Oracle Financial Services
FATCA Regulatory Reporting
Administration and Configuration Guide

Release 8.0.0.0.0
January 2015

ORACLE

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FATCA Regulatory Reporting
Administration and Configuration Guide

Release 8.0.0.0.0
January 2015

Part Number: E60570_17

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1900 Oracle Way
Reston, VA 20190

Part Number: E60570_17
First Edition (January 2015)

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About This Guide

This guide provides comprehensive instructions to perform the administration activities to configure OFS FATCA Regulatory Reporting.

This chapter focuses on the following topics:

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

Who Should Use this Guide

The *OFS FATCA Regulatory Reporting Administration and Configuration Guide* is designed for Oracle Financial Services Installers and System Administrators. Their roles and responsibilities, as they operate within OFS FATCA Regulatory Reporting, include the following:

- **FATCA Administrator:** Configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services customer. The System Administrator maintains user accounts and roles, monitors data ingestion and case management, archives data, loads data feeds, and performs post-processing tasks.
- **FATCA RR Administrator**: This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.
- ECM Administrator: This user is responsible for mapping security attributes to users.

How this Guide is Organized

The *Oracle Financial Services FATCA Regulatory Reporting Administration and Configuration Guide*, includes the following topics:

- Chapter 1, *Creating Users*, explains how to create users and provide access to OFS FATCA Regulatory Reporting.
- Chapter 2, *Mapping Users to User Group*, discusses mapping users to user groups.
- Chapter 3, *Adding Client-specific Security Attributes*, explains the steps to add client-specific security attributes to OFS FATCA Regulatory Reporting.
- Chapter 4, *Loading Metadata into OFS FATCA RR*, explains the steps to load client provided data.

- Chapter 5, *Configuring Parameter*, explains the steps to configure report due date, report lock time period, and FATCA reporting year.
- Chapter 6, *FATCA RR Batch Execution*, explains the steps to run batch process periodically.
- Appendix A, *Excel Upload,* explains the steps to perform Excel upload.

Where to Find More Information

For additional information about OFS FATCA Regulatory Reporting, refer to the following documents:

- *OFS FATCA Regulatory Reporting User Guide*
- *FATCA Administration and Configuration Guide*
- *Enterprise Case Management User Guide*
- *FATCA Assessment Guide*

  Note: The FATCA Assessment guide is required only if you are using the FATCA application.

These documents can be found at the following link:

http://docs.oracle.com/cd/E60570_01/homepage.htm

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	• Names of books, chapters, and sections as references • Emphasis
Bold	• Object of an action (menu names, field names, options, button names) in a step-by-step procedure • Commands typed at a prompt • User input
`Monospace`	• Directories and subdirectories • File names and extensions • Process names • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1 Creating Users

This chapter explains the steps to create users. The OFS FATCA Regulatory Reporting has predefined user groups to access the application.

Setting Users

To set a user and provide user access to OFS FATCA Regulatory Reporting, follow these steps:

1. For creating users, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.
2. Once the users are created, map the users to predefined user groups, which in turn maps the user to a user role.

   For more information on mapping users to user groups, refer to *Chapter 2*.

   For more information on setting users, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

CHAPTER 2 Mapping Users to User Group

This chapter discusses mapping users to user groups.

The following table describes the predefined User Roles and corresponding User Groups present in OFS FATCA Regulatory Reporting.

Table 2. User Roles and User Groups

User Role	Group Name	User Group Code
FATCA Report Analyst	RR FATCA Analyst	RRANAFATCA
FATCA Report Supervisor	RR FATCA Supervisor	RRSUPFATCA
FATCA Report Auditor	RR FATCA Auditor	RRAUDFATCA
FATCA Report Admin	RR FATCA Admin	RRADMINFATCA

Note: If FATCA RR is installed and implemented with OFSFCCM/OFSFATCA Assessment, do not create a separate FATCA Report Admin. Instead, map the RR FATCA Admin group to the existing OFSFCCM/OFSFATCA Assessment Admin users.

For more information about User to User Group mapping, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

Creating Users with Due Date as View Only

To create users with Due Date as View only, un-map the role '**FATCA Report Edit Due Date**' and map '**FATCA Report View Due Date**' role, for the selected group.

By default, all groups are mapped to have Due Date as editable on the UI.

For more information on due date, refer *OFS FATCA Regulatory Reporting User Guide*.

For more information on User Group to Role mapping, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

CHAPTER 3 Adding Client-specific Security Attributes

To add client-specific security attributes to OFS FATCA Regulatory Reporting, follow these steps:

1. Download the following Excel sheets from `<ftpshare path>/STAGE/Excelupload/Templates` to Windows machine. The `<ftpshare path>` is the same path given in variable `APP_DRIVE_TM` while installing OFSAAI. For more information, refer to the *Oracle Financial Services Advanced Analytical Applications Infrastructure (OFS AAAI) Applications Pack Installation and Configuration Guide.*

- `DIM_DOMAIN1.xlsx`: `DIM_DOMAIN1.xlsx` should be filled with Jurisdictions which are available in OFSFCCM.
- `DIM_DOMAIN2`.xlsx: `DIM_DOMAIN2.xlsx` should be filled with Business Domains which are available in OFSFCCM.

2. Upload the Excel data. For more information on steps to perform Excel Upload, refer *Appendix A*.
3. Navigate to **Administration menu > User Administration > Regulatory Report User's Attribute Administration**. This will take you to a drop-down list with all the OFS FATCA RR users created. Assign attributes to each user from each drop-down.
4. Close the Regulatory Report User's Attribute Administration screen.
5. Logout from OFS FATCA Regulatory Reporting application.

CHAPTER 4 Loading Metadata into OFS FATCA RR

The OFS FATCA Regulatory Reporting uses the following client-provided data as per their business requirements:

- Reporting Institution Details
- Reporting Institution to Report Type Mapping
- Filing Institution Details
- Filing Institution to Report Type Mapping
- User Information

Follow these steps to load the above data into OFS FATCA RR:

1. Download the following Excel sheets from `<ftpshare path>/STAGE/Excelupload/AMCMLookupfiles/Templat`. to Windows machine. The path for `<ftpshare path>` is the same path as given in variable placeholder `##FTPSHARE_PATH##` in `GRC_InstallConfig.xml`.
   - `DIM_REPORTING_INSTITUTION.xlsx`
   - `MAP_REPINST_REPTYPE.xlsx`
   - `DIM_FILING_INSTITUTION.xlsx`
   - `MAP_FILINST_REPTYPE.xlsx`
   - `DIM_USERS.xlsx`
2. Add data in each Excel sheet as per your installation requirement.
3. Upload the Excel data. For more information on steps to perform Excel Upload, refer *Appendix A*

CHAPTER 5 Configuring Parameter

Report Lock Period

If a user forgets to log off from the OFS FATCA Regulatory Reporting application or if the screen is closed while accessing a report, the report gets locked for a pre-configured duration. By default, the duration is 60 minutes. This duration can be altered as per your requirement.

