

# **Oracle Financial Services Behavior Detection**

**User Guide**

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## Oracle Financial Services Behavior Detection

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# Document Control

**Table 1: Revision History**

| Date      | Edition                    | Description   |
|-----------|----------------------------|---|
| July 2021 | First edition of 8.1.1.0.0 | There are no content changes to this guide in this release. |

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## o About this Guide

This guide explains the concepts of Oracle Financial Services Behavior Detection application and provides step-by-step instructions for navigating the Oracle Financial Services web pages, analyzing cases, and researching the business information.

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](#)

### o.1 Who Should Use this Guide

This guide is designed for the following users:

- **Analyst:** This user works on the alerts within the application frequently. This user's specific role (that is, Analyst I, Analyst II, or Analyst III) determines what they can view and perform within the application.
- **Supervisor:** This user works on the alerts within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.
- **Executive:** This user may not be involved in the day-to-day analysis of alerts. However, they can view many areas within the application and can perform only a limited set of actions.
- **Auditor:** This user has broad viewing rights within the application. However, user can perform a limited set of actions based on their role (that is, Internal Auditor or External Auditor).

### o.2 How this Guide is Organized

#### NOTE

With the release of Behavior Detection Framework (BDF) 8.0.5, dispositioning alerts through Alert Management (AM) is no longer supported. AM is only applicable to Trading Compliance and Broker Compliance. For AML and Fraud alerts, the Event Correlation module in Enterprise Case Management (ECM) should be used to correlate events from the FCCM Behavior Detection engine or those ingested from external applications. AM can be used as read-only for viewing historical alerts but it is not to be used for investigating alerts, taking action on alerts, editing alerts and/or promoting alerts to a case. The manual Promote to Case functionality is no longer supported. Customers are to use ECM for reviewing and investigating alerts. A restricted use license of ECM is provided with the BDF license which replicates the functionality available in AM to the best that is currently available within ECM. Implementations should use event correlation to move Alerts from BDF into ECM and then use alert correlation/promote to a case where all levels of investigation can occur. If this updated process is not clear to your implementation team it is advised that you contact Oracle Partner Network or Oracle Consulting to be trained.

The *Behavior Detection User Guide* includes the following chapters:

- [Chapter 1, About Behavior Detection](#), provides an overview of the Behavior Detection application, how it works, and what it does.
- [Chapter 2, Getting Started](#), explains common elements of the interface. includes instructions on how to configure your system, access Behavior Detection, and exit the application.

- [Chapter 3, Managing Trade Blotter](#), provides instructions on managing trades, primarily for suitability issues.
- [Chapter 4, Managing Controlling Customers](#), describes how to view existing or historical data, update certain components of the controlling customer, and delete existing controlling customers.
- [Chapter 5, Managing Security Restrictions](#), explains securities restriction features providing a way to search for existing trading restrictions on different securities based on user-specified search parameters.
- [Chapter 6, Researching Business Data](#), describes how to use the Oracle Financial Services Research workflow to search for and inquire about a specific focus type and its related information.
- [Chapter 7, Managing Watch List Management](#), describes the Oracle Financial Services Watch List Management feature.
- [Chapter 8, Setting User Preferences](#), explains how to setup Oracle Financial Services Behavior Detection preferences.
- [Appendix A, Alert Components and Tables](#), provides the additional information on various components and tables of Behavior Detection.
- [Appendix B, Business Tabs](#), identifies the possible business tab pages that the Oracle Financial Services application displays for a specific scenario class and focus type.
- [Appendix C, Using Behavior Detection UI](#), explains common elements of the interface.
- [Appendix D, Security within OFSAAI](#), explains how Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) security is used.
- [Appendix E, Calculating Risk](#), describes how Oracle Financial Services Behavior Detection application uses risk calculations as part of managing sensitivity when detecting behaviors of interest.
- [Appendix F, Trade Blotter List Component Matrix](#), lists trade blotter components in the Oracle Financial Services Behavior Detection application.

## 0.3 Where to Find More Information

For more information about Oracle Financial Services Behavior Detection, refer to the following documents:

- Administration Guide
- Administration Tools User Guide
- Configuration Guide
- Data Interface Specification (DIS)
- Financial Services Data Model Reference Guides
- Scenario Manager User Guide
- Scenario Wizard Configuration Guide
- Installation Guide
- Anti-Money Laundering Technical Scenario Descriptions
- Trading Compliance Technical Scenario Descriptions

- Fraud Technical Scenario Descriptions
- Broker Compliance Technical Scenario Descriptions
- Glossary
- Release Notes
- Readme

These documents are available at the following link:

[http://docs.oracle.com/cd/E60570\\_01/homepage.htm](http://docs.oracle.com/cd/E60570_01/homepage.htm)

To find more information about Oracle Financial Services and our complete product line, visit our Web site [www.oracle.com/financialservices](http://www.oracle.com/financialservices).

The following are the list of documents to be referred for KYC Installation:

- **Administration Guide 8.1.1.0.0** (Refer Chapters 2 to 10)
- **Risk Assessment Guide 8.1.1.0.0** (Refer Chapters 2 to 7)
- **Installation Guide 8.1.1.0.0** (Refer Chapters 2.2, 5.4.1.2, 6,7.1.3.1, 7.2, 7.2.1, 7.9, 7.11, 7.12, 7.13, 7.14, 7.15, and 7.16)
- **Service Guide 8.1.1.0.0**
- **API Data Element guide 8.1.1.0.0**
- **Utility guide 8.1.1.0.0**

## 0.4 Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

**Table 1: Conventions Used in this Guide**

| This convention . . . | Stands for . . .   |
|-----------------------|--|
| <i>Italics</i>        | <ul style="list-style-type: none"> <li>• Names of books as references</li> <li>• Emphasis</li> <li>• Substitute input values</li> </ul>  |
| <b>Bold</b>           | <ul style="list-style-type: none"> <li>• Menu names, field names, options, button names</li> <li>• Commands typed at a prompt</li> <li>• User input</li> </ul>   |
| Monospace             | <ul style="list-style-type: none"> <li>• Directories and subdirectories</li> <li>• File names and extensions</li> <li>• Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li> </ul> |
| <Variable>            | Substitute input value   |



# 1 About Behavior Detection

This chapter gives an overview of the Behavior Detection application and discusses the following topics:

- [Overview of Behavior Detection](#)
- [Data Loading and Processing](#)
- [Behavior Detection \(BD\)](#)
- [Post Processing](#)
- [Ingesting Trusted Pairs](#)
- [Trade Blotter](#)
- [Controlling Customer](#)
- [Security Restriction](#)
- [Watch List Management](#)
- [User Privileges](#)

## 1.1 Overview of Behavior Detection

Oracle Financial Services Behavior Detection application detects potentially problematic behaviors by identifying patterns in data and generating alerts. An alert is a unit of work in which a focus appears to have exhibited a behavior of interest, along with the supporting information. A focus represents a business entity or business unit around which activity is reviewed and aggregated. There are many supported types of focus, ranging from Account or Customer to Order, Execution or Trade, depending on the behavior of interest. Alerts can be generated from a pattern matching specific source events, a sequence of events, trends, conditions, or context. An alert is not necessarily tied to an event, but rather to the behavior of a focus. An alert is a record of one or more pattern matches in a detection run, which is a signal for further investigation.

## 1.2 Data Loading and Processing

The Oracle Financial Services Ingestion Manager receives, transforms, and loads Market data, Business data (such as, Transactions or Orders and Trades), and Reference data (such as Account, Customer, and Employee information) from Common Staging Area or Flat File Interface that alert detection processing requires. The Data Ingestion subsystem transforms Market, Business, and Reference data to create derived attributes that the detection algorithms require (much of the loaded data is as is). The system extracts and transforms data and subsequently loads the data into the Financial Services Data Model (FSDM). After loading the base tables, the Oracle client's job scheduling system invokes Behavior Detection (BD) datamap XML to derive and aggregate data. The Data Ingestion component also uses the Fuzzy Name Matcher Utility to compare names found in the source data with names in the Watch List.

An Oracle client implements the Ingestion Manager by setting up a batch process that conforms to the general flow that this chapter describes. Typically, the system uses a job scheduling tool such as Analytical Application Infrastructure (AAI) Scheduler to control the batch processing of the Ingestion Manager.

## 1.3 Behavior Detection (BD)

Oracle Financial Services Behavior Detection uses sophisticated pattern recognition techniques to identify behaviors of interest, or scenarios, that are indicative of potentially interesting behavior. A pattern is a specific set of detection logic and match generation criteria for a particular type of behavior. These behaviors can take multiple representations in a firm's data.

The software detects behavior that matches the logic and criteria defined by specific patterns. When one or more data records equal a scenario's pattern of behavior, a match is created. Records that contribute to the exhibition of the behavior are associated to the match as matched records are displayed in the Oracle Financial Services Behavior Detection as building blocks. The entity that is responsible for the behavior of interest is considered the focus of the match. Examples of focus types are account, execution, correspondent bank, and employee.

Oracle Financial Services Behavior Detection generates an alert to package one or more matches for analysis and action. If multiple matches are found that are closely related to the same focus (that is, instances of similar behaviors by the same entity), the matches can be combined to create a single alert, herein referred to as a multi-match alert, to help the analysis of the found behaviors.

Scenarios representing related business problems are grouped into scenario classes. Scenario classes are categories of behaviors or situations that have common underlying characteristics.

Depending on your deployment, one or more of the following solution sets are available: Anti-Money Laundering (AML) Fraud (FR), Trading Compliance (TC), Currency Transaction Reporting (CTR) and Broker Compliance (BC).

### 1.3.1 Scenarios

The Oracle Financial Services Behavior Detection modules are divided into scenarios that typify specific types of business problems or activities of interest. The scenarios within Oracle Financial Services Behavior Detection are grouped into scenario classes that represent categories of behaviors or situations that have common underlying characteristics.

## 1.4 Post Processing

During post-processing of detection results, Behavior Detection prepares the detection results for presentation to users depending on the following processes:

- **Augmentation:** Collects additional information related to the matched behavior and focus for pattern detection, which enables proper display or analysis of the generated matches.
- **Match Scoring:** Computes a ranking for scenario matches indicating a degree of risk associated with the detected event or behavior.
- **Alert Creation:** Packages the scenario matches as units of work (alerts), potentially grouping similar matches together, for disposition by end users. This is applicable when multiple matches with distinct scores are grouped into a single alert.
- **Update Alert Financial Data:** Records additional data for alerts such as the related Investment Advisor or Security involved in the alert which can be useful for display and analysis.
- **Alert Scoring:** Ranks the alerts (including each match within the alerts) to indicate the degree of risk associated with the detected event or behavior.
- **Highlight Generation:** Generates highlights for alerts that appear in the alert list of the Behavior Detection subsystem and stores them in the database.

- **Augment Trade Blotter:** Provides the ability to differentiate between various types of trades using text-based codes. It also provides the ability to flag trades that require additional analysis before an analyst can mark trade as Reviewed or Reviewed with Follow up.
- **Score Trade Blotter:** Determines the maximum score of alerts generated in the same batch cycle associated with a trade; also determines the alert/trade mappings.
- **Historical Data Copy:** Identifies the records against which the current batch's scenario runs generated alerts and copies them to archive tables. This displays a snapshot of information as of the time the alert behavior was detected.

## 1.5 Ingesting Trusted Pairs

Trusted Pairs can be designated by Oracle clients providing trusted pairs via the Data Interface Specification (DIS) file.

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. During the process of ingesting transactional information (Wires, Checks and Monetary Instruments, Back Office Transactions and Insurance Transactions), the Oracle Financial Services Behavior Detection ingestion process flags a transaction as trusted if at least one party/counterparty pair on the transaction is considered to be a trusted pairs. These transactions can be optionally excluded from detection for many ML, IML, and FR class scenarios (through the use of a threshold parameter), thus reducing the number of false positives where alerts are generated on activity between parties trusted to do business with one another. As the relationship between a pair of entities is marked trusted for some period of time and is excluded from the process of behavior detection, the workload of an analyst can be greatly reduced. If the decision is made to not exclude trusted transactions from detection, alerts involving trusted transactions display information regarding the percent of the alert's transactions that involve trusted pairs versus transactions that do not involve trusted pairs.

## 1.6 Trade Blotter

The Trade Blotter functionality 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 is executed. Trade Blotter trades can or can not be associated with an alert. You can access Trade Blotter only if the Trade Blotter functionality is enabled at installation and you have the appropriate permissions to do so.

Trade Blotter provides a list of trades returned after a search based on specified criteria. An analyst or supervisor can view various trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as Reviewed or Reviewed with Follow-up. See [Chapter 3, Managing Trade Blotter](#), for more information.

## 1.7 Controlling Customer

The Manage Controlling Customers provides a way to search and manage customer relationships. A Controlling Customer is a customer in a company represented by a specific security. A customer can have a controlling position in more than one security. Controlling customer relationships are considered by some Oracle Financial Services Behavior Detection scenarios during alert generation.

Through the Manage Controlling Customers UI, you can view existing or historical controlling customers, update certain components or delete the controlling customer. In addition, it enables you to establish new controlling customers. This UI is only available if your firm has enabled Manage

Controlling Customers during installation. See [Chapter 4, Managing Controlling Customers](#), for more information.

## 1.8 Security Restriction

The Manage Securities Restriction 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 and establish new security trading restriction conditions.

A security restriction sets the conditions related to restriction on trading of specific securities. Oracle Financial Services Behavior Detection uses this information to generate alerts on suspicious trading behavior involving these restricted securities. This UI is only available if your firm has enabled Manage Security Restriction during installation. See [Chapter 5, Managing Security Restrictions](#), for more information.

## 1.9 Watch List Management

The Watch List Management feature allows watch lists to be added, updated and deactivated. You can also add and deactivate watch list members. A watch list is a list of entries that have known risk characteristics. Watch lists can represent public sources or can be created and managed internally by the institution. Common public sources for watch lists include Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF). Watch lists are associated with a score. See [Chapter 7, Managing Watch List Management](#), for more information.

For watch lists that can be categorized as risk lists, (lists that contain entries considered to pose a risk to your firm), a risk score is assigned based on increasing risk, usually on a scale of 1 to 10. Watch lists can also be used to designate trusted or exempted entities. Watch lists play an important role in behavior detection for Anti-Money Laundering and Fraud behaviors. See [Appendix E, Calculating Risk](#),.

## 1.10 User Privileges

Oracle Financial Services Behavior Detection allows different types of roles to access the Behavior Detection UI. The various roles are: Analyst I, Analyst II, Analyst III, Supervisor, Executive, Internal Auditor, External Auditor, Data Miner, Oracle Administrator, and WLM Supervisor.



## 2 Getting Started

This chapter provides step-by-step instruction to login to the Behavior Detection System and different features of the Oracle Financial Services Analytical Applications (OFSAA) Application page.

This chapter discusses the following topics:

- [Accessing OFSAA Applications](#)
- [Changing the Password](#)

### 2.1 Accessing OFSAA Applications

Access to the Oracle Financial Services Behavior Detection application depends on the Internet or Intranet environment. Oracle Financial Services Behavior Detection is accessed through Microsoft Internet Explorer (IE). Your system administrator provides the intranet address uniform resource locator (URL).

Your system administrator provides you with a User ID and Password. Login to the application through the Login page. You are prompted to change your password on your first login. You can change your password whenever required by logging in. For more information, see the [Changing the Password](#) section.

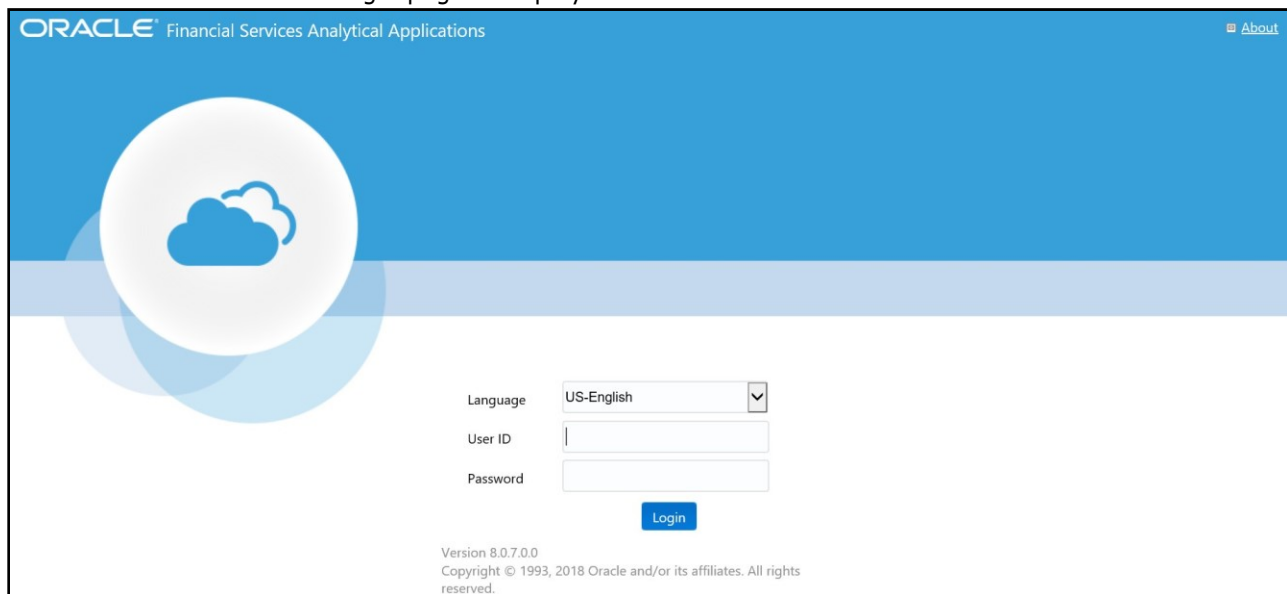
To access the Oracle Financial Services Analytical Applications, follow these steps:

1. Enter the URL into your browser using the following format:

```
<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/  
login.jsp
```

For example: `https://myserver:9080/ofsaapp/login.jsp`

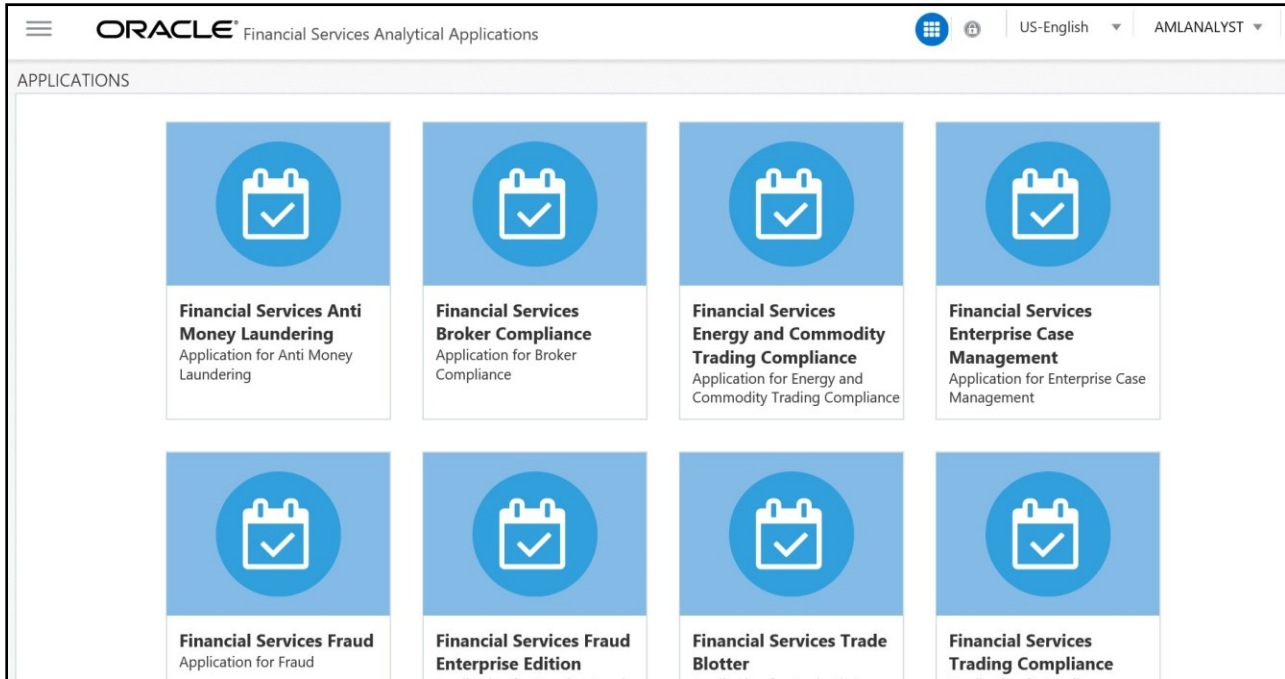
The OFSAA Login page is displayed.



**Figure 1: OFSAA Login page**

2. Enter your User ID and Password in the respective fields.

3. Click **Login**. The Oracle Financial Services Analytical Applications page is displayed.



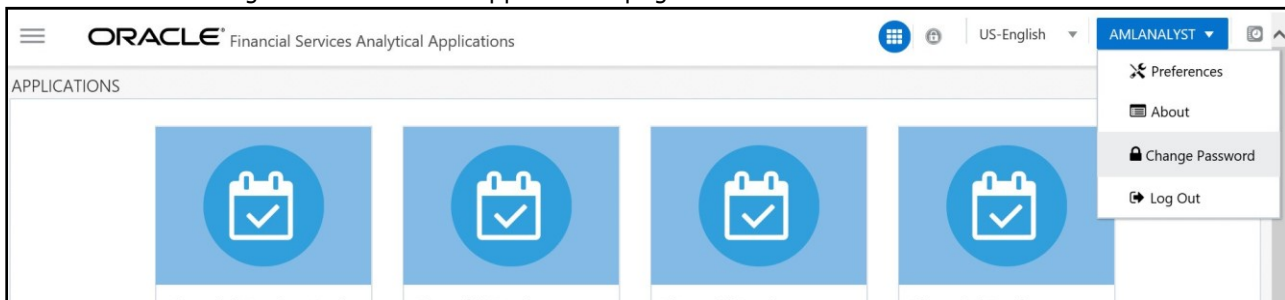
**Figure 2: Oracle Financial Services Analytical Applications page**

The Oracle Financial Services Analytical Applications page is a common landing page for all users until a preferred application page is set. For more information about how to set your preferred application page, see [Chapter 5, Managing Security Restrictions](#). You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.

## 2.2 Changing the Password

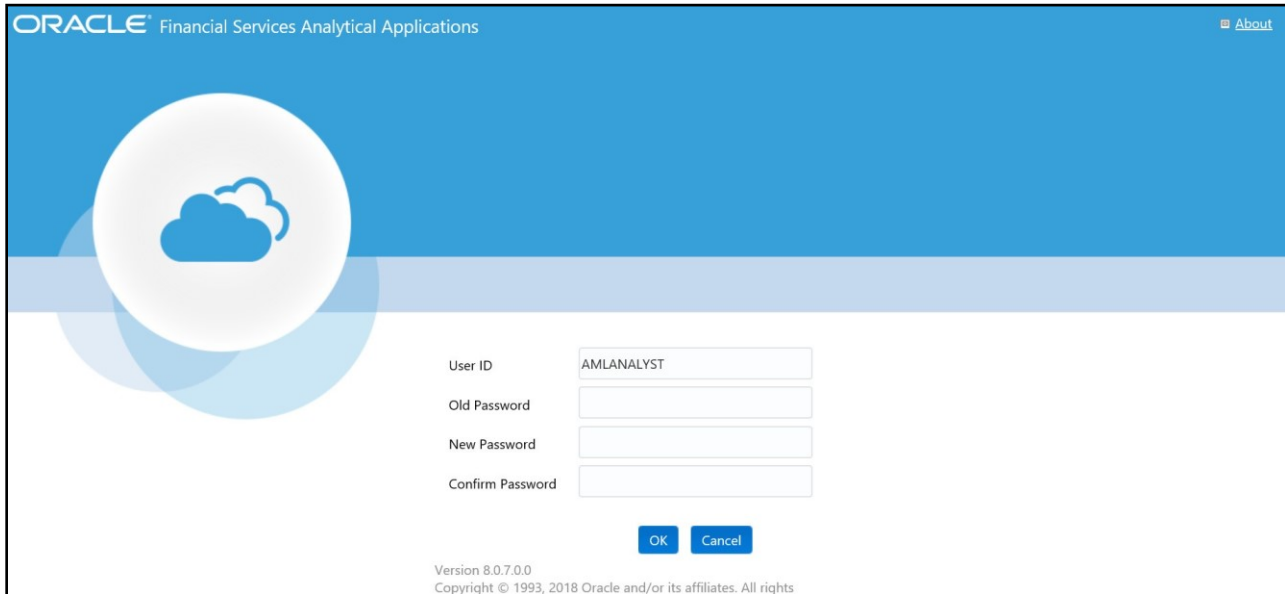
For security purposes, you can change the password. To change the password, follow these steps:

1. Navigate to the OFSAA Applications page.



**Figure 3: Change Password**

2. Click the User drop-down list and select **Change Password**. The Password Change page is displayed.



The screenshot shows the Oracle Financial Services Analytical Applications interface. At the top left, it says "ORACLE Financial Services Analytical Applications" with an "About" link on the right. A large circular icon with a cloud is on the left. The main form has four input fields: "User ID" (containing "AMLANALYST"), "Old Password", "New Password", and "Confirm Password". Below the fields are "OK" and "Cancel" buttons. At the bottom, it says "Version 8.0.7.0.0" and "Copyright © 1993, 2018 Oracle and/or its affiliates. All rights reserved."

**Figure 4: Change Password**

3. Enter your old and new password in the respective fields.
4. Click **OK**. Your password is changed successfully. The application navigates back to the Login page where you can login with the new password.

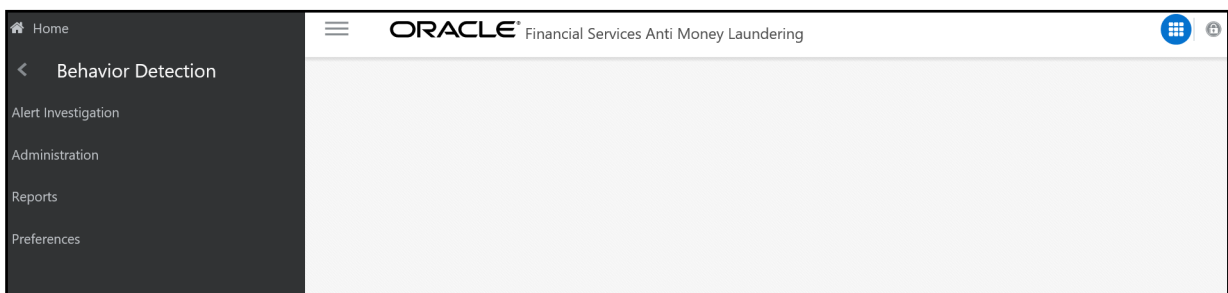
**NOTE** Your password is case sensitive. If you have problems with the password, verify that the Caps Lock key is off. If the problem persists, contact your system administrator.

## 2.2.1 Selecting Applications

The OFSAA Application page has multiple links to OFSAA Infrastructure and Application modules. The links are enabled depending on your user role and the OFSAA Application you select.

To access Behavior Detection applications, such as the Anti Money Laundering application, follow these steps:

1. Navigate to the OFSAA Applications home page.
2. Select **Financial Services Anti Money Laundering**. The Behavior Detection Anti Money Laundering page opens.



**Figure 5: Behavior Detection Anti Money Laundering page**

3. Click **Behavior Detection** to expand the menu, then select **Alert Investigation**. The Alert Search and List Page is displayed.

## 3 Managing Trade Blotter

This chapter describes the Trade Blotter functionality and gives step-by-step instructions for using it.

The following topics are covered in this chapter:

- [About Trade Blotter](#)
- [Key Features](#)
- [User Roles and Actions](#)
- [Trade Blotter Workflow](#)
- [Accessing Trade Blotter](#)
- [Searching Trades](#)
- [Viewing and Changing the Status of a Trade](#)
- [Locking and Unlocking a Trade](#)
- [Adding Comments on a Trade](#)
- [Adding an Attachment to a Trade](#)
- [Exporting Trades to Excel](#)
- [Sending an Email on a Trade](#)

### 3.1 About Trade Blotter

The Trade Blotter functionality allows trades to be viewed and reviewed, primarily for suitability issues within the wealth management sector, by compliance analysts and business supervisors after a trade is executed. The Trade Blotter is a list of trades returned after a search based on specified criteria. An analyst or supervisor can view various trade details, view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or reviewed with follow-up.

## 3 Key Features

The Behavior Detection UI allows you to perform the following actions:

- Search for trades using the specified criteria
- View the trade details
- Enter comments on the specified trade and mark the trade as reviewed or reviewed w/follow-up.
- Export and email trades

### 3.1 User Roles and Actions

This section describes various user roles and actions they can perform in the Trade Blotter workflow.

The following table details the user roles and actions in the Trade Blotter workflow:

**Table 1: Trade Blotter User Roles and Privileges**

| User Actions<br>Privileges   | User Roles |            |             |            |           |                  |                  |            |                  |                |
|--|------------|------------|-------------|------------|-----------|------------------|------------------|------------|------------------|----------------|
|  | Analyst I  | Analyst II | Analyst III | Supervisor | Executive | Internal Auditor | External Auditor | Data Miner | AM Administrator | WLM Supervisor |
| Access to View Trades in "Reviewed" status (This controls user's access to trades that are in the Reviewed status)                               |            |            | X           | X          | X         | X                |                  |            |                  |                |
| Access to View Trades in "New- Un reviewed" status (This controls user's access to trades that are in the Pending status)                        |            |            | X           | X          | X         | X                |                  |            |                  |                |
| Access to View Trades in "Reviewed with Follow-Up" status (This controls user's access to trades that are in the Reviewed with Follow-Up status) |            |            | X           | X          | X         | X                |                  |            |                  |                |
| Access to mark a trade as a "Reviewed" Trade (when the existing trade review status is "New- Un reviewed")                                       |            |            | X           | X          |           |                  |                  |            |                  |                |
| Access to mark a trade as a "Reviewed with Follow-Up" Trade (when the existing trade review status is "New- Un reviewed")                        |            |            | X           | X          |           |                  |                  |            |                  |                |
| Access to Add Attachments to Trades  |            |            | X           | X          |           |                  |                  |            |                  |                |
| Access to Add Comments to Trades   |            |            | X           | X          |           |                  |                  |            |                  |                |
| Access to View Trade Attachments Audit History, Comment Audit History and Trade Action History   |            |            | X           | X          |           | X                |                  |            |                  |                |
| Access to mark a trade as a Reviewed Trade (when the existing trade review status is Reviewed with Follow-Up)                                    |            |            |             | X          |           |                  |                  |            |                  |                |
| Access to mark a trade as a Reviewed with Follow-Up Trade (when the existing trade review status is Reviewed)                                    |            |            |             | X          |           |                  |                  |            |                  |                |
| Access to Send email via Trade Blotter   |            |            | X           | X          |           |                  |                  |            |                  |                |
| Access to Send email and Request a Response via Trade Blotter  |            |            | X           | X          |           |                  |                  |            |                  |                |

## 3.2 Trade Blotter Workflow

The following figure shows the Trade Blotter workflow:

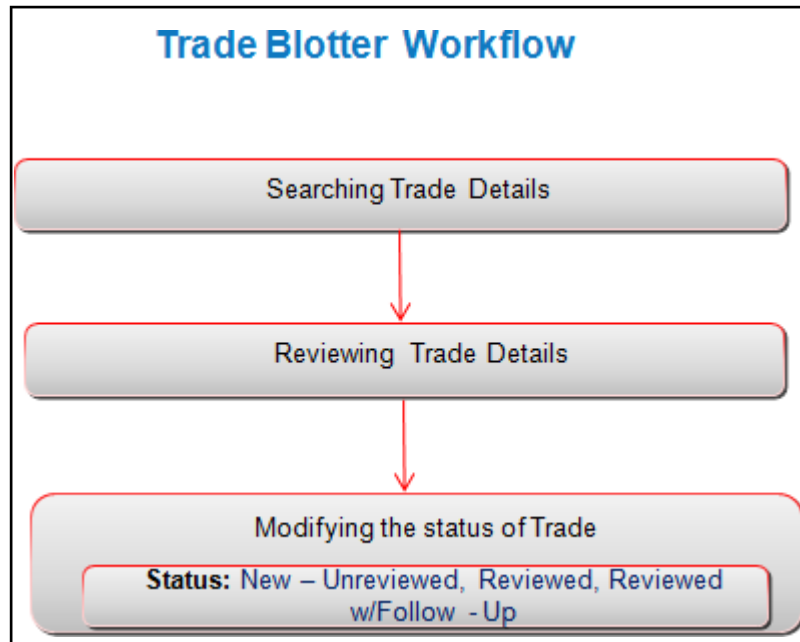


Figure 1: Trade Blotter Workflow

### 3.3 Accessing Trade Blotter

This section explains how to access the Trade Blotter page. The page is available only if the Trade Blotter functionality is enabled at installation and you have the appropriate permissions to view it. You can set the Trade Blotter default search page from your Oracle Financial Services Behavior Detection UI.

To access the Trade Blotter page, follow these steps:

1. Navigate to the OFSAA Applications Home page. For more information, see [Chapter 2, Getting Started](#).
2. Click **Trade Blotter** in the RHS menu. The **Trade Blotter** page is displayed.

### 3.4 Searching Trades

The Trade Blotter page contains the Simple Search section and the Advanced Search section.

