

Oracle Financial Services
Personal Trading Approval
Release Notes

Release 1.0
December 2013



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Document Control Number: 10647-101005
Document Number: RN-13-PTA-0005-1.0-01

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Document Number: RN-13-PTA-0005-1.0-01
First Edition (December 2013)

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Contents

CHAPTER 1	<i>About this Guide</i>	1
Introduction	1	
Where to Find More Information	1	
CHAPTER 2	<i>Release Highlights</i>	3
Account Approval	3	
Pre-trade Approval	3	
Attestation.....	3	
CHAPTER 3	<i>Known Issues</i>	5
CHAPTER 4	<i>Documentation Links</i>	9
End User Documents	9	

Contents

Introduction

The Personal Trading Approval (PTA) application allows employees to submit a trade request in their approved investment accounts (submitted via the Account Approval workflow). The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure. Users with Control Room Analyst or Control Room Supervisor roles may approve or reject the submitted trade request. Users with the Investment Policy (IP) Managers or IP Manager Supervisor role may approve or reject the submitted trade request initially approved by Control Room Supervisor or Analyst user when Four-Eyes Approval is enabled.

The Personal Trading Approval (PTA) application also includes the ability for employees to submit attestations.

Where to Find More Information

For more information on PTA, refer to the following documents:

- *Administration Guide*
- *Configuration Guide*
- *Personal Trading Approval Installation Guide*
- *Personal Trading Approval User Guide*

To find additional information about how Oracle Financial Services solves real business problems, see our Web site at www.oracle.com/financialservices.

Where to Find More Information
Chapter 1-About this Guide

The PTA application contains the following functionality:

- Account Approval
- Pre-trade Approval
- Attestation

Account Approval

In Account Approval, employees of the Oracle client are allowed to submit a request for a personal investment account held at a broker/dealer that is outside of the firm for approval within the firm to trade in the account. Users with Control Room Analyst or Supervisor roles may approve or reject the submitted account request. Users with Investment Policy (IP) Manager or IP Manager Supervisor roles may approve or reject an account approval request initially approved by a Control Room Supervisor/Analyst user when Four Eye Approval is enabled.

In addition, an employee can view their requests, modify cleared requests, edit erroneously submitted requests, and close an account by removing a cleared request. An employee can also request an exception if a request has been rejected by the control room.

Users with Control Room Analyst/Supervisor roles or IP Manager/IP Manager Supervisor roles have the added ability to search, view, reassign, and approve or reject the account approval requests made by an employee.

All users can add comments and attachments to any viewable requests.

Pre-trade Approval

Pre-Trade Approval allows employees to submit a trade request in their approved personal investment accounts. Users with Control Room Analyst or Control Room Supervisor roles may approve or reject the submitted trade request. Users with IP Manager or IP Manager Supervisor role may approve or reject the submitted trade request initially approved by the Control Room Supervisor or Analyst user when Four-Eyes Approval is enabled.

In addition, an employee can view their pre-trade approval requests.

Users with Control Room Analyst/Supervisor roles or IP Manager/IP Manager Supervisor roles have the added ability to search, view, reassign, and approve or reject the pre-trade approval requests made by an employee.

All users can add comments and attachments to any viewable requests.

Attestation

Attestation allows employees to submit an attestation on their own approved personal investment accounts during a specified reporting period. Control Room personnel may review the submitted attestations of an employee.

Employees have the ability to add, view, and edit attestations. Users with Control Room Analyst/Supervisor roles have the ability to search, review and reassign attestations submitted by an employee

Attestation**Chapter 2-Release Highlights**

This chapter describes the known issues in this release.

Table 1 describes each known issue with workarounds (where available) that you can use to address the issue.

Table 1. Known Issues

Bug ID	Description	Workaround
17901735	Unexpected error is displayed on the Security Validation pop-up for a new Pre-trade Request if the Enter key is pressed, rather than clicking on the Search icon when searching for a security.	Click the Search icon, and do not press the Enter key on the Security Validation pop-up when searching for a security.
16437557	After browsing for a file when adding an attachment, if the user clicks on the Attach File button multiple times, an exception error is displayed.	Close the exception error window. From the Details page, take the action again and click Attach File button only once.
17832322	When an employee creates a new Attestation by clicking New button, initially the Questionnaire section is displayed, while the loading of the employee context sections may continue to progress due to the amount of data retrieved for display. This does not impact functionality.	
17747657	For the PTA Analytical Reports, in the filter section, a superfluous scroll bar is displayed beneath a check box, along with the number '1' to the side of the box. This does not impact functionality. Check box functions as expected.	
14049329	When increasing the view to above 100% by changing the setting on the lower right hand corner of Internet Explorer, the ability to view the UI becomes difficult as the vertical scroll bar is not present to move down to the rest of the text displayed when the information is displayed vertically.	Do not increase the view above 100%.
14117567	In Account Approval, when a user with Control Room Supervisor/Analyst or Investment Policy Manager/Manager Supervisor role, after clicking on Account Approval via the Control Menu, the Search window appears for one second when page is loading. This has no impact on functionality to the user.	
14232861	In Account Approval, when a user with an Employee role is viewing the details of a request in the Account Approval Request Details page, the horizontal bar is missing from the <i>Account Request History</i> grid making it difficult to see the information on the right-hand side of the grid.	User must click the Expand All button for this <i>Account Request History</i> grid to be able to see the information on the right-hand side of the grid.