Table 3. Report Lock Period

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
FATCA _ Reporting_Lock_ Period	Number	60 Minutes	Time Limit in minutes till which the report will be locked, until a user logs off from the report or application.	UPDATE FATCA_SETUP_PARAMS SET N_SUB_PARAM_NB_1_VAL= '<DURATION IN MINUTES>' WHERE N_PARAM_KEY= 14; COMMIT;

Due Date

Table 4. Due Date

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
Due_DATE_Params	Date		When an RR report is created manually or via an action from an alert or case, the application automatically sets the due date to the date mentioned in the column.	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_1_VAL = '<Date which should be set as default due date for the report >' WHERE N_PARAM_KEY = 12;COMMIT;

Note: Default due date will be Rep_Yr_End_Dt, if not specified in Due_DATE_Params.

FATCA Reporting Year

This parameter provides the details of the financial year for FATCA Reporting.

Table 5. FATCA Reporting Year

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
Rep_Yr_Start_Dt	Date		Start date of FATCA reporting period	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_1_VAL = '<START_DATE>' WHERE N_PARAM_KEY = 13; COMMIT;
Rep_Yr_End_Dt	Date		End date of FATCA reporting period	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_2_VAL = '<END_DATE>' WHERE N_PARAM_KEY = 13; COMMIT;

CHAPTER 6 FATCA RR Batch Execution

FATCA Reports can be generated through a batch process that can be executed periodically such as Daily, Weekly, Monthly, Quarterly, and Half-yearly depending on an organization's requirement.

You can configure the FATCA Reports batches as per the business process requirements of the organization. The OFS FATCA Regulatory Reporting has the **FATCA_RR batch** that assesses accounts and create Individual and Pooled FATCA RR Reports.

This chapter details the configuration of Batches and includes the steps for the following:

- Scheduling a Batch
- Monitoring a Batch After Execution
- Cancelling a Batch After Execution
- Re-starting a Batch
- Re-running a Batch
- Running a Single Task Using a Batch

FATCA Assessments can be performed through a batch process that can be executed once a year or periodically such as Daily, Weekly, Monthly, Quarterly, and Half-yearly depending on a firm's requirement.
A firm can configure the FATCA Assessments batches as per their business process. Oracle Financial Services FATCA classifies the batches processes as follows:

- **New Batch**: This batch will assess accounts that have been opened after a specified date as well as owning customers of new accounts.
- **Existing Batch**: This batch will assess the existing accounts whose information has changed as well as the existing customers whose information has changed.
- **Pre Existing Batch**: This batch will assess the accounts that have been opened between a date range as well as the owning customers of pre-existing accounts.

Scheduling a Batch

Ensure all the required servers, that is, ICC, Router, and Message should be up and running before executing a batch. For more information on starting servers, refer *Oracle Financial Services Advanced Analytical Applications Infrastructure (OFS AAAI) Applications Pack Installation and Configuration Guide.*

When an organization wants to run the batches periodically, a FATCA Administrator user can schedule the batches to run either once, daily, weekly, or months.

Note: Before scheduling a batch, ensure that the ICC router and message server are up and running. For more information on starting ICC router and message server, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide.*

This section includes the following topics:

- Scheduling a Batch Once
- Scheduling a Daily Batch
- Scheduling a Weekly Batch
- Configuring a Monthly Batch

Scheduling a Batch Once

To schedule a batch that you want to run only once, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Once**.
7. Enter the schedule time of the batch by specifying the **Start Date** and the **Run Time**.

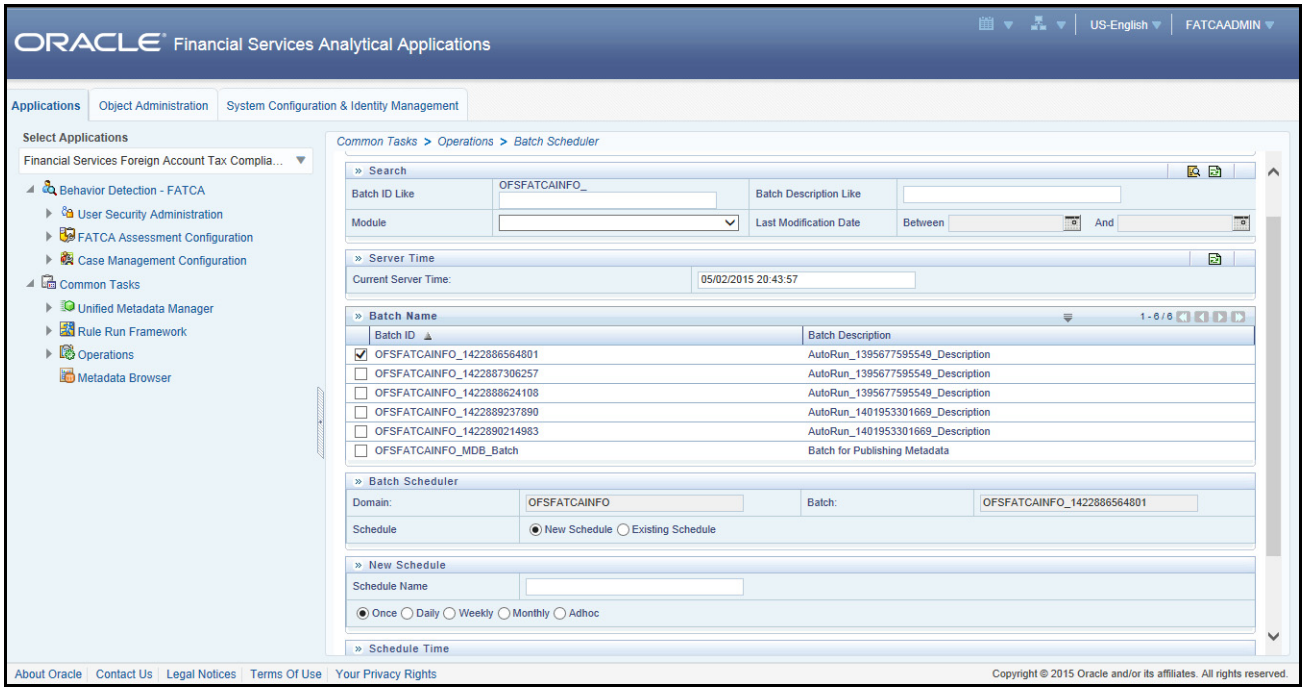


Figure 1. Scheduling a Batch Once

8. Click **Save**.

Scheduling a Daily Batch

To schedule a batch that you want to run daily, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Daily**.
7. Enter the schedule time of the batch by specifying the **Dates**, **Run Time**, and **Every** information.

