

# Oracle Financial Services Transaction Filtering **Reporting Guide**

*Release 8.0.5.0.0*  
*October 2017*





# Oracle Financial Services Transaction Filtering

## **Reporting Guide**

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Oracle Financial Services Software, Inc.  
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Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190  
*Phone:* (703) 478-9000  
*Fax:* (703) 318-6340  
*Internet:* [www.oracle.com/financialservices](http://www.oracle.com/financialservices)

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# About this Guide

This guide details the reports used in the Oracle Financial Services Transaction Filtering (OFS TF) application.

This chapter focuses on the following topics:

- [Who Should Use this Guide](#)
- [How this Guide is Organized](#)
- [Where to Find More Information](#)
- [Conventions Used in this Guide](#)

## Who Should Use this Guide

The *OFS TF Reporting Guide* is designed for the following users who are assigned the following roles:

- Analyst
- Supervisor
- Administrator

## How this Guide is Organized

The *OFS TF Reporting Guide* includes the following chapters:

- [Chapter 1, “About Transaction Filtering Reporting.”](#) provides instructions on how to navigate through the Oracle Financial Services Transaction Filtering Reporting application.

## Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, refer to the following documents:

- *Oracle Financial Services Transaction Filtering User Guide*
- *Oracle Financial Services Transaction Filtering Administration Guide*
- *Oracle Financial Services Transaction Filtering Matching Guide*
- *Oracle Financial Services Sanctions Installation Guide*

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 Transaction Filtering and our complete product line, visit our Web site [www.oracle.com/financialservices](http://www.oracle.com/financialservices).

## Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

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

Convention	Meaning
<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>	<ul style="list-style-type: none"><li>● Substitute input value</li></ul>



This chapter gives an overview of Transaction Filtering Reporting. This chapter discusses the following topics:

- [Overview of Transaction Filtering](#)
- [About OFS Transaction Filtering Reporting](#)

## ***Overview of Transaction Filtering***

Oracle Financial Services Transaction Filtering is a real-time blacklist filtering system that identifies blacklisted, restricted and sanctioned individuals, entities, cities and countries in a financial transaction processed through the Solution. The solution can interface with any clearing systems, payment system or any source system. The solution accepts messages from the source systems in real time and scans them against different watch lists maintained within the system to identify existence of any blacklisted data present within the message.

The OFS Transaction Filtering system can scan SWIFT messages. The OFS Transaction Filtering is built using various components of OFSAA product suite. These components are the scoring engine (EDQ), user interface and rule engine (IPE).

Regulatory authorities emphasize on financial institutions to ensure that they do not unwittingly hide or move criminal or terrorist funds. Financial Institutions are required to comply with regulations from several authorities:

- USA PATRIOT Act
- U.S. Treasury's Office of Foreign Assets Control (OFAC), USA
- Office of the Superintendent of Financial Institutions (OSFI), Canada
- Financial Action Task Force on money laundering (FATF/GAFI)
- EU Commission
- Country-specific authorities

While the law may differ between countries, the spirit of regulatory intervention is uniform: to hold financial institutions responsible and accountable if they have been a party, however unwittingly, to a criminal or terrorist related transaction.

Sanctions include the withholding of diplomatic recognition, the boycotting of athletic and cultural events and the sequestering of property of citizens of the targeted country. However, the forms of sanctions that attract the most attention and that are likely to have the greatest impact are composed of various restrictions on international trade, financial flows or the movement of people.

Real Time Transaction Filtering against sanctioned lists, internal watch lists and other sources is a key compliance requirement for financial institutions across the globe.

Initially Financial Institutions (FIs) were expected to identify customers who were either sanctioned themselves or lived in sanctioned countries and any transactions associated with these customers. Over the years between 2001 and the present time the expectations have grown. FIs are now expected to identify not only the above but also any dealings, company ownership, associated parties and more recently there has been a move to identify information that has been deliberately hidden or removed.

FIs are required to identify sanction-related information at all stages of customer involvement from on-boarding, through continual client screening to real-time filtering of transactions. Current stages in the sanctions processes adopted by FIs include the following:

- Sanctions checks as part of customer on boarding (included in KYC checks)
- Daily checks of all customers against full sanctions lists (Client Screening)
- Filtering of customers' transaction against full sanctions lists (Transaction Filtering)
- Filtering of Trade Documentation
- Scrutiny of transactional data for incomplete or inaccurate data
- Comparison of transactional data for deliberately removed sanctions elements

Oracle Financial Services Transaction Filtering solution delivers a strong, effective filter that identifies all true sanctioned individual/entities and at the same time exploits all available information (internal and external) to reduce false positives and therefore minimize the operational impact to Financial Institutions.

