Oracle Financial Services Transactions Filtering
Administration Guide

Release 8.0.6.0.0
May 2018

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Revision History

The following table describes the revision history of the Administration Guide.

Date	Edition	Description
October 2017	8.0.5	Created the Administration Guide.
January 2018	8.0.5.0.2	Added the following content: ● DJAC,DJW and WC as new watchlists and content for each watchlist in *Chapter 4, Preparing Watch List Data* ● Note for false positive counter in *Chapter 4, Configuring Application Level Parameters* ● Configuring watchlists, filter settings and property files in *Chapter 4, Configuring Watch List Management and Transaction Filtering*
Feb 2018	8.0.5.0.3	● Added the white list table name in section *Adding, Editing or Deleting Good Guy Records* in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*. ● Updated the *Application Parameters Configuration Tab* to include the four eyes section in section *Configuring Application Level Parameters* in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*. ● Added the navigation to view the PMF process flow for standard and four-eyes in section *System Configuration and Identity Management Tab* in *Chapter 2, Getting Started*. ● Added content for the configuring transaction currency for four-eyes in section *Configuring the Transaction Currency* in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*.
June 2018	8.0.5.0.5	● Updated section *Configuring Operating Model - Multi Jurisdiction and Multi Business Unit Implementation* in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*.
Jan 2019	8.0.5.0.12	● Added the MT 110 message type in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening* and *Chapter 5, Configuring Risk Scoring Rules*. ● Updated the EU Reference Data section in *Appendix A, Watch Lists*.
Feb 2019	8.0.5.0.14	● Added a new Watchlist Management Job, *Load List data from Stg to Processed table*, in the Configuring Jobs section.

Date	Edition	Description
May 2018	8.0.6.0.0	● Added the new Message Type Configurations in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*. ● Added a new section, *Populating Data for the Trade Goods and Trade Port Webservices*, for the EDQ job for Goods and Port matching in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*. ● Added content for the Accuity watchlist in *Appendix A, Watch Lists*. ● Changed the screens to display the new login page, navigation and home page in *Chapter 2, Getting Started*. ● Updated *Chapter 2, Getting Started.* ● Changed the screens to display the new tabs in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening.* ● Added the screen for Goods Screening Configuration which is different from the other webservices in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening.* ● Added sections for Goods Prohibition Reference Data and Ports Prohibition Reference Data in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening.* ● Changed the screens to display the new UI *Chapter 5, Configuring Risk Scoring Rules.*
July 2018	8.0.6.0.1	● Added the List Approval Parameter Configuration page in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening*. ● Added *Adding, Editing or Deleting Good Guy Records* in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening.*
Jan 2019	8.0.6.0.3	Updated the EU Reference Data section in *Appendix A, Watch Lists*.
Feb 2019	8.0.6.0.4	● Added the MT 110 message type in *Chapter 4, Configuring EDQ, Application Parameters, Message and Screening* and *Chapter 5, Configuring Risk Scoring Rules*. ● Updated the EU Reference Data section in *Appendix A, Watch Lists*.

About this Guide

This guide provides comprehensive instructions for proper system administration and the daily operations and maintenance of Oracle Financial Services Transaction Filtering. The logical architecture provides details of the Transaction Filtering process for a better understanding of the pre-configured application, which allows you to make site-specific enhancements using OFSAAI. This section 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

This *Administration Guide* is designed for use by the Implementation Consultants and System Administrators. Their roles and responsibilities, as they operate within Oracle Financial Services Transaction Filtering, include the following:

- **Implementation Consultants:** Installs and configures Oracle Financial Services Transaction Filtering at a specific deployment site. The Implementation Consultant also installs and upgrades any additional Oracle Financial Services solution sets, and requires access to deployment-specific configuration information (For example, machine names and port numbers).
- **System Administrator:** Configures, maintains, and adjusts the system, and is usually an employee of a specific Oracle customer. The System Administrator maintains user accounts and roles, configures the EDQ, archives data, loads data feeds, and performs post-processing tasks.

How this Guide is Organized

The *Oracle Financial Services Transaction Filtering Administration Guide*, includes the following chapters:

- *About Oracle Financial Services Transaction Filtering*, provides a brief overview of the Oracle Financial Services Transaction Filtering application.
- *Getting Started*, provides information on how to log on to the Transaction Filtering application and the tab available on the home page.
- *Managing User Administration*, provides information on the user administration of the Oracle Financial Services Transaction Filtering application.
- *Configuring EDQ, Application Parameters, Message and Screening*, describes how to configure the EDQ and the SWIFT message and screening parameters in the Oracle Financial Services Transaction Filtering application.
- Configuring Risk Scoring Rules , describes how to configure business rules in OFS Inline Processing Engine.

Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, see the following Transaction Filtering application documents, which can be found on the OTN page:

- *User Guide*
- *Installation and Configuration Guide*
- *Matching Guide*
- *Reporting Guide*

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

Conventions Used in this Guide

This table lists the conventions used in this guide and their associated meanings.

Table 1. Conventions Used in this Guide

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

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CHAPTER 1

About Oracle Financial Services Transaction Filtering

This chapter provides a brief overview of Oracle Financial Services Transaction Filtering in terms of its architecture and process flow.

This section covers the following topics:

- About Oracle Financial Services Transaction Filtering
- Oracle Transaction Filtering Process Flow

About Oracle Financial Services Transaction Filtering

The Oracle Financial Services (OFS) Transaction Filtering application is a real-time filtering system that identifies financial transactions done by blacklisted, sanctioned, and restricted individuals, entities, cities, countries, ships, vessels and so on. The application can interface with any clearing systems, payment systems, or source systems. The application accepts messages from the source systems in real time and scans them against different watch lists maintained within the system to identify any blacklisted data present within the transaction message, which is in a SWIFT format. The OFS Transaction Filtering application is built using three components: a scoring engine (EDQ), a user interface and a rule engine (IPE).

Financial institutions use OFS Transaction Filtering for the following tasks:

- Identify transactions done by customers, organizations, and countries which are sanctioned.
- Perform daily checks of customers' names and filter customers' transactions against the OFAC and HMT sanctions lists.
- Generate risk scores for entities with whom businesses or transactions are prohibited.

Oracle Transaction Filtering Process Flow

Figure 1 describes the Oracle Transaction Filtering Process Flow:

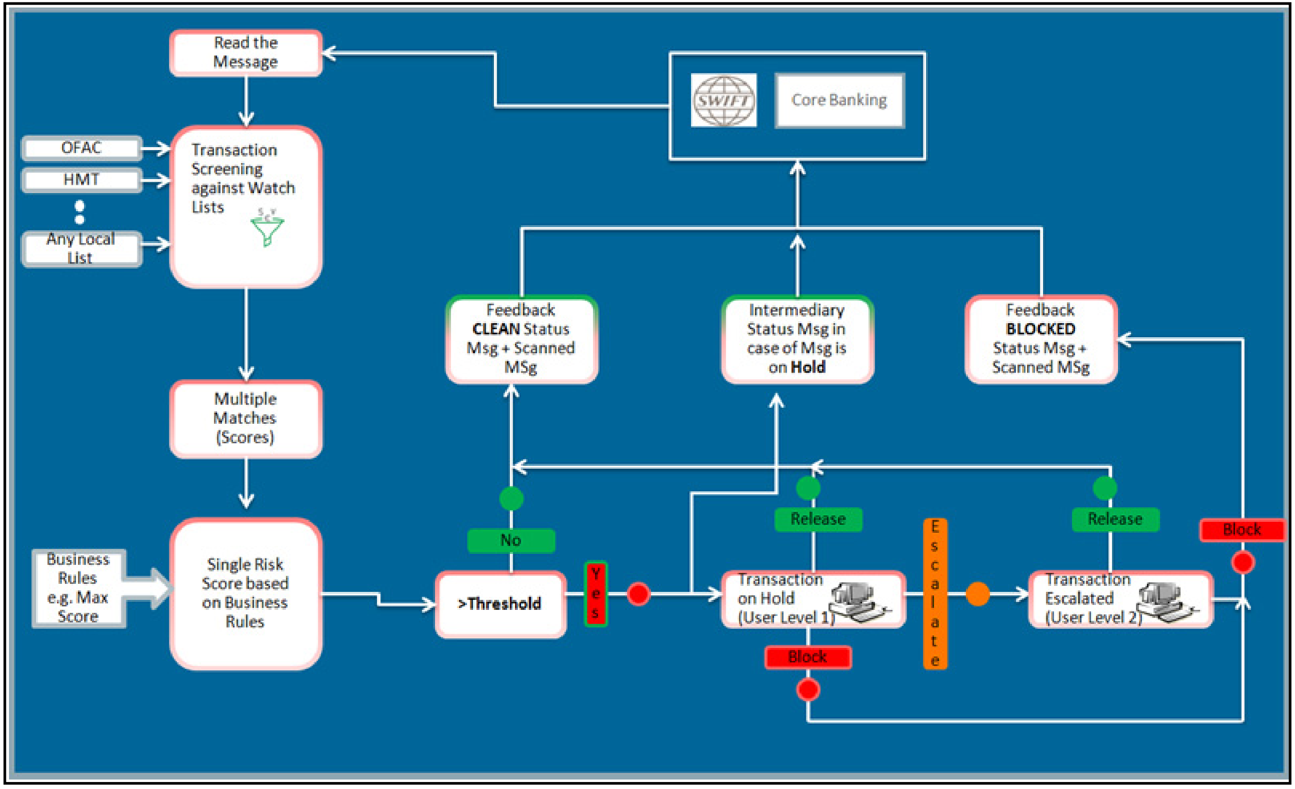

Read the Message
SWIFT
Core Banking
OFAC
HMT
Any Local List
Transaction Screening against Watch Lists
Feedback CLEAN Status Msg + Scanned MSg
Intermediary Status Msg in case of Msg is on Hold
Feedback BLOCKED Status Msg + Scanned MSg
Multiple Matches (Scores)
Release
Release
No
Block
Business Rules e.g. Max Score
Single Risk Score based on Business Rules
>Threshold
Yes
Transaction on Hold (User Level 1)
Escalate
Transaction Escalated (User Level 2)
Block

Figure 1. Oracle Transaction Filtering Process Flow

The following steps describe the Transaction Filtering process flow:

1. The Transaction Filtering application receives the transaction message from a JMS queue. The message is in a SWIFT format. The following formats are supported:
   - MT101
   - MT103
   - MT202
   - MT202 COV
   - MT700
   - MT701
   - MT707

Note:

- All message definitions are SWIFT 2018 compliant.
- All field details of the message are stored within the application.

2. The transaction message is screened against a watch list through the Enterprise Data Quality (EDQ) platform. The message is sent to the EDQ platform, and the EDQ sends back a response. The watch list checks for any blacklisted or suspicious data using a matching logic.

Note: There may be more than one transaction present within a message. In this case, each transaction is screened against external and internal watch lists.

3. For every match, a match score is generated through the IPE platform. If a match is not found, then the system generates a zero score.

Note: Different scores can also be assigned to different watch list using rules. All scores are based on multiple rules set up in the application and are configurable. In case of multiple scores, the logic is used to take the maximum score out of all the scores, and the score is treated as a final score for any given transaction.

Note: For information on IPE, see *OFS Inline Processing Engine User Guide*.

4. The final score is checked against a threshold limit set within the application. If the score is greater than the threshold limit, then the transaction is treated as a suspicious transaction. If the score is lesser than the threshold limit, then the transaction is treated as a clean transaction.

Note: If all the transactions within a message are clean, then a feedback message is sent back to the central banking system with a *CLEAN* status. The message contains the status, message reference ID, and transaction reference ID. If any transaction within a message is found to be suspicious, then the complete message is moved into a *HOLD* status and is available for user action. For more information, see *OFS Transaction Filtering User Guide*.

CHAPTER 2 Getting Started

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

This chapter discusses the following topics:

- Accessing OFSAA Applications
- Managing OFSAA Application Page
- Troubleshooting Your Display

Accessing OFSAA Applications

Access to the Oracle Financial Services Transaction Filtering application depends on the Internet or Intranet environment. Oracle Financial Services Transaction Filtering is accessed through Google Chrome. The system administrator provides the intranet address uniform resource locator (URL), User ID, and Password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. For more information, see the *Troubleshooting Your Display* section.

To access the Oracle Financial Services Analytical Application, 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/ofsaaapp/login.jsp`

   The OFSAA Login page is displayed.

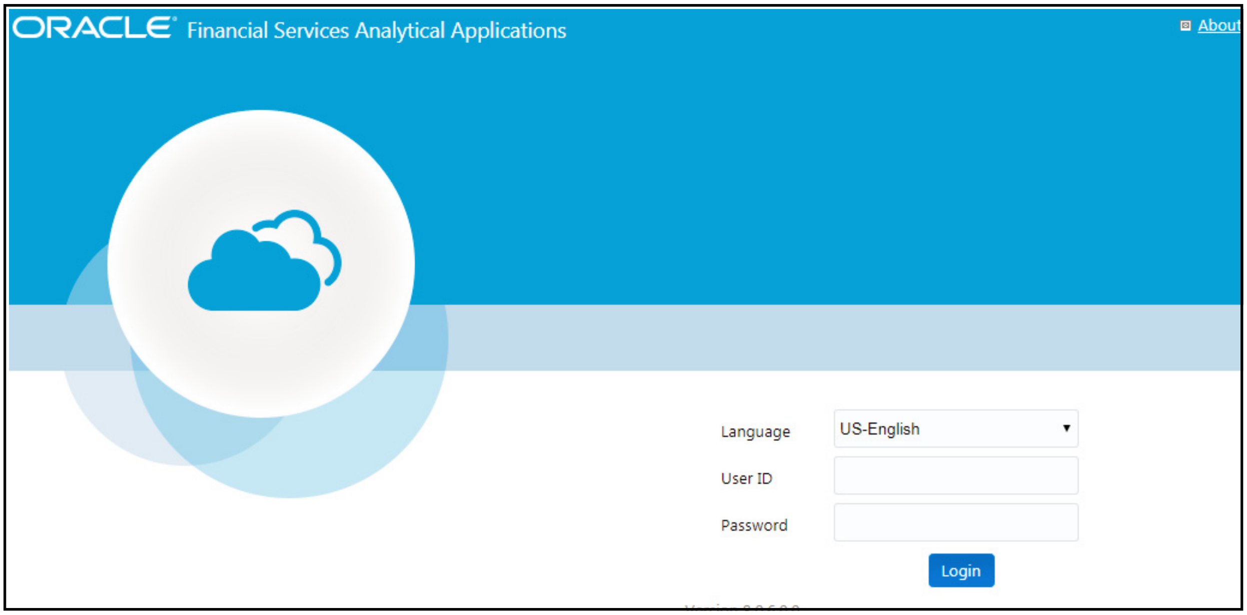


Figure 2. OFSAA Login Page

2. Select the Language from the Language drop-down list. This allows you to use the application in the language of your selection.
3. Enter your User ID and Password in the respective fields.
4. Click **Login**. The Oracle Financial Services Analytical Applications page is displayed.

Managing OFSAA Application Page

This section describes the options available for system configuration in the OFSAA Application page.

The OFSAA Application page has the following tab:

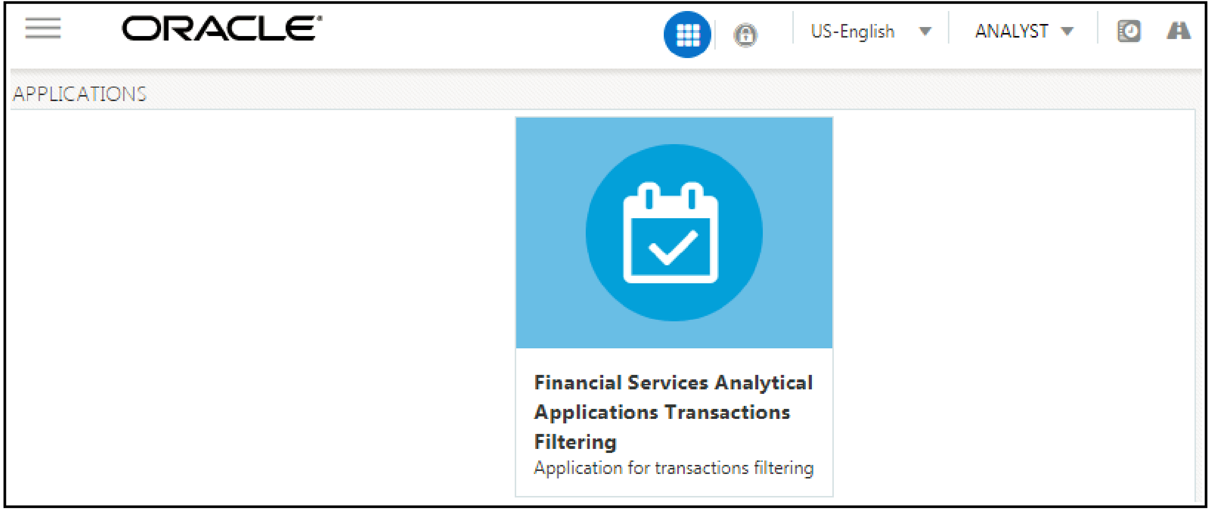
- Transaction Filtering Admin Tab
- SWIFT Configuration Admin Tab
- Process Modeller Tab
- Process Monitor Tab
- List Management Tab
- Inline Processing Tab

Transaction Filtering Admin Tab

The Transaction Filtering Admin tab allows the system administrator to configure the application level parameters and the parameters against which the records are matched.

To do this, follow these steps:

1. Click the ✓ icon.



Financial Services Analytical Applications Transactions Filtering
Application for transactions filtering

Figure 3. Applications Tab

2. Click **Financial Services Sanctions Pack**.

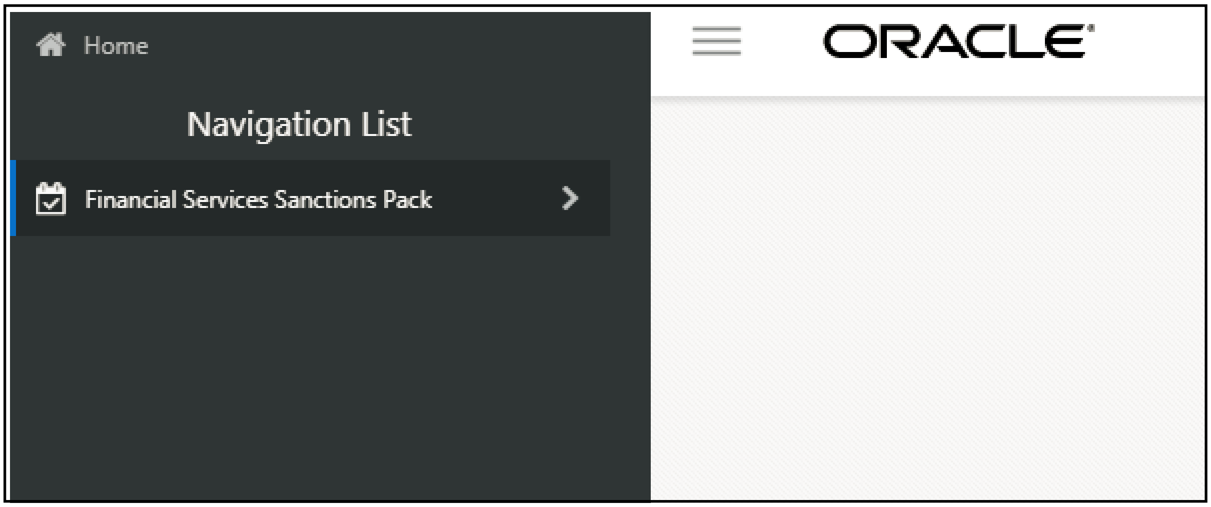


Figure 4. Financial Services Sanctions Pack Link

3. Click **Transaction Filtering Admin**.

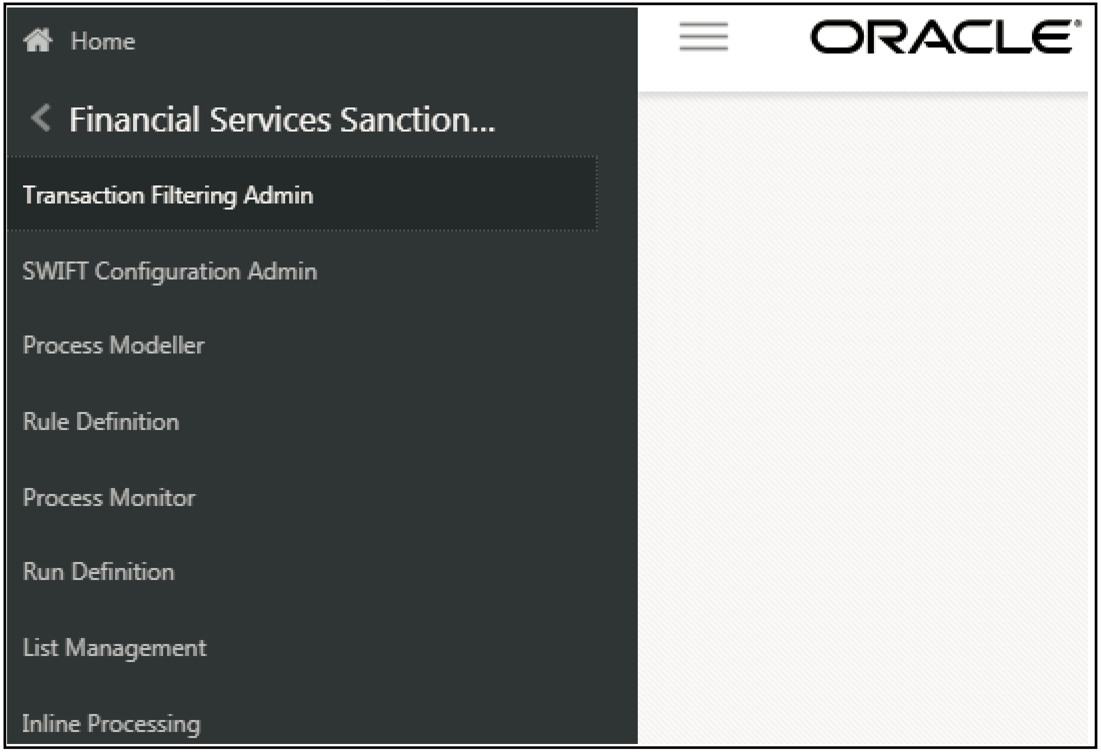


Figure 5. Transaction Filtering Link

SWIFT Configuration Admin Tab

The SWIFT Configuration Admin tab allows the system administrator to configure the SWIFT parser parameters. To do this, follow these steps:

