

# Release Notes

## Oracle Financial Services:

Anti-Money Laundering | Fraud | Trading Compliance | Broker  
Compliance | Energy and Commodity Trading Compliance | Enterprise  
Case Management | Know Your Customer | FATCA Management

*Release 6.2.1*

*September 2013*





## **Release Notes**

### **Oracle Financial Services:**

Anti-Money Laundering | Fraud | Trading Compliance | Broker  
Compliance | Energy and Commodity Trading Compliance |  
Enterprise Case Management | Know Your Customer

*Release 6.2.1*

*September 2013*

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# *About this Guide*

This document identifies the features and known issues associated with the Oracle Financial Services® Financial Crime and Compliance Management Release 6.2.1. This chapter focuses on the following topics:

- Who Should Use this Guide
- Scope of 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 Financial Crime and Compliance Management Release 6.2.1.

## ***Scope of this Guide***

This guide provides information about the following products:

- Anti-Money Laundering (AML)
- Fraud (FR)
- Energy and Commodity Trade Compliance (ECTC)
- Broker Compliance (BC)
- Trader Compliance (TC)
- Enterprise Case Management (ECM)
- Know Your Customer (KYC)

Your implementation may not be utilizing all of these products. *Table 1 on page x* describes the tiers in each product and where to find more information.

## 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 2, *Known Issues* contains a list of all unresolved issues in this release. Workarounds, if applicable, are detailed here.
- Chapter 3, *Resolved Issues* contains a list of all issues which have been resolved in this release.

## 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**

Tier	Component	Contents or Capabilities	Refer to...
Alert Management	Monitoring Workflow	Allows users to create, browse, select, analyze, and resolve alerts.	Alert Management User Guide Administration Guide
	Trade Blotter Workflow	Allows users to view and review trades that have been executed. <b>Note:</b> This does not apply to ECTC Trades	Configuration Guide Services Guide
	Watch List Management	Allows users to manage watch lists and watch lists members	
	Manage Security Restrictions	Allows users to search for existing trading restrictions on different securities.	
	Manage Controlling Customers	Allows users to search customer relationships	
Enterprise Case Management	Investigation Workflow	Allows users to create, browse, select, analyze, and resolve cases.	Enterprise Case Management User Guide Administration Guide Configuration Guide Services Guide
Reports	Reports Workflow	Allows users to generate and review management reports	Alert Management User Guide Enterprise Case Management User Guide Installation Guide, Stage 3

Tier	Component	Contents or Capabilities	Refer to...
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	Administration Guide
Ingestion Manager	Ingestion Manager	Ingest data	Data Interface Specification (DIS) Guide Administration Guide
Services	Services	Allows users to integrate Oracle Financial Services Behavior Detection Framework data with external applications	Services Guide
Behavior Detection	Detection Algorithms	Includes detection algorithms	Scenario Manager User Guide Administration Guide Anti-Money Laundering Technical Scenario Description (TSD) Broker Compliance Technical Scenario Description (TSD) Trading Compliance Technical Scenario Description (TSD) Fraud Technical Scenario Description (TSD) Energy and Commodity Trading Compliance Technical Scenario Description (TSD)
	Scenario Wizard	Includes workflow to create scenarios	Scenario Wizard Configuration Guide Administration Guide
	Scenario Manager	Includes job editors and scenario editors	Scenario Manager User Guide
	Administration Tools	Includes alert workflow configuration and system configuration tools	Administration Tools User Guide Administration Guide
	Financial Services Data Model	Includes Oracle Financial Services Behavior Detection Framework application data and metadata	Data Interface Specification (DIS) Guide

<b>Tier</b>	<b>Component</b>	<b>Contents or Capabilities</b>	<b>Refer to...</b>
KYC Risk Assessment	Algorithm Based Assessment	Includes a series of rules and parameters that mine business data and assigns a Customer Effective Risk (CER) score to customers.	KYC Data Model Reference Guide KYC Risk Assessment Guide KYC Administration Guide
	Rule Based Assessment	Includes one or more rules which can be configured to override derived CER scores based on selected attributes and ensure that a case is created for a customer.	

This chapter identifies new features in the Oracle Financial Services Financial Crime and Compliance Management , Release 6.2.1.

- Platform Enhancements
- Product Updates

## ***Platform Enhancements***

The Financial Crime and Compliance Management (FCCM) platform is a common platform providing the capabilities such as Monitoring, Case Management, Dashboards, Advanced Analytics and Regulatory Reporting. FCCM products such as AML, KYC, FATCA, CTR, Enterprise Fraud are packaged offerings on top of this common platform to address a specific regulatory need or function. The FCCM platform also consists of utilities and administration elements that are commonly used across all these products. The following changes, additions and enhancements were made to the FCCM platform in this release:

- Informatica Replacement with OFSBDF
- Managing Security Restrictions
- Manage Controlling Customers
- Administration Tools
- Alert and Case Purge Utility Integration
- Enhancements to the Alert Scoring Editor
- Enhancements to the Alert Management Assignment Editor
- Case Management Assignment Editor

## **Informatica Replacement with OFSBDF**

The Informatica framework has been replaced with Oracle Financial Services Behavior Detection Framework (OFSBDF), a simple ETL tool that has been tailored to meet the needs of the behavior detection portions of the FCCM application. OFSBDF Datamaps are responsible for taking data from one or more source database tables, transforming and enhancing it, and then loading it into a target database table.

