

Oracle Financial Services  
Behavior Detection  
Applications Pack

Version 8.0.1.0.0

Release Notes

Part Number E62885-01



# DOCUMENT CONTROL

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## TABLE OF CONTENTS

<b>PREFACE</b> .....	<b>4</b>
Purpose of This Document .....	4
Intended Audience.....	4
Related Documents .....	4
<b>1 RELEASE HIGHLIGHTS</b> .....	<b>6</b>
<b>2 INTRODUCTION</b> .....	<b>7</b>
2.1 About Oracle Financial Services Analytical Applications (OFSAA) .....	7
2.2 Components of Oracle Financial Services Behavior Detection (OFS BD) Applications Pack .....	7
<b>3 ORACLE FINANCIAL SERVICES ANALYTICAL APPLICATIONS INFRASTRUCTURE</b> .....	<b>11</b>
3.1 New Features.....	11
3.2 Limitations and Known Issues.....	14
3.3 Fixed Issues .....	15
<b>4 ORACLE FINANCIAL SERVICES BEHAVIOR DETECTION</b> .....	<b>17</b>
4.1 New Features.....	17
4.2 Limitations and Known Issues.....	17
<b>5 HARDWARE/SOFTWARE TECH STACK DETAILS</b> .....	<b>24</b>
<b>6 INFORMATION OF THIRD PARTY SOFTWARE TOOLS USED</b> .....	<b>26</b>
6.1 The Apache Software License, Version 2.0 .....	26
6.2 NAG Limited.....	29
6.3 Gnuplot, V 4.6 and above .....	29
6.4 YUI (Yahoo UI libraries) .....	30
6.5 The Apache Software License, Version 1.7 .....	31
6.6 Atsuhiko Yamanaka, Version 0.1.49 .....	39
6.7 Werken Digital.....	40
6.8 JDOM, Version 1.1.6.....	40

## Preface

This Preface provides supporting information for the Oracle Financial Services Behavior Detection (OFS BD) Applications Pack Release Notes.

This preface includes the following topics:

- [Purpose of This Document](#)
- [Intended Audience](#)
- [Related Documents](#)

## Purpose of This Document

This document contains release information for the following products:

- Oracle Financial Services Analytical Applications Infrastructure (OFS AAI)
- Oracle Financial Services Behavior Detection

## Intended Audience

This document is intended for users of Oracle Financial Services Behavior Detection (OFS BD) Applications Pack.

## Related Documents

This section identifies additional documents related to Oracle Financial Services Behavior Detection (OFS BD) Applications Pack 8.0.1.0.0. You can access Oracle documentation online from the Documentation Library for OFS BD 8.0.1.0.0 ([OTN](#)).

### OFSAA Related Documents

- [Oracle Financial Services Advanced Analytical Applications Infrastructure \(OFS AAAI\) Applications Pack Installation and Configuration Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure Environment Check Utility Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure User Guide](#)
- [Oracle Financial Services Analytical Applications Infrastructure Administration Guide](#)
- [Oracle Financial Services Analytical Applications v8.0 Technology Matrix](#)

**OFS BD Related Documents**

- *Behavior Detection Applications Pack Installation Guide*
- *Administration Guide*
- *Know Your Customer Administration Guide*
- *FATCA Management Administration and Configuration Guide*
- *FATCA Regulatory Reporting Administration and Configuration Guide*
- *Configuration Guide*
- *Scenario Wizard Configuration Guide*
- *Services Guide*
- *Administration Tools User Guide*
- *Alert Management User Guide*
- *Enterprise Case Management User Guide*
- *FATCA Regulatory Reporting User Guide*
- *Scenario Manager User Guide*
- *Glossary*
- *Know Your Customer Risk Assessment Guide*
- *FATCA Regulatory Reporting Assessment Guide*
- *Data Interface Specification*
- *Know Your Customer Data Model Reference Guide*
- *FATCA Regulatory Reporting Data Model Reference Guide*
- *Financial Services Data Model Reference Guide Volume 1: Business Data*
- *Financial Services Data Model Reference Guide Volume 2: Oracle Financial Services Data*
- *Financial Services Data Model Reference Guide Volume 3: Case Management Data*
- *Anti-Money Laundering Technical Scenario Descriptions*
- *Broker Compliance Technical Scenario Descriptions*
- *Energy and Commodity Trading Compliance Technical Scenario Descriptions*
- *Fraud Technical Scenario Descriptions*
- *Trading Compliance Technical Scenario Descriptions*