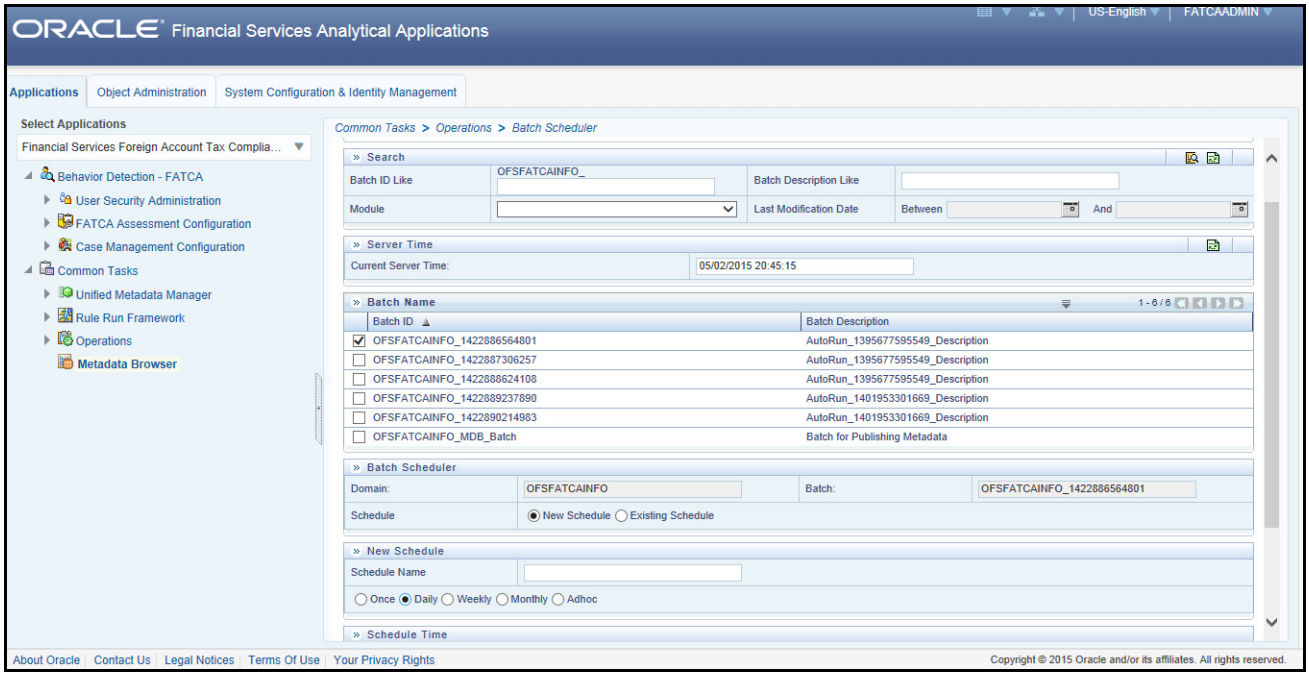


Figure 2. Scheduling a Daily Batch

8. Click on **Save**.

Scheduling a Weekly Batch

To schedule a batch that you want to run weekly, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Weekly**.
7. Enter the schedule time of the batch by specifying the **Dates**, **Run Time**, **Every, Working days of the Week** information.

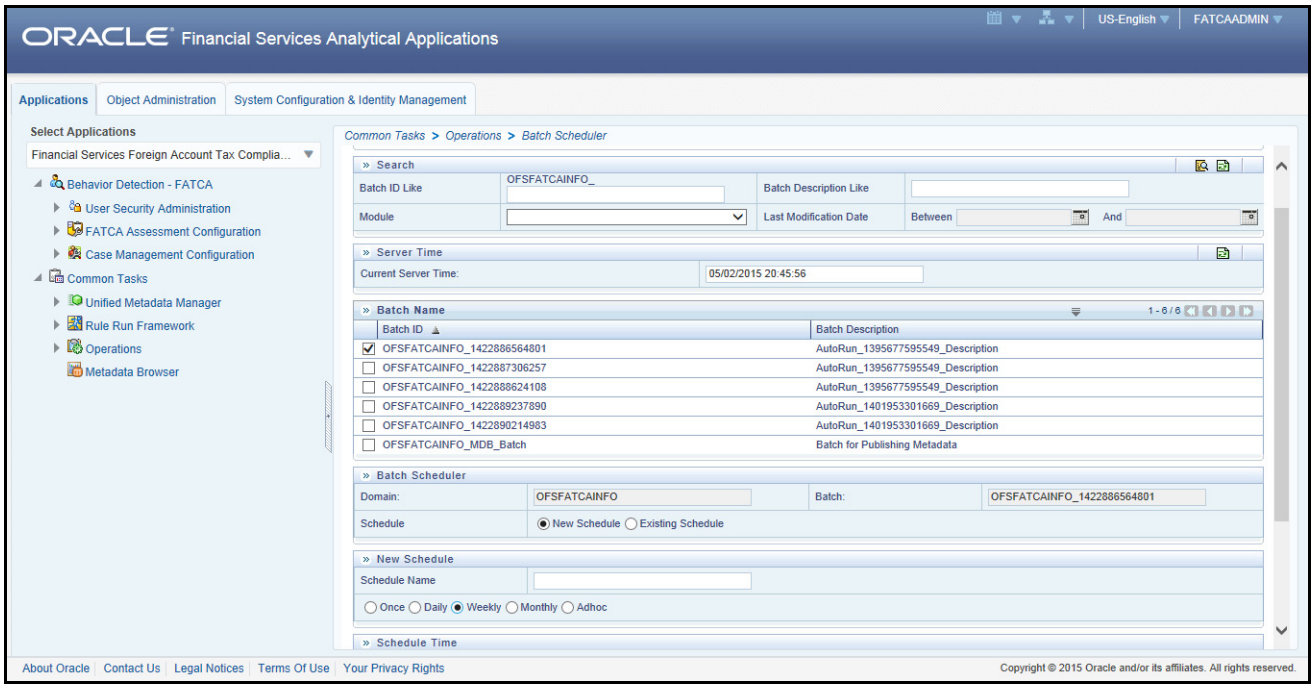


Figure 3. Scheduling a Weekly Batch

8. Click on **Save**.

Configuring a Monthly Batch

To schedule a batch that you want to run monthly, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Monthly**.
7. Enter the schedule time of the batch by specifying the **Dates**, and **Run Time** information.