## **Managing Security Restrictions**

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.

## **Manage Controlling Customers**

The Manage Controlling Customers 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.

## **Administration Tools**

The following Administration Tools were enhanced in this release.

### **Watch List Management**

Oracle Financial Services Alert Management and Watch List Management have been integrated to allow users to add, update and deactivate watch lists and watch list members through the Alert Management UI.

### **Scenario Wizard**

Oracle Financial Services Scenario Wizard component offers a web-based UI for creating and maintaining scenarios. The OFS Scenario Wizard offers an alternative to the more extensive OFS Scenario Manager when a client has a need to develop relatively simple or straightforward detection patterns. Users are guided along a series of pre-defined steps to create a scenario. Users can also execute test runs of the newly created or updated scenario against OFSBDF business data. The Scenario Wizard is fully integrated with the OFSBDF and can be accessed from within the Administration workflow once a user with the appropriate role has accessed an OFS product such as OFS Anti-Money Laundering or OFS Trading Compliance.

### **Alert and Case Purge Utility Integration**

The Alert and Case Purge Utility has been integrated to allow users to identify and remove erroneously generated matches, alerts and cases, and activities automatically, based on defined parameters.

### **Enhancements to the Alert Scoring Editor**

The Alert Scoring Editor has been enhanced to allow for the use of additional filters and attributes when deriving a score for an alert based on a particular scoring strategy. Clients can now set up scoring rules which allow for additional criteria to be applied before deriving a score based upon the lookup attribute. For example, a simple lookup scoring rule can specify that an alert with a Jurisdiction of APAC should receive a score of 20 only if the transaction amount involved also exceeds \$50,000. A new rule strategy has also been defined which will allow clients to string together a more complex series of criteria with an order of precedence for arriving at a score. Finally, scoring has been enhanced to allow rules to refer not only to alert binding data but also to the underlying individual matched data. For example, a rule can be defined against records in an alert's matched Wire Transaction records.

### **Enhancements to the Alert Management Assignment Editor**

The Alert Assignment Editor has been updated to allow administration users, when creating rules for auto-assignment alerts, to specify different assignment strategies, such as Round Robin (assigned to members of a pool in a circular order until all the objects have been assigned) or Load-Leveling (the current work load of pool members is considered when assigning newly created alerts or cases). alerts and cases to be automatically assigned to an owner before it is available for analysis, based on the initial assignment logic configured for the financial institution.

## Case Management Assignment Editor

A separate Case Assignment Editor has been created to allow for the creation of rules for auto-assignment of cases and utilizes the same strategy options as the Alert Assignment Editor. Business users can execute the alert and case auto-assignment functions from within the alert and case management UIs. This provides an alternative to manually assigning ownership to a specific user or pool during the course of investigating an alert or case.

## Product Updates

Enhancements were also made to existing FCCM products in this release. The following sections describe the product specific enhancements:

- Anti-Money Laundering (AML)
- Broker Compliance (BC)
- Energy and Commodity Trading Compliance (ECTC)
- Enterprise Fraud (FR)
- Trading Compliance (TC)
- TC/BC Analytics
- Know Your Customer (KYC)

## Anti-Money Laundering (AML)

The Oracle Financial Services Anti-Money Laundering scenario library has been updated to include new scenarios in this release.

### New Scenarios

Table 2 lists the AML scenarios available in the 6.2.1 release.

**Table 2. Anti-Money Laundering Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Anomalies in ATM, Bank Card: Foreign Transactions	Address With Mult External Entities	ML	Address (AD)
Address Associated with Multiple, Recurring External Entities	Anom ATM/BC - Foreign Trans	ML	Account (AC) Customer (CU)
Anticipatory Profile - Income	Anticipate Profile - Income	ML	Customer (CU)
Anticipatory Profile - Source of Funds	Anticipate Profile - SOF	ML	Account (AC)
Customer Borrowing Against New Policy	Borrow Against New Policy	ML	Customer (CU)
Single or Multiple Cash Transactions: Large Significant Transactions	Cash Trans - Significant Cash	ML	Customer (CU) Household (HH)