1. Click the ✓ icon.

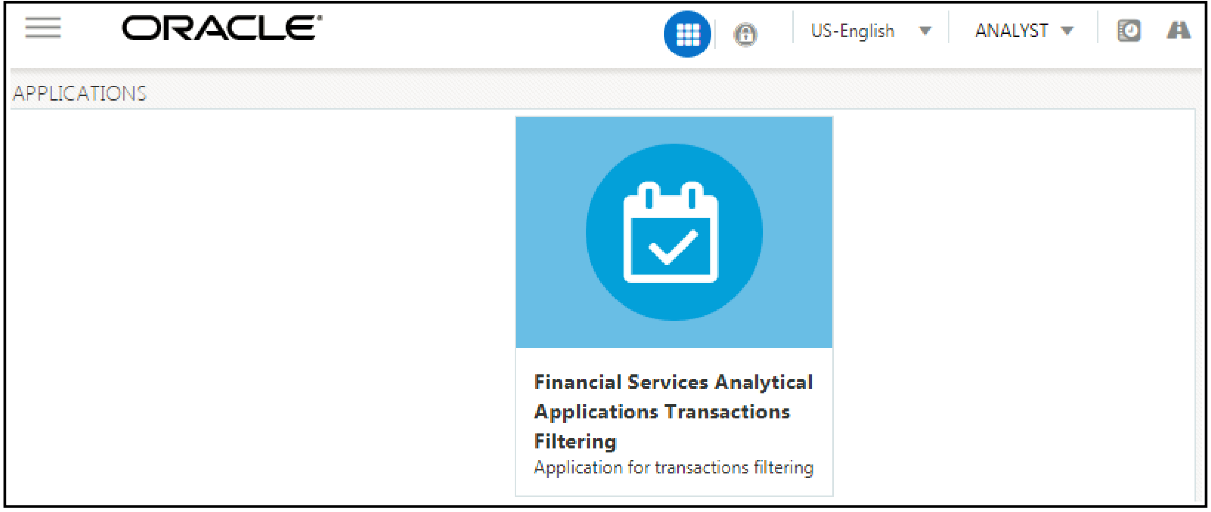

ORACLE
US-English
ANALYST
APPLICATIONS
Financial Services Analytical Applications Transactions Filtering
Application for transactions filtering

Figure 6. Applications Tab

2. Click **Financial Services Sanctions Pack**.

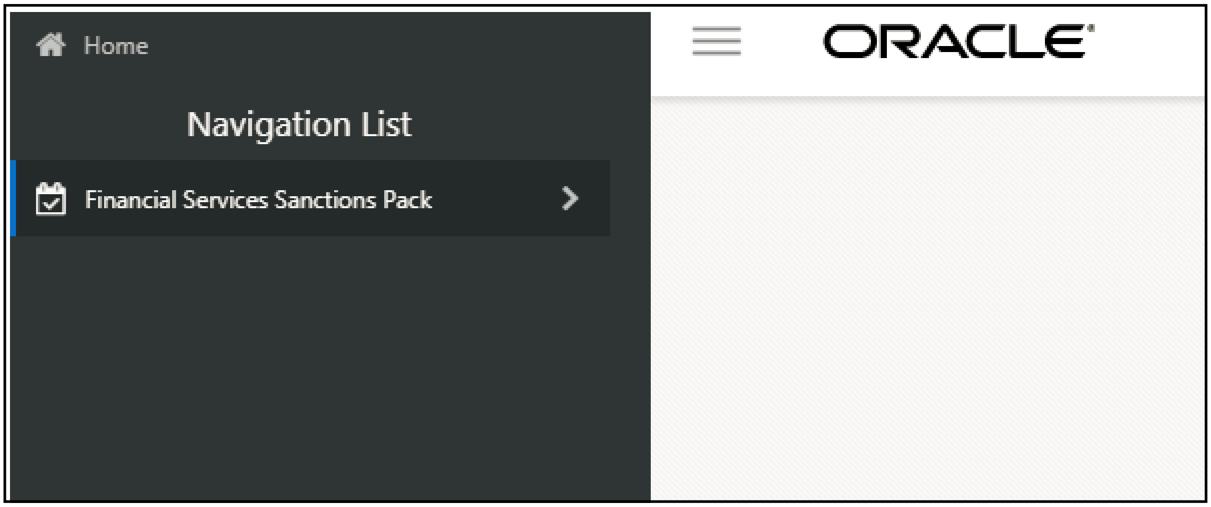


Figure 7. Financial Services Sanctions Pack Link

3. Click **SWIFT Configuration Admin**.

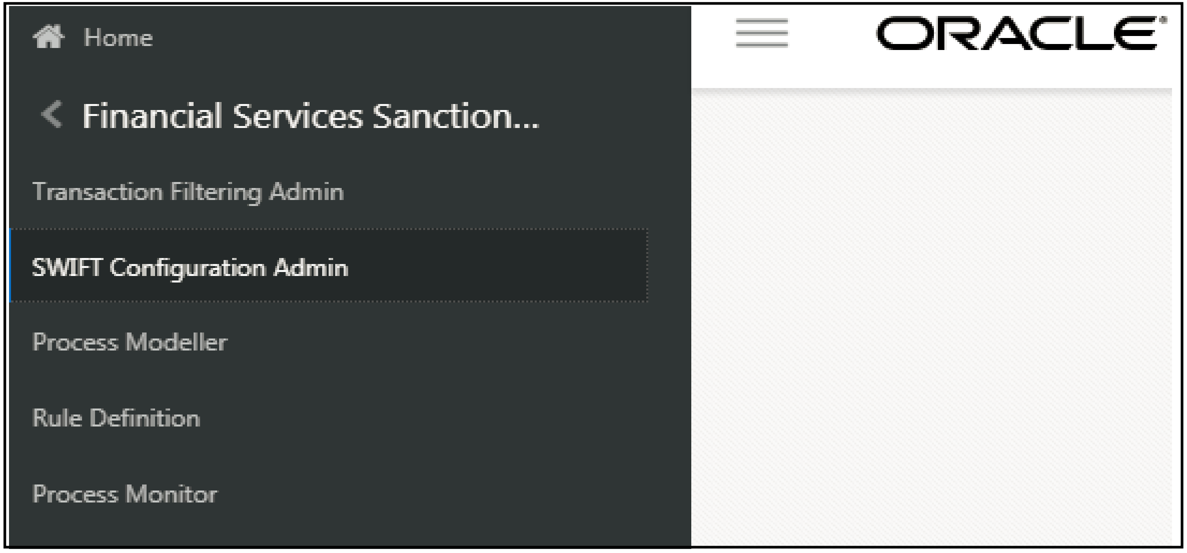

Home
Financial Services Sanction...
Transaction Filtering Admin
SWIFT Configuration Admin
Process Modeller
Rule Definition
Process Monitor
ORACLE

Figure 8. SWIFT Configuration Link

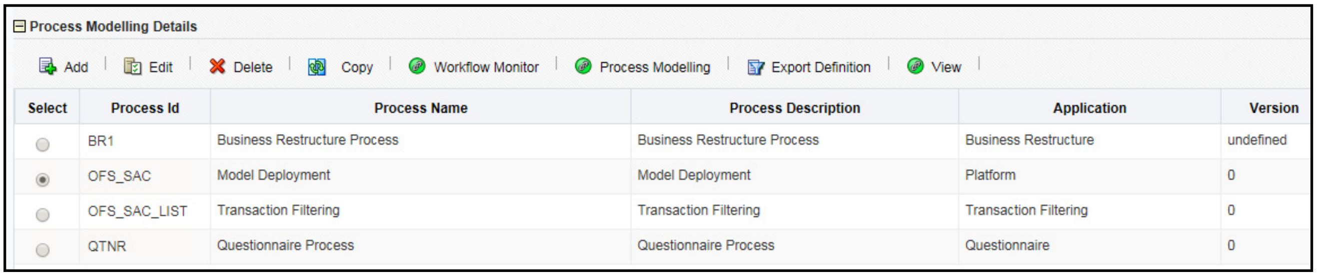
Process Modeller Tab

The Process Modeller tab allows the System Administrator to provide security and operational framework required for the Infrastructure.

You can view the PMF process flow for the standard, four-eyes, and good guy work flows. To do this, follow these steps:

1. Click **Process Modeller**. The **Process Modelling** page appears.
2. Click ☰ to expand the screen.

3. Select the **OFS_SAC** Process Id for the standard and four-eye flows and **OFS_SAC_LIST** for the good guy flow.



Select	Process Id	Process Name	Process Description	Application	Version
○	BR1	Business Restructure Process	Business Restructure Process	Business Restructure	undefined
●	OFS_SAC	Model Deployment	Model Deployment	Platform	0
○	OFS_SAC_LIST	Transaction Filtering	Transaction Filtering	Transaction Filtering	0
○	QTNR	Questionnaire Process	Questionnaire Process	Questionnaire	0

Figure 9. Process Modeller Page

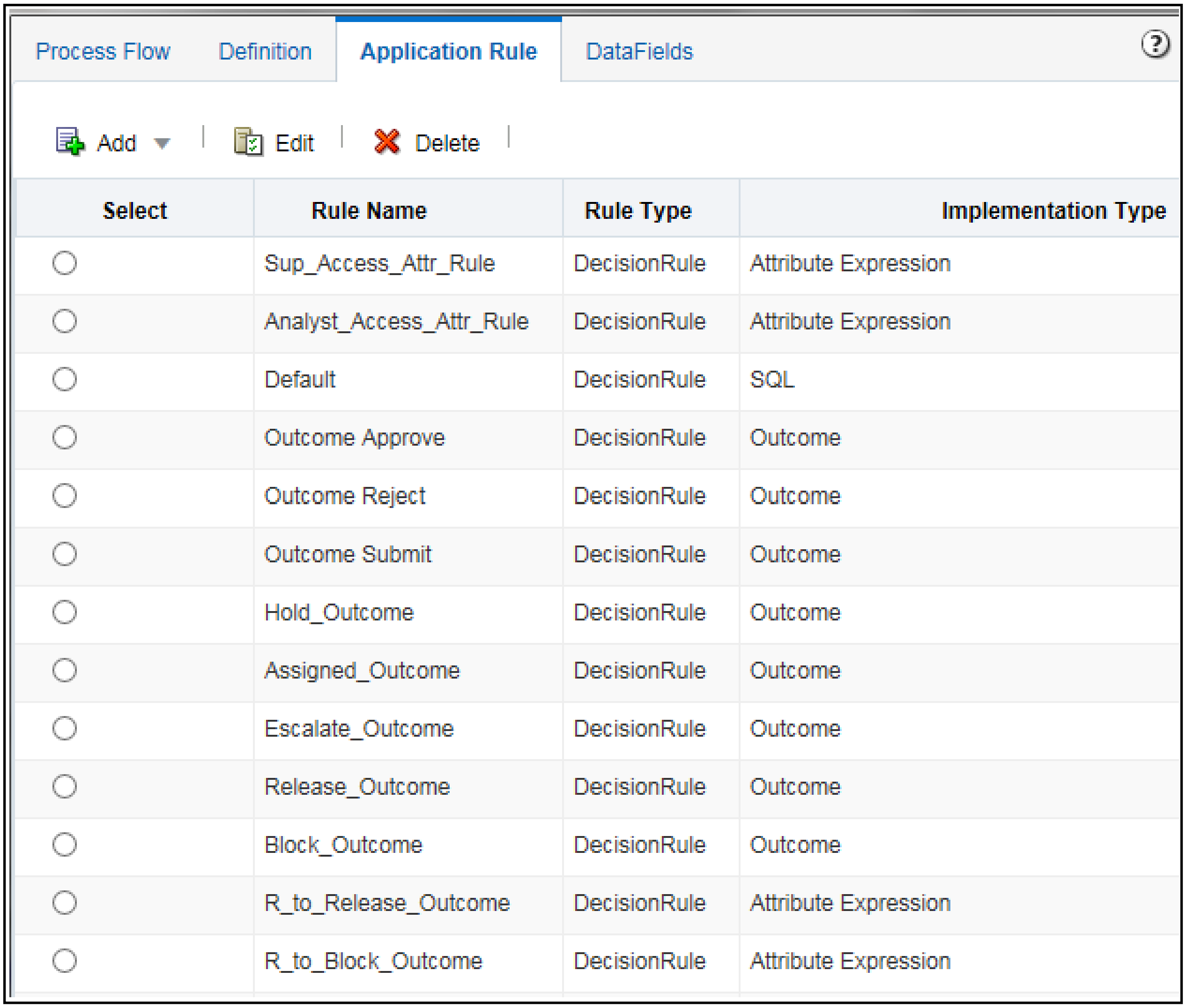
4. Click **Edit** .

   The PMF process flow is displayed.

Configuring the Transaction Currency

You can change the default transaction currency (USD) to another currency. To configure the currency, follow these steps:

1. In the **Process Modeller** page, select the **OFS_SAC** Process Id.
2. Click **Edit** .
3. Click the **Application Rule** tab.

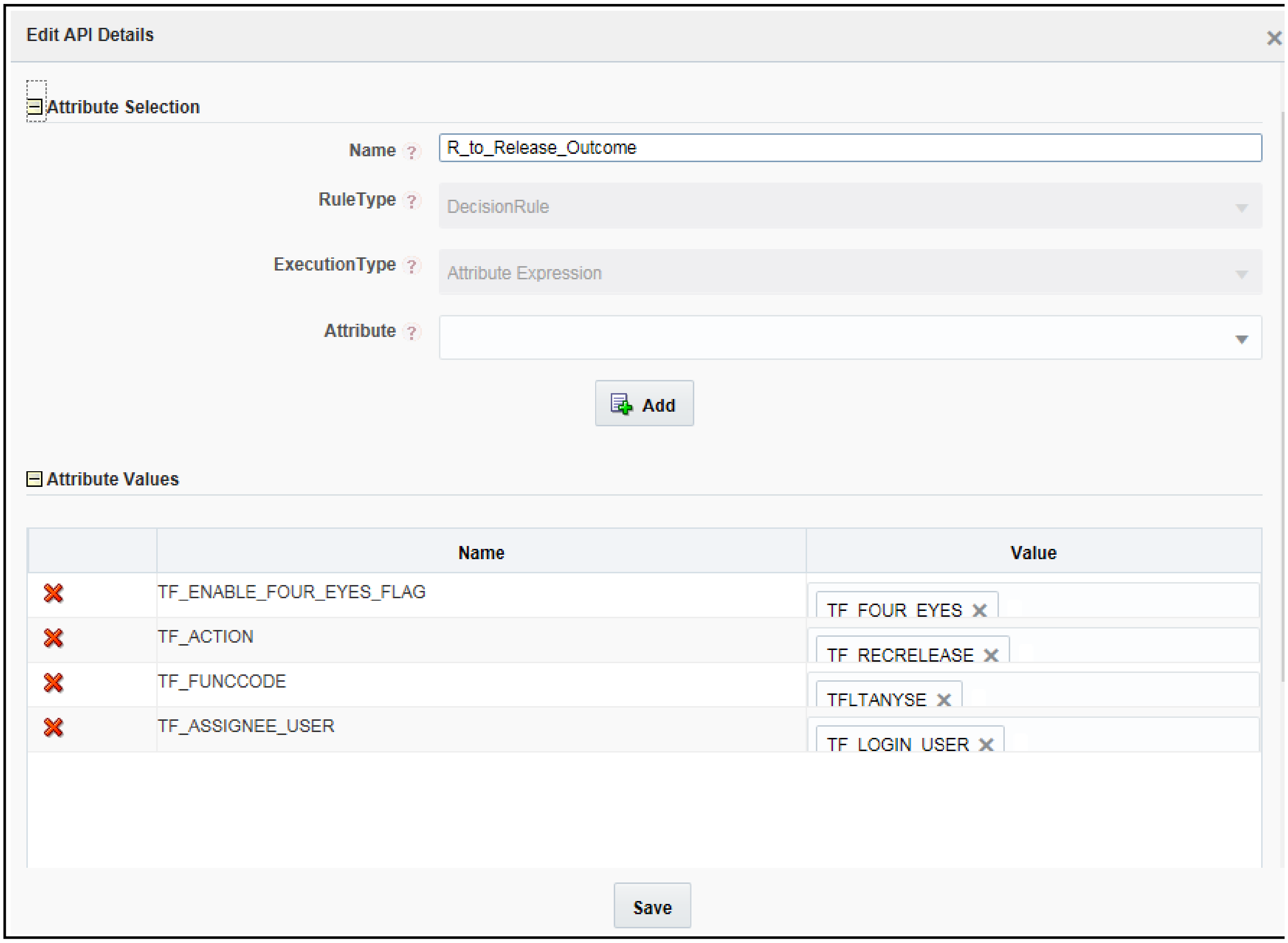


Select	Rule Name	Rule Type	Implementation Type
○	Sup_Access_Attr_Rule	DecisionRule	Attribute Expression
○	Analyst_Access_Attr_Rule	DecisionRule	Attribute Expression
○	Default	DecisionRule	SQL
○	Outcome Approve	DecisionRule	Outcome
○	Outcome Reject	DecisionRule	Outcome
○	Outcome Submit	DecisionRule	Outcome
○	Hold_Outcome	DecisionRule	Outcome
○	Assigned_Outcome	DecisionRule	Outcome
○	Escalate_Outcome	DecisionRule	Outcome
○	Release_Outcome	DecisionRule	Outcome
○	Block_Outcome	DecisionRule	Outcome
○	R_to_Release_Outcome	DecisionRule	Attribute Expression
○	R_to_Block_Outcome	DecisionRule	Attribute Expression

Figure 10. Application Rule

4. To change the currency for a released transaction, select **R_to_Release_Outcome**. To change the currency for a blocked transaction, select **R_to_Block_Outcome**.

5. Click **Edit**. The **Edit API Details** page appears.



Edit API Details

Attribute Selection

Name: R_to_Release_Outcome

RuleType: DecisionRule

ExecutionType: Attribute Expression

Attribute:

Add

Attribute Values

	Name	Value
✖	TF_ENABLE_FOUR_EYES_FLAG	TF FOUR EYES
✖	TF_ACTION	TF RECRELEASE
✖	TF_FUNCCODE	TFLTANYSE
✖	TF_ASSIGNEE_USER	TF LOGIN USER

Save

Figure 11. Edit API Details Page

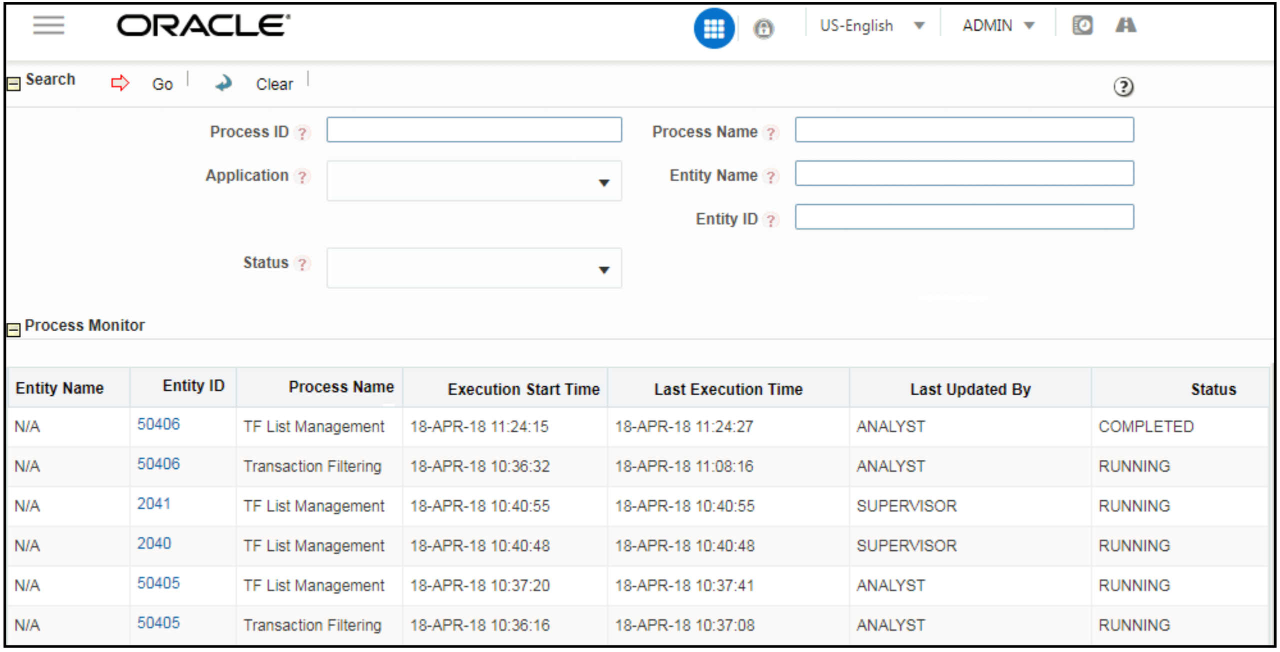
6. In the **Edit API Details** page, click inside the **TF_Currency** field and select the required currency.
7. Click **Save**.

Process Monitor Tab

The Process Modeller tab allows the System Administrator to configure the work flow for a particular process. To do this, follow these steps:

1. Click **Process Monitor**. The **Process Monitor** page appears.
2. Click ☰ to expand the screen.

3. Click the Entity ID link. The work flow for the process appears.



Process ID ?

Process Name ?

Application ?

Entity Name ?

Entity ID ?

Status ?

