

Product Release Note
Oracle FLEXCUBE Investor Servicing
Release 12.3.0.4.1
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Version 12.3.0.4.1

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1. Release Notes

1.1 **Background**

Oracle Financial Services Software Limited has developed a mutual fund automation solution, Oracle FLEXCUBE Investor Servicing that enables mutual fund companies to create a distributed network of branches for effective marketing and efficient handling of unit holder transactions. Oracle FLEXCUBE Investor Servicing is a real-time online solution, enabled for multi-currency, multilingual, multi-entity, multi-instance operations. Its mission-critical and robust architecture and use of leading-edge industry standard products ensure almost limitless scalability.

1.2 **Purpose**

The purpose of this Release Note is to highlight the enhancements in Oracle FLEXCUBE Investor Servicing 12.3.0.0.0

1.3 **Abbreviations**

Abbreviation	Description
CRS	Common Reporting Standard
FCIS	Oracle FLEXCUBE Investor Servicing
ID	Identification
FMG	Fund Manager
CIF	Customer Information File
UH	Unitholder
FX	Foreign Exchange
PDPA	Personal Data Protection Act
RAC	Real Application Clusters
SWIFT	Society for Worldwide Interbank Financial Telecommunication
LOV	List of Values

For module code and description details, please refer Annexure C.

1.4 **Release Highlights**

The scope of the current release Oracle FLEXCUBE Investor Servicing 12.3.0.0.0 includes:

- Personal Data Protection Act (PDPA)

- Common Reporting Standard (CRS)
- SWIFT 2016 Qualification
- Customer Personal Data - Secure Access
- Load criteria evaluation - Technical changes
- Dividend - RAC Enablement, Periodic Load - RAC enablement
- Transaction - Extensibility Changes
- Allocation/Fee Engine - Technical changes
- 120 Rule Validations, Annuity Tax Directive, Debit Order Processing, Load Mapping, Exchange Rate Source Mapping and Other Core Changes

1.5 Enhancements to the Existing Modules

1.5.1 Data Secrecy

- System enhanced to govern access to sensitive information for users based on the Role/privileges assigned.
- UH / CIF will be grouped into Classified or Unclassified entity. User with Right to Access Classified Information can view all UH/CIF related records.
- This feature also restricts sharing of sensitive data to other modules.
- Facility to maintain Row Level Security (RLS) policies and to map the same at FMG level provided. User can enable or disable (Default) the RLS policies which are factory shipped.

1.5.2 Auto Authorization

- System is enhanced to support Auto authorization at operation level like New or Amend operation
- Transaction level auto authorization can be configured for below transactions also.
 - Backdated Transaction
 - Load Overridden Transaction
 - Third Party Payment Transaction
 - Third Party Delivery Transaction

1.5.3 Common Reporting Standard

System enhanced to support Common Reporting Standard to share information on resident's assets and incomes for "on boarding New Individual and Entity Accounts" and "on boarding Pre existing Individual and Entity Accounts" in multiple jurisdictions.

1.5.4 Configurable File Name

- System enhanced to Configure File Name based on the Application date and the provision to configure Module ID/ User ID/Agent Code/Branch Code//Date/Datetimestamp to be part of the file name.
- File name generation will be based on Unique File name flag.

1.5.5 Notification Enhancements

System enhanced to setup notification queue at module level.

1.5.6 Personal Data Protection Act

- System enhanced to support PDPA by supporting Purging/Archiving Unit Holder / Fund data based on specific business conditions after the specified retention period.
- System also logs the detail of records which could not be purged along with reasons.

1.5.7 SWIFT Changes

System enhanced to support the messages recommended by SWIFT as part of CR2016. Changes and validations are introduced in the following messages:

- SETR.004.001.03 - RedemptionOrderV03
- SETR.010.001.03 - SubscriptionOrderV03
- SEMT 001.001.03 - SecuritiesMessageRejectionV03

1.5.8 User Hotkey

System enhanced to maintain predefined user hotkeys, to launch function ID on press of key combinations (i.e. Ctrl+1 to Ctrl+9).

1.5.9 120 Rule Validations

During End of Day activity, if policy is in breach of 120% rule, policy shall be amended for new maturity date.

1.5.10 Annuity Tax Directive

If Unit Holder has multiple policies under one product and the deal based on is selected as Flat rate percentage and UH Deal Tax Type is Directive then the annuity tax must be calculated at each Policy gross annualized annuity amount level.

1.5.11 Debit Order Processing

System enhanced to support debit orders for LEP adhering to the last day of processing frequency.

1.5.12 Load and Exchange Rate Source Mapping

System enhanced to re-use Loads and Exchange Rate Source between FMG by mapping the same.

1.5.13 **Other Changes**

- System enhanced to search all the three levels of the function description in the menu tree.
- System enabled for report spooling for designated module.
- "Dashboards" are introduced in the system.