**Table 2. Anti-Money Laundering Scenarios**

<b>Scenario</b>	<b>Short Name</b>	<b>Scenario Class Code</b>	<b>Focus</b>
Single or Multiple Cash Transactions: Possible CTR	Cash Trans - Possible CTR	ML	Customer (CU) Household (HH) External Entity (EN)
Change in Beneficiary/Owner Followed by Surrender	Change Bene/Owner Followed by Surrender	ML	Customer (CU)
CIB: Foreign Activity	CIB - Foreign Activity	ML	Account (AC) Correspondent Bank (CB)
CIB: High Risk Geography Activity	CIB - HRG Activity	ML	Account (AC) Correspondent Bank (CB)
Change in Behavior (CIB): Product Utilization Shift	CIB - Product Utilization	ML	Account (AC) Correspondent Bank (CB)
Manipulation of Account/Customer Data Followed by Instruction Changes	Data Manipulation	IML	Customer (CU)
Deposits/Withdrawals in Same or Similar Amounts	Dep/WD - Same Amts	ML	Account (AC) External Entity (EN)
Deviation from Peer Group - Product Utilization	DPG - Product Utilization	ML	Account (AC)
Deviation from Peer Group -Total Activity	DPG - Total Activity	ML	Account (AC) Correspondent Bank (CB)
Policies with Large Early Removal	Early Removal	ML	Customer (CU)
Escalation in Inactive Account	Escalation Inactive AC	ML	Account (AC)
Externally Matched Names	Externally Matched Names	ML	Account (AC) Customer (CU)
Frequent Changes to Instructions	Frqnt Chngs to Instructions	IML	Customer (CU)
Patterns of Funds Transfers Between Internal Accounts and Customers	FTN AC/CU - Internal	ML	Account (AC) Customer (CU)
High Risk Instructions	High Risk Instructions	IML	Customer (CU)
High Risk Transactions: High Risk Geography	HRG Funds Transfers	ML	Account (AC) External Entity (EN)
CIB: Inactive to Active Customers	ICIB: Inactive to Active	IML	Customer (CU)
CIB: Significant Change in Trade/Transaction Activity	ICIB: Trade/Trans Activity	IML	Customer (CU)
Early Payoff or Paydown of a Credit Product	ML-Early PO Credit Products	ML	Account (AC) Customer (CU)



**Table 2. Anti-Money Laundering Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Movement of Funds without Corresponding Trade	Mvmt of Funds w/o Trade	IML	Customer (CU)
Customers Engaging in Offsetting Trades	Offsetting Trade	IML	Customer (CU)
Insurance Policies with Refunds	Policies with Refunds	ML	Customer (CU)
Structuring: Potential Structuring in Cash and Equivalents	Pot Structuring Cash and Equivalents	ML	Customer (CU)
Rapid Movement of Funds !! Funds Transfers	Rapid Mvmt Funds - FTN	ML	Account (AC) Customer (CU)
Structuring: Deposits/Withdrawals of Mixed Monetary Instruments	Structuring: Dep/WD Mixed Mis	ML	Customer (CU) Household (HH)
Terrorist Financing	Terrorist Financing	ML	Account (AC) External Entity (EN) Derived Address (AD)
Trades in Securities with Near-Term Maturity, Exchange of Assets	Trades Near Maturity or Expiration	IML	Customer (CU)
Transactions in Round Amounts	Trans - Round Amts	ML	Account (AC) External Entity (EN)

For detailed information about the AML scenarios, please refer to the *Anti-Money Laundering Technical Scenario Description*.

## Broker Compliance (BC)

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

### New Scenarios

Table 3 lists the BC scenarios available in the 6.2.1 release.

**Table 3. Broker Compliance Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Account with Multiple Address Changes	AC w/Mult AD Chgs	CST	Account (AC)
Active Trading in Commission Based Accounts	Active Trading CBA	CST	Account (AC)
Mutual Fund B&C Share Purchase	B/C Shares	MF	Account (AC) Household (HH)

**Table 3. Broker Compliance Scenarios**

<b>Scenario</b>	<b>Short Name</b>	<b>Scenario Class Code</b>	<b>Focus</b>
Mutual Fund Breakpoints	Breakpoints	MF	Account (AC) Household (HH)
Disproportionate Loan Declinations for Minorities and Protected Classes	Disproportionate Loan Declinations	CST	Organization (OG)
Employees Shadowing a Customer Account	Employee Shadowing	ET	Employee (EE)
Excessive Commission Compared to Expected Amount	Excessive Commission	CST	Account (AC)
Customers with Excessive Risk Holdings	Excessive Risk Holdings	CST	Account (AC)
Execution Fees Outside Pricing Policy	Execution Fees	CST	Regulatory Reporting (RR)
Fee-based Account Utilization	Fee-based Acct Use	CST	Account (AC) Household (HH)
FX Trade Markup/Markdown	FX Trade Markup Mark-down	CST	Account (AC)
Rep with High Account Turnover	High Account Turnover	CST	Regulatory Reporting (RR)
IA Block Trade Allocations	IA Block Trd Allocations	IA	Investment Advisor (IA)
IA Block Trade Allocations	IA Block Trd Allocations - Same-Day Trd	IA	Investment Advisor (IA)
Journals between Unrelated IA Subaccounts	IA Jrnl b/w Unrelated Subacct	IA	Investment Advisor (IA)
IAs with Many Subaccounts that Have Experienced a Large Loss Recently	IA Subacct w/Losses	IA	Investment Advisor (IA)
Customers Who Trade Actively	Increased Trading Activity	CST	Account (AC)
Increasing Loan Declinations for Minorities and Protected Classes	Increasing Loan Declinations	CST	Organization (OG)
Customers with Investment Objective/Risk Tolerance Mismatch	IOS/Risk Mismatch	CST	Household (HH)
Customers Involved in Large Trades Compared to Net Worth	Large Trades	CST	Account (AC)
Mutual Fund Late Trades	Late Trades	MF	Account (AC) Regulatory Reporting (RR)
Customers with Long Option Risk - Opening Principal	Long OPT Risk - Open Prin	CST	Account (AC)
Mutual Fund Potential Switch	MF Pot Switch	MF	Account (AC)