Process Monitor

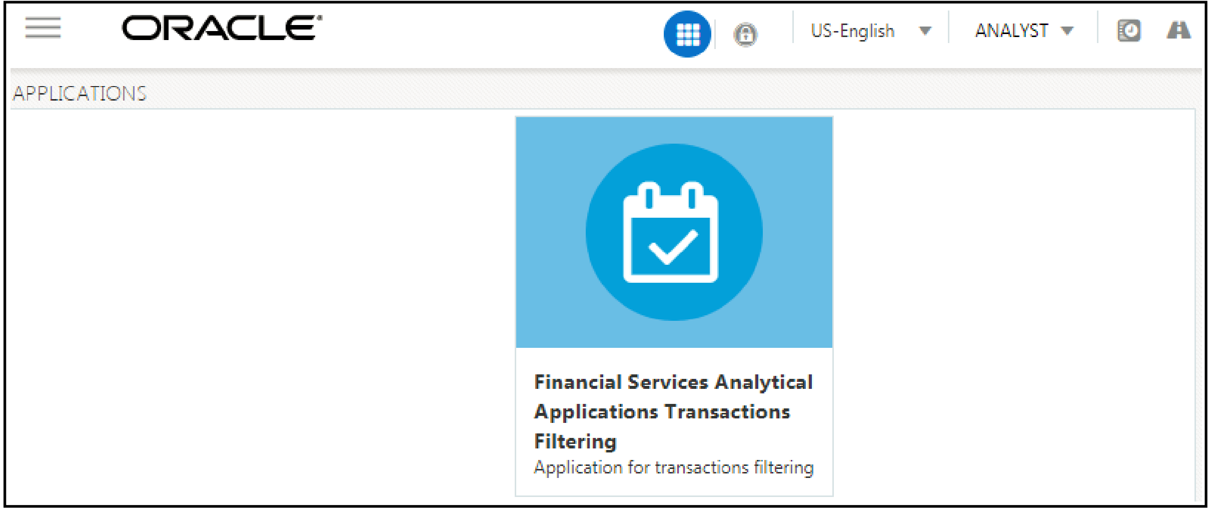
Entity Name	Entity ID	Process Name	Execution Start Time	Last Execution Time	Last Updated By	Status
N/A	50406	TF List Management	18-APR-18 11:24:15	18-APR-18 11:24:27	ANALYST	COMPLETED
N/A	50406	Transaction Filtering	18-APR-18 10:36:32	18-APR-18 11:08:16	ANALYST	RUNNING
N/A	2041	TF List Management	18-APR-18 10:40:55	18-APR-18 10:40:55	SUPERVISOR	RUNNING
N/A	2040	TF List Management	18-APR-18 10:40:48	18-APR-18 10:40:48	SUPERVISOR	RUNNING
N/A	50405	TF List Management	18-APR-18 10:37:20	18-APR-18 10:37:41	ANALYST	RUNNING
N/A	50405	Transaction Filtering	18-APR-18 10:36:16	18-APR-18 10:37:08	ANALYST	RUNNING

Figure 12. Process Monitor Page

List Management Tab

The SWIFT Configuration Admin tab allows the system administrator to configure the SWIFT parser parameters. To do this, follow these steps:

1. Click the 📅 icon.



Financial Services Analytical Applications Transactions Filtering
Application for transactions filtering

Figure 13. Applications Tab

2. Click **Financial Services Sanctions Pack**.

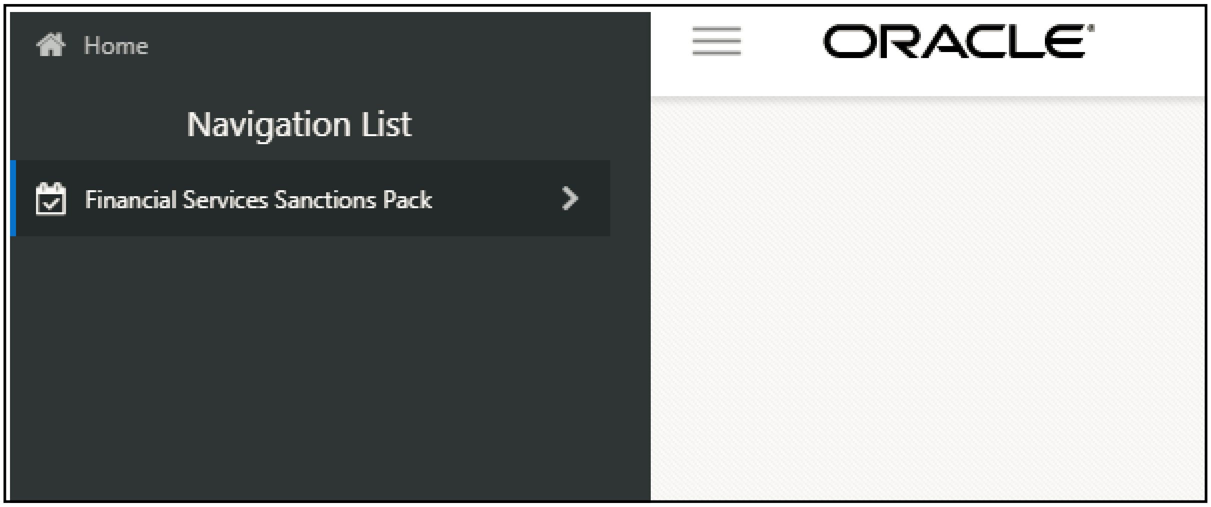


Figure 14. Financial Services Sanctions Pack Link

3. Click **List Management**.

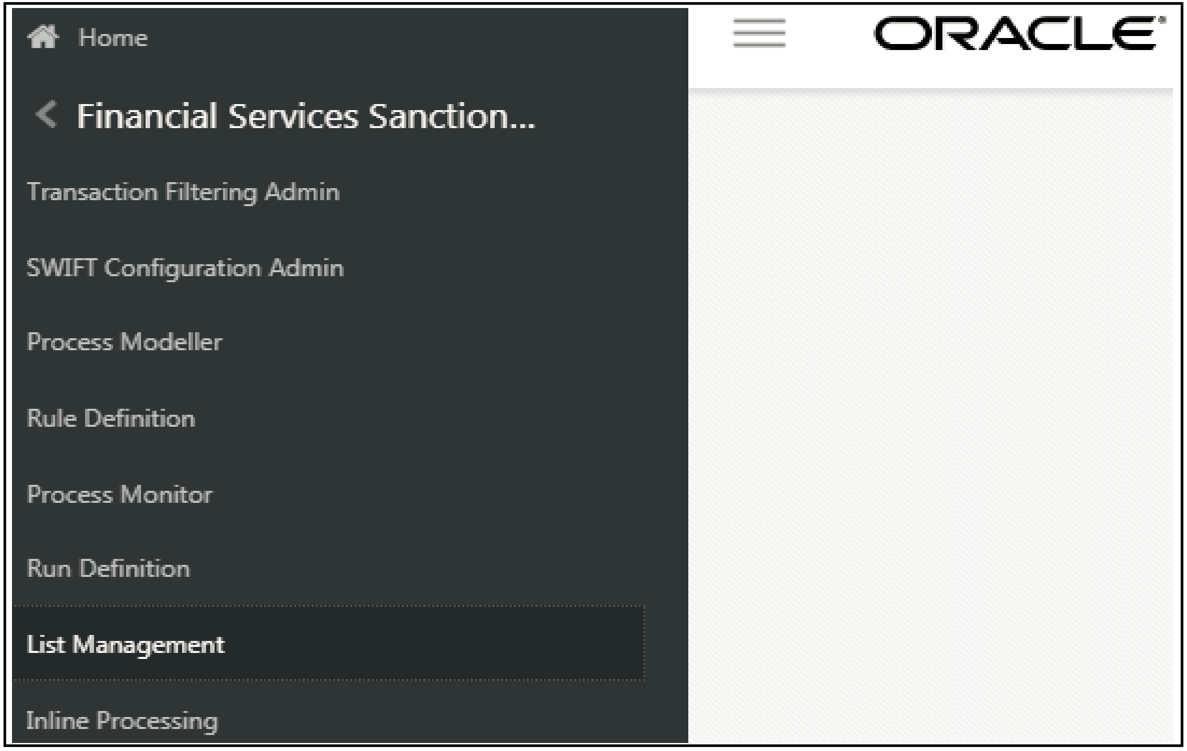
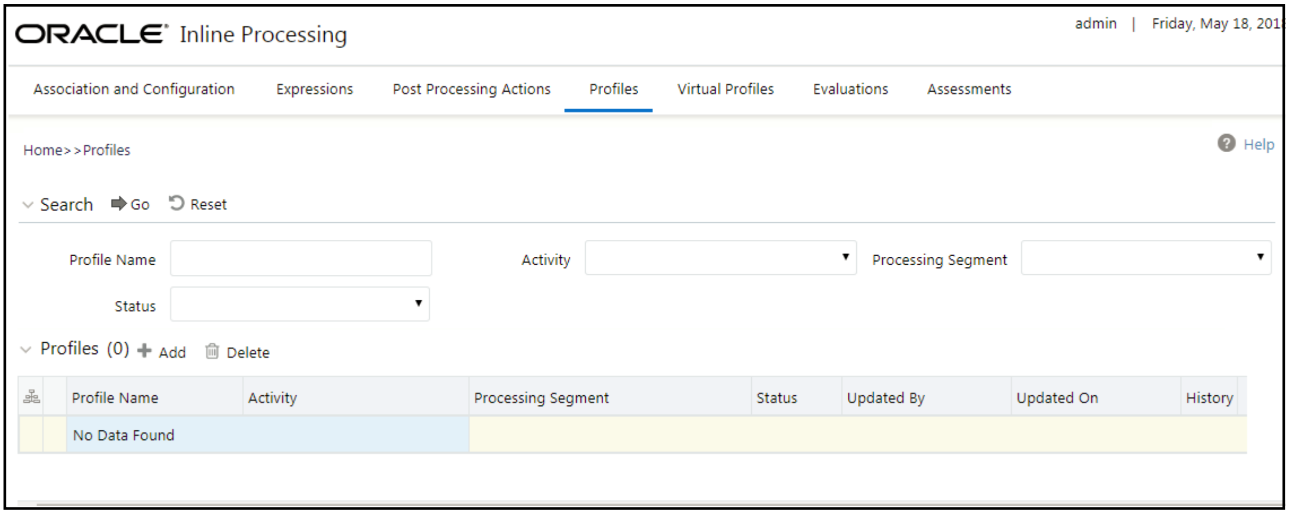


Figure 15. List Management Link

Inline Processing Tab

The Inline Processing tab allows the System Administrator to view and configure the details related to the Inline Processing Engine (IPE). To do this, follow these steps:

1. Click **Inline Processing**. The **Inline Processing** page appears.



Profile Name	Activity	Processing Segment	Status	Updated By	Updated On	History
No Data Found						

Figure 16. Inline Processing Page

Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Transaction Filtering or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for setting your Web display options for OFSAA applications within IE.

Note: The following procedures apply to all versions of IE listed in section . A separate procedures are listed for each version where differences exist in the locations of settings and options.

This section covers the following topics:

- Enabling JavaScript
- Enabling Cookies
- Enabling Temporary Internet Files
- Enabling File Downloads
- Setting Printing Options
- Enabling Pop-Up Blocker
- Setting Preferences

Enabling JavaScript

This section describes how to enable JavaScript.

To enable JavaScript, follow these steps:

1. Navigate to the Tools menu, click **Internet Options**. The Internet Options dialog box is displayed.
2. Click the **Security** tab and click the **Local Intranet** icon as your Web content zone.

3. Click **Custom Level**. The Security Settings dialog box displays.
4. In the Settings list and under the Scripting setting, enable all options.
5. Click **OK,** then click **OK** again to exit the Internet Options dialog box.

Enabling Cookies

Cookies must be enabled. If you have problems troubleshooting your display, contact your System Administrator.

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page.

To adjust your Temporary Internet File settings, follow these steps:

1. Navigate to the Tools menu, click **Internet Options**. The Internet Options dialog box is displayed.
2. On the General tab, click **Settings**. The Settings dialog box displays.
3. Click the **Every visit to the page** option.
4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

This section describes how to enable file downloads.

To enable file downloads, follow these steps:

1. Navigate to the Tools menu, click **Internet Options**. The Internet Options dialog box is displayed.
2. Click the **Security** tab and then click the **Local Intranet** icon as your Web content zone.
3. Click **Custom Level**. The Security Settings dialog box displays.
4. Under the Downloads section, ensure that **Enable** is selected for all options.
5. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

This section explains the how to enable printing background colors and images must be enabled.

To enable this option, follow these steps:

1. Navigate to the Tools menu, click **Internet Options**. The Internet Options dialog box is displayed.
2. Click the **Advanced** tab. In the Settings list, under the Printing setting, click **Print background colors and images**.
3. Click **OK** to exit the Internet Options dialog box.

Tip: For best display results, use the default font settings in your browser.

Enabling Pop-Up Blocker

You may experience difficulty running the Oracle Financial Services Transaction Filtering application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* in the Pop-up Blocker Settings in the IE Internet Options.

To enable Pop-up Blocker, follow these steps:

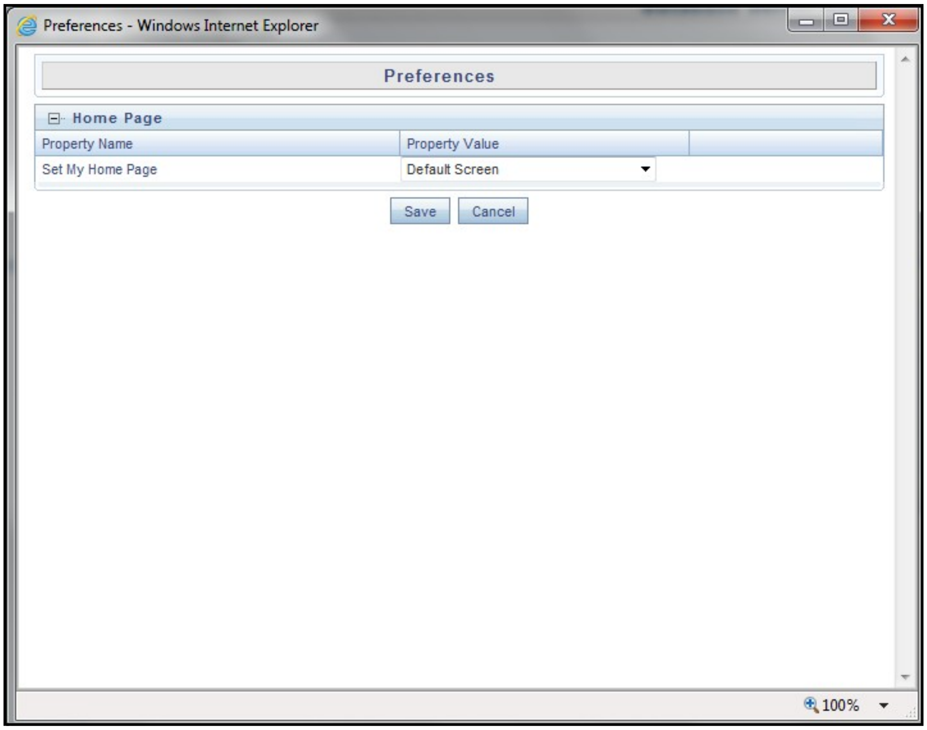
1. Navigate to Tools menu, click **Internet Options**. The Internet Options dialog box is displayed.
2. Click the **Privacy** tab. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option**.** The **Settings** enable.
3. Click **Settings** to open the Pop-up Blocker Settings dialog box.
4. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.
5. Click **Add**. The URL appears in the Allowed site list.
6. Click **Close**, then click **Apply** to save the settings.
7. Click **OK** to exit the Internet Options dialog box.

Setting Preferences

The Preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click **Preferences** from the drop-down list in the top right corner, where the user name is displayed. The Preferences page is displayed.



Preferences

⊟ Home Page

Property Name	Property Value
Set My Home Page	Default Screen

Figure 17. Preference screen.

2. In the Property Value drop-down list, select the application which you want to set as the Home Page.

   Note: Whenever new application is installed, the related value for that application is found in the drop-down list.

3. Click **Save** to save your preference.

CHAPTER 3 Managing User Administration

This chapter provides instructions for performing the user administration of Oracle Financial Services (OFS) Transaction Filtering.

This chapter focuses on the following topics:

- About User Administration
- Managing User Administration

About User Administration

User administration involves creating and managing users and providing access rights based on their roles. This section discusses the following:

- Administrator permissions
- Creating roles and granting and authorizing a user

Managing User Administration

This section allows you to create and authorize a user and map the users to user groups in the Transaction Filtering application.

This section covers the following topics:

- Creating and Authorizing a User
- Mapping a User with a User Group

The following table lists the various actions and associated descriptions of the user administration process flow:

Table 1. Administration Process Flow

Action	Description
Creating and Authorizing a User	Create a user. This involves providing a user name, user designation, and the dates between which the user is active in the system.
Mapping a User with a User Group	Map a user to a user group. This enables the user to have certain privileges that the mapped user group has.

Creating and Authorizing a User

The sysadmn user creates a user and the sysauth user authorizes a user in the Transaction Filtering application. For more information on creating and authorizing a user, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

Mapping a User with a User Group

This section explains how to map Users and User Groups. With this, the user has access to the privileges as per the role. The sysadm user maps a user to a user group in the Transaction Filtering application. The following table describes the predefined User Roles and corresponding User Groups.

Table 2. Roles and User Groups

Role	Group Name	User Group Code
Administrator	Transaction Filtering Analyst Group	TFLTADMINISTATORGRP
Analyst	Transaction Filtering Supervisor Group	TFLTANALYSTGRP
Supervisor	Transaction Filtering Administrator Group	TFLTSUPERVISORGRP

CHAPTER 4

Configuring EDQ, Application Parameters, Message and Screening

This chapter explains how to import the `.dxi` files into the Enterprise Data Quality (EDQ) application, run the EDQ jobs, and change the EDQ URL for the Transaction Filtering application. It also explains about configuring Application parameters, Message and Screening parameters, four-eyes parameters, and the good guy list details.

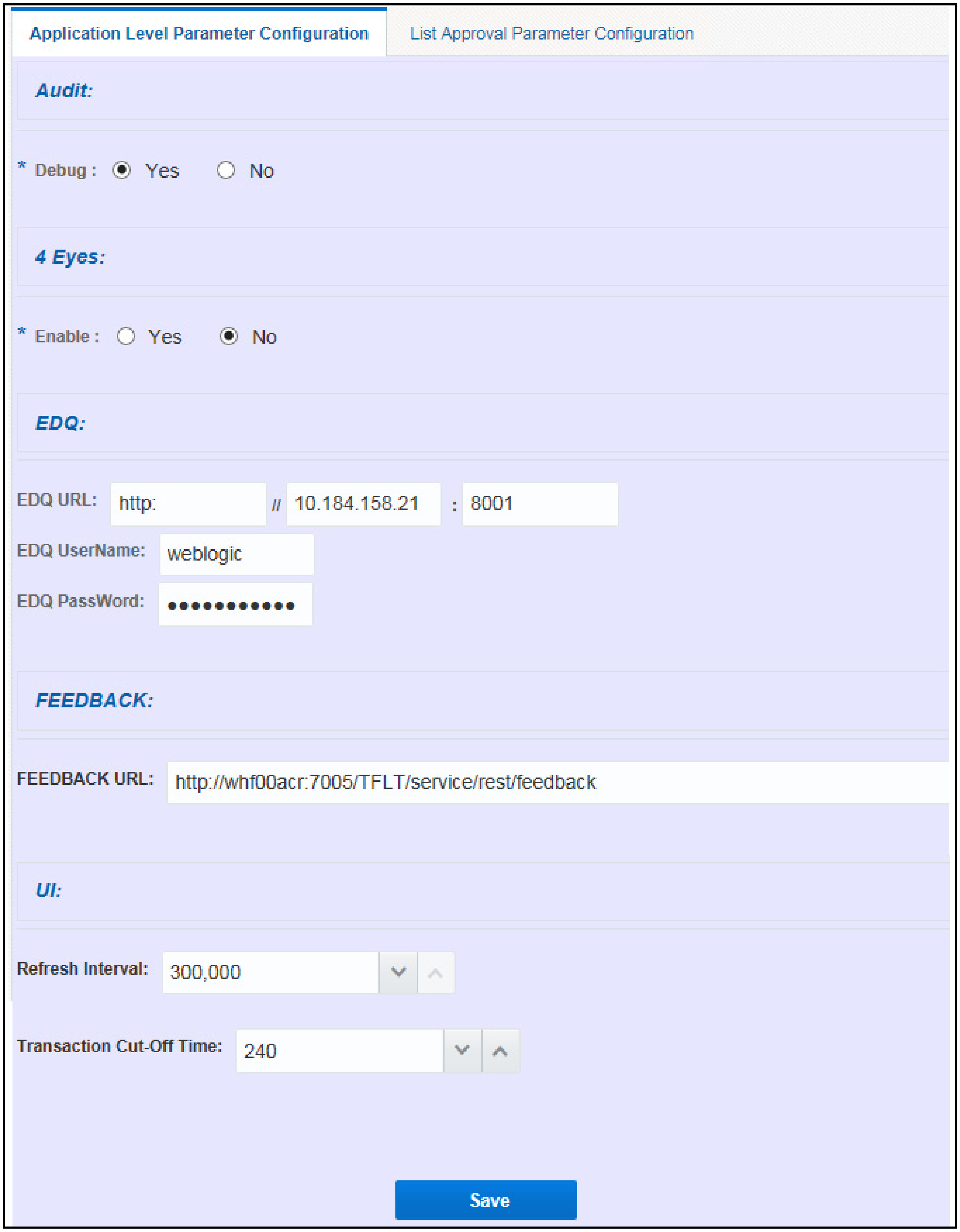
This chapter focuses on the following topics:

- Configuring Application Level Parameters
- Configuring Good Guy Matching Parameters
- Configuring the SWIFT Message Parameters
- Adding, Editing or Deleting Good Guy Records
- EDQ Configurations
- Generating Email for Different Statuses
- Configuring Operating Model - Multi Jurisdiction and Multi Business Unit Implementation

Configuring Application Level Parameters

To configure Application level parameters, follow these steps:

1. Navigate to the Oracle Financial Services Sanctions application home page.
2. Click **Transaction Filtering Admin**. The Application Parameters Configuration tab appears.



Application Level Parameter Configuration | List Approval Parameter Configuration

Audit:

* Debug : ● Yes ○ No

4 Eyes:

* Enable : ○ Yes ● No

EDQ:

EDQ URL: http: // 10.184.158.21 : 8001

EDQ UserName: weblogic

EDQ PassWord: ●●●●●●●●●●●

FEEDBACK:

FEEDBACK URL: http://whf00acr:7005/TFLT/service/rest/feedback

UI:

Refresh Interval: 300,000

Transaction Cut-Off Time: 240

Figure 18. Application Parameters Configuration Tab

3. In the Audit section, select **Yes** to view the Debug details or select **No** to view the Info details.

If you select Yes, then all the steps are logged in the system irrespective of the value in the Status column. If you select No, then only those steps for which the value is Y in the Status column are logged in the system.

Note: For more information on the values in the Status column, see *System Audit Logging Information*.

4. In the 4 Eyes section, select **Yes** to enable the four-eyes work flow and select **No** to disable the four-eyes work flow. To configure the four-eyes flow using the Process Modeller Framework (PMF), see *Process Modeller Tab*.
5. In the EDQ section, provide the following values:
   - EDQ URL in this format:

     <http>: <Hostname of the server in which EDQ is installed>: Port Number
   - EDQ user name
   - EDQ password
6. In the FEEDBACK section, enter the URL where we need to post messages for HOLD, RELEASE, CLEAN, BLOCK in the feedback Queue.
7. In the UI section, provide the following values:
   - Refresh interval required for viewing the notification (false positive) count in the Transaction Filtering screen.

Note: This is the time period required to configure the cut-off time for transactions, and is in milliseconds.

Note:

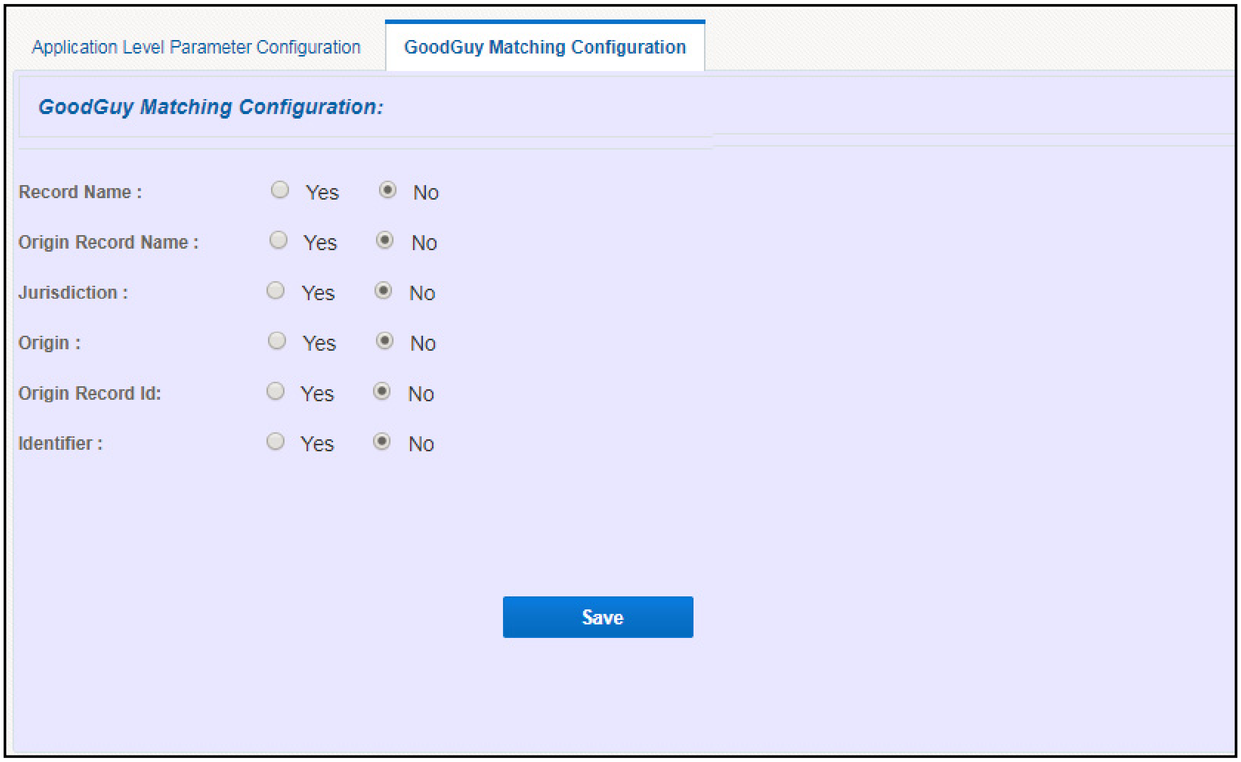
- This time is in minutes.
- The notification count is reset to zero every day at midnight.