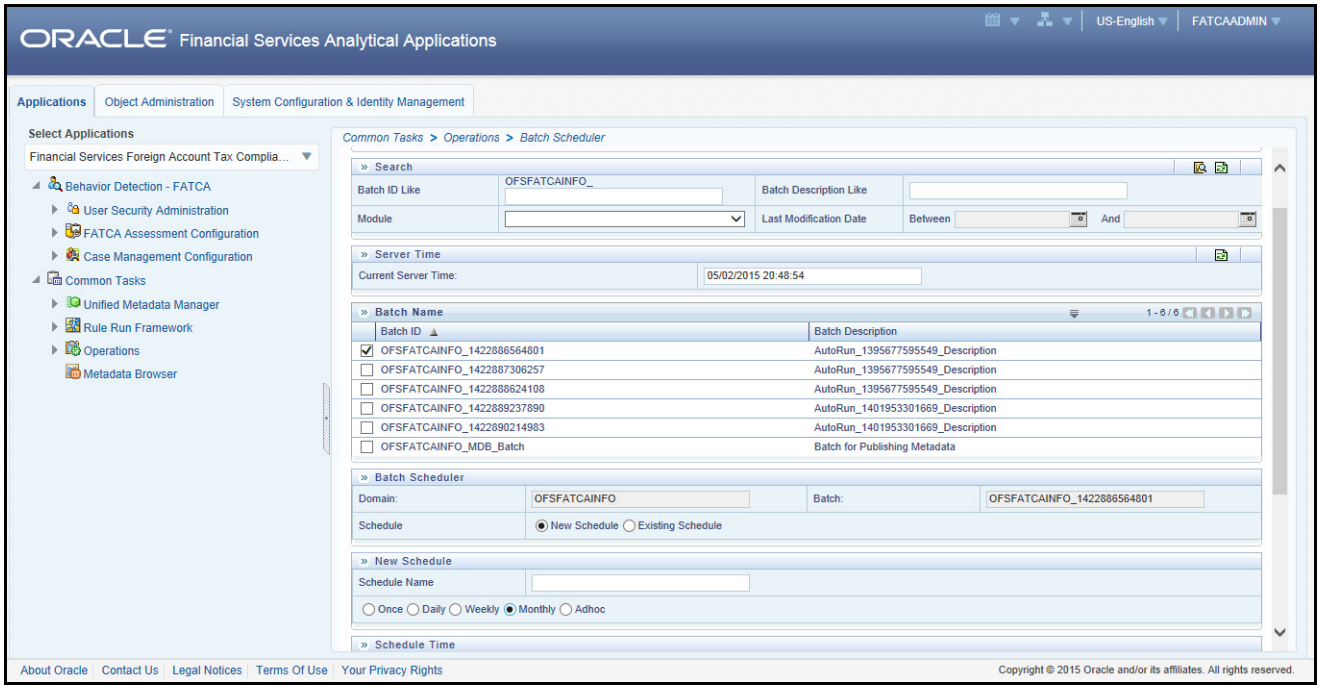


Figure 4. Configuring a Monthly Batch

8. Click on **Save**.

Running a Batch Through Fire Run

When you want run a batch once without using the Batch Scheduler option, you can run a batch using a Fire Run.

To run a batch through a fire run, follow these steps:

1. Open the .profile and set the BDF_HOME path to `<BDF Home Directory>/scripts .`
2. Navigate to $`FIC_DB_HOME/bin` and assign execute permission to `PTC_Auto_Case_Assignment.sh` as follows:
   `$ chmod 755 PTC_Auto_Case_Assignment.sh`
3. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
4. Expand **Rule Run Framework** from LHS menu.
5. Click **Run**. The Run Rules Framework page is displayed.

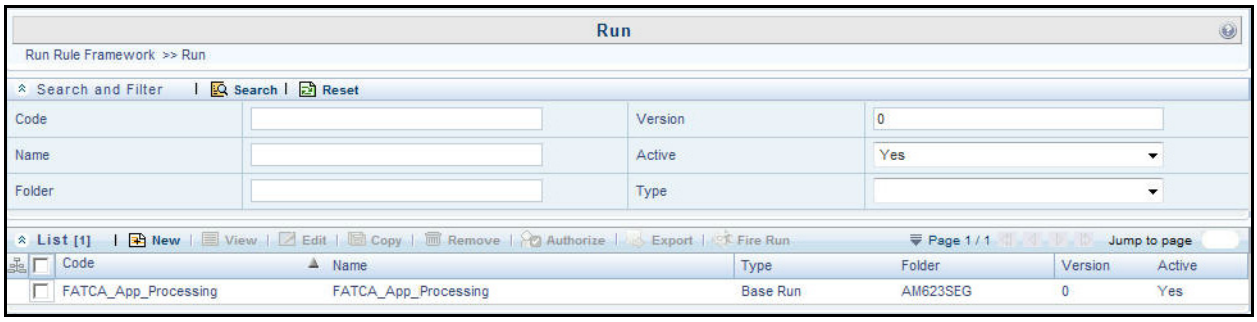


Figure 5. Run Rules Framework Page

6. Select `FATCA_App_Processing` from the Run List using the checkbox. The action buttons in the List header are enabled.
7. Click **Fire Run**.

   The Run Rule Framework window is displayed.

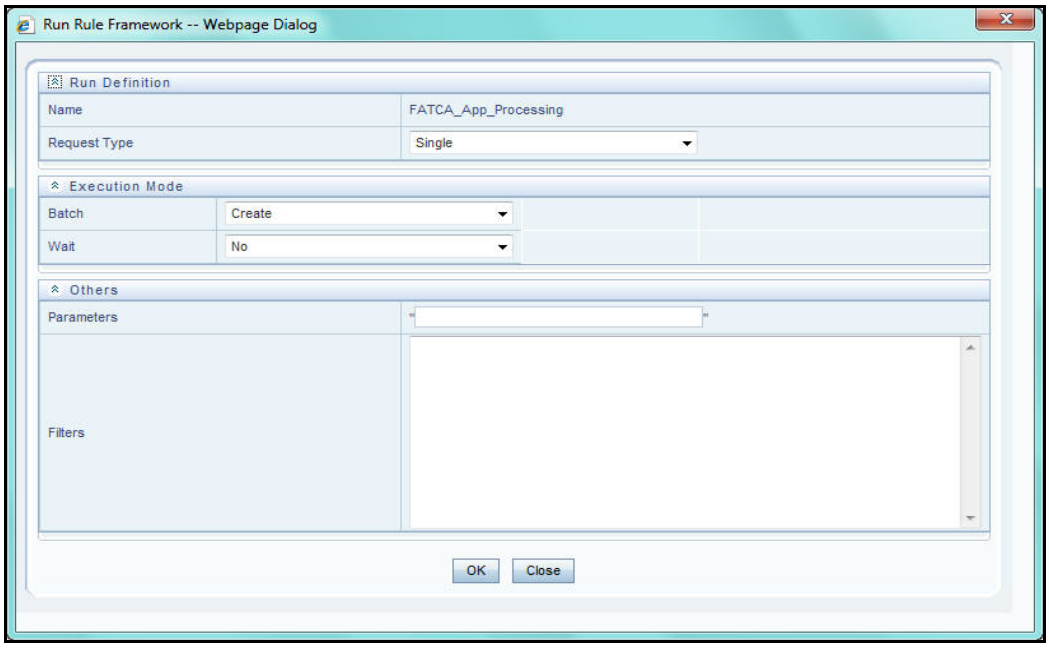


Figure 6. Run Rule Framework Window

8. Select Request Type as **Single**.
9. From Execution Mode section, select Batch as **Create and Execute** from the drop-down list. An MIS Date field is displayed adjacently.
10. Select an MIS Date using the calender icon.
11. Select Wait as **No**.
12. Click **OK**.

Monitoring a Batch After Execution

Monitoring a batch helps you track the status of execution of an individual task that was included in the batch. Through monitoring, you can also track the batch status which in turn helps you in debugging.

To monitor a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Monitor**. The Batch Monitor page is displayed in the RHS.