## 1 Release Highlights

This release of *Oracle Financial Services Behavior Detection Application Pack* contains improvements across a wide range of applications and application components. Extensive enhancements to the Oracle Financial Services Data Model now give clients the ability to monitor the increasingly high profile area of Trade Finance AML. The Broker and Trading Compliance solutions continue to expand and offer clients new and improved detection patterns. Anti-Money Laundering and Fraud solutions continue to improve scenarios to help firms eliminate false positives based on activity between trusted pairs. Schema unification across multiple product schemas provides greatly reduced maintenance overhead as well as helps to position clients for easier migrations between environments as well as the uptake of future upgrades. Building upon OFSAA capabilities for network display, clients can now generate ad-hoc networks across all varieties of AML and Fraud scenarios. In addition to Oracle's well established methods for creating detection rules and generating alerts, Oracle BD Applications Pack is now fully integrated with OFSAA In-line Processing Engine (IPE). This detection engine offers greater support for clients creating detection rules that meet their specific business needs and which can become fully formed alerts within the Alert Management system. Various usability features have been added, ranging from the ability for users to create their own single click search Views to additional fields and data available to view on the UI in the course of an investigation.

You can access the latest information and additions to these on the Oracle Technology Network from [OTN Tech Stack](#).

## 2 Introduction

This chapter covers following topics:

- [About Oracle Financial Services Analytical Applications \(OFSAA\)](#)
- [Components of Oracle Financial Services Behavior Detection \(OFS BD\) Applications Pack](#)

### 2.1 About Oracle Financial Services Analytical Applications (OFSAA)

In today's turbulent markets, financial institutions require a better understanding of their risk-return, while strengthening competitive advantage and enhancing long-term customer value. Oracle Financial Services Analytical Applications (OFSAA) enable financial institutions to measure and meet risk adjusted performance objectives, cultivate a risk management culture through transparency, lower the costs of compliance and regulation, and improve insight into customer behavior.

OFSAA uses industry-leading analytical methods, shared data model and applications architecture to enable integrated risk management, performance management, customer insight, and compliance management. OFSAA actively incorporates risk into decision making, enables to achieve a consistent view of performance, promote a transparent risk management culture, and provide pervasive intelligence.

Oracle Financial Services Analytical Applications delivers a comprehensive, integrated suite of financial services analytical applications for both banking and insurance domain.

### 2.2 Components of Oracle Financial Services Behavior Detection (OFS BD) Applications Pack

OFS Behavior Detection Applications Pack includes the following applications:

- **Financial Services Analytical Applications Infrastructure:** This application streamlines analysis using a set of tools for data management and security administration and creates a single, consistent, enterprise-wide source of all relevant customer and financial data.
- **Financial Services Behavior Detection:** This application enables financial institutions to meet their regulatory reporting requirements as part of integrated financial crime and compliance management approach and helps reduce compliance costs and manage potential exposures.

Oracle Financial Services Behavior Detection (BD) provides automated, comprehensive, and consistent surveillance of all accounts, customers, correspondents, and third parties in transactions, trades, orders across all business lines. The application allows organizations such as banks, brokerage firms, and insurance companies to monitor customer transactions daily, using customer historical information and account profiles to provide a holistic view of

all transactions, trades, orders and other activities. It also allows organizations to comply with national and international regulatory mandates using an enhanced level of internal controls and governance. Behavior Detection is a common platform that supports the following OFSAA products:

- **Anti-Money Laundering Enterprise Edition (AML EE)** monitors transactions to identify possible money-laundering activities. These scenarios consider whether the geographical location or entities involved warrant enhanced scrutiny; monitor activity between accounts, customers, correspondents, and other entities to reveal relationships that could indicate efforts to launder funds; address sudden, significant changes in transaction activity that could indicate money laundering or fraud; and detect other types of activities that are considered potentially suspicious or indicative of money laundering.
- **Know Your Customer (KYC)** assesses the risk associated with a customer by considering different attributes of the customer and enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. Cases generated in Know Your Customer can be managed within Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Enterprise Fraud Management (EFM)** detects behaviors and patterns that evolve over time and are indicative of sophisticated, complex fraud activity. These scenarios monitor check and deposit / withdrawal activity, electronic payments, such as funds transfer and payments completed through clearing house (ACH) mechanisms, and ATM and Bank Card to identify patterns of activities that could be indicate fraud, counterfeiting or kiting schemes, identity theft or account takeover schemes. Fraud scenarios also monitor employee transactions to identify situations in which employees, acting as insiders, take advantage of access to proprietary customer and account information to defraud the financial institution's customers.
- **Currency Transaction Reporting (CTR)** analyzes transaction data from the organization and identifies any suspicious activities within the institution that may lead to fraud or money laundering and must be reported to the regulatory authorities. Currency Transaction Reports (CTRs) are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. Oracle Financial Services Currency Transaction Reporting then helps the organization file the CTR online with the U.S. Financial Crimes Enforcement Network (FinCEN) using a discreet form or uploaded in a batch form in a specific text file format.

