Oracle Financial Services
Behavior Detection Platform:
Release Notes

Release 6.1
April 2012

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Document Control Number: 9MN11-0018
Document Number: RN-11-OFS-0018-6.1-02

List of Tables

Contents

Contents

About this Guide

This document identifies the features and known issues associated with the Oracle Financial Services 6.1 release. This chapter focuses on the following topics:

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

Who Should Use this Guide

This guide is intended for those interested in a broad overview of the features within the Oracle Financial Services 6.1 release.

How this Guide is Organized

This guide contains the following chapters:

- Chapter 1, *What's New in this Release*, provides a feature overview of the current release.
- Chapter 2, *Supplemental Installation and Configuration*, provides late breaking supplemental information about the application.
- Chapter 3, *Known Issues*, contains a list of all unresolved issues in this release. Workarounds, if applicable, are detailed here.

Where to Find More Information

The following table lists the subsystems, the components in each subsystem, their contents or capabilities, and the publications in which the components are documented.

Table 1. Where to Find More Information

Subsystem	Component	Contents or Capabilities	Refer to...
Ingestion Manager	Ingestion Manager	Ingest data	*Oracle Financial Services Behavior Detection Platform Data Interface Specification* (DIS) *Oracle Financial Services Behavior Detection Platform Administration Guide*
Behavior Detection	Detection Algorithms	Includes detection algorithms	*Oracle Financial Services Behavior Detection Platform Scenario Manager User Guide* *Oracle Financial Services Behavior Detection Platform Administration Guide*
	Scenario Manager	Includes job editors and scenario editors	*Oracle Financial Services Behavior Detection Platform Scenario Manager User Guide*
	Administration Tools	Includes alert workflow configuration and system configuration tools	*Oracle Financial Services Behavior Detection Platform Administration Tools User Guide* *Oracle Financial Services Behavior Detection Platform Administration Guide*
	Oracle Financial Services Data Model	Includes Oracle Financial Services application data and metadata	*Oracle Financial Services Behavior Detection Platform Administration Guide* *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.1, Business Data* *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.2, Oracle Data* *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.3, Case Management Data*
Alert Management	Monitoring Workflow	Allows users to create, browse, select, analyze, and resolve alerts.	*Oracle Financial Services Alert Management User Guide* *Oracle Financial Services Behavior Detection Platform Administration Guide* *Oracle Financial Services Behavior Detection Platform Configuration Guide* *Oracle Financial Services Behavior Detection Platform Services Guide*
	Trade Blotter Workflow	Allows users to view and review trades that have been executed **Note**: This does not apply to ECTC Trades	

Subsystem	Component	Contents or Capabilities	Refer to...
Case Management	Investigation Workflow	Allows users to create, browse, select, analyze, and resolve cases.	*Oracle Financial Services Case Management User Guide* *Oracle Financial Services Behavior Detection Platform Administration Guide* *Oracle Financial Services Behavior Detection Platform Configuration Guide* *Oracle Financial Services Behavior Detection Platform Services Guide*
Reports	Reports Workflow	Allows users to generate and review management reports	*Oracle Financial Services Alert Management User Guide* *Oracle Financial Services Case Management User Guide* *Oracle Financial Services Enterprise Case Management Installation Guide, Stage 3*
Database Tools	Database Tools	Includes database utilities to support the daily processing (batch control, set processing date, partition management, and database table statistics), and security	*Oracle Financial Services Behavior Detection Platform Administration Guide*
Services	Services	Allows users to integrate Oracle Financial Services Behavior Detection Platform data with external applications	*Oracle Financial Services Behavior Detection Platform Services Guide*

CHAPTER 1   *What's New in this Release*

This chapter identifies new features in the Oracle Financial Services Behavior
Detection Platform, Release 6.1.

- New Features

- Technology Enhancements

- Ingestion Manager

- Product Documentation

New Features

- New Scenarios

- Batch Export of Alerts and Cases

- Enhanced Match and Binding Augmentation

- Involved Parties

- Fedwire Remittance Updates

- Fraud Updates

New Scenarios

The following sections describe the new scenarios that have been added in the Oracle Financial Services Behavior Detection Platform, Release 6.1.