Chapter 3-Known Issues

Table 1. Known Issues

16460082	For Account Approval, Pre-trade Request and Attestation, the Action dialog box is displaying the same set of buttons twice when there are no actions available to the user. This does not impact functionality, since there are no actions available.	
16461398	When attempting to attach a file, user is unable to manually enter the path of the file along with the filename to be attached	User must click the Browse File icon and select the file that needs to be attached.
16681433	In Attestation, when a user with a Control Room Analyst role reassigns an attestation to another user, this Control Room Analyst user can still continue to reassign the same attestation.	Advise user to only reassign to another user one time.
17303616	In Account Approval, when a user with one of the following roles, Control Room Supervisor/Analyst or Investment Policy Manager/Manager Supervisor, views the details of a request in the Account Approval Request Details, the <i>Other Employee with Same Account</i> grid shifts to the right.	User should still be able to scroll to the right and see the information for this grid.
17303666	The horizontal scroll bar for the Account Approval History section on the Account Approval Request details screen is not available when the section is expanded.	
17304695	In Account Approval, Java Script error displayed on the bottom of IE browser when mouse hovers over the Expand/Collapse button before the View By Request Status label. This error does not impact functionality to the user.	
17366828	When sorting a column in a grid, the arrow mark (representing sort for a column) does not disappear from a previously sorted column heading after a new sort with a different column is applied.	
17415782	Option security validation pop-up displays securities which have al-ready expired.	
17613677	Horizontal scroll bar is not available for a Comment entered for an attestation questionnaire.	
17613717	In Attestation, when a user is attempting to view an attestation that is currently being viewed by another user, an incorrect message is dis-played.	
17628265	In Account Approval, when a CR Supervisor user views an AA re-quest with an <i>Exception Requested</i> status, there are no actions available. The user should be able to take an action to either <i>Approve</i> or <i>Reject</i> this request.	
17631476	In Attestations, the current owner of the attestation request is not dis-played on the Attestation list.	
17635097	In Account Approval, user with Control Room Supervisor/Analyst role is unable to reassign a request in <i>Pending Closure/Removal</i> status.	
17716325	The Organization field appears in the Pre-trade Request section on the details screen for a request and in the Search Window for a re-quest. This field is not applicable for version PTA 1.0.	

Table 1. Known Issues

17758988	The restriction for when an employee can submit an attestation is not working properly.	
17759400	In Account Approval and Pre-Trade Approval, requests in <i>Recommend Approve</i> status cannot be reassigned to another user with Control Room Supervisor/Analyst role. This is an issue when both the Investment Policy Manager user and Control Room Supervisor/Analyst user currently assigned to a request in this status is unavailable (e.g., on vacation, on travel, terminated from job) to reassign the request to another user and move the request to final closure since only those assigned to a request can take action.	The Oracle client should have a user with an IP Manager Supervisor role who can then reassign the request to oneself and can then take the appropriate actions on the request to be approved or rejected.
17749633	In Pre-trade Approval the CR user does not see requests on the same security in the Similar Request section that have been manually entered by the employee. Similar Requests for manually entered securities are not recognized as similar.	
17613441	Broker/Dealer Firm Name is not copied to External Investment Account table when a new Account Approval request is created. As a result, in UI, for PTA alerts, for External Investment Account Position Building Block, Name filed displays Blank.	

Chapter 3-Known Issues

This chapter lists end user documents for this release and the link where they are available.

End User Documents

Following are the end user documents for this release:

- Administration Guide
- Configuration Guide
- Installation Guide
- User Guide

For more information on documents that are available as a part of Oracle Financial Services Analytical Applications for Personal Trading Approval (PTA) 1.0 release, see http://docs.oracle.com/cd/E41197_01/homepage.htm.

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