#### 3.4.1 Searching Trades Using Simple Search

Simple search enables you to search for information about a trade based on the criteria that you have selected within this search bar. This search is based on a limited set of search components.

| Trade Date                          | Status                 | Score | Trade Characteristics | Alerts               | Rep/Advisor     | Client       | Account ID   | Product Category |          |
|-------------------------------------|------------------------|-------|-----------------------|----------------------|-----------------|--------------|--------------|------------------|----------|
| <input type="checkbox"/> 12/08/2015 | Reviewed w/Follow - Up | 0     | --                    | 2                    | CASE ANALYST3   | --           | ACTRDBLT0011 | Equity           | SECTRDBL |
| <input type="checkbox"/> 12/08/2015 | Reviewed w/Follow - Up | 0     | --                    | <a href="#">5978</a> | CASE SUPERVISOR | ANIE JACKSON | ACTRDBLT0011 | Option           | SECTRDBL |
| <input type="checkbox"/> 12/08/2015 | Reviewed w/Follow - Up | 0     | --                    | <a href="#">5978</a> | CASE SUPERVISOR | ANIE JACKSON | ACTRDBLT0011 | Option           | SECTRDBL |
| <input type="checkbox"/> 12/08/2015 | Reviewed               | 0     | --                    | <a href="#">5978</a> | CASE SUPERVISOR | ANIE JACKSON | ACTRDBLT0011 | Option           | SECTRDBL |
| <input type="checkbox"/> 12/08/2015 | Reviewed               | 0     | --                    | 12                   | CASE SUPERVISOR | ANIE JACKSON | ACTRDBLT0011 | Option           | SECTRDBL |
| <input type="checkbox"/> 12/08/2015 | Reviewed               | 0     | --                    | <a href="#">5978</a> | CASE SUPERVISOR | ANIE JACKSON | ACTRDBLT0011 | Option           | SECTRDBL |

**Figure 2: Trade Blotter Simple Search**

Simple search is set as a default search. When the user navigates to the Preferences page for the first time, Simple search will be selected. This search supports a wildcard search.

You can access Simple Search from the Trade Blotter Home page.

**NOTE** You can navigate back to Simple search from the Advanced Search page by clicking the Search icon.

To search for trades using the Simple search components, follow these steps:

1. Navigate to the Trade Blotter Search and List page.
2. Enter the following information:

**Table 2: Simple Search Components**

| Criteria      | Description  |
|---------------|--|
| Review Status | This is a default search. Filters the Trade List by the trade review status. Following are the options available: <ul style="list-style-type: none"> <li>• New - Unreviewed: Displays trades that are in New or unreviewed status.</li> <li>• Reviewed: Displays trades that are in the Reviewed status.</li> <li>• Reviewed w/Follow - Up: Displays trades that are in the Reviewed with Follow-up status.</li> </ul> |
| Organization  | Filters the Trade List by the names of organizations to which you have access.   |



**Table 2: Simple Search Components**

| Criteria            | Description   |
|---------------------|---|
| Division            | Filters the Trade List by the division names within an organization to which you have access.   |
| Branch              | Filters the Trade List by the branch names within a division to which you have access.  |
| Rep/Advisor Name    | Filters the Trade List by the name of the registered Representative or the Advisor associated with the trade.   |
| Rep/Advisor ID      | Filters the Trade List by the identifier of the registered Representative or the Advisor associated with the trade.   |
| Buy/Sell            | Filters the Trade List by whether the trader is buying or selling the security. You can select either <i>Yes</i> or <i>No</i> from the drop-down list.                            |
| Client              | Filters the Trade List by the names of the clients who placed the orders.   |
| Client ID           | Filters the Trade List by the identifiers of the clients who placed the orders.   |
| Solicited           | Filters the Trade List by whether the client of the Oracle Financial Services client solicited this order. You can select either <i>Yes</i> or <i>No</i> from the drop-down list. |
| Account             | Filters the Trade List by the name associated with the account that is associated with the trade.   |
| Account ID          | Filters the Trade List by the identifier associated with the account that is associated with the trade.   |
| Associated Alert ID | Filters the Trade List by the trade or trades associated with the entered alert identifier or identifiers.  |
| Security Short Name | Filters the Trade List by the short names of the securities that were traded.   |
| Security ID         | Filters the Trade List by the identifiers of the securities that were traded.   |
| Trade ID            | Filters the Trade List by the trade IDs that you enter.   |
| Trade Date From     | Filters the Trade List by the beginning trade execution date against which the data is being filtered.  |
| To                  | Filters the Trade List by the ending trade execution date against which the data is filtered.   |

1. Click **Go** on the **Search** toolbar. The updated Trade Blotter list page is displayed.

The Trade List section enables you to view details about the trades and lets you to take various actions, depending on the user access.

#### **3.4.1.0.1 Logic to include trades based on a user's selection in the filters, Organization, Division, and Branch:**

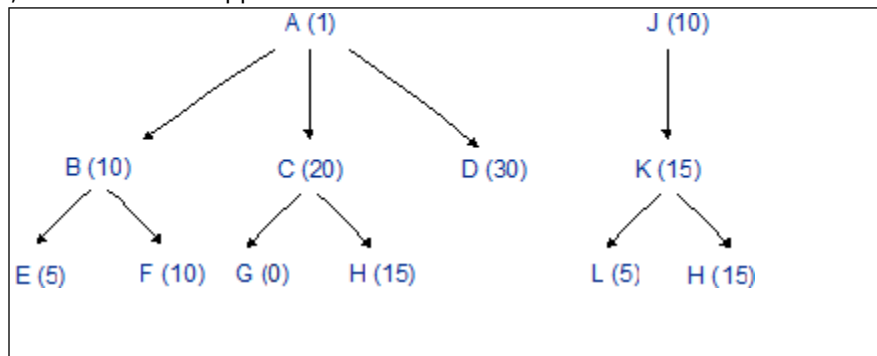
The system includes trades under the following three conditions:

1. When only an Organization is selected, trades are included from:
  - Selected Organization
  - All Divisions mapped to the selected Organization
  - All Branches mapped to the selected Divisions
2. When only an Organization and a Division is selected, trades are included from:
  - Selected Organization
  - Selected Division
  - All Branches mapped to the selected Division
3. When an Organization and a Division and a Branch is selected, trades are included from:
  - Selected Organization
  - Selected Division
  - Selected Branch

**Example Hierarchy:**

In the following diagram:

- A = Organization
- B,C,D = Divisions mapped to Organization A
- E,F = Branches mapped to Division B
- G,H = Branches mapped to Division C



The following table explains how the system selects trades based on a user's selection in these three filters:

**Table 3:**

| User Selection<br>(Organization), (Division),<br>(Branch) | Included in Search | Number of Trades Displayed on UI |
|---|--------------------|----------------------------------|
| (A)   | A,B,C,D,E,F,G,H    | 91                               |
| (A), (B,C,D)  | A,B,C,D,E,F,G,H    | 91                               |
| (A), (B)  | A,B,E,F            | 26                               |
| (A), (B), (E,F)   | A,B,E,F            | 26                               |
| (A), (B), (E)   | A,B,E              | 16                               |

**Table 3:**

| User Selection<br>(Organization), (Division),<br>(Branch) | Included in Search | Number of Trades Displayed on UI |
|---|--------------------|----------------------------------|
| (A), (B), (F)   | A,B,F              | 21                               |
| (A), (C)  | A,C,G,H            | 36                               |
| (A), (C), (G,H)   | A,C,G,H            | 36                               |
| (A), (C), (H)   | A,C,H              | 36                               |
| (A), (C), (G)   | A,C,G              | 21                               |
| (A), (B,C)  | A,B,E,F,C,G,H      | 61                               |
| (A),(B,C), (E,F,G,H)                                      | A,B,E,F,C,G,H      | 61                               |
| (A), (B,C), (F)   | A,B,F,C,G,H        | 56                               |
| (A), (B,C),(F,H)  | A,B,F,C,H          | 56                               |
| (A), (C,D)  | A,C,G,H,D          | 66                               |
| (A), (C,D), (G)   | A,C,D,G            | 51                               |
| (A), (D)  | A,D                | 31                               |

### 3.4.2 Searching Trades using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search with an additional set of fields.

Search Search Reset Go

Review Status: Reviewed, Reviewed w/Follow - Up

Organization: [Dropdown] Division: [Dropdown] Branch: [Dropdown]

Rep/Advisor Name: [Text] Rep/Advisor ID: [Text] Buy/Sell: [Dropdown]

Client: [Text] Client ID: [Text] Solicited: [Dropdown]

Account: [Text] Account ID: [Text] Associated Alert ID: [Text]

Security Short Name: [Text] Security ID: [Text] Trade ID: [Text]

Trade Date From: [Text] To: [Text]

**Trade**

Settlement Date From: [Text] To: [Text]

Trade Characteristics: [Dropdown] Trade Desk: [Dropdown] Trade Event Type: [Dropdown]

Gross Amount >=: [Text] Principal Amount >=: [Text] Quantity >=: [Text]

Market Price >=: [Text] Commission >=: [Text] Agent/Principal: [Dropdown]

Trader Name: [Text] Trader ID: [Text]

Trade Entered From: [Text] To: [Text]

**Review**

Reviewer Name: [Dropdown] Reviewer ID: [Text] Score >=: [Text]

Standard Comments: [Dropdown] Comments: [Text]

Review Status From: [Text] To: [Text]

**Product/Security**

Product Category: [Dropdown] Product Type: [Dropdown] Product Subtype: [Dropdown]

ISIN: [Text] CUSIP: [Text] Yield >=: [Text]

Coupon Rate >=: [Text] Maturity Date >=: [Text]

Trade Blotter List (17) Expand All Actions Comments Email Attachments Excel

| Trade Date                          | Status                 | Score | Trade Characteristics | Alerts               | Rep/Advisor    | Client | Account ID | Product Category |        |
|-------------------------------------|------------------------|-------|-----------------------|----------------------|----------------|--------|------------|------------------|--------|
| <input type="checkbox"/> 12/08/2015 | Reviewed w/Follow - Up | 0     | --                    | <a href="#">5757</a> | TEST ANALYST33 | --     | --         | Equity           | SECTRI |
| <input type="checkbox"/> 12/08/2015 | Reviewed w/Follow - Up | 0     | --                    | <a href="#">5757</a> | TEST ANALYST33 | --     | --         | Equity           | SECTRI |

**Figure 3: Trade Blotter Advanced Search**

In addition to Simple Search, the Advanced Search section contains the following sections:

- Trade
- Review
- Product/Security

To search for trades using the Advanced search components, follow these steps:

1. Navigate to the Trade Blotter Search and List page.
2. Enter the search components in the following sections:

- Simple

**Table 4: Simple Search Components**

| Criteria            | Description  |
|---------------------|--|
| Review Status       | This is a default search. Filters the Trade List by the trade review status. Following are the options available: <ul style="list-style-type: none"> <li>• New - Unreviewed: Displays trades that are in New or unreviewed status.</li> <li>• Reviewed: Displays trades that are in the Reviewed status.</li> <li>• Reviewed w/Follow - Up: Displays trades that are in the Reviewed with Follow-up status.</li> </ul> |
| Organization        | Filters the Trade List by the names of organizations to which you have access.   |
| Division            | Filters the Trade List by the division names within an organization to which you have access.  |
| Branch              | Filters the Trade List by the branch names within a division to which you have access.   |
| Rep/Advisor Name    | Filters the Trade List by the name of the registered Representative or the Advisor associated with the trade.  |
| Rep/Advisor ID      | Filters the Trade List by the identifier of the registered Representative or the Advisor associated with the trade.  |
| Buy/Sell            | Filters the Trade List by whether the trader is buying or selling the security. You can select either <i>Yes</i> or <i>No</i> from the drop-down list.   |
| Client              | Filters the Trade List by the names of the clients who placed the orders.  |
| Client ID           | Filters the Trade List by the identifiers of the clients who placed the orders.  |
| Solicited           | Filters the Trade List by whether the client of the Oracle Financial Services client solicited this order. You can select either <i>Yes</i> or <i>No</i> from the drop-down list.  |
| Account             | Filters the Trade List by the name associated with the account that is associated with the trade.  |
| Account ID          | Filters the Trade List by the identifier associated with the account that is associated with the trade.  |
| Associated Alert ID | Filters the Trade List by the trade or trades associated with the entered alert identifier or identifiers.   |
| Security Short Name | Filters the Trade List by the short names of the securities that were traded.  |
| Security ID         | Filters the Trade List by the identifiers of the securities that were traded.  |
| Trade ID            | Filters the Trade List by the trade IDs that you enter.  |
| Trade Date From     | Filters the Trade List by the beginning trade execution date against which the data is being filtered (start date).  |

**Table 4: Simple Search Components**

| Criteria | Description  |
|----------|--|
| To       | Filters the Trade List by the ending trade execution date against which the data is filtered (end date). |

- Trade: This search section retrieves details related to the trade.

**Table 5: Trade Search Components**

| Criteria              | Description   |
|-----------------------|---|
| Settlement Date From  | Filters the Trade List by the beginning trade settlement date against which to filter data.   |
| To                    | Filters the Trade List by the beginning trade settlement date against which to filter data.   |
| Trade Characteristics | Filters the Trade List based on the Trading Characteristics display criteria associated with the trade.   |
| Trade Desk            | Filters the Trade desk name associated with the trade.  |
| Trade Event Type      | Filters the Trade List by the entered trade or trades associated with the selected trade event type.  |
| Gross Amount >=       | Filters the Trade List by the principal amounts of the trades expressed in the issuing currency plus the commission associated with each trade expressed in the issuing currency the totals of which are greater than or equal to the entered amount. |
| Principal Amount >=   | Filters the Trade List by the principal amounts of the trades expressed in the issuing currency that are greater than or equal to the entered amount.   |
| Quantity >=           | Filters the Trade List by the total number of units of the security that was traded that are greater than or equal to the entered amount.   |
| Market Price >=       | Filters the Trade List by trades associated with market prices greater than or equal to the entered market price.   |
| Commission >=         | Filters the Trade List by the monetary amount greater than or equal to that of the broker commission associated with this trade, expressed in the issuing currency.   |
| Agent/Principle       | Filters the Trade List by the agent or principal associated with the trade. You can select either <i>Yes</i> or <i>No</i> from a drop-down list.  |
| Trader Name           | Filters the Trade List by the name of the trader who executed the trade.  |
| Trader ID             | Filters the Trade List by the identifier of the trader who executed the trade.  |
| Trade Entered From    | Filters the Trade List by the date on which the trade was entered into the system (start date).   |
| To                    | Filters the Trade List by the date on which the trade was entered into the system (end date).   |

- Review: This search section searches for details using the values provided by the reviewer .

**Table 6: Review Search Components**

| Criteria           | Description  |
|--------------------|--|
| Reviewer Name      | Filters the Trade List by the name of the person reviewing the trades.   |
| Reviewer ID        | Filters the Trade List by the identifier of the person reviewing the trades.   |
| Score >=           | Filters the Trade List by a score that is greater than or equal to that associated with the trade.   |
| Standard Comments  | Filters the Trade List by the standard comments (comments selected from a pre-defined list of comments) entered by the person associated with the trade. Following are the options available: <ul style="list-style-type: none"> <li>● Awaiting Response</li> <li>● Price Adjust Recommended</li> <li>● No Pattern/Practice Identified</li> <li>● Events Appear Coincidental</li> <li>● Info Barrier Policies Obeyed</li> <li>● Customer Not Disadvantaged</li> <li>● In Line w/ Permissions Granted</li> <li>● Informed Broker/Retail Org</li> <li>● Action(s) Order Driven</li> <li>● No Info Sharing Indicated</li> <li>● Caused by System Problems</li> <li>● Fair Prices</li> <li>● Incidental</li> <li>● No Violative Intent</li> <li>● Regulations Followed</li> <li>● No Abnormality Indicated</li> <li>● Order Instructions Followed</li> </ul> |
| Comments           | Filters the Trade List by the free text comments entered by the person associated with the trade.  |
| Review Status From | Filters the Trade List by the status of trades reviewed within a duration starting with this date.   |
| To                 | Filters the Trade List by the status of trades reviewed within a duration ending with this date.   |

- Product/Security: This search section retrieves details about the product categories, product types, interest rates, and so on that are associated with the trade.

**Table 7: Product/Security Search Components**

| Criteria         | Description  |
|------------------|--|
| Product Category | Filters the Trade List by the product category associated with a trade. Following are the options available: <ul style="list-style-type: none"> <li>• Corporate Fixed Income</li> <li>• Commodity</li> <li>• Convertible</li> <li>• Equity</li> <li>• Exchange Traded Fund</li> <li>• Fixed Income</li> <li>• Future</li> <li>• Foreign Exchange</li> <li>• Insurance Fund</li> <li>• Mutual Fund</li> <li>• Money Market</li> <li>• Option</li> <li>• Other</li> <li>• Preferred</li> <li>• Swap</li> </ul> |
| Product Type     | Filters the Trade List by the product type designation of the security associated with the trade. You can choose from the drop-down list.  |
| Product Subtype  | Filters the Trade List by the product subtype associated with the trade. You can choose from the drop-down list.   |
| ISIN             | Filters the Trade List by the International Securities Identification Numbers (ISIN), which are unique international codes that identify securities issues.  |
| CUSIP            | Filters the Trade List by the Committee on Uniform Security Identification Procedures (CUSIP) unique identifier of the issuer of the trade   |
| Yield            | Filters the Trade List by the rate of return on the security   |
| Coon Rate        | Filters the Trade List by the interest rates paid for the securities that are greater than or equal to the entered amount.   |
| Maturity Date    | Filters the Trade List by the date on which the security matures.  |

1. Click **Go** on the **Search** toolbar. The updated Trade Blotter List page is displayed.

The Trade List section enables you to view details about the trades and take various actions, depending on the user access.

### 3.4.2.1 Trade Characteristics

The Trade List page displays special text in the Trade Characteristics column of a trade row to represent the specific attributes associated with that trade that can make the trade of higher interest than the other trades (For example, the system displays RET in this column for a trade that is associated with a



Retirement Account). If a trade matches more than one of the Trade Characteristics criteria, the page displays a comma-separated list of these characteristics in order according each characteristic's display ranking.

Table 8 lists the default trade characteristics and the text and ranking associated with each.

**Table 8: Trade Characteristics Display Ranking**

| Trade Characteristics Display Criteria | Text Displayed on the User Interface | Display Ranking |
|--|--------------------------------------|-----------------|
| Employee Account                       | EA                                   | 1               |
| Age 64+                                | C64+                                 | 2               |
| Cancelled Trade                        | CT                                   | 3               |
| Cancelled and Replaced Trade           | CRT                                  | 4               |
| Retirement Account                     | RET                                  | 5               |
| Trade associated with an Annuity       | ANNU                                 | 6               |

#### 3.4.2.1.1 Criteria for “Requires More Analysis”

If a trade is associated with one or more specific attributes (depending on your site's business needs and configured during deployment) that can require that you review the details of a trade, the system will force you to navigate to the Trade Details pop-up window for that trade before you can save an R or an RF action on the trade. As a system default, Behavior DETECTION flags trades for which the last action was **Cancelled** as *Requires more analysis*.

#### 3.4.2.1.2 Jump to page

The Jump to page feature allows you to switch to any particular page by specifying the page number in the text box.

For example, if a list is divided in 10 pages and the user directly wants to navigate to page # 5, then the user can write 5 in the text box provided and press Enter. The user is navigated directly to page # 5.

#### 3.4.2.1.3 Number of Rows

The Number of Rows feature allows you to select the number of rows that you want to view under the Trade Blotter List grid.

For example, if a list is displaying 50 rows and the user wants to view only 10 rows, then the user can write 10 in the text box provided and press Enter. Then the system displays 10 number of rows.

#### 3.4.2.1.4 Trade Details Pop-up window

The Trade Details pop-up window allows you to view additional details about a trade, such as, account details associated with the trade, customer details associated with the trade, alerts associated with the trade, and so on. Double-clicking on a trade row of any one of the Trade Blotter List section displays the Trade Details pop-up window specifically for that trade.

The Trade Details pop-up window displays all the sections configured for display for this particular trade in the expanded format. Refer to [Appendix F, Trade Blotter List Component Matrix](#), for information on the fields that will display on the Trade Details pop-up window by user interface section and product category.

### 3.4.2.2 Components of the Trade Details Pop-up Window

Depending on the data associated with a particular trade, the Trade Details pop-up window displays one or more of the following areas of information:

| Trade Review Action History (2)   Expand All |                   |                                      |                   |  |          |      |
|--|-------------------|--------------------------------------|-------------------|--|----------|------|
| Action                                       | Date and Time     | By                                   | User Display Name | Resulting Status                                       | Comments |      |
| New  | 12/05/2015 00:00  | SYSTEM                               | --                | --   |          |      |
| Reviewed                                     | 03/05/2016 23:13  | SUPERVISOR                           | EMPTRDELTD01      | --   |          |      |
| Associated Alert List (1)   Expand All       |                   |                                      |                   |  |          |      |
| Score  | Focus             | Scenario                             |                   | Created  | Status   | ID   |
| 0  | TR TEST ANALYST33 | Settlement Trend                     |                   | 06/23/2016   | New      | 5257 |
| Trade  |                   |                                      |                   |  |          |      |
| Trade ID: TRDTRDR1191                        |                   | Trade Date: 12/05/2015               |                   | Desk ID: DRDTRDR119-G                                  |          |      |
| Subdesk ID: ORGTRDBLTR-G                     |                   | Executing Organization ID: --        |                   | Security Sheet Name: SECTRDBLT011                      |          |      |
| Security ID: SECTRDBLT011                    |                   | Security Description: TD MF          |                   | Product Category: Mutual Fund                          |          |      |
| Product Type: MF                             |                   | Product Subtype: MF                  |                   | Trade Purpose: TRADE                                   |          |      |
| Trader Buy/Sell: Buy                         |                   | Quantity: --                         |                   | Price (Base): \$10.7                                   |          |      |
| Price (Issuing): \$10.7                      |                   | Price (Traded): \$10.00              |                   | Price (Settlement): \$10.00                            |          |      |
| Commission (Base): \$0.5                     |                   | Commission (Issuing): \$0.5          |                   | Principal (Base): \$0.5                                |          |      |
| Principal (Issuing): \$10,700.00             |                   | Principal (Traded): \$10.00          |                   | Principal (Settlement): \$10.00                        |          |      |
| Gross Amount: \$10,700.5                     |                   | Agent ID: --                         |                   | Solicited: --  |          |      |
| Event Type: New                              |                   | ISIN: SECTRDBLT011                   |                   | Load: --   |          |      |
| Load/Sec: --                                 |                   | NAV: --                              |                   | CDSX (Issuing): --                                     |          |      |
| Customer Buy/Sell: NA                        |                   | Last Reviewed By: SUPERVISOR         |                   | Organization Name ID: ORGTRDBLTR-E                     |          |      |
| Customer                                     |                   |                                      |                   |  |          |      |
| Customer Name: --                            |                   | Customer ID: --                      |                   | Tax ID: --   |          |      |
| Type: --                                     |                   | Business Type: --                    |                   | Date of Birth: --                                      |          |      |
| Legal Structure: --                          |                   | Broker/Dealer: --                    |                   | Effective: --  |          |      |
| Effective Match: --                          |                   | Business Risk: --                    |                   | List: --   |          |      |
| Annual Income: --                            |                   | Employee: --                         |                   | Estimated Liquid Net Worth: --                         |          |      |
| Source of Wealth: --                         |                   | Marital Status: --                   |                   | Occupation: --   |          |      |
| Employer: --                                 |                   | Credit Rating: --                    |                   | Credit Score: --                                       |          |      |
| Credit Rating Source: --                     |                   | Citizenship: --                      |                   |  |          |      |
| Account                                      |                   |                                      |                   |  |          |      |
| Account Name: --                             |                   | Account ID: --                       |                   | Account Type: --                                       |          |      |
| Source of Funds: --                          |                   | Registration: --                     |                   | Open Date: --  |          |      |
| Last Activity: --                            |                   | Business Unit: --                    |                   | Branch: --   |          |      |
| Tax ID: --                                   |                   | Risk Tolerance: --                   |                   |  |          |      |
| Representative                               |                   |                                      |                   |  |          |      |
| Primary Representative ID: --                |                   | Employee Name: TEST ANALYST33        |                   | Primary Service Team ID: --                            |          |      |
| CRID: CORT0210                               |                   | Employee ID: EMPTRDELTD10            |                   | Title: JAVA DEVELOPER                                  |          |      |
| Role: --                                     |                   | Employee Type: F                     |                   | Part Time/Full Time: Full time                         |          |      |
| Supervisor Name: TEST SUPERVISOR             |                   | Supervisory Organization ID: MANTAS  |                   | Supervisory Organization Name: --                      |          |      |
| Line Organization ID: ORGTRDBLTR-E           |                   | Line Organization Name: ORGTRDBLTR-E |                   | Company: VB INC  |          |      |
| Cost Center: TRD00A                          |                   | Office: DGMCD01                      |                   | Office Location: 1255 MARKET STREET SUITE 301 NEW YORK |          |      |
| Tax ID: S EMPTAX010                          |                   | Tax ID Format: S                     |                   | Hire Date: 01/10/2002                                  |          |      |
| Employee Status: A                           |                   | Employee Status Date: 10/10/2002     |                   |  |          |      |
| IA   |                   |                                      |                   |  |          |      |
| Employee Name: --                            |                   | Employee ID: --                      |                   | Tax ID: --   |          |      |
| Tax ID Format: --                            |                   | IA Firm ID: --                       |                   | IA Firm Name: --                                       |          |      |
| # of Sub-Accounts: --                        |                   | AUM: --                              |                   |  |          |      |
| Trade  |                   |                                      |                   |  |          |      |
| Employee: TEST ANALYST33                     |                   | CRID: CORT0210                       |                   | Employee ID: EMPTRDELTD10                              |          |      |
| Title: JAVA DEVELOPER                        |                   | Role: --                             |                   | Supervisor Name: TEST SUPERVISOR                       |          |      |
| Line Organization ID: ORGTRDBLTR-E           |                   | Line Organization Name: ORGTRDBLTR-E |                   | Company: VB INC  |          |      |
| Cost Center: TRD00A                          |                   | Office: DGMCD01                      |                   | Office Location: 1255 MARKET STREET SUITE 301 NEW YORK |          |      |
| Employee Status: Active                      |                   | Employee Status Date: 10/10/2002     |                   |  |          |      |
| Order  |                   |                                      |                   |  |          |      |
| Order ID: --                                 |                   | Order Placed: --                     |                   | First Routed: --                                       |          |      |
| Order Filled: --                             |                   | Order Buy/Sell: --                   |                   | Originating Order Quantity: --                         |          |      |
| Last Order Type: --                          |                   | Limit Price: --                      |                   | Security Sheet Name: --                                |          |      |
| Daynet/Seller: --                            |                   | Parent Order ID: --                  |                   |  |          |      |
| Security Rating (1)   Expand All             |                   |                                      |                   |  |          |      |
| Source                                       | Rating            |                                      | Effective         | Expires  |          |      |
| SrP 500                                      | CCC               |                                      | 02/02/2003        | 01/15/2020   |          |      |

Figure 4: Trade Details Pop-up window

- Trade Review Action History

- Associated Alert List
- Trade
- Customer
- Account
- Representative
- IA
- Trader
- Order
- Security Rating

Refer to [Appendix F, Trade Blotter List Component Matrix](#), for a detailed table with all possible fields that can display on the Trade Details pop-up window by user interface section and product category. These sections are summarized here.

### 3.4.2.3 Trade Review Action History

The Trade Review Action History section allows you to view the various actions and modifications that are saved on the selected trade during the trade review process.

Following are the columns displayed under the Trade Review Action History section:

### 3.4.2.4 Associated Alert List

**Table 9: Trade Review Action History**

| Fields            | Description  |
|-------------------|--|
| Action            | This field displays the action performed on the trade.                 |
| Date and Time     | This field displays the date and time of the action performed.         |
| By                | This field displays the user ID of the user who performed the action.  |
| User Display Name | This field displays the user name of the user who performed the action |
| Resulting Status  | This field displays the status resulting from the action.              |
| Comments          | This field displays the comments and attachments that were added.      |

An alert is considered to be associated with a trade if the alert was created within the same batch in which the trade was ingested and the trade is recorded as a matched record on the alert.

The following columns are displayed under the Associated Alert List section:

**Table 10: Associated Alert List**

| Fields   | Description   |
|----------|---|
| Score    | This field displays the score associated with the trade.      |
| Focus    | This field displays the focus type associated with the trade. |
| Scenario | This field displays the scenario associated with the trade.   |
| Created  | This field displays the date when the alert was created.      |
| Status   | This field displays the status of the alert created.          |

**Table 10: Associated Alert List**

| Fields | Description   |
|--------|---|
| ID     | This field displays the alert ID associated with the trade. |

For each alert in the Associated Alert List section, a hyperlinked alert ID displays, which when clicked, displays the Alert History Details page for that alert.

An alert will display in this section only if you have appropriate access permissions to view that alert.

### 3.4.2.5 Trade

The Trade section displays detailed information about the trade you selected on the Trade Blotter List section. Following are the columns displayed under the Trade section:

**Table 11: Trade**

| Fields                     | Description   |
|----------------------------|---|
| Trade ID                   | This field displays the trade identifier for the trade.   |
| Trade Date                 | This field displays date on which the trade was executed.   |
| Desk ID                    | This field displays the identifier of the desk that performed the trade.                                |
| Subdesk ID                 | This field displays the identifier of the sub-desk that performed the trade.                            |
| Executing Organization IDs | This field displays the identifier of the organization within which this trade execution was performed. |
| Security Short Name        | This field displays the short name of the security that was traded.                                     |
| Security ID                | This field displays the identifier of the security that was traded.                                     |
| Security Description       | This field displays the description of the security that was traded.                                    |
| Product Category           | This field displays the product category designation for the security associated with this trade.       |
| Product Type               | This field displays the product type designation for the security associated with this trade.           |
| Product Subtype            | This field displays the product sub type designation for the security associated with this trade.       |
| Trade Purpose              | This field displays the purpose for which this trade was executed.                                      |
| Trader Buy/Sell            | This field indicates whether the trader is buying or selling the security.                              |

Table 11: Trade

| Fields               | Description  |
|----------------------|--|
| Quantity             | This field displays the total number of units of the security.   |
| Price (Base)         | This field displays the price at which the security was traded (buy or sell) as expressed in base currency.  |
| Price (Issuing)      | This field displays the price at which the security was traded (buy or sell) as expressed in the issuing currency.   |
| Price (Traded)       | This field displays the last activity price for the trade.   |
| Price (Settlement)   | This field displays the trade price expressed in the currency in which the trade is to be settled.   |
| Commission (Issuing) | This field displays the monetary amount of the broker commission associated with this trade, expressed in the issuing currency.  |
| Principal (Issuing)  | This field displays the monetary amount of the broker commission associated with this trade, expressed in the issuing currency.  |
| Gross Amount         | This field displays the principal amount of the trade expressed in the issuing currency plus the commission associated with the trade expressed in the issuing currency. |
| Settlement Date      | This field displays the date on which the trade is to settle.  |
| Agent ID             | This field displays the identifier of the trader who acted as the agent on the execution (for agency trades).  |
| Solicited            | This field displays the indicator of whether a person affiliated with the Oracle client solicited this order.  |
| Event Type           | This field displays the trade event type associated with the trade.  |
| ISIN                 | This field displays the International Securities Identification Number (ISIN) associated with the security that was traded.  |
| Load                 | This field displays the type of load for this mutual funds security.   |
| Load/Fee             | This field displays the mutual fund load fee amount in this issuing currency.  |

**Table 11: Trade**

| Fields               | Description  |
|----------------------|--|
| NAV                  | This field displays the closing price, in the issuing currency, for this security in its primary market on this market date. |
| CSDC (Issuing)       | This field displays the Contingent Deferred Sales Charge amount in the issuing currency.                                     |
| Customer Buy/Sell    | This field displays whether the customer is buying or selling as part of the trade.  |
| Last Reviewed By     | This field displays the user who approved or rejected the trade (via Trade Blotter).   |
| Organization Name/ID | This field displays the display name or identifier (configured at deployment) of the organization that originated the trade. |

### 3.4.2.6 Customer

The Customer section displays details related to the customer associated with the selected trade. Following are the columns displayed under the Customer section:

**Table 12: Customer**

| Fields          | Description   |
|-----------------|---|
| Customer Name   | This field displays the name of the customer who placed the order.  |
| Customer ID     | This field displays the customer identifier associated with the account involved in the trade.  |
| Tax ID          | This field displays the customer's tax identification number.   |
| Type            | This field displays the indicator of whether this customer is an individual or organization.  |
| Business Type   | This field displays the functional area in which this customer does business.   |
| Date of Birth   | This field displays the date on which the customer was born.  |
| Legal Structure | This field displays the Oracle client's legal entity that is the principal in this structured deal.   |
| Broker/Dealer   | This field displays the indicator of whether this customer has provided notification of employment by a financial institution.                    |
| Effective       | This field displays the date on which an investment rating service established this investment rating for the security associated with the trade. |

**Table 12: Customer**

| Fields                   | Description   |
|--------------------------|---|
| Effective Match          | This field displays the level of risk associated with this customer as determined in large part by membership on one or more Watch Lists plus text of the identifier or name associated with the Watch List record that was used to populate Watch List Risk for this customer. |
| Business Risk            | This field displays the level of risk associated with the general business characteristics of this customer as determined by the Oracle client.   |
| List                     | This field displays the identifier of the level of risk associated with a customer determined by membership on one or more watch lists..  |
| Annual Income            | This field displays the customer's self-reported annual income, expressed in base currency.   |
| Employee                 | This field displays the indicator of whether the customer is also an Oracle client.   |
| Estimated Liquid Network | This field displays the customer's self-reported liquid assets, expressed in base currency.   |
| Source of Wealth         | This field displays the customer's self-reported source of wealth.  |
| Marital Status           | This field displays the marital status of the customer.   |
| Occupation               | This field displays the occupation of the customer.   |
| Employer                 | This field displays the name of the customer's employer.  |
| Credit Rating            | This field displays the rating for this customer, based on credit rating score.   |
| Credit Score             | This field displays the actual score for the customer's credit rating, based on the credit rating score.  |
| Credit Rating Source     | This field displays the source associated with the credit rating assigned to the customer.  |
| Citizenship              | This field displays the customer's primary country of citizenship.  |

### 3.4.2.7 Account

The Account section displays details related to the customer's account associated with the selected trade. Following are the columns displayed under the Account section:

**Table 13: Account**

| Fields          | Description  |
|-----------------|--|
| Account Name    | This field displays the account display name of the account associated with the trade.   |
| Account ID      | This field displays Identifier of the customer's account involved in the trade, as last reflected in the events for the execution.   |
| Account type    | This field displays the Oracle client-specified account type classification for the use of this account.   |
| Source of Funds | This field displays the source from which the initial funds will come as stated by the customer for the account associated with the trade.   |
| Registration    | This field displays the Registration Type.   |
| Open Date       | This field displays the date on which the account associated with the trade was opened.  |
| Last Activity   | This field displays the date of the last trading or transaction activity in the account that is associated with the trade.   |
| Business Unit   | This field displays the the identifier for the organization that owns the account, for firm accounts.  |
| Branch          | This field displays the Branch Code organization where the account is domiciled.   |
| Tax ID          | This field displays the tax identification number associated with the account that is associated with the trade  |
| Risk Tolerance  | This field displays the degree of risk the customer is willing to take with investments in this account (that is, the customer's ability to handle declines in the net worth of this account). |

### 3.4.2.8 Representative

The Representative section displays detailed information about the registered representative associated with the selected trade. Following are the columns displayed under the Representative section:



**Table 14: Representative**

| Fields                        | Description  |
|-------------------------------|--|
| Primary Representative ID     | This field displays the primary representative identifier that is used by this employee.   |
| Employee Name                 | This field displays the name to be displayed for this employee.  |
| Primary Service Team ID       | This field displays the identifier of the primary service team of which this employee is a member.   |
| CRD#                          | This field displays the unique identifier that the authoritative regulator assigned to this employee, for employees who must be registered with a regulator. |
| Employee ID                   | This field displays the identifier for an employee that is unique across the enterprise.   |
| Title                         | This field displays the job title for this employee.   |
| Role                          | This field identifies their employment role or title.  |
| Employee Type                 | This field displays the code that identifies the type of employee.   |
| Part Time/Full Time           | This field is an indicator of whether this employee is part time or full time.   |
| Supervisor Name               | This field displays the name to be displayed for this employee's supervisor.   |
| Supervisory Organization ID   | This field displays the identifier of the organization that is responsible for monitoring the activities of this employee.                                   |
| Supervisory Organization Name | This field displays the name of the organization that is responsible for monitoring the activities of this employee.   |
| Line Organization ID          | This field displays the identifier of the primary line organization to which this employee is assigned.  |
| Line Organization Name        | This field displays the name of the primary line organization to which this employee is assigned.  |
| Company                       | This field displays the name of the company for which this employee or contractor works.   |
| Cost Center                   | This field displays the cost center to which this employee is assigned.  |
| Office                        | This field displays the identifier of the office to which this employee is assigned.   |
| Office Location               | This field displays the text that describes this employee's work location  |

**Table 14: Representative**

| Fields               | Description   |
|----------------------|---|
| Tax ID               | This field displays the employee's tax identification number.   |
| Tax ID Format        | This field displays the indicator of whether the employee tax identifier is a Social Security Number (SSN) or another type of identifier. |
| Hire Date            | This field displays the date this employee was hired.   |
| Employee Status      | This field displays the employment status of this employee. For example, active or inactive.  |
| Employee Status Date | This field displays the date that this employee's status was last changed.  |

**3.4.2.9 IA**

The IA section displays detailed information about the investment advisor associated with the order that is associated with the selected trade.