## ***About OFS Transaction Filtering Reporting***

This application is available if you have Transaction Filtering Analytics with Oracle Business Intelligence (OBIEE) installed at your site.

This chapter describes the Oracle Financial Services Transaction Filtering Reporting application and covers the following topics:

- [Accessing OFS Transaction Filtering Reporting](#)
- [Transaction Filtering Reporting Home page](#)
- [Operational Reporting](#)
- [Audit Reporting](#)

## ***Accessing OFS Transaction Filtering Reporting***

To access the OFS Transaction Filtering Reporting page, follow these steps:

1. Log in to the Transaction Filtering application as the admin or investigator.
2. Click **Transaction Filtering Admin** on the right-hand side menu. The **Configuration Screen** is displayed.
3. Click the **OBI Report** icon on the top right corner. The **Oracle Business Intelligence (OBI)** screen is displayed. This is the Transaction Filtering Reporting home page.



Figure 1. Transaction Filtering Reporting Home Page

## ***Transaction Filtering Reporting Home page***

The Transaction Filtering Reporting Home page consists of the following sections:

- Analysis section
- Graphical display section

The Analysis section of the screen has two kinds of Reporting:

- Operational Reporting
- Audit Reporting

The Graphical display section has the range value fields that are to be provided in the **Transaction count by Jurisdiction and BU** report and the **Alert Count by Jurisdiction and BU** report, depending on which the graphical reports are displayed.

### ***Operational Reporting***

This section has two kinds of Analysis. They are:

- [Alert Analysis](#)
- [User Analysis](#)

#### **Alert Analysis**

Based on the alerts that are generated within the range provided in the Alert Count section and the Transaction Count section, the count of alerts are displayed against Jurisdiction.

When you select **Alert Analysis** on the left, the Alert analysis table is displayed as follows:

Alert ID	Score	Created date	Message Type	Status	User
1151	98	11/16/2017 4:21:11 PM	MT101	Blocked	ANALYST
1163	98	11/16/2017 4:25:10 PM	MT101	Blocked	ANALYST
1175	98	11/16/2017 4:28:37 PM	MT101	Released	ANALYST
1230	98	11/16/2017 5:40:52 PM	MT103	Blocked	ANALYST
1260	98	11/16/2017 5:41:56 PM	MT103	Escalated	ANALYST
1290	98	11/16/2017 5:42:11 PM	MT103	Hold	
1324	98	11/16/2017 5:46:46 PM	MT103	Escalated	ANALYST
1356	98	11/16/2017 5:49:53 PM	MT101	Escalated	ANALYST
1393	98	11/16/2017 5:58:04 PM	MT103		
1422	98	11/16/2017 5:58:05 PM	MT103	Escalated	ANALYST
1452	98	11/16/2017 5:58:06 PM	MT103	Hold	
1482	98	11/16/2017 5:58:08 PM	MT103	Escalated	ANALYST
1508	98	11/16/2017 5:58:09 PM	MT101	Released	SUPERVISOR
1529	98	11/16/2017 6:04:02 PM	MT101	Escalated	ANALYST
1556	78	11/17/2017 7:59:40 AM	MT101	Hold	
1565	78	11/17/2017 9:33:37 AM	MT101	Hold	
1593	98	11/21/2017 2:00:48 PM	MT103	Hold	
1619	98	11/21/2017 2:02:09 PM	MT103	Escalated	ANALYST
1645	98	11/21/2017 2:03:41 PM	MT103	Escalated	ANALYST
1727	98	11/21/2017 3:29:12 PM	MT101	Escalated	ANALYST
1739	98	11/21/2017 3:29:12 PM	MT101		
1749	98	11/21/2017 3:29:12 PM	MT101		
1761	98	11/21/2017 3:29:13 PM	MT101		
1771	98	11/21/2017 3:29:13 PM	MT101	Escalated	ANALYST

Figure 2. Alert Analysis

## User Analysis

Based on the alerts that are generated within the range provided in the Alert Count section and the Transaction Count section, the count of alerts are displayed against Jurisdiction.

When you select **User Analysis** on the left, the User analysis table is displayed.

## Audit Reporting

Audit reporting displays reports based on the following criteria. They are:

- [Alert Investigation](#)
- [Message Status](#)

### Alert Investigation

The alerts are audited based on the status and the number of alerts that are reportable to authorities are also displayed depending on the date range provided.