8. Click **Save**. The following confirmation message is displayed: *Records Updated Successfully*.

Configuring Good Guy Matching Parameters

To configure parameters matched during matching, follow these steps:

1. Navigate to the Oracle Financial Services Sanctions application home page.
2. Click **Transaction Filtering Admin**. The Good Guy/Matching Configuration tab appears.


Application Level Parameter Configuration
GoodGuy Matching Configuration
Save

GoodGuy Matching Configuration:

Record Name : ○ Yes ● No

Origin Record Name : ○ Yes ● No

Jurisdiction : ○ Yes ● No

Origin : ○ Yes ● No

Origin Record Id: ○ Yes ● No

Identifier : ○ Yes ● No

Figure 19. Good Guy/Matching Configuration Tab

3. If you want the record to be matched against a parameter, select Yes for that parameter. If you do not want the record to be matched against a parameter, select No for that parameter.

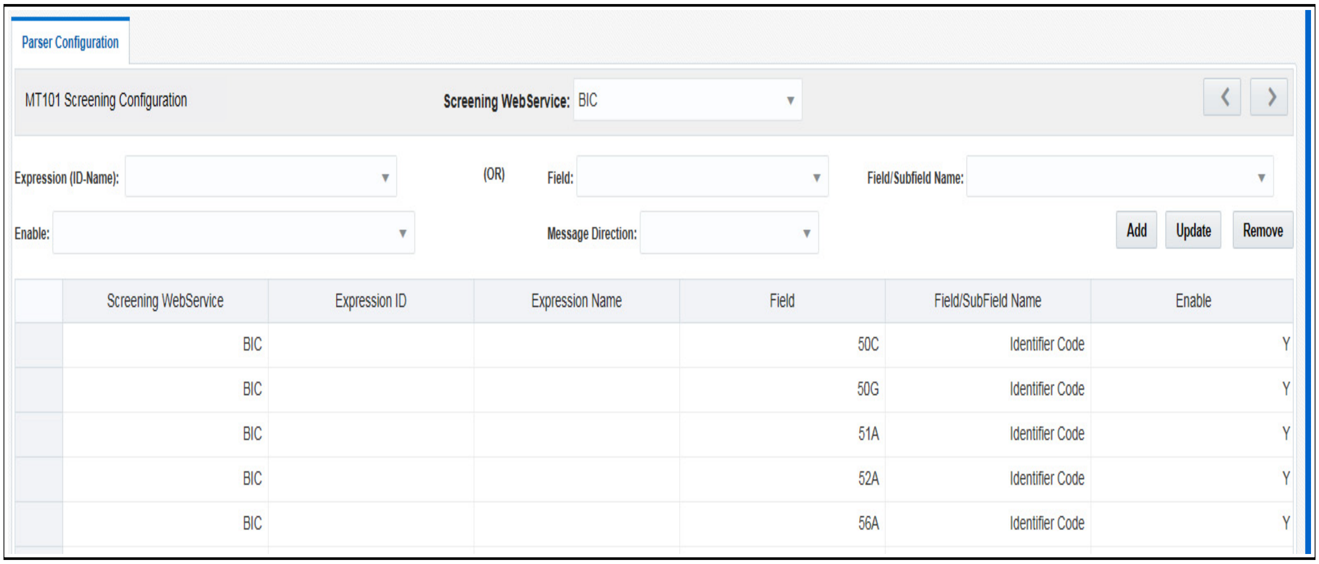
Note:

- By default, Yes is selected for all the parameters.
- Ensure that you select Yes for at least one parameter.

Configuring the SWIFT Message Parameters

To configure the message and screening parameters, follow these steps:

1. Navigate to the Oracle Financial Services Sanctions application home page.
2. Click **SWIFT Configuration Admin**. The Parser Configuration tab appears.



MT101 Screening Configuration

Screening WebService: BIC

Expression (ID-Name): (OR) Field: Field/Subfield Name:

Enable: Message Direction:

	Screening WebService	Expression ID	Expression Name	Field	Field/SubField Name	Enable
	BIC			50C	Identifier Code	Y
	BIC			50G	Identifier Code	Y
	BIC			51A	Identifier Code	Y
	BIC			52A	Identifier Code	Y
	BIC			56A	Identifier Code	Y

Figure 20. Parser Configuration Tab

This tab has four screens:

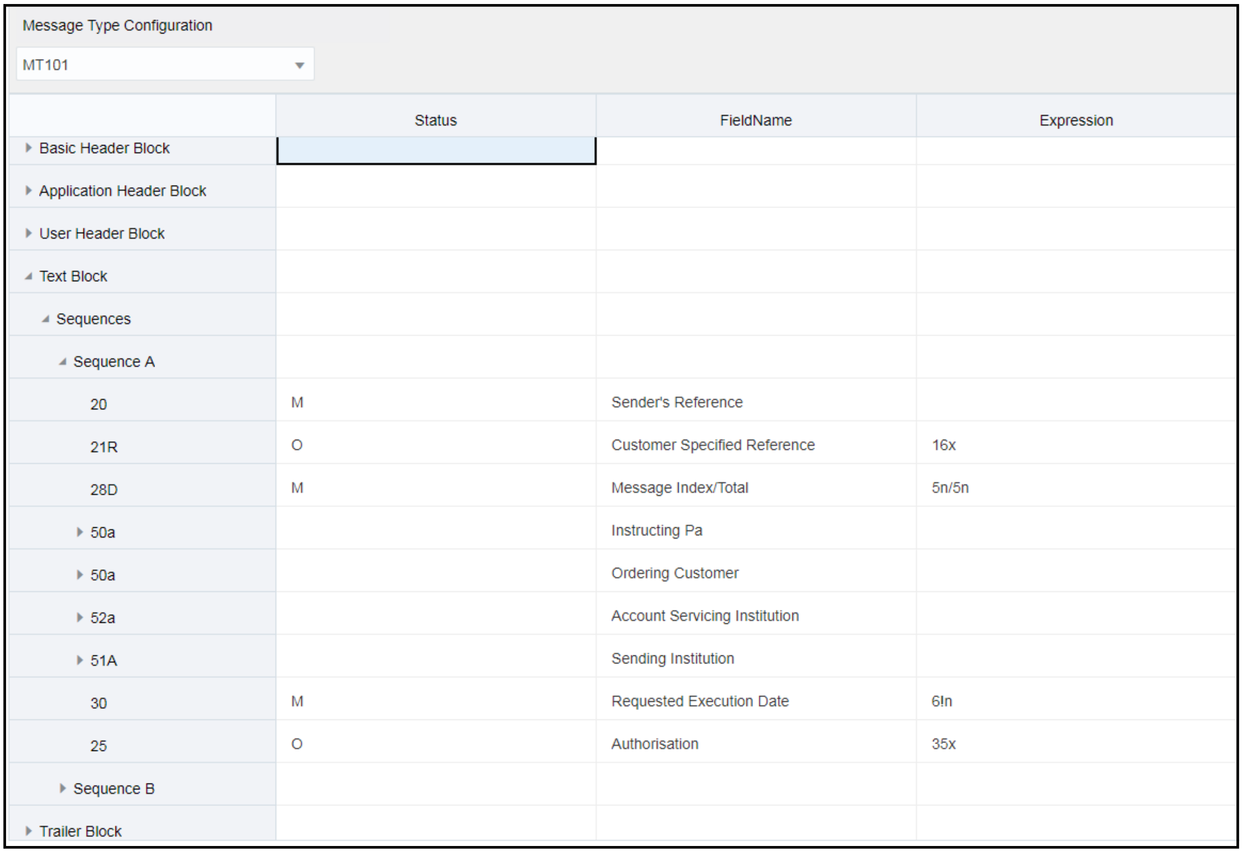
1. **Message Type Configuration Screen:** This screen allows you to edit the status, field names, and expressions of the different parameters in the message.

In the Message Type Configuration field, select the SWIFT message format. The following formats are supported:

- MT101
- MT 110
- MT103
- MT202
- MT202 COV
- MT700
- MT701
- MT707

Note: All message definitions are SWIFT 2018 compliant.

Each message format has five blocks: Basic Header Block, Application Header Block, User Header Block, Text Block, and Trailer Block. The fields in the Text Block may change depending on the message format. The fields in the following blocks remain the same regardless of the message format.



Message Type Configuration

MT101

	Status	FieldName	Expression
Basic Header Block			
Application Header Block			
User Header Block			
Text Block			
Sequences			
Sequence A			
20	M	Sender's Reference	
21R	O	Customer Specified Reference	16x
28D	M	Message Index/Total	5n/5n
50a		Instructing Pa	
50a		Ordering Customer	
52a		Account Servicing Institution	
51A		Sending Institution	
30	M	Requested Execution Date	6!n
25	O	Authorisation	35x
Sequence B			
Trailer Block			

Figure 21. Message Type Configuration Screen

In this figure, the first column lists all the SWIFT blocks and list of fields within each block which follows SWIFT naming standards. In this field, if a particular part of the sequence has multiple formats, then while uploading the JSON for the message type, update the formats within [..] with unique identifiers. The other columns are:

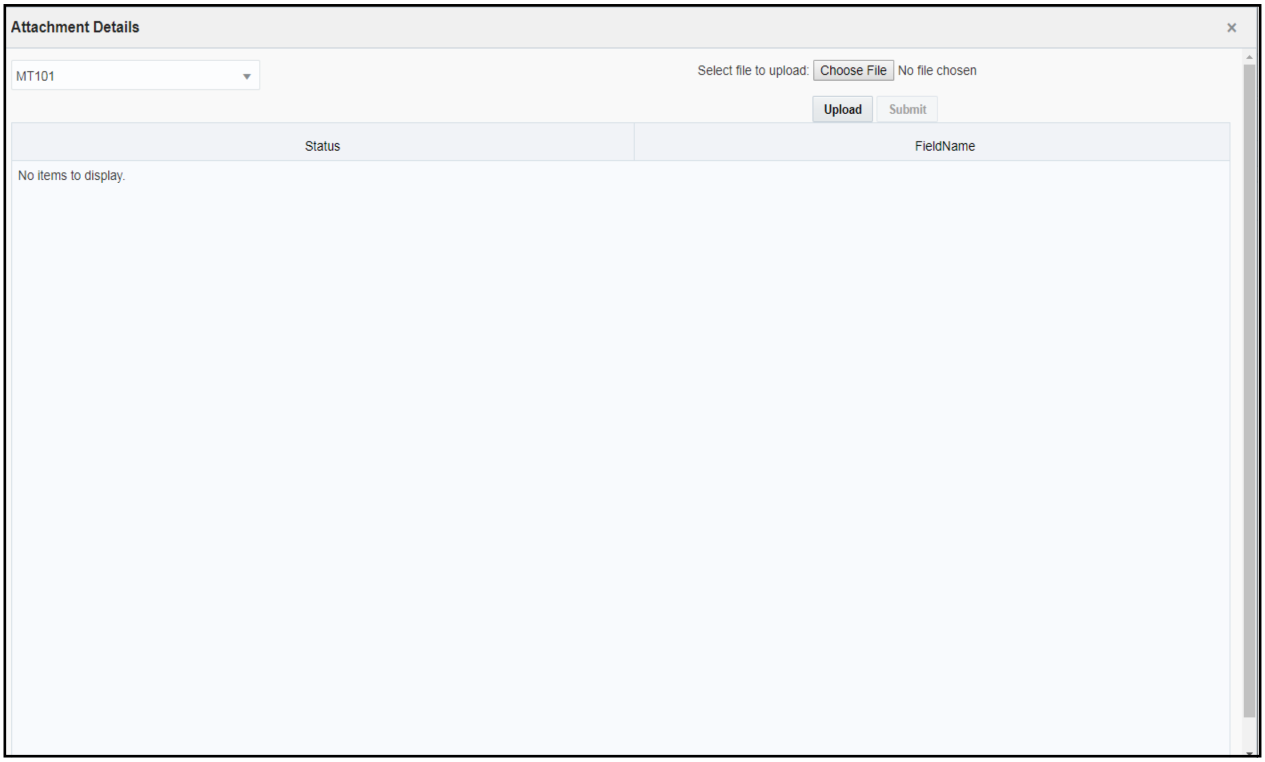
- Status: This column describes Mandatory (M) or optional (O) for given field.
- FieldName: This column describes the name of the given field as per SWIFT standards.
- Expression: This column depicts the field structure in terms of expression. For example, if the field is a data type, then the maximum length of field is displayed.

To edit a parameter, click the parameter name. Once you make the changes, click **Save**.

Adding or Updating a New Message Type

To add or update a new Message Type or update an existing Message Type, follow these steps:

1. Click the **Add/Update** button. The Attachment Details window is displayed.
2. Select the type of Message that you want to add or update from the drop-down list.



No items to display.

Figure 22. Message Type Attachment Details

3. Choose a file to upload from the **Select file to upload** field.

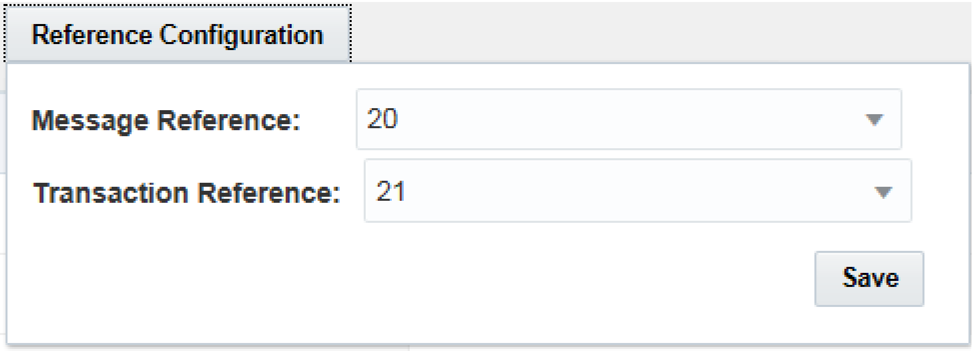
Note: This file should be of the format .json or .txt.

4. Click **Upload**.
5. Click **Submit**. The Message is displayed in the below table as <Message Type_draft>.

Fore more information, see the section **JSON Upload Configuration** in *OFS Transaction Filtering Technical Integration Guide*.

Configuring Message and Transaction References

Any message which contains message references or transaction references or both need to be configured. To view and change the message reference or transaction reference, click the **Reference Configuration** button.



Reference Configuration

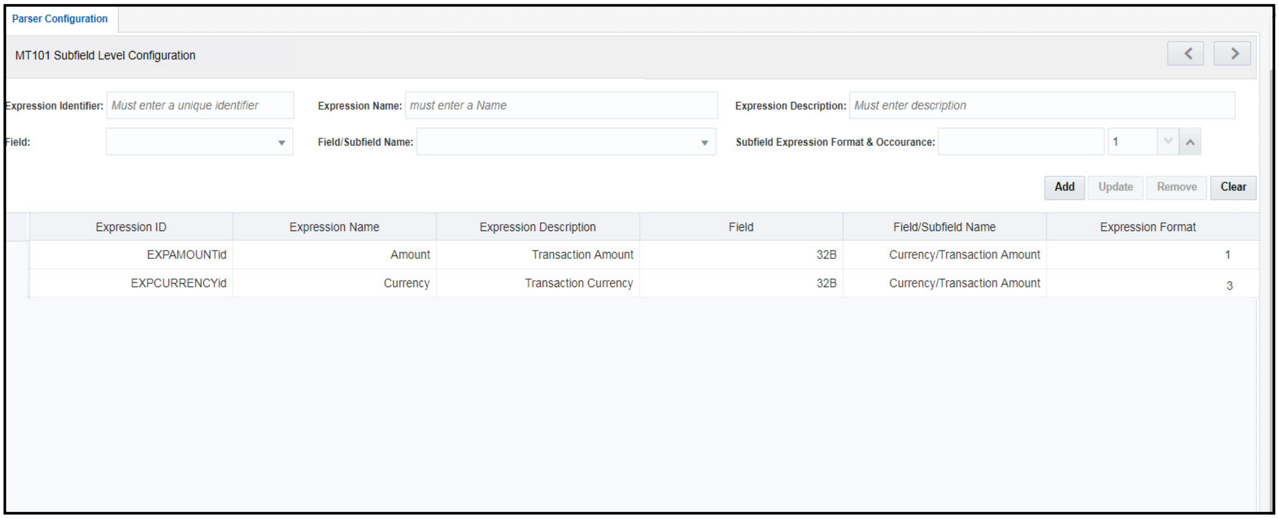
Message Reference: 20

Transaction Reference: 21

Figure 23. Reference Configuration Button

For the Message Reference field, a unique identifier must be configured at the message level for all message formats. For the Transaction Reference field, a unique identifier must be configured at the transaction level only if applicable for the specific message format.

2. **<Message Type> Subfield Level Configuration Screen:** This screen allows you to add a subfield to a particular field in the Message Type Configuration Screen.



Parser Configuration

MT101 Subfield Level Configuration

Expression Identifier: Must enter a unique identifier

Expression Name: must enter a Name

Expression Description: Must enter description

Field:

Field/Subfield Name:

Subfield Expression Format & Occourance: 1

Expression ID	Expression Name	Expression Description	Field	Field/Subfield Name	Expression Format
EXPAMOUNTId	Amount	Transaction Amount	32B	Currency/Transaction Amount	1
EXPCURRENCYId	Currency	Transaction Currency	32B	Currency/Transaction Amount	3

Figure 24. <Message Type> Subfield Level Configuration Screen

To add a subfield, provide the required values in the fields shown in the screen and click **Add**. Enter values in the following fields:

Table 3. <Message Type> Subfield Level Configuration Details

Fields	Field Description
Expression Identifier	Enter a unique identifier which must start with alpha and should not contain any spaces. **Note:** This is a mandatory field.
Expression Name	Enter the name of the Expression. It should be inline with the Expression Identifier. It should be in capital letters. **Note:** This is a mandatory field.

Fields	Field Description
Expression Description	Enter the description for the Expression. **Note:** This is a mandatory field.
Field	This field displays complete list of fields in the drop down for the given message type. Select the field from this drop down field to configure the expression.
Field/Subfield Name	This field displays the respective field name or subfield options for the selected Field that was previously selected. Select a subfields from the drop down list.
Subfield Expression Format & Occurrence	This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1.

To update an existing subfield, click the name of the subfield. Once you make the changes, click **Update**.

To remove an existing subfield, click the name of the subfield and click **Remove**.

To clear the data in the above fields, click **Clear**.

Here, you can configure in two ways:

- Subfield level data within the Option expression: If you want to configure specific data within the option, then configure using this screen.

For example, the field 57 has four options A, B, C and D in MT103 message but if you want to configure BIC (Identifier Code) from option A.

Option A:

[/1!a][/34x] (Party Identifier)

4!a2!a2!c[3!c] (Identifier Code)

Then enter names in the fields 'Subfield Expression Identifier', 'Subfield Name' and 'Subfield Description'.

- Element level data within subfield expression: If you want to further configure any data out of subfield.

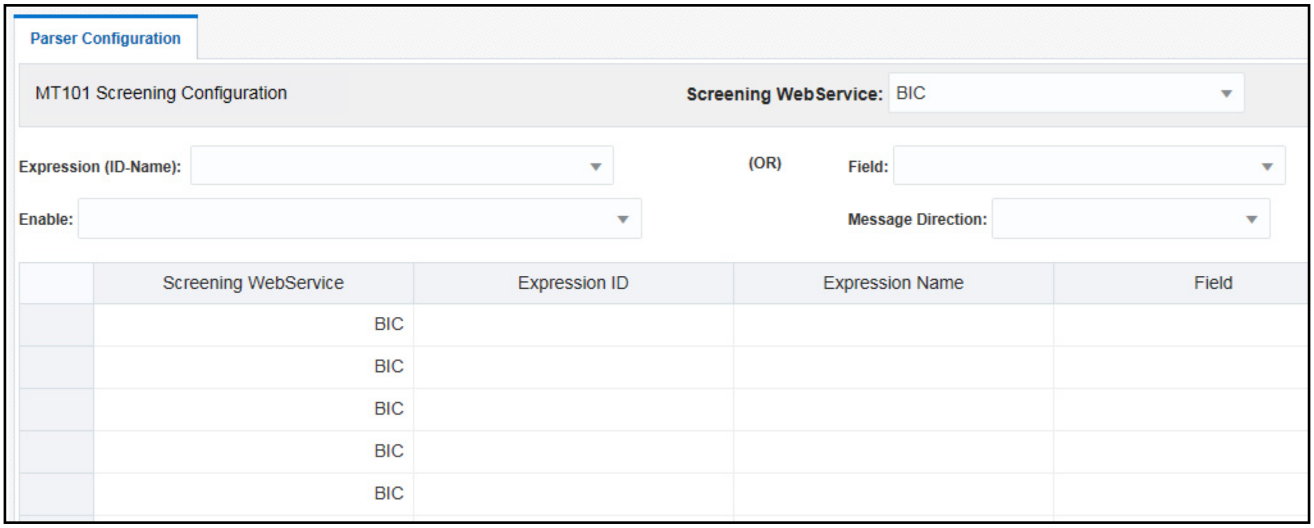
For example,. in the aforementioned example, if you want to configure country code for field 57 then you can configure 2!a from Identifier Code expression as a country code by giving unique names in the fields 'Subfield Expression Identifier', 'Subfield Name' and 'Subfield Description'.

Option A:

[/1!a][/34x] (Party Identifier)

4!a **2!a** 2!c[3!c] (Identifier Code)

3. **<Message Type> Screening Configuration Screen:** This screen allows you to add, update, remove, and enable or disable a WebService.



MT101 Screening Configuration

Screening WebService: BIC

Expression (ID-Name):

(OR)

Field:

Enable:

Message Direction:

	Screening WebService	Expression ID	Expression Name	Field
	BIC			
	BIC			
	BIC			
	BIC			
	BIC			

Figure 25. <Message Type> Screening Configuration Screen

To view a particular WebService, enter values in the following fields:

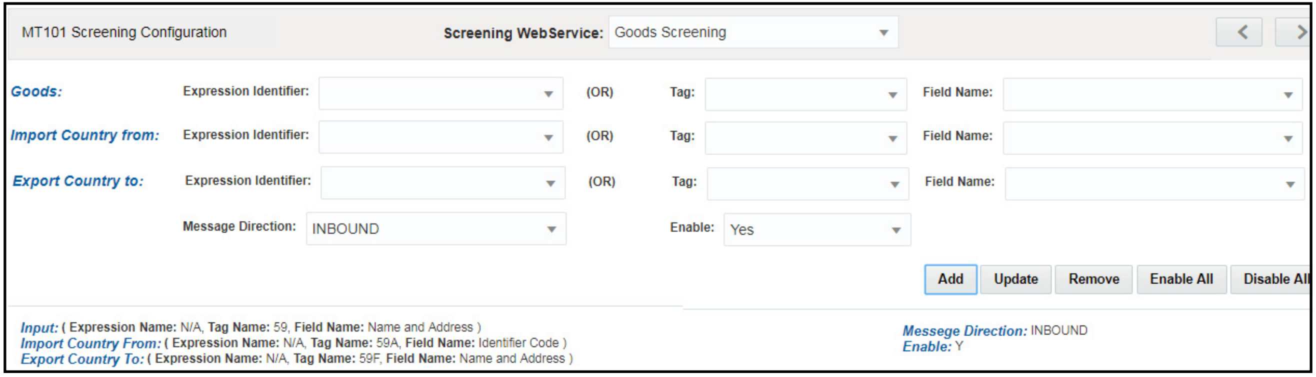
Table 4. <Message Type> Screening Configuration Details

Fields	Field Description
Screening WebService	Select a Screening WebService from the dropdown list. This field lists all the supported matching WebServices within the system. The following WebServices are available: ● BIC ● Country and City ● Goods Screening ● Name and Address ● Narrative or Free Text Information ● Port Screening This is a mandatory field.
Expression (ID-Name)	Select the Expression that was defined in the previous page. This automatically displays the fields in the next two fields.
Field	Select the field name.
Field/Subfield Name	Select the Subfield Name. This displays the Expression.
Enable	Select **Yes** to enable the WebService. Select **No** to disable the WebService.
Message Direction	Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a particular field has to be screened only for inbound then select INBOUND(o), otherwise select OUTBOUND(i). If that field has to be screened for both inbound and outbound then select ANY.
Add button	To add a WebService, provide the required values in the fields shown above and click **Add**.
Update button	To update a WebService, select the WebService that you want to update and click **Update**.
Remove button	To remove a WebService, select the WebService that you want to remove and click **Remove**.