Following are the columns displayed under the IA section:

**Table 15: IA**

| Fields            | Description   |
|-------------------|---|
| Employee Name     | This field displays the name to be displayed for this employee.   |
| Employee ID       | This field displays the identifier for an employee.   |
| Tax ID            | This field displays the employee's tax identification number.   |
| Tax ID Format     | This field displays the Indicator of whether the employee tax identifier is a Social Security Number (SSN) or another type of identifier. |
| IA Firm ID        | This field displays the identifier for an employee that is unique across the enterprise.  |
| IA Firm Name      | This field displays the Investment Advisor firm name.   |
| # of Sub-Accounts | This field displays the number of active sub-accounts that this investment advisor manages.   |
| AUM               | This field displays the total net worth of all active sub-accounts that this investment advisor manages, expressed in base currency.      |

**3.4.2.10 Trader**

The Trader section displays details related to the trader who executed the selected trade.

Following are the columns displayed under the Trader grid:

**Table 16: Trader**

| Fields                 | Description  |
|------------------------|--|
| Employee               | This field displays the name to be displayed for this employee.  |
| CRD#                   | This field displays the unique identifier that the authoritative regulator assigned to this employee, for employees who must be registered with a regulator. |
| Employee ID            | This field displays the identifier for an employee that is unique across the enterprise.   |
| Title                  | This field displays the job title for this employee.   |
| Role                   | This field identifies their employment role or title.  |
| Supervisor Name        | This field displays the name to be displayed for this employee's supervisor.   |
| Line Organization ID   | This field displays the identifier of the primary line organization to which this employee is assigned.  |
| Line Organization Name | This field displays the name of the primary line organization to which this employee is assigned.  |
| Company                | This field displays the name of the company for which this employee or contractor works.   |
| Cost Center            | This field displays the cost center to which this employee is assigned.  |
| Office                 | This field displays the identifier of the office to which this employee is assigned.   |
| Office Location        | This field displays the text that describes this employee's work location  |
| Employee Status        | This field displays the Employment status of this employee. For example, active or inactive.   |
| Employee Status Date   | This field displays the date that this employee's status was last changed.   |

### 3.4.2.11 Order

The Order section displays details related to the order associated with the selected trade. Following are the columns displayed under the Order grid:

**Table 17: Order**

| Fields   | Description  |
|----------|--|
| Order ID | This field displays the identifier of the order associated with the trade. |

**Table 17: Order**

| Fields                     | Description  |
|----------------------------|--|
| Order Placed               | This field displays the date and time on which the order was placed.   |
| First Routed               | This field displays the date and time on which the order was first routed.   |
| Order Filled               | This field displays the date and time on which the order was completely filled   |
| Order Buy/Sell             | This field is an indicator of whether an order is an instruction to buy or sell a security.  |
| Originating Order Quantity | This field displays the Original number of units of the security (For example, shares, contracts or face value) that were to be bought or sold through this order.         |
| Last Order Type            | This field displays the type of this order.  |
| Limit Price                | This field displays the price at which this limit order is to be executed, as expressed in issuing currency.   |
| Security Short Name        | This field displays the short name of the security that was traded.  |
| Buyer/Seller               | This field displays the indicator for the type of buyer/seller for which the order was placed and the buyer/seller associated with the order.                              |
| Parent Order ID            | This field displays the Identifier that the Oracle client assigns which uniquely identifies this order throughout the enterprise during the day in which it was performed. |

### 3.4.2.12 Security Rating

The Security Rating section displays detailed information about the investment rating service for the security associated with the selected trade. Following are the columns displayed under the Security Rating grid:

**Table 18: Security Rating**

| Fields | Description   |
|--------|---|
| Source | This field displays the investment rating service that is the source of the investment rating for the security associated with the trade. |
| Rating | This field displays the specific investment rating value determined by an investment rating service for the security that was traded.     |

**Table 18: Security Rating**

| Fields    | Description   |
|-----------|---|
| Effective | This field displays the date on which an investment rating service established this investment rating for the security associated with the trade. |
| Expires   | This field displays the date on which an investment rating service removed this investment rating for the security associated with the trade.     |

## 3.5 Viewing and Changing the Status of a Trade

You can view or modify the status of a trade only if you have access permissions to do so.

You must have access to view and modify the status of trades on the Trade Blotter page: New - Unreviewed, Reviewed, and Reviewed w/Follow-Up.

|             |   |
|-------------|---|
| <b>NOTE</b> | <p>User must select trades with the same review status while taking actions, on more than one trade. If the user tries to select different statuses, the following message is displayed:</p> <p style="text-align: center;">You have selected trades with different statuses. To take an action, only select trades with the same status.</p> |
|-------------|---|

To view or modify the status of one or more trades currently in the New - Unreviewed status, follow these steps:

1. Ensure that the trade is in New - Unreviewed status and perform one of the following:
  - To view trade details, follow these steps:
    - a. Double-click the row of the trade you want to view.  
The Trade Details pop-up window for that trade displays.
    - b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.
  - To change the status of one or more trades to Reviewed, follow these steps:
    - a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed**.
    - b. Click **Actions**.
    - c. The Review Actions pop-up window displays. If you are viewing only one Trade ID, the Trade ID field is pre-populated. If you are viewing multiple Trade IDs, the number of Trade IDs you are viewing displays in the field.
    - d. Select Reviewed from the **Select an Action** drop-down list.
    - e. Select a standard comments from the **Standard Comments** drop-down list.  
*Optional:* Enter any custom comments, if applicable in the text fields.
    - f. Click **Save**.

The Trade Blotter List grid refreshes the list, changing the trades to the Reviewed status..

- To change the status of one or more trades to Reviewed with Follow-Up, follow these steps:
  - a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed w/Follow-Up**.
  - b. Click **Actions**.
  - c. The Review Actions pop-up window displays. If you are saving only one Trade ID, the Trade ID field is pre-populated. If you are saving multiple Trade IDs, the number of Trade IDs you are viewing displays in the field.
  - d. Select Reviewed with Follow-Up from the **Select an Action** drop-down list.
  - e. Select a standard comments from the **Standard Comments** drop-down list.
  - f. *Optional:* Enter any custom comments, if applicable in the text fields.
  - g. Click **Save**.

The Trade Blotter List grid refreshes the list, changing the trades to the Reviewed w/Follow-Up status.

To view one or more trades currently in the Reviewed status or to modify the status of one or more trades from Reviewed to Reviewed w/Follow-Up, follow these steps:

1. Ensure that the trade is in Reviewed status and perform one of the following:
  - To view trade details, follow these steps:
    - a. Double-click on the row of the trade you want to view.  
The Trade Details pop-up window for that trade displays.
    - b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.  
To change the status of one or more trades, go to Step 2.
2. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed w/Follow-Up**.
3. Click **Actions**.  
The Review Actions pop-up window displays. If you are viewing only one Trade ID, the Trade ID field is pre-populated. If you are viewing multiple Trade IDs, the number of Trade IDs you are viewing displays in the field.
4. Select Reviewed w/Follow-Up from the **Select an Action** drop-down list.
5. Select a standard comments from the **Standard Comments** drop-down list.  
*Optional:* Enter any custom comments, if applicable in the text fields.
6. Click **Save**.

The Trade Blotter List grid refreshes the list, changing the trades to the Reviewed w/Follow-Up status.

To view one or more trades currently in the Reviewed w/Follow-Up status or to modify the status of one or more trades from Reviewed w/Follow-Up to Reviewed status, follow these steps:

1. Ensure that the trade is in Reviewed w/Follow-Up status and perform one of the following:
  - To view trade details:
    - a. Double-click on the row of the trade you want to view.

The Trade Details pop-up window for that trade displays.

- b. When you are finished viewing that trade, close the pop-up window and go on to the next trade you want to view.
  - To change the status of one or more trades to Reviewed:
    - a. Select the check box on the row of the trade or trades for which you want to change the status to **Reviewed**.
    - b. Click **Actions**.

The Review Actions pop-up window displays. If you are viewing only one Trade ID, the Trade ID field is pre-populated. If you are viewing multiple Trade IDs, the number of Trade IDs you are viewing displays in the field.

- c. Select Reviewed w/Follow-Up from the **Select an Action** drop-down list.
- d. Select a standard comments from the **Standard Comments** drop-down list.

*Optional:* Enter any custom comments, if applicable in the text fields.
- e. Click **Save**.

The Trade Blotter List grid refreshes the list, changing the trades that you have marked as Reviewed to the Reviewed status.

## 3.6 Locking and Unlocking a Trade

Behavior Detection controls access to trades via a locking mechanism in order to prevent inconsistent results caused by more than one user at a time trying to take an action on the same trade or trades. The system locks unlocked trades for you when you select one or more check boxes of one or more trades. In addition, the system locks a trade when you click on the **Comments**, **email**, or **Attachments** icon of an individual trade and then taking an action. The system maintains the lock on a particular trade if you take additional actions on that trade until you save or deselect all the actions on that trade.

To unlock a trade, deselect the selected check boxes. If no check boxes are selected, the Comments, email or Attachments actions remove the lock automatically when saved or canceled.

**NOTE** If you try to select a trade that is locked by another user, the system displays a Selected Trade Locked dialog box with an error message.

When you click **OK**, the system closes the dialog box and returns you to the original tab on the List page.

## 3.7 Adding Comments on a Trade

If you have the appropriate access permissions, you can add comments to selected trades on the Trade Blotter page. When you save comments to a trade, the status of that trade does not change as a result of those comments. However, the comment action is added to the Comment Audit History matrix.

You can add a free-text comment to more than one trade, add one or more standard comments to those trades, and view the comment audit history for those trades.

**NOTE** User must select trades with the same review status while taking actions, on more than one trade. If the user tries to select different statuses, the following message is displayed: You have selected trades with different statuses. To take an action, only select trades with the same status.

| Trade ID             | Date and Time    | By (User Name) | Comments |
|----------------------|------------------|----------------|----------|
| XXXTRDPOTSWCHAC-0093 | 12/10/2009 00:00 | SYSTEM         | --       |

**Figure 5: Global Comments pop-up window**

To add global comments to more than one trade, follow these steps:

2. On the Trade Blotter page, perform one of the following depending on whether you want to add comments on more than one trade but not the whole page of trades, or add global comments to the whole page of trades:
  - For comments on more than one trade, select the check boxes adjacent to the trades and click **Comments**.
  - For comments on the entire page of trades, click on the check box on list header and click **Comments**.
3. In the Global Comments pop-up window, follow these steps:
  - a. Select one or more applicable standard comments from the **Select a standard comment** drop-down list.
  - b. Type free-text comments in the **Comments** text area.
4. Click **Save**.  
A confirmation message displays.



## 3.8 Adding an Attachment to a Trade

You can add one or more attachments to an individual trade, remove one or more attachments from an individual trade, and view the attachment action history for that trade.

**Add Attachments for Trade**

Logical File Name

Choose a file\*

Attachment Comments:

Note : The comments shall be applicable for all the attachments.

**Attachments Action History (0)** |

| Trade ID  | Attachment Name | Date and Time | By (User Name) | Attachment |
|---|-----------------|---------------|----------------|------------|
| No attachment(action history) is associated with this trade |                 |               |                |            |

**Figure 6: Add Attachment pop-up window**

To add one or more attachments to a trade, follow these steps:

1. On the Trade Blotter List section, select the check box adjacent to the trade to which you want to add an attachment.  
The Add Attachments pop-up window displays.
2. In the Add Attachments pop-up window, enter file name in the **Logical File Name** text field.
3. Browse for the file you want to add via the **Choose a file** field.
4. When the Choose File to Upload dialog appears, select the file you want to attach to the trade and click **Open**.
5. Click **Attach File**. The display name of the file appears in the Attachments Action History list.
6. If you want to add another attachment to this trade, repeat Steps 1 through 4. When you are sure of the file or files you want to attach to this trade, click **Save**.

The pop-up window returns you to the Trade Blotter page and adds the attachments to the Attachments Action History section.

If you do not want to save the trade with the attachments you added, click **Cancel**. The system returns you to the Trade Blotter page and your attachments are not added to the Attachments Action History.

### 3.9 Exporting Trades to Excel

You can export trades from the Trade Blotter List section to a Microsoft Excel format where you can then review and edit the data as necessary.

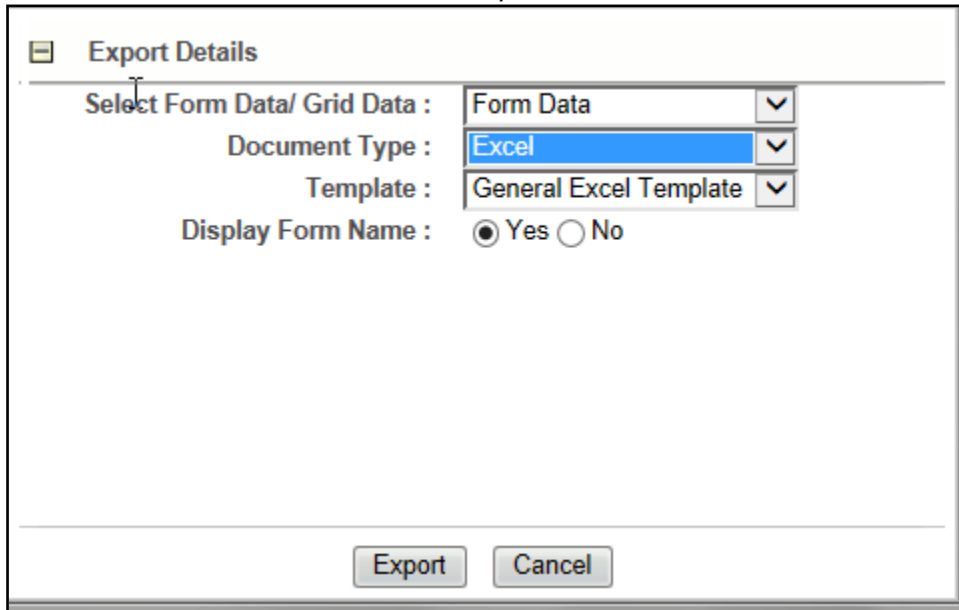


Figure 7: Export pop-up window

**NOTE** Oracle does not currently support exporting grid data to formats other than Excel.

### 3.10 Sending an Email on a Trade

If you have the appropriate access permissions, you can send an email and request a response regarding a particular trade. The system does not automatically include any information on the trade. You can enter any trade details in the body of the email message.

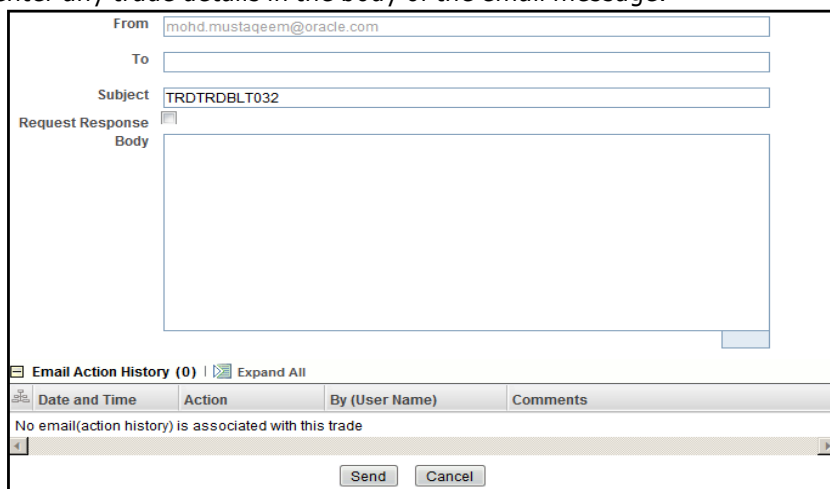


Figure 8: Trade Blotter Send Email pop-up window

To send an email regarding a particular trade, follow these steps:

1. From the Trade List, click the check box associated with the particular trade or trades you want to discuss. The Send email pop-up window displays.

If you are sending an email regarding only one trade, the Trade ID displays in the Selected Trades field. If you are sending an email regarding multiple trades, the number of trades you are viewing displays in the field.

2. Enter the email recipient's email address in the **To:** field.
3. Provide an appropriate subject in the **Subject** field.
4. Select the **Request Response** check box if you want a response. If not, go to Step 5.

If you select Request Response, the system attaches a response form in which the recipient can enter comments. When the recipient has finished entering comments and clicks **Send Comments**, the response is automatically returned to you.

5. Type your message in the **Body** field.
6. Click **Save** to send the message.

The system sends your message and records information about it in the email Action History list.

## 4 Managing Controlling Customers

The Manage Controlling Customer 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. This feature enables you to establish new controlling customers.

This chapter focuses on the following topics:

- [About Controlling Customers](#)
- [Key Features](#)
- [User Roles and Actions](#)
- [Controlling Customer Workflow](#)
- [Accessing the Controlling Customer Page](#)
- [Adding Controlling Customer](#)
- [Updating Controlling Customer](#)
- [Commenting Controlling Customer](#)
- [Removing Controlling Customer](#)
- [Controlling Customer Error Messages](#)

### 4.1 About Controlling Customers

A Controlling Customer is in a controlling position in a company represented by a specific security. A customer can have a controlling position in more than one security. Controlling customer relationships are considered by some Oracle Financial Services behavior detection scenarios during alert generation. The controlling customer information flows into Oracle Financial Services Enterprise Behavior Detection and be used for behavior detection through one of two ways. A client can choose to provide information regarding controlling customer relationships during the batch process of loading data from files (for more information on Controlling Customer Data Files, see [Data Interface Specification](#), for more information on Controlling Customer data files). Or, a client can choose to add and maintain controlling customer relationships via the Manage Controlling Customer interface provided in the Monitoring workflow as described in this chapter.

### 4 Key Features

The Behavior Detection UI allows you to perform the following actions:

- Search the existing conditions on controlling customers trading.
- Provide relevant information on the conditions related to controlling customers trading.
- Add new controlling customers.
- Update and comment existing controlling customers.
- Remove controlling customers from the list.

## 4.1 User Roles and Actions

This section describes various user roles and actions they can perform in the Controlling Customer workflow.

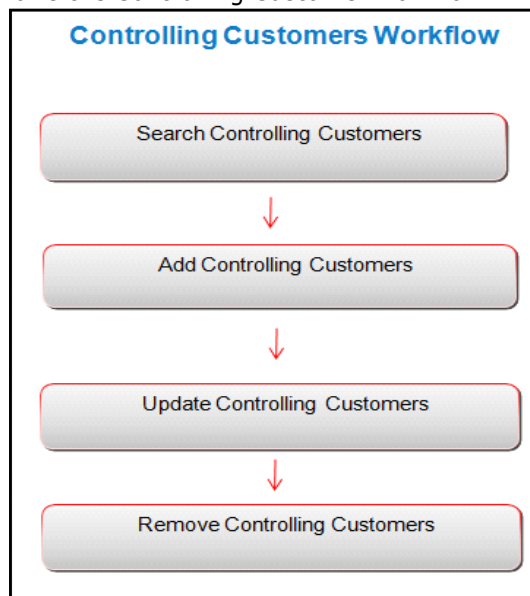
The following table details the user roles and actions in the Controlling Customer workflow:

**Table 1. Controlling Customers User Roles and Privileges**

| User Actions<br>Privileges                               | User Roles |            |             |            |           |                  |                  |            |                  |                |
|--|------------|------------|-------------|------------|-----------|------------------|------------------|------------|------------------|----------------|
|  | Analyst I  | Analyst II | Analyst III | Supervisor | Executive | Internal Auditor | External Auditor | Data Miner | AM Administrator | WLM Supervisor |
| View Search and List page of Controlling Customer        | X          | X          | X           | X          | X         | X                |                  |            |                  |                |
| Update Controlling Customer (Add, Edit, and Add Comment) |            |            | X           | X          |           |                  |                  |            |                  |                |
| Remove Controlling Customer                              |            |            | X           | X          |           |                  |                  |            |                  |                |

## 4.2 Controlling Customer Workflow

The following figure shows the Controlling Customer workflow.



**Figure 1: Controlling Customer Workflow**

The following table describes the Controlling Customer workflow.

**Table 2: Controlling Customer Workflow Table**

| Action                          | Description  | Roles                                |
|---------------------------------|--|--------------------------------------|
| Searching Controlling Customers | Users can search existing controlling customers using search criteria such as Customer ID, Security ID, and so on.       | Analysts I, II, III, and Supervisors |
| Adding Controlling Customer     | Users can add new controlling customers and enables them to set conditions related to the controlling customers trading. | Analysts III and Supervisors         |
| Updating Controlling Customer   | Users can modify existing controlling customers by providing appropriate comments.                                       | Analysts III and Supervisors         |
| Removing Controlling Customer   | Users can remove existing controlling customers by providing appropriate comments.                                       | Analysts III and Supervisors         |

### 4.3 Accessing the Controlling Customer Page

This section explains how to access the Controlling Customer page. The page is available only to those users who require entering the data related to adding controlling customers through the Oracle Financial Services Behavior Detection UI.

To access the Controlling Customer page, follow these steps:

1. Navigate to the OFSAA Applications home page. For more information, see [Chapter 2, Getting Started](#).
2. Click **Administration** in the RHS menu.
3. Hover over the **List Management** menu and click **Manage Controlling Customer**. The Manage Controlling Customer Search page is displayed.

### 4.4 Searching Controlling Customers

The Controlling Customer Search bar enables you to search for a selected list of controlling customers based on the criteria that you have selected within this search bar.

To search controlling customers, follow these steps:

1. Navigate to the Manage Controlling Customer Search page.
2. Enter the following information.

**Table 3: Controlling Customer Search Components**

| Criteria    | Description  |
|-------------|--|
| Customer ID | Enter the Customer ID of the business entity. If you search by Customer ID then Customer Name field is disabled. |

**Table 3: Controlling Customer Search Components**

| Criteria                      | Description  |
|-------------------------------|--|
| Customer Name                 | Enter the Customer Name of the business entity. If you search by Customer Name then Customer ID field is disabled. You can also search using the wildcard entries in the text field.<br>This search is mutually exclusive. |
| Security ID                   | Enter the Security ID of the business entity. If you search by Security ID then Security Name field is disabled.   |
| Security Name                 | Enter the Security Name of the business entity. If you search by Security Name then Security ID field is disabled. You can also search using the wildcard entries in the text field.                                       |
| Controlling Relationship Type | Enter the Controlling Relationship type. You can also search using the wildcard entries in the text field.   |
| Controlling Record ID         | Enter the control ID.<br><br><b>NOTE: Search by Controlling ID ignores all other search criteria.</b>  |

3. Click **Go**. The updated Controlling Customer list page is displayed.

The List page enables you to view the details of the controlling customers' relationships existing in the system and also to update and delete particular relationships, depending on the user access.

The screenshot shows the 'Manage Controlling Customer' interface. At the top, there are search filters for Customer ID, Security ID, Controlling Relationship Type, and Controlling Record ID. To the right, there are filters for Customer Name (set to '%A%') and Security Name. Below the filters is a note: 'Note : Search by Controlling ID will ignore all other search criteria.' Below the note is a toolbar with options: Search, Reset, Go, Expand All, Update, Remove, Add, Add Comment, and Excel. The main area contains a table with the following data:

| Customer ID           | Customer Name        | Security ID           | Security Name | Controlling Relationship | Controlling Record ID |
|-----------------------|----------------------|-----------------------|---------------|--------------------------|-----------------------|
| XXXCUTRUNAPPTRGAC-004 | JEANNE               | XXXSETRUNAPPTRGAC-004 | CLMS          | DIRECTOR                 | 100004                |
| XXXCUTRUNAPPTRGAC-004 | JEANNE               | EMSHC01               | EMSHC01       | DIR                      | 200001                |
| CUCNTRLCUST-001       | JOAN ONEAL KUTER     | EMSHC01               | EMSHC01       | 10PRSHRHL                | 150003                |
| CUMVFDWOTRDINSTCU-001 | MOLLY PRAKASH COOLER | SMPCTRL01             | SMPCTRL01     | 10PRSHRHL                | 150002                |
| CUTRUNAPPTRGAC-001    | PACHUKO              | SETRUNAPPTRGAC-001    | IOCL          | DIRECTOR                 | 100001                |

Below the table is a 'Comments' section with a text area. At the bottom right, there is a copyright notice: '© Oracle. All rights reserved.'

Figure 2: Controlling Customer List page

## 4.5 Adding Controlling Customer

The Add Controlling Customer page enables you to set conditions related to controlling customers trading.

To add controlling customer, follow these steps:

1. Navigate to the Manage Controlling Customer Search and List page.
2. Click **Add**. The Add Manage Controlling Customer dialog box is displayed.

The dialog box contains the following fields and controls:

- Customer ID:
- Security ID:
- Control Relationship Type:
- Comment:
- Buttons: Save, Reset, Cancel

Figure 3: Add Controlling Customer page

3. Enter the following information in the respective fields.

Table 4: Add Controlling Customer

| Field                         | Description  |
|-------------------------------|--|
| Customer ID                   | Enter the unique customer identification. Multiple comma separated values are not allowed.<br>If the Customer ID is not available in the system, the following message is displayed: Entered Customer ID value does not exist. Please check and enter again. |
| Security ID                   | Enter unique security identification. Multiple comma separated values are not allowed.<br>If the Security ID is not available in the system, the following message is displayed: Entered Security ID value does not exist. Please check and enter again.     |
| Controlling Relationship Type | Enter the controlling relationship type.   |
| Comments                      | Enter the appropriate comments for adding a new controlling customer. The Comments text box has no character restrictions and has scroll which bars can be used for text that exceeds the visible space provided.  |

4. Click **Save**. The following message is displayed: *You have successfully added the following customer Record ID to controlling customer.*
5. Click **OK**. The new Controlling Customer record is added.



## 4.6 Updating Controlling Customer

This section enables you to modify the customer’s records imposed on the securities.

To update a controlling customer, follow these steps:

1. Navigate to the Manage Controlling Customer Search and List page.

| Customer ID   | Customer Name        | Security ID           | Security Name | Controlling Relationship | Controlling Record ID |
|---|----------------------|-----------------------|---------------|--------------------------|-----------------------|
| <input type="checkbox"/> XXXCUTRUNAPPTRGAC-004            | JEANNE               | XXXSETRUNAPPTRGAC-004 | CLMS          | DIRECTOR                 | 100004                |
| <input checked="" type="checkbox"/> XXXCUTRUNAPPTRGAC-004 | JEANNE               | EMSHC01               | EMSHC01       | DIR                      | 200001                |
| <input type="checkbox"/> CUCNTRLCUST-001                  | JOAN ONEAL KUTER     | EMSHC01               | EMSHC01       | 10PRSHRHL                | 150003                |
| <input type="checkbox"/> CUMVFDWOTRDINSTCU-001            | MOLLY PRAKASH COOLER | SMPCTRL01             | SMPCTRL01     | 10PRSHRHL                | 150002                |
| <input type="checkbox"/> CUTRUNAPPTRGAC-001               | PACHUKO              | SETRUNAPPTRGAC-001    | IOCL          | DIRECTOR                 | 100001                |

Comments

**Figure 4: Controlling Customer Update page**

2. Select one or more check boxes against the Customer IDs in the list. The selected Customer IDs are enabled for modification.
3. Modify the necessary changes. For more information on the fields, see [Table 9](#).
4. Click **Update**. The following message is displayed: *You have successfully updated Controlling Record ID.*

### NOTE

In the Update Controlling Customer section, if you modify one or more Customers IDs, and either the security does not exist within the available Customers Master table or you do not have access to the updated Customers IDs, the page displays an error message. For more information on the error messages, see Controlling Customer Error Messages.

5. Click **OK**. The selected controlling customer records are updated.

## Commenting Controlling Customer

This section explains how to add comments to the selected controlling customers. To add comments to controlling customer, follow these steps:

1. Navigate to the Manage Controlling Customer Search and List page.

| Customer ID   | Customer Name        | Security ID           | Security Name | Controlling Relationship | Controlling Record ID |
|---|----------------------|-----------------------|---------------|--------------------------|-----------------------|
| <input type="checkbox"/> XXXCUTRUNAPPTRGAC-004            | JEANNE               | XXXSETRUNAPPTRGAC-004 | CLMS          | DIRECTOR                 | 100004                |
| <input checked="" type="checkbox"/> XXXCUTRUNAPPTRGAC-004 | JEANNE               | EMSHC01               | EMSHC01       | DIR                      | 200001                |
| <input type="checkbox"/> CUCNTRLCUST-001                  | JOAN ONEAL KUTER     | EMSHC01               | EMSHC01       | 10PRSHRHL                | 150003                |
| <input type="checkbox"/> CUMVFDWOTRDINSTCU-001            | MOLLY PRAKASH COOLER | SMPCTRL01             | SMPCTRL01     | 10PRSHRHL                | 150002                |
| <input type="checkbox"/> CUTRUNAPPTRGAC-001               | PACHUKO              | SETRUNAPPTRGAC-001    | IOCL          | DIRECTOR                 | 100001                |

Comments

**Figure 5: Controlling Customer Update page**

2. Select one or more check boxes against the Customer IDs in the list.
3. Enter appropriate comments for the selected Customer IDs.
4. Click **Add Comments**. The following message is displayed: *Records updated with comments.*
5. Click **OK**. The selected controlling customer records are updated with recently added comments.

## 4.7 Removing Controlling Customer

This section describes how to delete the selected customers from the Controlling Customer List section. To delete customers from the Controlling Customer list, follow these steps:

1. Navigate to the Manage Controlling Customer Search and List page.

| Customer ID           | Customer Name        | Security ID           | Security Name | Controlling Relationship | Controlling Record ID |
|-----------------------|----------------------|-----------------------|---------------|--------------------------|-----------------------|
| XXXCUTRUNAPPTRGAC-004 | JEANNE               | XXXSETRUNAPPTRGAC-004 | CLMS          | DIRECTOR                 | 100004                |
| XXXCUTRUNAPPTRGAC-004 | JEANNE               | EMSHC01               | EMSHC01       | DIR                      | 200001                |
| CUCNTRLCUST-001       | JOAN ONEAL KUTER     | EMSHC01               | EMSHC01       | 10PRSHRHL                | 150003                |
| CUMVFDWOTRDINSTCU-001 | MOLLY PRAKASH COOLER | SMPCTRL01             | SMPCTRL01     | 10PRSHRHL                | 150002                |
| CUTRUNAPPTRGAC-001    | PACHUKO              | SETRUNAPPTRGAC-001    | IOCL          | DIRECTOR                 | 100001                |

Comments

**Figure 6: Controlling Customer Update page**

2. Select one or more check boxes against the Customer IDs in the list.
3. Enter appropriate comments to delete the selected Customer IDs from the list.

**NOTE**

If you do not enter comments before deleting a customer in the list, the following message displays:

You are attempting to delete, but you have not added a comment. Please add comments.

4. Click **Remove**. The following message is displayed: *1 record(s) are going to be deleted from the list. To confirm deletion select OK. Select Cancel to cancel deletion and return to the list page.*
5. Click **OK**. The selected controlling customer records are removed from the list.

## 4.8 Controlling Customer Error Messages

In the Controlling Customer chapter, if you add, modify, or add comments one or more Customers IDs, and either the security does not exist within the available Customers master table or you do not have access to the updated Customers IDs, the page displays one of the following error message:

Table 5 lists the error messages.