Unlike alerts for other Oracle Financial Services products such as Anti-Money Laundering, Fraud, Trading Compliance, Broker Compliance, or Energy and Commodity Trading Compliance which appear in an Alert Management user



interface, CTR alerts are automatically processed and converted into CTR reports or Monetary Instrument Log reports which can be worked through the CTR user interface.

- **Foreign Account Tax Compliance Act (FATCA) Management** allows financial institutions to comply with FATCA regulations from the Internal Revenue Service and the US Treasury Department which prevent US taxpayers who hold financial assets in non-US financial institutions and other offshore vehicles from avoiding their US tax obligations. The FATCA Management solution integrates with Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Trading Compliance (TC)** examines prices and timing of orders and executions by comparing them to market conditions and detect behaviors or situations that violate exchange, market center, and individual broker or dealer policies and procedures, including behaviors that violate the Chinese Wall policies and procedures established by the Firm or those with confidential information held by the Firm about a security.
- **Personal Trading Approval (PTA)** monitors employee investment accounts and trades. Employees of the financial institution submit trade requests to be made from their approved investment accounts. Compliance officers can then review, approve, or reject the trade requests to ensure that their employees are acting in compliance with regulations. Financial institutions can also use this solution to maintain employee attestations.
- **Trade Blotter (TB)** allows trades to be viewed and reviewed, primarily for suitability issues within the wealth management sector, by compliance analysts and or business supervisors after a trade has been executed. The Trade Blotter is a list of trades returned after a search based on specified criteria. Users can view trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or requiring follow-up.
- **Broker Compliance (BC)** identifies activities or situations in customer accounts that involve either a significant amount of risk-and therefore may be unsuitable for the customer-or may violate trading rules set by the exchanges or regulators; trades in mutual fund securities that may violate regulatory trading guidelines, Commission policies, or are unsuitable for a particular customer; and activities performed by employees that may violate regulatory conduct rules or may be prohibited by firm policies. These scenarios also detect instances in which an investment advisor may be managing client accounts in a manner that is unsuitable for their customers, giving preferential treatment to particular customers, or manipulating transactions between accounts; and instances in which a portfolio manager may be placing orders on material, non-public information, misrepresenting portfolio performance, or unfairly allocating orders to accounts they manage.

- **Energy and Commodity Trading Compliance (ECTC)** monitors trading activities that involve the financial institution as the buyer or seller on energy and commodity related trades, including commodities, options, futures, and swaps.
- **Enterprise Case Management (ECM)** manages and tracks the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or your firm may integrate other Oracle Financial Services solutions, such as Alert Management, Know Your Customer, and FATCA Management, which can be used to create cases.

### 3 Oracle Financial Services Analytical Applications Infrastructure

This chapter includes the following topics:

- [New Features](#)
- [Limitations and Known Issues](#)
- [Fixed Issues](#)

#### 3.1 New Features

The following new features are supported in this release:

- **Business Restructure**

Business Restructuring in corporate management is act of reorganizing Ownership, Operational or other structures of the company for making it more profitable or better organized for its present needs. Other reasons for restructuring include demerger or a response to major change in the business such as repositioning or buyout.

A module has been introduced in this release to configure and manage the restructuring process across the organization.

- **Process Orchestration Framework**

A new module has been introduced to support built-in tooling for orchestration of human, automatic workflow interfaces as well as various OFSAA Processes.