Fields	Field Description
Enable All button	To enable all WebServices, click **Enable All**.
Disable All button	To disable all WebServices, click **Disable All**.

Screening Configuration for Goods Screening

For the Goods Screening web service, You can provide the goods amount and the currency used, the country from where the goods are being imported, the country to where the goods are being exported, the message direction, and whether the message direction is enabled or disabled.



Screening WebService: Goods Screening

Goods: Expression Identifier: (OR) Tag: Field Name:

Import Country from: Expression Identifier: (OR) Tag: Field Name:

Export Country to: Expression Identifier: (OR) Tag: Field Name:

Message Direction: INBOUND

Enable: Yes

Input: (**Expression Name:** N/A, **Tag Name:** 59, **Field Name:** Name and Address)
Import Country From: (**Expression Name:** N/A, **Tag Name:** 59A, **Field Name:** Identifier Code)
Export Country To: (**Expression Name:** N/A, **Tag Name:** 59F, **Field Name:** Name and Address)

Messege Direction: INBOUND
Enable: Y

Figure 26. Screening Configuration for Goods Screening

Table 5. Screening Configuration for Goods Screening

Fields	Field Description
Expression Identifier	Select the Expression for the good.
Tag	Select the tag related to the good. Based on the tag selected, the field name is populated.
Field Name	The field name is populated based on the tag selected.
Message Direction	Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a particular field has to be screened only for inbound then select INBOUND(o), otherwise select OUTBOUND(i). If that field has to be screened for both inbound and outbound then select ANY.
Enable	Select **Yes** to enable the message in a particular direction. Select **No** to disable the message in a particular direction.

Enabling or disabling a Webservice

By default, every Webservice is enabled. You can change the message configuration by disabling a particular Webservice. when you do this, the selected Webservice is not evaluated.

You can enable or disable a webservice using the Enable field. If you want to disable all the webservices, run the following command:

UPDATE FSI_RT_MATCH_SERVICE SET F_ENABLED = 'N' WHERE N_WEBSERVICE_ID IN ([WEBSERVICE_IDS])

Replace the [WEBSERVICE_IDS] placeholder with 1,2, 3, 4, 5, 6. To enable all the webservices, change ‘N’ to ‘Y’.

To enable or disable one or more webservices, replace the [WEBSERVICE_IDS] placeholder with the corresponding webservice ID. The webservices and the corresponding IDs are shown below:

1. Name and Address
2. BIC
3. Country and City
4. Narrative or Free Text Information
5. Port Screening
6. Goods Screening

Updating and Removing a Webservice

To update an existing web service, click the name of the web service. The fields are populated with the web service parameters. Once you make the changes, click **Update**.

To remove an existing web service, click the name of the web service and click **Remove**.

Populating Data for the Trade Goods and Trade Port Webservices

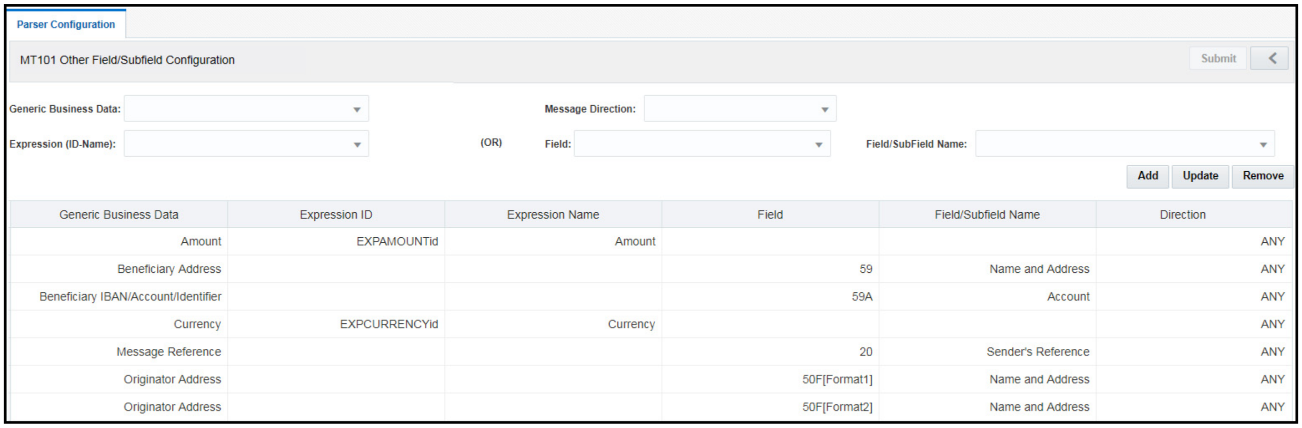
Data for the Trade goods and Trade port webservices are taken from a reference table. In order to populate data for these webservices, do this:

1. In the EDQ Server Console, go to the Watch List management project.
2. Right-click on the *Reference Data Refresh* job.
3. Click **Run**. Provide a unique Run Label and a Run Profile.

   When you run this job, the port and goods reference data is refreshed at the same time.
4. Go to the Transaction Filtering project.
5. Right-click on the *MAIN-Shutdown Real-time Screening* job to shut down all webservices.
6. Click **Run**.
7. Right-click on the *MAIN* job to restart all webservices.

   Click **Run**.

   4. **<Message Type> Other Field/Subfield Configuration Screen:** This screen allows you to update the other fields which are required for the application. It displays the list of fixed business data/names for the required fields to run the system end to end for given any message type. You can select each business data to configure source of data/fields for a give message type based on SWIFT knowledge.



Generic Business Data	Expression ID	Expression Name	Field	Field/Subfield Name	Direction
Amount	EXPAMOUNTid	Amount			ANY
Beneficiary Address			59	Name and Address	ANY
Beneficiary IBAN/Account/Identifier			59A	Account	ANY
Currency	EXPCURRENCYid	Currency			ANY
Message Reference			20	Sender's Reference	ANY
Originator Address			50F[Format1]	Name and Address	ANY
Originator Address			50F[Format2]	Name and Address	ANY

Figure 27. <Message Type> Other Field/Subfield Configuration Screen

To update the parameter, click the parameter name. The fields are populated with the field parameters. The following fields are displayed in this screen:

Table 6. <Message Type> Other Field/Subfield Details

Fields	Field Description
Generic Business Data	This field displays the Business Name of the record that is selected.
Message Direction	Select ‘Inbound’ or ‘Outbound’ depending on how the screening is done.
Expression (ID-Name)	Select the Expression that was defined in the previous page. This automatically displays the fields in the next two fields.
Field	If you have not selected from the previous field, then select the Field.
Field/Subfield Name	Select the Subfield Name. This displays the Expression.

Once you make the changes, click **Update**.

Adding, Editing or Deleting Good Guy Records

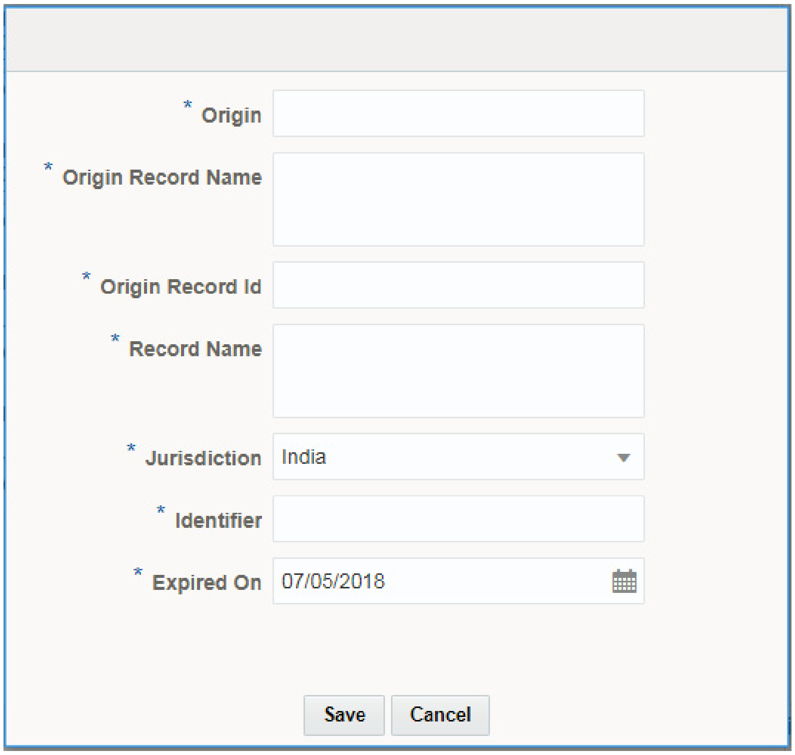
You can add, edit or delete a Good Guy record from the Good Guy List Details page.

Adding a Good Guy Record

Apart from adding a Good Guy record using the process detailed in section Good Guy/White List Matching in the *Oracle Transaction Filtering User Guide*, you can also manually add a record to the FCC_WHITELIST table. For example, if the record is a trusted customer.

To add a record, do this:

1. In the Good Guy Summary section, click +. A pop-up window appears.



* Origin	
* Origin Record Name	
* Origin Record Id	
* Record Name	
* Jurisdiction	India
* Identifier	
* Expired On	07/05/2018

Figure 28. Adding a Good Guy Record

2. Enter the required details.
3. Click **Save**.

Editing a Good Guy Record

After you add a record, you may change the jurisdiction or expiry date of the record by editing the record.

To edit the good guy record, do this:

1. In the Good Guy Summary section, Click **Actions**.
2. From the drop-down list, Click **Edit**.
3. Make the necessary changes to the record.
4. Enter your comments for editing the record.
5. Click **Save**.

Deleting a Good Guy Record

You can delete a record, for example, if the record was added in error or the record should no longer be in the Good Guy table.

To delete the good guy record, do this:

1. In the Good Guy Summary section, Click **Actions**.
2. From the drop-down list, Click **Delete**.
3. Enter your comments for deleting the record.
4. Click **Save**.

Note: The following columns in the FCC_WHITELIST table are used for matching. This match can be against a single column or column combinations:

- V_ORIGIN: This column contains the watchlist name.
- V_WHITE_ENTITY_NAME: This column contains the watchlist record name.
- V_WHITE_NAME: This column contains the input message name.
- V_IDENTIFIER_CODE: This column contains the ID of the party name present in the V_WHITE_NAME column, and comes from the input message.
- N_RECORD_ID: This column contains the watch list record id.
- V_JURISDICTION: This column contains the watch list jurisdiction.
- D_EXPIRE_ON: This column contains the date after which the record is no checked against the records in the FCC_WHITELIST table.

EDQ Configurations

This section consists of the following topics:

- About EDQ
- EDQ Configuration Process Flow
- General EDQ Configurations

About EDQ

The Oracle Financial Services Transactions Filtering application is built using EDQ as a platform. EDQ provides a comprehensive data quality management environment that is used to understand, improve, protect and govern data quality. EDQ facilitates best practices such as master data management, data integration, business intelligence, and data migration initiatives. EDQ provides integrated data quality in customer relationship management and other applications.

EDQ has the following key features:

- Integrated data profiling, auditing, and cleansing and matching
- Browser-based client access
- Ability to handle all types of data (for example, customer, product, asset, financial, and operational)
- Connection to any Java Database Connectivity (JDBC) compliant data sources and targets
- Multi-user project support (Role-based access, issue tracking, process annotation, and version control)

- Representational State Transfer Architecture (ReST) support for designing processes that may be exposed to external applications as a service
- Designed to process large data volumes
- A single repository to hold data along with gathered statistics and project tracking information, with shared access
- Intuitive graphical user interface designed to help you solve real world information quality issues quickly
- Easy, data-led creation and extension of validation and transformation rules
- Fully extensible architecture allowing the insertion of any required custom processing

Note: For information on configuring a host in the Transaction Filtering application, see *Host Configuration.*

Note: For more information on EDQ, see *Oracle Enterprise Data Quality Documentation*.

EDQ Configuration Process Flow

The following image shows the EDQ configuration process flow:

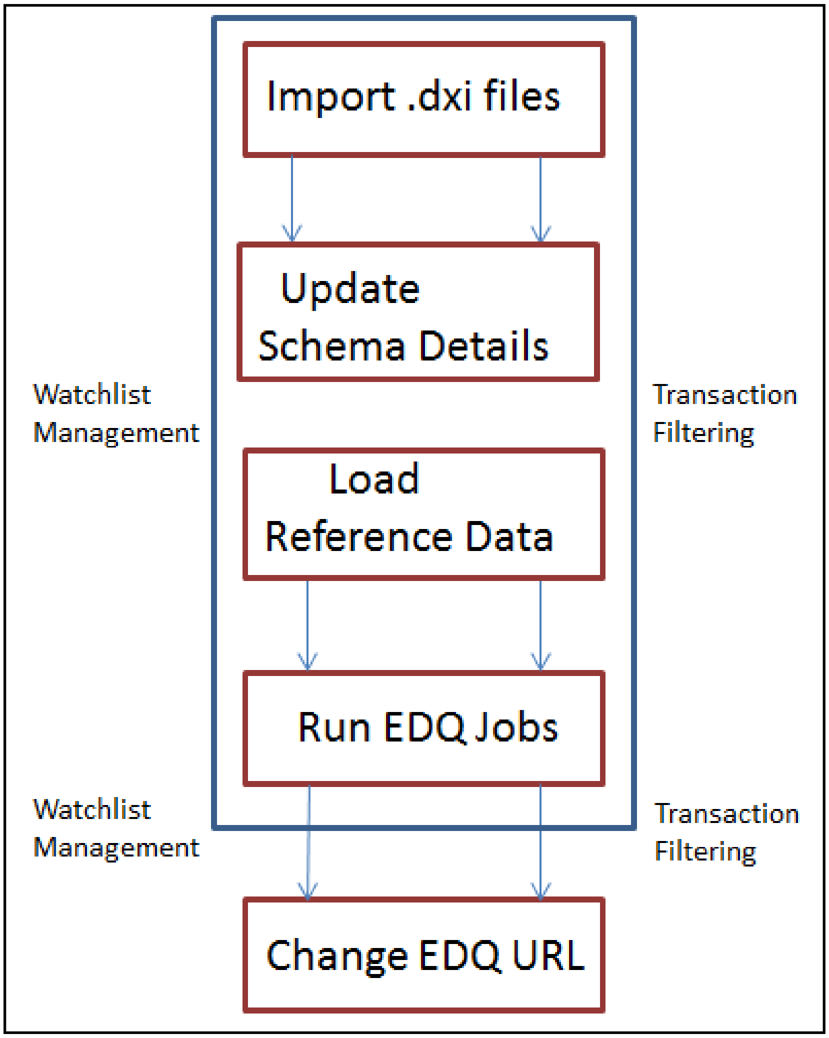
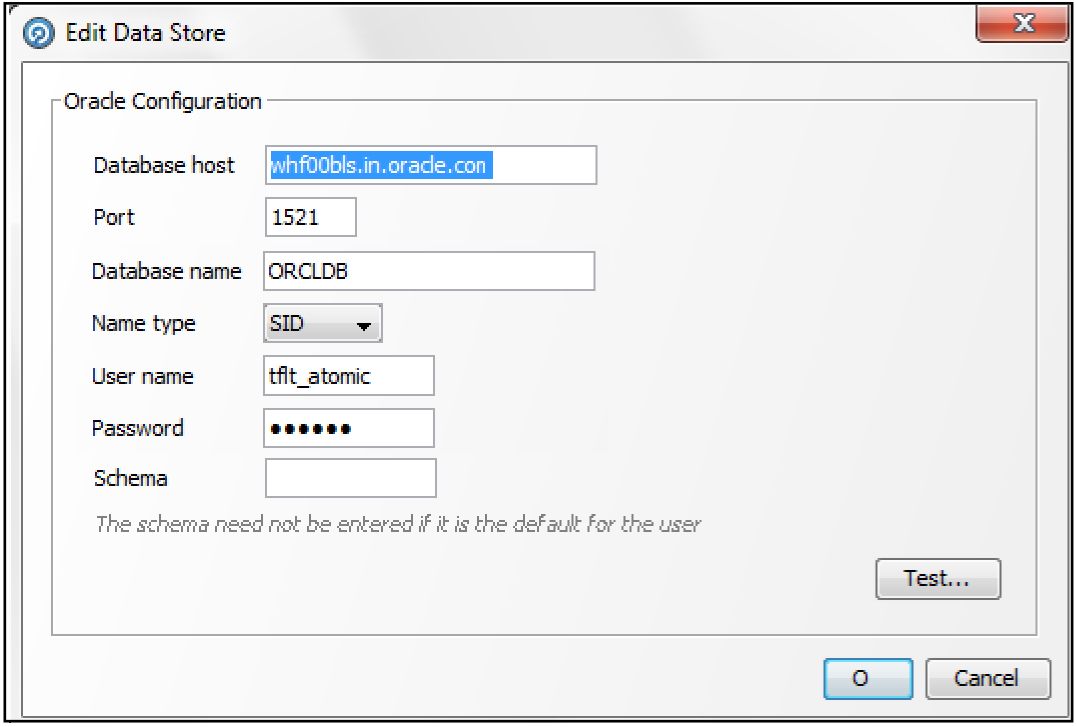


Figure 29. EDQ Configuration Process Flow

To configure the EDQ, follow these steps:

1. Import the Transaction List management and Transaction screening `.dxi` files from the `FIC_HOME/Transaction_Processing` path.

2. Enter the organization-specific Atomic schema details as shown below:



Edit Data Store

Oracle Configuration

Database host: whf00bls.in.oracle.con

Port: 1521

Database name: ORCLDB

Name type: SID

User name: tflt_atomic

Password: ●●●●●●

Schema:

The schema need not be entered if it is the default for the user

Figure 30. Updating the Schema Details

3. Load the Reference data. For more information on Reference data, see Configuring Prohibition Screening.
4. Run the following jobs under the Transaction List management project:
   - Analyze Reference data quality
   - Download Prepare & filter export list data
   - Generate StopPhrases
5. Run the Transaction Filtering job under the Transaction Screening project.
6. Change the EDQ URL in the Transaction Filtering application. This is done the first time you set up the Transaction Filtering application as the application needs to know the location of the EDQ.
7. Configure the message and screening parameters, if required.

Changing the EDQ URL

To change the EDQ URL, see *Configuring Application Level Parameters*.

General EDQ Configurations

This section consists of the following topics:

- Importing the OFS Transaction Filtering Projects
- Configuring Watch List Management and Transaction Filtering
- Filtering Watch List Data
- Prohibition Screening

- Generating Email for Different Statuses

Importing the OFS Transaction Filtering Projects

See OFS Sanctions Installation Guide to import OFS Transaction Filtering projects.

Configuring Watch List Management and Transaction Filtering

The Oracle Financial Services Transaction Filtering distribution contains two Run Profiles for configuring watch list management and screening: watchlist-management.properties and watchlist-screening.properties.

Run Profiles are optional templates that specify a number of 'override' configuration settings for externalized options when a Job is run. They offer a convenient way of saving and reusing a number of configuration overrides, rather than specifying each override as a separate argument.

Run Profiles may be used when running jobs either from the Command Line Interface, using the 'runopsjob' command, or in the Server Console UI.

The watchlist-management.properties Run Profile controls:

- which watch lists are downloaded, and the configuration of the download process;
- whether filtering is applied to the watch lists; and
- whether Data Quality Analysis is applied to the watch lists.

Additionally, the watchlist-screening.properties Run Profile controls:

- Real-Time and Batch Screening set up;
- Screening reference ID prefixes and suffixes;
- Watch list routing; and
- configuration of match rules.

Note: The properties controlling match rules are not included in the watchlist-screening.properties Run Profile by default. See Configuring Match Rules for further information.

This section consists of the following topics:

- Preparing Watch List Data
- Setting Up Private Watch List
- Showing Watch List Staged Data/Snapshots in the Server Console UI
- Configuring Match Rules
- Configuring Jobs

Preparing Watch List Data

Oracle Financial Services Transaction Filtering is pre-configured to handle reference data from the following sources:

- HM Treasury
- OFAC

- EU consolidated list
- UN consolidated list
- World-Check
- Dow Jones Watchlist
- Dow Jones Anti-Corruption List
- Accuity Reference Data

  For information on the watch lists, see *Appendix A, "Watch Lists,"*.

Setting Up Private Watch List

Oracle Financial Services Transaction Filtering is pre-configured to work with a number of commercially-available and government-provided watch lists. However, you can also screen against your own private watch lists. On installation, screening is configured to run against a sample private watch list with minimal additional configuration, allowing the installation to be validated quickly. The sample private watch list is provided in two files - `privateindividuals.csv` and `privateentities.csv`- in the config/landingarea/Private folder.

The OEDQ Config Folder:

Your OEDQ instance's config folder might not be named 'config'. The choice of the config folder's name is made when OEDQ is installed - in some cases a name is automatically allocated. OEDQ release 11g and later has both a 'base' and a 'local' config folder. The base config folder is often called 'oedqhome', and the local config folder is often called 'oedqlocalhome'. In some cases, dots or underscores may be inserted into these names (for example: 'oedq_local_home'). Whenever you see a file path in this document that begins with config, this always refers to your OEDQ instance's local config folder.

The first step in screening against your own private watch list is to replace the data in the supplied files with your own data. To do this:

1. Transform your private watch list data into the format specified by the Private List Interface. For more information on Private Watch Lists, see PLI Reference Data.
2. Replace the data in the privateindividuals.csv and privateentities.csv files with your transformed private watch list data.

Note: The files must be saved in UTF-8 format.

Note: To screen against multiple private watch lists, consolidate them into the the two files: privateindividuals.csv and privateentities.csv. These two files can also be used to hold data from external watch lists that Oracle Financial Services Transaction Filtering is not pre-configured to work with.

The second and final step is to enable the staging and preparation of the private watch list in the `watchlist-management.properties` Run Profile. To stage your private watch list set the following value to **Y**:

```
phase.PRIV\ -\ Stage\ reference\ lists.enabled
```

Once you have done this, set the following value to **Y** to prepare the private watch list without filtering:

```
phase.PRIV\ -\ Prepare\ without\ filtering.enabled
```

Or set both of the following values to **Y** to prepare the private watch list with filtering:

```
phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled
phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled
```

Showing Watch List Staged Data/Snapshots in the Server Console UI

Certain types of staged data and snapshots are hidden in the Server Console UI by default. These are:

- Watch list snapshots
- Intermediate filtered watch list staged data
- Centralized Reference Data staged data/snapshots

To display this data, set the corresponding visibility property value(s) in the relevant Run Profile(s) to **Y**.