- Energy and Commodity Trading Compliance (ECTC) Scenarios

- Broker Compliance (BC) Scenarios

- Trading Compliance (TC) Scenarios

Energy and Commodity Trading Compliance (ECTC) Scenarios

The Oracle Financial Services Energy and Commodity Trading Compliance (ECTC) solution identifies potentially problematic or manipulative behaviors with respect to energy and commodity instrument regulations and quality of customer service.

The ECTC scenario library provides surveillance mechanisms to help the client monitor its internal activities, as well as the client's interactions with customers and other market participants. The ECTC solution set is able to analyze all trading events in context of prevailing market conditions. The ECTC scenarios included in this release are organized into one class that covers behaviors or situations involving firm's transactions in energy and commodity instruments.

Table 2 lists the ECTC scenarios available in the 6.1 release.

Table 2. ECTC Scenario Overview

Scenario	Short Name	Scenario Class Code	Focus
Energy / Commodity Trade Cancellation Trend	EC Cancellation Trend	ECTC	Commodity Instrument (CI)
Energy / Commodity Wash Trades	EC Wash Trades	ECTC	Commodity Instrument (CI)
Natural Gas Flow Capacity Release	EC Capacity Release	ECTC	Trader (TR)

For detailed information about the ECTC scenarios, please refer to the *Oracle Financial Services Energy and Commodity Trading Compliance Technical Scenario Description*.

Broker Compliance (BC) Scenarios

The Oracle Financial Services Broker Compliance (BC) scenario library has been updated to include new scenarios in this release.

Table 3 lists the BC scenarios available in the 6.1 release

Table 3. BC Scenario Overview

Scenario	Short Name	Scenario Class Code	Focus
Customers who Have Experienced a Large Loss Recently	Losses	CST	Account (AC) Household (HH)
Customers who Trade Actively	Active Trading Increased Trading Activity	CST	Account (AC) Household (HH)
Customers whose Opening Transactions Surpass Given Thresholds	Large Opening Trade	CST	Account (AC)
Customers with Concentrated Positions in a Single Security	Concentrated Position - Static Concentrated Position - % Change	CST	Account (AC) Household (HH)
Customers with Concentrated Positions in Low-Priced Equities	Low-Priced Equities Conc - Static Low-Priced Equities Conc - % Change	CST	Account (AC) Household (HH)
Customers with Long Option Risk	Long Option Risk - Static Long Option Risk - % Change	CST	Account (AC) Household (HH)
Customers with Margin Risk	Margin Risk - Static Margin Risk - % Change	CST	Account (AC) Household (HH)
Customers with Short Equity Risk	Short Equity Risk - Static Short Equity Risk -% Change	CST	Account (AC) Household (HH)
Customers with Short Option Risk	Short Option Risk - Static Short Option Risk - % Change	CST	Account (AC) Household (HH)
Employees Trading on Insider Information	Possible Emp Insider Info	ET	Employee (EE)
Inside Information	Inside Information	AM	Portfolio Manager (PM)
Mutual Fund Market Timing	Market Timing	MF	Account (AC) Registered Representative (RR) Investment Advisor (IA)
Mutual Fund Switch	Mutual Fund Switch	MF	Account (AC)
Portfolio Pumping	Portfolio Pumping	AM	Portfolio Manager (PM)
Possible Employee Front Running	Employee Front-Running	ET	Employee (EE)

Table 3. BC Scenario Overview

Scenario	Short Name	Scenario Class Code	Focus
Reps with Large Number of Trades in Low-Priced Equities	Low-Priced Equity Trades	CST	Registered Representative (RR)
Unfair Allocation Distribution	Unfair Alloc Dist	AM	Portfolio Manager (PM)
Unfair Allocation Timing	Unfair Alloc Timing	AM	Portfolio Manager (PM)

For detailed information about the BC scenarios, please refer to the *Oracle Financial Services Behavior Detection Platform Broker Compliance Technical Scenario Descriptions.*

Trading Compliance (TC) Scenarios

The Oracle Financial Services Trading Compliance (TC) scenario library has been updated to include new scenarios in this release.

Table 4 lists the TC scenarios available in the 6.1 release.

