
- **Date Range:** Displays the date range selected on the Search bar.
- **Review Status:** Displays one of the three review statuses selected on the Search bar or All, if no review status is selected.
- **Subject:** Displays the name of one or more of the organizations selected on the Search bar or All, if no organization is selected.
- **Trade Reviewer:** Name of the reviewer or reviewers selected on the Search bar to filter by.

### ***Trade Review Activity Report Data***

The contents of the Trade Review Activity Report vary based on the criteria you specified on the search bar.

The report contains matrixes in the following sections:

- Representative/Investment Advisor Summary Matrix
- Analyst Summary Matrix

#### ***Representative/Investment Advisor Summary Matrix***

The Representative/Investment Advisor Summary Matrix contains information about the registered representative or investment advisor associated with an order that is associated with a trade. This matrix contains the following columns:

- **Representative/Investment Advisor Name:** Displays the employee name associated with the registered representative or investment advisor (also known as the trade originator).
- **UNRVW:** Displays a count and percentage of all trades that are in the New-Unreviewed status for this Representative/Investment Advisor.
- **RVW(T):** Displays a count and percentage of all trades that are in the Reviewed status and are associated with this Representative/Investment Advisor as the trade originator.
- **RVW(D):** Displays a count and percentage of all trades that are in the Reviewed status for this Representative/Investment Advisor and which were moved from the New-Unreviewed status directly after being reviewed for the first time and never changed after that.
- **RVW(M):** Displays a count and a percentage of all trades for this Representative/Investment Advisor that are in the Reviewed status and for which the status has been modified at least once before the trade was finally assigned the current Reviewed status.
- **RVWFP(T):** Displays a count and a percentage of all trades that are in the Reviewed with Follow-Up status and are associated with this Representative/Investment Advisor as the trade originator.

### *Analyst Summary Matrix*

The Analyst Summary Matrix contains information about the analyst associated with an order that is associated with a trade. This matrix contains the following columns:

- **Analyst Name:** Displays the employee name associated with the analyst.
- **RVW(T):** Displays a count and percentage of all trades that are in the Reviewed status for this Analyst and for which the last action to modify the status of a trade was saved by this Analyst.
- **RVW(D):** Displays a count and percentage of all trades that are in the Reviewed status for this Analyst and which were moved from the New-Unreviewed status directly after being reviewed for the first time and never changed after that.
- **RVW(M):** Displays a count and a percentage of all trades for this Analyst that are in the Reviewed status and for which the status has been modified at least once before the trade was finally assigned the current Reviewed status.
- **RVWFP(T):** Displays a count and a percentage of all trades that are in the Reviewed with Follow-Up status for this Analyst. The last action to modify the status of the trade to Reviewed with Follow-Up must have been saved by this Analyst.

## **Drill-Down Reports**

This section includes the drill-down reports, which are displayed when you click on a section of a graph, legend entry or x-axis label as described in a report's section in this user guide. The drill-down reports provide you with a list of investigations or regulatory reports that are associated with the sector of the graph that you select.

Depending on the subject of the analytics, the associated drill-down list displays as follow:

- For alert-centered analytics, the Alert List displays.
- For regulatory reports, the SAR List displays.

The drill-down reports are as follows:

- Alert List
- SAR List

### **Alert List**

The Alert List page displays the underlying alerts for a selected section of a graph in a tabular format. Figure 111 shows the alert list layout.

SC	Focus	Scenario	Highlights	Created	Status	Due	Owner	CL	Prior		Linked Cases	Domains	ID
									CL	SCN			
0	AC	Low-Priced Equities Conc - % Change; Low-Priced Equities Conc - Static; Short Option Risk - % Change; Short Option Risk - Static Settlement Trend	4 Matches; 4 Scenarios	06-Dec-2011	Open		supervisor 1		0		0	RB/PC	217
			% Shortened and Extended Settle = 100%; Trade Ct = 6; Traders Involved = 1	06-Dec-2011	New		supervisor 1		0	0	0	GEN	1767
			% Shortened and Extended Settle = 100%; Trade Ct = 8; Traders Involved = 1	06-Dec-2011	New		supervisor 1		0	0	0	GEN	814
													1764
													1765
													1766
													1768
		Short Option Risk - % Change; Short Option Risk - Static	2 Matches; 2 Scenarios	06-Dec-2011	Follow-Up	13-Dec-2011	supervisor 1		0		0	RB/PC	207
						14-Dec-2011	supervisor 1		0		0	RB/PC	201
					New		supervisor 1		0		0	RB/PC	205
													206
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Figure 111. Sample Drill-down Report for Alerts

Alert List drill-down reports provide the same information that the Oracle Financial Services Alert Management Alert List page provides. Refer to Table 8 on page 35 for a description of the column headings.

### SAR List

The Suspicious Activity Report (SAR) List page displays the reports associated with the SAR filed in a regulatory reporting system in a tabular format (Figure 112).

Report Name	Report Type	Jurisdiction	Status Date	Status Created By	Status	Report.SegID
10,200	NGSTR	DN of AMEA	12/12/2011 6:39:58 AM	1	FILED	1,200,013

Figure 112. Sample Drill-down Report for SARs

This chapter tells how to change your Oracle Financial Services Alert and Case Management preferences.

## ***About the Preferences Page***

You can change your default preferences for Oracle Financial Services Alert Management and Enterprise Case Management using the Preferences page. Click the (-) or (+) icons to contract and expand the section that you want to view.

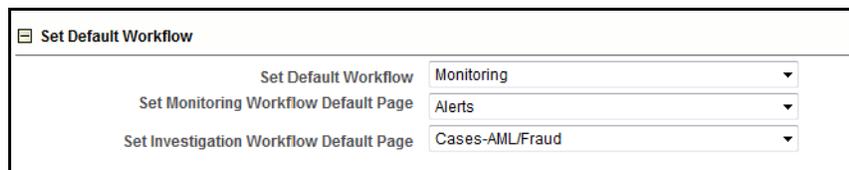
You can access the Preferences page by clicking **Preferences** on the navigation bar. The Preferences page enables you to set preferences as described in the following sections:

- Setting Default Workflow
- Setting Default Graphs for Home Page
- Setting Default Priority List for Home Page
- Setting Case Search and List Options
- Setting Alert Search and List Options
- Setting Options for Alert Search
- Setting AML Specific Search Options
- Setting Fraud Specific Search Options
- Setting Trading Compliance Specific Search Options
- Setting Broker Compliance Specific Search Options
- Setting Energy and Commodity Trading Compliance Specific Search Options
- Setting Options for Case Simple Search
- Setting Options for Case Advanced Search
- Setting Trade Blotter Default Search
- Setting Simple Search Options for Trade Blotter
- Setting Advanced Search Options for Trade Blotter
- Setting Options for Replay Page
- Setting Options for Notifications on Home Page
- Setting Options for E-mail

**Note:** Some components of the Preference page are specific to either Enterprise Case Management or Alert Management. Firms that have implemented both and users with access to both will see a superset of items for which preferences can be set. Where only one has been installed or users with access to just one or the other will see preferences related to the component for which they have access.

## Setting Default Workflow

The Workflow section enables you to set the default workflow and page in the Oracle Financial Services Alert Management UI (Figure 113)



Set Default Workflow	
Set Default Workflow	Monitoring
Set Monitoring Workflow Default Page	Alerts
Set Investigation Workflow Default Page	Cases-AML/Fraud

**Figure 113. Default Workflow Section**

The Default Workflow section contains the following preference options:

- Setting the Default Workflow
- Setting the Monitoring Workflow Default Page
- Setting the Investigation Workflow Default Page
- Setting the Administration Workflow Default Page

## Setting the Default Workflow

You can set your default workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your default workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Home page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management displays the default page of the selected workflow as the first page the next time you log on to the application.

- Select the **Home** option to display the Home page as the first page.
- Select the **Monitoring** option to display the Search & Alert List page as the first page.
- Select the **Investigations** option to display the Search & Alert List page as the first page.
- Select the **Reports** option to display the AML Reports page as the first page.
- Select the **Preferences** option to display the Preferences page as the first page.
- Select the **Administration** option to display the User Administration and Admin Tools as the first page.

Your user role determines which workflows you can access.

## Setting the Monitoring Workflow Default Page

You can set your monitoring workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your monitoring workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Alerts page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your Monitoring workflow page to any of the following pages:

- **Alerts:** Select this option to display the Search & Alert List page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Create Alert:** Select this option to display the Create Alert page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Alert Suppression:** Select this option to display the Alert Suppression page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Trusted Pairs:** Select this option to display the Trusted Pairs page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Trade Blotter:** Select this option to display the Trade Blotter page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Manage Controlling Customers:** Select this option to display the Manage Controlling Customers page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Manage Security Restrictions:** Select this option to display the Manage Security Restrictions page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.

### Setting the Investigation Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Cases page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your Investigations workflow page to any of the following pages:

- **Cases:** Select this option to display the Search & Case List page when you log back into the system and navigate to the Investigations workflow. This is the default setting.
- **Create Case:** Select this option to display the New Case page when you log back into the system and navigate to the Investigations workflow. This is the default setting.

### Setting the Administration Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Oracle Financial Services Alert Management defaults to the Cases page when you first log in to the system. Oracle Financial Services Alert Management enables you to set your Administration workflow page to any of the following pages.

- **Security Management System:** Select this option to display the Security Management tree view when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Security Attribute Administration:** Select this option to display the Security Attribute Administration page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Assigner Editor:** Select this option to display the Alert Assigner Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Creator Editor:** Select this option to display the Alert Creator Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Scoring Editor:** Select this option to display the Alert Scoring Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.

- **Manage Installation Parameter:** Select this option to display the Manage Installation Parameter page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Excel Upload:** Select this option to display the Excel Utilities tree view when you log back into the system and navigate to the Administration workflow. This is the default setting.

## Setting Default Graphs for Home Page

You can set the default graphs on the Home page of the Oracle Financial Services Alert Management and Enterprise Case Management UI. The Set Default Graphs for Home Page section contains the following preference options:

- **Set Graph 1** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.
- **Set Graph 2** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.

You can choose two graphs in any combinations between the Alert Management and Enterprise Case Management workflow (Figure 114).



The screenshot shows a section titled "Set Default Graphs for Home Page". Below the title, there are two dropdown menus. The first is labeled "Set Graph 1" and has "Alerts by Status" selected. The second is labeled "Set Graph 2" and has "Cases by Status" selected.

**Figure 114. Default Graph for Home Page Section**

Until you change your default Graph preference, Oracle Financial Services Alert Management and Enterprise Case Management defaults to Alerts by Status and Alerts by Jurisdiction graphs having access to the Monitoring workflow, Cases by Status and Cases by Type graphs having access to the Investigation workflow and Alerts by Status and Cases by Status graphs having access to both the Monitoring and Investigation workflows.

## Setting Default Priority List for Home Page

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set preference through the Set Default Priority List for Home page section (Figure 114).



The screenshot shows a section titled "Set Default Priority List for Home Page". Below the title, there are three radio button options: "Alert List" (which is selected), "Case List", and "KYC Case List".

**Figure 115. Default Priority for Home Page Section**

The Set Default Priority List for Home page section contains the following mutually exclusive options:

- Alert List
- Case List
- KYC Case List

Until you change your default Priority List preference, Oracle Financial Services Alert Management and Enterprise Case Management defaults to Alerts and Cases List, respectively.

## Setting Case Search and List Options

The Set Case Search and List Options section enables you to set the display preferences in the Search and Case List page.



Set Case Search and List Options	
Set Default Search	Simple Search
Set View For Case List	Cases Assigned to Me

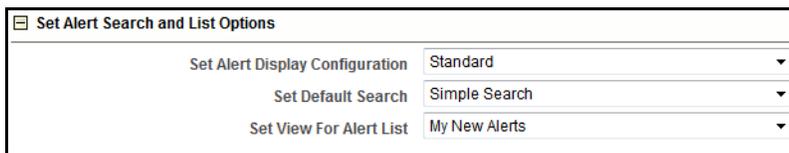
**Figure 116. Set Case Search and List Options section**

The Set Case Search and List Options section contains the following preference options:

- Setting the Default Search: Refer to section “Setting the Default Search,” on page 231, for more information.
- Setting the View for Case List: Refer to section “Setting the View for Alert List,” on page 231, for more information

## Setting Alert Search and List Options

The Set Alert Search and List Options section enables you to set the display preferences in the Search and Alert List page.