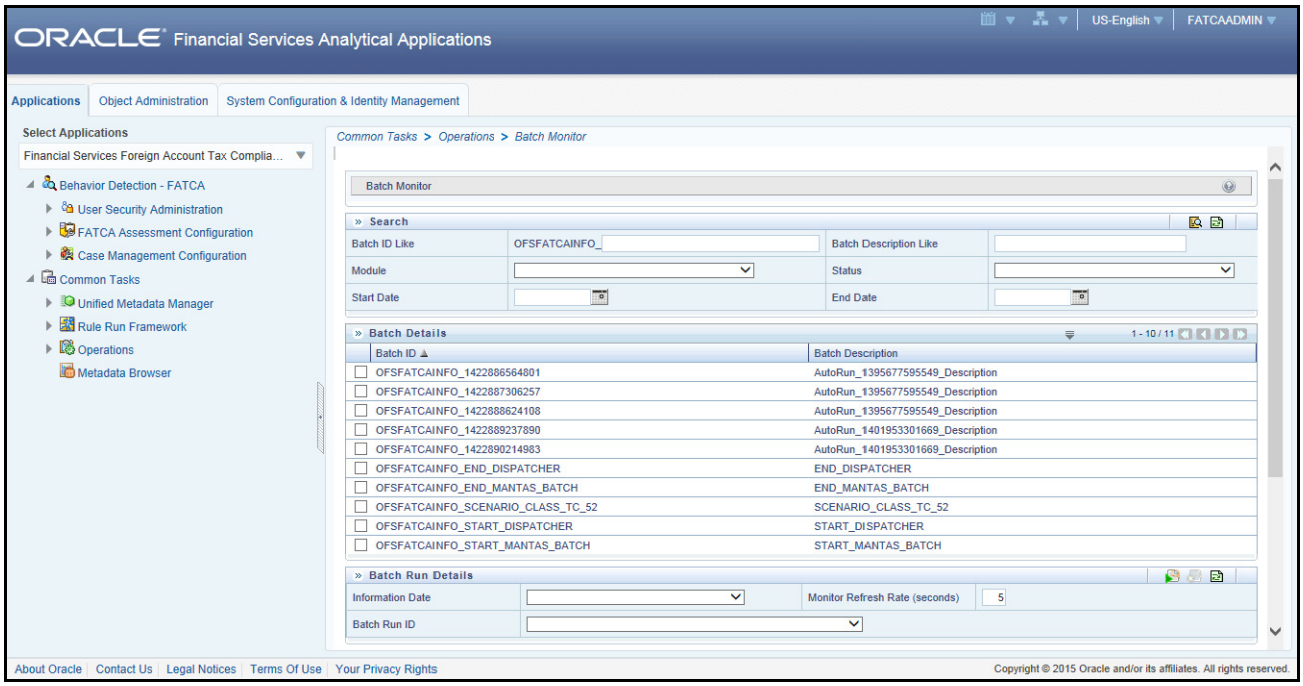


Figure 7. Batch Monitor Page

4. Select a batch from the Batch Details lists that you want to monitor.
5. From Batch Run Details section, select an Information Date and the Batch Run ID from the drop-down list.
6. Click to start the monitoring.

   The execution details namely, Batch Status, Task Details, and Event Log details are displayed.

Cancelling a Batch After Execution

Cancellation of a batch cancels a current batch execution.

Note: This is not recommended and should be done only when the batch was fired accidentally or when a particular is taking too long to execute.

To cancel a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Cancellation**. The Batch Cancellation page is displayed in RHS.

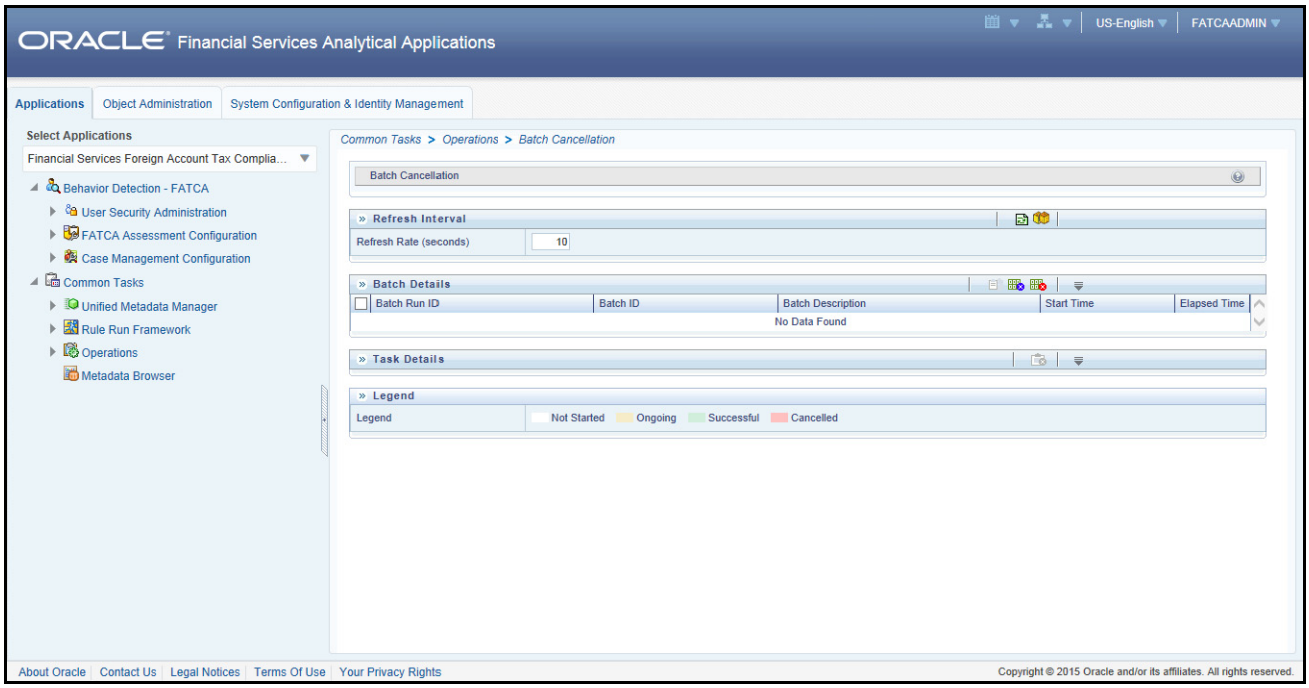


Figure 8. Batch Cancellation Page

4. Under the Batch Details section, select the batch whose execution you want to cancel.
5. Click **Cancel Batch**.

Re-starting a Batch

You can restart a batch execution when they have failed in their execution. When you restart a batch, it starts from the task at which it had failed. This happens when the failed task issue is debugged and resolved.

Note: It is recommended that you debug and resolve a failed task before restarting the batch execution.

To restart a batch execution, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select **Restart** radio button from the Batch Mode section.