Table 4. TC Scenario Overview

Scenario	Short Name	Scenario Class Code	Focus
Market Order Execution Untimeliness	Untimely Exec-Market	BEX	Order (OR)
Limit Order Execution Untimeliness	Untimely Exec-Limit	BEX	Order (OR)
Price Disimprovement	Price Disimprovement	BEX	Order (OR)
Price Improvement	Price Improvement	BEX	Order (OR)
Parking to Conceal Equity Position	Parking (EQT)	TC	Account (AC) Trader (TR)
Front Running Large Order	Front Running Orders	TC	Trader (TR)
Marking the Close: Buy/Sell Order Bias	Marking the Close: Order Bias	TC	Account (AC)
Marking the Close: Quote Activity	Marking the Close: Quote Act	TC	Security (SC)
Marking the Close: Buy/Sell Execution Bias	Marking the Close: Exec Bias	TC	Trader (TR)
Marking the Open: Quote/Order Imbalance	Marking the Open: Quote/Order Imbal	TC	Security (SC)

Table 4. TC Scenario Overview

Scenario	Short Name	Scenario Class Code	Focus
Marking the Open: Options-Significant Trading Day	Marking the Open: Options-Signif Day	TC	Security (SC)
Marking the Open: Execution/Order Imbalance	Marking the Open: Exec/Ordr Imbalance	TC	Trader (TR)
Marking the Close in Order Driven Markets	Marking the Close: Order Driven Markets	TC	Security (SC)
Executions During Trading Halts	Exec During Halt	TC	Execution (EX)
Front Running Orders with Related Products	Front Run Rel Prod	TC	Trader (TR)
Trading Against Lists	Trading Against Lists	TC	Account (AC) Organization (OG) Trader (TR)
Parking to Conceal Fixed Income Position	Parking (FI)	TC	Trader (TR)
Parking via Settlement Date	Parking via Settle Date	TC	Trader (TR)
Wash Trades	Wash Trades	TC	Account (AC) Trader (TR)
Excessive Markups or Markdowns	Markups or Markdowns	TC	Organization (OG) Trader (TR)
Significant Corrections	Significant Corrections	TC	Trader (TR)
Correction Trend	Correction Trend	TC	Account (AC) Trader (TR)
Cancellation Trend	Cancellation Trend	TC	Account (AC) Trader (TR)
End-of-Month Shortened or Extended Settlements	EOM Settlements	TC	Account (AC) Trader (TR)
Shortened or Extended Settlement Trend	Settlement Trend	TC	Account (AC) Trader (TR)
Regulation T Extended Settlements	Reg T Settlements	TC	Account (AC) Trader (TR)
Off Market Fair Pricing	Off Market Fair Pricing	TC	Trader (TR)
Seasoning Report	Seasoning Report	TC	Security (SC)
Abusive Squeezes	Abusive Squeezes	TC	Security (SC)

For detailed information about the TC scenarios, please refer to the *Oracle Financial Services Behavior Detection Platform Trading Compliance Technical Scenario Descriptions.*

Batch Export of Alerts and Cases

The Batch Export utility allows Oracle Financial Services clients to export batches of alerts and cases for archival purposes. Clients can now export groups of alerts and cases to a configured location. The exported data includes XML metadata for easier searching of the archived documents, and attachments associated with the investigation record. Exporting alerts and cases is accomplished in a batch process (by running a script). Filters can be configured to define the alerts and cases that are exported.

Refer to the *Oracle Financial Services Behavior Detection Platform Administration Guide* for detailed information on adding the Batch Export utility.

Enhanced Match and Binding Augmentation

The Match and Binding Augmentation feature is now included as part of scenario execution. This change removes the augmentation job from the nightly batch.

Involved Parties

Case Management now supports tracking Involved Parties with cases. Involved parties can be associated through a number of different relationships (for example, suspect, victim or witness).

The Involved Parties tab page provides users with valuable information regarding business entities or "parties" which have some level of involvement with the current case. The Involved Parties tab page provides case investigators the options to search for previously identified involved parties, link and unlink them to the current case, update information concerning those involved parties, and create new involved party entries.