Set Alert Search and List Options	
Set Alert Display Configuration	Standard
Set Default Search	Simple Search
Set View For Alert List	My New Alerts

**Figure 117. Set Alert Search and List Options section**

The Set Alert Search and List Options section contains the following preference options:

- Setting the Alert Display Configuration
- Setting the Default Search
- Setting the View for Alert List

## Setting the Alert Display Configuration

Oracle Financial Services Alert Management enables you to set your alert display configuration based on deployed solution sets or other configurable criteria. Select one of the following solutions sets to display a custom set of controls and fields in the Alert Search & List section and in the Alert Context section of the Alert Details page based on the following specified solution set:

- **Anti-Money Laundering:** Select this option to display an Anti-Money Laundering custom version of the Alert Search, Alert List, and Alert Context sections. This custom version displays Anti-Money Laundering specific controls and fields.
- **Broker Compliance:** Select this option to display a Broker Compliance custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Broker Compliance specific controls and fields.
- **ECTC:** Select this option to display a Energy and Commodity Trading Compliance custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Energy and Commodity Trading Compliance specific controls and fields.
- **Fraud:** Select this option to display a Fraud custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Fraud specific controls and fields.

- **Standard:** Select this option to display the standard Alert Search, Alert List, and Alert Context sections when you log back into the system.
- **Trading Compliance:** Select this option to display a Trading Compliance custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Trading Compliance specific controls and fields.

For more information on setting the alert display configuration, refer to Table 52 for Alert List Display.

**Note:** These solution sets are provided with standard deployment. Additional custom solution sets can be configured in the Alert Display Configuration selection.

### Alert List Display Configuration

Table 52 provides a list of all columns and fields that display in the Alert List, General Overview, and Metrics section based on solution set selection as well as the components that display in the standard display of the Search and List page .

**Table 52. Alert List, General Overview, and Metrics Display Configuration by Solution Sets**

Column and Field	Anti-Money Laundering	Fraud	Broker Compliance	Trading Compliance	ECTC	Standard
Alert ID	L*	L	L	L	L	X
SC [ore]	L	L	L	L	L	X
Focus [Type and Name]	L	L	L	L	L	X
Scenario	L	L	L	L	L	X
Highlights	O**	O	O	O	O	X
Created [Date]	L	L	L	L	L	X
Status	L	L	L	L	L	X
Alerts Due [Date and Time]	L	L	L	L	L	X
Organization	O	O	O	O	O	
Regulatory Reporting Status	O	O	O	O	O	X
Regulatory Reporting Type	O	O	O	O	O	X
Owner	L	L	L	L	L	X
CL[ass] Prior	O	O	O	O	O	X
SCN [Scenario] Prior	O	O	O	O	O	X
Closing Action	O	O	O	O	O	X
[Business] Domain	O	O	O	O	O	X
[Involved] Security				L		

**Table 52. Alert List, General Overview, and Metrics Display Configuration by Solution Sets (Continued)**

Column and Field	Anti-Money Laundering	Fraud	Broker Compliance	Trading Compliance	ECTC	Standard
[Involved] Trader				L	L	
[Involved] Service Team ID			L			
[Involved] Registered Representative ID			L			
[Involved] Branch				O	O	
[Involved] Supervisory Organization				O	O	
Total/Net Loss Amount		L				
Primary Cost Center		L				
Linked Cases	L	L	L	L	L	X
Alerts for Prior Class Count	M <sup>#</sup>	M	M	M	M	X
Alerts for Prior Scenario Count	M	M	M	M	M	X
Correlation Membership Count	M	M	M	M	M	X
Commodity Instrument ID					L	X

where, L<sup>\*</sup> are fields in the Alert List section; O<sup>\*\*</sup> are fields in the General Overview section; M<sup>#</sup> are fields in the Metrics section

### Setting the Default Search

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your default search fields based on the deployed solution sets or other configurable criteria.

You can choose to set Views as the default search option and define preferences for Simple and Advanced Search. If you switch from the Views to Simple or Advanced Search when on the Search and List page, the search filters populate in accordance to the set preferences.

You can set following mutually exclusive options in the Set Default Search section:

- Views
- Simple Search
- Advanced Search

### Setting the View for Alert List

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set the view for the alert or case list in the Search and Alert List or Case List page. By default, the **My Open Alerts** or **Cases Assigned to Me** option is selected if you have not previously saved your View option.

## Setting Options for Alert Search

Oracle Financial Services Alert Management enables you to set fields that are part of Simple and Advanced Search options. The fields that are available in the Preference page displays in the Search and Alert List page.

**Figure 118. Set Options for Alert Search Section**

Table 53 provides common filters for the solution set. Refer to section *Setting the Alert Display Configuration*, on page 229 for more information.

**Table 53. Alert Search Components**

Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Alerts Created in the Last	Filters the alert list by the number of days since creation. The default options for this filter are 1, 5, 10, or 30 days.	X	X	X	X	X	X
Organization	Filters the alert list by the ID of the organization associated with the owner of an alert or case. This drop-down list only contains the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. If you filter by Organization, you cannot filter by Owner.	X	X	X	X	X	X
Owner	Filters the alert list by a user or group of user to whom an alert or case is assigned. This drop-down list contains users or groups of users within the Organization. If you filter by Owner, you cannot filter by Organization	X	X	X	X	X	X
Scenario Class	Filters the alert list by the scenario class associated with an alert, listed by its abbreviation. This drop-down list contains only the scenario classes that you are authorized to view. If you filter by Class, you cannot filter by Scenario.	X	X	X	X	X	X
Scenario	Filter the alert list by the scenarios name of the behavior or activity that generated the alert.	X	X	X	X	X	X

Table 53. Alert Search Components (Continued)

Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Focus	Filters the alert list by the type of business object that exhibits the behavior of interest, focus is a two-part representation including focus type and an associated focal entity. Your access control privileges determine which focus types display in the drop-down list. If you filter by Focus, you cannot filter by Focus Type. For example, a focus of <i>TR SmithJ</i> consists of a focus type of <i>TR</i> and a focal entity of <i>SmithJ</i> .	X	X	X	X	X	X
Status	Filters the alert list by the current status of an alert, relative to its analysis and closure in the drop-down list.	X	X	X	X	X	X
Business Domain	Filters the alert list by the business domain associated with an alert. The drop-down list only contains the business domains with which you are authorized to view.	X	X	X	X	X	X
Score	Filters the alert list by the score the alert received when based against the criteria selected by your firm. Oracle Financial Services retrieves alerts with scores greater than equal to, equal to, or less than equal to, to the score you enter in this text box.	X	X	X	X	X	X
Age	Filters the alert list by the number of calendar or business days since the creation of an Active alert. Oracle Financial Services retrieves alerts with age greater than equal to, equal to, or less than equal to, to the age you enter in this text box.	X	X	X	X	X	X
Jurisdiction	Filters the alert list by jurisdiction to which you are assigned.	X	X	X	X	X	X
Business Domain	Filters the alert list by the business domain associated with the alert or focus and behavior.	X	X	X	X	X	X
Alerts Due	Filters the alert list by the date by which an action should be taken on the alert.	X	X	X	X	X	X
Closing Action	Filters the alert list by one or more selected closing actions that have been taken on an alert.	X	X	X	X	X	X
Last Action	Filters the alert list by the selected action or actions representing the last action recorded for a alert.	X	X	X	X	X	X
Action	Filters the alert list by one or more actions that have been taken on an alert.	X	X	X	X	X	X
Regulatory Reporting Type	Filters the alert list by the Regulatory Reporting types that are available to you (for example, (SARDI). Regulatory Reporting is an optional Oracle application.	X	X	X	X	X	X

**Table 53. Alert Search Components (Continued)**

Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Regulatory Reporting Status	Filters the alert list by the current status of an alert that has been recommended for Regulatory Reporting, an optional Oracle application.	X	X	X	X	X	X
Prior All	Filters the alert list by the number of previously generated matches for the same focal entity across all scenarios and solution sets. Oracle Financial Services retrieves alerts with prior value greater than equal to, equal to, or less than equal to, to the value you enter in this text box.	X	X	X	X	X	X
Linked Cases	Filters the alert list by the cases that are linked to the alert. Oracle Financial Services retrieves alerts, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.	X	X	X	X	X	X
Limit to Focus	Filters the alert list to where the specified entity is the focus.	X	X	X	X	X	X
Entity Type	Filters the alert list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for alerts.	X	X	X	X	X	X
Entity ID	The unique identifier for entity that is associated with alerts you want to view. The field accept up to 50 characters of text in the Entity ID text box.	X	X	X	X	X	X
Entity Name	The entity name associated with alerts you want to view.	X	X	X	X	X	X

## Setting AML Specific Search Options

Oracle Financial Services Alert Management enables you to set AML specific search fields. The Set AML Specific Search Options section displays when you have selected Anti-Money Laundering solution set from the **Set Alert Display Configuration** drop-down list.

**Set AML Specific Search Options**

Prior Scenario:

Prior Class:

Note: Some AML specific filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

**Figure 119. Set AML Specific Search Options**

**Note:** Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

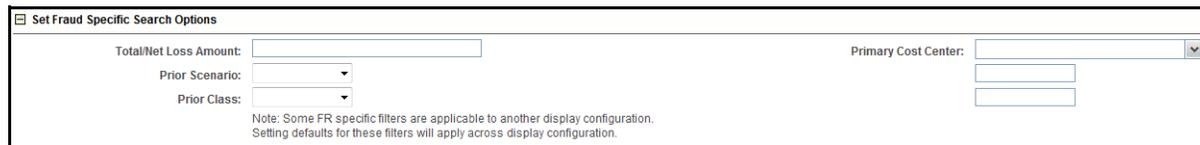
Table 54 provides filters for the AML specific solution set. .

**Table 54. AML Specific Search Options**

Column	Description
Prior Scenario	Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.
Prior Class	Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.

## Setting Fraud Specific Search Options

Oracle Financial Services Alert Management enables you to set Fraud specific search fields. The Set Fraud Specific Search Options section displays when you have selected Fraud solution set from the **Set Alert Display Configuration** drop-down list.



**Figure 120. Set Fraud Specific Search Options Section**

**Note:** Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

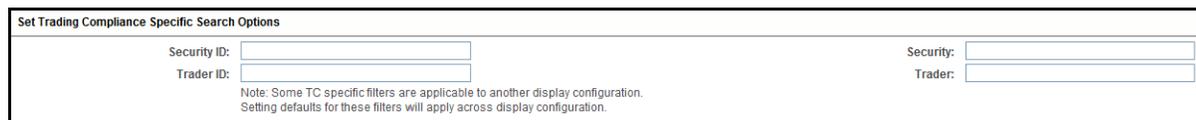
Table 55 provides filters for the Fraud specific solution set.

**Table 55. Fraud Specific Search Options**

Column	Description
Total/Net Loss Amount	Filters the alert list by the total net loss amount associated with the alert. This is the total loss remaining after Averted and Recovery Amounts have been subtracted from the Potential Loss.
Primary Cost Center	Filters the alert list by the primary cost center to which the total net loss amount for an alert has been associated.
Prior Scenario	Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.
Prior Class	Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.

## Setting Trading Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Trading Compliance specific search fields. The Set Trading Compliance Specific Search Options section displays when you have selected Trading Compliance solution set from the **Set Alert Display Configuration** drop-down list.



**Figure 121. Set Trading Compliance Specific Search Options Section**

**Note:** Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 56 provides filters for the Trading Compliance specific solution set.

**Table 56. Trading Compliance Specific Search Options**

Column	Description
Security ID	Filters the alert list by the identification number of the security involved in the alert.
Security	Filters the alert list by the name of security involved in the alert.
Trader ID	Filters the alert list by the identification number of the trader involved in the alert.
Trader	Filters the alert list by the name of the trader involved in the alert.

## Setting Broker Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Broker Compliance specific search fields. The Set Broker Compliance Specific Search Options section displays when you have selected Broker Compliance solution set from the **Set Alert Display Configuration** drop-down list.



**Figure 122. Set Broker Compliance Specific Search Options**

**Note:** Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 57 provides filters for the Broker Compliance specific solution set.