- Support for Visual Modeling of the Workflow and Processes
- Support for registration of Process /Activity/ Transition Logic implementation, separated from the modeling process itself.
- Built-in orchestration engine (included within OFSAAI's runtime) for workflow execution interactive model as opposed to the batch model supported through Rule Run Framework).
- Published interface for abstraction of workflow task implementation.
- Representation of the workflow-routing rule logic in Java/ PL-SQL / Web-service.
- Process Monitoring Admin Tool to view and control the Execution Process Instances.

- **Data Management Tools**

- Ability to preview Database details while creating Data Sources has been introduced.
- Ability to preview data of the source/ target entities has been provided while defining Data Mapping and Data File Mapping.

- For Data Mapping, there is no default limit set for Rejection Threshold and the value needs to be set if it is required.
- Data Sources creation has been modified to pick up the connection details created from the Database Details screen.
- **Data Quality Framework**
  - Data Quality rules can be defined on Data Management Sources.
  - Data Quality checks can be performed based on Unique Identifier Columns other than Primary Key columns.
  - In the Data Quality Reports, the Primary Key columns or Unique Identifier Columns are displayed.
- **Mapper**
  - Copy feature of Mapper definitions is introduced.
  - While defining a Mapper, an option to create Database View has been provided.
- **Business Metadata Management**
  - Ability to preview the query and the data from the Dataset definition is introduced.
- **Object Migration**
  - Command Line Migration now supports Security Management System (SMS) objects such as Users, Usergroups, Functions, Roles, and Profiles along with the mappings.
  - The Object Migration Command Line Utility (offline option) supports wildcard (\*) feature.
- **Run Rule Framework**
  - The Use Descendants option for a Parent Child hierarchy has been provided to apply self/ descendants to a Run/Process condition implicitly.
  - The Process engine has been enhanced to support “Select Insert” and “Partition Swap” query along with the “Merge” query.
  - The Rule engine has been enhanced to support “Select Insert” and “Partition Swap” query along with the “Merge” query.
- **Model Upload**

A command line utility has been introduced to perform Object Registration independently for an Information Domain where model upload is done successfully.
- **DEFQ**

From the Excel Entity Mappings and Excel Upload screen, you can download the Excel template which is used in the mapping.

▪ **System Configuration and Identity Management**

- Create New Application feature has been introduced, which enables to create an Application using the standard platform frameworks.
- The Database details screen has been enhanced to support for heterogeneous database.
- Users can be created with an option to authenticate through SMS even when LDAP or SSO authentication is enabled.
- SSO authentication using SAML v2 is introduced. This release supports only 1-way SAML authentication.
- User Provisioning API is provided so that User Objects can be provisioned in OFSAAI using web service call.
- An option to reinstate the deleted users has been introduced.

▪ **Forms Framework**

- Flexible Key Business Dimensions (KBDs)  
Configuring Flexible KBDs is supported, which provides centralized configuration approach to KBD usage in the Applications, other than the seeded KBDs.
- Other Enhancements
  - Spell check feature can be enabled for Text Box, Text Area, and Rich Text controls.
  - A new feature is provided to pick the list of values for radio button and check box dynamically.
  - Dynamic Filtering of drop-down for multi-select control has been introduced.
  - Tool tips are provided for the wrap and unwrap buttons when the Image text is blank.
  - Auto-fit feature is provided for Editable grid with multiple grids.
  - Special characters are supported in multi-select control.
  - Document delete feature is provided.

▪ **Metadata Browser**

- Data Mapping along with User Defined Properties (UDPs) can be exported to Excel.

- An option to display Data Mapping with the selected UDPs is provided.
- The following objects are supported:
  - Data Sources
  - Data Source Entity
- **Link Analysis**
  - Single click option has been provided for Nodes.
  - If multiple links (different types) are shared between two nodes, then the link is considered as complex link instead of duplicate link.
  - Link Analysis graph has been enhanced to display with scroll bars for large graphs. Additionally, when a graph is zoomed out, the scroll bars will be displayed.