New fields have been added in the Investigation Search & List page to support searching for Involved Parties (Party Name, Party ID, and Party Tax ID).

Fedwire Remittance Updates

The Financial Services Data Model (FSDM) can now ingest and store data elements associated with the new Fedwire Remittance wire transfer message format. The database can store data from three types of remittance information formats - structured, unstructured and related remittance information.

In addition to updating the existing Front Office Transaction and Front Office Transaction Party DIS files, two new DIS files have been added to store the Front Office Transaction and Front Office Transaction Party related supplemental remittance information, and remittance document information, which includes data such as invoices and purchase orders.

Fraud Updates

In order to keep up with the increasing number of ways in which account holders can access their account information and initiate activity on their accounts, institutions must be able to capture additional details regarding the nature of that access. The *Oracle Financial Services Behavior Detection Platform Data Interface Specification (DIS)* has been enhanced to allow clients to provide this additional transaction information which can be useful when monitoring for fraudulent activity. Clients can provide specific details related to the channel that was used to conduct the transaction. Depending on the channel used (for example, ATM, Telephone, Mobile-PDA, Retail Outlet), there may be additional details which can be captured pertaining to that channel, such as whether the card was present for a Retail Outlet transaction, the IP address for an on-line transaction or which bankcard is associated with the transaction.

Technology Enhancements

- Internet Explorer 8.0
- Network Visualization and Analysis (NetViz)1.2.7e

Ingestion Manager

Several Informatica workflows have been replaced with functionally equivalent Java based processes. Information about running these processes can be found in the *Miscellaneous Utilities* section of Chapter 4 in the *Oracle Financial Services Behavior Detection Platform Administration Guide*. Information about where these processes fit into the sequence of Informatica workflows can be found in Chapter 5 of the *Oracle Financial Services Behavior Detection Platform Administration Guide*.

Product Documentation

Table 5 describes enhancements made to the product documentation.

Note: For detailed descriptions of changes made to each document in this release, please refer to the "What's New" section or the "Revision History" of each document.

Table 5. Product Documentation Enhancements

Document	Description
Administration Guide	In this document, the following sections were updated: ● New Java ingestion updates (to replace Informatica workflows) ● Augmentation changes ● Batch Export of Alerts and Cases ● Added Administrative Utilities information ● Updated the Security Configuration chapter ● Updated Administration User Interface to configure users and permission management.
Configuration Guide	In this document, the following sections were updated: ● Configuring Trusted Pair Period ● Configuring Suppression Rule Period ● Mapping the New Activity to the Scenario Class

Table 5. Product Documentation Enhancements (Continued)

Document	Description
Data Interface Specification (DIS) Guide	In this document, the following sections were updated: ● In the Account Data section: ■ Added 21 new tables. ■ Updated several fields in existing tables. ■ Updated standard values. ● In the Customer Data section: ■ Added the Borrower table. ■ Added new fields to the Customer table. ● In the Enterprise Data section: ■ Added ten new tables. ■ Updated several fields in existing tables. ■ Updated the Supplementary Guidance. ● In the Security Data section: ■ Added new fields to the Security table. ● In the Market Data section: ■ Added new fields to the Market Center table. ● In the Trade Data section: ■ Updated several fields in existing tables. ■ Added a new Trade Purpose standard value. ● Added Energy and Commodity Trading Data, to support ECTC scenarios. ● In the Transaction Data section: ■ Added two new tables. ■ Updated several fields in existing tables. ■ Updated the Supplementary Guidance. ■ Updated standard values.

Table 5. Product Documentation Enhancements (Continued)

Document	Description

Financial Service Data Model (FSDM) Reference Guide, Volume 1	This document was updated to include the following enhancements:
	● In the *Account Data* section:
	   ■ Added 22 new tables.
	   ■ Updated several fields in existing tables.
	   ■ Updated standard values.
	   ■ Created new Entity Relationship Diagrams (ERDs).
	● In the *Customer Data* section:
	   ■ Added two new tables.
	   ■ Updated standard values.
	   ■ Updated the Entity Relationship Diagrams (ERDs).
	● In the *Enterprise Data* section:
	   ■ Added ten new tables.
	   ■ Updated several fields in existing tables.
	   ■ Updated the Supplementary Guidance.
	   ■ Updated the Entity Relationship Diagrams (ERDs).
	● In the *Security Data* section:
	   ■ Updated the Security table with new fields.
	● In the *Market Data* section:
	   ■ Updated the Market Center table with a new field.
	● In the *Trade Data* section:
	   ■ Added the Correction Record table.
	   ■ Updated several fields in existing tables.
	● Added *Energy and Commodity Trading Data*, to support ECTC scenarios.
	● In the *Transaction Data* section:
	   ■ Added two new tables.
	   ■ Updated several fields in existing tables.