**Table 57. Broker Compliance Specific Search Options**

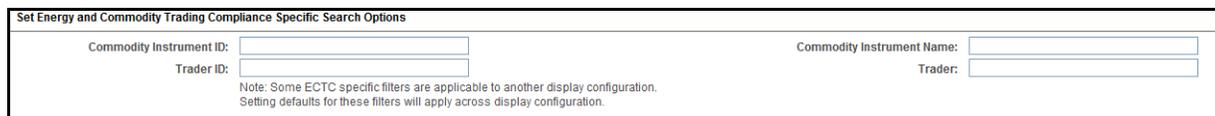
Column	Description
Investment Advisor Firm ID	Filters the alert list by the identification of the firm associated with the Investment Advisor.
Investment Advisor Firm	Filters the alert list by the name of the firm associated with the Investment Advisor.
Service Team ID	Filters the alert list by the identifier of the primary service team of which this employee is a member.
Registered Representative ID	Filters the alert list by identification number of the employee or contractor who is the Registered Representative.

**Table 57. Broker Compliance Specific Search Options**

Column	Description
Representative	Filters the alert list by name of the employee or contractor who is the Registered Representative.
Branch ID	Filters the alert list by the identification number of the organization where this account is domiciled.
Branch	Filters the alert list by the name of the organization where this account is domiciled.
Supervisory Organization ID	Filters the alert list by unique ID of the organization where the Registered Representative is employed.
Supervisory Organization	Filters the alert list by the name of the organization where the Registered Representative is employed.

## Setting Energy and Commodity Trading Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Energy and Commodity Trading Compliance specific search fields. The Set Energy and Commodity Trading Compliance Specific Search Options section displays when you have selected ECTC solution set from the **Set Alert Display Configuration** drop-down list.



**Figure 123. Set ECTC Specific Search Options Section**

**Note:** Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 58 provides filters for the Energy and Commodity Trading Compliance specific solution set.

**Table 58. Energy and Commodity Trading Compliance Specific Search Options**

Column	Description
Commodity Instrument ID	Filters the alert list by the identification number of the commodity instrument involved in the alert.
Commodity Instrument Name	Filters the alert list by the name of the commodity instrument involved in the alert.
Trader ID	Filters the alert list by the identification number of the trader involved in the alert.
Trader	Filters the alert list by the name of the trader involved in the alert.

## Setting Options for Case Simple Search

Oracle Financial Services Enterprise Case Management enables you to set fields that are part of a Simple Search option. The fields that are available in the Preference page displays in the Search and Case List page

**Figure 124. Set Options for Case Simple Search**

Table 59 provides search filters for the simple case search

**Table 59. Case Simple Search Options**

Column	Description
Case Created In the Last	Filters the case list by case created in the last 1day, 5 days,10 days, or 30 days.
Status	Filters the case list by the status of cases that matches the search criteria.
Type	Filters the case list by the type of cases that matches the search criteria.
Subtype	Filters the case list by the sub type of cases that matches the search criteria.
Priority	Filters the case list by the priority assigned to the case that matches search criteria.
Subclass 1	Filters the case list by the type code of the case Subclass 1 associated with this case subclass.
Subclass 2	Filters the case list by the type code of the case Subclass 2 associated with this case subclass.
Case Due	Filters the case list by past and up to the date you enter by which an action should be taken on the case.
Owner	Filters the case list by a user or group of users who own a case. If you filter by Owner, you cannot filter by Organization.
Assigned To	Filters the case list by a user or group of users to whom a case is assigned.

For Case Creation date, instead of displaying preference options for the date **To** and **From** fields, a **Cases Created in the Last** drop-down list displays with the following values:

- Blank
- 1 Day
- 5 Days
- 10 Days
- 30 Days

Based on the value you select here, the system resets the values in the **To** and **From** date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the **To** date field is populated with the current system date and the **From** date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the **To** and **From** date fields on the Search page to a blank value.

Similarly, for the case Due Date, instead of displaying preference options for the date, a **Case Dues** drop-down list displays with the following values:

- Blank
- Due
- Overdue
- Within 1Day
- Within 5 Days
- Within 10 Days

## Setting Options for Case Advanced Search

Oracle Financial Services Enterprise Case Management enables you to set fields that are part of a Advanced Search option. The fields that are available in the Preference page displays in the Search and Case List page.

**Figure 125. Set Options for Case Advanced Search**

Table 59 provides search filters for the advanced case search

**Table 60. Case Advanced Search Options**

Column	Description
Title	Filters the case list by the name of the cases that matches the search criteria.
Entity Type	Filters the case list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.
Entity ID	The unique identifier for entity that is associated with cases you want to view. The field accept up to 50 characters of text in the Entity ID text box.
Entity Name	The entity name associated with cases you want to view.
Jurisdiction	Filters the case list by the jurisdiction to which you are assigned.
Business Domain	Filters the case list by the business domain associated with a case. The drop-down list contains only the business domains with which you are authorized to view.
Organization	Filters the case list by the ID of the organization associated with the owner of a case.
Resolution	Filters the case list by the selected action representing a resolution action recorded for a case.
Last Action	Filters the case list by the selected action or actions representing the last action recorded for a case.
Action	Filters the case list by one or more actions that have been taken on a case.

**Table 60. Case Advanced Search Options**

Column	Description
Regulatory Report Type	Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.
Regulatory Report Status	Filters the case list by the status of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.
Linked Alerts	Filters the case list by the number of alerts that are linked to the case.
Linked Cases	Filters the case list by the number of cases that are linked to the alert.

## Setting Trade Blotter Default Search

If Trade Blotter has been enabled at deployment and if you have the appropriate access permissions for the Trade Blotter functionality, the Set Trade Blotter Default Search section on the Preferences page enables you to set the display preferences for the simple and advanced searches.

The screenshot shows a section titled "Set Trade Blotter Default Search". Below the title is a label "Set Default Search" followed by a dropdown menu currently displaying "Simple Search".

**Figure 126. Set Trade Blotter Default Search**

The following mutually exclusive options displays in the Trade Blotter section:

- Simple Search
- Advanced Search

Refer to Chapter 6, *Managing Trade Blotter* on page 129, for a description of all the possible fields on the Trade Blotter Search section.

## Setting Simple Search Options for Trade Blotter

Oracle Financial Services Alert Management enables you to set preference for the search options that have been configured for the Simple Trade Search section of Trade Blotter Search page.

The screenshot shows a section titled "Set Simple Search Options for Trade Blotter". It contains several input fields and dropdown menus arranged in two columns. The fields include: Representative/IA Name, Customer Name, Customer Account Name, Insurance Policy ID, Customer Buy/Sell (dropdown), Security Short Name, Representative/IA ID, Customer ID, Customer Account ID, Security ID, Security Description, and Trades executed in the Last: (dropdown set to 1 Day).

**Figure 127. Set Simple Search Options for Trade Blotter**

The values you set here are automatically prepopulated in the corresponding fields of the Search page. The time you select from the **Trades executed in the Last:** drop-down list on the Preferences page is calculated to populate the correct dates in the **Trade Date From** and **To** fields on the Search page.

## Setting Advanced Search Options for Trade Blotter

In addition to specifying preference for the Simple Trade Search section, you can set options for all the search filters and the view and sort fields that are configured for the Advanced Trade Search section.

**Figure 128. Set Advanced Search Options for Trade Blotter**

The values you set here are automatically pre-populated in the corresponding fields of the Search page. The following discrepancies exist between the fields displayed on the Advanced section of the Trade Blotter Search page, and the Advanced section of the Trade Blotter section of the Preferences page:

- For Organization, Division, and Branch filters, if the one or two filters have been configured for display on the Search page, the system does not display the third filter as a preference option. Also, the Division filter is enabled only if you select a value in the Organization preference option. Further, the Division preference option is populated based on the selection made in the Organization preference option, and so forth.
- For dates (in other words, the Trade Date, Trade Entered Date, Settlement Date, and Review Status To and From fields), instead of displaying preference options for the date To and From fields, a Trades Reviewed in the Last drop-down list displays with the following values:
  - Blank
  - 1 Day
  - 5 Days
  - 10 Days
  - 30 Days

Based on the value you select here, the system resets the values in the To and From date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the To date field is populated with the current system date and the From date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the To and From date fields on the Search page to a blank value.

## Setting Options for Replay Page

The Set Options for Replay Page section displays if your role is associated with one or more scenarios belonging to a scenario class and focus that display on the Replay tab, and have access to the Replay tab in the application. Oracle

Financial Services Alert Management enables Analyst II, Analyst III, and Supervisor roles to configure the Security Group filters in the Replay page.



Set Options for Replay Page

Set Options for Security Group  Disable  Enable

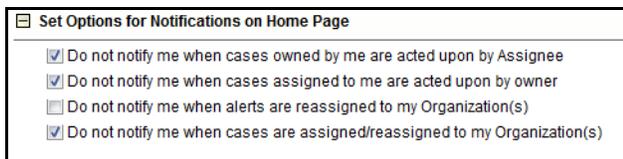
Figure 129. Set Options for Replay Page

### Setting Options for Security Group

The **Security Group** radio button enables you to choose between the two mutually exclusive options in the replay's search bar-Enable and Disable. By default, Oracle Financial Services Alert Management UI selects the Security Group option as Enable if you do not save your settings.

### Setting Options for Notifications on Home Page

Oracle Financial Services Alert Management and Enterprise Case Management enables users whose roles allow them to own, assign, or reassign alerts and cases.



Set Options for Notifications on Home Page

- Do not notify me when cases owned by me are acted upon by Assignee
- Do not notify me when cases assigned to me are acted upon by owner
- Do not notify me when alerts are reassigned to my Organization(s)
- Do not notify me when cases are assigned/reassigned to my Organization(s)

Figure 130. Set Options for Notification on Home Page

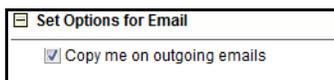
These preferences allows you to select the type of notifications you want to receive in the Notification section of the Home page:

- Do not notify me when alerts are reassigned to my Orgs
- Do not notify me when cases owned by me are acted upon by Assignee
- Do not notify me when cases assigned to me are acted upon by Owner
- Do not notify me when cases are assigned/reassigned to my Organization(s)

This option do not notifies you of alerts and cases requiring your review.

### Setting Options for E-mail

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set preferences on the outgoing e-mails. To enable this option, select the **Copy me on outgoing e-mails** check box. This option copies you on the e-mails you sent from the Actions page.



Set Options for Email

Copy me on outgoing emails

Figure 131. Set Options for E-mail

# Business Tabs

Oracle Financial Services Alert Management consists of Business tabs that display in the Monitoring workflow. Within the Monitoring workflow, these tabs are displayed according to the focus type and scenario class of the alert you select.

## Alert Business Tabs

Table 61 identifies the possible Business tab pages that Oracle Financial Services Alert Management displays for a specific scenario class and focus type in the Monitoring workflow.

**Table 61: Business Tab Pages by Scenario Class**

Focus Type	Possible Business Tabs
<b>Scenario Class: Institutional Money Laundering</b>	
Customer (CU)	Account, Customer, and Investment Advisor
External Entity (EN)	External Entity
<b>Scenario Class: Control Room</b>	
Account (AC)	Account, Trade, Order, Execution, Security, Replay, and Trader
Employee (EE)	Account, Customer, Trade, Order, Execution, Security, Replay, and Trader
Trader (TR)	Account, Trade, Order, Execution, Security, Replay, and Trade
Organization (OG)	Account, Trade, Execution, Household, Security, Customer, Replay, Trader, and Registered Representative
<b>Scenario Class: Investment Advisor</b>	
Investment Advisor (IA)	Account, Investment Advisor, and Trade
<b>Scenario Class: Money Laundering</b>	
Account (AC)	Account, Customer, Employee, Household, and Investment Advisor
Correspondent Bank (CB)	Correspondent Bank
Customer (CU)	Account, Customer, Household, and Investment Advisor
External Entity (EN)	External Entity
Household (HH)	Account, Customer, Household, and Investment Advisor
<b>Scenario Class: Fraud</b>	
Account (AC)	Account, Customer, Household, Investment Advisor, Employee, and Financials
Customer (CU)	Account, Customer, Household, Investment Advisor, and Financials
Employee (EE)	Account, Employee, Financials, and Household
External Entity (EN)	External Entity
Household (HH)	Account, Customer, Household, and Investment Advisor
<b>Scenario Class: Best Execution</b>	
Order (OR)	Account, Execution, Market Participant, Order, Replay, Security, and Trader