**Table 5: Controlling Customer Error Messages**

| Workflow | Occurrence  | Error Message  |
|----------|---|--|
| Update   | If the user wants to update one or more Customer IDs or Security IDs for all the updated controlling records, but the new values entered are not available in the Customer table or Security table, or the user does not have access to that Customer ID. | Controlling Customer Record(s) are modified to reference Customer ID(s)/ Security ID(s) that do not exist and will not be updated. Please check and enter again.                                     |
| Update   | If the user wants to update Customer list for some of the records Customer ID is invalid or the user doesn't have access to the modified Customer IDs.  | Rec#, Rec# Controlling Customer Record(s) are modified to reference Customer ID(s) that do not exist and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries. |

**Table 5: Controlling Customer Error Messages**

| Workflow    | Occurrence  | Error Message   |
|-------------|---|---|
| Update      | If the user wants to update records, and modified records are duplicate of each other.  | Some of the updated records are identical. Please check and enter again.  |
| Update      | If the user wants to update controlling records, and all entered records are duplicate of records already existing in database.           | Controlling Record (s) that are modified are identical to existing records and will not be updated. Please check and enter again.   |
| Update      | If the user wants to update multiple controlling records, and some entered records are duplicate of records already existing in database. | Rec#, Rec# Controlling Customer Record(s) are identical to existing records and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries. |
| Add Comment | If user updates any selected record from the search list, enters comment text, and clicks on Add Comment instead of Update.               | You are attempting to add comments only but some of the selected records are modified. Please use Update to save record modifications.                                      |
| Add         | If the user want to add a Customer ID which is not available with the system, or user does not have access to it.                         | Entered Customer ID value does not exist. Please check and enter again.   |
| Add         | If the user wants to add a Security ID which is not available with the system, user does not have access to it.                           | Entered Security ID value does not exist. Please check and enter again.   |

## 5 Managing Security Restrictions

This chapter describes the concept and process of managing the Security Restriction workflow of the Behavior Detection system. It provides systematic instructions to carry out various actions according to the workflow and user roles. This helps you to understand how to use various components to accomplish each task.

This chapter focuses on the following topics:

- [About Security Restrictions](#)
- [Key Features](#)
- [User Roles and Actions](#)
- [Security Restrictions Workflow](#)
- [Accessing the Security Restrictions Page](#)
- [Searching Security Restrictions](#)
- [Adding Security Restrictions](#)
- [Updating Security Restrictions](#)
- [Adding Comments to Security Restrictions](#)
- [Removing Security Restrictions](#)
- [Security Restriction Error Messages](#)

### 5.1 About Security Restrictions

A security restriction sets the conditions related to restrictions on trading specific securities. Oracle Financial Services Behavior Detection uses this information to generate alerts on suspicious trading behavior involving these restricted securities. The Security Restriction information flows into Oracle Financial Services Behavior detection and can be used for behavior detection through one of two ways. A client can choose to provide information regarding security restrictions during the batch process of loading data from files (for more information on Security Restrictions data files, see [Data Interface Specification](#)). Or, a client can choose to add and maintain security restrictions via the Manage Security Restrictions interface.

The Manage Security Restrictions 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. In addition, it enables you to establish new security trading restriction conditions. Access to the Manage Securities Restriction workflow is dependent on your role.

### 5 Key Features

The Behavior Detection UI allows you to perform the following actions:

- Search the existing conditions on security restrictions trading.
- Provide relevant information on the conditions related to security restrictions trading.
- Add new security restrictions.
- Update and comment existing security restrictions.
- Remove security restrictions from the list.

## 5.1 User Roles and Actions

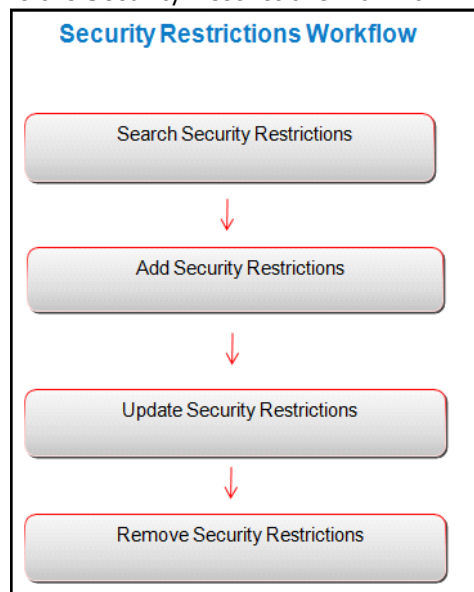
The following table details the user roles and actions in the Security Restrictions workflow:

**Table 1: User Roles and Actions**

| User Actions  | User Roles |            |             |            |           |                  |                  |            |                  |                |
|---|------------|------------|-------------|------------|-----------|------------------|------------------|------------|------------------|----------------|
| Privileges  | Analyst I  | Analyst II | Analyst III | Supervisor | Executive | Internal Auditor | External Auditor | Data Miner | AM Administrator | WLM Supervisor |
| View Search and List page of Security Restrictions        | X          | X          | X           | X          | X         | X                |                  |            |                  |                |
| Update Security Restrictions (Add, Edit, and Add Comment) |            |            | X           | X          |           |                  |                  |            |                  |                |
| Remove Security Restrictions                              |            |            | X           | X          |           |                  |                  |            |                  |                |

## 5.2 Security Restrictions Workflow

The following figure shows the Security Restrictions workflow.



**Figure 1: Security Restrictions Workflow**

The following table describes the Security Restrictions workflow.

**Table 2: Security Restrictions Workflow Table**

| Action                          | Description  | Roles                                |
|---------------------------------|--|--------------------------------------|
| Searching Security Restrictions | Users can search existing security restrictions using search criteria such as Security ID, Restriction Type, and so on.  | Analysts I, II, III, and Supervisors |
| Adding Security Restrictions    | Users can add new security restrictions and enables them to set conditions related to the security restrictions trading. | Analysts III and Supervisors         |
| Updating Security Restrictions  | Users can modify existing security restrictions by providing appropriate comments.                                       | Analysts III and Supervisors         |
| Removing Security Restrictions  | Users can remove existing security restrictions by providing appropriate comments.                                       | Analysts III and Supervisors         |

## 5.3 Accessing the Security Restrictions Page

This section explains how to access the Security Restrictions page. This page is available only to users who require entering the data related to adding security restrictions through the Oracle Financial Services Behavior Detection UI.

**NOTE** The Security Restriction data can flow either through DIS files or be entered manually on the Oracle Financial Services Behavior DETECTION UI, but not both.

To access the Security Restrictions page, follow these steps:

1. Navigate to the OFSAA Applications home page. For more information, see [Chapter 2, Getting Started,](#).
2. Click **Administration** in the RHS menu.
3. Hover over the **List Management** menu and click **Manage Security Restrictions**. The Manage Security Restrictions Search page is displayed.

## 5.4 Searching Security Restrictions

The Security Restriction Search page enables you to search trading restrictions on different securities based on the search criteria. If a search is performed with blank values in a search field, an error message displays.

To search security restrictions, follow these steps:

1. Navigate to the Manage Security Restriction Search page.

2. Enter the following information.

**Table 3: Security Restriction Search Components**

| Criteria                        | Description   |
|---------------------------------|---|
| Security ID                     | Enter the security ID of the business entity. If you search by Security ID then the Security Name field is disabled.  |
| Security Name                   | Enter the security name of the business entity. If you search by Security Name then the Security ID field is disabled. You can also search using the wild card entries in the text field.           |
| Restriction Type                | Select the restriction types from the Restriction Type drop-down list. For example, Threshold, Short term, and so on.   |
| Restriction List                | Select the restriction list types from the Restriction List drop-down list.   |
| Restriction List ID             | Select the restriction list IDs from the Restriction List ID drop-down list.  |
| Effective Date 'From' and 'To   | Select the effective start and end date from the Calender Control.<br><br><b>NOTE: The From date must be less than the To date.</b>   |
| Expiry Date 'From' and 'To      | Select the expiration start and end date from the Calender Control.<br><br><b>NOTE: The From date must be less than the To date.</b>  |
| Trading Activity                | Select trading activities from the Trading Activity drop-down list (for example, Buy, Sell, and combined).  |
| Restriction Quantity >=         | Enter the restriction quantity value greater than or equal to. The restriction quantity value should be a positive numeric value.   |
| Search By Restriction Record ID | Enter the restriction record ID. To search for multiple IDs, you must enter the IDs individually and separated by commas.<br><br>Search by Restriction Record ID ignores all other search criteria. |

3. Click **Go**. The updated Security Restriction list page is displayed.

The Security Restriction List page displays information regarding the applicable restrictions on trading of securities. The List page enables you to view the details of the security restrictions existing in the system and also to update, add, and delete a security restriction, depending on the user access.

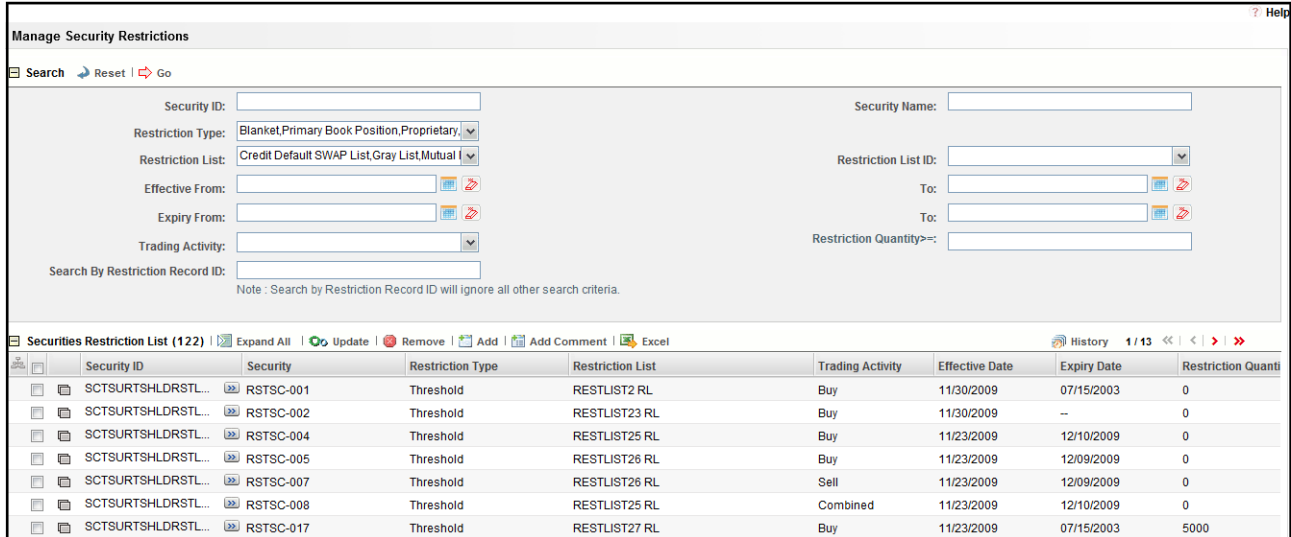


Figure 2: Security Restriction List page

## 5.5 Adding Security Restrictions

The Add Securities Restriction page enables you to set the conditions related to restriction on trading of securities manually.

To add security restriction, follow these steps:

1. Navigate to the Manage Security Restriction Search and List page.
2. Click **Add**. The Add Manage Security Restriction dialog box is displayed.

The dialog box contains the following fields: Security ID (text input), Restriction Type (dropdown), Trading Activity (dropdown), Effective Date (calendar icon), Expiry Date (calendar icon), Restriction Quantity (text input), and Comment (text area). Buttons for Save, Reset, and Cancel are at the bottom.

Figure 3: Add Security Restriction page

3. Enter the following information in the respective fields.

Table 4: Add Securities Restriction Fields

| Field            | Description  |
|------------------|--|
| Security ID      | Enter security ID. Multiple comma separated values are not allowed.  |
| Restriction Type | Select a restriction type from the Restriction Type drop-down list. For example, Short term, Threshold, and so on. |
| Restriction List | Select a restriction list from the Restriction List drop-down list.  |



**Table 4: Add Securities Restriction Fields**

| Field                   | Description   |
|-------------------------|---|
| Trading Activity        | Select a trading activity from the Trading Activity drop-down list. For example, Buy, Sell, and Combined.   |
| Effective Date          | Enter the effective date or select date from the calendar control.  |
| Expiry Date             | Enter the expiration date or select date from the calendar control.   |
| Restriction Quantity >= | Enter a positive number. ?  |
| Comment                 | Enter comments while creating new security restriction. The Comments text box has no character restrictions and scroll bars can be used for text that exceeds the visible space provided. |

**NOTE** Trading activity and the Effective date are mandatory.

- Click **Save**. The following message is displayed:  
*You have successfully added the following Restriction Record ID to Security Restrictions.*
- Click **OK**. The new Security Restriction is added to the list.

## 5.6 Updating Security Restrictions

This section enables you to modify the conditions related to restriction on trading of securities.

To update security restriction, follow these steps:

- Navigate to the Manage Security Restriction Search and List page.

| Security ID               | Security  | Restriction Type      | Restriction List | Trading Activity | Effective Date | Expiry Date | Restriction Quantity |
|---------------------------|-----------|-----------------------|------------------|------------------|----------------|-------------|----------------------|
| XXXSETRUNAPPTR<br>GAC-004 | CLMS      | Solicitation          | RESTLIST1 RL     | Combined         | 09/22/2013     | 09/24/2013  | 10                   |
| PMGL01                    | PMGL01    | Primary Book Position |                  | Combined         | 12/10/2009     | 12/10/2009  | 0                    |
| PMGL02                    | PMGL02    | Proprietary           |                  | Combined         | 12/10/2009     | 12/10/2009  | 0                    |
| SCTSURTSHLDRSTL...        | RSTSC-001 | Threshold             | RESTLIST2 RL     | Buy              | 11/30/2009     | 07/15/2003  | 0                    |
| SCTSURTSHLDRSTL...        | RSTSC-002 | Threshold             | RESTLIST23 RL    | Buy              | 11/30/2009     | --          | 0                    |

**Figure 4: Security Restriction Update page**

- Select one or more check boxes against the Security IDs in the list. The selected Security IDs are enabled for modification.
- Modify the necessary changes. .
- Click **Update**. The following message is displayed:

You have successfully updated Security Record ID..

**NOTE** In the Update Securities Restriction area, if you modify one or more Security IDs, and either the security does not exist within the available Security master table or you do not have access to the updated Security IDs, the page displays an error message. For more information on error messages, see [Security Restriction Error Messages](#).

5. Click **OK**. The selected security restriction records are updated.

## 5.7 Adding Comments to Security Restrictions

To add comments to the selected security restriction, follow these steps:

1. Navigate to the Manage Security Restriction Search and List page.

| <input type="checkbox"/> | Security ID        | Security  | Restriction Type | Restriction List | Trading Activity | Effective Date | Expiry Date | Restriction Quantity |
|--------------------------|--------------------|-----------|------------------|------------------|------------------|----------------|-------------|----------------------|
| <input type="checkbox"/> | SCTSURTSHLDRSTL... | RSTSC-005 | Threshold        | RESTLIST26 RL    | Buy              | 11/23/2009     | 12/09/2009  | 0                    |
| <input type="checkbox"/> | SCTSURTSHLDRSTL... | RSTSC-006 | Threshold        | RESTLIST24 RL    | Sell             | 12/10/2009     | 07/20/2003  | 0                    |
| <input type="checkbox"/> | SCTSURTSHLDRSTL... | RSTSC-007 | Threshold        | RESTLIST26 RL    | Sell             | 11/23/2009     | 12/09/2009  | 0                    |
| <input type="checkbox"/> | SCTSURTSHLDRSTL... | RSTSC-008 | Threshold        | RESTLIST25 RL    | Combined         | 11/23/2009     | 12/10/2009  | 0                    |

Comment:

**Figure 5: Security Restriction Comment page**

2. Select one or more check boxes against the Security IDs in the list.
3. Enter the appropriate comments for the selected Security IDs.
4. Click **Add Comments**. The following message is displayed: *Records updated with comments*.
5. Click **OK**. The selected security restrictions records are updated with recently added comments.

## 5.8 Removing Security Restrictions

This section describes how to delete the selected restrictions records imposed on the securities from the Security Restriction List section.

To delete securities from the Security Restriction list, follow these steps:

1. Navigate to the Manage Security Restriction Search and List page.

| <input type="checkbox"/>            | Security ID               | Security  | Restriction Type      | Restriction List | Trading Activity | Effective Date | Expiry Date | Restriction Quantity |
|-------------------------------------|---------------------------|-----------|-----------------------|------------------|------------------|----------------|-------------|----------------------|
| <input checked="" type="checkbox"/> | XXXSETRUNAPPTR<br>GAC-004 | CLMS      | Solicitation          | RESTLIST1 RL     | Combined         | 09/22/2013     | 09/24/2013  | 10                   |
| <input type="checkbox"/>            | PMGL01                    | PMGL01    | Primary Book Position |                  | Combined         | 12/10/2009     | 12/10/2009  | 0                    |
| <input type="checkbox"/>            | PMGL02                    | PMGL02    | Proprietary           |                  | Combined         | 12/10/2009     | 12/10/2009  | 0                    |
| <input type="checkbox"/>            | SCTSURTSHLDRSTL...        | RSTSC-001 | Threshold             | RESTLIST2 RL     | Buy              | 11/30/2009     | 07/15/2003  | 0                    |
| <input type="checkbox"/>            | SCTSURTSHLDRSTL...        | RSTSC-002 | Threshold             | RESTLIST23 RL    | Buy              | 11/30/2009     | --          | 0                    |

**Figure 6: Security Restriction Comments page**

2. Select one or more check boxes against the Security IDs in the list.

3. Enter appropriate comments to delete the selected Security IDs from the list.

**NOTE** If you do not enter comments before deleting a security in the list, the following message displays:

You are attempting to delete, but you have not added comment. Please add comments.

4. Click **Remove**. The following message is displayed: *1 record(s) are going to be deleted from the list. To confirm deletion select OK. Select Cancel to cancel deletion and return to the list page.*
5. Click **OK**. The selected security restriction records are removed from the list.

## 5.9 Security Restriction Error Messages

In the Update Securities Restriction area, if you modify one or more Security IDs, and either the security does not exist within the available Security master table or you do not have access to the updated Security IDs, the page displays an error message, as described in the following table.

**Table 5: Securities Restriction Error Messages**

| Workflow    | Occurrence   | Error Message   |
|-------------|--|---|
| Update      | If the user enters Expiry date lesser than System date.  | Please enter an Expiry date equal to or greater than the System date.   |
| Update      | If the user modifies one or more Security IDs such that all new values entered are not available in the Security table, or the user does not have access to the updated Security IDs.  | Restriction Record(s) is modified to reference Security ID(s) that does not exist and will not be updated. Please check and enter again.  |
| Update      | If the user selects multiple security restrictions to update and enters values such that some of them pass validation as existing and accessible securities. However, for others either they do not have access to the security ID, or the security ID does not exist in the Security table. | Rec#, Rec# Restriction Record(s) are modified to reference Security ID(s) that do not exist and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries. |
| Update      | If any two or more records updated by the user are identical to each other.  | Some of the updated records are identical. Please check and enter again.  |
| Update      | If some of the updated records are duplicates and rest are fine (Rec # = rest rec id).   | Rec#, Rec# Restriction Record ID(s) are identical to existing records and will not be updated. Click OK to proceed with changes. Click Cancel to modify your entries.                       |
| Update      | If all the updated records are duplicates of already existing records in the database.   | Restriction Record ID(s) that are modified are identical to existing records and will not be updated. Please check and enter again.   |
| Add Comment | If the user updates any selected record from the search list, enters comment text, and clicks on 'Add Comment' instead of Update.  | You are attempting to add comments only but some of the selected records are modified. Please use 'Update' to save record modifications.  |

**Table 5: Securities Restriction Error Messages**

| Workflow | Occurrence  | Error Message  |
|----------|---|--|
| Add      | If the user enters a Security ID which is not available with the system, or if the user does not have access to it. | Entered Security ID value does not exist. Please check and enter again.        |
| Add      | If the User enters data in identical to the existing record in DB.  | The entered Security Restriction already exists. Please check and enter again. |

## 6 Researching Business Data

This chapter describes how to use the Research workflow to search and inquire about a specific focus type and its related information. It also provides step-by-step instructions to create an alert on an entity.

This chapter covers the following topics:

- [About Research Business Data](#)
- [Key Features](#)
- [User Roles and Actions](#)
- [Research Workflow](#)
- [Searching for an Entity](#)
- [Viewing and Researching Entity Details](#)
- [Creating an Alert](#)

### 6.1 About Research Business Data

The Research workflow allows you to search for entities of interest. You can use this functionality to research business data or to aid in the research of alerts. The Search page captures your selection criteria related to a type of entity and then performs a search to find the specified entity. You can use the Research Search page to retrieve background and business information about a focus, as well as the related alerts and cases that are generated for that focus.

### 6.2 Key Features

The Behavior Detection UI allows you to perform the following actions:

- Search for a specific entity
- Analyze and research entity using detailed information
- Create an alert for an entity
- View the Relationships tab, which includes Related Alerts and Related Cases

#### User Roles and Actions

This section describes various user roles and actions they can perform in the Researching Business Data workflow.

The following table details about user roles and actions in the Researching Business Data workflow.

**Table 1: Researching Business Data User Roles and Actions**

| User Actions<br>Privileges     | User Roles |            |             |            |           |                  |                  |
|--------------------------------|------------|------------|-------------|------------|-----------|------------------|------------------|
|                                | Analyst I  | Analyst II | Analyst III | Supervisor | Executive | Internal Auditor | External Auditor |
| Access to Search and List page |            | X          | X           | X          | X         | X                |                  |
| View Entity details            |            | X          | X           | X          | X         | X                |                  |
| Create an Alert                |            | X          | X           | X          |           |                  |                  |

## 6.3 Research Workflow

The following figure shows the Research workflow.



**Figure 1: Research Workflow**

The following table describes the Research workflow.

**Table 2: Research Workflow**

| Action                  | Description  | Roles                             |
|-------------------------|--|-----------------------------------|
| Searching for an Entity | A user can research business data or to aid in the research of a specific alert. | Analysts II, III, and Supervisors |

**Table 2: Research Workflow**

| Action                                 | Description   | Roles                             |
|--|---|-----------------------------------|
| Viewing and Researching Entity Details | A User can view additional information about the entity for in depth research.          | Analysts II, III, and Supervisors |
| Creating an Alert                      | Based on the research and analysis, a user can create an alert for the selected entity. | Analysts II, III, and Supervisors |

## 6.4 Accessing the Research Business Data Page

This section explains how to access the Research page.

To access the Research page, follow these steps:

1. Navigate to the OFSAA Applications Home page. For more information, see [Chapter 2, Getting Started](#).
2. Click **Research** in the RHS menu. The Entity Search page is displayed.

## 6.5 Searching for an Entity

The Entity Search and List page allows you to research business data or to help in the research of a specific alert. This page captures your selection criteria related to a type of entity and then performs a search to find the specified entity.

To search for an entity, follow these steps:

1. Navigate to the Entity Search and List page.
2. Select the **Entity Type** from the drop-down list.
3. Select a scenario class from the **Context** drop-down list to give context for the type of business problem you are researching. The list has the abbreviated scenario class to which you have access.

**NOTE** The context you select does not restrict the entities displayed in the search results. However, the context does define the Business tabs and data format displayed.

4. Depending on the Entity Type and Context you have selected, additional search criteria are enabled. Enter the pertinent search criteria.

The following table describes the additional search criteria which are enabled. The filter criteria for your deployment can vary.

**NOTE**

- All Name Type fields have wildcard search.
- All search fields are mutually exclusive unless otherwise noted. You can search for an entity by only one criteria at a time

**Table 3: Additional Search Criteria**

| Field          | Description   |
|----------------|---|
| ID Type        | Select the unique identification number based on the entity type and scenario class selected. This field displays only if you select the entity type as Security or External Entity.  |
| Entity ID      | Enter the unique identification number of the entity selected in the Entity Type field. This field displays only if you select the entity type as Account, Customer, Security, Order, Execution, Employee, Trader, Registered Representative, External Entity, Household, Organization, or Portfolio Manager.   |
| Value          | Enter the security name or symbol as per the ID Type selected. This field accepts wildcards. To search using wildcard, use the % symbol. Minimum of two characters are required for wildcard search. This field displays only if you select the entity type as Security.  |
| Alternate ID   | Enter an alternative unique identification number for this account if you do not have a value for the ID type. This field displays only if you select the entity type as Account or Customer.   |
| Entity Name    | Enter the name of the entity to be searched if you do not have a value for the ID type or an alternate ID for the account. This field accepts wildcards. To search using wildcard, use the % symbol. Minimum of two characters are required for wildcard search. This field displays only if you select the entity type as Account, Customer, Correspondent Bank, Employee, Trader, Registered Representative, External Entity, Organization, or Portfolio Manager. |
| Tax ID         | Enter the tax identification number associated with the account if you do not have a value for the ID type, an alternate ID for the account, or the name of the entity to be searched. This field displays only if you select the entity type as Account or Household.  |
| Account ID     | Enter the unique identification number of the correspondent bank. This field displays only if you select the entity type as Correspondent Bank or Household.  |
| Placement Date | Select the date on which the order was submitted. This field displays only if you select the entity type as Order.  |
| Execution Date | Select the date on which the order was submitted. This field displays only if you select the entity type as Execution.  |
| Firm ID        | Enter the unique identification number of the investment advisor firm. This field displays only if you select the entity type as Investment Advisor.  |
| Firm Name      | Enter the name of the external investment advisor's firm if you do not know the name of the Firm ID. This field accepts wildcards. To search using wildcard, use the % symbol. Minimum of two characters are required for wildcard search. This field displays only if you select the entity type as Investment Advisor.  |
| Employee ID    | Enter the employee unique identification number of the investment advisor. This field displays only if you select the entity type as Investment Advisor.  |
| Employee Name  | Enter the name of the internal investment advisor if you do not know the employee ID. This field accepts wildcards. To search using wildcard, use the % symbol. Minimum of two characters are required for wildcard search. This field displays only if you select the entity type as Investment Advisor.   |



5. Click **Search**. If the search criteria are entered correctly, the Entity Search and List page is displayed.

**NOTE** If no matches are found for the focus based on the entered search criteria, a No Data Found message displays in the Entity Search and List page.

Home > Entity Search and List

Entity Search

Entity Type: Trader Context: CR

Entity ID: 400 Or Entity Name:

Search Reset

Trader

Create an Alert Export

| <input type="checkbox"/> Details                 | Trader ID           | Name                  | Title              | Role         | Office  | Line Organization ID |
|--|---------------------|-----------------------|--------------------|--------------|---------|----------------------|
| <input type="checkbox"/> <a href="#">Details</a> | BGMCIA-001          | ROBERT MARVO THOMPSON | INVESTMENT ADVISOR | Floor Trader | BGMC005 | INV001A              |
| <input type="checkbox"/> <a href="#">Details</a> | BGMCIA-002          | KELLY MARVO DAVIDSON  | INVESTMENT ADVISOR | Floor Trader | BGMC005 | INV001A              |
| <input type="checkbox"/> <a href="#">Details</a> | BSCFI01             | JOE ISICO VIBE        | SENIOR TRADER      | Floor Trader | BGMC002 | FI001A               |
| <input type="checkbox"/> <a href="#">Details</a> | BUYER-EE-301        | AMAN                  | PRODUCT LEAD       | Floor Trader | BGMC004 | INSUR-35             |
| <input type="checkbox"/> <a href="#">Details</a> | EE-FRONTRUN-IA-1101 | LALIT                 | QUALITY MANAGER    | Floor Trader | BGMC004 | INSUR-35             |

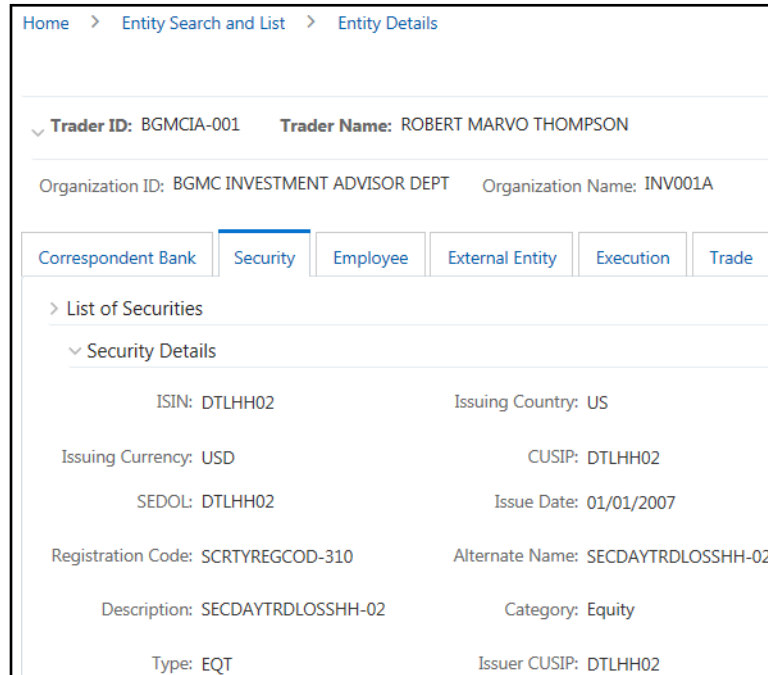
Figure 2: Entity Search and List page

**NOTE** The Entity Search and List allows you to view additional information about the selected entities. The columns which display in the Entity List vary depending on the entity type selected. All entity types display the Details column and the Alert Count and Case Count, which displays the total number of alerts or cases associated with this entity.

## 6.6 Viewing and Researching Entity Details

The Entity Details section allows you to view additional information about the entity you are researching. To view additional information, follow these steps:

1. Navigate to the Entity Search and List page.
2. Enter the search criteria for the entity you are researching.
3. Click **Search**. The page displays the search results based on your search criteria.
4. Click **Details** in the Entity Search and List page for the entity that you want to investigate. The Entity Details page is displayed.



**Figure 3: Entity Details page**

On the Entity Details page, you can view additional details based on the focus of your initial search. The other tabs are business tabs that show current information about the searched for an entity.

The display of the tab pages in the Research workflow is identical to those in the Monitoring workflow, with the exception of the following:

- The location information displayed in the page context control area specifies that you are in the Research workflow (as with the Entity Details page).
- Entity context information displays above the entity details information rather than alert context information.
- The Entity Details page provides an Alert Details link in the Relationships tab that takes you out of the Research workflow and places you in the Monitoring workflow to take actions on the alert pertaining to that entity.
- The Create New Alert button is displayed, which allows you to manually create an alert for this entity. The section [Creating an Alert](#), on page 70 explains the alert creation.

## 6.7 Creating an Alert

You can get complete details of entities when you research entities. Based on the research result, you analyze and determine to create an alert. This section explains how to create an alert for an entity.

To create an alert, follow these steps:

1. Navigate to the Entity Search and List page.
2. Enter the search criteria for the entity for which you want to create an alert. For more information, see [Searching for an Entity](#).
3. Click **Search**. The page displays the search results based on your search criteria.

4. Click **Details** in the Entity List for the entity that you want to create the alert. The Entity Details page is displayed.
5. Click **Create an Alert**. The New Alert window is displayed.

The New Alert window enables you to create user-defined alerts within the Research workflow.

**Figure 4: Create New Alert**

6. Enter the following information in the respective fields.

**Table 4: Create New Alert**

| Field          | Description   |
|----------------|---|
| Entity Type    | Displays the Entity Type and ID concatenated, as per your selection from the Entity List page.  |
| Entity Name    | Displays the Entity Name as per your selection from the Entity List page.   |
| Score          | Enter a score for the alert. The default value is displayed. The score value must be in the range of minimum and maximum score.<br><br>If you attempt to enter less than a minimum score or more than the maximum score, a message displays asking you to enter a value within the range of minimum and maximum score. The default, minimum, and maximum score value is configurable. Contact your system administrator for the default, minimum, and maximum scores. |
| Creation Date  | Displays the creation date with the current date.   |
| Scenario Class | The possible values are displayed based on the selection of the focus type.   |
| Due Date       | Select the date by which an action must be taken on the alert.  |

**Table 4: Create New Alert**

| Field                     | Description  |
|---------------------------|--|
| Auto Assignment check box | Select the Auto Assignment check box to automate the assignment of ownership of the alert.<br><br>Selecting this check box disables the Reassign Ownership To field and the system automatically assigns the owner as per rules defined in the Alert Assigner Editor under Behavior Detection Configuration settings set by an Oracle Administrator. |
| Owner                     | Select an owner for the newly created alert. The list displays owners who have access to the focal entity selected and scenario class.   |
| Status                    | Displays the status as New.  |
| Comments                  | Enter comments to support the creation of a new alert.   |

7. Click **Save**. The following confirmation message is displayed:

*A new alert will be created. Click OK to continue to the Alert Details for your newly created alert. Click Cancel to remain within the Create Alert workflow. The application creates an alert.*

8. Click **OK**. The Alert Details page for the newly created alert displays.

Once you create an alert successfully, if you select **OK** in the message box, it will take you to the Alert Details page with all applicable business tabs for this alert.

The values in the Same Scenario Prior and Same Class Prior fields in the alert context are set to zero and display as hyphens "-" in those fields. This is because the process which calculates the earlier alerts for the entity is done as part of scheduled batches and will not update real-time.

For more details on the tabs that display based on the Scenario Class and Focus, see [Appendix B, Business Tabs](#). Because user created alerts are based on business entities and not actual transactional activity, you do not see transactional information or other matched data on the Details tab. If your role permits, you can take actions on the alert from the Details page.

## 7 Managing Watch List Management

This chapter describes the Watch List Management functionality and gives step-by-step instructions for using it. The following topics are covered in this chapter:

- [About Watch List Management](#)
- [Accessing Watch List Management](#)
- [Managing Watch Lists](#)
- [Managing Watch List Members](#)

### 7.1 About Watch List Management

This section covers the following topics:

- [Introduction](#)
- [Key Features](#)
- [Watch List Management Architecture](#)

#### 7.1.1 Introduction

A Watch List is a list of entries that are known to have the same level of risk characteristics. Watch Lists can represent public sources or can be created and managed internally by the institution. Watch List data can originate from public sources. For example, the Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF) or private sources like a client's list of entities on which suspicious activity reports are filed.