### 3.2 Limitations and Known Issues

The following table lists the Limitations and Known Issues:

Component	Bug ID	Description
Forms Framework	21221027	Forms Manager application expects IE 11 Compatibility Mode setting from every client browser.
Administration	21423196	OFSAAI does not allow to enter the special characters such as '-!@#\$\$%^&*()_+' in SFTP / FTP details screen
Data Entry Forms and Queries	21354370	The Description of an Excel-Entity mapping definition is not getting updated in edit mode.
Model Upload	21207454	Model upload summary grid does not display the status of Object Registration process.
Rules Framework	21335353	Execution log does not provide detailed steps of execution if Execution mode is set as SELECT or PARTITION SWAP at Rule/Process/Run Level.
System Configuration	21341795	No field restriction is given for the Name field in the Database details. Validation is done only after user clicks Save.
Links Analysis	20920008	Link Analysis context menu is going off page and user has to scroll to view it.
Unified Metadata Manager	21421824	Java script error occurs when user clicks the online help icon from DQ Rule Summary page.
	21297543	Data Quality Rule Summary grid does not display whether the DQ Rule is defined on Data Source or Infodom.

Component	Bug ID	Description
	21216533	If you are defining Data Quality check on a Data Management Source, only quality check will be done; data correction will not be done since it is an external source. The UI does not restrict to perform any assignments on such DQ rules.
	21422610	Model Upload log file provides incorrect information about indices.
	21178745	From the Object Migration> Restore Metadata, when you click Browse to select the DMP file, the folders are not displayed.
	21229361	Table Logical name is empty for Data File Mapping screen.
	21201150	Show Details/ Data Preview should be available under selected Members tree.

### 3.3 Fixed Issues

The following table lists the fixed issues:

Component	Bug No	Subject
Unified Metadata Manager	21237919	COLUMN NAME ON WHICH MEASURE BUILT IS MISSING IN METADATA BROWSER
	20873646	FORMAT OF PDF DOWNLOADED FROM MDB SCREEN IS NOT PROPER
	19986171	QUERY VALIDATION FAILING WHEN CLICKED ON GENERATE QUERY FOR CUSTOM CHECK
	19435376	REMOVE RLT FROM MAPPING SCREEN FOR FILE EXTRACTS (SysDate and Constant value are supported)
	19429082	IF TABLE LOGICAL NAME IS EMPTY THE UI APPENDS NULL TO IT WHEN U REOPEN ENTITIES
Data Entry Forms and Queries	19786363	'SELECT LIST' DOES NOT WORK IN 'INEDIT OR ADD' IN DEFQ FOR FOREIGN KEY COLUMN
	21339254	NUMBER FORMAT CAUSE EDIT TO FAIL WITH SPECIAL CHARACTER NOT ALLOWED ALERT
	19928860	FILTERS NOT WORKING PROPERLY ON DEFI WHEN EXPORT SELECTED
	19684150	DATA ENTRY SCREEN ALLOWS TO ENTER SPECIAL CHARACTERS IN TABLES USING COPY/PASTE
	20753155	FILTER CONDITION IS MISSING WHEN EXPORTING DATA FROM ENTRY FORM INTO CSV FILE

**OFS BD Application Pack 8.0.1.0.0 Release Notes**

	17568615	CLICKING ON GRID VIEW & THEN COPY IS SHIFTING TO THE RIGHT BY ONE COLUMN.
	19635160	INVALID INPUT FOUND FOR PARAMETER TABLE NAME" ERROR ON CLICKING COLUMN HEADER
	19634971	SEARCH FUNCTIONALITY NOT WORKING WHEN CREATED A FORM WITH TWO TABLE
Dimension Management	18876170	REV_HIER_FLATTENED USE & AS DELIMITER CAUSING BATCH HIERARCHY LOAD OVERLOAD
Operations	19824312	TIMESTAMP(DATE & TIME) REQUIRED IN ICCSERVER LOG
	20605588	BATCH EXECUTION SHOULD THROW PROPER ALERT IF ICCSERVER IS DOWN
Forms Framework	20626675	MASKING ISSUES IN FORMS FRAMEWORK
	20753413	FORM DATASET ENTITIES DOES NOT ALLOW CONFIGURATION OF MORE THAN 4000 CHARACTERS
Metadata such as T2T, F2T, etc	20802601	MESSAGESERVER SHOULD SHOW PROPER LOG IF PASSWORD ABOUT TO EXPIRE
	19689752	F2T LOAD SUCCESSFUL BUT RECEIVED [6601] COULD NOT READ HEADER FILE
	21103110	UNABLE TO F2T WHEN SOURCE IS DEFINED ON A REMOTE SERVER
Preferences	21345344	GLOBAL PREFERENCES: FUNCTIONAL CURRENCY AND SIGNAGE BLANK
Rules Framework	20760953	WHEN ATTEMPTING TO LAUNCH 2 RRF BATCHES IN PARALLEL ORA-00001 IS RECEIVED
	21105097	BACKWARD COMPATIBILITY MISSING FOR WSMRE UTILITY
	17585185	GETTING WEBSERVICEEXCEPTION WHILE EXECUTING WSMRESTARTUP.SH
	20228822	CHANGE OF MERGE WITH PARTITION SWAP
	19610888	MERGE ARE NOT TAKE ADVANTAGE OF PARTITION LOGIC IN CASE QRY_OPT_USE_ROWID=Y
Link Analysis	21176553	NETWORK VISUALIZATION GRAPH IS NOT LOADING (DISPLAYING), ITS THROWING JSP ERROR.
	20754376	LINK ANALYSIS AFTER LOADING THE GRAPH ACKNOWLEDGMENT IS REQUIRED
Install and Upgrade Issues	21220708	MEDIA PACK INSTALLERS ARE NOT VALIDATING ORACLE DATABASE VERSION PRE-REQUISITES
	21168440	PRE-CHECK UTILITY SHOULD VALIDATE THE EXISTENCE OF EN_US.UTF-8 LOCALE
	21052420	SCHEMA CREATOR UTILITY VALIDATION FAILS IF ORACLE SERVER IS ON A WINDOWS MACHINE
	20952939	PORTC.JAR DOES NOT CHANGE PORT TO 443