**Table 3. Broker Compliance Scenarios**

<b>Scenario</b>	<b>Short Name</b>	<b>Scenario Class Code</b>	<b>Focus</b>
Multiple Accounts with Address Changed to Same Address	Mult AC Chg to Same AD	CST	Account (AC)
New Qualified Plan Accounts for Seniors	New QPA Sr	CST	Regulatory Reporting (RR) Organization (OG)
Customers With Options Near Expiration	OPT Near Expiration	CST	Account (AC)
Customers With Option Risk - Intraday	OPT Risk - Intraday	CST	Account (AC)
Customer with Concentrated Position in a Product Class	Product Class Concentration	CST	Account (AC)
Loan in Danger of Violating Reg O	Reg O Warnings	CST	Account (AC)
Reg S Sales	Reg S Sales	CST	Household (HH)
Loan in Danger of Violating Reg Z	Reg Z Warnings	CST	Account (AC)
Rep with Commission Concentration in an Account	Rep Commission Concentration	CST	Regulatory Reporting (RR)
Rep Managed Accounts where Margin Debt is Increasing	RR Accts Incr Margin Debt	CST	Regulatory Reporting (RR)
Rep Managed Accounts with Concentrated Equity Positions	RR Accts with Conc Position	CST	Regulatory Reporting (RR)
Rep with Multiple Correction Trades in Account ID	RR w/ Multi Corrected Trades in Acct ID	CST	Regulatory Reporting (RR)
Rep with Multiple Correction and Cancellation Trades	RR with Multi Correct and Cancel Trades	CST	Regulatory Reporting (RR)
Reps Concentrating Solicitations in Too Few Securities	RRs Solicit Too Few Secs	CST	Regulatory Reporting (RR)
Short Term Trading	Short Term Trading	CST	Account (AC)
Structured Product Trading - High Transactions Amount	SP High Trans Amt	CST	Account (AC)
Customers Trading Unapproved Options Strategies	Trading Unapproved Strategies	CST	Account (AC)
Customers Trading Options Without ROP Approval	Trading Without ROP Approval	CST	Account (AC)
Customers Engaged in Uncovered Long Sales	Uncovered Long Sales	CST	Account (AC)
Rep with High Ratio of Unsolicited Orders in the Same Security	Unsolicited Order Conc	CST	Regulatory Reporting (RR)

For detailed information about the BC scenarios, please refer to the *Broker Compliance Technical Scenario Descriptions*.

## Energy and Commodity Trading Compliance (ECTC)

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

### New Scenarios

Table 4 lists the ECTC scenarios available in the 6.2.1 release.

**Table 4. Energy and Commodity Trading Compliance Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Energy / Commodity Trade Correction Trend	EC Correction Trend	ECTC	Trader (TR)

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

## Enterprise Fraud (FR)

The Oracle Financial Services Enterprise Fraud (FR) scenario library has been updated to include new scenarios in this release.

### New Scenarios

Table 5 lists the Fraud scenarios available in the 6.2.1 release.

**Table 5. Fraud Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Account with Multiple Address Changes - FRAUD	AC w/Mult AD Chgs - FR	FR	Account (AC)
Anticipatory Profile - Expected Activity - FRAUD	Anticipate Profile - Expected Activity - FR	FR	Account (AC)
Anticipatory Profile - Income - FRAUD	Anticipate Profile - Income - FR	FR	Customer (CU)
Bust Out: Sudden Surge in Revolving Credit Utilization	Bust Out: Revolving Cr Use	FR	Customer (CU)
Potential Check Fraud in New Accounts	Check Fraud in New Acct	FR	Account (AC)
Patterns of Sequentially Numbered Checks, Monetary Instruments - FRAUD	Checks MIs - Sequential Number - FR	FR	Account (AC) Correspondent Bank (CB)
Change of Address or Phone Number Check Book Issue	Chg of Addr or Ph Chk Iss	FR	Account (AC)
CIB: Foreign Activity - FRAUD	CIB - Foreign Activity - FR	FR	Correspondent Bank (CB)
CIB: High Risk Geography Activity - FRAUD	CIB - HRG Activity - FR	FR	Account (AC) Correspondent Bank (CB)
CIB: Product Utilization Shift - FRAUD	CIB - Product Utilization - FR	FR	Account (AC)