Table 5. Product Documentation Enhancements (Continued)

Document	Description
Financial Service Data Model (FSDM) Reference Guide, Volume 2	In this document, the following sections were updated: ● In the *Investigation Management* section: ■ Updated the Entity Relationship Diagrams (ERD). ■ Added the User Preferences table. ■ Updated several fields in existing tables. ● In the *Investigation Management Configuration* section: ■ Updated the Entity Relationship Diagrams (ERD). ■ Added the User Role To Preferences Mapping table. ■ Moved the Notification table to Chapter 4, *Investigation Management.* ● In the *Common Processing* section*:* ■ Updated the Entity Relationship Diagram (ERD). ■ Added two new tables: ■ Updated several fields in existing tables. ● Added the *Trade Blotter* section, which details how trade blotter related data is stored in the FSDM. ● Added the *Regulatory Reporting* section, which details how the optional Regulatory Reporting application and related data is stored in the FSDM.
Financial Service Data Model (FSDM) Reference Guide, Volume 3	This document is a new document for this release. It describes how the data in the FSDM is organized, how Oracle Financial Services Enterprise Case Management uses the data, and how to achieve specific business outcomes with the data. This guide contains the following chapters: ● *Introduction* details elements that many of the subject areas share within the FSDM. ● *Case Management Configuration* details how Enterprise Case Management configuration related data is stored in the FSDM. ● *Case Management Investigation Data* details how Enterprise Case Management related data is stored in the FSDM. ● *Account Data* details how account-related data is stored in the FSDM. ● *Customer Data* details how customer-related data is stored in the FSDM. ● *Enterprise Data* details how enterprise-related data is stored in the FSDM. ● *Transaction Data* details how transaction-related data is stored in the FSDM. ● *Common Tables* details how data used by the Enterprise Case Management subject area may be stored in the Behavior Detection and Business Data subject areas of the Oracle Financial Services FSDM.
Glossary	This document was updated to include Energy and Commodity Trading Compliance-related terms.
Installation Guide, Stage 1	In this document, the following sections were updated: ● Added a section for installing multiple instances of the Data Ingestion Subsystem ● Updated the list of variables used during Silent Installation

Table 5. Product Documentation Enhancements (Continued)

Document	Description
Installation Guide, Stage 3	In this document, the following sections were updated: ● Modified the Pre-Installation checklist ● Updated details on deploying Network Visualization and Analysis ● Updated the steps for installing Enterprise Case Management in Silent Mode ● Enhancements for Internet Explorer 8.0 and Network Visualization and Analysis (NetViz)1.2.7e
Security Guide	This document is a new document in this release. It provides specific security information to help system administrators protect their installment and contains the following chapters: ● *Security Overview and Guidelines*, provides a brief overview of security procedures. ● *Security Checklist*, provides examples of recommended security policies. ● *Database Security*, provides steps detailing how to secure your database. ● *Investigation Management Subsystem Security*, provides steps detailing how to secure the Investigation Management subsystem. ● *Password Management*, provides information about the Password Manager Utility and how to establish an effective password policy. ● *Ingestion Manager Subsystem Security*, provides security information about the Ingestion Manager subsystem directory. ● *Third-Party Applications*, provides security information about third-party applications.
Technical Scenario Description (TSD) Guide: Broker Compliance	This document is a new document in this release.
Technical Scenario Description (TSD) Guide: Energy and Commodity Trading Compliance	This document is a new document in this release.
Technical Scenario Description (TSD) Guide: Trading Compliance	This document is a new document in this release.
Alert Management User Guide	In this document, the following sections were updated: ● Printing of all comments related to case actions and stand-alone comments. ● Home page that shows priority case and alerts lists and role driven AML and Fraud Analytics reports. ● Views to quickly access pre-defined set of canned case and alert queries. ● General Overview and Metrics in the alert list UI so that the user need not drill-down into the alert to review key details. ● Three new categories of reports: Trading Compliance and Brokerage Compliance, and Energy and Commodity Trading Compliance. ● The Entity Search and Transaction Entity Search reports for AML, Trading Compliance, Brokerage Compliance and Fraud reports sections. ● The Trade Execution and Order Entity Search reports for TC and BC Reports section.