## 4 Oracle Financial Services Behavior Detection

This chapter includes the following topics:

- [New Features](#)
- [Limitations and Known Issues](#)

### 4.1 New Features

The following new features are supported in this release:

- **Trade Finance Monitoring**

The FSDM Data Model now supports Trade Finance related data, capturing details on various types of contracts involved in the trade finance business and monitoring activities on the contract from the perspective of a customer or other parties involved such as an employee or external organizations. The FSDM captures data of various types of trade finance instruments, such as an import/export letter of credit, guarantee, and import/export documentary collection along with their activity. Various life cycles (such as issuance/booking of a new contract, amendments, cancellations, and closure) of the different trade finance instruments that are accepted are also captured.

- **Extensions of FSDF Staging to FSDM**

The FSDM data model is now further extended and integrated with the Financial Services Data Foundation (FSDF) Staging area to support seamless ingestion of business data relevant to Trading and Broker Compliance behavior detection.

- **Ingestion through AAI ICC Batch**

AAI supports running our Ingestion scripts by creating a batch and selecting the component as “Run Executable”. The following scripts support this functionality:

- mantas\_date.sh
- start\_mantas\_batch.sh
- end\_mantas\_batch
- runDP.sh
- runDL.sh
- execute.sh
- runFDT.sh
- process\_firm\_summary.sh
- process\_market\_summary.sh

- **Schema Unification across KYC, Alert Management, Case Management, CTR and FATCA**

The FSDM Data Model has been updated to reduce the number of distinct schemas created upon installation. This provides for greater efficiencies in maintenance, migration and future upgrades.

The Behavior Detection Applications Pack has been reduced from 13 distinct schemas to only 2 schemas - Mantas and Config.

- **Updates to Account Profile Population**

Account Profile population will now use base FSDM transaction tables rather than the Front Office Transaction and Front Office Transaction Party information. This supports greater flexibility for clients to roll back and re-ingest and re-calculate data for the account profile.

- **New Scenarios**

New scenarios have been added to assist in monitoring trade pricing practices where market data is not readily available.

- The Excessive Markups or Markdowns scenario finds markups or markdowns that do not adhere to internal management or regulatory agency established limits. The markup or markdown is measured by the firm's contemporaneous cost for the security, and not by the published market quotes.
- The Off Market Fair Pricing – Multiple Trade Pairs scenario looks for trades of the firm which are executed away from the price of current market trades for the same security. A trade being away from the market is measured by comparing the cost for the security to contemporaneous market trade activity.

- **Updates to Existing Scenarios**

Enhanced the following scenarios to improve readability and provide greater clarity regarding business logic.