For example, to make all HM Treasury watch list snapshots generated during Watchlist Management visible, set the following properties in the `watchlist-management.properties` Run Profile:

- `stageddata.ACY\ Sources.visible = Y`
- `stageddata.ACY_All.visible = Y`
- `stageddata.ACY_Sources.visible = Y`

Configuring Match Rules

Match rules - and also match clusters - can be configured and controlled by adding a property to the watchlist-screening.properties Run Profile.

For example, to disable the Exact name only rule for Batch and Real-Time Sanctions screening, add the following property to the Run Profile:

```
phase.*.process.*.[I010O]\ Exact\ name\ only.san_rule_enabled = false
```

Note: Capitalization must be respected and characters must be escaped as required.

The * character denotes a wildcard, and therefore specifies that the above rule applies to all phases and all processes. If disabling the rule for Batch screening only, the property would read:

```
phase.Batch\ screening.process.*.[I010O]\ Exact\ name\ only.san_rule_enabled = false
```

Note: For further details on tuning Match rules, please refer to the *Oracle Financial Services Transaction Filtering Matching Guide*.

Configuring Jobs

To configure a job, it must be configured in the .properties file and on the Admin screen to enable or disable the webservices.

The `WatchListLoadPreparedData` process is disabled by default. To enable the process:

1. In the `Watchlist_Management-<patch number>` project, double-click the `Load List data from Stg to Processed table` job. All processes related to the job appears.

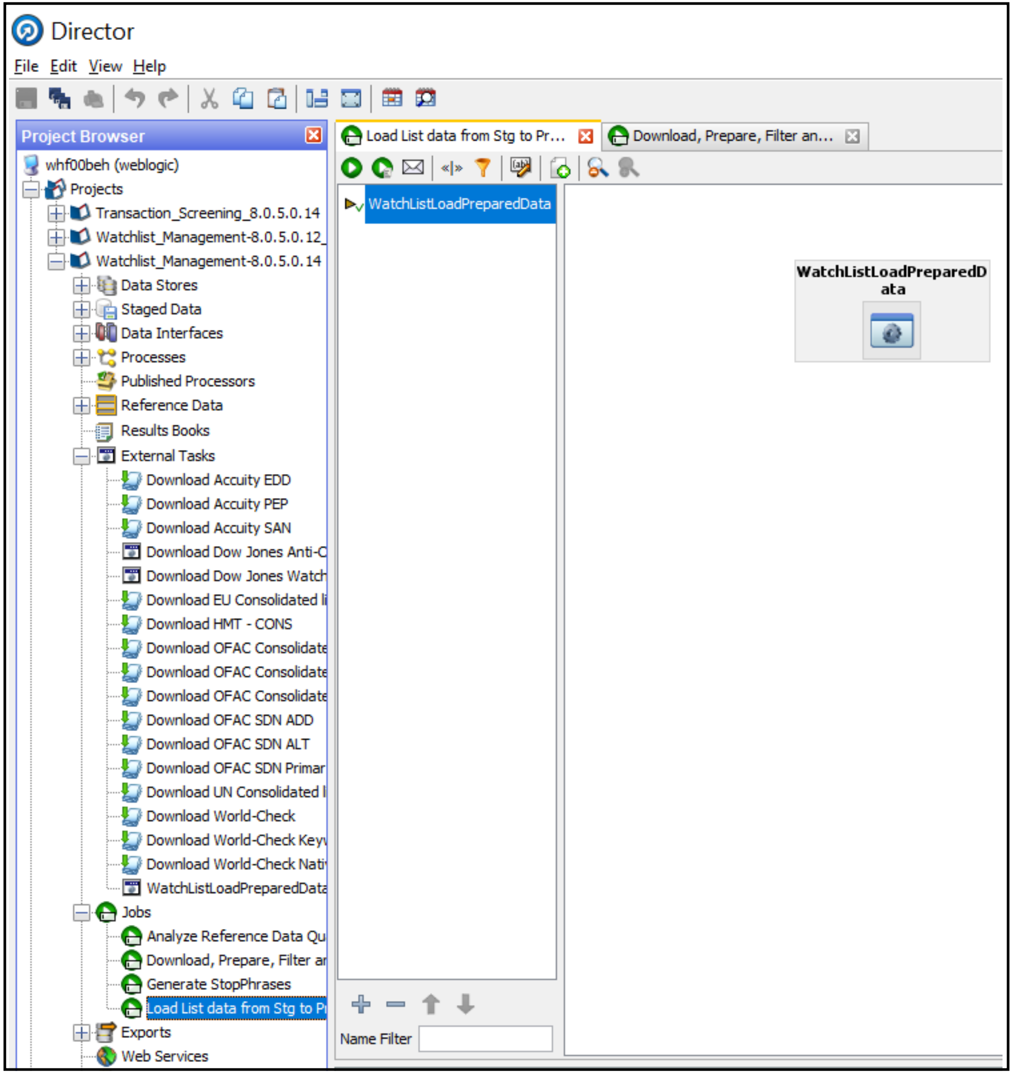

Director
File Edit View Help
Project Browser
whf00beh (weblogic)
Projects
Transaction_Screening_8.0.5.0.14
Watchlist_Management-8.0.5.0.12_
Watchlist_Management-8.0.5.0.14
Data Stores
Staged Data
Data Interfaces
Processes
Published Processors
Reference Data
Results Books
External Tasks
Download Accuity EDD
Download Accuity PEP
Download Accuity SAN
Download Dow Jones Anti-C
Download Dow Jones Watch
Download EU Consolidated li
Download HMT - CONS
Download OFAC Consolidate
Download OFAC Consolidate
Download OFAC Consolidate
Download OFAC SDN ADD
Download OFAC SDN ALT
Download OFAC SDN Primar
Download UN Consolidated l
Download World-Check
Download World-Check Keyw
Download World-Check Nati
WatchListLoadPreparedData
Jobs
Analyze Reference Data Qu
Download, Prepare, Filter ar
Generate StopPhrases
Load List data from Stg to Pr
Exports
Web Services
Load List data from Stg to Pr...
Download, Prepare, Filter an...
WatchListLoadPreparedData
WatchListLoadPreparedData
Name Filter

Figure 31. Watchlist_Managament-<patch number> Project

2. Right-click the `WatchListLoadPreparedData` task and click **Enabled**.

Filtering Watch List Data

Enabling Watch List Filtering

Watch list data is filtered either during List Management, Screening, or both.

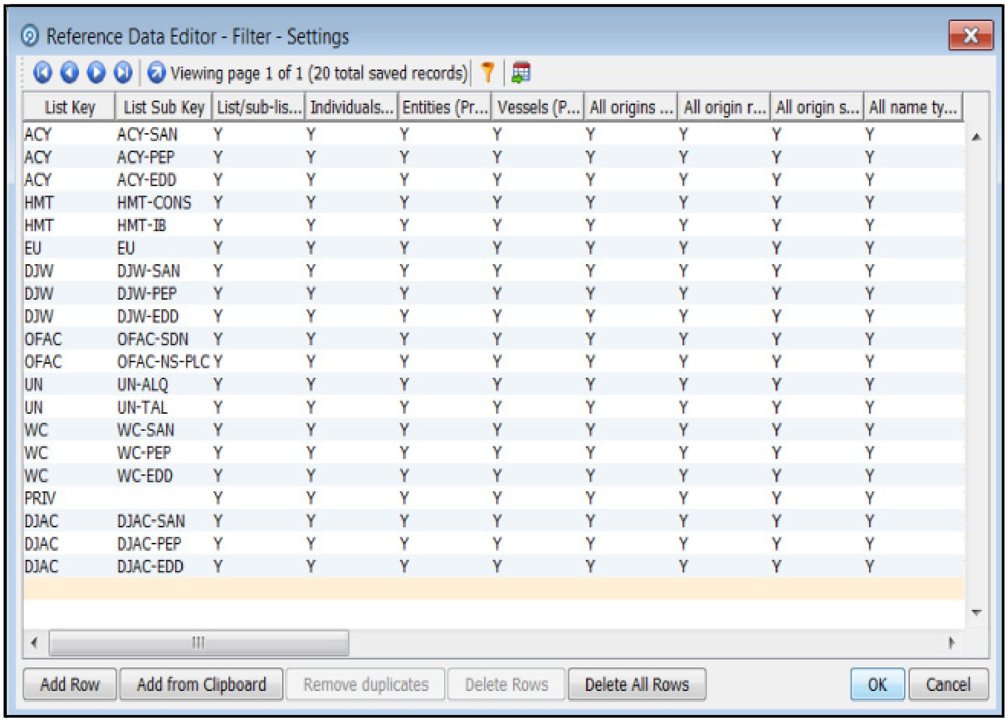
To enable filtering for a specific watch list, set the **Prepare Filtering** phase(s) in the appropriate Run Profile to **Y**, and the **Prepare Without Filtering** phase(s) to **N**.

Configuring Watch List Filtering

Watchlist filtering is controlled by configuring reference data in the Watchlist projects.

Note: Once data is filtered out, it is not possible to filter it back in. E.g. if all entities are filtered out in Watchlist Management, even if the Transaction Filtering project is configured to include entities, they will not show up in results data.

The top level of filtering is controlled by editing the **Filter - Settings** reference data:


Reference Data Editor - Filter - Settings
Viewing page 1 of 1 (20 total saved records)
Add Row
Add from Clipboard
Remove duplicates
Delete Rows
Delete All Rows
OK
Cancel

List Key	List Sub Key	List/sub-lis...	Individuals...	Entities (Pr...	Vessels (P...	All origins ...	All origin r...	All origin s...	All name ty...
ACY	ACY-SAN	Y	Y	Y	Y	Y	Y	Y	Y
ACY	ACY-PEP	Y	Y	Y	Y	Y	Y	Y	Y
ACY	ACY-EDD	Y	Y	Y	Y	Y	Y	Y	Y
HMT	HMT-CONS	Y	Y	Y	Y	Y	Y	Y	Y
HMT	HMT-IB	Y	Y	Y	Y	Y	Y	Y	Y
EU	EU	Y	Y	Y	Y	Y	Y	Y	Y
DJW	DJW-SAN	Y	Y	Y	Y	Y	Y	Y	Y
DJW	DJW-PEP	Y	Y	Y	Y	Y	Y	Y	Y
DJW	DJW-EDD	Y	Y	Y	Y	Y	Y	Y	Y
OFAC	OFAC-SDN	Y	Y	Y	Y	Y	Y	Y	Y
OFAC	OFAC-NS-PLC	Y	Y	Y	Y	Y	Y	Y	Y
UN	UN-ALQ	Y	Y	Y	Y	Y	Y	Y	Y
UN	UN-TAL	Y	Y	Y	Y	Y	Y	Y	Y
WC	WC-SAN	Y	Y	Y	Y	Y	Y	Y	Y
WC	WC-PEP	Y	Y	Y	Y	Y	Y	Y	Y
WC	WC-EDD	Y	Y	Y	Y	Y	Y	Y	Y
PRIV		Y	Y	Y	Y	Y	Y	Y	Y
DJAC	DJAC-SAN	Y	Y	Y	Y	Y	Y	Y	Y
DJAC	DJAC-PEP	Y	Y	Y	Y	Y	Y	Y	Y
DJAC	DJAC-EDD	Y	Y	Y	Y	Y	Y	Y	Y

All the reference data filters are set to **Y** by default, except Linked Profiles which is set to **N**. Unless these settings are changed, no actual filtering is performed on watch list data.

Note: In the **Filter - Settings** reference data, a value of **Y** indicates that all records should be included - in other words, no filter should be applied.

Broadly speaking, watch list filtering falls into four categories:

- By list and list sub key.
- By list record origin characteristics.
- By list profile record characteristics.
- By linked profiles.

Primary and Secondary Filtering, and Linked Records

- Primary filtering - These filters are used to return all profiles that match the criteria specified.

- Linked Profiles - If this value is set to Y, then all profiles linked to those captured by Primary filters are also captured; an example of use is a filter configured to capture all Sanctions and their related PEPs.
- Secondary filtering - These filters are applied to further filter any linked profiles that are returned.

Note: Only the World-Check and DJW watch lists can provide Linked Profiles.

Setting Multiple Values for Primary and Secondary Filters

The following filter options require further configuration in additional reference data:

- Origins
- Origin Regions
- Origin Statuses
- Primary and Secondary Name Qualities
- Primary and Secondary Name Types
- Primary and Secondary PEP Classifications

To filter using one or more of these options, set the relevant value in the Filter - Settings reference data to **N**, and then make further changes to the corresponding reference data.

Note: The effect of setting a value in the **Filter - Settings** reference data to **N** is that only records that match values set in the corresponding reference data will be included. For example, if you set the value of **All name qualities (Primary)?** to **N** in **Filter - Settings**, then, in the **Filter - Primary Name Qualities** reference data you could determine which name qualities should be included for each watch list. For instance, if you include a row for High quality names in the EU watch list, but you do not include rows for medium and low quality names for this watch list, then only records with high quality names will be included for this watch list.

Some of these reference data sets are pre-populated with rows, to be edited or removed as required. These rows contain data (generally, but not always) supplied by each watch list provider, and are all contained within the Watchlist Management project.

For example, to view all possible keywords for World-Check data, open the **WC Keyword** reference data in the Watchlist Management project. See the following example for further details.

Filtering World Check Data

This example describes configuring filtering on the World-Check Sanctions list in the Watchlist Management project, and setting further filters in the Transaction Filtering project. Specifically:

- enabling filtering in the Run Profiles;
- configuring the Primary filters in the Watchlist Management project to return only active records for sanctioned individuals (not entities) originating from the EU list;
- enabling the filtering of Linked Profiles in the Watchlist Management project; and
- configuring the Secondary filters in the Transaction Filtering project to further filter out all Linked Profiles of deceased individuals.

Setting Filtering options in the Run Profiles

In the `watchlist-management.properties` Run Profile, set the World-Check filtering phases as follows:

- phase.WC\ -\ Prepare\ without\ filtering.enabled = N
- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = Y
- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = Y

In the `watchlist-screening.properties` Run Profile, set the World-Check filtering phases as follows:

- phase.WC\ -\ Load\ without\ filtering.enabled = N
- phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = Y
- phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y

Setting Primary Filters and Linked Profiles in the Watchlist Management project

To set primary filters, follow these steps:

1. In Director, open the Watchlist Management project and expand the Reference Data node.
2. Locate the **Filter - Settings** reference data, and double-click to open it.
3. Ensure the **List/sub-list (Primary)?** value in the **WC-SAN** row is set to **Y**.
4. Set the **Entities (Primary)?** value in the **WC-SAN** row to **N**.
5. Set the **Inactive (Primary)?** value in the **WC-SAN** row to **N**.
6. Set the **All Origins (Primary)?** value in the **WC-SAN** row to **N**.
7. Ensure all other values in the **WC-SAN** row are set to **Y**.
8. Click **OK** to close the reference data and save changes.
9. Locate the **Filter - Origins** reference data and double-click to open it.
10. Add a new row with the following values:
    - List Key - WC
    - List Sub Key - WC-SAN
    - Origin - EU
11. Change the Linked Profiles? value in the WC-SAN row to Y.
12. Click OK to close the Filter Settings reference data and save changes.

Setting Secondary Filters in the Transaction Filtering project

To set secondary filters, follow these steps:

1. Open the Transaction Filtering project, and expand the reference data link.
2. Locate the **Filter - Settings** reference data file, and double-click to open it.
3. Set the **Deceased (Secondary)?** value in the **WC-SAN** row to **N**.
4. Click **OK** to close the reference data and save changes.

Screening All Data Using Sanctions Rules

By default, watch list records are routed to the different screening processes depending on their record type, that is, SAN, PEP or EDD. This allows different rules, and hence different levels of rigor, to be applied to the list data according to risk appetite.

However, if you want to use the same screening logic for all list records, and do not want the overhead of maintaining separate rule sets, the system can be configured to reroute all list records to the SAN screening processes. To do this, set the **phase.*.process.*.Screen\ all\ as\ SAN?** value in the `watchlist-screening.properties` Run Profile to **Y**.

Prohibition Screening

This section consits of the following topics:

- Configuring Prohibition Screening
- Extending Prohibition Screening

Configuring Prohibition Screening

This section consists of the following topics:

- Bad BICs Reference Data
- Blacklisted Cities Reference Data
- Blacklisted Countries Reference Data
- Stop Keywords Reference Data
- Goods Prohibition Reference Data
- Ports Prohibition Reference Data

Bad BICs Reference Data

The following columns are available in the template for BICs:

- Record ID: This column displays the record serial number for the blacklisted BIC. The record ID is unique for every BIC.
- BIC: This column displays the name of the BIC.
- Details of BIC: This column displays the details of the BIC.
- Data Source: This column displays the source of the data for the BIC.
- Risk Score: This column displays the risk score for the BIC.

Sample Data for Sanctioned BICs

The following table provides examples based on BICs:

Table 7. Sample Data for BICs

Record ID	BIC	Details of BIC	Data Source	Risk Score
1	SIIBSYDA	NA	OFAC (Office of Foreign Assets Control)	85

Record ID	BIC	Details of BIC	Data Source	Risk Score
2	FTBDKPPY	NA	OFAC (Office of Foreign Assets Control)	90
3	DCBKKPPY	NA	OFAC (Office of Foreign Assets Control)	85
4	ROSYRU2P	NA	OFAC (Office of Foreign Assets Control)	90
5	INAKRU41	NA	OFAC (Office of Foreign Assets Control)	90
6	SBBARUMM	NA	OFAC (Office of Foreign Assets Control)	90

Blacklisted Cities Reference Data

The following columns are available in the template for blacklisted cities:

- Record ID: This column displays the record serial number for the blacklisted city. The record ID is unique for every city.
- Country: This column displays the name of the country of the blacklisted city.
- City: This column displays the name of the blacklisted city.
- ISO City Code: This column displays the ISO code of the blacklisted city.
- Data Source: This column displays the source of the data for the blacklisted city.
- Risk Score: This column displays the risk score for the blacklisted city.

Sample Data for Sanctioned Cities

The following table provides examples for blacklisted cities:

Table 8. Sample Data for Blacklisted Cities

Record ID	Country	City	ISO City Code	Data Source	Risk Score
1	IRAQ	ARBIL	ABL	OFAC (Office of Foreign Assets Control)	90
2	IRAQ	ABU AL FULUS	ALF	OFAC (Office of Foreign Assets Control)	90
3	IRAQ	AMARA (AL-AMARA H)	AMA	OFAC (Office of Foreign Assets Control)	85

Record ID	Country	City	ISO City Code	Data Source	Risk Score
4	IRAQ	ARAK	ARK	OFAC (Office of Foreign Assets Control)	90

Blacklisted Countries Reference Data

The following columns are available in the template for blacklisted countries:

- Record ID: This column displays the record serial number for the blacklisted country. The record ID is unique for every country.
- Country: This column displays the name of the blacklisted country.
- ISO Country Code: This column displays the ISO code of the blacklisted country.
- Country Synonyms: This column displays the synonyms of the blacklisted country.
- Data Source: This column displays the source of the data for the blacklisted country.
- Risk Score: This column displays the risk score for the blacklisted country.

Sample Data for Sanctioned Countries

The following table provides sample data for blacklisted countries:

Table 9. Sample Data for Blacklisted Countries

Record ID	Country	ISO Country Code	Country Synonyms	Data Source	Risk Score
1	IRAQ	IQ	IRAK, REPUBLIC OF IRAQ, AL JUMHURIYAH AL IRAQIYAH, AL IRAQ	OFAC (Office of Foreign Assets Control)	90
2	DEMOCRATIC REPUBLIC OF THE CONGO	CD	CONGO, THE DEMOCRATIC REPUBLIC OF THE	OFAC (Office of Foreign Assets Control)	90
3	AFGHANISTAN	AF	NA	ITAR (International Traffic in Arms Regulations)	85
4	ZIMBABWE	ZW	NA	ITAR (International Traffic in Arms Regulations)	90
5	CENTRAL AFRICAN REPUBLIC	CF	NA	EAR (Export Administration Regulations)	85
6	BELARUS	BY	NA	EAR (Export Administration Regulations)	80

Stop Keywords Reference Data

The following columns are available in the template for keywords:

- Record ID: This column displays the record serial number for the keyword.
- Stop keyword: This column displays the keyword.
- Risk Score: This column displays the risk score for the keyword.

Sample Data for Sanctioned Stop Keywords

The following table provides examples based on keywords:

Table 10. Sample Data for Stop Keywords

Record ID	Stop KeyWords	Risk Score
1	EXPLOSIVE	80
2	DIAMOND	90
3	TERROR	80
4	TERRORIST	85
5	ARMS	80
6	NUCLEAR	90

Goods Prohibition Reference Data

The following columns are available in the template for prohibited goods:

- Record ID: This column displays the record serial number for the prohibited good. The record ID is unique for every good.
- Good Code: This column displays the code of the prohibited good.
- Good Name: This column displays the name of the prohibited good.
- Good Description: This column displays the description of the prohibited good.

Sample Data for Prohibited Goods

The following table provides sample data for prohibited goods:

Table 11. Sample Data for Prohibited Goods

Record ID	Good Code	Good Name	Good Description
1	0207 43 00	Fatty livers	Fatty livers, fresh or chilled
2	0208 90 10	Ivory	CONGO, THE DEMOCRATIC REPUBLIC OF THE
3	0209 10 00	Ivory powder and waste	NA
4	3057100	Shark fins	NA
5	4302 19 40	Tiger-Cat skins	NA

Ports Prohibition Reference Data

The following columns are available in the template for prohibited ports:

- Record ID: This column displays the record serial number for the prohibited port. The record ID is unique for every port.
- Country: This column displays the name of the country where the prohibited port is located.
- Port Name: This column displays the name of the prohibited port.
- Port Code: This column displays the code of the prohibited port.
- Port Synonyms: This column displays the synonym of the prohibited port.

Sample Data for Prohibited Ports

The following table provides sample data for prohibited ports:

Table 12. Sample Data for Prohibited Ports

Record ID	Country	Port Name	Port Code	Port Synonyms
1	IRAN, ISLAMIC REPUBLIC OF	KHORRAMSHAHR	IR KHO	KHORRAMSHAHR Port
2	RUSSIA	Sevastopol	SMTP	Sebastopol,Port of Sevastopol
3	New Zealand	Dunedin	NZ ORR	Otago Harbour
4	New Zealand	Ravensbourne	NZ ORR	Otago Harbour

Extending Prohibition Screening

Oracle Financial Services Transaction Filtering, as delivered, allows for prohibition screening against Nationality and Residency for Individuals and [country of] Operation and [country of] Registration for Entities. Additional prohibition types can be added as follows:

- Create new entries in the prohibition reference data with a new Prohibition Type name, for example "Employment Country".
- [Batch screening only] Extend the customer data preparation process to create a new attribute, for example `dnEmploymentCountryCode`.
- Edit the appropriate screening process(es), to create the necessary match rules and clusters for the new attribute.

Generating Email for Different Statuses

An Email is generated for a transaction depending on its status.