**Table 61: Business Tab Pages by Scenario Class (Continued)**

Focus Type	Possible Business Tabs
<b>Scenario Class: Trading Compliance</b>	
Account (AC)	Account, Execution, Order, Replay, Security, Trade, and Customer
Customer (CU)	Account, Customer, Execution, Order, Replay, Security and Trade
Execution (EX)	Account, Execution, Market Participant, Order, Replay, Security, Trade, and Trader
Order (OR)	Account, Trader, Order, Execution, Security, Replay, and Market Participant
Security (SC)	Order, Trade, Execution, Replay, and Security
Trader (TR)	Account, Trader, Trade, Execution, Order, Replay, and Security
Organization (OG)	Replay, Security, Trade, Trader, and Execution
<b>Scenario Class: Mutual Funds</b>	
Account (AC)	Account, Customer, Household, Investment Advisor, Registered Representative, and Trade
Household (HH)	Account, Customer, Household, Investment Advisor, Registered Representative, and Trade
Investment Advisor (IA)	Account, Investment Advisor, and Trade
Registered Representative (RR)	Account, Registered Representative and Trade
<b>Scenario Class: Employee Trading</b>	
Employee (EE)	Account, Employee, Security, and Trade
<b>Scenario Class: Customer Risk and Suitability</b>	
Account (AC)	Account, Customer, Household, Investment Advisor, Loan Origination, Registered Representative, Security, Trade and Order
Household (HH)	Account, Customer, Household, Investment Advisor, Trade, IOS Review, Registered Representative, and Security
Organization (OG)	Loan Origination
Registered Representative (RR)	Account, Registered Representative, Trade, Execution, Order, and Security
<b>Scenario Class: Asset Management</b>	
Portfolio Manager (PM)	Account, Employee, Order, and Security
<b>Scenario Class: Energy and Commodity Trading Compliance</b>	
Commodity Instrument (CI)	Energy and Commodity Trade, Energy and Commodity Instrument, ECTC Replay, Trader, and Natural Gas Flow
Trader (TR)	Energy and Commodity Trade, Energy and Commodity Instrument, ECTC Replay, and Trader

# Using Alert Management Web Pages

The information provided in the following sections helps you achieve optimal use of the Oracle Financial Services Alert Management UI:

- Common Screen Elements
- Using the Browser
- Navigating in Oracle Financial Services Alert Management
- Message Pages

## Common Screen Elements

The following section describes the common screen elements in the Oracle Financial Services Alert Management UI.

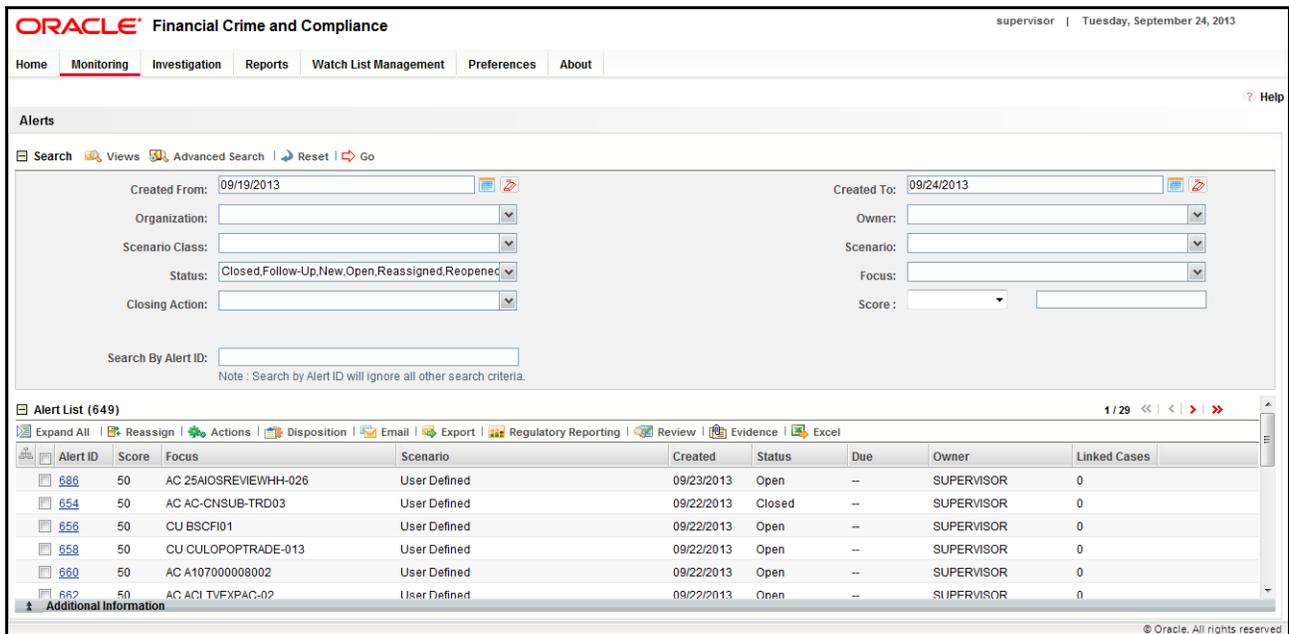


Figure 132. Common Screen Elements

Common screen elements are those elements that consistently perform the same type of function in the same way when they display in the UI. Some serve as labels and never change (Matrix header); some enable you to get help or complete a task (buttons); some offer an explanation for a specific item (tool tips); and some operate as variables that allow you to type entries (text boxes) and make selections (drop-down lists).

## Masthead

The masthead displays at the top of the page and contains the following components:

- Navigation Bar as Menus
- Session Information with session user name, day, and date.
- Help Button

## Buttons

Buttons on the Oracle Financial Services Alert Management UI enable you to perform tasks such as executing and canceling actions or commands. Click a button to complete the desired task.

### Task Button

Task buttons display throughout Oracle Financial Services Alert Management and include the following:

- The **Search** and **Advanced Search** buttons display on the Search & List page of the Monitoring workflow to filter data based upon the criteria you set with basic filters and advanced additional filters respectively.
- The **Save** button records actions and navigates you to the appropriate page and displays the updated alert information accordingly.
- The **Save & Attach** button records actions and navigates you to a page providing the option to attach a document with the action. Once you complete the attachment you are navigated to the appropriate page and the alert information is updated accordingly.
- The **Set Values/Next** button displays only when taking the Promote to Case - Multiple Alert to Multiple Cases (MAMC) action. It saves any values entered on the global case information screen for all cases and navigates you to the first case of the multiple cases being created with all the global values entered pre-populated. This action is only available if your firm has implemented Oracle Financial Services Enterprise Case Management.
- The **Next** button displays only for Promote to Case - (MAMC) option. It allows you to by-pass setting any global case information and allows you to enter specific case information for each alert being promoted to a case. As with the **Set Values/Next** button, this action is only available if your firm has implemented Oracle Financial Services Enterprise Case Management.
- The **Clear** button displays on those actionable sections of the UI which do not display any pre-populated data. It clears the data entered by you when clicked.
- The **Reset** button displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.
- The **Cancel** button displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action pop-up window.
- The **Send** button displays in the E-mail pop-up window and sends the e-mail to the addressed parties.
- The **Create** button in the Create Alert workflow displays fields for you to enter data for the new alert being created.
- The **Designate Trusted Pairs** button displays on specific transaction building blocks in the details page and provides you with a pop-up window to create trusted pairs.

- The **Related to Focus** button displays in some specific business tabs where this information is available. It refreshes the tab details to replace the Related to Alert information with what is often a broader set of information that is applicable to the focus of the alert and not limited to just the activity of the alert.
- The **Related to Alert** button in specific business tabs does not display by default. The **Related to Alert** button replaces the **Related to Focus** button once the **Related to Focus** button has been clicked. Selecting **Related to Alert** refreshes the tab information to display information that is applicable to the alert activity only.
- The **Add** button displays in the Financials tab and in the Evidence tab. It provides you with a pop-up window to add a new piece of information.
- The **Edit** button displays in the Financials, Narrative tabs. It provides you with a pop-up window to edit the existing piece of information you have chosen for edit.
- The **Remove** button displays in the Notification section, and in the Attachment List matrix present in the attachment section of the Evidence tab. It also display in the Financials tab. It helps you delete information that you think is not relevant.
- The **Update** button displays in the Suppression Rule List and Trusted Pairs List. It provides you with a UI to modify a suppression rule or trusted pairs with appropriate comments.
- The **End** button displays in the Suppression Rule List and provides you with a UI to end a suppression rule.
- The **History** button displays in the Financials tab, Manage Suppression Rules and Manage Trusted Pairs workflow. It provides you with a detailed account of previous activities on the selected record.
- The **Go** button displays in all the Search bars Alert/Manage Suppression Rule /Manage Trusted Pairs and performs the search function. It also displays in the various action pop-up window. In the action pop-up window, the **Go** button helps display the appropriate fields as per the actions you have selected.
- The **Alert List** button displays in the Priority Alert List on the landing page. It helps you navigate to the Search & List page.

### Action Buttons

The Action buttons display in the Search & List page and in the Details page. Each of these buttons provides you with an action pop-up window for taking actions in the category these buttons are representative of. These include buttons for each action category:

- Reassign
- Actions
- Disposition
- Review
- Regulatory Reporting
- E-mail
- Export
- Evidence
- Excel

## Help Button

A **Help** button, in the form of a question mark, displays to the extreme right of the bread crumbs. Click **Help** to get the following:

- More detailed information about the page
- Explanations of the screen elements
- How to perform instructions on a task that you want to perform

## Calendar Button

A **Calendar** button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed alerts. If you click **Calendar** icon, a calendar of the current month displays and highlights the current date (Figure 133).

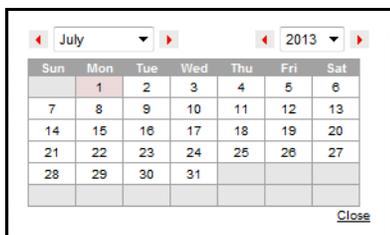


Figure 133. Calendar Button

To use the Calendar window to select dates, follow these steps:

1. Select a date. The application will automatically enter the selected date in the date field.
2. Click the arrows at the top of the Calendar window to view other months or years.
3. Click the **Close** link to close the calendar without selecting a date.

## Expand/Collapse

You can view the complete information in a section, matrix, and field by using various expand or collapse options.

### Column Expand All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use **Column Expand All** button to expand all the columns together at once to display the full length of their values.

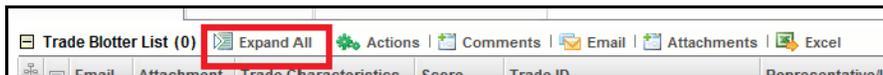


Figure 134. Column Expand All Button

### Column Collapse All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use the **Column Collapse All** button to collapse all the values that are already expanded for display, together at once.



Figure 135. Column Collapse All Button

### Section Expand Button

If you want to expand a section on a page, you can click the (+) button displayed at the top left corner of the section. This expands the section and all the fields in the section are visible.

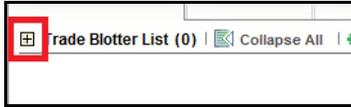


Figure 136. Section Expand Button

### Section Collapse Button

If you want to collapse a section, which is already expanded, you can click the (-) button displayed at the top left corner of the section. This collapses the section and all the fields in the section are hidden.

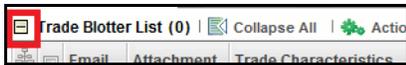


Figure 137. Section Collapse Button

## Field Types

The following sections describe field types.

### Text Area

A multi-line rectangular box in which you can type text, such as alert comments. If the box already contains text, you can select the default text or delete it and type new text. You may type as many characters in this box as desired.

### Text Box

A single-line rectangular box in which you can type text. If the box already contains text, you can select the default text or delete it and type new text. Text boxes may limit the number of characters that you may enter. If so, the text box will show the maximum number of characters you can enter.

### Wildcard Text Box

Oracle Financial Services Alert Management permits the use of wildcards in specific text boxes. If you do not know all of the information to type into the text box field, you can type a wildcard character for the missing part of the information. Oracle Financial Services Alert Management recognizes the percent sign (%) and underscore (\_) as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string.

The more specific you are when using the wildcard character, the fewer extraneous matches Oracle Financial Services Alert Management returns. For example, if you specify a last name of Sm%, Oracle Financial Services Alert Management may return 100 matches, but if you specify a last name of Smi t%, Oracle Financial Services Alert Management may return only 17 matches.

### Context-Sensitive Text Box

Oracle Financial Services Alert Management permits the use of context-sensitive input in specific text boxes. If you want to perform a search on multiple values, you can enter a string of comma-separated values in the Alert/Suppression Rule/Trusted pairs ID search fields.

### Drop-down List

A list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selection.

### Selection Box

A list from which you can choose multiple items by selecting the check box against each item. Checking the value *Select All* represents the selection of all the values available in the selection box. Un-checking the value *Select All* represents the de-selection of all the values in the selection box.