Table 5. Product Documentation Enhancements (Continued)

Document	Description
Case Management User Guide	In this document, the following sections were updated: ● Addition, Deletion, and Modification of business data from a case. ● Addition of business data either through look up or through manual entry. ● Manual case creation that is independent of the linked alerts. ● Removal of attachments from a Case. ● Printing of all comments related to case actions and stand-alone comments. ● On-screen notifications that require user's attention. ● Home page that shows priority case and alerts lists and role driven AML and Fraud Analytics reports. ● Views to quickly access pre-defined set of canned case and alert queries. ● General Overview and Metrics in the case list UI so that the user need not drill-down into the case to review key details. ● The Entity Search and Transaction Entity Search reports for AML and Fraud reports sections.

Supplemental Installation and Configuration

This chapter provides supplemental information regarding corrections, additions, and changes made in the current release.

- Pre-Installation Patches
- Additions

Pre-Installation Patches

The following patches must be applied over OFSAAI 7.3 as a pre-requisite for installation of Oracle Financial Services Behavior Detection Platform, Release 6.1.

Apply the AAI patches for:

1. 13639092
2. 13639111
3. 13726765
4. 13726882
5. 13727139
6. 13727174
7. 13841120

Additions

The following sections describe how to configure the following parameters in the `KDD_INSTALL_PARAM` table:

- Setting Alert Management
- Setting Case Management
- Setting Regulatory Reporting

This information is not included in the *Oracle Financial Services Enterprise Case Management Installation Guide, Stage 3.*

Setting Alert Management

This parameter allows the system to identify whether Alert Management Actions and Fields are to be displayed based on the deployment installation. The values to be provided for this parameter are Yes(Y) or No (N).

To modify this parameter, follow these steps:

1. Open the Manage Installation Parameter Screen.
2. Select **Deployment Based** in the parameter category.
3. Select **Alert Management** from the Parameter Name drop-down list.
4. Edit the parameter.

Setting Case Management

This parameter allows the system to identify whether Case Management Actions and Fields are to be displayed based on the deployment installation. The values to be provided for this parameter are Yes(Y) or No(N).

To modify this parameter, follow these steps:

1. Open the Manage Installation Parameter Screen.
2. Select **Deployment Based** in the parameter category.
3. Select **Case Management** from the Parameter Name drop-down list.
4. Edit the parameter.

Setting Regulatory Reporting

This parameter allows the system to identify whether the Regulatory Reporting Solution is installed for integration. This parameter should have a value as Y only if Regulatory Reporting Solution is installed for integration. The values to be provided for this parameter are Yes(Y) or No(N).

To modify this parameter, follow these steps:

1. Open the Manage Installation Parameter Screen.
2. Select **Deployment Based** in the parameter category.
3. Select **Regulatory Report Solution Web Service** from the Parameter Name drop-down list.
4. Edit the parameter.

CHAPTER 3 *Known Issues*

This chapter describes known issues in this release. These known issues affect the following subsystems:

- Admin Tools
- Control Data
- Installer
- Monitoring and Investigation
- Product Documentation
- Reports
- Scenarios

Table 6 describes each known issue by subsystem and describes the current workarounds (where available) that you can use to address the issue.