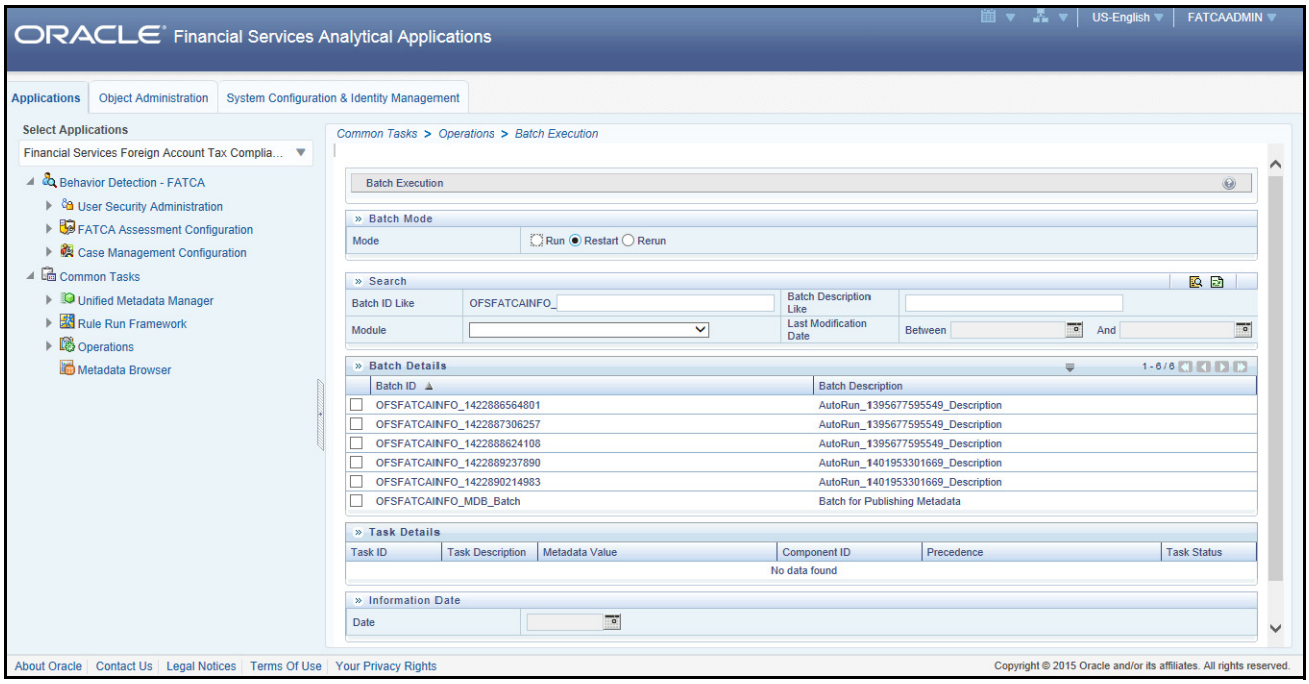


Figure 9. Re-starting a Batch

5. Select the batch from the Batch Details section that you want to restart.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

Re-running a Batch

You can rerun a batch execution when you want all the tasks from a successful batch execution to be executed again from the beginning. When a successfully executed batch is rerun, a different Batch Run ID is created for each instance for the same Information Date.

Note: Creation of different Batch Run ID for each rerun of a batch is optional depending upon a firm's requirement.

To rerun a batch, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select **Rerun** radio button option from the Batch Mode section.

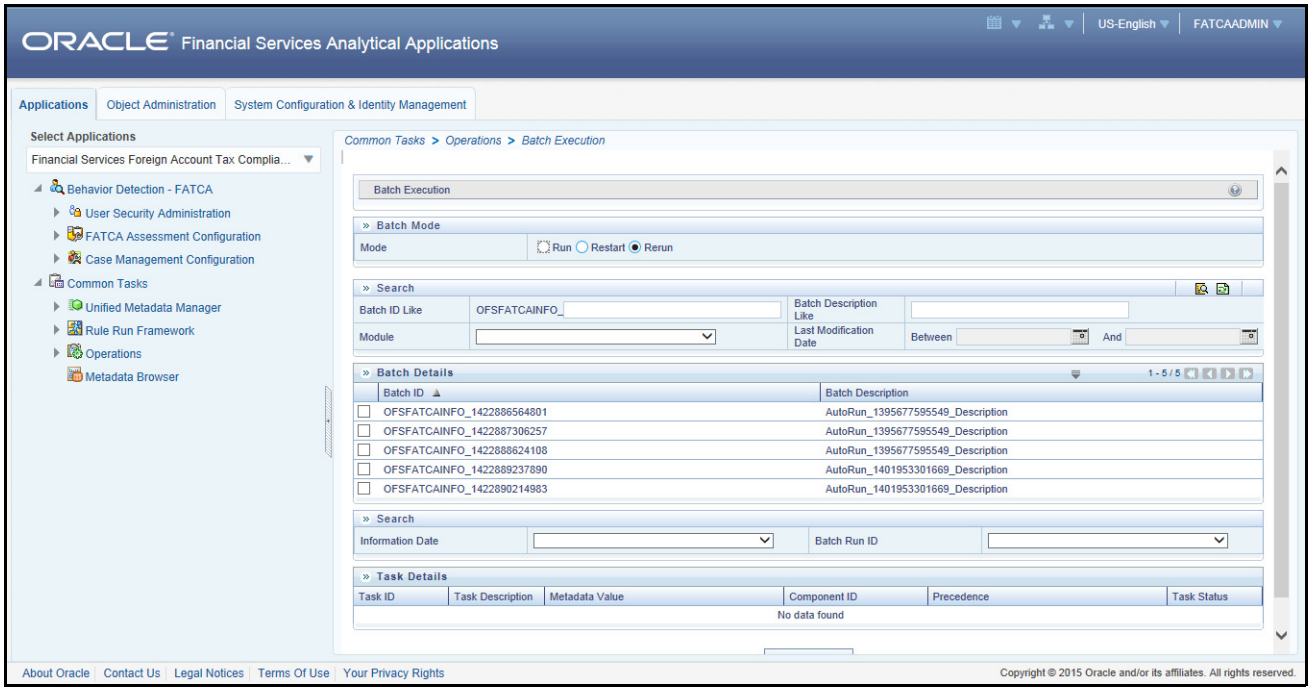


Figure 10. Re-running a Batch

5. Select the batch from the Batch Details section that you want to rerun.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

Running a Single Task Using a Batch

From the Batch Execution page, you can also run a single task from a batch.

Note: Running a single task using a batch is not a recommended approach and should be done only for debugging a particular task.

To run a single task using a batch, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. From the Batch Details section, select the particular batch that you want to execute.
5. From the Task Details section, click . The Task Mapping window is displayed.