### Check Box

A square box that displays beside an item or option. Select the check box once to place a check mark in the box. Select the check box again to clear it.

### ToolTips

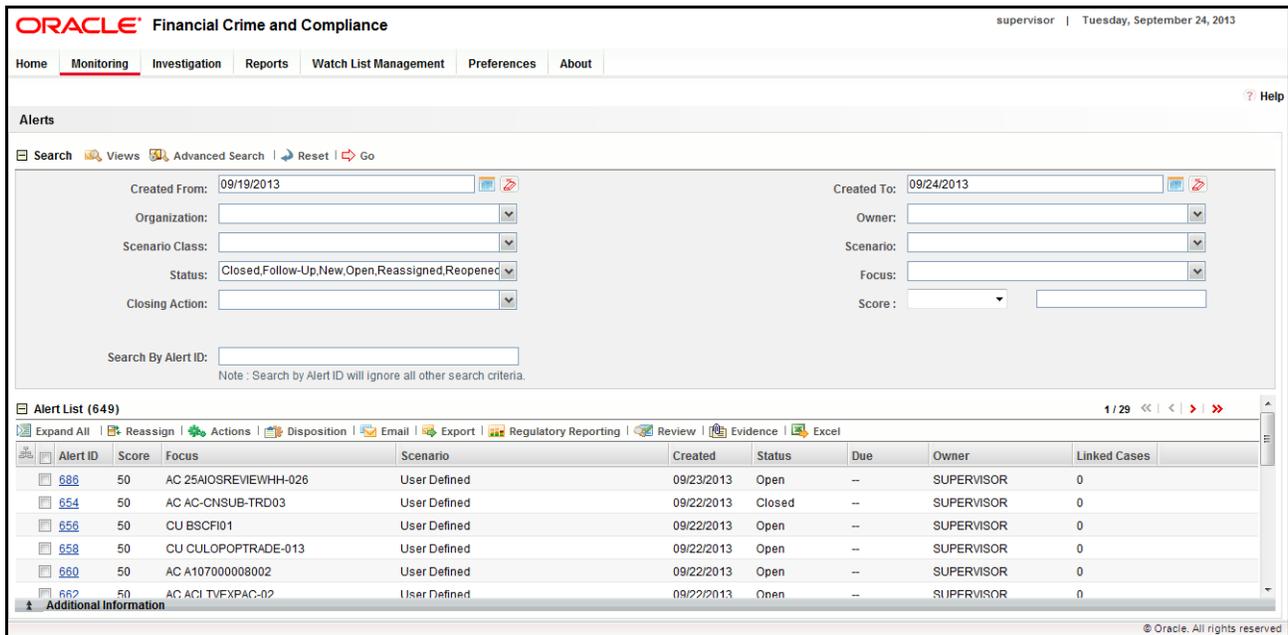
A pop-up window ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the Oracle Financial Services Alert Management UI. A Tooltip displays for approximately three seconds and provides the definition or other pertinent information for the abbreviated field or column label.

## Using the Browser

The browser cache does not completely refresh the data. Therefore, using keys from keyboards, like Ctrl+Left arrow or Backspace keys for backward navigation, and Ctrl+ Right arrow keys for forward navigations displays data that may be outdated. Using the Oracle Financial Services Alert Management navigation, pages are refreshed so the information is always up-to-date.

## Navigating in Oracle Financial Services Alert Management

The following sections describe the navigation features that you can use to navigate within Oracle Financial Services Alert Management (Figure 138).



**Figure 138. Navigation Features**

Navigation features enable you to move easily between pages in the UI to view, analyze, or research alerts and focuses while working in Oracle Financial Services Alert Management.

## Navigation Menus

The Navigation menu displays in the upper left corner of the page. The Navigation menu option includes: Home, Monitoring, Reports, and Administration. Menu options display as per your user role. Refer to Chapter , “User Privileges,” on page 11, for more information on access to Oracle Financial Services Alert Management features based on role.

## Links

Links display as hypertext (underlined text) on the page that, when clicked, takes you to other pages within the Oracle Financial Services Alert Management UI.

## Search Bars

Some Oracle Financial Services Alert Management pages have a *search bar* that allows you to specify values with which to filter and sort your data. Search bars for a specific page are described in the chapter where that page’s use is explained. Refer to section *Alert Search & List Page*, on page 25, for more information.

## Page Context Controls

Page context controls (also called bread crumbs) show your location in Oracle Financial Services Alert Management. They allow you to navigate back to the previous page to a particular workflow. The current workflow displays the current entry in the page context controls.

## **Business Tabs**

In Oracle Financial Services Alert Management, business data tabs display in the Alerts workflow after you have accessed an alert.

The business data tabs that display are dependent on the focus and the scenario class of the alert you are viewing and your role in Oracle Financial Services Alert Management.

Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

## **Paging**

*Paging* refers to the mechanism on the page that enables you to move through multiple pages of information (alerts, transactions and so forth).

You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the Page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).

Some pages within Oracle Financial Services Alert Management display only an initial, limited set of information upon first navigating to that page. This information is often displayed in a tabular matrix at the top of the page. Additional information relevant to the page along with an LHS menu can be displayed by clicking on one of the initially displayed records.

## **Message Pages**

Oracle Financial Services Alert Management describes the various types of error and status message pages that you may see in the application. Refer to Appendix C, *Message Pages*, on page 269, for an explanation of what causes the message pages to display and the appropriate way to handle them.

The Oracle Financial Services Alert Management applications are Web-based and, therefore, you may occasionally see one or more of the following types of message pop-up windows apart from those directly related to the business function of the application. This section defines the following message types that are relevant to your activity within the application:

- **Error Messages:** Displays to alert you that you have performed an activity that is not compatible with the application
- **Status Messages:** Displays to alert you of the status of either your current activity or your access rights
- **Informational Messages:** Displays to confirm actions you are taking or to warn you of additional requirements to be met to complete an action

## Error Messages

The following error messages display to alert you that you have performed an activity that is not compatible with the application:

- Authentication Errors
- Multiple Session Errors

### Authentication Errors

Authentication Error pages display if you enter an invalid user ID or password on the Login page (Figure 139).

Additionally, this type of message displays if you inadvertently type the correct login information with improper capitalization or with the Caps Lock key set, as passwords are case-sensitive. .



**Figure 139. Authentication Error Page**

To reattempt your log in, click **OK** on the Authentication Error page.

## Multiple Session Errors

If you try to login the application in a parallel browser when you have already logged into the application in another browser, the Multi Session Error displays. A parallel session is one which is improperly started by selecting **New/Window** from the File menu in IE or by pressing the CTRL+N key and continuing to work in both sessions (Figure 140).



**Figure 140. Multiple Session Error Page**

Clicking the **OK** button in the message will close the second browser.

In order to login to a second session in parallel with existing session, open a new browser, and select **File' New Session**. A second session opens that enable you to login. When working with two sessions, logout from one of the session does not affect the other session.

## Status Messages

Status messages display to warn you that another user has locked an alert, case, suppression rule, or trade that you are trying to access.

The following items support the Lock feature:

- Alerts that are locked by another users.
- Suppression Rules creation
- Trade Blotter Rules Selection
- Watch list Management
- Cases that are locked by another users.
- Involved Party Creation

## Alert/Case Locked

The Alert/Case Locked dialog box displays to let you know that the selected alert/case records are locked as a result of another user who is currently acting on an alert/a case you have selected.

If you have selected one or more alerts/cases to perform some action, and if another user is currently taking an action on all those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When alerts are locked:** All selected alert records are locked by another user. Please try again later.
- **When cases are locked:** All selected case records are locked by another user. Please try again later.

If you have selected one or more alerts/cases to perform some action and if another user is currently taking an action on one or some of those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When some alerts are locked:** One or more Alerts are locked by another user. Select OK to continue, Cancel to return to the Alert List.
- **When some cases are locked:** One or more cases are locked by another user. Click **OK** to continue performing actions for cases which are not locked.

If you have selected an alert/a case, which is already locked by another user, then on clicking the **Alert ID** hyper link in order to navigate to the Alert details page, the Alert/Case Locked dialog box displays with the following message:

- **When alert is locked:** The selected alert is locked by another user. Click **OK** to view the alert details page in view mode only and Cancel to return to list page.
- **When Case is locked:** The selected case is locked by another user. Click **OK** to view the case details page in view mode only and Cancel to return to list page.

## ***Informational Messages***

The Informational messages display as a pop-up window either with the **OK** button, or with the **OK** and **Cancel** buttons. The following are a few instances where these messages display.

- If you do not enter information into a field, which is required for an action to be performed
- A pre-save confirmation message asking you if you would like to save the actions you have chosen to perform
- A post save confirmation message informing you if the actions performed have been successful or not
- A confirmation message if you choose to edit or remove a record
- If you have not selected an alert/business entity for an action to be performed
- If you choose to cancel an action, which has not been saved

Informational messages help you successfully perform an action and warn you if you have missed certain steps out for the successful completion of an action undertaken.



# Security within Oracle Financial Services Alert Management

Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) uses six layers of security to control data access as defined in Table 62. You can view an alert if your combination of access controls authorizes you to view the alert and business information. Contact your system administrator for details about your access control permissions.

**Table 62: Access Controls**

Security Layer		Description
Type	Controls	
Roles	Features and Functions	This security layer identifies the features and functions you can perform within the Oracle Financial Services Solution Sets.
Organizations	Alert Information	This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one <i>primary organization</i> ; however, a user can be assigned multiple viewable associations. To see an alert owned by an organization or by the users within an organization, you must have viewable rights to that organization.
Scenarios	Alert Information	This security layer enables your firm to restrict access by specific business problems (that is, scenarios). To see a linked alert generated by a scenario, you must have rights to view the scenario that generated the alert. To see a multi-match alert that is generated by several scenarios, you need rights to view at least one of the scenarios that generated the alert.
Domains	Alert and Business Information	This security layer enables your firm to restrict access along operational business lines and practices. You can only see entities and alerts that are assigned to at least one of the same business domains. Entities and alerts can have multiple domains.
Jurisdictions	Alert and Business Information	This security layer enables your firm to restrict access using geographic locations. You can only see entities and alerts that are assigned to the same jurisdictions.

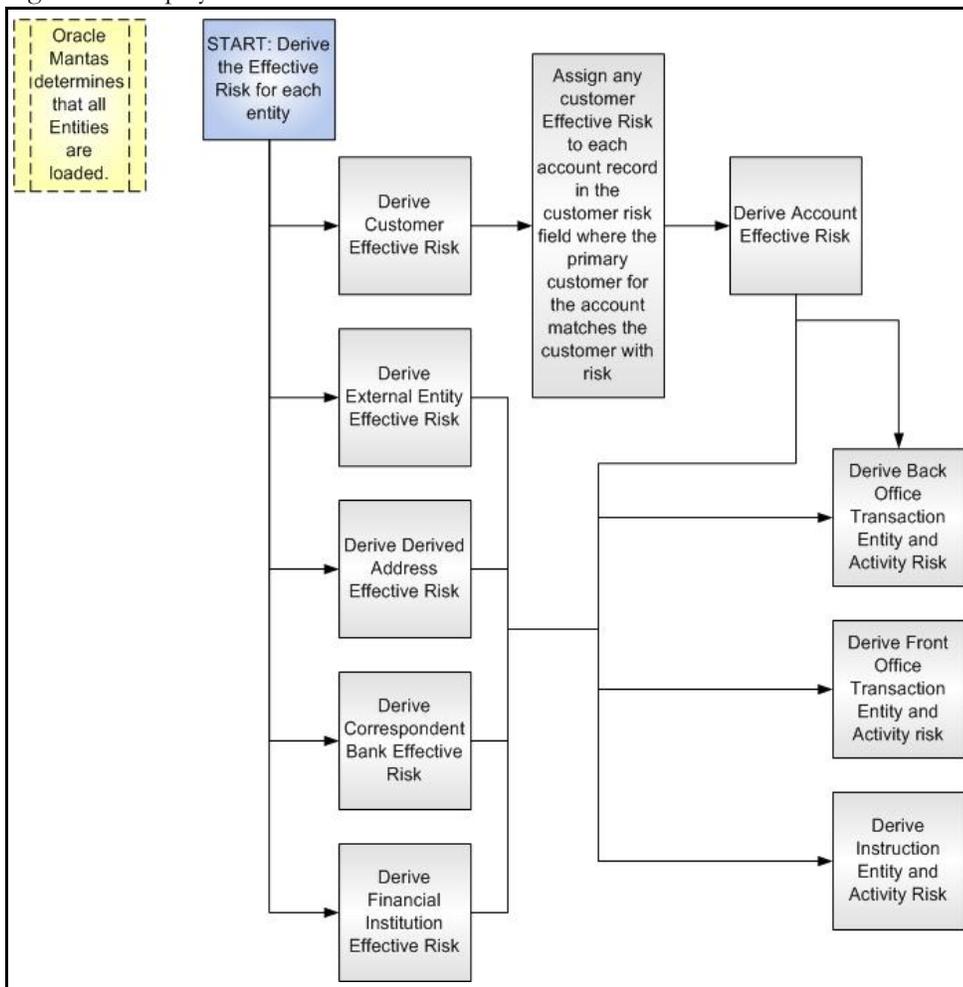


# Calculating Risk

Oracle Financial Services Alert Management uses risk calculations as part of managing sensitivity when detecting behaviors of interest in Money Laundering and Fraud scenarios. Risk information can be provided either through a Watch List or, for Customers and Accounts, an attribute of the record provided to the Ingestion Manager.