Oracle Financial Services Watch List Management gathers risk metrics based on the processing of risk or trust values from client records during data ingestion. You can then use these risk metrics to find high-risk behaviors. Watch lists and their entries conform to types and characters that the *Data Interface Specification (DIS)* specifies; OFSBD audits all changes.

Public lists used by clients are huge, and can contain typographical errors. Without the Watch List Management UI, clients must accept these errors, or manually correct them each time the list is updated and transformed for delivery to Ingestion. Some clients established staging databases in which they applied corrections, managed internal lists, and transformed lists into the Oracle Financial Services DIS format.

The staging database process created the following limitations:

- Inefficient processing
- Increased complexity
- Increased cost for installation
- Requirement that clients review

### 7.2 Key Features

The Watch List Management UI allows you to perform the following actions:

- Add new watch lists
- Add new watch list members to watch lists
- Modify watch lists

- Deactivate existing watch list members and watch lists
- Review recommended actions to approve or reject

### 7.2.1 Watch List Management Architecture

The following figure depicts the architecture of Watch List Management.

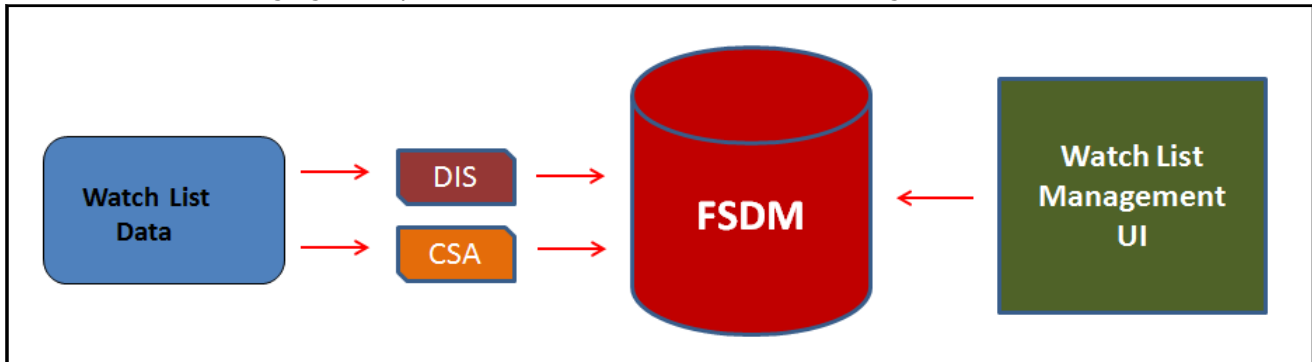


Figure 1: Watch List Management Architecture

## 7.3 User Roles and Actions

This section describes various user roles and actions they can perform in the Watch List Management (WLM) workflow.

Table 1: User Roles and Actions

| User Actions  |   | User Role      |
|---|---|----------------|
| Features  | Description   | WLM Supervisor |
| Watch List Management   | View all pages within the WLM application.  | X              |
| Watch List Management - Add Lists and Watch List Members        | Create new watch lists and Watch List Members.  | X              |
| Watch List Management - Edit Lists                              | Edit watch lists.   | X              |
| Watch List Management - Deactivate Lists and Watch List Members | Deactivate watch lists and Watch List Members.  | X              |
| Watch List Management - View Pending Changes                    | View watch lists and Watch List Members in <i>Pending</i> status  | X              |
| Watch List Management - Approve Pending Changes                 | Approve recommended action on watch lists and Watch List Members.<br>Actions taken by WLM Supervisor do not need any approvals. | X              |
| Watch List Management - Reject Pending Changes                  | Reject recommended action on watch lists and Watch List Members.<br>Actions taken by WLM Supervisor do not need any approvals.  | X              |

## 7.4 Accessing Watch List Management

To access the Watch List Management page, follow these steps:

1. Navigate to the OFSAA Application page. For more information on how to navigate to the OFSAA Application, see [Chapter 2, Getting Started](#).
2. Select the **Financial Services Anti-Money Laundering**. The Behavior Detection- Anti-Money Laundering page is displayed.
3. Click **Watch List Management** in RHS. The Watch List Management page is displayed.

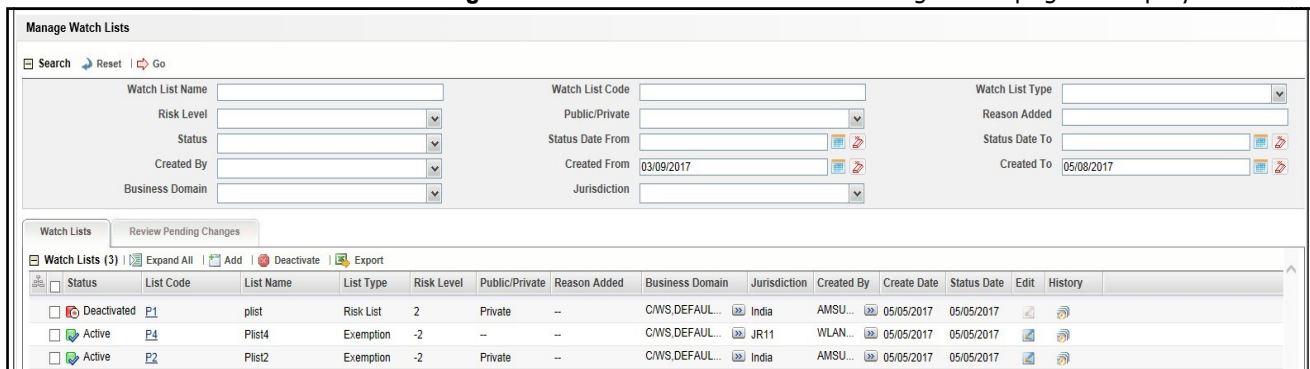


Figure 2: Watch List Management

## 7.5 Managing Watch Lists

This section explains how to add, modify, and deactivate watch lists.

The following sections describe how to manage watch lists:

- [Accessing the Managing Watch Lists Page](#)
- [Adding Watch Lists](#)
- [Editing Watch Lists](#)
- [Deactivating Watch Lists](#)
- [Viewing Watch Lists History](#)
- [Searching Watch Lists](#)

### 7.5.1 Accessing the Managing Watch Lists Page

To access the Manage Watch Lists page, follow these steps:

1. Navigate to the Watch Lists Management page. By default, The Manage Watch Lists Search and List page is displayed.

Or, hover over the **Watch List Management** main menu. Select the **Manage Watch Lists** submenu. The Manage Watch Lists Search and List page is displayed.

### 7.5.2 Adding Watch Lists

To add new watch lists, follow these steps:

1. Navigate to the Manage Watch Lists Search and List page. click the **Add**. The Add Watch List window is displayed.

**Figure 3: Add Watch List window**

2. Enter the following information in the appropriate fields.

**Table 2: Add Watch List fields**

| Field           | Description   |
|-----------------|---|
| Watch List Name | Enter the name of the watch list you wish to add.   |
| Watch List Code | Enter the unique, three character identifier for the watch list you wish to add.  |
| Watch List Type | Select the type of watch list you wish to add from the drop-down list. The Watch List Type you select helps displayed your options in the Risk Level drop-down list.  |
| Risk Level      | Select the degree of risk associated with the watch list you wish to add from the drop-down list. The drop-down list is displayed with specific values based on your selection in the Watch List Type drop-down list.<br><br>If you have selected the Watch List Type Trust or Exemption, the system automatically assigns a risk level -1 and -2 (respectively) to the watch list and you need not select a value. |
| Public/Private  | Select whether the watch list you are adding is public or private from the drop-down list.  |
| Reason Added    | Enter the reason to add new watch list.   |
| Business Domain | Select the business domain you wish to associate with the watch list from the drop-down list. You must be mapped to the business domain associated with the watch list to be able to view it on the UI.   |
| Jurisdiction    | Select the jurisdiction you wish to associate with the watch list from the drop-down list.<br><br>You must be mapped to the jurisdiction associated with the watch list to be able to view it on the UI.  |
| Comments        | Enter appropriate comments for this watch list.   |

3. Click **Save**. The following message is displayed:  
*Watch List will be created. Click OK to Save. Click Cancel to go back to the Add Watch List popup.*
4. Click **OK**.



### 7.5.3 Editing Watch Lists

To modify existing watch lists which are in *Active* status, follow these steps.

1. Navigate to the Manage Watch Lists Search and List page.
2. Select a watch list you wish to modify. Click **Edit**. The Edit Watch List window is displayed.

**Figure 4: Edit Watch List window**

3. Modify the necessary information in the appropriate field.

**NOTE** You cannot remove a business domain or jurisdiction that is currently linked with at least one watch list member associated with this watch list.

4. Click **Save**. The following message is displayed:  
*You have selected to edit this record. Click OK to continue and save changes.*
5. Click **OK**.

### 7.5.4 Deactivating Watch Lists

This section describes how to deactivate one or more watch lists in *Active* status.

**NOTE**

- To deactivate a watch list all watch list members must be unlocked.
- If you add watch list members to the deactivated watch list, the watch list members are also deactivated.
- The Watch List Management Utility does not allow you to reactivate the deactivated watch lists. Therefore, you must perform the deactivation action carefully.
- If you deactivate a watch list, any watch list members associated with that watch list will be deactivated.

To deactivate watch lists, follow these steps:

1. Navigate to the Manage Watch Lists Search and List page.

2. Select one or more watch lists. The status of the selected watch lists must be *Active*.

**NOTE**

If you select a watch list which is already recommended for deactivation, the following message is displayed:

Pending watch lists (members) cannot be deactivated.  
Please select only active watch lists (members).

3. Click **Deactivate**. The Deactivate Watch List window displays.



**Figure 5: Deactivate Watch List pop-up window**

The Deactivate Watch List window lists the watch lists you have selected to deactivate.

4. Enter the justification for deactivating watch lists in the Comments field.
5. Click **Save**. The following message is displayed.

*The following watch lists are being deactivated-konda.Click OK to Save. Click Cancel to go back to the Watch List Action popup.*

6. Click **OK**.

## 7.5.5 Viewing Watch Lists History

To view watch list history, follow these steps:

1. Navigate to the Manage Watch Lists Search and List page.
2. Select a required watch list. Click **History**. The Watch List History window is displayed.

**Figure 6: Watch List History window**

The history of the watch list displays in ascending order, based on date and time the action is recorded. The following table describes the columns in the Watch List History window.

**Table 3: Watch List History Columns**

| Column Name   | Description  |
|---------------|--|
| Action Name   | Displays the name of the action which was taken on the watch list.   |
| Date and Time | Displays the date and time at which the action was taken.            |
| By            | Displays the name of the user who has taken the action on the.       |
| Status        | Displays the status of the watch list after the action was recorded. |

**Table 3: Watch List History Columns**

| Column Name     | Description  |
|-----------------|--|
| Watch List Name | Displays the name of the watch list after the action was recorded.                         |
| List Type       | Displays the list type associated with the watch list after the action was recorded.       |
| Risk Level      | Displays the risk level assigned to the watch list after the action was recorded.          |
| Public/Private  | Displays the whether the watch list was public or private after the action was recorded.   |
| Reason Added    | Displays the description of the watch list after the action was recorded.                  |
| Comments        | Displays any user comments recorded with the action.                                       |
| Business Domain | Displays the business domain associated with the watch list after the action was recorded. |
| Jurisdiction    | Displays the jurisdiction associated with the watch list after the action was recorded.    |

3. Click **Close** to close the Watch List History window.

## 7.5.6 Searching Watch Lists

The Manage Watch Lists Search section enables you to search for watch lists based on criteria that you provide within this search section. Drop-down lists and text boxes enable you to filter available watch lists more precisely for analysis. A blank value in a filter means that no specific value is selected. If the blank value is selected, it will have no impact on filter criteria.

The following fields are displayed:

- **Created From:** Displays today's date - 60 days
- **Created To:** Displays today's date.

If a search is performed with blank values in fields, then the results are displayed without applying filters on those fields. In particular, if a status is not specified, the system applies a set of underlying rules to the records returned in the results. Blank search is not supported. You need to enter one or more search criteria in order to execute a search.

To search watch lists, follow these steps:

1. Navigate to the Manage Watch Lists Search and List page.

| Status      | List Code | List Name | List Type | Risk Level | Public/Private | Reason Added | Business Domain | Jurisdiction | Created By | Create Date | Status Date | Edit | History |
|-------------|-----------|-----------|-----------|------------|----------------|--------------|-----------------|--------------|------------|-------------|-------------|------|---------|
| Deactivated | P1        | plist     | Risk List | 2          | Private        | --           | CWS.DEFAUL...   | India        | AMSU...    | 05/05/2017  | 05/05/2017  |      |         |
| Active      | P4        | Plst4     | Exemption | -2         | --             | --           | CWS.DEFAUL...   | JR11         | WLAN...    | 05/05/2017  | 05/05/2017  |      |         |

**Figure 7: Manage Watch Lists page**

2. Enter the following information in the respective fields.

**Table 4: Watch List Search Section Filters**

| Field            | Description  |
|------------------|--|
| Watch List Name  | Enter the name of the watch list that you wish to search for.  |
| Watch List Code  | Enter the unique three-character identifier of the watch list that you wish to search for.   |
| Watch List Type  | Select the type of watch list you wish to search for from the drop-down list.  |
| Risk Level       | Select the degree of risk associated with the watch list from the drop-down list.  |
| Public/Private   | Select whether the watch list you are searching for is a public or private watch list.   |
| Reason Added     | Enter the description of the watch list you wish to search for.  |
| Status           | Displays current status of the watch list. There are four possible statuses: <ul style="list-style-type: none"> <li>• Active</li> <li>• Deactivated</li> <li>• Pending</li> <li>• Rejected</li> </ul> If you have access to view only Deactivated lists, this field will be blank. |
| Status Date From | Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.  |
| Status Date To   | Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.  |
| Created From     | Select a date range from which the watch list was created. By default, this field selects a date 60 days ago.  |
| Created To       | Select a date range during which the watch list was created. By default, this field selects today's date.  |
| Created By       | Select the name of the watch list creator from the drop-down list of all users that have a role with permission to Add Lists and Watch List Members.   |
| Business Domain  | Select the business domain associated with the watch list. You must be mapped to the business domain that is associated with the watch list to be able to view it on the UI.   |
| Jurisdiction     | Select the jurisdiction associated with the watch list. You must be mapped to the jurisdiction that is associated with the watch list to be able to view it on the UI.   |

3. Click **Go**. The relevant list of watch lists is displayed.

### 7.5.6.1 Viewing Watch Lists and Review Pending Tabs

This section explains the search result of watch lists. Most of the column headings in the Watch Lists section are sortable. You will be able to sort each column by right-clicking on the column header and choosing ascending or descending options.

The column heading that is selected for the sorting option displays with an arrow beside it. The direction of the arrow indicates the sort order (ascending or descending). When you click a different column heading, the arrow displays beside that column with the direction indicating the sort direction. Oracle Financial Services Behavior Detection refreshes the list and re-sorts the watch lists display by that field, retaining the current list entries based upon the criteria you selected in the Watch List Search. If you click the same column heading again, Oracle Financial Services Behavior Detection sorts the column in the opposite direction.

### 7.5.6.1.1 Watch Lists Tab Columns

The following table describes the columns in the Watch Lists section.

**Table 5: Watch List Columns**

| Column Name     | Description   |
|-----------------|---|
| Status          | Displays the current status of the watch list and an icon that represents the status. The following statuses may display: <ul style="list-style-type: none"> <li>• Pending</li> <li>• Rejected</li> <li>• Active</li> <li>• Deactivated</li> </ul>  |
| List Code       | Lists the unique three-character identifier of the watch list as a hyperlink. Click the Watch List Code to view the Manage Watch List Members page, which displays all members associated with the selected watch list. Use the bread crumbs to navigate back to the Manage Watch Lists page.   |
| List Name       | Displays the name of the watch list.  |
| List Type       | Displays the type associated with the watch list.   |
| Risk Level      | Displays the degree of risk associated with members of the watch list.  |
| Public/Private  | Indicates the origin of the watch list: <ul style="list-style-type: none"> <li>• <b>Public:</b> Indicator of a public source as the origin of the watch list.</li> <li>• <b>Private:</b> Indicator of a private source as the origin or watch list; that is, a list maintained by the Oracle client.</li> <li>• <b>All:</b> Indicator of both Public and Private sources of watch lists.</li> </ul> |
| Reason Added    | Displays the watch list description.  |
| Business Domain | Displays the business domains associated with the watch list. You must be mapped to the business domain that is associated with the watch list to be able to view it on the UI.   |
| Jurisdiction    | Displays the jurisdictions associated with the watch list. You must be mapped to the jurisdiction that is associated with the watch list to be able to view it on the UI.   |
| Created By      | Name of the user who created the watch list.  |
| Create Date     | Date the watch list was created.  |
| Status Date     | The date when the status of this watch list was last updated.   |

**Table 5: Watch List Columns**

| Column Name | Description  |
|-------------|--|
| Edit        | Click the Edit button to open the Edit Watch Lists pop-up window and edit the watch list details. The Edit button is enabled only when you have access to edit and the list is not in Deactivated status. Deactivated lists cannot be edited. For more information, refer to Editing Watch Lists, on page 77,. |
| History     | Click the History button to open the Watch Lists History pop-up window and view the watch list history. For more information, refer to Deactivating Watch Lists, on page 77,.  |

## 7.6 Managing Watch List Members

This section explains how to add, deactivate, and search watch list members.

This section covers the following topics:

- [Accessing the Watch List Members Page](#)
- [Adding Watch List Members](#)
- [Deactivating a Watch List Member](#)
- [Viewing Watch List Member Details](#)
- [Searching Watch List Members](#)

### 7.6.1 Accessing the Watch List Members Page

To access the Watch List Members page, follow these steps:

1. Navigate to the Watch List Management page.
2. Hover over **Watch List Management** main menu. Select the **Watch List Members** submenu. The Watch List Members Search and List page is displayed.

### 7.6.2 Adding Watch List Members

This section allows you to add new watch list members to the watch list.

**NOTE** If you add watch list members to the deactivated watch list, the watch list members are also deactivated.

To add a watch list member, follow these steps:

1. Navigate to the Watch List Members Search and List page.

2. Click **Add**. The Add Watch List Member window is displayed.

**Figure 8: Add Watch List Member window**

3. Enter the following information in the appropriate fields.

**Table 6: Add Watch List Member fields**

| Field             | Description   |
|-------------------|---|
| Watch List Code   | Select the unique identifier Watch List Code from the drop- down list. This is the watch list you wish to associate with this member.               |
| Watch List Name   | Displays the name of the watch list associated with this member. This field is pre-populated based on the Watch List Code.                          |
| Watch List Type   | Displays the watch list type for the watch list associated with this member. This field is pre-populated based on the Watch List Code.              |
| Watch List Status | Displays the status of the watch list associated with this member. This field is pre-populated based on the Watch List Code.                        |
| Risk Level        | Displays the risk level of the watch list associated with this member. This field is pre-populated based on the Watch List Code.                    |
| Public/Private    | Displays the whether the watch list associated with this member is public or private. This field is pre-populated based on the Watch List Code.     |
| Business Domain   | Displays the business domains associated with the watch list associated with this member. This field is pre-populated based on the Watch List Code. |
| Jurisdiction      | Displays the jurisdiction associated with the watch list associated with this member. This field is pre-populated based on the Watch List Code.     |
| ID Type           | Select the type of entity represented by the member from the drop-down list.  |
| ID                | Enter the identifier or name of the member you wish to add.   |
| Source            | Select the source of the member from the drop-down list.  |
| Business Cluster  | Select the business cluster associated with the member you wish to add from the drop-down list.   |
| Reason Added      | Select the reason this member is being added from the drop-down list.   |
| Description       | Enter a description for this member.  |
| Comments          | Enter appropriate comments to add this member.  |

**Table 6: Add Watch List Member fields**

| Field           | Description   |
|-----------------|---|
| Business Domain | <p>By default, this drop-down list is disabled and the Inherit Watch List Business Domains Check box is checked. This means that the watch list member inherits all domains assigned to the parent watch list (selected via the Watch List Code).</p> <p>Uncheck the Inherit Watch List Business Domains check box to enable the Domains drop-down list, which is populated with all domains assigned to the watch list. If a watch list has not been selected via the Watch List Code, then the Domains drop-down list is blank.</p> <p>Check the check box again to clear and disable the Domains drop-down list.</p> |
| Jurisdiction    | Displays jurisdiction associated with the watch list member.  |

**NOTE** A watch list member must be associated with a watch list.

The values in the Business Cluster and Reason Added fields in the Add Watch List Member window displays based on the attribute values available in the Reference Table Detail table.

The following table describes the attribute values for these fields:

**Table 7: Values in the Business Cluster and Reason Added fields**

| Business Table   | Business Field   | Code Set Identifier               | Instruction  |
|------------------|------------------|-----------------------------------|--|
| Watch List Entry | Reason Added     | Watch List Entry Reason Added     | <ul style="list-style-type: none"> <li>Code 1: Code for the Reason Added</li> <li>Code 2: not used</li> <li>Code Description: Description of reason for creating the watch list entry.</li> <li>Code Additional Information: not used</li> </ul>     |
| Watch List Entry | Source           | Watch List Entry Source           | <ul style="list-style-type: none"> <li>Code 1: Code for the Source</li> <li>Code 2: not used</li> <li>Code Description: Description of source of the watch list entry.</li> <li>Code Additional Information: not used</li> </ul>                     |
| Watch List Entry | Business Cluster | Watch List Entry Business Cluster | <ul style="list-style-type: none"> <li>Code 1: Code for the business cluster</li> <li>Code 2: not used</li> <li>Code Description: Description of business cluster of the watch list entry.</li> <li>Code Additional Information: not used</li> </ul> |

- Click **Save**. The following message is displayed:

*Watch List Member will be created. Click OK to Save. Click Cancel to go back to the Add Watch List popup.*

- Click **OK**.



### 7.6.3 Deactivating a Watch List Member

This section guides how to deactivate watch list members. The Watch List Management option does not allow you to reactivate the deactivated watch list members.

To deactivate a watch list member, follow these steps:

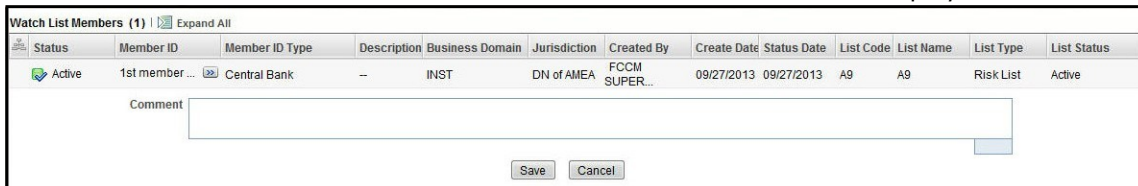
1. Navigate to the Watch List Members Search and List page.
2. Select one or more watch list members. The status of the selected watch list members must be *Active*.

**NOTE**

If you select a watch list member which is already recommended for deactivation by another user, the following message is displayed:

Pending watch lists (members) cannot be deactivated.  
Please select only active watch lists (members).

3. Click **Deactivate**. The Deactivate Watch List Member window is displayed.



**Figure 9: Deactivate Watch List Member window**

The Deactivate Watch List Member window lists the watch list members you have selected to deactivate.

4. Enter justification to deactivate watch list member in the Comments field.
5. Click **Save**. The following message is displayed. *The following watch list members are being deactivated. Click OK to Save. Click Cancel to go back to the Watch List Member Action popup.*
6. Click **OK**.

### 7.6.4 Viewing Watch List Member Details

This section allows you to a view complete history of the Watch List Members details. To view member details, follow these steps:

1. Navigate to the Watch List Members Search and List page.

- Click the **Member ID** of the member you wish to view details for. The Watch List Member Details and History window is displayed.

| Member Details                          |                     |                    |              |                        |
|---|---------------------|--------------------|--------------|------------------------|
| <b>Watch List Details</b>               |                     |                    |              |                        |
| Watch List Name:                        | A9                  | Watch List Code:   | A9           |                        |
| Watch List Type:                        | Risk List           | Watch List Status: | Active       |                        |
| Public/Private:                         | Private             | Risk Level:        | 0            |                        |
| <b>Member Details</b>                   |                     |                    |              |                        |
| Member ID:                              | 1st member of A9    | Member ID Type:    | Central Bank |                        |
| Status:                                 | Active              | Status Date:       | 09/27/2013   |                        |
| Source:                                 | --                  | Business Cluster:  | --           |                        |
| Business Domain:                        | INST                | Jurisdiction:      | DN of AMEA   |                        |
| Created By:                             | FCCM SUPERVISOR     | Create Date:       | 09/27/2013   |                        |
| Reason Added:                           | Internet            |                    |              |                        |
| Description:                            | --                  |                    |              |                        |
| <b>Member History (1)</b>    Expand All |                     |                    |              |                        |
| Action Name                             | Date and Time       | Status             | By           | Comments               |
| Created                                 | 09/27/2013 02:31:06 | Active             | SUPERVISOR   | Illegal Money Trasfer. |

**Figure 10: Watch List Member Details and History window**

The following table describes the columns in the Watch List Member Details and History window.

**Table 8: Fields in Watch List Member Details and History**

| Field Name        | Description  |
|-------------------|--|
| Watch List Name   | Displays the watch list name.  |
| Watch List Code   | Displays the watch list unique identifier.   |
| Watch List Type   | Displays the type of watch list.   |
| Watch List Status | Displays the status of watch list.   |
| Risk Level        | Displays the degree of Risk associated with the watch list.  |
| Public/Private    | Displays the public or private watch list.   |
| Status            | Displays the current status of this member.  |
| Status Date       | Last status change date for this member.   |
| Created By        | Displays the creator of the member.  |
| Create Date       | Displays the date the member was created.  |
| ID Type           | Displays the type of entity represented by the member.   |
| ID                | Displays the identifier or name of a member. The value for this field is automatically populated as the Entity Identifier 1 Text field in the Watch List Entry FSDM table. |
| Source            | Displays the source of the member.   |
| Business Cluster  | Displays the business cluster associated with the member.  |

**Table 8: Fields in Watch List Member Details and History**

| Field Name      | Description  |
|-----------------|--|
| Business Domain | Displays the business domain(s) associated with the member. If the member is associated with more than one domain, the UI displays available business domains in alphabetical order. |
| Jurisdiction    | Displays the jurisdiction associated with the member.  |
| Reason Added    | Displays the reason member was added.  |
| Description     | Displays the description of the watch list member.   |

## 7.6.5 Searching Watch List Members

The Manage Watch List Members Search section enables you to search for watch list members based on criteria that you provide within this search section. Drop-down lists and text boxes enable you to filter available watch list members more precisely for analysis.

The following fields are displayed:

- **Created From:** Displays today's date - 60 days
- **Created To:** Displays today's date

To search watch list members, follow these steps:

1. Navigate to the Manage Watch List Members Search and List page.

**Figure 11: Manage Watch Lists page**

2. Enter the following information in the respective fields.

**Table 9: Watch List Members Search Section Filters**

| Fields             | Description   |
|--------------------|---|
| Watch List Name    | Enter the name of the watch list associated with the watch list member you wish to search for.                                    |
| Watch List Code    | Enter the unique, three character identifier of the watch list associated with the watch list member that you wish to search for. |
| Watch List Type    | Select the type of watch list associated with the watch list member you wish to search for from the drop-down list.               |
| Member ID          | Enter the identifier or name of the member on the watch list.   |
| Member ID Type     | Select the type of entity represented by the member you wish to search for from the drop-down list.                               |
| Member Description | Enter a description for the watch list member.  |

**Table 9: Watch List Members Search Section Filters**

| Fields                  | Description  |
|-------------------------|--|
| Member Reason Added     | Select the reason the member was added from the drop-down list.  |
| Member Source           | Select the source of the member you wish to search for from the drop-down list.  |
| Member Business Cluster | Select the business cluster associated with the member you wish to search for from the drop-down list.   |
| Member Status           | Select the status of the watch list member you wish to search for from the drop-down list. There are four possible statuses: <ul style="list-style-type: none"> <li>• Active</li> <li>• Deactivated</li> <li>• Pending</li> <li>• Rejected</li> </ul> If you have access to view only Deactivated lists, this field will be blank. |
| Status Date From        | Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.  |
| Status Date To          | Select the date range when the last status change took place. This drop-down list is populated with values based on your mapping to statuses in the database.  |
| Member Created By       | Select the name of the user who created the watch list member you wish to search for in the drop-down list.  |
| Created From            | Select a date range from which the watch list member was created. By default, this field selects a date 60 days ago.   |
| Created To              | Select a date range during which the watch list member was created. By default, this field selects today's date.   |
| Business Domain         | Select the business domain associated with the watch list member you wish to search for. You must be mapped to the business domain associated with the member to be able to view it on the UI.   |
| Jurisdiction            | Select the jurisdiction associated with the watch list member you wish to search for. You must be mapped to the jurisdiction associated with the member to be able to view it on the UI.   |

3. Click **Go**. The relevant watch list members list is displayed.

### 7.6.5.1 Viewing Watch List Members and Review Pending Tabs

This section describes the search result of watch list members. Most of the column headings in the Watch List Members section are sortable. You will be able to sort each column by right-clicking on the column header and choosing ascending or descending options.

The column heading that is selected for the sorting option displays with an arrow beside it. The direction of the arrow indicates the sort order (ascending or descending). When you click a different column heading, the arrow displays beside that column with the direction indicating the sort direction. Oracle Financial Services Behavior Detection refreshes the list and re-sorts the watch lists display by

that field, retaining the current list entries based upon the criteria you selected in the Watch List Search. If you click the same column heading again, Oracle Financial Services Behavior Detection sorts the column in the opposite direction. The following table describes the columns in the Watch List Members section.

### 7.6.5.1.1 Watch List Members Tab Columns

The following table describes the columns in the Watch List Members section.

**Table 10: Watch List Members Columns**

| Column Name     | Description   |
|-----------------|---|
| Status          | Displays the current status of the watch list member and an icon that represents the status. The following statuses may display: <ul style="list-style-type: none"> <li>Active</li> <li>Deactivated</li> </ul>  |
| Member ID       | Displays the identifier or name of the watch list member. This identifier is a hyperlink that opens the Member Details popup. You will be able to see only the first 50 characters of the Member ID. You can increase the width of the field via the Field Chooser. |
| Member ID Type  | Displays the type of entity represented by the watch list member.   |
| Description     | Provides a description of the watch list member.  |
| Business Domain | Displays the business domains associated with the watch list member.  |
| Jurisdiction    | Displays the jurisdiction associated with the watch list member.  |
| Created By      | Displays the name of the watch list creator who created this member.  |
| Create Date     | Displays the date this watch list member was created.   |
| List Code       | Lists the unique identifier of the watch list this member is associated with.   |
| List Name       | Displays the name of the watch list this member is associated with.   |
| List Type       | Displays the type of watch list this member is associated with.   |
| List Status     | Displays the current status of the watch list this member is associated with.   |

## 8 Setting User Preferences

This chapter describes the concept and process of managing Behavior Detection UI preferences. It provides systematic instructions to carry out various actions according to user roles. This helps you to understand how to use various components to accomplish each task.

This chapter covers following topics:

- [About Preferences page](#)
- [Key Features](#)
- [User Roles and Actions](#)
- [Accessing Preferences Page](#)
- [Managing Preferences](#)

### NOTE

Some components of the Preference page are specific to either Enterprise Case Management or Behavior Detection. Firms that have implemented both and users who have access to both will see a supers et of items for which preferences can be set. Where only one is installed or users can access one or the other, they will see preferences related to the component for which they have access.

### 8.1 About Preferences page

You can change your default preferences for Alert Management using the Preferences page. You can manage preferences in Workflow, Search, Graph, Audit, and other sections according your convenience. Use **Expand** > - to expand the section and **Collapse** ▼ to collapse the section.

### 8.2 Key Features

- Set preferences for the Alert Search and List page
- Set preferences for the Simple and Advanced Search sections.
- Set preferences for AML, Broker Compliance, Fraud, and Trading Compliance search options
- Set preference for the Replay Tab
- Set preferences for the Audit Display Tab

### 8.3 User Roles and Actions

This section describes various user roles and actions they can perform in the Behavior Detection UI preferences.

The following table details the user roles and actions in the Behavior Detection UI preferences:

**Table 1: User Privileges**

| User Actions          | User Roles |            |             |            |           |                  |                  |            |                  |                |
|-----------------------|------------|------------|-------------|------------|-----------|------------------|------------------|------------|------------------|----------------|
| Privileges            | Analyst I  | Analyst II | Analyst III | Supervisor | Executive | Internal Auditor | External Auditor | Data Miner | AM Administrator | WLM Supervisor |
| Access to Preferences | X          | X          | X           | X          | X         | X                | X                | X          |                  |                |

## 8.4 Accessing Preferences Page

This section explains how to access the Preferences page.

To access the Preferences page, follow these steps:

1. Navigate to the OFSAA Applications Home page. For more information, see [Chapter 2, Getting Started,](#).
2. Click **Preferences**. The Preferences page is displayed.

## 8.5 Managing Preferences

This section explains you how to manage preferences in Behavior Detection UI.

This section helps you in managing following default settings:

- [Setting Alert Search and List Options](#)
- [Setting Options for Alert Search](#)
- [Setting AML Specific Search Options](#)
- [Setting Broker Compliance Specific Search Options](#)
- [Setting Fraud Specific Search Options](#)
- [Setting Trading Compliance Specific Search Options](#)
- [Setting Trade Blotter Default Search](#)
- [Setting the Options for Replay Page](#)
- [Setting Options for Audit Display](#)
- [Saving Preferences](#)

### 8.5.1 Setting Alert Search and List Options

The Set Alert Search and List Options section enables you to set the display preferences in the Search and Alert List page.