- TC-OffMrktFairPricing
- TC-FrontRunning-fOR
- TC-FrontRunning-fTR

- **Increased Trusted Pair Support for ML and FR Scenarios**

Several Anti-Money Laundering and Fraud scenarios have been updated to add support for Trusted Pairs inclusion or exclusion during behavior detection. Designating pairs of entities as trusted helps to decrease the number of false positive alerts that are generated when the alerting activity is between entities that an institution considers to have a trusted relationship. This functionality has been added to the following scenarios:

- ML-JournalBetUnrelatedAC (AC)

- ML-HRTransHRGeography (AC)
- ML-HRTransHRGeography (EN)
- ML-FTNClientBanks-dCWS (CB)
- FR-JournalBetUnrelatedAC (AC)
- FR-DepWDSameAmts (AC)
- FR-DepWDSameAmts (EN)

▪ **Creation of Batch Alerts using IPE**

This release integrates Oracle Financial Services Analytical Applications In-line Processing Engine (IPE) with Rule-Based detection. IPE is a configurable profiling and score based detection engine which can be used to create simple rules to enhance a firm's ability to monitor internal and external clients as well as various activities such as transactions, trades and orders. IPE executes the defined assessments in Batch mode and FCCM creates an alert through the Alert Generation process.

▪ **Enhancements to Alert Management and Enterprise Case Management**

The Alert Management and Enterprise Case Management User Interface has been updated to provide increased usability and investigation support. The following updates were made in this release:

- This release introduces the Network Analysis tab on the Alert Details page to create ad-hoc networks, and display real-time networking and visualization options for other Scenario alerts which may or may not already have a pre-defined network.
- Network Visualization functionality as utilized by networking scenarios has been updated in this release to improve usability and provide greater detail of relationship information.
- Users can now save advanced search criteria in the Alert and Case Search and List pages as a personal View that will be accessible only to them to help quickly filter for results that meet their specific needs and processes.
- Users can also search for alerts and cases by Action Date.
- Unrelated Party Indicators and IP-Addresses have been added to various transaction building blocks and link pages. Users can choose to expose them using the grid's Field Chooser option.
- The Transaction tab in Enterprise Case Management has been updated to support searching business data for transactions which can be added to a case.
- Supervisors can now update a Case Status without having to first update the Case Type/Subtype.

- Push email notification, such as exists in Alert Management, has been added to Enterprise Case Management. Push email notification allows for clients to specify criteria and content of emails to be generated to owners of cases based on specified events.
- The Account Summary building block now shows aggregations of Remote Deposit Capture (RDC) activity.
- Additional information, such as the triggering Threshold Set Name, is viewable in the Alert List.
- Jurisdiction can now be viewed in the Alert List and Alert Context.

## 4.2 Limitations and Known Issues

The following table lists the Limitation and Known Issues:

Component	Bug ID	Description
Database	19693182	ORA-01795 error while purging Alerts.
	20668259	<p>When Ingestion is run, the following warning messages related to batch and calendar maintenance may display in some logs:</p> <ul style="list-style-type: none"> <li>• <b>WARN CALENDAR_MANAGER - Message 265050:</b> The Calendar name 'SYSCAL' has no Holidays specified.</li> <li>• <b>FATAL BATCH_CONTROL - Message 265032:</b> Some Batch Processes are already running.</li> <li>• <b>WARN FDT - Message 30102:</b> Date 20091213 out of bounds for calendar SYSCA</li> </ul> <p>These messages can be ignored as there is no functional impact.</p>
	21055585	<p>Execution of link analysis jobs in parallel results in error.</p> <p><b>Workaround:</b></p> <p>Run link analysis jobs sequentially.</p>
	21624436	Link jobs will fail and network scenario alerts will not be generated. Network visualization functionality will not work.
Data Ingestion	20309393	BDF ingestion using external directory deletes records in business schema tables.
	21065449	When executed on a RAC database, the following Datamaps