A sample is as follows:

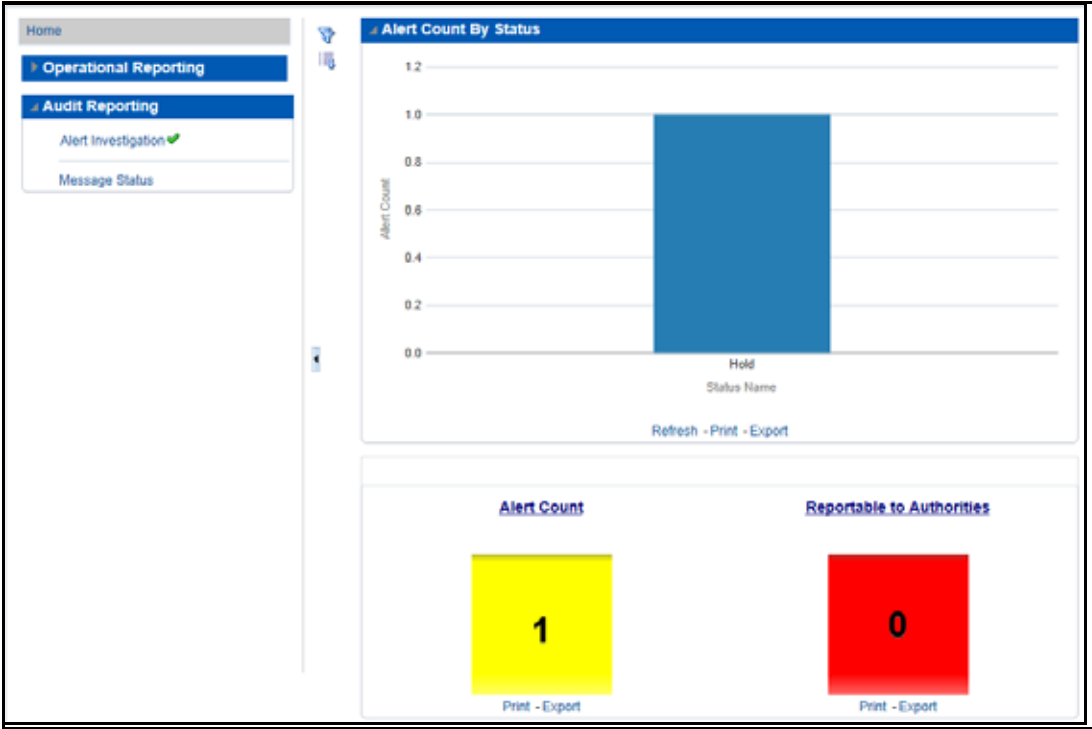


Figure 3. Alert Investigation

### Message Status

The number of alerts that are audited based on the screening status of the messages are displayed in this section. Following figure shows an example of the same:

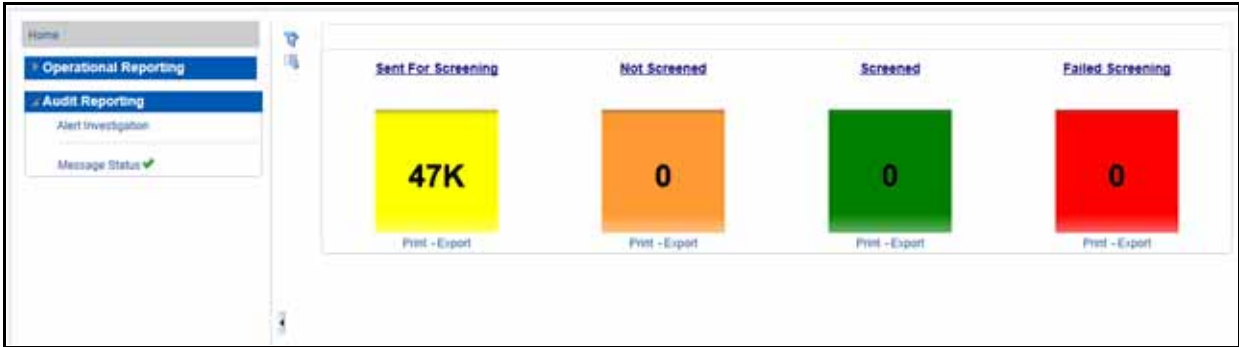



Figure 4. Message Status

### Filters

Global filters are available in most reports. You can use global filters to apply conditions to the individual reports. To access the report filters, click the funnel icon . The individual report filter fields will appear to the left of the report. Each report has its own specific set of filters.

The image shows a 'Global Filters' panel with a blue header. It contains three filter sections: 'Alert Creation Date' with a 'Between' range selector, 'User' with a dropdown menu showing '--Select Value--', and 'Status of Alert' with a dropdown menu showing '--Select Value--'. At the bottom right are 'Apply' and 'Reset' buttons.

Figure 5. Message Status

Click **Apply** to view the results.