To set alert search and list options, follow these steps:

1. Navigate to the Preferences page and go to the Set Alert Search and List Options section.

2. Select the preferred options from the respective drop-down lists.

**Table 2: Set Alert Search and List Options**

| Field                           | Description  |
|---------------------------------|--|
| Set Alert Display Configuration | <p>To set your alert display configuration based on deployed solution sets or other configurable criteria, select one of the following solutions sets to display a custom set of controls and fields in the Alert Search and List section. The following are the available options:</p> <ul style="list-style-type: none"> <li>• Anti-Money Laundering</li> <li>• Broker Compliance and Control Room</li> <li>• Fraud</li> <li>• Standard</li> <li>• Trading Compliance</li> </ul> <p>These solution sets are provided with standard deployment. Additional custom solution sets can be configured in the Alert Display Configuration selection.</p> |
| Set Default Search              | <p>To set default search fields based on the deployed solution sets or other configurable criteria, select the mutually exclusive default search type from the drop-down list. The following are the available options:</p> <ul style="list-style-type: none"> <li>• Views</li> <li>• Simple Search</li> <li>• Advanced Search</li> </ul>  |
| Set View for Alert List         | <p>To set the view for the alert list in the Search and Alert List page, select the view for alert list type from the drop-down list. For example, My Open Alerts, My New Alerts, and so on. By default, the <i>My Open Alerts</i> option is selected if you have not previously saved your View option.</p>   |

## 8.5.2 Setting Options for Alert Search

This section explains how to set field options in the Simple and Advanced Search sections. The fields that are set in the Preferences page display in the Alert Search page.

**NOTE** This section appears only if you select Simple Search or Advanced Search in the Set Default Search field.

To set options for Alert Search page, follow these steps:

1. Navigate to the Preferences page and go to the Set Option for Alert Search.
2. Select common filters for the solution set. For more information, see [Table 2](#) Setting the Alert Display Configuration section.

**Table 3: Alert Search Components**

| Fields                     | Description   | Standard | AML | TC | BC | Fraud |
|----------------------------|---|----------|-----|----|----|-------|
|                            |   |          |     |    |    |       |
| Alerts Created in the Last | Select alerts created in the last 1, 5, 10, or 30 days from the drop-down list. | X        | X   | X  | X  | X     |



**Table 3: Alert Search Components (Continued)**

| Fields         | Description   | Standard | AML | TC | BC | Fraud |
|----------------|---|----------|-----|----|----|-------|
| Organization   | <p>Select the organization from the drop-down list. This filters alert list by the ID of the organization associated with the owner of an alert.</p> <p>This drop-down list only contains the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. If you filter by Organization, you cannot filter by Owner.</p>   | X        | X   | X  | X  | X     |
| Owner          | <p>Select the owner from the drop-down list. This filters the alert list by a user or user group to whom an alert is assigned.</p> <p>This drop-down list contains user or user group within the organization.</p> <p>If you filter by Owner, you cannot filter by Organization.</p>  | X        | X   | X  | X  | X     |
| Scenario Class | <p>Select the scenario class from the drop-down list. This filters the alert list by the scenario class associated with an alert, it is listed by its abbreviation.</p> <p>This drop-down list contains only the scenario classes that you are authorized to view.</p> <p>If you filter by Class, you cannot filter by Scenario.</p>  | X        | X   | X  | X  | X     |
| Scenario       | <p>Select the scenario from the drop-down list.</p> <p>This filters the alert list by the scenarios name of the behavior or activity that generated the alert.</p>  | X        | X   | X  | X  | X     |
| Status         | <p>Select the status from the drop-down list.</p> <p>This filters the alert list by the current status of an alert, relative to its analysis and closure in the drop-down list.</p>   | X        | X   | X  | X  | X     |
| Focus          | <p>Select the focus from the drop-down list.</p> <p>This filters the alert list by the type of business object that exhibits the behavior of interest, focus is a two-part representation including focus type and an associated focal entity.</p> <p>Your access control privileges determine which focus types display in the drop-down list. If you filter by Focus, you cannot filter by Focus Type.</p> <p>For example, a focus of <i>TR SmithJ</i> consists of a focus type of <i>TR</i> and a focal entity of <i>SmithJ</i>.</p> | X        | X   | X  | X  | X     |
| Score          | <p>Select alerts with scores greater than equal to, equal to, or less than equal to, to the score you enter in the box.</p> <p>This filters the alert list by the score the alert received when based against the criteria selected by your firm.</p>   | X        | X   | X  | X  | X     |

**Table 3: Alert Search Components (Continued)**

| Fields                   | Description  | Standard | AML | TC | BC | Fraud |
|--------------------------|--|----------|-----|----|----|-------|
| Age                      | Select alerts with age greater than equal to, equal to, or less than equal to, to the age you enter in the box. This filters the alert list by the number of calendar or business days since the creation of an Active alert.            | X        | X   | X  | X  | X     |
| Jurisdiction             | Select the jurisdiction from the drop-down list. This filters the alert list by jurisdiction to which you are assigned.  | X        | X   | X  | X  | X     |
| Domain                   | Select the business domain from the drop-down list. This filters the alert list by the business domain associated with an alert. The drop-down list only contains the business domains with which you are authorized to view.            | X        | X   | X  | X  | X     |
| Alerts Due               | Select the alert due from the drop-down list. This filters the alert list by the date by which an action should be taken on the alert.   | X        | X   | X  | X  | X     |
| Closing Action           | Select the closing action from the drop-down list. This filters the alert list by one or more selected closing actions that are taken on an alert.   | X        | X   | X  | X  | X     |
| Last Action              | Select the last action from the drop-down list. This filters the alert list by the selected action or actions representing the last action recorded for a alert.   | X        | X   | X  | X  | X     |
| Action                   | Select the action from the drop-down list. This filters the alert list by one or more actions that are taken on an alert.  | X        | X   | X  | X  | X     |
| Regulatory Report Type   | Select the Regulatory Reporting type from the drop-down list. This filters the alert list by the regulatory reporting types that are available to you (for example, (SARDI). The Regulatory Reporting is an optional Oracle application. | X        | X   | X  | X  | X     |
| Regulatory Report Status | Select the Regulatory Reporting status from the drop-down list. This filters the alert list by the current status of an alert that is recommended for Regulatory Reporting, an optional Oracle application.                              | X        | X   | X  | X  | X     |

**Table 3: Alert Search Components (Continued)**

| Fields                  | Description  | Standard | AML | TC | BC | Fraud |
|-------------------------|--|----------|-----|----|----|-------|
| Prior All               | Select alerts with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br>This filters the alert list by the number of previously generated matches for the same focal entity across all scenarios and solution sets. | X        | X   | X  | X  | X     |
| Linked Cases            | Select alerts with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br>This filters the alert list by the cases that are linked to the alert.  | X        | X   | X  | X  | X     |
| Limit to Focus checkbox | Select the limit to focus or not.<br>This filters the alert list to where the specified entity is the focus.   | X        | X   | X  | X  | X     |
| Entity Type             | Select the focus from the drop-down list and type either Entity Name or Entity ID to search for alerts.<br>This filters the alert list by the type of business entity you select in the drop-down list box.  | X        | X   | X  | X  | X     |
| Entity ID               | Enter the unique identifier for entity that is associated with alerts you want to view. The field accepts up to fifty characters of text in the Entity ID box.   | X        | X   | X  | X  | X     |
| Entity Name             | Enter the entity name associated with alerts you want to view.   | X        | X   | X  | X  | X     |

### Setting AML Specific Search Options

The Behavior Detection system enables you to set AML specific search fields. To set AML specific search options, follow these steps:

1. Navigate to the Preferences page. Go to the Set AML Specific Search Options section.

**NOTE**

- This section displays only if you select **Anti - Money Laundering** in the Set Alert Display Configuration drop-down list and **Simple Search** or **Advanced Search** in the Set Default Search drop-down list.
- Some AML filters are applicable to another display configuration. Setting defaults for these filters applies across display configuration.

2. Select the preferred options from the respective drop-down lists.

**Table 4: AML Specific Search Options**

| Fields         | Description   |
|----------------|---|
| Prior Scenario | Select scenario with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br><br>This filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert. |
| Prior Class    | Select class with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br><br>This filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.                   |

### 8.5.3 Setting Broker Compliance Specific Search Options

The Behavior Detection system enables you to set Broker Compliance specific search fields. To set Broker Compliance specific search options, follow these steps:

1. Navigate to the Preferences page. Go to the **Set Broker Compliance Specific Search Options** section.

**NOTE**

- This section displays only if you select **Broker Compliance** and **Control Room** in the Set Alert Display Configuration drop-down list and **Simple Search** or **Advanced Search** in the Set Default Search drop-down list.
- Some AML filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

2. Select the preferred options from the respective drop-down lists.

**Table 5: Broker Compliance Specific Search Options**

| Fields            | Description  |
|-------------------|--|
| IA Firm ID        | Enter the investment advisor firm ID. This filters the alert list by the identification of the firm associated with the investment advisor.                      |
| IA Firm           | Enter the investment advisor firm name. This filters the alert list by the name of the firm associated with the investment advisor.                              |
| Service Team ID   | Enter the service team ID. This filters the alert list by the identification of the primary service team of which this employee is a member.                     |
| Representative ID | Enter the registered representative ID. This filters the alert list by identification number of the employee or contractor who is the registered representative. |

**Table 5: Broker Compliance Specific Search Options**

| Fields                      | Description   |
|-----------------------------|---|
| Representative              | Enter the representative name. This filters the alert list by name of the employee or contractor who is the registered representative.                                  |
| Branch ID                   | Enter the branch ID. This filters the alert list by the identification number of the organization where this account is domiciled.                                      |
| Branch                      | Enter the branch name. This filters the alert list by the name of the organization where this account is domiciled.   |
| Supervisory Organization ID | Enter the supervisory organization ID. This filters the alert list by unique identification number of the organization where the registered representative is employed. |
| Supervisory Organization    | Enter the supervisory organization name. This filters the alert list by the name of the organization where the registered representative is employed.                   |

## 8.5.4 Setting Fraud Specific Search Options

The Behavior Detection system enables you to set Fraud specific search fields. To set Fraud specific search options, follow these steps:

1. Navigate to the Preferences page. Go to the Set Fraud Specific Search Options section.

**NOTE**

- This section displays only if you select **Fraud** in the Set Alert Display Configuration drop-down list and **Simple Search** or **Advanced Search** in the Set Default Search drop-down list.
- Some AML filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

2. Select the preferred options from the respective drop-down lists.

**Table 6: Fraud Specific Search Options**

| Fields                | Description   |
|-----------------------|---|
| Total/Net Loss Amount | Enter the total/net loss amount value. This filters the alert list by the total net loss amount associated with the alert. This is the total loss remaining after Averted and Recovery Amounts are subtracted from the Potential Loss.  |
| Primary Cost Center   | Enter the primary cost center value. This filters the alert list by the primary cost center to which the total net loss amount for an alert is associated.  |
| Prior Scenario        | Select scenario with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br><br>This filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert. |

**Table 6: Fraud Specific Search Options**

| Fields      | Description   |
|-------------|---|
| Prior Class | Select class with prior value greater than equal to, equal to, or less than equal to, to the value you enter in the box.<br><br>This filters the alert list by the number of matches previously generated for the same scenario class associated with an alert. |

## 8.5.5 Setting Trading Compliance Specific Search Options

The Behavior detection system enables you to set Trading Compliance specific search fields. To set Trading Compliance specific search options, follow these steps:

1. Navigate to the Preferences page. Go to the Set Trading Compliance Specific Search Options section.

### NOTE

- This section displays only if you select **Trading Compliance** in the Set Alert Display Configuration drop-down list and **Simple Search** or **Advanced Search** in the Set Default Search drop-down list.
- Some AML filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

2. Select the preferred options from the respective drop-down lists.

**Table 7: Trading Compliance Specific Search Options**

| Fields      | Description  |
|-------------|--|
| Security ID | Enter the security ID. This filters the alert list by the identification number of the security involved in the alert. |
| Security    | Enter the security name. This filters the alert list by the name of security involved in the alert.                    |
| Trader      | Enter the trader name. This filters the alert list by the name of the trader involved in the alert.                    |
| Trader ID   | Enter the trader ID. This filters the alert list by the identification number of the trader involved in the alert.     |

### 8.5.5.1 Setting Trade Blotter Default Search

If Trade Blotter is enabled at the deployment and if you have the appropriate access permissions for the Trade Blotter functionality, the Set Trade Blotter Default Search section on the Preferences page enables you to set the display preferences for the simple and advanced searches.

1. Navigate to the Preferences page. Go to the Set Trade Blotter Default Search section.
2. Select the following mutually exclusive options displays in the Trade Blotter section:
  - Simple Search
  - Advanced Search

Refer to [Chapter 3, Managing Trade Blotter](#) on page 17, for a description of all the possible fields on the Trade Blotter Search section.

### 8.5.5.2 Setting Simple Search Options for Trade Blotter

Oracle Financial Services Behavior detection enables you to set preference for the search options that are configured for the Simple Trade Search section of Trade Blotter Search page.

The values you set here are automatically pre-populated in the corresponding fields of the Search page. The time you select from the **Trades executed in the Last:** drop-down list on the Preferences page is calculated to populate the correct dates in the **Trade Date From** and **To** fields on the Search page.

### 8.5.5.3 Setting Advanced Search Options for Trade Blotter

In addition to specifying preference for the Simple Trade Search section, you can set options for all the search filters and the view and sort fields that are configured for the Advanced Trade Search section.

The values you set here are automatically pre-populated in the corresponding fields of the Search page. The following discrepancies exist between the fields displayed on the Advanced section of the Trade Blotter Search page, and the Advanced section of the Trade Blotter section of the Preferences page:

- For Organization, Division, and Branch filters, if the one or two filters are configured for display on the Search page, the system does not display the third filter as a preference option. Also, the Division filter is enabled only if you select a value in the Organization preference option. Further, the Division preference option is populated based on the selection made in the Organization preference option, and so forth.
- For dates (in other words, the Trade Date, Trade Entered Date, Settlement Date, and Review Status To and From fields), instead of displaying preference options for the date To and From fields, a Trades Reviewed in the Last drop-down list displays with the following values:
  - Blank
  - 1 Day
  - 5 Days
  - 10 Days
  - 30 Days
  - 60 Days

Based on the value you select here, the system resets the values in the To and From date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the To date field is populated with the current system date and the From date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the To and From date fields on the Search page to a blank value.

### 8.5.6 Setting the Options for Replay Page

The Set Options for Replay page section displays if your role is associated with one or more scenarios belonging to a scenario class and focus that display on the Replay tab, and have access to the Replay tab in the application. The Behavior Detection system enables Analyst II, Analyst III, and Supervisor roles to configure the Security Group filters in the Replay page.

To set options for Replay page, follow these steps:

1. Navigate to the Preferences page. Go to the Set Options for Replay page section.
2. Select either **Disable** or **Enable** in the Set Option for Security Group.

**NOTE** By default, the Behavior Detection UI selects the Security Group option as **Enable** if you do not save your settings.

### 8.5.7 Setting Options for Audit Display

This section explains how to set preferences on the audit display.

To set options for audit display, follow these steps:

1. Navigate to the Preferences page. Go to the Set Options for Audit Display section.
2. To view a history of when the current alert is viewed by the owner or other users regardless of any action being taken, select the **Display View Only Action** checkbox.
3. To view a history of when the status of the current alert is changed, select the **Display Status Changing Actions** checkbox.
4. To view all the alerts which have attachments, select the **Attachments Included** checkbox.

### 8.5.8 Saving Preferences

Once you complete setting your preferences, click **Save**.

**NOTE** You do not have to logout for new preferences to take effect. The system remembers your preferences. Each time you access the system, the preferences are displayed.



# A Alert Components and Tables

This appendix provides additional information on various tables of alert management and covers following sections:

- [Alert Context Information](#)
- [Search Components](#)
- [Alert List Display Configuration](#)

## A.1 Alert Context Information

The following table provides a list of the fields that display in the Alert Context information based on your scenario class of the alert.

**Table 1: Alert Context Information by Scenario Class**

| Column                      | Description  | AML | Fraud | TC | BC |
|-----------------------------|--|-----|-------|----|----|
| Alert ID                    | Unique ID of the alert.  | X   | X     | X  | X  |
| Focus [Type and Name]       | Focus on which the alert is based. Both the focus type abbreviation and the focus name display.  | X   | X     | X  | X  |
| Score                       | Score the alert received.  | X   | X     | X  | X  |
| Scenario                    | Scenario short name of the scenario that generated the alert.  | X   | X     | X  | X  |
| Owner                       | Name of an individual or group of users to whom the alert is assigned.   | X   | X     | X  | X  |
| Organization                | Name of the organization for which an alert is assigned.   | X   | X     | X  | X  |
| Business Domain             | Business domain(s) associated with the alert focus.  | X   | X     | X  | X  |
| Same Scenario Prior         | Number of previous matches associated with the focus of the current alert and of the same scenario.  | X   | X     | X  | X  |
| Same Class Prior            | Number of previous matches associated with the focus of the current alert and of the same scenario class.  | X   | X     | X  | X  |
| Linked Cases                | The count of cases linked to the alert.  | X   | X     | X  | X  |
| Status                      | Current state of the alert relative to its analysis and closure.   | X   | X     | X  | X  |
| Alerts Due [Date and Time]  | Date and time by which an action should be taken on the alert.   | X   | X     | X  | X  |
| Highlights                  | Pertinent information related to the alert.  | X   | X     | X  | X  |
| Total/Net Loss Amount       | The total loss remaining after Averted Loss and Recovery Amounts are subtracted from the Potential Loss. Applicable to Fraud class alerts.                               |     | X     |    |    |
| Total Potential Loss Amount | The total potential financial loss that the institution can experience as a result of the fraudulent activity identified by the alert. Applicable to Fraud class alerts. |     | X     |    |    |

**Table 1: Alert Context Information by Scenario Class (Continued)**

| Column                       | Description  | AML | Fraud | TC | BC |
|------------------------------|--|-----|-------|----|----|
| Total Averted Loss Amount    | The total financial loss amounts that the institution can be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the alert. Applicable to Fraud class alerts. |     | X     |    |    |
| Total Recovery Amount        | The total financial losses that are recovered during the course of the investigation into the fraudulent activity identified by the alert. Applicable to Fraud class alerts.   |     | X     |    |    |
| Primary Cost Center          | The primary cost center to which the total net loss amount for this investigation should be associated. Applicable to Fraud class alerts.  |     | X     |    |    |
| Create Date                  | Date the alert was created.  | X   | X     | X  | X  |
| Security ID                  | Identification number of the security involved in the alert.   |     |       | X  |    |
| Security                     | Name of the security involved in the alert.  |     |       | X  |    |
| Trader ID                    | Identification number of the trader involved in the alert.   |     |       | X  |    |
| Trader                       | Name of the trader involved in the alert.  |     |       | X  |    |
| Investment Advisor Firm ID   | Identification of the firm associated with the Investment Advisor.   |     |       |    | X  |
| Service Team ID              | Identifier of the primary service team of which this employee is a member.   |     |       |    | X  |
| Registered Representative ID | Identification number of the employee or contractor who is the Registered Representative.  |     |       |    | X  |
| Representative               | Employee or contractor who is the Registered Representative.   |     |       |    | X  |
| Branch ID                    | Identification number of the organization where this account is domiciled.   |     |       |    | X  |
| Branch                       | Name of the organization where this account is domiciled.  |     |       |    | X  |
| Supervisory Organization ID  | Identification number of the organization where the Registered Representative is employed.   |     |       |    | X  |
| Supervisory Organization     | Name of the organization where the Registered Representative is employed.  |     |       |    | X  |
| Commodity ID                 | Filters the alert list by the identification number of the commodity instrument involved in the alert.   |     |       |    |    |
| Commodity                    | Filters the alert list by the name of the commodity instrument involved in the alert.  |     |       |    |    |

## A.2 Search Components

This section covers the following topics:

- [Views Search](#)

- [Alert List Matrix](#)
- [Additional Information](#)

## A.2.1 Views Search

Views represent pre-populated search queries. Selecting a View for searching allows a single-click option for returning a filtered alert list based on the view's preset search criteria. By default, the Views search is available with **My Open Alerts** as the default queue. To search using views, select the desired view from the list.

Table 2 list the View Filter and Sort Criteria for the default View Names.

**Table 2: List of Views**

| View Name                    | View Filter and Sort criteria   |
|------------------------------|---|
| My New Alerts                | From: Current Date -1 To: Current Date  |
|                              | Owner: current user or pool to which the current user belongs                                   |
|                              | Status: New   |
| My Open Alerts               | Owner: current user or pool to which the current user belongs                                   |
|                              | Status: Open or Follow-up   |
| My Reassigned Alerts         | Owner: current user or pool to which the current user belongs                                   |
|                              | Status: Reassigned  |
| My Overdue Alerts            | Due Date is not null and is <= Current Date   |
|                              | Owner: current user or pool to which the current user belongs                                   |
| My Near Due Alerts           | Due Date is not null and is > Current Day and <= (Current Day +4)                               |
|                              | Owner: current user or pool to which the current user belongs                                   |
|                              | Sort: By Due Date Ascending; Alert ID Ascending   |
| Management - Overdue Alerts  | Due Date is not null and is <= Current Date   |
|                              | Owner: Organizational pool(s) for which the current user is supervisor or user within that pool |
| Management - Near Due Alerts | Due Date is not null and is > Current Day and <= (Current Day +4)                               |
|                              | Owner: Organizational pool(s) for which the current user is supervisor or user within that pool |
| Management - Aged Alerts     | Alert Age >= 30 days  |
|                              | Owner: Organizational pool(s) for which the current user is supervisor or user within that pool |
|                              | Status: Any status but a closed status  |

The Alert Search bar supports the ability to search across the following types of information:

- Alert Search Dates

- Alert by Entity
- Linked Cases

## A.2.2 Alert Information

Table 3 provides a list of the alert search components that display in the alert Simple and Advanced Search bar.

**Table 3: Alert Search Components**

| Column         | Description   | Simple Search | Advanced Search |       |    |    |
|----------------|---|---------------|-----------------|-------|----|----|
|                |   |               | AML             | Fraud | BC | TC |
| Created From   | Filters the alert list by the date the alert was created.   | X             | X               | X     | X  | X  |
| Created To     | Filters the alert list by the date the alert was created.   | X             | X               | X     | X  | X  |
| Business Date  | Filters the alert list with a processing date between start date and end date.  | X             | X               | X     | X  | X  |
| Organization   | Filters the alert list by the name of the organization associated with the owner of an alert. The drop-down list contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. If you filter by Organization, you cannot filter by Owner.  | X             | X               | X     | X  | X  |
| Owner          | Filters the alert list by a user or group of users to whom an alert is assigned. This drop-down list contains users or groups of users within the Organization. If you filter by Owner, you cannot filter by Organization.  | X             | X               | X     | X  | X  |
| Focus          | Filters the alert list by the type of business object that exhibits the behavior of interest. Focus is a two-part representation that can display a focus type or the associated focal entity. Your access control privileges determine which focus types display in the drop-down list. For example, a focus of <i>TR SmithJ</i> can consist of a focus type of TR and a focal entity of SmithJ. | X             | X               | X     | X  | X  |
| Scenario Class | Filters the alert list by the scenario class associated with an alert, listed by its abbreviation. This drop-down list contains only the scenario classes that you are authorized to view. If you filter by Class, you cannot filter by Scenario.   | X             | X               | X     | X  | X  |
| Scenario       | Filters the alert list by the scenario, which is name of the behavior or activity that generated the alert.   | X             | X               | X     | X  | X  |
| Status         | Filters the alert list by the current status of an alert, relative to its analysis and closure in the drop-down list.   | X             | X               | X     | X  | X  |

**Table 3: Alert Search Components (Continued)**

| Column          | Description  | Simple Search | Advanced Search |       |    |    |
|-----------------|--|---------------|-----------------|-------|----|----|
|                 |  |               | AML             | Fraud | BC | TC |
| Score           | Filters the alert list by the score the alert received when based against your firm selected. Oracle Financial Services Behavior Detection retrieves alerts and cases greater than or equal to the score you enter in this text box.   | X             | X               | X     | X  | X  |
| Closing Action  | Filters the alert list by one or more selected closing actions that are taken on an alert.   | X             | X               | X     | X  | X  |
| Jurisdiction    | Filters the alert list by the business jurisdiction associated with an alert. The drop-down list contains only the jurisdictions with which you are authorized to view.  |               | X               | X     | X  | X  |
| Business Domain | Filters the alert list by the business domain associated with an alert. The drop-down list contains only the business domains with which you are authorized to view.   |               | X               | X     | X  | X  |
| Due Date <=     | Filters the alert list by past and up to the date you enter by which an action should be taken on the alert.   |               | X               | X     | X  | X  |
| Prior All       | Filters the alert list by the number you enter, and any number greater than of previously generated matches for the same focal entity across all scenarios and solution sets.  |               | X               | X     | X  | X  |
| Prior Scenario  | Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.  |               | X               | X     |    |    |
| Prior Class     | Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.   |               | X               | X     |    |    |
| Age             | Filters the alert list by the number of calendar or business days, and any number greater, since the creation of an Active alert.  |               | X               | X     | X  | X  |
| Action          | Filters the alert list by one or more actions that are taken on an alert.  |               | X               | X     | X  | X  |
| Last Action     | Filters the alert list by one or more selected last actions that are taken on an alert.  |               | X               | X     | X  | X  |
| Linked Cases    | Filters the alert list by the number of cases that are linked to the alert. Oracle Financial Services Alert Management retrieves alerts, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option is only be available if your firm has implemented Oracle Financial Services Enterprise Case Management. |               | X               | X     | X  | X  |

**Table 3: Alert Search Components (Continued)**

| Column                      | Description  | Simple Search | Advanced Search |       |    |    |
|-----------------------------|--|---------------|-----------------|-------|----|----|
|                             |  |               | AML             | Fraud | BC | TC |
| Alert ID                    | Filters the alert list by the one or more Alert IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the alerts are found, the Alert List Matrix displays information about the alerts with the IDs that exactly matches the values you entered. The Alert ID search is mutually exclusive with all other filter criteria. | X             | X               | X     | X  | X  |
| Regulatory Reporting Type   | Filters the alert list by the Regulatory Reporting types that are available to you (for example, (SARDI). Regulatory Reporting is an optional Oracle application.  |               | X               | X     | X  | X  |
| Regulatory Reporting Status | Filters the alert list by the current status of an alert that is recommended for Regulatory Reporting, an optional Oracle application.   |               | X               | X     | X  | X  |
| Limit to Focus              | Filters the alert list to where the specified entity is the focus.   |               | X               | X     | X  | X  |
| Entity Type                 | Filters the alert list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for alerts.  |               | X               | X     | X  | X  |
| Entity ID                   | The unique identifier for entity that is associated with alerts you want to view. The field accept up to 50 characters of text in the Entity ID text box.  |               | X               | X     | X  | X  |
| Entity Name                 | The entity name associated with alerts you want to view.   |               | X               | X     | X  | X  |
| Commodity Instrument ID     | Filters the alert list by the identification number of the commodity instrument involved in the alert.   |               |                 |       |    |    |
| Commodity Instrument Name   | Filters the alert list by the name of the commodity instrument involved in the alert.  |               |                 |       |    |    |
| Security ID                 | Filters the alert list by the identification number of the security involved in the alert.   |               |                 |       |    | X  |
| Security                    | Filters the alert list by the name of security involved in the alert.  |               |                 |       |    | X  |
| Trader ID                   | Filters the alert list by the identification number of the trader involved in the alert.   |               |                 |       |    | X  |
| Trader                      | Filters the alert list by the name of the trader involved in the alert.  |               |                 |       |    | X  |
| Investment Advisor Firm ID  | Filters the alert list by the identification of the firm associated with the Investment Advisor.   |               |                 |       | X  |    |
| Investment Advisor Firm     | Filters the alert list by the name of the firm associated with the Investment Advisor.   |               |                 |       | X  |    |

**Table 3: Alert Search Components (Continued)**

| Column                       | Description  | Simple Search | Advanced Search |       |    |    |
|------------------------------|--|---------------|-----------------|-------|----|----|
|                              |  |               | AML             | Fraud | BC | TC |
| Service Team ID              | Filters the alert list by the identifier of the primary service team of which this employee is a member.   |               |                 |       | X  |    |
| Registered Representative ID | Filters the alert list by identification number of the employee or contractor who is the Registered Representative.  |               |                 |       | X  |    |
| Representative               | Filters the alert list by name of the employee or contractor who is the Registered Representative.   |               |                 |       | X  |    |
| Branch ID                    | Filters the alert list by the identification number of the organization where this account is domiciled.   |               |                 |       | X  |    |
| Branch                       | Filters the alert list by the name of the organization where this account is domiciled.  |               |                 |       | X  |    |
| Supervisory Organization ID  | Filters the alert list by unique ID of the organization where the Registered Representative is employed.   |               |                 |       | X  |    |
| Supervisory Organization     | Filters the alert list by the name of the organization where the Registered Representative is employed.  |               |                 |       | X  |    |
| Total/Net Loss Amount        | Filters the alert list by the total net loss amount associated with the alert. This is the total loss remaining after Averted and Recovery Amounts are subtracted from the Potential Loss. |               |                 | X     |    |    |
| Primary Cost Center          | Filters the alert list by the primary cost center to which the total net loss amount for an alert is associated.   |               |                 | X     |    |    |

### A.2.3 Alert List Matrix

The Alert List matrix displays summarized information of alerts that you can further investigate or take actions.

When you search from Simple or Advanced search, the default sort order is based on Due Date Ascending followed by Create Date Description and Alert ID Ascending.

By default, the list matrix displays 20 alerts. To view additional alerts returned by search, use the pagination controls to move to additional pages of alerts. Click the **Pagination Options** button. Select or enter the number of rows that you want to display. Click the **Go** arrow. The alerts are displayed based on the data you entered.

#### A.2.3.1 Alert List Components

The Alert List matrix of the Alert Search & List page consists of the Alert List header and a matrix containing one or more alerts and associated data. Each alert has a check box and an **ID** link associated with it.

The components within the Alert List matrix are as follows:

- **Alert List header:** Contains the number of alerts displayed in the list, the total number of alerts returned by the search. Pagination controls within the header allow you to navigate to the additional pages of alerts.
- **List of Alerts:** Displays a list of alerts based on your search criteria on the Alert Search bar. Click the **Alert ID** link for any alert in the list to access the Alert Details page. If the selected alert is locked (meaning, another user has currently accessed the same alert), a message displays:

The selected alert is locked by another user. Click **OK** to view the alert details page in view mode only and **Cancel** to return to list page.

If you click **OK** in the dialog box, you navigate to the alert details page in view mode. In the view mode, you cannot take any action on the alert.

- The Alert List header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.
- The **Expand image (>>)** displays inside the **Scenario** and **Focus** fields if the text in the field is more than the column width. Clicking the **Expand image (>>)** refreshes the data to display the complete Scenario and Focus name.  
After you click the **Expand image (>>)** link, it displays the **Contract image (<<)**, which, when clicked, refreshes the data to display only the abbreviated Scenario and Focus name.
- For all other fields when the text in the field is more than the column width, a Tool tip displays for approximately three seconds when you position the mouse cursor over the field to display the complete text.
- **Check Boxes:** Appears at the beginning of each row. Select one or more of these boxes to take action on one or more alerts. Select the check box again to clear it. When you select using the check box, the alert row displays a blue color highlight.
- **Action Buttons:** Enables you to select and take action on one or more alerts. When an action button is clicked, the application navigates you to the applicable Actions pop up. You can take an action on a single alert or on several alerts (batch action).

Before you take action on the selected alerts, Oracle Financial Services Behavior Detection checks each alert to determine if it is locked. If all the selected alerts are locked by another user, a message displays:

All selected alert records are locked by another user. Please try again later.

If some, but not all, of the selected alerts are locked, a message displays:

One or more Alerts are locked by another user. Select **OK** to continue; **Cancel** to return to the Alert List.

If you click the **OK** button, you can take actions on the alerts that are not locked.

If you fail to select at least one check box and click on any action button, a message displays:

You have not selected any alerts). Please select one or more alerts.

- **Column Headings:** Labels that tell you what kind of information displays in the columns. All column headings in the Alert List matrix are sortable. You can sort each column in the alert list by right-clicking on the column header and choosing the ascending or descending options.
- **Jump To:** User can use this feature switch to any particular page by specifying the page number in the text box.



For example: If a list is divided in 10 pages and user directly wants to navigate to page # 5, then user can write 5 in the text box provided with *Jump To page* and press enter. The user will be taken directly to page # 5.

Table 4 provides a list of the columns that display in the Alert List matrix.

**Table 4: Alert List Components by Display Configuration by Solution Sets**

| Column and Field                        | Anti-Money Laundering | Fraud | Broker Compliance | Trading Compliance | Standard |
|---|-----------------------|-------|-------------------|--------------------|----------|
| Alert ID                                | X*                    | X     | X                 | X                  | X        |
| SC [ore]                                | X                     | X     | X                 | X                  | X        |
| Focus Type                              | X                     | X     | X                 | X                  | X        |
| Focus Name                              | X                     | X     | X                 | X                  | X        |
| Scenario                                | X                     | X     | X                 | X                  | X        |
| Highlights                              |                       |       |                   |                    | X        |
| Created [Date]                          | X                     | X     | X                 | X                  | X        |
| Status                                  | X                     | X     | X                 | X                  | X        |
| Alerts Due [Date and Time]              | X                     | X     | X                 | X                  | X        |
| Regulatory Reporting Status             |                       |       |                   |                    | X        |
| Regulatory Reporting Type               |                       |       |                   |                    | X        |
| Owner                                   | X                     | X     | X                 | X                  | X        |
| Class] Prior                            |                       |       |                   |                    | X        |
| SCN [Scenario] Prior                    |                       |       |                   |                    | X        |
| Closing Action                          |                       |       |                   |                    | X        |
| [Business] Domain                       |                       |       |                   |                    | X        |
| [Involved] Security                     |                       |       |                   | X                  |          |
| [Involved] Trader                       |                       |       |                   | X                  |          |
| [Involved] Service Team ID              |                       |       | X                 |                    |          |
| [Involved] Registered Representative ID |                       |       | X                 |                    |          |
| Total/Net Loss Amount                   |                       | X     |                   |                    |          |
| Primary Cost Center                     |                       | X     |                   |                    |          |
| Linked Cases                            | X                     | X     | X                 | X                  | X        |

**Table 4: Alert List Components by Display Configuration by Solution Sets (Continued)**

| Column and Field        | Anti-Money Laundering | Fraud | Broker Compliance | Trading Compliance | Standard |
|-------------------------|-----------------------|-------|-------------------|--------------------|----------|
| Commodity Instrument ID |                       |       |                   |                    |          |
| Threshold Set Name      | X                     | X     | X                 | X                  | X        |

## A.2.4 Additional Information

The Additional Information section consists of the General Overview and Metrics bar and displays below the Alert List. The section refreshes to display additional information about the alert when you click the alert row in the Alert List section.