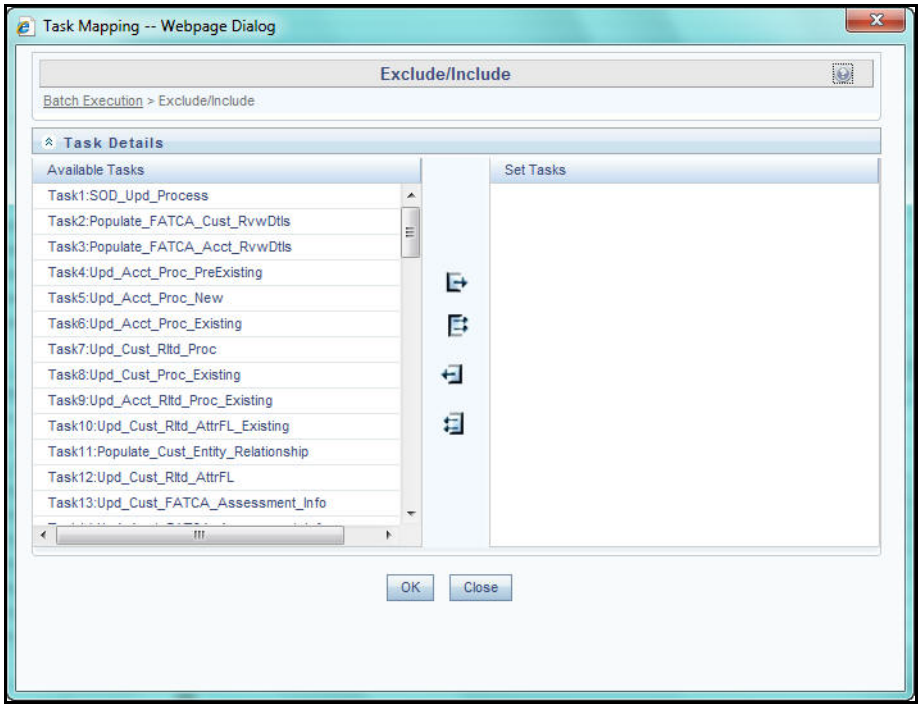


Figure 11. Running a Single Task Using a Batch

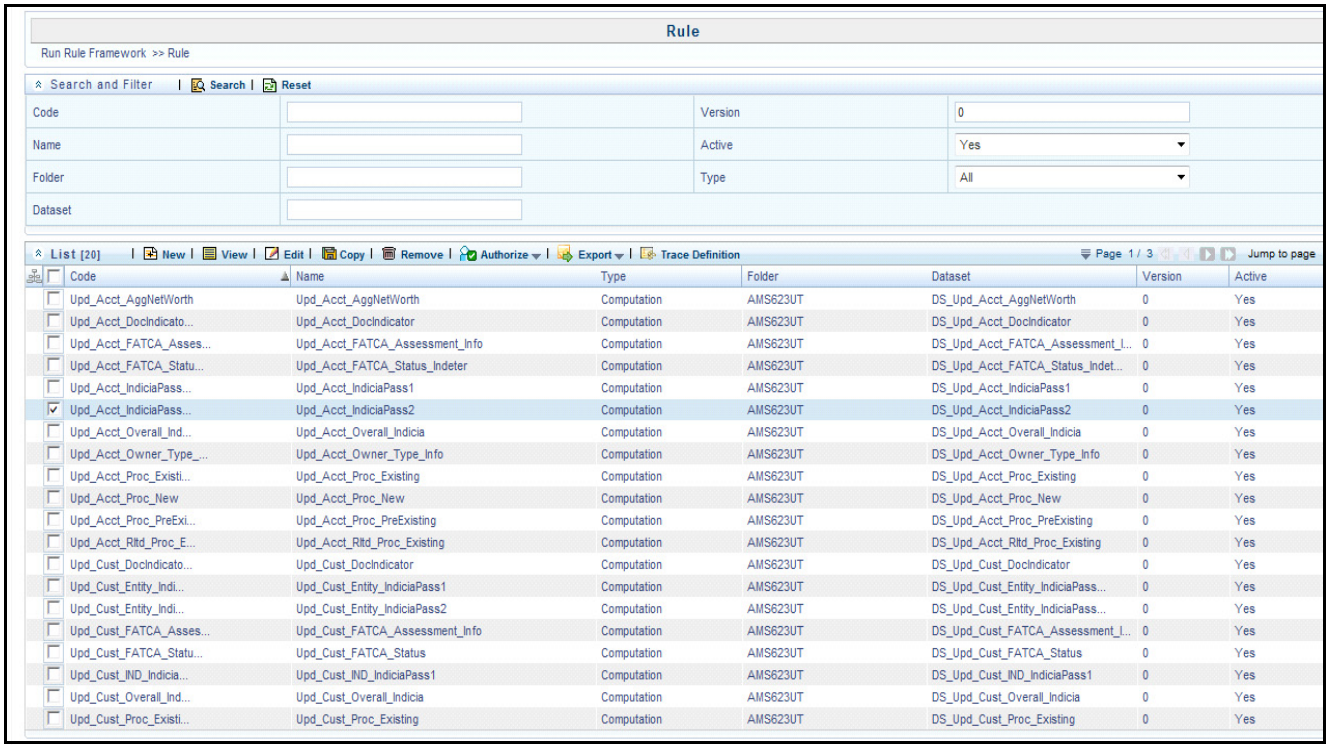
6. Retain the tasks that you want to execute under Available Tasks section and move the rest to the Set Tasks section.
7. Click **OK**. The following warning message is displayed: *If you exclude a task, it will be skiped when executing the batch but, the precedence will not be altered. Do you want to exclude the selected task(s)?*
8. Click **OK**.
9. Click **Execute Batch**.

FATCA Performance Improvement

Note: Follow these steps mentioned in this section to resolve any performance issues. The following steps are not mandatory.

While running batches, firms may face performance issues on tasks related to classification and computational rules. If the tasks are taking longer time than expected, follow these steps for perfomance improvement:

1. Login to OFSAAI UI as FATCA Administrator.
2. Click **Rule**, under Rule Run Framework tab.
3. Select a computation/classification rule.