Following are the types of Email generated:

- Notification Email
- Task Email

Notification Email

A Notification Email is generated for Blocked and Released transactions and the template is as follows:

```
Subject: Notification-<id>-Issue Identified - New issue assigned to you

Hi TFSUPERVISOR,
This is to inform you that a Notification is generated for you in your inbox for
Notification ID: <id>
Transaction Type: <Message Type>
Message Reference: <Message Reference>
Status: <Blocked/Released>
User Comments: <User comments>
Received On: 2017-07-25 12:03:19.0

Please access the below link to logon to Transaction Filtering System.
<Application URL>

Regards,
Admin
```

Task Email

A Task Email is generated for Hold and Escalated transactions and the template is as follows:

```
Subject: Taskid-<id>-Issue Identified - New issue assigned to you

Hi TFSUPERVISOR/TFANALYST,
This is to inform you that a Notification is generated for you in your inbox for
Task ID: <id>
Transaction Type: <Message Type>
Message Reference: <Message Reference>
Status: <Hold/Escalated>
User Comments: <User comments>       applicable to escalated only
Received On: 2017-07-25 12:03:19.0

Please access the below link to logon to Transaction Filtering System.
<Application URL>
```

```
Regards,
Admin
```

Configuring Operating Model - Multi Jurisdiction and Multi Business Unit Implementation

Alerts are segregated based on the following two dimensions:

- Jurisdiction
- Business Unit/ Line of Business
- Configuring Jurisdictions and Business Domains

Jurisdiction

Jurisdictions are used to limit user access to data in the database. The user must load all jurisdictions and associate user groups to jurisdictions in the tables as specified in *Configuring Operating Model - Multi Jurisdiction and Multi Business Unit Implementation*. User groups can be associated with one or more jurisdictions.

Note: All jurisdictions in the system reside in the `FCC_SWIFT_JSRDSN_MAP` table.

In the Investigation User interface system, users can view only data or alerts associated with jurisdictions to which they have access. You can use a jurisdiction to divide data in the database. For example:

- **Geographical**: Division of data based on geographical boundaries, such as countries, states, and so on.
- **Organizational**: Division of data based on different legal entities that compose the client's business.
- **Other**: Combination of geographic and organizational definitions. In addition, it can be customized.

  The definition of jurisdiction varies from between users. For example, a user can refer to a branch BIC as jurisdiction and another user can refer to customer ID as jurisdiction.

Business Unit/ Line of Business

Business domains are used to limit data access. Although the purpose is similar to jurisdiction, they have a different objective. The business domain is used to identify records of different business types such as Private Client verses Retail customer, or to provide more granular restrictions to data such as employee data.

The user must load all business domains and associate user groups to business domains in the tables as specified in *Configuring Operating Model - Multi Jurisdiction and Multi Business Unit Implementation*.

If a user has access to any of the business domains that are on a business record, the user can view that record.

Note: All business domains in the system reside in the `FCC_SWIFT_BUS_DMN_MAP` table.

Configuring Jurisdictions and Business Domains

The default Sanctions groups are `tfanalytgroup` and `tfsupervisorgrp`. According to the ready-to-use product, these groups get all alerts and notifications for all jurisdictions and business domains. To configure the alerts:

1. Load all the jurisdictions. To do this, run the query `SELECT * FROM FCC_SWIFT_JSRDSN_MAP` and load the jurisdictions in the `V_JRSDCN_CD` column in the `FCC_SWIFT_JSRDSN_MAP` table.

   The following columns are provided in order to populate any additional information:

Column	Data Type and Length
V_EXTRACTED_SWIFT_FIELD	VARCHAR2(100 CHAR)
V_JRSDCN_CD	VARCHAR2(40 CHAR)
V_CUST_COLUMN_1	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_2	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_3	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_4	VARCHAR2(4000 CHAR)
N_CUST_COLUMN_1	NUMBER(20)
N_CUST_COLUMN_2	NUMBER(20)
N_CUST_COLUMN_3	NUMBER(20)
N_CUST_COLUMN_4	NUMBER(20)

2. Load all the business domains in the `V_BUS_DMN_CD` column in the `FCC_SWIFT_BUS_DMN_MAP` table.

   The following columns are provided in order to populate any additional information:

Column	Data Type and Length
V_EXTRACTED_SWIFT_FIELD	VARCHAR2(100 CHAR)
V_JRSDCN_CD	VARCHAR2(40 CHAR)
V_CUST_COLUMN_1	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_2	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_3	VARCHAR2(4000 CHAR)
V_CUST_COLUMN_4	VARCHAR2(4000 CHAR)
N_CUST_COLUMN_1	NUMBER(20)
N_CUST_COLUMN_2	NUMBER(20)
N_CUST_COLUMN_3	NUMBER(20)
N_CUST_COLUMN_4	NUMBER(20)

3. Map user groups to the appropriate jurisdiction and business domain. To do this, run the query `SELECT * FROM DOMAIN_JUR_GRP_MAP` and do the maping in the `DOMAIN_JUR_GRP_MAP` table.

   In the case of multiple jurisdictions to a single user group, create as many rows as the number of jurisdictions and add the new jurisdiction in each row for the same user group.

   In the case of multiple business domains for the same user group and same jurisdiction, create as many rows as the number of business domains and add the new business domain in each row for the same user group and jurisdiction.

4. Put the appropriate SQL query in the `Message_jurisdiction` and `Message_Business_Domain` rows to derive the jurisdiction and business domain respectively in the `Setup_Rt_Params` table.

   This step is required to define the source of jurisdiction and business domain from the message or an external source.

   The definition and source of jurisdiction and business domain is different for each customer. In this way, the Transaction Filtering application gives the flexibility to the user to pick any attribute of the message to define the jurisdiction and business domain. For example, jurisdiction can be the BIC present in block 1/block 2 of the SWIFT message or the branch ID present in the SWIFT GPI header.

   The ready-to-use application has the ability to extract some of the key fields of the message, which are available in the `fsi_rt_al_msg_tag` table. If the customer wants to use any field as a jurisdiction or business domain from this table, then an SQL query must be written in the `Setup_Rt_Param` table to extract the respective column.

   When a message is posted, the system updates the jurisdiction and business domains extracted in step 4 in the `FSI_RT_RAW_DATA` and `FSI_RT_ALERTS` tables.

CHAPTER 5 Configuring Risk Scoring Rules

This chapter provides a brief overview on configuring Risk Scoring Rules for OFS Transaction Filtering. These rules are configured in OFS Inline Processing Engine (IPE).

This section covers the following topic:

- Configuring Rules in IPE

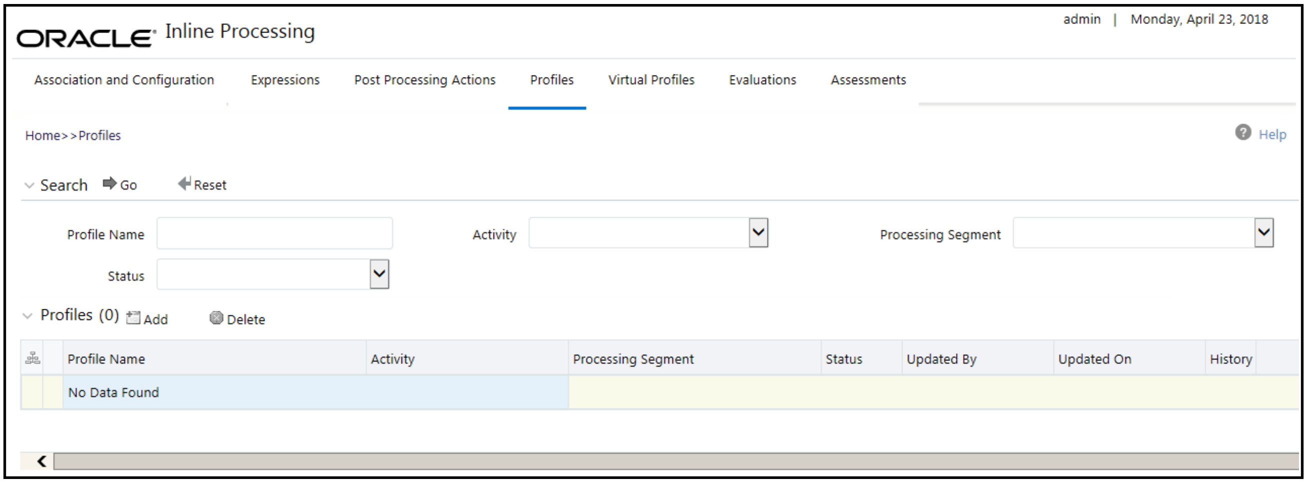
Configuring Rules in IPE

OFS Transaction Filtering has a few business rules pre-configured. The following steps show the pre-configured business rules. Additionally, you can create your business rules based on the requirements using the same procedure.

Note: The screenshots shown for the steps below are taken for existing tables. You can perform similar steps for newly added tables.

To configure rules in IPE, follow these steps:

1. Navigate to the Oracle Financial Services Sanctions application home page.
2. Click **Inline Processing**. The *Inline Processing* page appears.

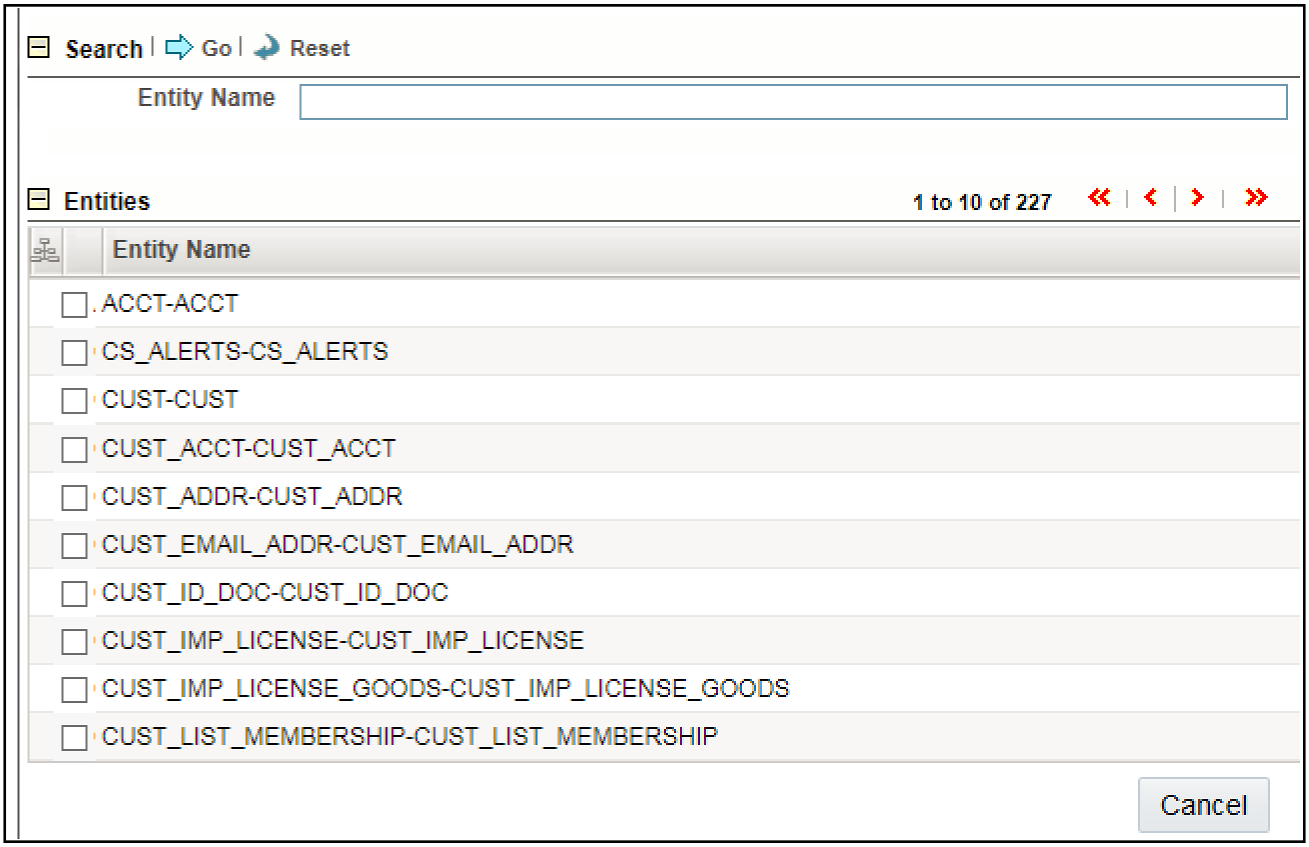


Profile Name	Activity	Processing Segment	Status	Updated By	Updated On	History
No Data Found						

Figure 32. Inline Processing Page

3. Import data model tables to Inline Processing. To import a Table, follow these steps:
   a. Click the **Business Entities** sub-menu in the **Association and Configuration** menu.
   b. Click **Import Entity**.

   By default, all the tables defined in the data model are displayed. The Entity name is displayed in the format *<Logical Name>-<Physical Name>*.



□ ACCT-ACCT
□ CS_ALERTS-CS_ALERTS
□ CUST-CUST
□ CUST_ACCT-CUST_ACCT
□ CUST_ADDR-CUST_ADDR
□ CUST_EMAIL_ADDR-CUST_EMAIL_ADDR
□ CUST_ID_DOC-CUST_ID_DOC
□ CUST_IMP_LICENSE-CUST_IMP_LICENSE
□ CUST_IMP_LICENSE_GOODS-CUST_IMP_LICENSE_GOODS
□ CUST_LIST_MEMBERSHIP-CUST_LIST_MEMBERSHIP

Figure 33. Import Entity

c. Select an entity, the Business Entity fields are enabled.

d. Enter the following details:

Table 13. Business Entity Fields

Field	Description
Business Name	Enter a distinct Business Name of the Entity. By default, the Business Name is populated as the logical name provided for the Table in the data model. The details of this field can be modified.
Entity Type	Select the Entity Type from the drop-down list. The following entity types are available: ● **Activity**: Select a table as Activity if the data is to be processed by IPE as a part of assessment execution. To use Activity as a Reference, relevant Inline Datasets and Traversal Paths should be created. For example, if wire transaction and cash transaction are two activities, then there should be inline datasets created for them and a traversal path connecting the two. ● **Reference**: Select a table as Reference if the table has static values for IPE. A reference data cannot be processed by IPE. ● **Lookup**: Select a table as Lookup if it is used as a scoring table in Evaluations. This can be used as a Reference. **Note:** Once a table is imported, you cannot change the entity type of the table.
Processing Segment	Select the Processing Segment from the multi-select drop-down list.

Table 13. Business Entity Fields

Field	Description
Set Primary Key Attribute	Select the Primary Key Attribute from the drop-down list. This shows all the columns of the table. This is a unique attribute of the table which is imported. It is a mandatory field. **Note:** Composite Primary Keys are not supported.
Set Sequence ID Attribute	Select the sequence ID attribute from the drop-down list. This is a unique attribute that helps in identifying the ID of the Activity Table. The results of IPE will provide the Sequence ID. This is a mandatory field if it is an activity. The Sequence ID will be auto-populated by the IPE Engine if it is a real time mode. In batch mode, this value is pre-populated and should be unique. **Note:** This field is enabled if you select **Activity** as the Entity Type.
DB Sequence Name	Enter the DB sequence name. A DB Sequence has to be created in the Atomic Schema. The name of that Sequence has to be provided in this field. It is not a mandatory field and it is applicable for Real time processing. **Note:** This field is enabled if you select **Activity** as the Entity Type.
Set Processing Status Attribute	Select the processing status attribute from the drop-down list. This attribute will be updated by IPE to indicate the result of the assessments, if it has passed or failed. It is not a mandatory field and it is applicable for Real time processing. **Note:** This field is enabled if you select **Activity** as the Entity Type.
Set Processing Period Attribute	Select the processing period attribute from the drop-down list. This attribute defines the date or time when the activity has occured. For example, Transaction Time. **Note:** This field is enabled if you select **Activity** as the Entity Type.
Score Attribute	Select the Score Attribute from the drop-down list. This attribute can be used in evaluation scoring. **Note:** This field is enabled if you select **Lookup** as the Entity Type.

e. Click **Save**.

4. Add a business entity.To do this, follow these steps:

a. Click the **Business Entities** sub-menu in the **Association and Configuration** menu.

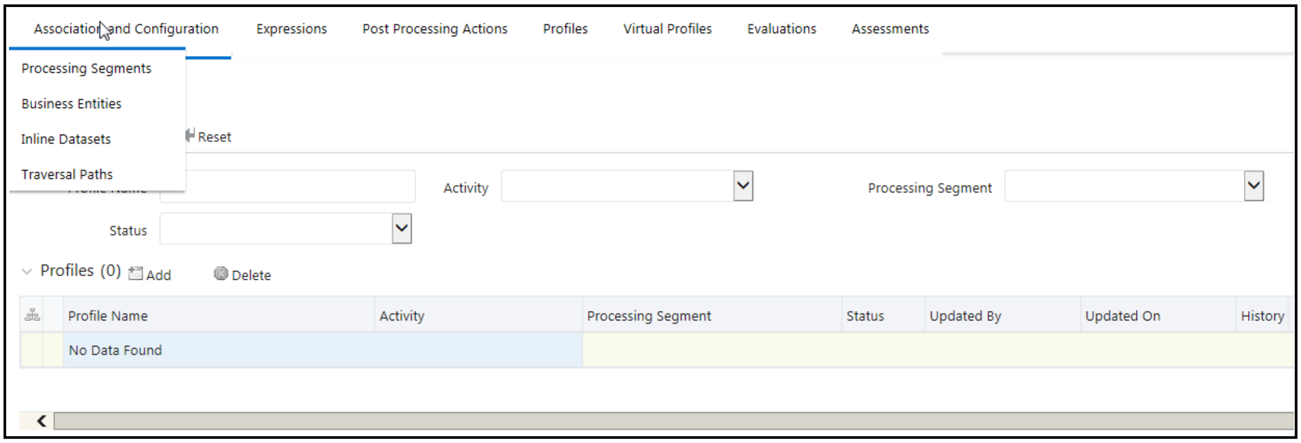


Figure 34. Business Entities Sub-Menu

b. Select the newly added table from drop down 'Entity Name'.

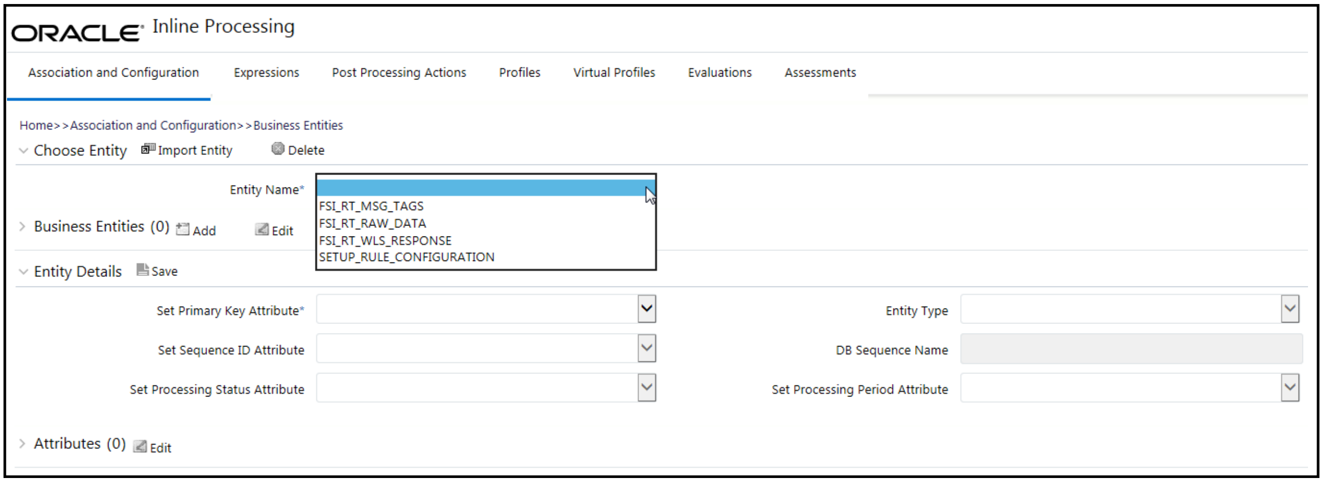
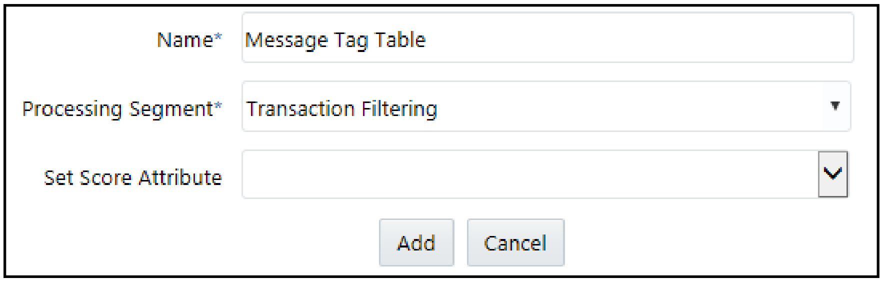


Figure 35. Add a Business Entity

c. Click **Add**.

d. Enter the name, processing segment, and score attribute for the business entity.



Name* Message Tag Table

Processing Segment* Transaction Filtering

Set Score Attribute

Figure 36. Business Entity Details

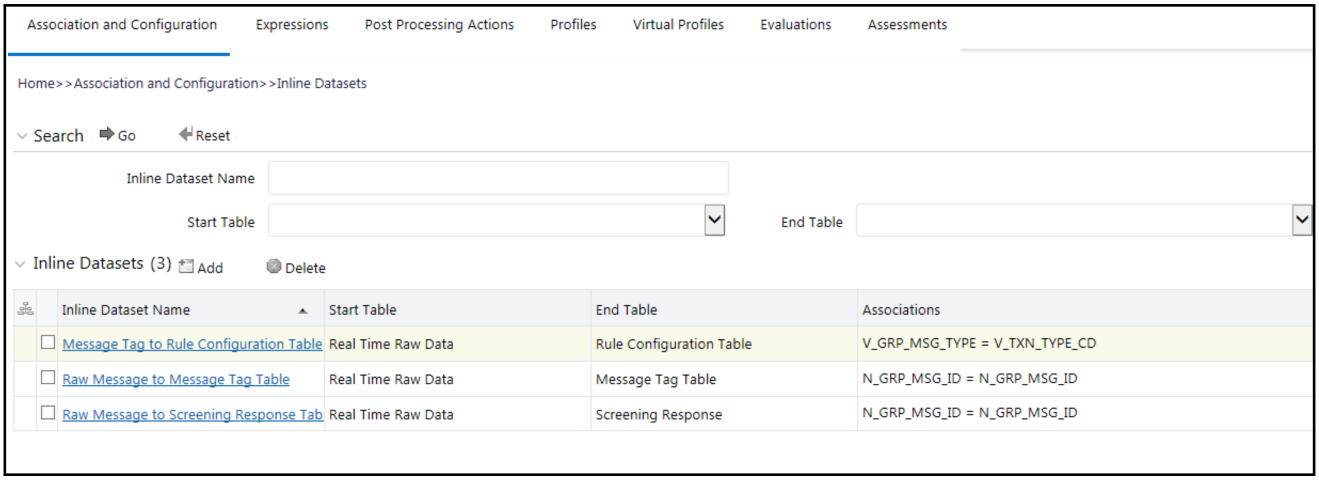
e. Click **Add**. The new parameter is added to the list of Business Entities in the Business Entities page.

5. Add the following joins in IPE from the Inline Datasets sub-menu in the Association and Configuration menu:

- Message Tag to Rule Configuration Table. This is required to associate the real time raw data to the Rule Configuration tables
- Raw Message to Message Tag table. This is required to associate the real time raw data to the Message Tag table.
- Raw Message to Screening Response Table: This is required to associate the real time raw data to the Screening Response table.