Table 6. Known Issues

Defect ID	Description	Workaround
Admin Tools		
40115	When creating an Alert Assignment rule with the Next Operation Set text field blank, an error is logged.	This error can be ignored.
48260	If a user clicks the expand/contract arrow in the Security Management System, then the primary menu disappears, forcing them to close the application.	This issue will be addressed in a future release.
Control Data		
47252	Control Data does not generate alerts for the Escalation in Inactive Account Disbursement Activity (FR-EscalationDisb) scenario.	No control data is available at this time for sample alerts.
47286	Customers who Have Experienced a Large Loss Recently (CST-Losses-dRBPC (HH)) scenario is not producing alerts with control data.	No control data is available at this time for sample alerts.
47471	Errors are expected in the TrustedPair XDP error file when using the control data.	This works as designed.

Table 6. Known Issues (Continued)

Defect ID	Description	Workaround
47830	Error in executing "`load_tshld_set.sh`" The `load_tshld_set.sh` is not running when DB URL in `Install.cfg` is set as `utils.database.urlName=jdbc:oracle:thin:@10.184.74.54:1521:dbname`	Change the URL to `jdbc:oracle:OCI:@dbname`
Installer		
49887	Scenario Installer logs display an error message that TSDs have been removed from the installer.	This error message can be ignored.
Monitoring and Investigation		
44840	The UI displays some Regulatory Reporting fields as Advanced Search options regardless of whether Regulatory Reporting has been implemented.	No workaround is available. This will be addressed in a future release.
48219	The Next Page button has the functionality of the Search button on the User Maintenance screen.	This issue will be addressed in a future release.
49038	The Export to Excel option is not available for the list of records in the Display Comparative screen.	This issue will be addressed in a future release.
49042	The Transactions tab generates an error message stating "nothing to save "after adding changes.	Enter a space into any other column in that window and click Save.
49524	While exporting the Alert Management List to a PDF, the View Alert displays HTML tags and along with the values being exported.	Export to PDF is not a supported feature for this release.
49603	The Additional Information Metrics section of the Search and List page for alerts may sometimes display as blank.	Contract and then re-Expand the Additional Information section.
50201, 50404	The Export to Excel option for Trade Blotter does not export all available data.	This issue will be addressed in a future release.
50245	WIthin the Investigation workflow, the Account tab displays multiple records with the same account.	This issue will be addressed in a future release.
50269	The Alert Details Matched Information row does not always display the scenario name for posted alerts.	Expand the Alert Context section to see the scenario name.
50395	In the OFSAAI Landing page, selecting and saving a default start page does not save the user's selection.	Use the ECM workflow Preference pages to set the default the start page.
50395	In the OFSAAI landing page, the following menu options display a java error when selected: ● Unified Metadata Manager ● Data Integrator Framework ● Warehouse Designer ● Data Sources ● Database Extracts ● File Extracts ● Post Load Transformation The Data Quality menu option opens the "Quality Rule Designer" page, which is not used in this release.	These menu options are not used in this release. The error can be ignored.

Table 6. Known Issues (Continued)

Defect ID	Description	Workaround
50397	The Sort option is not sorting correctly on columns with an amount value.	Export data to Excel, and then sort the data in Excel.
50443	On the Network tab for a displayed network, clicking the Link Details opens a new IE window, which displays the following message: " java.io.FileNotFoundException: /servlet/DisplayServlet Please contact your System Administrator for more information."	This issue will be addressed in a future release.
50509	If a user creates a case with no business data, then the Network tab displays an error message.	This issue will be addressed in a future release.
50674	In the Alert Search pages and Case Search pages, the search criteria is not retained when a user navigates to a different page in the workflow.	Use bread crumbs to navigate the workflow.
50710	Errors may occur while performing Regulatory Reporting actions with Correspondent Bank as an Involved Party. If you enter data in the 'Address Street Text' field that is more than 25 characters, then Regulatory Reporting displays an error and the report generation fails.	This issue will be addressed in a future release.
13667686	When you click on the Expand All and Collapse All buttons, there is no change in the Priority Alerts grid. Also the records displayed are already expanded but some of the text is not visible/hidden.	This issue will be addressed in a future release.
13697280	When an alert is promoted to a case, then the audit trail should display the message "Promoted from Alert," however, a "Promote to Case" message appears.	This issue will be addressed in a future release.