**Table 5. Fraud Scenarios**

<b>Scenario</b>	<b>Short Name</b>	<b>Scenario Class Code</b>	<b>Focus</b>
Deposits/Withdrawals in Same or Similar Amounts - FRAUD	Dep/WD - Same Amts - FR	FR	Account (AC) External Entity (EN)
Suspicious Transactions Linked to Employee: Below Internal Limits	Emp Trans Below Limit	FR	Account (AC) Employee (EE)
Suspicious Transactions Linked to Employee: Same or Similar Amounts	Emp Trans Same Amts	FR	Account (AC) Employee (EE)
Employee Journals	Employee Journals	FR	Employee (EE)
Escalation in ATM Activity: Withdrawals to Daily Limit	Escl in ATM Act: W/D to Daily Limit	FR	Account (AC) Customer (CU)
Excessive Debit/Bank Card Purchase Activity	Excess Debit Card Purchase	FR	Account (AC)
Externally Matched Names - FRAUD	Externally Matched Names - FR	FR	Account (AC) Customer (CU)
Patterns of Funds Transfers: Internal Accounts and Customers - FRAUD	FTN AC/CU - Internal - FR	FR	Account (AC) Customer (CU)
High Risk Transactions: High Risk Counter Party - FRAUD	HR Trans - HR Counter Party - FR	FR	Account (AC) Customer (CU) Correspondent Bank (CB) External Entity (EN) Household (HH)
High Risk Transactions: Focal High Risk Entity - FRAUD	HR Trans !! Focal HRE - FR	FR	Account (AC) Customer (CU) Correspondent Bank (CB) External Entity (EN)
High Risk Transactions: High Risk Geography - FRAUD	HRG Funds Transfers - FR	FR	Account (AC) External Entity (EN)
Journals Between Unrelated Accounts - FRAUD	Journal Bet Unrelated - FR	FR	Account (AC)
Patterns of Check Kiting	Kiting	FR	Account (AC)
Multiple Accounts with Address Changed to Same Address - FRAUD	Mult AC Chg to Same AD - FR	FR	Account (AC)
Networks of Accounts, Entities, and Customers - FRAUD	Networks of AC/EN - FR	FR	Account (AC)
Potential Fraud on Senior Citizen Accounts	Potential Fraud on Sr Acct	FR	Employee (EE)
Rapid Movement of Funds - All Activity - FRAUD	Rapid Mvmt Funds - All Activity - FR	FR	Account (AC) Customer (CU)
Repeated Inquiry	Repeated Inquiry	FR	Employee (EE)

For detailed information about the Fraud scenarios, please refer to the *Fraud Technical Scenario Descriptions*.

## Trading Compliance (TC)

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

### New Scenarios

Table 6 lists the TC scenarios available in the 6.2.1 release.

**Table 6. Trading Compliance Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Trading and Quoting Activity During Halts	Activity During Halts	TC	Security (SC)
Inappropriate Block Trade Aggregation in Listed Options and Futures	Block Trading Listed Derivatives	TC	Trader (TR)
Cross Trading Listed Options and Futures within a Narrow Time Window	Cross Trading Listed Derivatives	TC	Customer (CU) Trader (TR)
Front Running Orders with Related Products	Front Run Rel Prod	TC	Trader (TR)
Front Running Large FI and FX Orders and Trades	Front Running FI and FX	TC	Trader (TR)
Front Running Restricted Lists	Front Running Restricted Lists	CR	Employee (EE) Trader (TR)
Illegal Short Sales	Illegal Short Sales	TC	Execution (EX)
Proprietary Trading in Limited-Use Accounts	Improper Account Use	TC	Security (SC)
Improper Placement/Cancellation of On Close Orders	Improper Use of MOC/LOC	TC	Order (OR)
Layering	Layering	TC	Security (SC)
Limit Order Display	Limit Order Display	BEX	Order (OR)
MiFID Price Disimprovement	MiFID Price Disimprovement	BEX	Order (OR)
MiFID Order Execution Untimeliness	MiFID Untimely Exec-Order	BEX	Order (OR)
Orders Facilitated Outside TOB	Order Facil Outside TOB	TC	Order (OR)
Price Manipulation Related to POSIT Orders	POSIT Manipulation	TC	Trader (TR)
Price Manipulation in Gray List Securities	Price Manip: Gray List QA	TC	Security (SC)
Price Manipulation in Gray List Securities	Price Manip: Gray List SM	TC	Security (SC)
Spoofing	Spoofing	TC	Security (SC)
Surpassing Thresholds in Restricted Lists	Surpassing Thresholds	CR	Account (AC) Employee (EE)

**Table 6. Trading Compliance Scenarios**

Scenario	Short Name	Scenario Class Code	Focus
Trading Ahead of Material Event	Trading Ahead of Material Event	CR	Account (AC) Organization (OG) Employee (EE) Trader (TR)
Trading Ahead of Material News	Trading Ahead of Material News	CR	Account (AC) Employee (EE) Trader (TR)

For detailed information about the TC scenarios, please refer to the *Trading Compliance Technical Scenario Descriptions*.