4. Click **Edit**. The Rule Definition (Edit Mode) page is displayed.

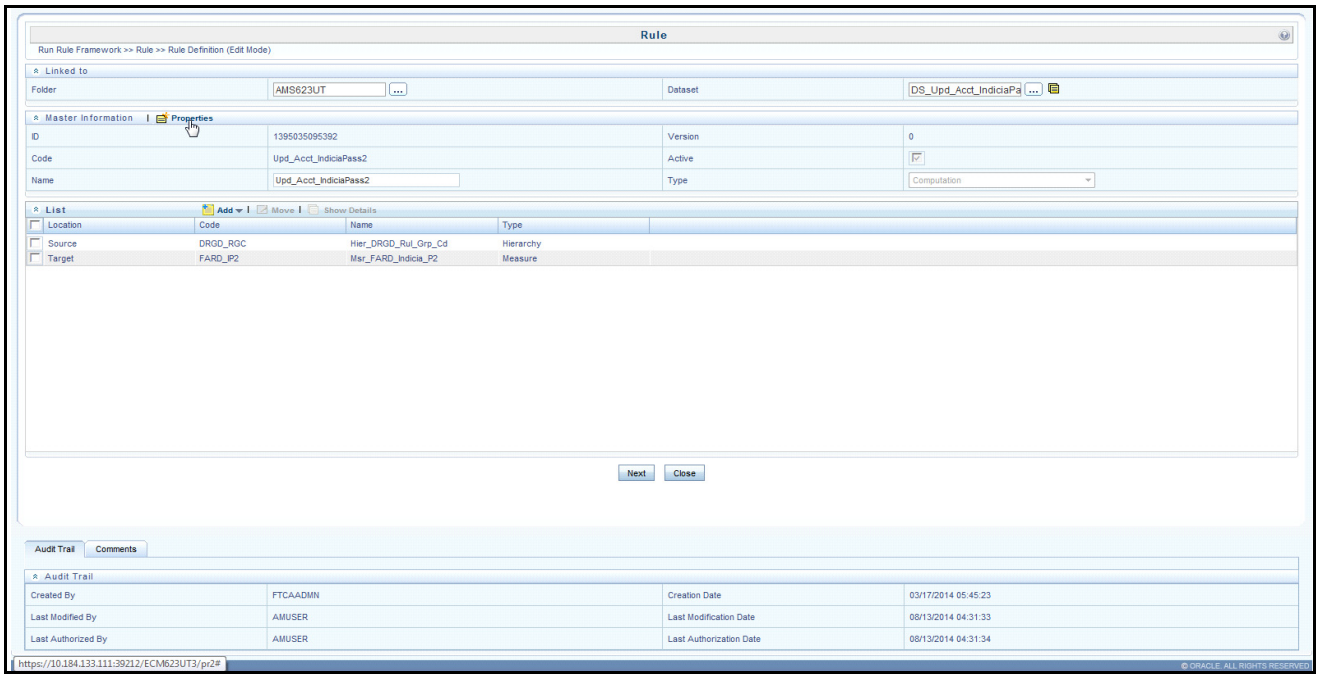
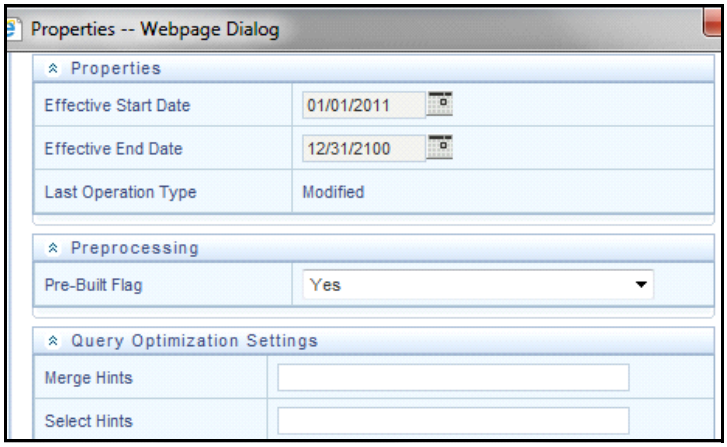
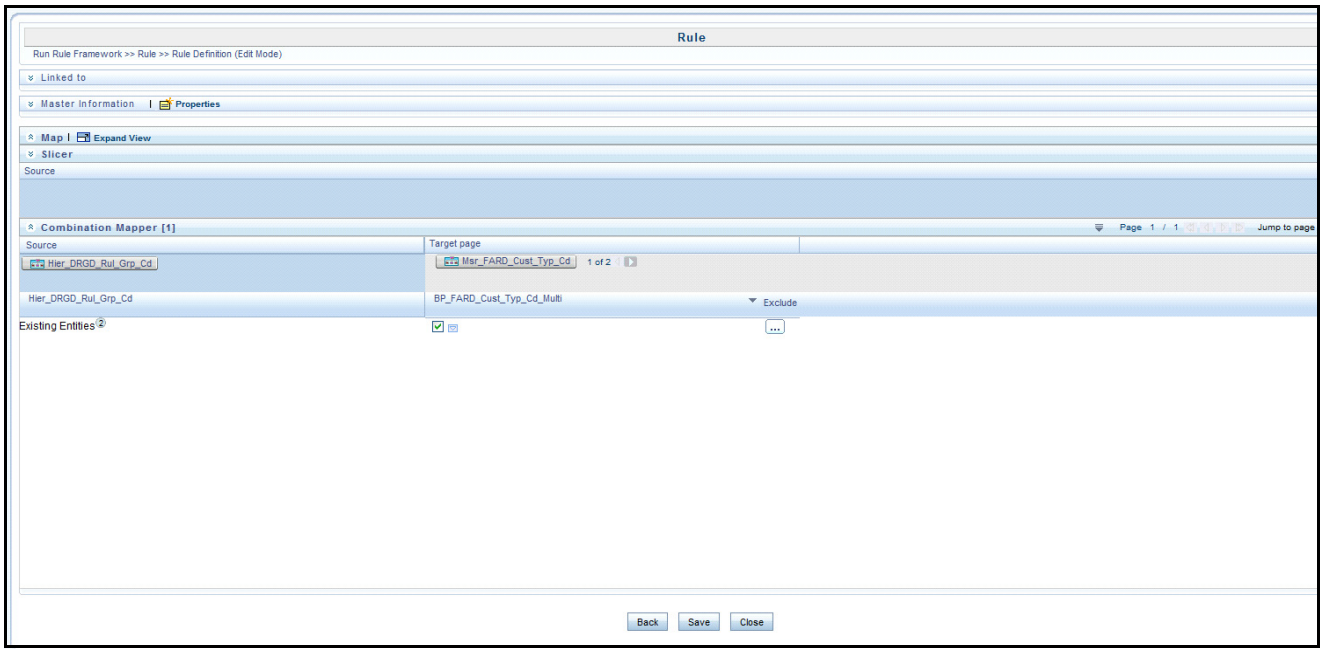


Figure 12. Rule Definition (Edit Mode) Page

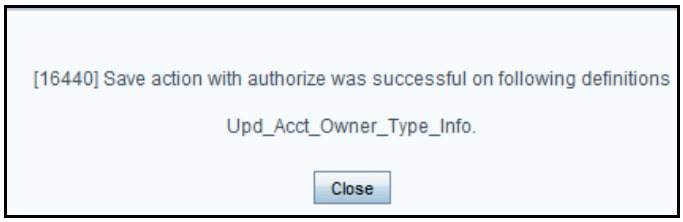
5. Click **Properties**. The Properties window is displayed.
6. Change the Pre- built flag to 'Yes' and click **OK**.



7. Click **Next** in the Rule Definition (Edit Mode) page. The Combination mapper section is displayed.



8. Click **Save**. The following message is displayed: *Do you want to save this rule as a new version*.
9. Click *No*. The following message is displayed:



10. Fire the Run again. For more information, refer *Running a Batch Through Fire Run*.

Configure Java Virtual Machine

While running several database intensive tasks in parallel, fetching the database connection from connection pool may face an error. To ensure no such error is encountered, add the line:

`securerandom.source=file:/dev/./urandom`

in the java.security configuration file available in `$JAVA_HOME/jre/lib/security/ path`.

This needs to be configured only on the machine where the OFSAAI database components (ficdb layer) are installed.

APPENDIX A Excel Upload

For Excel Upload, follow these steps:

1. Login to OFS FATCA Regulatory Reporting as Admin user.
2. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`. The Excel Upload page is displayed.

   NOTE: After logging, make sure the OFS FATCA Regulatory Reporting application Information Domain is selected from the drop-down list at the left hand corner of the page.
3. Click **Browse** under the Excel File to Upload section.
4. Select any one of the Excel sheets.
5. Click on the **Arrow** next to Browse.
6. Preview the data created under the Preview section.
7. In the Excel - Entity Mappings section, click the Arrow.
8. Select the table name that is the same as the name of the Excel sheet.
9. Click **Upload**. The following message is displayed: *Successfully Uploaded Data.*
10. Click **OK**.

    NOTE: If the upload fails, click on view logs button to check the logs.
11. Close the Excel Upload page.