Based on several risk inputs, Oracle Financial Services Alert Management calculates effective risks for business entities and calculates both Party Risk and Activity Risk on Transactions and Settlement Instructions.

Figure 141 displays the basic flow of the calculation.



**Figure 141. Risk Derivation-Overview**

In addition to risk, Oracle Financial Services Alert Management supports the concepts of Exempt Entities and Trusted Entities. These concepts are discussed in more detail in *Watch Lists*, on page 262. In brief, Exempt Entities

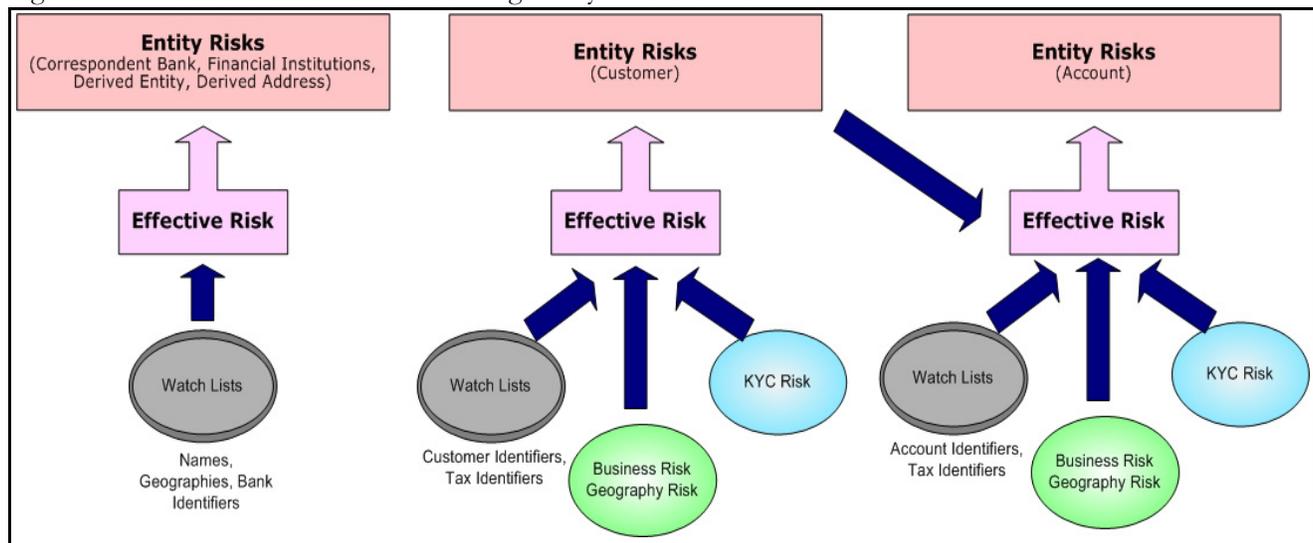
are those that should not alert in Anti-Money Laundering scenarios. Trusted entities are those that are known to be more trustworthy than the general population.

Risk levels use a ten-point scale, with one representing moderate risk and ten representing highest risk. Entities that have no known risk receive a risk score of zero.

## **Determining Entity Risk**

Oracle Financial Services Alert Management clients can provide risk factors for business entities through the Oracle Financial Services Data Interface Specification (DIS). The same business entity can be assigned risks in several ways. The Ingestion Manager resolves across these various risks to create an Entity Effective Risk.

Figure 142 reflects the basic flow for deriving Entity Effective Risk.



**Figure 142. Entity's Effective Risk**

Oracle Financial Services Alert Management derives risk on the following business entities:

- Customers
- Accounts
- Financial Institutions
- Correspondent Banks
- Derived Addresses
- Derived Entities (Names)
- Derived Entities (Identifiers)

Clients can provide risk information directly through the Account and Customer input files as specified in the DIS. Accounts and Customers can also receive Know Your Customer (KYC) risk information through the Account Supplemental Attributes and Customer Supplemental Attributes DIS files. All of the business entity types can receive risk information through watch lists.

When determining an entity's effective risk, the approach to resolving across multiple sources of risk varies based on the entity type. The general rules to follow are:

- Watch List risk has higher priority than other risk factors.
- Exemption and Trust take priority over risk.
- More specific risk factors are preferred over less specific risk factors (for example, risk associated with an Identifier is more specific than risk associated with a Name).

Derivation of Customer, Account, and Correspondent Bank Effective Risk are the most complex. The following sections outline the rules for these derivations.

## ***Deriving Customer Entity Risk***

Customer records can provide risk through three distinct mechanisms:

- Business Risk or Geography Risk provided in the Customer DIS file
- KYC Risk provided in the Customer Supplemental Attributes DIS file
- Watch List entries matching the Customer ID or Customer's Tax ID

If the Customer has any Watch List risk information, then the Customer's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Customer, then the Effective Risk is derived as the highest of Business Risk, Geography Risk, and KYC Risk. KYC Risk can be provided as either Trust or Exclusion. If that is the case, the KYC trust is selected over positive risk factors in Business Risk or Geography Risk.

## ***Deriving Account Entity Risk***

Account records can provide risk through three distinct mechanisms:

- Business Risk or Geography Risk provided in the Account DIS file
- KYC Risk provided in the Account Supplemental Attributes DIS file
- Watch List entries matching the Account ID or Account's Tax ID

Accounts can also inherit risk from the Primary Customer identified on the Account. This risk is referred to as Account Customer Risk. Accounts inherit the Effective Risk from the Primary Customer as it has been calculated using the rules described in Deriving Customer Entity Risk with two exceptions:

- If the Customer's Effective Risk was driven by KYC risk, then the Account processing re-calculates the Customer's effective risk, ignoring KYC risk on the Customer. The reason for this is that the Account's risk factors are part of the Oracle Financial Services KYC product's risk derivations, so propagating that risk back to the Account is not productive. If the Customer's Effective Risk was driven by KYC, then the Account uses the highest of the Customer's Geography and Business risks as the Account Customer Risk.
- There is a configurable parameter in the Ingestion Manager to determine whether or not Trust and Exclusion should be inherited from the Customer record. If this is configured to NOT inherit this effective risk and the Customer's Effective Risk indicates Trust or Exclusion, then the Customer's risk is not taken into account in determining the Account Effective Risk.

If the Account has any Watch List risk information, then the Account's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Account, then the Effective Risk is derived as the highest of Business Risk, Geography Risk, KYC Risk, and Account Customer Risk.

## Deriving Correspondent Bank Entity Risk

Correspondent Bank records can derive risk information through three distinct mechanisms:

- Watch List entries matching the Correspondent Bank ID
- Watch List entries matching the Correspondent Bank Name
- Watch List entries matching the Correspondent Bank Address

If the Correspondent Bank has any Watch List risk information, then the Correspondent Bank's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Correspondent Bank identifier, then the Effective Risk is derived based upon matching Watch List risk information pertaining to the Correspondent Bank name. If there is no Watch List risk information on the Correspondent Bank name, then the Effective Risk is derived based upon the matching of the Correspondent Bank's address information to Watch List entries.

### Watch Lists

A Watch List is a list of entities that have known risk characteristics. Watch Lists can represent public sources or can be created and managed internally by the institution. Common public sources for watch lists include Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF). The types of entities provided on Watch Lists include:

- Identifiers (for example, SSN, Tax ID, and Passport ID)
- Organizations (for example, business name, SWIFT code, and ABA number)
- Accounts (for example, internal or external accounts)
- Persons (for example, personal name)
- Geography (for example, countries, state, city, postal code, and address)
- Combined Names and Geography

Refer to the *Oracle Financial Services Data Interface Specification*, Release Release 6.2.2, for more information on Watch Lists and Watch List Entries.

Oracle Financial Services Alert Management categorizes Watch Lists into three types:

- **Exempted Watch List:** Entities on Exempted Watch Lists are highly trusted clients on whom no Money Laundering alerts will be generated.
- **Trusted Watch Lists:** Entities on Trusted Watch Lists are known to be highly trustworthy. Certain scenarios can be configured to exclude trusted entities from monitoring.
- **Risk Watch List:** These are the entities that carry a risk value indicating that they should be monitored more closely than the general population. Money Laundering scenarios allow for separate threshold values to be set when monitoring entities with a certain risk level. Risk lists are risk weighted using values ranging from one (lowest risk) to ten (highest risk).

**NOTE:** There is no risk list with a risk level of zero. Risk level zero is reserved to indicate that there are no known risk factors to consider. It is also the default risk level for all entities in Oracle Financial Services Alert Management.

The matching criteria of Watch List Entry are as follows:

- All ID entries on a Watch List require an exact match to an entity

- All Name entries on a Watch List require an exact or a fuzzy match to an entity
- Addresses can be matched to watch list entries at multiple levels (for example, the same address can match one watch list entry for a Street Address and can match a separate entry for a Country)

For each Watch List match to an entity, a List Membership Record is created, which includes:

- ID of Watch List matched
- Date, when the entity was added to the Watch List
- Date, when the entity was removed to the Watch List
- Watch List entry that was matched
- Type of Watch List Entry that was matched

Fuzzy name matching is a technique to account for normal variations in names and still successfully match the names against watch lists. For more information on configuration of Fuzzy Name Matching within Oracle Financial Services Alert Management, refer to the *Administration Guide*.

### Determining Watch List Risk

The Oracle Financial Services Alert Management defines each reference entity with an adjudicated Watch List Risk. An entity's Watch List Risk is determined through a hierarchy of rules as follows:

- If an entity is a member of a Watch List of type Exempt, then the Watch List Risk value is -2. This value is not displayed; it is used for internal processing.
- If an entity is a member of a Watch List of type Trusted, then the Watch List Risk value is -1. This value is not displayed; it is used for internal processing.
- If an entity is matched to multiple entries on one or more Watch Lists, the match that is the *most specific* is used to drive risk. The order of preference is:
  - 1 ID match
  - 2 Exact Name match
  - 3 Fuzzy Name match
  - 4 Street Address match
  - 5 Postal Code match
  - 6 City match
  - 7 State/Province match
  - 8 Country match

Not all entity types can match multiple types of watch list entries. For example:

- Accounts and Customers only match identifiers.
- Correspondent Banks can match either IDs, Names, or Addresses.
- Addresses can match at different granularities, ranging from Country to the specific street address.
- If multiple risk lists are matched with the same specificity, then the final Watch List Risk is the highest of the risks of the entities matched at the same level.

**NOTE:** All matches are retained and stored in List Membership Records associated with the entity.

## **Determining Risk on Transactional Data**

After Effective Risk is derived for Entities, this risk is reflected on instructions and transactions. The risk is generally calculated for each party on the transaction and stored as a Party Entity Risk. The Entity Risks of each party is then used to calculate an Activity Risk for each party. Activity Risk is an assessment of the risk level of the activity in which that party has engaged. As such, that party's own Entity Risk is not considered when calculating the Activity Risk for the party.

The derivations for Party Entity Risk vary by the transaction type.

### **Determining Front Office Transaction Party Entity Risk**

Front Office transactions contain three distinct sources of risk for any one party:

- Party ID
- Party Name
- Party Location

As a general rule, Oracle Financial Services Alert Management uses the most specific risk factor possible when setting the Party Entity Risk. As such, risk information about the Party ID is considered more reliable than risk information about the Party Name or the Party Location. The Ingestion Manager can be configured to automatically accept the Party ID Risk only when it is above a certain threshold (this defaults to zero, meaning that non-zero Party ID Risk is always accepted as the Party Entity Risk).