13712771	The View Node Details and Node History displays a Java exception in NetViz.	Workaround:
		
		1. After you complete the Stage 3 Installation go to the Stage 3 installed home path:
		`<<Stage3_Installed_Home_Path>>/ficweb/webroot/solution/cc/`
		
		2. Open the file: `viewNodeAndAlertDetails.jsp`
		3. Comment line 47 to 50 as follows:
		`/*`
		`Locale tempLocale = Locale.getDefault();`
		`Locale locale = new Locale(tempLocale.getLanguage(),tempLocale.getCountry(),tempLocale.getVariant());`
		
		`session.setAttribute("userLocale",locale);`
		`*/`
		4. Save the file.
		5. Regenerate ear file and deploy.

Table 6. Known Issues (Continued)

Defect ID	Description	Workaround
13874856	Case header (Business Tabs row) is blank on clicking hyperlink of Case ID from Monitoring 'Alert Details'Correlation tab	As a workaround, go to Investigation workflow and open that Case to get all Tab
13853870	While deploying `AAI.war` or restarting the web application server after deploying `AAI.war`, there could be chances of getting Out of Memory error.	Update `$FIC_WEB_HOME/webroot/WEB-INF/web.xml`, as explained below Add the text `"metadata-complete="true"` in header after `….version="2.5"` and before `xmlns="…..` as shown below: `<?xml version="1.0" encoding="UTF-8" standalone="yes"?> <web-app id="WebApp_ID" version="2.5" metadata-complete="true" xmlns="http://java.sun.com/xml/ns/javaee" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="http://java.sun.com/xml/ns/javaee http://java.sun.com/xml/ns/javaee/web-app_2_5.......`
13918553	● AML - Case Entity Search and Case Transaction Entity Search Reports: On click of View Case link, page keeps on loading. ● Fraud - Case Entity Search and Case Transaction Entity Search Reports: On click of View Case link, page keeps on loading and never displays Details page.	Update `KDD_INSTALL_PARAM. ATTR_6_VALUE_TX` with Case Management Infodom value and restart the OBIEE server.
13913330	For Inactive Trusted pair records, the Action dropdown in the list page disappears and becomes inactive when first time users clicks on it.	No workaround is available for this issue. The Action dropdown should not be active for Inactive records.
Product Documentation		
48210	System is not allowing the user to attach a document via Actions button on Alert Details page.	This is an OFSAAI error. Apply the OFSAAI patches documented in "Supplemental Installation and Configuration," on page 15 of this guide.
49975	The *Oracle Financial Services Enterprise Case Management Installation Guide, Stage 3* does not provide the list of OFSAAI 7.3 patches required to run OFSAAI with Oracle Financial Services Behavior Detection Platform.	Apply the OFSAAI patches documented in "Supplemental Installation and Configuration," on page 15 of this guide.

Table 6. Known Issues (Continued)

Defect ID	Description	Workaround
50664	The *Oracle Financial Services Enterprise Case Management Installation Guide, Stage 3* does not contain configuration steps for the following parameters in the KDD_INSTALL_PARAM table: ● Alert Management ● Case Management ● Regulatory Report Solution Web Service	Configuration for these parameters has been documented in "Supplemental Installation and Configuration," on page 15 of this guide.
50787	Users may encounter navigation errors when accessing Case Details from the Correlation Summary Matrix.	Navigate to the Case Details page via the Case Search page.
Reports		
50702	When a user drills down in the Trend reports, the report that appears is not reflective of the actual Trend report.	This issue will be addressed in a future release.
13874856	When user clicks on Case ID under Correlation Summary in Correlation Tab, the Case Details page does not show header.	No workaround is available for this issue. User can see the Case details page with header by searching the case ID from Case Search page.
Scenarios		
28340	The Customers with Concentrated Positions in Low-Priced Equities (CST-LowPricedEquities-Conc-dRBPC) scenario's % Change parameter changed in the UI. A highlight needs to be added to the scenario to reflect the change.	This issue will be addressed in a future release.
46881	The Unfair Allocation Distribution (AM-UnfairAllocDist) scenario is ending in an error message.	This issue will be addressed in a future release.
50271	The Unfair Allocation Distribution (AM-UnfairAllocDist) scenario is ending in "signaled in parallel query server P003".	This issue will be addressed in a future release.