1.5.14 **De-supported Configurable Items**

Attached the list of de-supported objects removed as part of this release



2. Components of the Software

2.1 Documents accompanying the software

The various documents accompanying the software are as follows:

- Release Note
- Installer Kit
- User Manuals and Installation manuals can be accessed from <http://docs.oracle.com/cd/E79758-01/index.htm>

2.2 Software Components

Software Components of Oracle FLEXCUBE 12.3.0.0.0 that form part of this release are as follows:

- Application Server
 - Java Sources
 - UI Components (JS,XML)
 - Reporting Components(Data models(xdmz), Reports(xdoz))
 - Process Framework components (BPEL)
- Database Server
 - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
- Gateway
 - Java application layer
 - Java sources
 - Configuration files used for deployment
 - Messaging layer
 - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
 - Services
 - The WSDL files for the service supported
 - The XSDs of the messages involved
 - The service documents – describing the services
- Adapters

- IS-UBS
 - FCIS MDB Adapter
 - UI Components (JS,XML)
 - Java sources
 - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
 - FCIS Callout Adapter
 - Java sources
 - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
 - FCIS Insulation Adapter
 - Java sources
 - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
- Installation utilities
 - UI and Script based installation for Application Server, Database Server and Gateway
 - Installation documents for
 - FCIS Application Deployment
 - Gateway
- Online Help Files

3. Annexure – A: Environment Details

3.1 Tech Stack – Oracle

Component	Deployment option	Machine	Operating System	Software	Version Number
Oracle FLEXCUBE Investor Servicing	UI-Host and Centralized	Application Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle Fusion Middleware Infrastructure (or) Oracle WebLogic Server	12.2.1.4.0
				Java HotSpot(TM) JDK (with WebLogic Application Server)	JDK 1.8 Update 221
				Oracle Platform Security Services	12.2.1.3.0
				Open Symphony Quartz	2.3.1-ad5302c
		Database Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle RDBMS Enterprise Edition	19.6.0.0.0
		Document Management System	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle WebLogic Server	12.2.1.4.0
				Oracle WebCenter Content Imaging	12.2.1.4.0
		Reporting Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle Analytics Server	5.5.0
				Java HotSpot(TM) JDK (with WebLogic Application Server)	JDK 1.8 Update 221
		Client Machines	#Supported Browsers	Internet Explorer	Microsoft Internet Explorer Release (11.*)
				Mozilla Firefox	Mozilla Firefox Release(66+)
				Google Chrome	Google Chrome Release(73+)
				Microsoft Edge	Microsoft Edge (41.16299.15)
				Safari	Safari 11+
		Single Sign On Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	JDK	JDK 1.8 Update 221
				Oracle Fusion Middleware Infrastructure	12.2.1.4.0
				Oracle Identity And Access Management	12.2.1.4.0

				Oracle Identity Management(OID)	12.2.1.4.0
				Oracle SOA	12.2.1.4.0
				OID Connector	OID 11.1.1.6.0
Oracle FLEXCUBE Investor Servicing BPEL/BPMN Processes and Process Framework	UI-Host and Centralized	Application Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle Fusion Middleware Infrastructure	12.2.1.4.0 (JDK 1.8 Update 221)
				Oracle SOA Suite, Oracle BPM Suite	12.2.1.4.0
Oracle FLEXCUBE Investor Servicing Integration Gateway	Web services (incoming)	Integration Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle Fusion Middleware Infrastructure (or) Oracle WebLogic Server	12.2.1.4.0
	HTTP Servlet (incoming)				
	EJB (incoming)				
	MDB (incoming)				
	Notifications (outgoing)				
Oracle FLEXCUBE Investor Servicing Machine Learning	Manual Deployment	Machine Learning Server	Oracle Enterprise Linux server 7.3 (x86 64 bit)	Oracle Machine Learning for R	1.5.1

Browser support is no longer based on Operating Systems but strictly tied to the browser themselves, no matter which Operating Systems they are installed on. Current release is certified on client workstations with Windows 7, 8, 10 and Mac OS X.

3.2 Tech Stack – IBM

Component	Deployment option	Machine	Operating System	Software	Version Number
Oracle FLEXCUBE Investor Servicing	UI-Host and Centralized	Application Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64)	9.0.0.10
				IBM WebSphere MQ Server	9.0.4.0
				Open Symphony Quartz	2.3.1-ad5302c
		Database Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	Oracle RDBMS Enterprise Edition	19.6.0.0.0
		Client Machines	#Supported Browsers	Internet Explorer	Microsoft Internet Explorer Release (11.*)
				Mozilla Firefox	Mozilla Firefox Release(66+)
				Google Chrome	Google Chrome Release(73+)
				Microsoft Edge	Microsoft Edge (41.16299.15)
				Safari	Safari 11+
Oracle FLEXCUBE Investor Servicing Integration Gateway	Web services (incoming)	Integration Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64)	9.0.0.10
	HTTP Servlet (incoming)				
	EJB (incoming)				
	MDB (incoming)	Integration Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64)	9.0.0.10
				IBM WebSphere MQ Server	9.0.4.0
	Notifications (outgoing)	Integration Server	Oracle Enterprise Linux Server 7.4 (x86 64 Bit)	IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64)	9.0.0.10
				IBM WebSphere MQ Server	9.0.4.0

Browser support is no longer based on Operating Systems but strictly tied to the browser themselves, no matter which Operating Systems they are installed on. Current release is certified on client workstations with Windows 7, 8, 10 and Mac OS X.

Note: For other Fusion Middleware components refer Tech Stack mentioned in section 3.1.

4. Annexure – B: Third Party Software Details

- For information on the third party software details, refer the latest Oracle FLEXCUBE Investor Servicing License Guide

5. Annexure – C: Module Code and Description

Abbreviation/ Acronym	Meaning
FCIS	Oracle FLEXCUBE Investor Servicing
SMS	Security Management System
LEP	Life and Endowment Product
UT	Unit Trust