## TC/BC Analytics

Additional Trading Compliance and Broker Compliance business catalogs have been added to the Analytical Reports Data Repository to support more robust out of the box ad-hoc reporting through a consolidated data model using standard business nomenclature.

## Know Your Customer (KYC)

The following sections describe the updates made to Oracle Financial Services Know Your Customer (KYC) in this release.

### KYC Integration with Enterprise Case Management

Oracle Financial Services Enterprise Case Management and Know Your Customer products have been integrated to allow users to perform Due Diligence and Enhanced Due Diligence on KYC cases using the Enterprise Case Management UI. KYC cases are the result of risk assessments generated using Algorithm and Rule Based Assessments which surpass a configurable threshold for promotion to a case.

### Risk Assessment Updates

Oracle Financial Services Know Your Customer 2.0 has been updated to utilize the standard OFSBDF data interface specifications (DIS). Previously KYC required its own set of DIS files. Now clients running any of the OFS products which utilize OFSBDF along with KYC 2.0 can utilize the same business data. There is no longer a need to provide the same or similar data in duplicate files. Algorithm Based Assessments (previously called Model Based Assessments) now have a more finely tuned and efficient series of rules and parameters for mining business data and assigning risk to customers. Greater emphasis is given to customer data over individual account information. KYC 2.0 also introduces Rule Based Assessments. Using Rule Based Assessment a client can define separate rules which will ensure that a case is created for a customer regardless of their derived risk assessment score. For example, if residence in certain countries is important enough to a client to warrant due diligence, even if other factors do not contribute to an elevated risk assessment score, a rule can be created to always create a due diligence case for a customer residing in that country.





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

- Admin Tools
- Data Ingestion
- Monitoring and Investigation
- Reports

Table 7 describes each known issue by subsystem and describes the current workarounds (where available) that you can use to address the issue.

**Table 7. Known Issues**

Defect ID	Description	Workaround
<b>Admin Tools</b>		
16743359	The Scoring Rule Editor does not always successfully modify rule set scoring rules.	This issue is isolated to some instances of machines using Internet Explorer version 9. No workaround is available. This issue will be addressed in a future release.
<b>Data Ingestion</b>		
17230705	When the UseTaxidForUnrelatedPartyCode variable in BDF.xml is set to Y, then the BACK_OFFICE_TRXN.UNRLTD_PARTY_CD is set to NULL (which indicates both the accounts are related) though the ACCT.ACCT_TAX_ID of the Accounts involved in Back Office Transaction or CUST.TAX_ID for the Primary Customer of the Accounts involved in Back Office Transaction are different.	No workaround available. This issue will be addressed in a future release.
<b>Monitoring and Investigation</b>		
13667214	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.
13667316	The Sort option is not sorting correctly on columns with an amount value. Amount fields are sorted based on string sorted instead of numeric sorting	No workaround available. This issue will be addressed in a future release.
16542846	When changing the view to other than 100% in Internet Explorer the UI may experience alignment and scrolling issues.	No workaround available. This issue will be addressed in a future release.
16604886	If a user ignores the UI warning that the allowed number of characters entered for Financial tab Loss and Recovery has been exceeded the application does not prevent them from saving with that value. However, entered records are not being created in the database and are not available when viewing Financial records.	This works as designed. Loss and Recovery columns have a length limit of 20 real integers and 8 decimal values in the database. User should adhere to the warning message and ensure meet the limits before saving. Prevention of save will be addressed in a future release.

Table 7. Known Issues

Defect ID	Description	Workaround
16605941	The display of user name versus user identifier throughout the UI in such areas as alert and case context and alert and case lists, as well as in audit records, is inconsistent and does not always reflect the installation configuration for display of user name versus user identifier in the UI.	No workaround available. This issue will be addressed in a future release.
16765828	When attempting to close a KYC Case as a duplicate case, the user is incorrectly given the option to transfer financial information.	No workaround available. This issue will be addressed in a future release.
17456093	The Email address and Phone numbers added through tabs in Case Management UI is not getting saved.	No workaround available. This issue will be addressed in a future release.
17454671	When you search through Domain field in the Advance Search page of Alert/Case Management UI, the following error message is displayed " <i>Invalid request/Error while processing request</i> ".	No workaround available. This issue will be addressed in a future release.
17420981	INTERESTED_PARTY_EMP table is not getting populated after running the BDF Ingestion.	No workaround available. This issue will be addressed in a future release.
17269066	If KYC cases listed in KYC case list page have same values in any of the column across different pages then the pagination will show same data as previous page.	No workaround available. This issue will be addressed in a future release.
17407533	When FCCM UI is deployed in Weblogic server, then the Online Help icon displays the following error " <i>Invalid request/error while processing request</i> ".	No workaround available. This issue will be addressed in a future release.
<b>Reports</b>		
16831236	There are performance issues related to retrieving alerts through the Alert Entity Search feature.	No workaround available. This issue will be addressed in a future release.