Component	Bug ID	Description
		<p>may fail:</p> <ul style="list-style-type: none"> <li>DerivedEntity_FrontOfficeTransactionPartyUpd</li> <li>DerivedEntity_FrontOfficeTransactionPartyInsert</li> </ul> <p>This failure impacts calculation of highlights for the following scenarios:</p> <ul style="list-style-type: none"> <li>(FR/AC) High Risk Transactions: High Risk Counter Party</li> <li>(FR/AC) Patterns of Funds Transfers: Customers and External Entities</li> <li>(FR/AC) Rapid Movement of Funds - All Activity</li> <li>(FR/CU) Patterns of Funds Transfers: Customers and External Entities</li> <li>(ML/AC) High Risk Transactions: High Risk Counter Party</li> <li>(ML/AC) Patterns of Funds Transfers Between Customers and External Entities</li> <li>(ML/AC) Rapid Movement of Funds - All Activity</li> <li>(ML/AC) Rapid Movement of Funds - Funds Transfers</li> <li>(ML/CU) Patterns of Funds Transfers Between Customers and External Entities</li> <li>(ML/EN) High Risk Transactions - High Risk Counter Party</li> <li>(ML/EN) Large Reportable Transactions</li> </ul>
Utilities	20278477	JAVA.SQL.SQL Exception is thrown while loading scenarios. This error can be ignored as scenarios will load successfully.
User Interface	19641527	Cases not getting purged in the Purge Utility.
	20093006	The Add Case Entities action fails when there are multiple cases with the same CREATE_TS.
	20113418	Cross-scripting error displayed on Internet Explorer. This issue is seen when the user navigates from the Home page or Alert List page to the Details page and then to the Business tab.
	20307421	Documents uploaded via DIS load in the Customer Identification Document file do not display in the UI properly.

Component	Bug ID	Description
	20436259	If the user selects View as their preferred search option, their selection for a specific view in Set View for Case List in the Preference page is not being saved and shown on the Case Search and List Page.
	20443807	When changing any value for the Email parameter in the Manage Parameters window the changes made are not being saved.
	20449906	When copying large text content into the Narrative tab, content is not saved if the content includes ";" and the word "script" in combination with one another.
	21120821	While accessing the UI, the system out log shows a number of exception errors. These messages can be ignored as there is no functional impact.
	21422647	<p>Details are not displayed in the following pop-up windows:</p> <ul style="list-style-type: none"> <li>• Security details pop-up of Manage Security Restrictions</li> <li>• Security Details pop-up of Manage Controlling Customers grid</li> <li>• Trade Details in Trade Blotter Trade grid</li> </ul> <p>This is an OFSAAI bug.</p>
	21746469	On the Case Details page, click Edit. The Edit window is displayed and Status drop-down is activated. This does not show all valid values for a Case type of AML and subtype Due Diligence.
	21318704	<p>Unable to start Scenario Wizard consistently from WebLogic Console.</p> <p><b>Workaround:</b></p> <p>To proceed, either start the server from backend.</p> <p>OR</p> <p>Select the application and click on <b>Update</b>.</p> <p>OR</p> <p>Select the application and Start by selecting <b>Start -&gt; Servicing all Requests</b>. If the application fails to start, redo Step 3.</p>

Component	Bug ID	Description
	21901214	Admin user will not be able to Create/Edit/Delete a process under Run Rule Framework. <b>Workaround:</b> Delete the json-rpc-1.0.jar from WEB-INF/lib path of deployed area and restart the web server.
Workflow	21374235	KYC Real Time On boarding Risk Assessment Details show a junk value " <i>Consolidated</i> " in the Actual Value column.

### 4.3 Fixed Issues

The following table lists the fixed issues:

Component	Sub component	Bug ID	Description
Data Base		20215462	The Original Account Number column (V_ORIGINAL_ACCOUNT_NUMBER) should be added to the stg_trading_account and stg_correspondent_account tables.
Installer	BD Installer	21090742	BD installer throws an error if FSDF is already installed. It detects the already installed FSDF DB user ID and the NullPointerException is thrown.
User Interface	Alert Management	17051245	Clients should be able to customize display of threshold names on the Alert List, to help identify threshold set names quickly if they have multiple thresholds per scenario.
		19369042	When multiple alerts are related to a single alert in the Relationship tab, the alerts related to the open alert are repeated.
		20886931	When watch list scan is initiated from Enhance Due Diligence tab of KYC, the matched details are not fetched.
		21374383	In KYC, when Watch List service is initiated it may return a 0% match under some circumstances.



## 5 Hardware/Software Tech Stack Details

The hardware/software combinations required for OFS BD 8.0.1.0.0 are available at [OTN Tech Stack](#). Refer to **OFSAA 8.0.1.0.0** hardware software requirements.

## 6 Information of third party software tools used

The information on Third Party software tools used in OFS Behavior Detection 8.0.1.0.0, is available in the OFSAA Licensing Information User Manual, at the [OTN Documentation Library](#).

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Spring-3.1.1.RELEASE

jersey-bundle-1.6.jar

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Oracle Financial Services Behavior Detection Applications Pack 8.0.1.0.0 Release Notes

July 2015

Version number 1.0

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