For each Party, a Geography Risk is calculated using Watch List information as described in the section *Watch Lists*.

Party Entity Risk is determined by a hierarchy of rules as follows:

- If the Party ID Effective Risk is Trusted or Exempt, then set Party Entity Risk to the Party ID Effective Risk.
- If the Party ID Effective Risk is  $>$  *Party ID Win Threshold*, then set Party Entity Risk to Party ID Effective Risk.
- If the Party Name combined with the Party Location matches a combined Name-Location Watch List record that represents Trust or Exclusion, then set the Party Entity Risk to the combined Name-Location and Trust-Exemption level.
- If the Party Name combined with Party Location matches a combined Name-Location Watch List record that represents Risk, then set the Party Entity Risk to the HIGHER of the Party ID Effective Risk and the combined Name-Location Risk level.
- If the Party Name Effective Risk alone is Trusted or Exempt, then set the Party Entity Risk to the Trust-Exemption level of the Name.
- If the Party Name Effective Risk indicates risk, set the Party Entity Risk to the HIGHER of the Party ID Effective Risk and the Party Name Effective Risk.
- If the Party Geography Risk is Trusted or Exempt, then set the Party Entity Risk to the Trust-Exemption level of the Geography.
- Set the Party Effective Risk to the HIGHER of the Party ID Entity Risk and the Party Geography Risk.

The Party Entity Risk is calculated for every party on each Front Office Transaction. This value displays when showing Front Office Transactions in the UI. This value is then used to calculate Party Activity Risk for each party on the transaction. Refer to section *Determining Activity Risk on Front Office Transactions*, on page 265 for details on the calculation of Party Activity Risk for Front Office Transactions.

### Determining Back Office Transaction Party Entity Risk

Back Office Transactions contain only two parties, the Account that is the focus of the activity and the Offset Account involved in the transaction. As these are both Identifiers, setting the Party Entity Risk for Back Office Transactions is simply propagating the Account Effective Risk values for the related accounts to the transaction.

### Determining Settlement Instruction Party Entity Risk

Based on how Settlement Instructions are used in scenarios, the processing of parties is handled somewhat differently than Front Office Transactions. Although there are multiple parties on a Settlement Instruction, there is only a Party Entity Risk calculated for the Account holding the Instruction. The processing is, therefore, simply to propagate the Account's Effective Risk to the Settlement Instruction Entity Effective Risk.

### Determining Activity Risk

Activity Risk identifies the risk of the Activity as seen from the viewpoint of each Party on a transaction. In general, the Activity Risk is the highest risk of the other parties on the transaction or of the transaction Channel or Product itself. As with calculating Party Entity Risk, the derivation of Party Activity Risk varies by transaction type.

#### Determining Activity Risk on Front Office Transactions

Front Office Transaction Party Activity Risk calculates risk separately from the point of view of each party on the transaction. The risk is intended to identify how risky the activity is independent of risk factors already associated to the Party through the Party Entity Risk. As such, on Front Office Transactions, the risk is calculated using the Party Entity Risk of the parties on the other side of the transaction. The general approach is to use the highest of the Channel Risk, Product Risk, and Party Entity Risk of the other parties. Channel and Product Risk are provided in the DIS file for Front Office Transactions.

Several party roles effect activity risk. The following sections describes the relationship between varying party roles and activity risk for transactions.

Table 63 displays the party role-activity risk relationship for an electronic funds transaction.

**Table 63: Electronic Funds Transfer Transaction**

Party Role	Roles impacting Activity Risk
Originator, Secondary Originator, Sending Bank	Intermediary Banks, Receiving Bank, Beneficiary, Secondary Beneficiary
Intermediary Banks	All roles except for the party for which the Activity Risk is being calculated
Receiving Bank, Beneficiary, Secondary Beneficiary	Intermediary Banks, Sending Bank, Originator, Secondary Originator

#### Cash Transaction

Table 64 displays the party role-activity risk relationship for the cash transaction.

**Table 64: Cash Transaction**

Party Role	Roles impacting Activity Risk
Originator	Location, Conductor
Location	Conductor, Originator, or Beneficiary
Conductor	Location, Originator, or Beneficiary
Beneficiary	Location, Conductor

**NOTE:** A Cash Transaction record can have an Originator or a Beneficiary, but not both.

*Monetary Instrument and Check Transactions*

Table 65 displays the party role-activity risk relationship for the monetary instrument and check transaction.

**Table 65: Monetary Instrument and Check Transactions**

<b>Party Role</b>	<b>Roles impacting Activity Risk</b>
Remitter, Issuing Institution	Depositing Institution, Clearing Institution, Beneficiary, Secondary Beneficiary, Conductor
Clearing Institution	Remitter, Issuing Institution, Depositing Institution, Beneficiary, Secondary Beneficiary, Conductor
Depositing Institution, Beneficiary, Secondary Beneficiary	Remitter, Issuing Institution Clearing Institution, Conductor
Conductor	Remitter, Issuing Institution, Clearing Institution, Depositing Institution, Beneficiary, Secondary Beneficiary

**Determining Activity Risk on Back Office Transactions**

Activity Risk on Back Office Transactions is only calculated for the Account that is the focus of the activity. Since the only other risk factors available are the Offset Account’s Effective Risk and the Channel and Product Risks provided on the transaction, the Activity Risk is simply calculated as the highest of these three factors.

**Determining Activity Risk on Settlement Instructions**

The Activity Risk calculated for Settlement Instructions is from the point of view of the Account holding the instructions. Calculating Activity Risk on Settlement Instructions follows a similar approach as Front Office Transactions whereby the Entity risk is calculated for each party and then used to calculate Activity Risk; however, on Settlement Instructions, the Entity Risks for each party are not stored. The Entity Risks are calculated as follows:

*Destination Customer Entity Risk*

The Destination Customer Entity Risk is calculated using the following hierarchical rules:

1. If the Destination Customer Account Effective Risk is non-zero, then set Destination Customer Entity Risk to Destination Customer Account Effective Risk.
2. If the Destination Financial Institution Effective Risk is non-zero, then set Destination Customer Entity Risk to Destination Financial Institution Effective Risk.
3. If the Destination Customer Name Risk  $\geq$  Destination Financial Institution Name Risk, then set Destination Customer Entity Risk to Destination Customer Name Risk.
4. If the Destination Financial Institution Name Risk  $>$  Destination Customer Name Risk, then set Destination Customer Entity Risk to Destination Financial Institution Risk.
5. Set Destination Customer Entity Risk to zero (0).

*Physical Delivery Party Entity Risk*

The Physical Delivery Party Entity Risk is calculated using the following hierarchical rules:

1. If the Physical Delivery Account Effective Risk is non-zero, then set Physical Delivery Party Entity Risk to Physical Delivery Account Effective Risk.

2. If the Physical Delivery Financial Institution Effective Risk is non-zero, then set Physical Delivery Party Entity Risk to Physical Delivery Financial Institution Effective Risk.
3. If the Physical Delivery Geography Risk is non-zero, then set the Physical Delivery Party Entity Risk to the Physical Delivery Geography Risk.
4. Set Physical Delivery Party Entity Risk to zero (0).

The final Activity Risk setting on the Settlement Instruction is the highest level of:

- Destination Customer Entity Risk
- Physical Delivery Party Entity Risk
- Settlement Country Geography Risk
- Product Risk
- Channel Risk

This final Activity Risk is used in scenarios to determine the risk level of the Settlement Instruction without regard to the risk factors inherent in the Account holding the Instruction.



## APPENDIX F

# Trade Blotter List Component Matrix

This appendix provides a detailed table that lists all of the possible fields that may display on the Trade Blotter List Details page by the user interface section and the product category specified on the Trade Blotter Search page. Refer to Table 66.

**Table 66: Trade Blotter List Components by UI Section and Trade Product Category**

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Trade Characteristics	Abbreviated text that describes any special criteria with which that trade is associated; for example, EA represents Employee Account. A hover over displays the full text.	X								X	X	X	X	X	X	X	X	X	X
Score	Score associated with the trade.	X								X	X	X	X	X	X	X	X	X	X
Trade ID	Trade identifier for the trade.	X	X							X	X	X	X	X	X	X	X	X	X
Trade Date	Date, time and time zone in which the trade was executed.		X							X	X	X	X	X	X	X			X
Currency Pair	Security short name.		X					X					X						X
Deal Trade Date	Original date that the structured deal was negotiated.		X															X	X
Desk ID	Identifier of the desk that performed the trade.		X							X	X	X	X	X	X	X	X	X	X
Subdesk ID	Identifier of the sub-desk that performed the trade.		X							X	X	X	X	X	X	X	X	X	X
Executing Organization ID	Identifier of the organization within which this trade execution was performed.		X							X	X	X	X	X	X	X	X	X	X
Post Position	Tracer Post Position. Number of units of this security held in the trading account associated with this trade execution immediately after the execution was performed.		X							X	X	X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred	
Security Short Name	Short name of the security that was traded.	X	X				X			X	X	X		X	X	X	X	X
Security ID	Identifier of the security that was traded.		X							X	X	X		X	X	X	X	X
Security Description	Description of the security that was traded.		X							X	X	X		X	X	X	X	X
Foreign Exchange Type	Deal Type 1 and 2. Oracle Alert Management client-specified general type of the structured deal.		X										X					X
Foreign Exchange Description	Description of the structured deal (or swap) that the Oracle Alert Management client can use to identify specific information about the structured deal (or swap).		X										X					X
Security Alternate Name	Alternate name of the security.		X									X						X
Product Category	Product category designation for the security associated with this trade.	X	X							X	X	X	X	X	X	X	X	X
Product Type	Product type designation for the security associated with this trade.		X							X	X	X	X	X	X	X	X	X
Product Subtype	Product subtype designation for the security associated with this trade.		X							X	X	X	X	X	X	X	X	X
Trade Purpose	Purpose for which this trade was executed.		X							X	X	X	X	X	X	X	X	X
Trader Buy/Sell	Trader Buy/Sell. Indicates whether the trader is buying or selling the security.		X															
Buyer	Buyer identifier and type		X							X	X	X	X	X	X	X	X	X
Seller	Seller identifier and type		X							X	X	X	X	X	X	X	X	X
Market Center	Market center on which the trade was executed.		X							X		X						X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section										Trade Product Category							Standard Configuration
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred	Convertible	
Quantity	Total number of units of the security (for example, shares, contracts, or face value) that were traded.	X	X								X	X	X		X	X	X		X
Price (Base)	Price at which the security was traded (buy or sell) as expressed in base currency.		X								X	X	X	X	X	X	X	X	X
Price (Issuing)	Price at which the security was traded (buy or sell) as expressed in the issuing currency.	X	X								X	X	X	X	X	X	X	X	X
Price (Traded)	Last activity price for the trade.		X								X	X	X	X	X	X	X	X	X
Price (Settlement)	Trade price expressed in the currency in which the trade is to be settled.		X								X	X	X	X	X	X	X	X	X
Commission (Base)	Monetary amount of the broker commission associated with this trade, expressed in base currency.		X									X	X	X	X	X	X	X	X
Commission (Issuing)	Monetary amount of the broker commission associated with this trade, expressed in the issuing currency.		X								X	X	X	X	X	X	X	X	X
Principal (Base)	Principal amount of the trade as expressed in base currency.		X									X	X	X	X	X	X	X	X
Principal (Issuing)	Principal amount of the trade as expressed in the issuing currency.	X	X								X	X	X	X	X	X	X	X	X
Principal (Traded)	Principal amount of the trade as expressed in the currency in which the trade was executed.		X									X	X	X	X	X	X	X	X
Principal (Settlement)	Principal amount of the trade as expressed in the currency in which the trade is to be settled.		X									X	X	X	X	X	X	X	X
Coupon	The interest rate paid for the security.		X													X	X		X
Yield	For fixed income products, the rate of return on this security.		X									X					X		X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Gross Amount	Principal amount of the trade expressed in the issuing currency plus the commission associated with the trade expressed in the issuing currency.		X							X	X	X	X	X	X	X	X	X	X
Settlement Date	Date on which the trade is to settle.		X							X		X	X	X	X	X			X
Settlement Value	For Foreign Exchange trades, the value of the trade on Value Date.		X										X						X
Settlement Country	Last known value for the country in which this trade was settled.		X								X					X	X		X
Conversion Ratio	Number of units (for example, shares) of the instrument that can be obtained by converting each single unit of the convertible security.		X												X	X			X
Conversion Price	Price per share for which investors can exchange the convertible security.		X												X	X			X
Swap Type	Deal Type 1 and 2. Type of this structured deal.		X															X	
Swap Description	Description of this structured deal (or swap) that the Oracle Alert Management client can use to identify specific information about the structured deal (or swap).		X															X	X
Legal Entity	Oracle Alert Management client's legal entity that is the principal in this structured deal.		X															X	X
Customer ID	Identifier of the customer or counterparty involved in this structured deal.		X															X	X
Source System	Source system from which this data content is extracted.		X															X	X
Party 1 ID	Space-separated type and identifier of the first party involved in this swap.		X															X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Party 1 Account ID	Identifier of the account for the first party involved in this swap.		X															X	
Party 1 Payment Frequency	Expected frequency at which payments are to be made against this structured deal or swap (for example, daily or weekly).		X															X	X
Party 2 ID	Space-separated type and identifier of the second party involved in this swap.		X															X	X
Party 2 Account ID	Identifier of the account for the second party involved in this swap.		X															X	
Party 2 Payment Frequency	Expected frequency at which payments are to be made against this structured deal or swap (for example, daily or weekly).		X															X	X
Effective Date	Effective date on which the deal started.		X															X	X
Term Date	Date on which the deal ended.		X															X	X
Interbank Exchange Rate	Interbank exchange rate.		X										X						X
Spot Exchange Rate	Spot exchange rate.		X										X						X
Trade Exchange Rate	Exchange rate at which the trade executions were executed.		X										X						X
Principal Amount (Counter)	For foreign exchange trades, the principal amount of the trade expressed in the counter currency of the currency pair. This value does not include commissions or fees associated with the trade.		X										X						X



Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Customer Name	Name of the customer who placed the order.					X				X									X
Account [Display] Name	Account display name of the account associated with the trade.	X			X					X	X	X	X	X	X	X	X	X	X
Investment Objective	Specific investment objective of the account associated with the trade.	X								X	X	X	X	X	X	X	X	X	X
Source of Funds	Source from which the initial funds will come as stated by the customer for the account associated with the trade.				X					X	X	X	X	X	X	X	X	X	X
Source	Investment rating service that is the source of the investment rating for the security associated with the trade.		X							X	X	X	X	X	X	X	X	X	X
Rating	Specific investment rating value determined by an investment rating service for the security that was traded (for example, A+, BBB, or CC-).		X							X	X	X	X	X	X	X	X	X	X
Effective	Date on which an investment rating service established this investment rating for the security associated with the trade.		X							X	X	X	X	X	X	X	X	X	X
Expires	Date on which an investment rating service removed this investment rating for the security associated with the trade.		X							X	X	X	X	X	X	X	X	X	X
Maturity	For fixed income products, the date on which the security matures.	X									X								X
CUSIP	Committee on Uniform Securities Identification Procedures (CUSIP) identifier associated with the security that was traded.	X								X	X		X		X				X
ISIN	International Securities Identification Number (ISIN) associated with the security that was traded.	X								X	X	X		X	X	X			X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Deal ID	Oracle Alert Management identifier for a particular structured deal associated with the trade.		X							X		X	X		X	X		X	X
Last Reviewed By	User who approved or rejected the trade (via Trade Blotter).		X							X	X	X	X	X	X	X	X	X	X
Organization Name/ID	Display name or identifier (configured at deployment) of the organization that originated the trade.		X							X	X	X	X	X	X	X	X	X	X
Account ID	Identifier of the customer's account involved in the trade, as last reflected in the events for the execution.	X			X					X	X	X	X	X	X	X	X	X	X
Account Type	Oracle Alert Management client-specified account type classification for the use of this account.				X					X	X	X	X	X	X	X	X	X	X
Registration	Registration Type. Oracle Alert Management client-specified form of legal ownership for the account that is associated with the trade.				X					X	X	X	X	X	X	X	X	X	X
Open Date	(Account) Date on which the account associated with the trade was opened.				X					X	X	X	X	X	X	X	X	X	X
Last Activity	(Account) Date of the last trading or transaction activity in the account that is associated with the trade.				X					X	X	X	X	X	X	X	X	X	X
Business Unit	(Account) For firm accounts, the identifier for the organization that owns the account.				X					X	X	X	X	X	X	X	X	X	X
Branch	(Account) Branch Code. Organization where the account is domiciled.				X					X	X	X	X	X	X	X	X	X	X
Tax ID	(Account) Tax identification number associated with the account that is associated with the trade.				X					X	X	X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration		
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible	Swap
Risk Tolerance	(Account) Degree of risk the customer is willing to take with investments in this account (that is, the customer's ability to handle declines in the net worth of this account).					X							X	X	X	X	X	X	X	X
Customer ID	Customer associated with the account involved in the trade.						X						X	X	X	X	X	X	X	X
Tax ID	(Customer) Customer's tax identification number.					X							X	X	X	X	X	X	X	X
Type	(Customer) Indicator of whether this customer is an individual or organization.					X							X	X	X	X	X	X	X	X
Business Type	(Customer) Functional area in which this customer does business					X							X	X	X	X	X	X	X	X
Date of Birth	Date on which the customer was born.					X							X	X	X	X	X	X	X	X
Broker/Dealer	Indicator of whether this customer has provided notification of employment by a financial institution.					X							X	X	X	X	X	X	X	X
Customer Effective Risk	Level of risk associated with this customer as determined in large part by membership on one or more watch lists.					X							X	X	X	X	X	X	X	X
Effective Match	Level of risk associated with this customer as determined in large part by membership on one or more Watch Lists plus text of the identifier or name associated with the Watch List record that was used to populate Watch List Risk for this customer.					X							X	X	X	X	X	X	X	X
Business Risk	Level of risk associated with the general business characteristics of this customer as determined by the Oracle Alert Management client.					X							X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
List	Identifier of the level of risk associated with a customer determined by membership on one or more watch lists.					X				X	X	X	X	X	X	X	X	X	X
Annual Income	Customers self-reported annual income, expressed in base currency.					X				X	X	X	X	X	X	X	X	X	X
Employee	Indicator of whether the customer is also an Oracle Alert Management client.					X				X	X	X	X	X	X	X	X	X	X
Estimated Liquid Network	Customer's self-reported liquid assets, expressed in base currency.					X				X	X	X	X	X	X	X	X	X	X
Source of Wealth	Customer's self-reported source of wealth.					X				X	X	X	X	X	X	X	X	X	X
Marital Status	Marital status of the customer.					X				X	X	X	X	X	X	X	X	X	X
Occupation	Occupation of the customer.					X				X	X	X	X	X	X	X	X	X	X
Employer	Name of the customer's employer.					X				X	X	X	X	X	X	X	X	X	X
Credit Rating	Rating for this customer, based on credit rating score.					X				X	X	X	X	X	X	X	X	X	X
Credit Score	Actual score for the customer's credit rating, based on the credit rating score.					X				X	X	X	X	X	X	X	X	X	X
Credit Rating Source	Source associated with the credit rating assigned to the customer.					X				X	X	X	X	X	X	X	X	X	X
Citizenship	Customer's primary country of citizenship.					X				X	X	X	X	X	X	X	X	X	X
Order ID	Identifier of the order associated with the trade.						X			X	X	X	X	X	X	X	X	X	X
Order Placed	Date and time on which the order was placed.						X			X	X	X	X	X	X	X	X	X	X
First Routed	Date and time on which the order was first routed.						X			X	X	X	X	X	X	X	X	X	X
Order Filled	Date and time on which the order was completely filled.						X			X	X	X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Order Buy/Sell	Indicator of whether an order is an instruction to buy or sell a security.						X			X	X	X	X	X	X	X	X	X	X
Originating Order Quantity	Original number of units of the security (for example, shares, contracts or face value) that were to be bought or sold through this order.						X			X	X	X	X	X	X	X	X	X	X
Last Order Type	Type of this order; for example, market or limit.						X			X	X	X	X	X	X	X	X	X	X
Limit Price	Price at which this limit order is to be executed, as expressed in issuing currency.						X			X	X	X	X	X	X	X	X	X	X
Buyer/Seller	Indicator for the type of buyer/seller for which the order was placed and the buyer/seller associated with the order.						X			X	X	X	X	X	X	X	X	X	X
Parent Order ID	Identifier that the Oracle Alert Management client assigns which uniquely identifies this order throughout the enterprise during the day in which it was performed.						X			X	X	X	X	X	X	X	X	X	X
Primary Representative ID	Primary representative identifier that is used by this employee.							X		X	X	X	X	X	X	X	X	X	X
Employee Name	Name to be displayed for this employee.			X				X	X	X	X	X	X	X	X	X	X	X	X
Representative/Investment Advisor	Registered Representative/Investment Advisor name associated with the trade.	X								X	X	X	X	X	X	X	X	X	X
Primary Service Team ID	Identifier of the primary service team of which this employee is a member.							X		X	X	X	X	X	X	X	X	X	X
Central Registration Depository ID	For employees who must be registered with a regulator, the unique identifier that the authoritative regulator assigned to this employee.			X				X		X	X	X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section								Trade Product Category								Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Employee ID	Identifier for an employee that is unique across the enterprise. Note: This field is labeled Representative/Investment Advisor.			X				X	X	X	X	X	X	X	X	X	X	X	X
Title	Job title for this employee.			X				X		X	X	X	X	X	X	X	X	X	X
Role	For employees who are traders or registered representatives, identifies their employment role or title; for example, floor trader or branch manager.			X				X		X	X	X	X	X	X	X	X	X	X
Employee Type	Code that identifies the type of employee; for example, employee or contractor.							X		X	X	X	X	X	X	X	X	X	X
Part/Full Time	Indicator of whether this employee is part time or full time.							X		X	X	X	X	X	X	X	X	X	X
Supervisor Name	Name to be displayed for this employee's supervisor.			X				X		X	X	X	X	X	X	X	X	X	X
Supervisory Organization ID	Identifier of the organization that is responsible for monitoring the activities of this employee.							X		X	X	X	X	X	X	X	X	X	X
Supervisor Organization Name	Name of the organization that is responsible for monitoring the activities of this employee.							X		X	X	X	X	X	X	X	X	X	X
Line Organization ID	Identifier of the primary line organization to which this employee is assigned.			X				X		X	X	X	X	X	X	X	X	X	X
Line Organization Name	Name of the primary line organization to which this employee is assigned.			X				X		X	X	X	X	X	X	X	X	X	X
Company	Name of the company for which this employee or contractor works.			X				X		X	X	X	X	X	X	X	X	X	X
Cost Center	Cost center to which this employee is assigned.			X				X		X	X	X	X	X	X	X	X	X	X
Office	Identifier of the office to which this employee is assigned.			X				X		X	X	X	X	X	X	X	X	X	X

Table 66: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

Column	Description	User Interface Section							Trade Product Category									Standard Configuration	
		Trade List	Trade	Security Rating	Trader	Account	Customer	Order	Registered Rep.	Investment Advisor	Other/ Equity/ Exchange Traded Fund/ Commodities	Mutual Fund	Fixed Income	Options & Futures	Foreign Exchange	Money Market	Preferred		Convertible
Office Location	Text that describes this employee's work location (for example, 123 Wall Street or Commonwealth Building, Third Floor).			X				X		X	X	X	X	X	X	X	X	X	X
Tax ID	Employee's tax identification number; for example, SSN.							X	X	X	X	X	X	X	X	X	X	X	X
Tax ID Format	Indicator of whether the employee tax identifier is a Social Security Number (SSN) or another type of identifier.							X	X	X	X	X	X	X	X	X	X	X	X
Hire Date	Date this employee was hired.							X		X	X	X	X	X	X	X	X	X	X
Employee Status	Employment status of this employee; for example, active or inactive.			X				X		X	X	X	X	X	X	X	X	X	X
Employee Status Date	Date that this employee's status was last changed.			X				X		X	X	X	X	X	X	X	X	X	X
Investment Advisor Firm ID	Investment advisor firm identifier. Identifier for a specific investment advisor that is unique across the enterprise.								X	X	X	X	X	X	X	X	X	X	X
Investment Advisor Firm Name	Investment advisor's firm name. For external advisors, the name of the investment advisor's firm.								X	X	X	X	X	X	X	X	X	X	X
# of Subaccounts	Number of active sub-accounts that this investment advisor manages.								X	X	X	X	X	X	X	X	X	X	X
Assets Under Management	Total net worth of all active sub-accounts that this investment advisor manages, expressed in base currency.								X	X	X	X	X	X	X	X	X	X	X



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