This chapter provides a list of all issues resolved in this release. This chapter covers the following subsystems:

- Admin Tools
- Data Ingestion
- Installer
- Monitoring and Investigation
- Alert Information
- Product Documentation
- Reports
- Scenarios

***Resolved Defects and Implemented Change Requests***

Table 8 describes resolved defects and implemented change requests for Oracle Financial Services Financial Crime and Compliance Management. The table is organized by each resolution’s subsystem.

**Table 8. Resolved Defects and Implemented Changes**

Defect ID	Description
<b>Admin Tools</b>	
13659614	When creating an Alert Assignment rule with the Next Operation Set text field blank, an error is logged.
16440654	The Admin Tools UI shows an Unknown Error intermittently when navigating to the Alert Scoring page.
16270452	An error occurs when trying to access the Admin Tools.
<b>Data Ingestion</b>	
16687964	ORA-00942: table or view does not exist.
14330715	The Customer.xml is missing the CustomerGender and CustomerNAICSCode fields.
16623270	Logic errors generating for BOT . UNRLTD_PARTY_CD.
16511979	Performance issues for RUNUTILITY.SH INVESTMENTADVISORPROFILE
16667397, 16674087, 16687947	Upgrade scripts are generating errors.
16366315	There is incorrect metadata in mantas_schema.kdd_analyze_param that tells the Analyze jobs which tables to analyze.
4400624	AccountProfileTransaction utility failed with ORA error.
16281685	The NameMatchStaging datamap is generating an error.
14639967	The following error occurs when executing shutdownWatchList.sh. javax.xml.soap.SOAPEXception: java.net.SocketTimeoutException: Read timed out
<b>Installer</b>	

**Table 8. Resolved Defects and Implemented Changes**

<b>Defect ID</b>	<b>Description</b>
14079963	An error displays on KDD_CODE_SET_TRNLN in the installer.log file.
16731456	For patch 20120504.01, you must specify a temp directory in patch_installer/mantas_cfg/install.cfg. If you do not create this directory ahead of time, the patch errors.
14681998	An error displays when running Setup.sh.
16404805, 16440707	After installing ECM, the USER_MAPPED_INFODOM is null.
14617024	SQL scripts with lines that are more than 2499 characters are generating errors.
<b>Monitoring and Investigation</b>	
13666275	The Transactions tab generates an error message stating "nothing to save "after adding changes.
14628124	After adding a large volume of data, transactions that were matched to generate alerts are not displaying.
14628085	The My New Alerts list view is displaying as empty.
15971853	Date format is display US rather than custom date settings.
15963263	When promoting an alert to a case with Transfer Alert Information selected, the case generated without
16831202	Auto Assign functionality removes the org for existing cases when no rule is satisfied.
16761356	Auto Assign functionality is not assigning to the default owner.
13667162	Export from grids such as building blocks or list pages may not export all information.
16761356,16 834192	When executed from within the Alert or Case Management UI, the Alert Auto Assignment feature is not assigning to the Default Owner when no assignment rules are met. The alert or case owner remains unchanged from the current owner. Furthermore, if reassigning case ownership using Auto Assignment from the UI the Case Org may be lost and the Case will not be viewable.
17454681	Not able to export data If there is data for more than one page in Correlation Memberships tab in Alert/Case Management UI
<b>Alert Information</b>	
16037330	The Priority Alerts and Cases section does not display the list of the alerts.
15972641, 15973802, 16044158	Security error when trying to access the Administration functions.
15885832	Performance issues when promoting an alert to a case.
14846938	Adding an account to a case produced an error message.
14799871	The Alert details emailed from the ECM user interface contains inconsistent number formats.
14794239	An error is generated when accessing the Cases tab.
14745504	While saving alert details to PDF, the Business Tabs do not display to Print.
14745468	The Reassign Alerts Option drop-down list does not show any users in the list when acting on an alert.
14745416	The Alert List does not display any status code for alerts.
16239507, 16390436	Performance issues with Advanced Search.
16602928	The Customer and Security tabs display smaller than expected.
16596519	When a Case is selected, an error message occurs.
16635984	The Execution tab takes an unusually long time to load.