By default, the section is in the contracted mode. You can click the Expand ▼ image or Collapse ▲ in the section header to expand or contract the section.

**NOTE** The Additional Information section display values only if you have clicked on the alert row. The section does not display if you only click the check box. The check box should be used only to perform actions from the action categories.

The following table provides a list of fields that display in the General Overview and Metrics section.

**Table 5: General Overview and Metrics section**

| Column                          | Description  | General Overview | Metrics |
|---------------------------------|--|------------------|---------|
| Highlights                      | Pertinent information related to the alert.  | X                |         |
| Organization                    | Organization associated with the owner of the alert.   | X                |         |
| Business Domain                 | Business Domains associated with the alert.  | X                |         |
| Closing Action:                 | Closing action that is taken on an alert.  | X                |         |
| Alerts for Prior Class Count    | Number of matches previously generated for the same scenario class associated with the alert.  |                  | X       |
| Alerts for Prior Scenario Count | Number of matches previously generated for the same focal entity by the same scenario as the alert.  |                  | X       |
| Correlation Membership Count    | Number of correlations the alert is a member of.   |                  | X       |
| Regulatory Report Type          | Regulatory Reporting types that are available to the user (for example, (SARDI)).<br>This feature is available only if Oracle Financial Services Regulatory Reporting (OFSRR) application is | X                |         |

**Table 5: General Overview and Metrics section**

| Column                   | Description  | General Overview | Metrics |
|--------------------------|--|------------------|---------|
| Regulatory Report Status | The current reporting status of a case that is recommended for Regulatory Reporting.<br><br>This feature is available only if Oracle Financial Services Regulatory Reporting (OFSRR) application is installed. | X                |         |

## A.3 Alert List Display Configuration

Table 4 provides a list of all columns and fields that display in the Alert List, General Overview, and Metrics section based on solution set selection as well as the components that display in the standard display of the Search and List page.

**Table 6: Alert List, General Overview, and Metrics Display Configuration by Solution Sets**

| Column and Field            | Anti-Money Laundering | Fraud | Broker Compliance | Trading Compliance | Standard |
|-----------------------------|-----------------------|-------|-------------------|--------------------|----------|
| Alert ID                    | L*                    | L     | L                 | L                  | X        |
| SC [ore]                    | L                     | L     | L                 | L                  | X        |
| Focus [Type and Name]       | L                     | L     | L                 | L                  | X        |
| Scenario                    | L                     | L     | L                 | L                  | X        |
| Highlights                  | O**                   | O     | O                 | O                  | X        |
| Created [Date]              | L                     | L     | L                 | L                  | X        |
| Status                      | L                     | L     | L                 | L                  | X        |
| Alerts Due [Date and Time]  | L                     | L     | L                 | L                  | X        |
| Organization                | O                     | O     | O                 | O                  |          |
| Regulatory Reporting Status | O                     | O     | O                 | O                  | X        |
| Regulatory Reporting Type   | O                     | O     | O                 | O                  | X        |
| Owner                       | L                     | L     | L                 | L                  | X        |
| CL [Class] Prior            | O                     | O     | O                 | O                  | X        |
| SCN [Scenario] Prior        | O                     | O     | O                 | O                  | X        |
| Closing Action              | O                     | O     | O                 | O                  | X        |

**Table 6: Alert List, General Overview, and Metrics Display Configuration by Solution Sets**

| Column and Field                        | Anti-Money Laundering | Fraud | Broker Compliance | Trading Compliance | Standard |
|---|-----------------------|-------|-------------------|--------------------|----------|
| [Business] Domain                       | O                     | O     | O                 | O                  | X        |
| [Involved] Security                     |                       |       |                   | L                  |          |
| [Involved] Trader                       |                       |       |                   | L                  |          |
| [Involved] Service Team ID              |                       |       | L                 |                    |          |
| [Involved] Registered Representative ID |                       |       | L                 |                    |          |
| [Involved] Branch                       |                       |       |                   | O                  |          |
| [Involved] Supervisory Organization     |                       |       |                   | O                  |          |
| Total/Net Loss Amount                   |                       | L     |                   |                    |          |
| Primary Cost Center                     |                       | L     |                   |                    |          |
| Linked Cases                            | L                     | L     | L                 | L                  | X        |
| Alerts for Prior Class Count            | M <sup>#</sup>        | M     | M                 | M                  | X        |
| Alerts for Prior Scenario Count         | M                     | M     | M                 | M                  | X        |
| Correlation Membership Count            | M                     | M     | M                 | M                  | X        |
| Commodity Instrument ID                 |                       |       |                   |                    | X        |

where, L<sup>\*</sup> are fields in the Alert List section; O<sup>\*\*</sup> are fields in the General Overview section; M<sup>#</sup> are fields in the Metrics section

## B Business Tabs

Oracle Financial Services Alert Management consists of Business tabs that display in the Monitoring workflow. Within the Monitoring workflow, these tabs are displayed according to the focus type and scenario class of the alert you select.

### B.1 Alert Business Tabs

Table 1 identifies the possible Business tab pages that Oracle Financial Services Alert Management displays for a specific scenario class and focus type in the Monitoring workflow

**Table 1: Business Tab pages by Scenario Class**

| Focus Type  | Possible Business Tabs  |
|---|---|
| <b>Scenario Class: Institutional Money Laundering</b> |   |
| Customer (CU)   | Account, Customer, and Investment Advisor   |
| External Entity (EN)                                  | External Entity   |
| <b>Scenario Class: Control Room</b>                   |   |
| Account (AC)  | Account, Trade, Order, Execution, Security, Replay, and Trader  |
| Employee (EE)   | Account, Customer, Trade, Order, Execution, Security, Replay, and Trader                                |
| Trader (TR)   | Account, Trade, Order, Execution, Security, Replay, and Trade   |
| Organization (OG)                                     | Account, Trade, Execution, Household, Security, Customer, Replay, Trader, and Registered Representative |
| <b>Scenario Class: Investment Advisor</b>             |   |
| Investment Advisor (IA)                               | Account, Investment Advisor, and Trade  |
| <b>Scenario Class: Money Laundering</b>               |   |
| Account (AC)  | Account, Customer, Employee, Household, and Investment Advisor  |
| Correspondent Bank (CB)                               | Correspondent Bank  |
| Customer (CU)   | Account, Customer, Household, and Investment Advisor  |
| External Entity (EN)                                  | External Entity   |
| Household (HH)  | Account, Customer, Household, and Investment Advisor  |
| <b>Scenario Class: Fraud</b>                          |   |
| Account (AC)  | Account, Customer, Household, Investment Advisor, Employee, and Financials                              |
| Customer (CU)   | Account, Customer, Household, Investment Advisor, and Financials  |
| Employee (EE)   | Account, Employee, Financials, and Household  |
| External Entity (EN)                                  | External Entity   |
| Household (HH)  | Account, Customer, Household, and Investment Advisor  |
| <b>Scenario Class: Best Execution</b>                 |   |
| Order (OR)  | Account, Execution, Market Participant, Order, Replay, Security, and Trader                             |

**Table 1: Business Tab pages by Scenario Class (Continued)**

| Focus Type   | Possible Business Tabs   |
|--|--|
| <b>Scenario Class: Trading Compliance</b>                      |  |
| Account (AC)   | Account, Execution, Order, Replay, Security, Trade, and Customer   |
| Customer (CU)  | Account, Customer, Execution, Order, Replay, Security and Trade  |
| Employee (EE)  | Account, Trade, Order, Execution, Security, Employee, Customer, Replay   |
| Execution (EX)   | Account, Execution, Market Participant, Order, Replay, Security, Trade, and Trader                                       |
| Investment Advisor (IA)  | Account, Trade, Order, Execution, Security, Investment Advisor, Customer, Replay   |
| Order (OR)   | Account, Trader, Order, Execution, Security, Replay, and Market Participant  |
| Security (SC)  | Order, Trade, Execution, Replay, and Security  |
| Trader (TR)  | Account, Trader, Trade, Execution, Order, Replay, and Security   |
| Organization (OG)  | Replay, Security, Trade, Trader, and Execution   |
| <b>Scenario Class: Mutual Funds</b>                            |  |
| Account (AC)   | Account, Customer, Household, Investment Advisor, Registered Representative, and Trade                                   |
| Household (HH)   | Account, Customer, Household, Investment Advisor, Registered Representative, and Trade                                   |
| Investment Advisor (IA)  | Account, Investment Advisor, and Trade   |
| Registered Representative (RR)                                 | Account, Registered Representative and Trade   |
| <b>Scenario Class: Employee Trading</b>                        |  |
| Employee (EE)  | Account, Employee, Security, and Trade   |
| <b>Scenario Class: Customer Risk and Suitability</b>           |  |
| Account (AC)   | Account, Customer, Household, Investment Advisor, Loan Origination, Registered Representative, Security, Trade and Order |
| Household (HH)   | Account, Customer, Household, Investment Advisor, Trade, IOS Review, Registered Representative, and Security             |
| Organization (OG)  | Loan Origination   |
| Registered Representative (RR)                                 | Account, Registered Representative, Trade, Execution, Order, and Security  |
| <b>Scenario Class: Asset Management</b>                        |  |
| Portfolio Manager (PM)   | Account, Employee, Order, and Security   |
| <b>Scenario Class: Energy and Commodity Trading Compliance</b> |  |
| Commodity Instrument (CI)                                      | Energy and Commodity Trade, Energy and Commodity Instrument, ECTC Replay, Trader, and Natural Gas Flow                   |
| Trader (TR)  | Energy and Commodity Trade, Energy and Commodity Instrument, ECTC Replay, and Trader                                     |

## C Using Behavior Detection UI

The information provided in the following sections helps you achieve optimal use of the Oracle Financial Services Behavior Detection UI:

- [Common Screen Elements](#)
- [Using the Browser](#)
- [Navigating in Oracle Financial Services Behavior Detection](#)
- [Message Pages](#)

### C.1 Common Screen Elements

The following section describes the common screen elements in the Oracle Financial Services Behavior Detection.

Common screen elements are those elements that consistently perform the same type of function in the same way when they display in the UI. Some serve as labels and never change (Matrix header); some enable you to get help or complete a task (buttons); some offer an explanation for a specific item (tool tips); and some operate as variables that allow you to type entries (text boxes) and make selections (drop-down lists).

#### C.1.1 Masthead

The masthead displays at the top of the page and contains the following components:

- Navigation Bar as Menus
- Session Information with session user name, day, and date.
- Help Button

#### C.1.2 Buttons

Buttons on the Behavior Detection UI enable you to perform tasks such as executing and canceling actions or commands. Click a button to complete the desired task.

##### C.1.2.1 Task Buttons

Task buttons display throughout Behavior Detection and include the following:

- The **Search** and **Advanced Search** buttons display on the Search & List page of the Monitoring workflow to filter data based on the criteria you set with basic filters and advanced additional filters respectively.
- The **Save** button records actions and navigates you to the appropriate page and displays the updated alert information accordingly.
- The **Save & Attach** button records actions and navigates you to a page providing the option to attach a document with the action. Once you complete the attachment you are navigated to the appropriate page and the alert information is updated accordingly.
- The **Clear** button displays on those actionable sections of the UI which do not display any pre-populated data. It clears the data entered by you when clicked.
- The **Reset** button displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.

- The **Cancel** button displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action pop-up window.
- The **Send** button displays in the email pop-up window and sends the email to the addressed parties.
- The **Create** button in the Create Alert workflow displays fields for you to enter data for the new alert being created.
- The **Related to Focus** button displays in some specific business tabs where this information is available. It refreshes the tab details to replace the Related to Alert information with what is often a broader set of information that is applicable to the focus of the alert and not limited to just the activity of the alert.
- The **Related to Alert** button in specific business tabs does not display by default. The **Related to Alert** button replaces the **Related to Focus** button once the **Related to Focus** button is clicked. Selecting **Related to Alert** refreshes the tab information to display information that is applicable to the alert activity only.
- The **Add** button displays in the some Business tabs, Financials tab and in the Evidence tab. It provides you with a pop-up window to add a new piece of information.
- The **Edit** button displays in the some Business tabs, Financials tab, Narrative, and Evidence tabs. It provides you with a pop-up window to edit the existing piece of information you have chosen for edit.
- The **Remove** button displays in the some Business tabs, Financials tab, and in the Attachment List matrix present in the attachment section of the Evidence tab. It also display in the Financials tab. It helps you delete information that you think is not relevant.
- The **Update** button displays in the Suppression Rule List. It provides you with a UI to modify a suppression rule with appropriate comments.
- The **End** button displays in the Suppression Rule List and provides you with a UI to end a suppression rule.
- The **History** button displays in the Financials tab, Manage Suppression Rules workflow. It provides you with a detailed account of previous activities on the selected record.
- The **Go** button displays in all the Case Search bars Alert/Manage Suppression Rule and performs the search function. It also displays in the various action pop-up window. In the action pop-up window, the **Go** button helps display the appropriate fields as per the actions you have selected.

### C.1.2.2 Action Buttons

The Action buttons display in the Search & List page and in the Details page. Each of these buttons provides you with an action pop-up window for taking actions in the category these buttons are representative of. These include buttons for each action category:

- Reassign
- Actions
- Disposition
- Review
- Regulatory Reporting
- Assignment
- Escalate
- Resolution



- Research & Review
- Monitor
- email
- Export
- Evidence
- Excel
- Reopen
- Due Date
- Print Details
- Print Comments

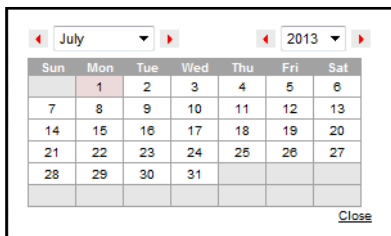
### C.1.2.3 Help Button

A **Help** button, in the form of a question mark, displays to the extreme right of the bread crumbs. Click **Help** to get the following:

- More detailed information about the page
- Explanations of the screen elements
- How to perform instructions on a task that you want to perform

### C.1.2.4 Calendar Button

A **Calendar** button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed alerts. If you click **Calendar** icon, a calendar of the current month displays and highlights the current date.



**Figure 1: Calendar Button**

To use the Calendar window to select dates, follow these steps:

1. Select a date. The application will automatically enter the selected date in the date field.
2. Click the arrows at the top of the Calendar window to view other months or years.
3. Click the **Close** link to close the calendar without selecting a date.

## C.1.3 Expand/Collapse

You can view the complete information in a section, matrix, and field by using various expand or collapse options.

### C.1.3.1 Column Expand All

When values are displayed in a matrix and there are columns which have lengthier values, then you can use the drag option to expand each column. This displays the entire value.

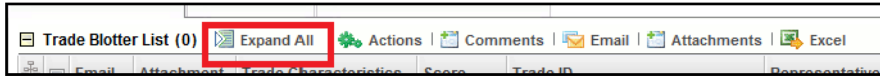


Figure 2: Column Expand All Button

### C.1.3.2 Column Collapse All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use the **Column Collapse All** button to collapse all the values that are already expanded for display, together at once.

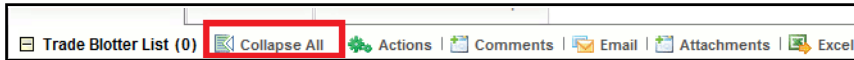


Figure 3: Column Collapse All Button

### C.1.3.3 Section Expand Button

If you want to expand a section on a page, you can click the **(+)** button displayed at the top left corner of the section. This expands the section and all the fields in the section are visible.

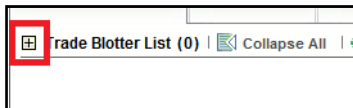


Figure 4: Section Expand Button

### C.1.3.4 Section Collapse Button

If you want to collapse a section, which is already expanded, you can click the **(-)** button displayed at the top left corner of the section. This collapses the section and all the fields in the section are hidden.

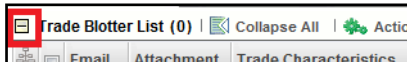


Figure 5: Section Collapse Button

## C.1.4 Field Types

The following sections describe field types.

### C.1.4.1 Text Area

A multi-line rectangular box in which you can type text, such as alertcase comments. If the box already contains text, you can select the default text or delete it and type new text. You can type as many characters in this box as desired.

### C.1.4.2 Text Box

A single-line rectangular box in which you can type text. If the box already contains text, you can select the default text or delete it and type new text. Text boxes can limit the number of characters that you can enter. If so, the text box will show the maximum number of characters you can enter.

### C.1.4.3 Wildcard Text Box

Oracle Financial Services Behavior Detection permits the use of wildcards in specific text boxes. If you do not know all of the information to type into the text box field, you can type a wildcard character for the missing part of the information. The application recognizes the percent sign (%) and underscore (\_)

as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string.

The more specific you are when using the wildcard character, the fewer extraneous matches are returned. For example, if you specify a last name of `Sm%`, the application can return 100 matches, but if you specify a last name of `Smit%`, it can return only 17 matches.

#### **C.1.4.4 Context-Sensitive Text Box**

Behavior Detection permits the use of context-sensitive input in specific text boxes. If you want to perform a search on multiple values, you can enter a string of comma-separated values in the Alert/Suppression Rule ID search field.

#### **C.1.4.5 Drop-down List**

A list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selection.

#### **C.1.4.6 Selection Box**

A list from which you can choose multiple items by selecting the check box against each item. Checking the value *Select All* represents the selection of all the values available in the selection box. Un-checking the value *Select All* represents the de-selection of all the values in the selection box.

#### **C.1.4.7 Check Box**

A square box that displays beside an item or option. Select the check box once to place a check mark in the box. Select the check box again to clear it.

### **C.1.5 ToolTips**

A ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the UI. A Tooltip displays for approximately three seconds and provides the definition or other pertinent information for the abbreviated field or column label.

## **C.2 Using the Browser**

The browser cache does not completely refresh the data. Therefore, using keys from keyboards, like Ctrl+Left arrow or Backspace keys for backward navigation, and Ctrl+ Right arrow keys for forward navigations displays data that can be outdated. Using navigation, pages are refreshed so the information is always up-to-date.

## **C.3 Navigating in Oracle Financial Services Behavior Detection**

The following sections describe the navigation features that you can use to navigate within Behavior Detection

Navigation features enable you to move easily between pages in the UI to view, analyze, or research alerts and focuses while working in Behavior Detection.

### **C.3.1 Navigation Menus**

The Navigation menu displays in the upper left corner of the page. The Navigation menu option includes: Home, Monitoring, Reports, and Administration. Menu options display as per your user role.

### **C.3.2 Links**

Links display as hypertext (underlined text) on the page that, when clicked, takes you to other pages within the Oracle Financial Services Behavior Detection UI.

### **C.3.3 Search Bars**

Some Behavior Detection pages have a *Search bar* that allows you to specify values with which to filter and sort your data. Search bars for a specific page are described in the chapter where that page's use is explained.

### **C.3.4 Page Context Controls**

Page context controls (also called bread crumbs) show your location in the UI. They allow you to navigate back to the previous page to a particular workflow. The current workflow displays the current entry in the page context controls.

### **C.3.5 Business Tabs**

In Behavior Detection, business data tabs display in the Alerts workflow after you have accessed an alert.

The business data tabs that display are dependent on the focus and the scenario class of the alert you are viewing and your role in Behavior Detection.

Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

### **C.3.6 Paging**

Paging refers to the mechanism on the page that enables you to move through multiple pages of information (alerts, transactions, and so forth).

You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).

You can directly navigate to a page by entering the page number you wish to navigate to in the Jump to page box and clicking the **Enter** key.

Some pages within the UI display only an initial, limited set of information on first navigating to that page. This information is often displayed in a tabular matrix at the top of the page. Additional information relevant to the page along with an LHS menu can be displayed by clicking one of the initially displayed records.

## **C.4 Message Pages**

Behavior Detection describes the various types of error and status message pages that you can see in the application.

## D Security within OFSAAI

Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) uses six layers of security to control data access as defined in Table 1. You can view an alert if your combination of access controls authorizes you to view the alert and business information. Contact your system administrator for details about your access control permissions.

**Table 1: Access Controls**

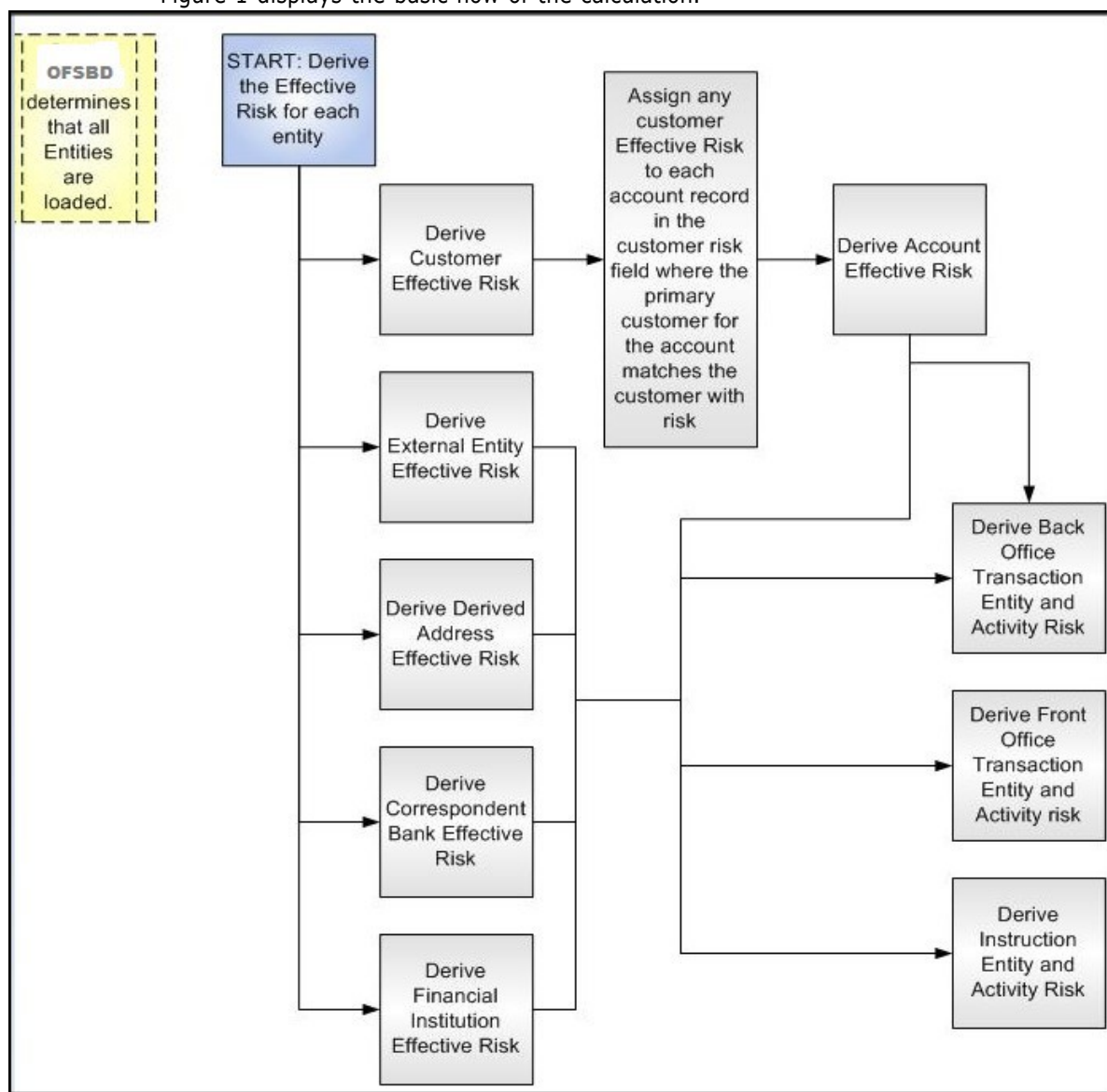
| Security Layer |                                | Description  |
|----------------|--------------------------------|--|
| Type           | Controls                       |  |
| Roles          | Features and Functions         | This security layer identifies the features and functions you can perform within the Oracle Financial Services Solution Sets.  |
| Organizations  | Alert Information              | This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one <i>primary organization</i> ; however, a user can be assigned multiple viewable associations. To see an alert owned by an organization or by the users within an organization, you must have viewable rights to that organization. |
| Scenarios      | Alert Information              | This security layer enables your firm to restrict access by specific business problems (that is, scenarios). To see a linked alert generated by a scenario, you must have rights to view the scenario that generated the alert. To see a multi-match alert that is generated by several scenarios, you need rights to view at least one of the scenarios that generated the alert.                   |
| Domains        | Alert and Business Information | This security layer enables your firm to restrict access along operational business lines and practices. You can only see entities and alerts that are assigned to at least one of the same business domains. Entities and alerts can have multiple domains.   |
| Jurisdictions  | Alert and Business Information | This security layer enables your firm to restrict access using geographic locations. You can only see entities and alerts that are assigned to the same jurisdictions.   |

## E Calculating Risk

Oracle Financial Services Behavior Detection uses risk calculations as part of managing sensitivity when detecting behaviors of interest in Money Laundering and Fraud scenarios. Risk Information can be provided through watch list or an attribute of the record provided to the ingestion manager for given customers and accounts.

Based on several risk inputs, Oracle Financial Services Behavior Detection calculates effective risks for business entities and calculates both Party Risk and Activity Risk on Transactions and Settlement Instructions.

Figure 1 displays the basic flow of the calculation.



**Figure 1: Risk Derivation-Overview**

In addition to risk, Oracle Financial Services Behavior Detection supports the concepts of Exempt Entities and Trusted Entities. These concepts are discussed in more detail in section *Watch Lists*. In brief, Exempt Entities are those that should not be alerted in Anti-Money Laundering scenarios. Trusted

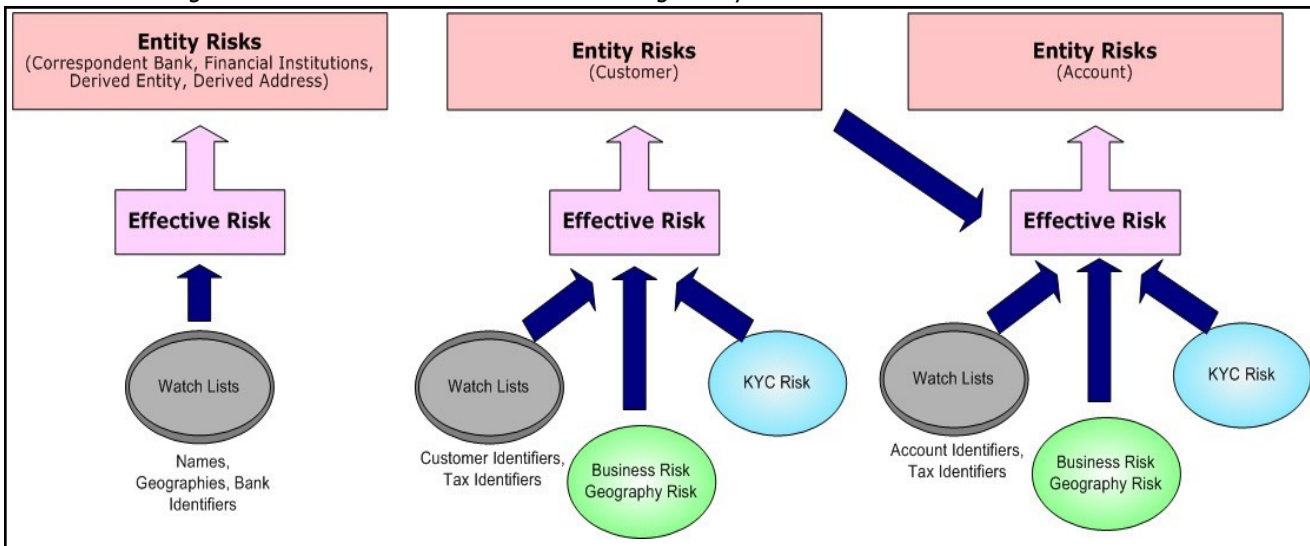
entities are those that meet specific criteria which demonstrates that they are more trustworthy than the general population.

Risk levels use a ten-point scale, with one representing moderate risk and ten representing highest risk. Entities that have no known risk receive a risk score of zero.

## E.1 Determining Entity Risk

Oracle Financial Services Behavior Detection clients can provide risk factors for business entities through the Oracle Financial Services Data Interface Specification (DIS). The risk can be assigned to the same business entity in the several ways. The Ingestion Manager resolves across these various risks to create an Entity Effective Risk.

Figure 2 reflects the basic flow for deriving Entity Effective Risk.



**Figure 2. Entity's Effective Risk**

Oracle Financial Services Behavior Detection derives risk on the following business entities:

- Customers
- Accounts
- Financial Institutions
- Correspondent Banks
- Derived Addresses
- Derived Entities (Names)
- Derived Entities (Identifiers)

The client can provide risk information directly through the Account and Customer input files as specified in the DIS. Accounts and Customers can also receive Know Your Customer (KYC) risk information through the Account Supplemental Attributes and Customer Supplemental Attributes DIS files. All of the business entity types can receive risk information through watch lists.

When determining an entity's effective risk, the approach to resolving across multiple sources of risk varies based on the entity type. The general rules to follow are:

- Watch List risk has higher priority than other risk factors.
- Exemption and Trust take priority over risk.

- More specific risk factors are preferred over less specific risk factors (for example, risk associated with an Identifier is more specific than risk associated with a Name).

Derivations of Customer, Account, and Correspondent Bank Effective Risk are the most complex. The following sections outline the rules for these derivations.

### **E.1.1 Deriving Customer Entity Risk**

Customer records can provide risk through the following distinct mechanisms:

- Business Risk or Geography Risk provided in the Customer DIS file
- KYC Risk provided in the Customer Supplemental Attributes DIS file
- Watch List entries matching the Customer ID or Customer's Tax ID

If the Customer has any Watch List risk information, then the Customer's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Customer, then the Effective Risk is derived as the highest of Business Risk, Geography Risk, and KYC Risk. KYC Risk can be provided as either Trust or Exclusion. If that is the case, the KYC trust is selected over positive risk factors in Business Risk or Geography Risk.

### **E.1.2 Deriving Account Entity Risk**

Account records can provide risk through the following distinct mechanisms:

- Business Risk or Geography Risk provided in the Account DIS file
- KYC Risk provided in the Account Supplemental Attributes DIS file
- Watch List entries matching the Account ID or Account's Tax ID

Accounts can also inherit risk from the Primary Customer identified on the Account. This risk is referred to as Account Customer Risk. Accounts inherit the Effective Risk from the Primary Customer as it is calculated using the rules described in Deriving Customer Entity Risk with the following exceptions:

- If the Customer's Effective Risk was driven by KYC risk, then the Account processing re-calculates the Customer's effective risk, ignoring KYC risk on the Customer. The reason for this is that the Account's risk factors are part of the Oracle Financial Services KYC product's risk derivations, so propagating that risk back to the Account is not productive. If the Customer's Effective Risk was driven by KYC, then the Account uses the highest of the Customer's Geography and Business risks as the Account Customer Risk.
- There is a configurable parameter in the Ingestion Manager to determine whether or not Trust and Exclusion should be inherited from the Customer record. If this is configured to NOT inherit this effective risk and the Customer's Effective Risk indicates Trust or Exclusion, then the Customer's risk is not considered when determining the Account Effective Risk.

If the Account has any Watch List risk information, then the Account's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Account, then the Effective Risk is derived as the highest of Business Risk, Geography Risk, KYC Risk, and Account Customer Risk.

### **E.1.3 Deriving Correspondent Bank Entity Risk**

Correspondent Bank records can derive risk information through the following distinct mechanisms:

- Watch List entries matching the Correspondent Bank ID
- Watch List entries matching the Correspondent Bank Name



- Watch List entries matching the Correspondent Bank Address

If the Correspondent Bank has any Watch List risk information, then the Correspondent Bank's Effective Risk is derived directly from the Watch List risk factors. If there is no Watch List risk information on the Correspondent Bank identifier, then the Effective Risk is derived based on matching Watch List risk information pertaining to the Correspondent Bank name. If there is no Watch List risk information on the Correspondent Bank name, then the Effective Risk is derived based on the matching of the Correspondent Bank's address information to Watch List entries.

### E.1.3.1 Watch Lists

A Watch List is a list of entities that have known risk characteristics. Watch Lists can represent public sources or can be created and managed internally by the institution. Common public sources for watch lists include Office of Foreign Asset Control (OFAC) and Financial Action Task Force (FATF). The types of entities provided on Watch Lists include:

- Identifiers (for example, SSN, Tax ID, and Passport ID)
- Organizations (for example, business name, SWIFT code, and ABA number)
- Accounts (for example, internal or external accounts)
- Persons (for example, personal name)
- Geography (for example, countries, state, city, postal code, and address)
- Combined Names and Geography

Refer to the *Data Interface Specification* for more information on Watch Lists and Watch List Entries.

Oracle Financial Services Behavior Detection categorizes Watch Lists into the following types:

- **Exempted Watch List:** Entities on Exempted Watch Lists are highly trusted clients on whom no Money Laundering alerts will be generated.
- **Trusted Watch Lists:** Entities on Trusted Watch Lists are known to be highly trustworthy. Certain scenarios can be configured to exclude trusted entities from monitoring.
- **Risk Watch List:** These are the entities that carry a risk value indicating that they should be monitored more closely than the general population. Money Laundering scenarios allow for separate threshold values to be set when monitoring entities with a certain risk level. Risk lists are risk weighted using values ranging from one (lowest risk) to ten (highest risk).

#### NOTE

There is no risk list with a risk level of zero. Risk level zero is reserved to indicate that there are no known risk factors to consider. It is also the default risk level for all entities in Oracle Financial Services Behavior Detection.

The matching criteria of Watch List Entry are as follows:

- All ID entries on a Watch List require an exact match to an entity .
- All Name entries on a Watch List require an exact or a fuzzy match to an entity .
- Addresses can be matched to watch list entries at multiple levels (for example, the same address can match one watch list entry for a Street Address and can match a separate entry for a Country)

For each Watch List match to an entity, a List Membership Record is created, which includes the following:

- ID of Watch List matched

- Date when the entity was added to the Watch List
- Date when the entity was removed from the Watch List
- Watch List entry that was matched
- Type of Watch List Entry that was matched

Fuzzy name matching is a technique to account for normal variations in names and still successfully match the names against watch lists. For more information on configuring Fuzzy Name Matching within Oracle Financial Services Behavior Detection, refer to the *Administration Guide*.

### E.1.3.2 Determining Watch List Risk

Oracle Financial Services Behavior Detection defines each reference entity with an adjudicated Watch List Risk. An entity's Watch List Risk is determined through a hierarchy of rules as follows:

- If an entity is a member of a Watch List of type Exempt, then the Watch List Risk value is -2. This value is not displayed; it is used for internal processing.
- If an entity is a member of a Watch List of type Trusted, then the Watch List Risk value is -1. This value is not displayed; it is used for internal processing.
- If an entity is matched to multiple entries on one or more Watch Lists, the match that is the *most specific* is used to drive risk. The order of preference is:
  - a. ID match
  - b. Exact Name match
  - c. Fuzzy Name match
  - d. Street Address match
  - e. Postal Code match
  - f. City match
  - g. State/Province match
  - h. Country match

Not all entity types can match multiple types of watch list entries. For example:

- Accounts and Customers only match identifiers.
- Correspondent Banks can match either IDs, Names, or Addresses.
- Addresses can match at different granularities, ranging from Country to the specific street address.
- If multiple risk lists are matched with the same specificity, then the final Watch List Risk is the highest of the risks of the entities matched at the same level.

**NOTE** All matches are retained and stored in List Membership Records associated with the entity.

### E.1.3.3 Determining Risk on Transactional Data

After Effective Risk is derived for Entities, this risk is reflected on instructions and transactions. The risk is generally calculated for each party on the transaction and stored as a Party Entity Risk. The Entity Risks of each party is then used to calculate an Activity Risk for each party. Activity Risk is an assessment of the risk level of the activity in which that party has engaged. As such, that party's own Entity Risk is not considered when calculating the Activity Risk for the party.

The derivations for Party Entity Risk vary by the transaction type.

### E.1.4 Determining Front Office Transaction Party Entity Risk

Front Office transactions contain the following distinct sources of risk for any one party:

- Party ID
- Party Name
- Party Location

As a general rule, Oracle Financial Services Behavior Detection uses the most specific risk factor possible when setting the Party Entity Risk. As such, risk information about the Party ID is considered more reliable than risk information about the Party Name or the Party Location. The Ingestion Manager can be configured to automatically accept the Party ID Risk only when it is above a certain threshold (this defaults to zero, meaning that non-zero Party ID Risk is always accepted as the Party Entity Risk).

For each Party, a Geography Risk is calculated using Watch List information as described in the section *Watch Lists*.

Party Entity Risk is determined by a hierarchy of rules as follows:

- If the Party ID Effective Risk is Trusted or Exempt, then set Party Entity Risk to the Party ID Effective Risk.
- If the Party ID Effective Risk is  $>$  *Party ID Win Threshold*, then set Party Entity Risk to Party ID Effective Risk.
- If the Party Name combined with the Party Location matches a combined Name-Location Watch List record that represents Trust or Exclusion, then set the Party Entity Risk to the combined Name-Location and Trust-Exemption level.
- If the Party Name combined with Party Location matches a combined Name-Location Watch List record that represents Risk, then set the Party Entity Risk to the HIGHER of the Party ID Effective Risk and the combined Name-Location Risk level.
- If the Party Name Effective Risk alone is Trusted or Exempt, then set the Party Entity Risk to the Trust-Exemption level of the Name.
- If the Party Name Effective Risk indicates risk, set the Party Entity Risk to the HIGHER of the Party ID Effective Risk and the Party Name Effective Risk.
- If the Party Geography Risk is Trusted or Exempt, then set the Party Entity Risk to the Trust-Exemption level of the Geography.
- Set the Party Effective Risk to the HIGHER of the Party ID Entity Risk and the Party Geography Risk.

The Party Entity Risk is calculated for every party on each Front Office Transaction. This value displays when showing Front Office Transactions in the UI. This value is then used to calculate Party Activity Risk for each party on the transaction. Refer to section *Determining Activity Risk on Front Office Transactions* for details on the calculation of Party Activity Risk for Front Office Transactions.

### E.1.5 Determining Back Office Transaction Party Entity Risk

Back Office Transactions contain only two parties, the Account that is the focus of the activity and the Offset Account involved in the transaction. As these are both Identifiers, setting the Party Entity Risk for Back Office Transactions is propagating the Account Effective Risk values for the related accounts to the transaction.

### E.1.5.0.1 Determining Settlement Instruction Party Entity Risk

Based on how Settlement Instructions are used in scenarios, the processing of parties is handled somewhat differently than Front Office Transactions. Although there are multiple parties on a Settlement Instruction, there is only a Party Entity Risk calculated for the Account holding the Instruction. The processing is, therefore, simply to propagate the Account's Effective Risk to the Settlement Instruction Entity Effective Risk.

## E.2 Determining Activity Risk

Activity Risk identifies the risk of the Activity as seen from the viewpoint of each Party on a transaction. In general, the Activity Risk is the highest risk of the other parties on the transaction or of the transaction Channel or Product itself. As with calculating Party Entity Risk, the derivation of Party Activity Risk varies by transaction type.

### E.2.1 Determining Activity Risk on Front Office Transactions

Front Office Transaction Party Activity Risk calculates risk separately from the point of view of each party on the transaction. The risk is intended to identify how risky the activity is independent of risk factors already associated to the Party through the Party Entity Risk. As such, on Front Office Transactions, the risk is calculated using the Party Entity Risk of the parties on the other side of the transaction. The general approach is to use the highest of the Channel Risk, Product Risk, and Party Entity Risk of the other parties. Channel and Product Risk are provided in the DIS file for Front Office Transactions.

Several party roles effect activity risk. The following sections describe the relationship between varying party roles and activity risk for transactions.

Table 1 displays the party role-activity risk relationship for an electronic funds transaction.

**Table 1: Electronic Funds Transfer Transaction**

| Party Role   | Roles impacting Activity Risk  |
|--|--|
| Originator, Secondary Originator, Sending Bank     | Intermediary Banks, Receiving Bank, Beneficiary, Secondary Beneficiary         |
| Intermediary Banks                                 | All roles except for the party for which the Activity Risk is being calculated |
| Receiving Bank, Beneficiary, Secondary Beneficiary | Intermediary Banks, Sending Bank, Originator, Secondary Originator             |

#### E.2.1.1 Cash Transaction

Table 2 displays the party role-activity risk relationship for the cash transaction.

**Table 2: Cash Transaction**

| Party Role  | Roles impacting Activity Risk         |
|-------------|---------------------------------------|
| Originator  | Location, Conductor                   |
| Location    | Conductor, Originator, or Beneficiary |
| Conductor   | Location, Originator, or Beneficiary  |
| Beneficiary | Location, Conductor                   |

**NOTE** A Cash Transaction record can have an Originator or a Beneficiary, but not both.

### E.2.1.2 Monetary Instrument and Check Transactions

Table 3 displays the party role-activity risk relationship for the monetary instrument and check transactions.

**Table 3: Monetary Instrument and Check Transactions**

| Party Role   | Roles impacting Activity Risk   |
|--|---|
| Remitter, Issuing Institution                              | Depositing Institution, Clearing Institution, Beneficiary, Secondary Beneficiary, Conductor                     |
| Clearing Institution                                       | Remitter, Issuing Institution, Depositing Institution, Beneficiary, Secondary Beneficiary, Conductor            |
| Depositing Institution, Beneficiary, Secondary Beneficiary | Remitter, Issuing Institution Clearing Institution, Conductor   |
| Conductor  | Remitter, Issuing Institution, Clearing Institution, Depositing Institution, Beneficiary, Secondary Beneficiary |

## E.2.2 Determining Activity Risk on Back Office Transactions

Activity Risk on Back Office Transactions is only calculated for the Account that is the focus of the activity. Since the only other risk factors available are the Offset Account's Effective Risk and the Channel and Product Risks provided on the transaction, the Activity Risk is calculated as the highest of these factors.

### E.2.2.1 Determining Activity Risk on Settlement Instructions

The Activity Risk calculated for Settlement Instructions is from the point of view of the Account holding the instructions. Calculating Activity Risk on Settlement Instructions follows a similar approach as Front Office Transactions whereby the Entity risk is calculated for each party and then used to calculate Activity Risk; however, on Settlement Instructions, the Entity Risks for each party are not stored. The Entity Risks are calculated as follows:

#### E.2.2.1.1 Destination Customer Entity Risk

The Destination Customer Entity Risk is calculated using the following hierarchical rules:

1. If the Destination Customer Account Effective Risk is non-zero, then set the Destination Customer Entity Risk to Destination Customer Account Effective Risk.
2. If the Destination Financial Institution Effective Risk is non-zero, then set the Destination Customer Entity Risk to Destination Financial Institution Effective Risk.
3. If the Destination Customer Name Risk  $\geq$  Destination Financial Institution Name Risk, then set the Destination Customer Entity Risk to Destination Customer Name Risk.
4. If the Destination Financial Institution Name Risk  $>$  Destination Customer Name Risk, then set the Destination Customer Entity Risk to Destination Financial Institution Risk.
5. Set the Destination Customer Entity Risk to zero (0).

#### **E.2.2.1.2 Physical Delivery Party Entity Risk**

The Physical Delivery Party Entity Risk is calculated using the following hierarchical rules:

1. If the Physical Delivery Account Effective Risk is non-zero, then set the Physical Delivery Party Entity Risk to Physical Delivery Account Effective Risk.
2. If the Physical Delivery Financial Institution Effective Risk is non-zero, then set the Physical Delivery Party Entity Risk to Physical Delivery Financial Institution Effective Risk.
3. If the Physical Delivery Geography Risk is non-zero, then set the Physical Delivery Party Entity Risk to the Physical Delivery Geography Risk.
4. Set the Physical Delivery Party Entity Risk to zero (0).

The final Activity Risk setting on the Settlement Instruction is the highest level of the following risks:

- Destination Customer Entity Risk
- Physical Delivery Party Entity Risk
- Settlement Country Geography Risk
- Product Risk
- Channel Risk

This final Activity Risk is used in scenarios to determine the risk level of the Settlement Instruction without regard to the risk factors inherent in the Account holding the Instruction.

## F Trade Blotter List Component Matrix

This appendix provides a detailed table that lists all possible fields that can display on the Trade Blotter List Details page by the user interface section and the product category specified on the Trade Blotter Search page.

**Table 1: Trade Blotter List Components by UI Section and Trade Product Category**

| Column                    | Description   | User Interface Section |       |                 |        |         |          |       |                 |                    |                            | Trade Product Category |              |                   |                  |              |           |             |      | Standard Configuration |
|---------------------------|---|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|--------------------|----------------------------|------------------------|--------------|-------------------|------------------|--------------|-----------|-------------|------|------------------------|
|                           |   | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor | Other/ Equity/ Commodities | Mutual Fund            | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred | Convertible | Swap |                        |
| Trade Characteristics     | Abbreviated text that describes any special criteria with which that trade is associated; for example, EA represents Employee Account. A hover over displays the full text. | X                      |       |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Score                     | Score associated with the trade.  | X                      |       |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Trade ID                  | Trade identifier for the trade.   | X                      | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Trade Date                | Date, time and time zone in which the trade was executed.   |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         |             |      | X                      |
| Currency Pair             | Security short name.  |                        | X     |                 |        |         | X        |       |                 |                    |                            |                        |              | X                 |                  |              |           |             |      | X                      |
| Deal Trade Date           | Original date that the structured deal was negotiated.  |                        | X     |                 |        |         |          |       |                 |                    |                            |                        |              |                   |                  |              |           |             | X    | X                      |
| Desk ID                   | Identifier of the desk that performed the trade.  |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Subdesk ID                | Identifier of the sub-desk that performed the trade.  |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Executing Organization ID | Identifier of the organization within which this trade execution was performed.   |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Post Position             | Tracer Post Position. Number of units of this security held in the trading account associated with this trade execution immediately after the execution was performed.      |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Security Short Name       | Short name of the security that was traded.   | X                      | X     |                 |        |         | X        |       |                 |                    | X                          | X                      | X            |                   | X                | X            | X         | X           | X    | X                      |
| Security ID               | Identifier of the security that was traded.   |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            |                   | X                | X            | X         | X           | X    | X                      |
| Security Description      | Description of the security that was traded.  |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            |                   | X                | X            | X         | X           | X    | X                      |
| Foreign Exchange Type     | Deal Type 1 and 2. Oracle Behavior Detection client-specified general type of the structured deal.  |                        | X     |                 |        |         |          |       |                 |                    |                            |                        |              | X                 |                  |              |           |             |      | X                      |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                       | Description  | User Interface Section |       |                 |        |         |          |       |                 |                    |                            | Trade Product Category |              |                   |                  |              |           |             |      |                        |  |
|------------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|--------------------|----------------------------|------------------------|--------------|-------------------|------------------|--------------|-----------|-------------|------|------------------------|--|
|                              |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor | Other/ Equity/ Commodities | Mutual Fund            | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred | Convertible | Swap | Standard Configuration |  |
| Foreign Exchange Description | Description of the structured deal (or swap) that the Oracle Behavior Detection client can use to identify specific information about the structured deal (or swap). |                        | X     |                 |        |         |          |       |                 |                    |                            |                        |              | X                 |                  |              |           |             |      | X                      |  |
| Security Alternate Name      | Alternate name of the security.  |                        | X     |                 |        |         |          |       |                 |                    |                            |                        | X            |                   |                  |              |           |             |      | X                      |  |
| Product Category             | Product category designation for the security associated with this trade.  | X                      | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Product Type                 | Product type designation for the security associated with this trade.  |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Product Subtype              | Product subtype designation for the security associated with this trade.   |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Trade Purpose                | Purpose for which this trade was executed.   |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Trader Buy/Sell              | Trader Buy/Sell. Indicates whether the trader is buying or selling the security.   |                        | X     |                 |        |         |          |       |                 |                    |                            |                        |              |                   |                  |              |           |             |      |                        |  |
| Buyer                        | Buyer identifier and type  |                        | X     |                 |        |         |          |       |                 | X                  |                            | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Seller                       | Seller identifier and type   |                        | X     |                 |        |         |          |       |                 | X                  |                            | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Market Center                | Market center on which the trade was executed.   |                        | X     |                 |        |         |          |       |                 | X                  |                            |                        | X            |                   |                  |              |           |             |      | X                      |  |
| Quantity                     | Total number of units of the security (for example, shares, contracts, or face value) that were traded.  | X                      | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            |                   | X                | X            | X         |             |      | X                      |  |
| Price (Base)                 | Price at which the security was traded (buy or sell) as expressed in base currency.  |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Price (Issuing)              | Price at which the security was traded (buy or sell) as expressed in the issuing currency.   | X                      | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Price (Traded)               | Last activity price for the trade.   |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Price (Settlement)           | Trade price expressed in the currency in which the trade is to be settled.   |                        | X     |                 |        |         |          |       |                 | X                  | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |
| Commission (Base)            | Monetary amount of the broker commission associated with this trade, expressed in base currency.   |                        | X     |                 |        |         |          |       |                 |                    | X                          | X                      | X            | X                 | X                | X            | X         | X           | X    | X                      |  |



Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                 | Description  | User Interface Section |       |                 |        |         |          |       |                 |                    |                | Trade Product Category |             |              |                   |                  |              |           | Standard Configuration |             |
|------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|--------------------|----------------|------------------------|-------------|--------------|-------------------|------------------|--------------|-----------|------------------------|-------------|
|                        |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor | Other/ Equity/ | Commodities            | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred |                        | Convertible |
| Commission (Issuing)   | Monetary amount of the broker commission associated with this trade, expressed in the issuing currency.  |                        | X     |                 |        |         |          |       |                 |                    | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Principal (Base)       | Principal amount of the trade as expressed in base currency.   |                        | X     |                 |        |         |          |       |                 |                    |                | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Principal (Issuing)    | Principal amount of the trade as expressed in the issuing currency.  | X                      | X     |                 |        |         |          |       |                 | X                  | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Principal (Traded)     | Principal amount of the trade as expressed in the currency in which the trade was executed.  |                        | X     |                 |        |         |          |       |                 |                    | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Principal (Settlement) | Principal amount of the trade as expressed in the currency in which the trade is to be settled.  |                        | X     |                 |        |         |          |       |                 |                    | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Coon                   | The interest rate paid for the security.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   | X                | X            |           |                        | X           |
| Yield                  | For fixed income products, the rate of return on this security.  |                        | X     |                 |        |         |          |       |                 |                    |                | X                      |             |              |                   |                  |              | X         |                        | X           |
| Gross Amount           | Principal amount of the trade expressed in the issuing currency plus the commission associated with the trade expressed in the issuing currency. |                        | X     |                 |        |         |          |       |                 | X                  | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           |
| Settlement Date        | Date on which the trade is to settle.  |                        | X     |                 |        |         |          |       |                 | X                  | X              | X                      | X           | X            | X                 | X                | X            |           |                        | X           |
| Settlement Value       | For Foreign Exchange trades, the value of the trade on Value Date.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             | X            |                   |                  |              |           |                        | X           |
| Settlement Country     | Last known value for the country in which this trade was settled.  |                        | X     |                 |        |         |          |       |                 |                    | X              |                        |             |              |                   |                  | X            | X         | X                      | X           |
| Conversion Ratio       | Number of units (for example, shares) of the instrument that can be obtained by converting each single unit of the convertible security.         |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   | X                | X            |           |                        | X           |
| Conversion Price       | Price per share for which investors can exchange the convertible security.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   | X                | X            |           |                        | X           |
| Swap Type              | Deal Type 1 and 2. Type of this structured deal.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           | X                      |             |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                    | Description   | User Interface Section |       |                 |        |         |          |       |                 |                    |                | Trade Product Category |             |              |                   |                  |              |           | Standard Configuration |             |      |
|---------------------------|---|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|--------------------|----------------|------------------------|-------------|--------------|-------------------|------------------|--------------|-----------|------------------------|-------------|------|
|                           |   | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor | Other/ Equity/ | Commodities            | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred |                        | Convertible | Swap |
| Swap Description          | Description of this structured deal (or swap) that the Oracle Behavior Detection client can use to identify specific information about the structured deal (or swap). |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Legal Entity              | Oracle Behavior Detection client's legal entity that is the principal in this structured deal.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Customer ID               | Identifier of the customer or counterparty involved in this structured deal.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Source System             | Source system from which this data content is extracted.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Party 1 ID                | Space-separated type and identifier of the first party involved in this swap.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Party 1 Account ID        | Identifier of the account for the first party involved in this swap.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           |      |
| Party 1 Payment Frequency | Expected frequency at which payments are to be made against this structured deal or swap (for example, daily or weekly).  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Party 2 ID                | Space-separated type and identifier of the second party involved in this swap.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Party 2 Account ID        | Identifier of the account for the second party involved in this swap.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           |      |
| Party 2 Payment Frequency | Expected frequency at which payments are to be made against this structured deal or swap (for example, daily or weekly).  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Effective Date            | Effective date on which the deal started.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Term Date                 | Date on which the deal ended.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              |                   |                  |              |           |                        | X           | X    |
| Interbank Exchange Rate   | Interbank exchange rate.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             | X            |                   |                  |              |           |                        |             | X    |
| Spot Exchange Rate        | Spot exchange rate.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             | X            |                   |                  |              |           |                        |             | X    |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                      | Description  | User Interface Section |       |                 |        |         |          |       |                 |                    |                | Trade Product Category |             |              |                   |                  |              |           | Standard Configuration |             |      |
|-----------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|--------------------|----------------|------------------------|-------------|--------------|-------------------|------------------|--------------|-----------|------------------------|-------------|------|
|                             |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor | Other/ Equity/ | Commodities            | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred |                        | Convertible | Swap |
| Trade Exchange Rate         | Exchange rate at which the trade executions were executed.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              | X                 |                  |              |           |                        |             | X    |
| Principal Amount (Counter)  | For foreign exchange trades, the principal amount of the trade expressed in the counter currency of the currency pair. This value does not include commissions or fees associated with the trade.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              | X                 |                  |              |           |                        |             | X    |
| Principal Amount (Treasury) | Principal amount of the trade expressed in the currency in which the trade is to be settled. For foreign exchange trades, the principal amount of the trade expressed in the treasury currency. This value does not include commissions or fees associated with the trade. |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             |              | X                 |                  |              |           |                        |             | X    |
| Load                        | Type of load for this mutual funds security.   |                        | X     |                 |        |         |          |       |                 |                    |                | X                      |             |              |                   |                  |              |           |                        |             | X    |
| Load/Fee                    | Mutual fund load fee amount in this issuing currency.  |                        | X     |                 |        |         |          |       |                 |                    |                | X                      |             |              |                   |                  |              |           |                        |             | X    |
| NAV                         | Closing price, in the issuing currency, for this security in its primary market on this market date.   |                        | X     |                 |        |         |          |       |                 |                    |                | X                      |             |              |                   |                  |              |           |                        |             | X    |
| CDSC (Issuing)              | Contingent Deferred Sales Charge amount in the issuing currency.   |                        | X     |                 |        |         |          |       |                 |                    |                | X                      |             |              |                   |                  |              |           |                        |             | X    |
| Contract Size               | For option products, the quantity of shares of the underlying security for which this options contract is written.   |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             | X            |                   |                  |              |           |                        |             | X    |
| Option Type                 | For option products, indicator of whether the option can be exercised at any time prior to maturity or can only be exercised at maturity.  |                        | X     |                 |        |         |          |       |                 |                    |                |                        |             | X            |                   |                  |              |           |                        |             | X    |
| Customer Buy/Sell           | Customer buy or sell.  | X                      | X     |                 |        |         |          |       |                 | X                  | X              | X                      | X           | X            | X                 | X                | X            | X         | X                      | X           | X    |
| Agent ID                    | Identifier of the trader who acted as the agent on the execution (for agency trades).  |                        | X     |                 |        |         |          |       |                 | X                  |                |                        |             |              |                   |                  |              |           |                        |             | X    |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                 | Description  | User Interface Section |       |                 |        |         |          |       |                 | Trade Product Category |                |             |             |              |                   |                  |              | Standard Configuration |           |             |
|------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|------------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|------------------------|-----------|-------------|
|                        |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor     | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market |                        | Preferred | Convertible |
| Solicited              | Indicator of whether a person affiliated with the Oracle client solicited this order.  |                        | X     |                 |        |         |          |       |                 | X                      |                |             |             |              |                   |                  |              |                        |           | X           |
| Event Type             | Trade event type associated with the trade.  |                        | X     |                 |        |         |          |       |                 | X                      |                |             |             |              |                   |                  |              |                        |           | X           |
| Customer Name          | Name of the customer who placed the order.   |                        |       |                 |        | X       |          |       |                 | X                      |                |             |             |              |                   |                  |              |                        |           | X           |
| Account [Display] Name | Account display name of the account associated with the trade.   | X                      |       |                 | X      |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Investment Objective   | Specific investment objective of the account associated with the trade.  | X                      |       |                 |        |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Source of Funds        | Source from which the initial funds will come as stated by the customer for the account associated with the trade.                           |                        |       |                 | X      |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Source                 | Investment rating service that is the source of the investment rating for the security associated with the trade.                            |                        |       | X               |        |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Rating                 | Specific investment rating value determined by an investment rating service for the security that was traded (for example, A+, BBB, or CC-). |                        |       | X               |        |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Effective              | Date on which an investment rating service established this investment rating for the security associated with the trade.                    |                        |       | X               |        |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Expires                | Date on which an investment rating service removed this investment rating for the security associated with the trade.                        |                        |       | X               |        |         |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Maturity               | For fixed income products, the date on which the security matures.   |                        | X     |                 |        |         |          |       |                 |                        |                | X           |             |              |                   |                  |              |                        |           | X           |
| CUSIP                  | Committee on Uniform Securities Identification Procedures (CUSIP) identifier associated with the security that was traded.                   |                        | X     |                 |        |         |          |       |                 | X                      | X              |             |             | X            |                   | X                |              |                        |           | X           |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column               | Description  | User Interface Section |       |                 |        |         |          |       |                 | Trade Product Category |                |             |             |              |                   |                  |              | Standard Configuration |           |             |      |
|----------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|------------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|------------------------|-----------|-------------|------|
|                      |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor     | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market |                        | Preferred | Convertible | Swap |
| ISIN                 | International Securities Identification Number (ISIN) associated with the security that was traded.                                      |                        | X     |                 |        |         |          |       |                 | X                      |                | X           | X           | X            |                   | X                | X            | X                      |           | X           |      |
| Deal ID              | Oracle Behavior Detection identifier for a particular structured deal associated with the trade.   |                        | X     |                 |        |         |          |       |                 | X                      |                |             | X           | X            |                   | X                | X            |                        |           | X           | X    |
| Last Reviewed By     | User who approved or rejected the trade (via Trade Blotter).   |                        | X     |                 |        |         |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Organization Name/ID | Display name or identifier (configured at deployment) of the organization that originated the trade.                                     |                        | X     |                 |        |         |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Account ID           | Identifier of the customer's account involved in the trade, as last reflected in the events for the execution.                           | X                      |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Account Type         | Oracle Behavior Detection client-specified account type classification for the use of this account.                                      |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Registration         | Registration Type. Oracle Behavior Detection client-specified form of legal ownership for the account that is associated with the trade. |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Open Date            | (Account) Date on which the account associated with the trade was opened.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Last Activity        | (Account) Date of the last trading or transaction activity in the account that is associated with the trade.                             |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Business Unit        | (Account) For firm accounts, the identifier for the organization that owns the account.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Branch               | (Account) Branch Code. Organization where the account is domiciled.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |
| Tax ID               | (Account) Tax identification number associated with the account that is associated with the trade.                                       |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           | X    |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                  | Description   | User Interface Section |       |                 |        |         |          |       |                 | Trade Product Category |                |             |             |              |                   |                  |              | Standard Configuration |           |             |
|-------------------------|---|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|------------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|------------------------|-----------|-------------|
|                         |   | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor     | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market |                        | Preferred | Convertible |
| Risk Tolerance          | (Account) Degree of risk the customer is willing to take with investments in this account (that is, the customer's ability to handle declines in the net worth of this account).  |                        |       |                 |        | X       |          |       |                 |                        | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Customer ID             | Customer associated with the account involved in the trade.   |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Tax ID                  | (Customer) Customer's tax identification number.  |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Type                    | (Customer) Indicator of whether this customer is an individual or organization.   |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Business Type           | (CustomLinker) Functional area in which this customer does business   |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Date of Birth           | Date on which the customer was born.  |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Leg Str                 | Organization customer's legal structure.  |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Broker/Dealer           | Indicator of whether this customer has provided notification of employment by a financial institution.  |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Customer Effective Risk | Level of risk associated with this customer as determined in large part by membership on one or more watch lists.   |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Effective Match         | Level of risk associated with this customer as determined in large part by membership on one or more Watch Lists plus text of the identifier or name associated with the Watch List record that was used to populate Watch List Risk for this customer. |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Business Risk           | Level of risk associated with the general business characteristics of this customer as determined by the Oracle Behavior Detection client.  |                        |       |                 |        | X       |          |       |                 | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                    | Description   | User Interface Section |       |                 |        |         |          |       |                 | Trade Product Category |                |             |             |              |                   |                  |              | Standard Configuration |           |             |
|---------------------------|---|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|------------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|------------------------|-----------|-------------|
|                           |   | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor     | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market |                        | Preferred | Convertible |
| List                      | Identifier of the level of risk associated with a customer determined by membership on one or more watch lists. |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Annual Income             | Customers self-reported annual income, expressed in base currency.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Employee                  | Indicator of whether the customer is also an Oracle Behavior Detection client.                                  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Estimated Liquid Networth | Customer's self-reported liquid assets, expressed in base currency.   |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Source of Wealth          | Customer's self-reported source of wealth.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Marital Status            | Marital status of the customer.   |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Occupation                | Occupation of the customer.   |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Employer                  | Name of the customer's employer.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Credit Rating             | Rating for this customer, based on credit rating score.   |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Credit Score              | Actual score for the customer's credit rating, based on the credit rating score.                                |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Credit Rating Source      | Source associated with the credit rating assigned to the customer.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Citizenship               | Customer's primary country of citizenship.  |                        |       |                 |        | X       |          |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Order ID                  | Identifier of the order associated with the trade.  |                        |       |                 |        |         | X        |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Order Placed              | Date and time on which the order was placed.  |                        |       |                 |        |         | X        |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| First Routed              | Date and time on which the order was first routed.  |                        |       |                 |        |         | X        |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Order Filled              | Date and time on which the order was completely filled.   |                        |       |                 |        |         | X        |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Order Buy/Sell            | Indicator of whether an order is an instruction to buy or sell a security.                                      |                        |       |                 |        |         | X        |       |                 | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                              | Description   | User Interface Section |       |                 |        |         |          |       | Trade Product Category |                    |                |             |             |              |                   |                  |              |           |             |      |                        |
|-------------------------------------|---|------------------------|-------|-----------------|--------|---------|----------|-------|------------------------|--------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|-----------|-------------|------|------------------------|
|                                     |   | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep.        | Investment Advisor | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred | Convertible | Swap | Standard Configuration |
| Originating Order Quantity          | Original number of units of the security (for example, shares, contracts or face value) that were to be bought or sold through this order.                            |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Last Order Type                     | Type of this order; for example, market or limit.   |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Limit Price                         | Price at which this limit order is to be executed, as expressed in issuing currency.  |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Buyer/Seller                        | Indicator for the type of buyer/seller for which the order was placed and the buyer/seller associated with the order.   |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Parent Order ID                     | Identifier that the Oracle Behavior Detection client assigns which uniquely identifies this order throughout the enterprise during the day in which it was performed. |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Primary Representative ID           | Primary representative identifier that is used by this employee.  |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Employee Name                       | Name to be displayed for this employee.   |                        |       |                 | X      |         |          | X     | X                      | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Representative / Investment Advisor | Registered Representative/ Investment Advisor name associated with the trade.   | X                      |       |                 |        |         |          |       |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Primary Service Team ID             | Identifier of the primary service team of which this employee is a member.  |                        |       |                 |        |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Central Registration Depository ID  | For employees who must be registered with a regulator, the unique identifier that the authoritative regulator assigned to this employee.                              |                        |       |                 | X      |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Employee ID                         | Identifier for an employee that is unique across the enterprise. Note: This field is labeled Representative/ Investment Advisor.                                      |                        |       |                 | X      |         |          | X     | X                      | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Title                               | Job title for this employee.  |                        |       |                 | X      |         |          | X     |                        | X                  |                | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |



Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                       | Description  | User Interface Section |       |                 |        |         |          |       | Trade Product Category |                    |                |             |             |              |                   |                  |              |           |             |      |                        |
|------------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|------------------------|--------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|-----------|-------------|------|------------------------|
|                              |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep.        | Investment Advisor | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market | Preferred | Convertible | Swap | Standard Configuration |
| Role                         | For employees who are traders or registered representatives, identifies their employment role or title; for example, floor trader or branch manager. |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Employee Type                | Code that identifies the type of employee; for example, employee or contractor.  |                        |       |                 |        |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Part/Full Time               | Indicator of whether this employee is part time or full time.  |                        |       |                 |        |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Supervisor Name              | Name to be displayed for this employee's supervisor.   |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Supervisory Organization ID  | Identifier of the organization that is responsible for monitoring the activities of this employee.   |                        |       |                 |        |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Supervisor Organization Name | Name of the organization that is responsible for monitoring the activities of this employee.   |                        |       |                 |        |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Line Organization ID         | Identifier of the primary line organization to which this employee is assigned.  |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Line Organization Name       | Name of the primary line organization to which this employee is assigned.  |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Company                      | Name of the company for which this employee or contractor works.   |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Cost Center                  | Cost center to which this employee is assigned.  |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Office                       | Identifier of the office to which this employee is assigned.   |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Office Location              | Text that describes this employee's work location (for example, 123 Wall Street or Commonwealth Building, Third Floor).                              |                        |       |                 | X      |         |          |       | X                      |                    | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |
| Tax ID                       | Employee's tax identification number; for example, SSN.  |                        |       |                 |        |         |          |       | X                      | X                  | X              | X           | X           | X            | X                 | X                | X            | X         | X           | X    | X                      |

Table 1: Trade Blotter List Components by UI Section and Trade Product Category (Continued)

| Column                       | Description  | User Interface Section |       |                 |        |         |          |       |                 | Trade Product Category |                |             |             |              |                   |                  |              | Standard Configuration |           |             |
|------------------------------|--|------------------------|-------|-----------------|--------|---------|----------|-------|-----------------|------------------------|----------------|-------------|-------------|--------------|-------------------|------------------|--------------|------------------------|-----------|-------------|
|                              |  | Trade List             | Trade | Security Rating | Trader | Account | Customer | Order | Registered Rep. | Investment Advisor     | Other/ Equity/ | Commodities | Mutual Fund | Fixed Income | Options & Futures | Foreign Exchange | Money Market |                        | Preferred | Convertible |
| Tax ID Format                | Indicator of whether the employee tax identifier is a Social Security Number (SSN) or another type of identifier.      |                        |       |                 |        |         |          |       | X               | X                      | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Hire Date                    | Date this employee was hired.  |                        |       |                 |        |         |          | X     | X               |                        | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Employee Status              | Employment status of this employee; for example, active or inactive.   |                        |       | X               |        |         |          | X     | X               |                        | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Employee Status Date         | Date that this employee's status was last changed.   |                        |       | X               |        |         |          | X     | X               |                        | X              | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Investment Advisor Firm ID   | Investment advisor firm identifier. Identifier for a specific investment advisor that is unique across the enterprise. |                        |       |                 |        |         |          |       | X               | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Investment Advisor Firm Name | Investment advisor's firm name. For external advisors, the name of the investment advisor's firm.                      |                        |       |                 |        |         |          |       | X               | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| # of Subaccounts             | Number of active sub-accounts that this investment advisor manages.  |                        |       |                 |        |         |          |       | X               | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |
| Assets Under Management      | Total net worth of all active sub-accounts that this investment advisor manages, expressed in base currency.           |                        |       |                 |        |         |          |       | X               | X                      |                | X           | X           | X            | X                 | X                | X            | X                      | X         | X           |

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