**Table 8. Resolved Defects and Implemented Changes**

Defect ID	Description
16780518	The Trade Blotter screen Trade date from and Trade Date to are the previous date and today's date respectively. Data loaded in the Trade Blotter List do not match the Trade Dates in the Search criteria. Search Criteria is not executed until the User hits Go.
16509902	Low-Priced Equity Trades not displaying Execution information.
16503928	The user is unable to sort the Created Date field in the Alert List page.
16487150	Specific user roles unable to set Preference page.
16473043	In the Details Tab, the Threshold and Risk links disappear after clicking to other tabs and navigating back.
16635961	The Alert Details page takes an unusually long time to load.
16630919	The Search and Alert list in the Alert Details page is displaying incorrectly.
16193322	The Account Building Block is displaying incorrectly.
13665635	The system is not allowing the user to attach a document via Actions button on Alert Details page
13667196	Within the Investigation workflow, the Account tab displays multiple records with the same account.
16240030	When using the Export to Excel functionality, the values are exporting with commas appended.
16239543	There are performance issues when trying to display the Relationship tab.
13667314	In the OFSAAI landing page, the following menu options display a java error when selected: <ul style="list-style-type: none"> <li>● Unified Metadata Manager</li> <li>● Data Integrator Framework</li> <li>● Warehouse Designer</li> <li>● Data Sources</li> <li>● Database Extracts</li> <li>● File Extracts</li> <li>● Post Load Transformation</li> </ul> The Data Quality menu option opens the "Quality Rule Designer" page, which is not used in this release.
13667529	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.
13667570	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.
13874856	Users may encounter navigation errors when accessing Case Details from the Correlation Summary Matrix.
13695558	While attaching a document in Case Management under the Evidence tab, an error displays when the user enters the name of the file (Logical File Name) with more than 60 characters.
14070103	In the Details page, rows which have been selected in a grid are not highlighted.
14016473	In the Reviewer drop-down list, the Owner ID is not displaying. Additionally, in the Search page, the Submitted From and Submitted To date fields are not being populated with the current system date.
14080601	When a user selects the Equity/Preferred menu, the incorrect menu displays.
14096240	In the Search Window, the Employee Name field value "EMP%" does not display records.
14096369	The Account Modification confirmation message does not display when saving modifications.
14096697	Alerts and cases are not filtered according to the views set in "Set view for alert list" in the Preference module.
14101046	The UI displays drop-down lists (Type 102) differently when there are multiple frames. Multi-select drop-down lists may not display in their entirety if very near to the frame end.

**Table 8. Resolved Defects and Implemented Changes**

<b>Defect ID</b>	<b>Description</b>
14102770	In the New Equity page, users are able to submit an Equity PTA Approved Account Request without selecting the Broker/Dealer and Account# .
14105657	When accessing Help from the Manage Controlling Customer page, the Account Approval help information displays instead of Manage Controlling Customer.
14112948	Under Case Management, when user navigates back to the Search Case page, the previous search criteria will be retained but the results displayed will be of default search criteria.
16447808	In the Replay tab, the screen does not readjust when the Replay Search area is collapsed.
16447509	In the Disposition Tab, the Reset button does not clear information entered prior to Cancel action.
16428699	When updating the Scenario Class and Case Type Subtypes for users, the changes made are not saving and the application is removing any prior settings even though the application shows it as saved.
16424412	After viewing any Alert tab, the LHS navigation menu disappeared.
16424398	The Trade Information page displays as blank for some alerts.
16416698	A "Found Ssecurity Vulnerability" message is shown when clicking Save in the PTC window .
16416633	Account Details display incorrectly for alerts generated from the Mutual Fund Switch scenario.
16363355	An error message appears when sending e-mail with Alert details for some alerts.
16324682	The View Alert page is not expanding to allow users to see Alert Details .
16318864	Some roles are having difficulty accessing the Reports page.
16317543	The Export to Excel function is exporting more data than is shown in the UI .
16317328	The Relationship Tab is not showing related alerts when a focal entity with prior alerts is selected .
16313241	The Narrative Tab is not saving changes when adding text.
16306335	An error message displays when clicking the Send button in the E-mail page.
16080522	The Price columns in the Trade Building Block of the Alert Details page display the values without decimal places.
16045091	An error occurs when trying to email an alert which has more than 1000 matches.
15902159, 15931467	The Priority Alerts and Cases section is not permitting scrolling.
15894037	The Home page displays an error.
14711069	Change log processing errors.
<b>Product Documentation</b>	
13665141	The Administration Guide is missing information relating to the derivation of the Account Product allocation table, which is used in the Customer with Concentrated Position in a Product Class scenario.
14106607	The Administration Guide and the Installation Guide: Stage 1 does not contain information for using the Patch Utility.
13976329	The Data Interface Specification (DIS) Guide contains updates to the Customer and Organization tables for CTR-related data. This data is not ingesting correctly.
<b>Reports</b>	
16005667	An Insecure Direct Object Reference error is generating with the reports.
15948034	User would like to hide OBIEE reports.
14684387	User defined alerts do not show up in the "Alert by Status" report.
13667565,16 672094	When a user drills down in the OFS Analytics Trend reports, the report that appears is not reflective of the initial report information.

**Table 8. Resolved Defects and Implemented Changes**

Defect ID	Description
<b>Scenarios</b>	
13664624	The Unfair Allocation Distribution (AM-UnfairAllocDist) scenario is ending in an error message.
16092638	The Off Market Fair Pricing scenario is using the incorrect values to set the Price Spread threshold.





For more information on documents that are available as a part of Oracle Financial Services Analytical Applications for Financial Crime and Compliance Management 6.2.1 release, see

[http://docs.oracle.com/cd/E41197\\_01/homepage.htm](http://docs.oracle.com/cd/E41197_01/homepage.htm).