To add a join, follow these steps:

a. In the *Inline Datasets* page, click **Add**.



Inline Dataset Name

Start Table

End Table

Inline Datasets (3) Add Delete

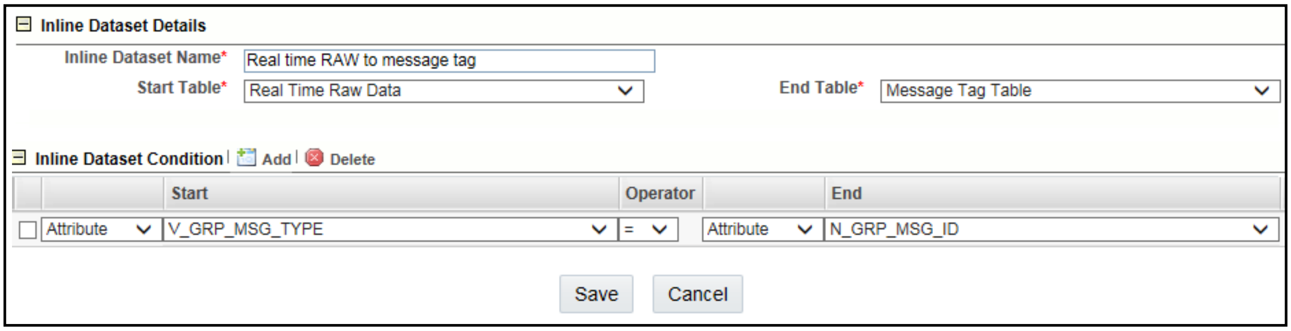
	Inline Dataset Name	Start Table	End Table	Associations
□	Message Tag to Rule Configuration Table	Real Time Raw Data	Rule Configuration Table	V_GRP_MSG_TYPE = V_TXN_TYPE_CD
□	Raw Message to Message Tag Table	Real Time Raw Data	Message Tag Table	N_GRP_MSG_ID = N_GRP_MSG_ID
□	Raw Message to Screening Response Tab	Real Time Raw Data	Screening Response	N_GRP_MSG_ID = N_GRP_MSG_ID

Figure 37. Inline Datasets Sub-Menu

b. Enter a name for the inline dataset.

c. In the Start Table field, select **Real Time Raw Data**.

d. In the End Table field, select **Rule Configuration Table**.



Inline Dataset Details

Inline Dataset Name*: Real time RAW to message tag

Start Table*: Real Time Raw Data

End Table*: Message Tag Table

Inline Dataset Condition Add Delete

		Start	Operator		End
□	Attribute	V_GRP_MSG_TYPE	=	Attribute	N_GRP_MSG_ID

Figure 38. Adding an Inline Dataset

e. Click **Add**.

f. Select the values for the dataset condition as shown in the figure.

g. Click **Save**. The new dataset is added to the list of Inline Datasets in the Inline Datasets page.

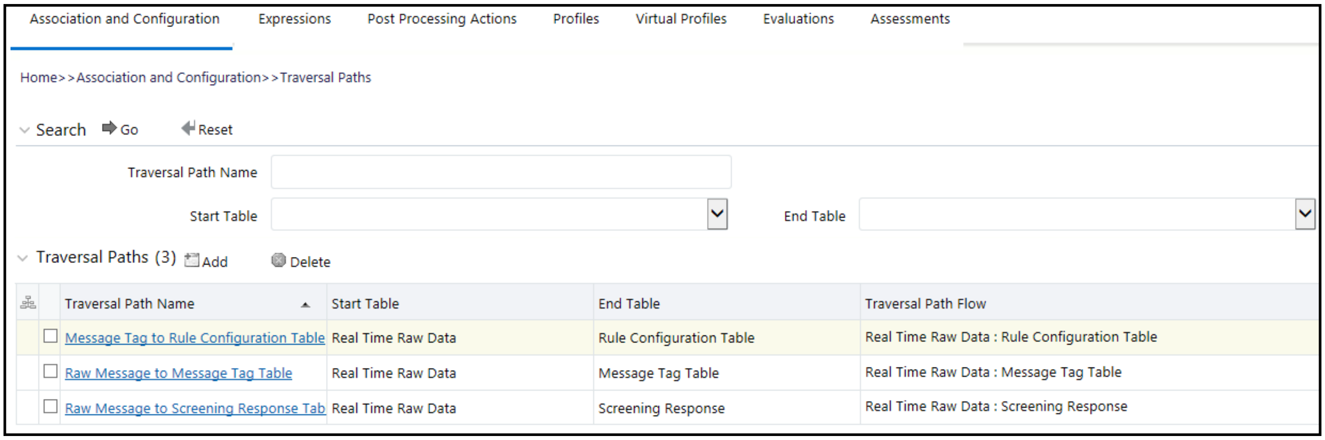
Note: To view the results of the newly added values, use Search.

6. Add a traversal path for each join defined in the Inline Datasets sub-menu.

   To add a traversal path, follow these steps:

   a. Click the **Traversal Paths** sub-menu in the **Association and Configuration** menu.

   b. In the *Traversal Paths* page, click **Add**.



Traversal Path Name

Start Table

End Table

Traversal Paths (3)

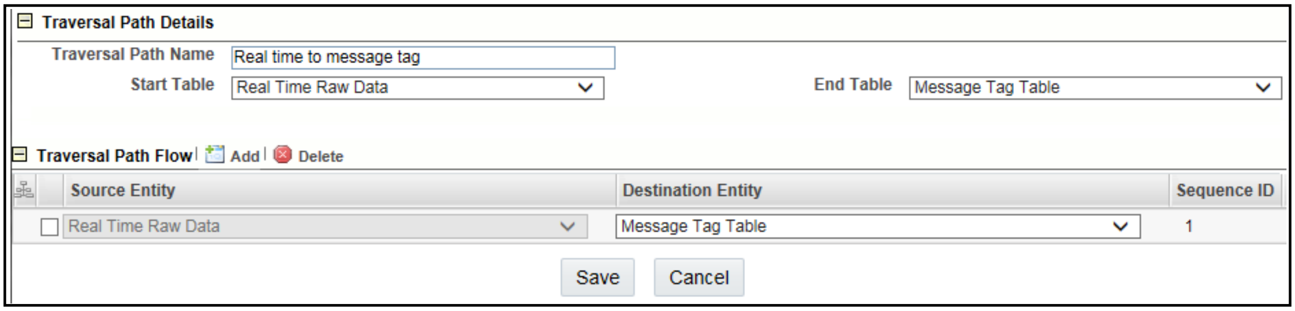
Traversal Path Name	Start Table	End Table	Traversal Path Flow
□ Message Tag to Rule Configuration Table	Real Time Raw Data	Rule Configuration Table	Real Time Raw Data : Rule Configuration Table
□ Raw Message to Message Tag Table	Real Time Raw Data	Message Tag Table	Real Time Raw Data : Message Tag Table
□ Raw Message to Screening Response Tab	Real Time Raw Data	Screening Response	Real Time Raw Data : Screening Response

Figure 39. Traversal Paths Sub-Menu

c. Enter a name for the traversal path.

d. In the Start Table field, select **Real Time Raw Data**.

e. In the End Table field, select **Rule Configuration Table**.



Traversal Path Details

Traversal Path Name: Real time to message tag

Start Table: Real Time Raw Data

End Table: Message Tag Table

Traversal Path Flow

Source Entity	Destination Entity	Sequence ID
□ Real Time Raw Data	Message Tag Table	1

Figure 40. Adding a Traversal Path

f. Click **Add**.

g. Select the values for the traversal path flow as shown in the figure.

h. Click **Save**. The new path is added to the list of traversal paths in the Traversal Paths page.

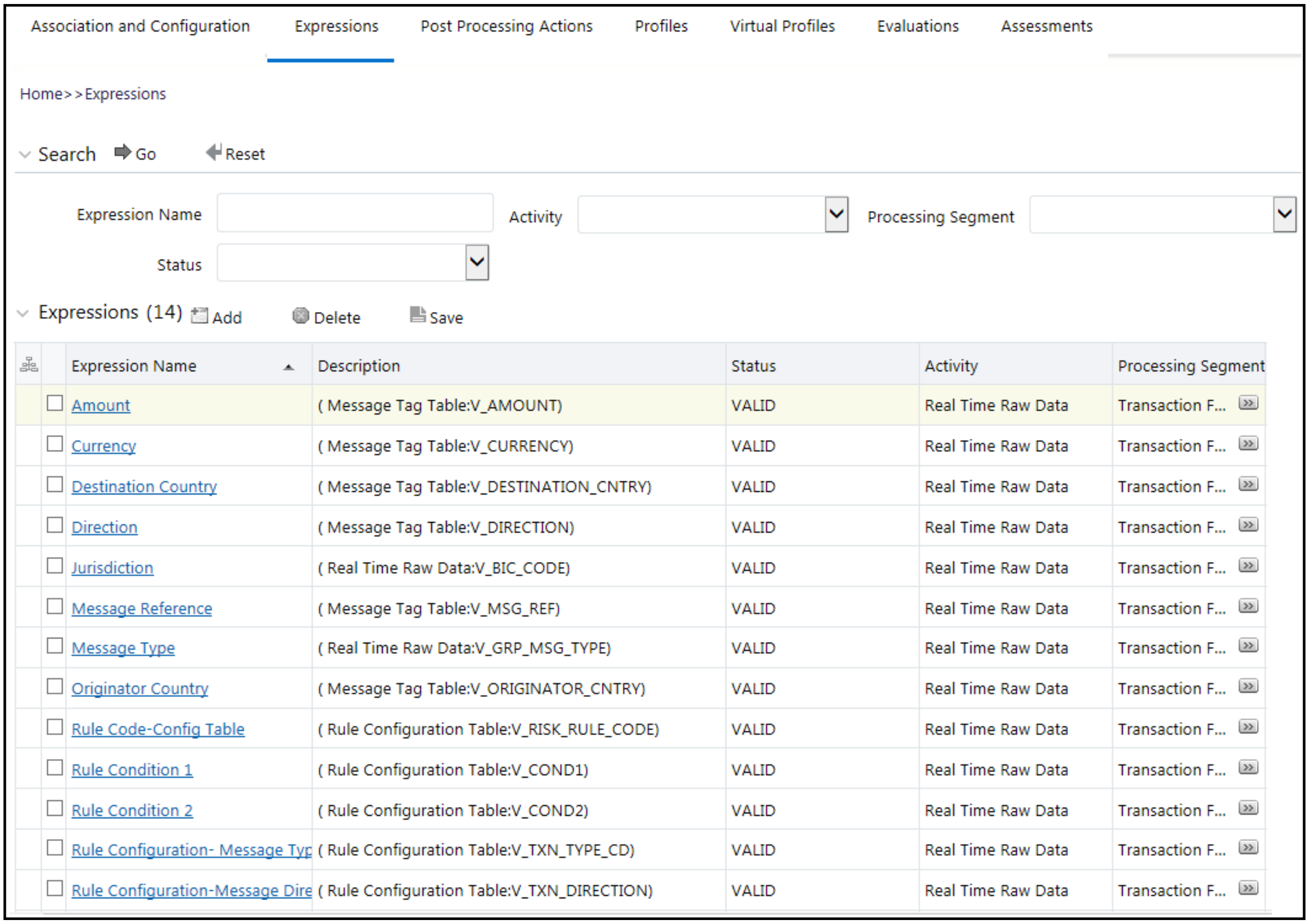
7. Add an Expression on the risk score column of the newly created business entity which is to be scored as a risk parameter from the Expressions menu. Two expressions need to be created:

- The first expression is for the column which holds the value of the new risk parameter
- The second expression is for the calculations that are needed to derive the risk score

To add an expression, follow these steps:

a. Click the **Expressions** menu.

b. In the *Expressions* page, click **Add**.



Association and Configuration | Expressions | Post Processing Actions | Profiles | Virtual Profiles | Evaluations | Assessments

Home> >Expressions

Search Go Reset

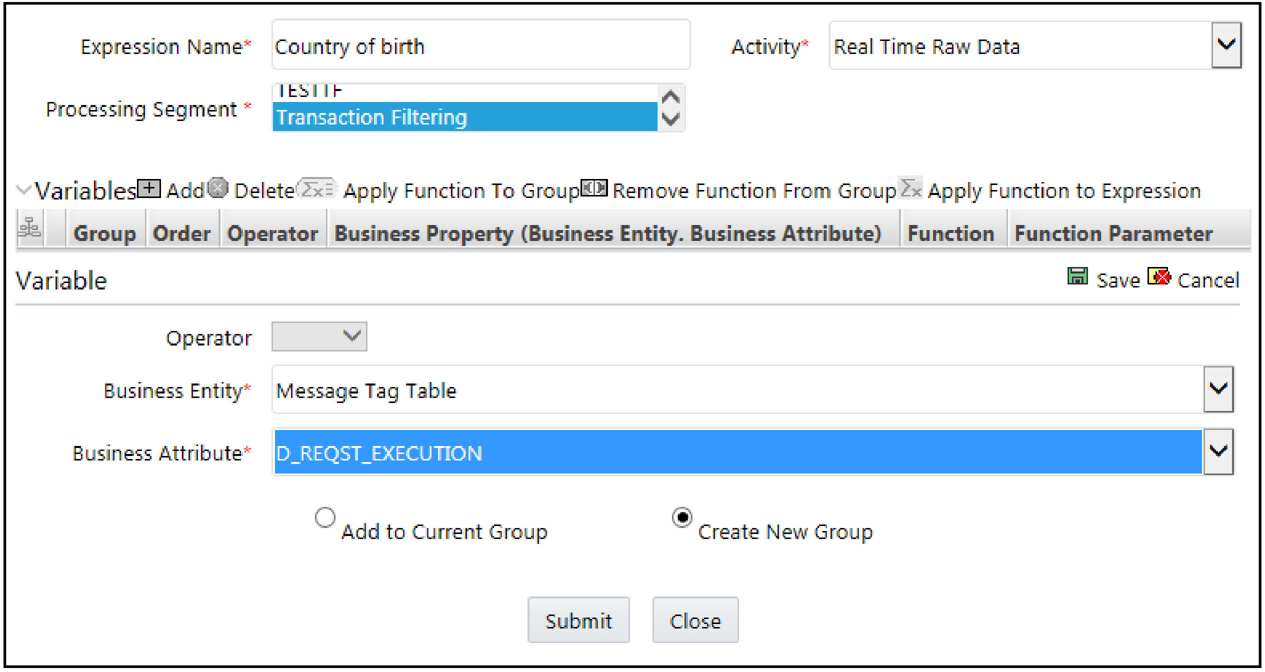
Expression Name
Activity
Processing Segment
Status

Expressions (14) Add Delete Save

	Expression Name	Description	Status	Activity	Processing Segment
□	Amount	(Message Tag Table:V_AMOUNT)	VALID	Real Time Raw Data	Transaction F...
□	Currency	(Message Tag Table:V_CURRENCY)	VALID	Real Time Raw Data	Transaction F...
□	Destination Country	(Message Tag Table:V_DESTINATION_CNTRY)	VALID	Real Time Raw Data	Transaction F...
□	Direction	(Message Tag Table:V_DIRECTION)	VALID	Real Time Raw Data	Transaction F...
□	Jurisdiction	(Real Time Raw Data:V_BIC_CODE)	VALID	Real Time Raw Data	Transaction F...
□	Message Reference	(Message Tag Table:V_MSG_REF)	VALID	Real Time Raw Data	Transaction F...
□	Message Type	(Real Time Raw Data:V_GRP_MSG_TYPE)	VALID	Real Time Raw Data	Transaction F...
□	Originator Country	(Message Tag Table:V_ORIGINATOR_CNTRY)	VALID	Real Time Raw Data	Transaction F...
□	Rule Code-Config Table	(Rule Configuration Table:V_RISK_RULE_CODE)	VALID	Real Time Raw Data	Transaction F...
□	Rule Condition 1	(Rule Configuration Table:V_COND1)	VALID	Real Time Raw Data	Transaction F...
□	Rule Condition 2	(Rule Configuration Table:V_COND2)	VALID	Real Time Raw Data	Transaction F...
□	Rule Configuration- Message Typ	(Rule Configuration Table:V_TXN_TYPE_CD)	VALID	Real Time Raw Data	Transaction F...
□	Rule Configuration-Message Dire	(Rule Configuration Table:V_TXN_DIRECTION)	VALID	Real Time Raw Data	Transaction F...

Figure 41. Expressions Menu

c. For the first expression, enter a name for the expression and select the values as shown in the figure.



Expression Name* Country of birth

Activity* Real Time Raw Data

Processing Segment * TESTTF / Transaction Filtering

Variables ⊞ Add ⊗ Delete Apply Function To Group Remove Function From Group Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity. Business Attribute)	Function	Function Parameter

Variable — Save Cancel

Operator

Business Entity* Message Tag Table

Business Attribute* D_REQST_EXECUTION

○ Add to Current Group ● Create New Group

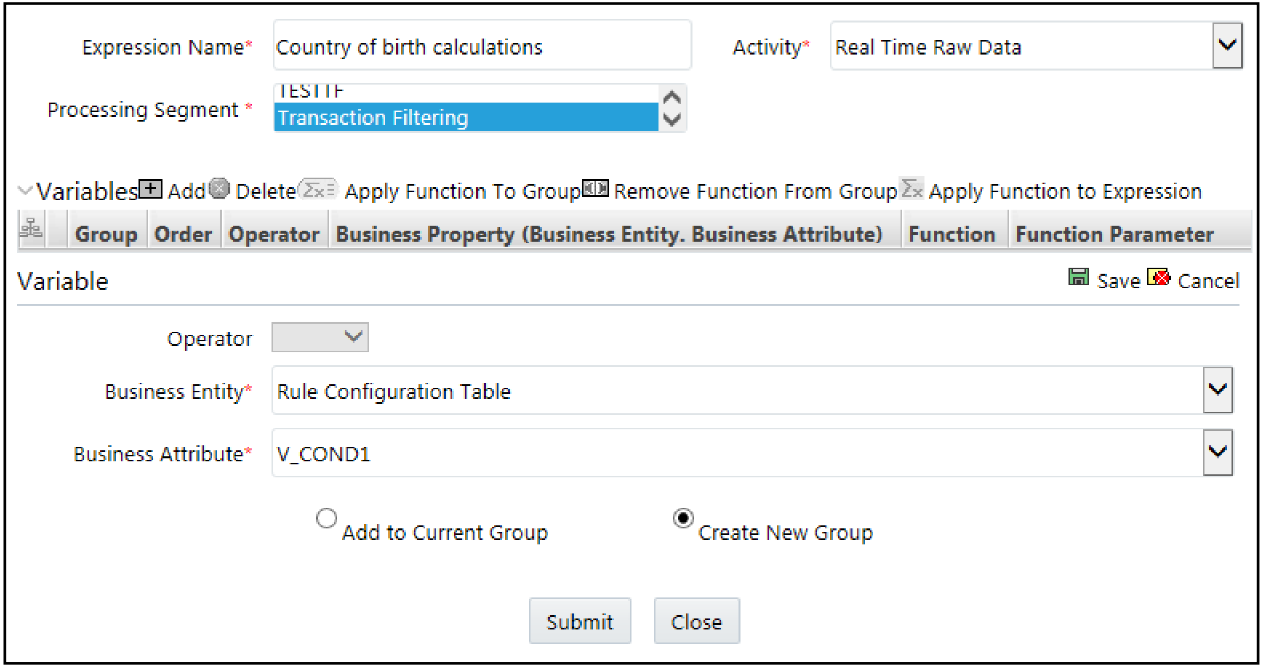
Submit Close

Figure 42. Adding the First Expression

d. Select the business entity and the business attribute where the value of the new parameter resides.

e. Click **Save**. The variable is displayed.

f. For the second expression, enter a name for the expression and select the values as shown in the figure.



Expression Name* Country of birth calculations

Activity* Real Time Raw Data

Processing Segment * TESTTF / Transaction Filtering

Variables ⊞ Add ⊗ Delete Apply Function To Group Remove Function From Group Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity. Business Attribute)	Function	Function Parameter

Variable — Save Cancel

Operator

Business Entity* Rule Configuration Table

Business Attribute* V_COND1

○ Add to Current Group ● Create New Group

Submit Close

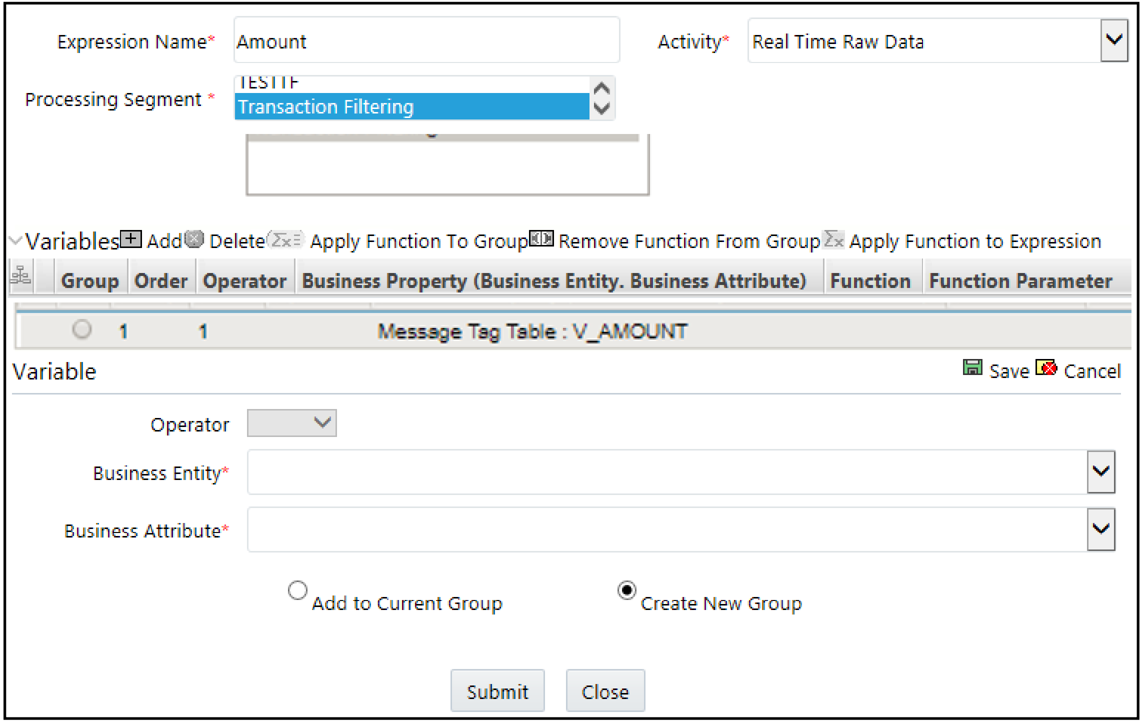
Figure 43. Adding the Second Expression

g. Click **Save**.

h. Select the Group 1 radio button.

i. Click **Apply Function To Group**.

j. Select the required values and click **Submit**.



Expression Name*: Amount
Activity*: Real Time Raw Data
Processing Segment *: TESTTF, Transaction Filtering

Group	Order	Operator	Business Property (Business Entity. Business Attribute)	Function	Function Parameter
○ 1	1		Message Tag Table : V_AMOUNT		

Variable

Operator:
Business Entity*:
Business Attribute*:

○ Add to Current Group ● Create New Group

Figure 44. Apply Function To Group

k. Click **Submit**. The new expression is added to the list of expressions in the Expressions page.

8. Add the following five evaluations from the Evaluations Menu. There are five pre-configured evalutions as sample risk rules. You can define new rules according to your requirement using the expressions defined in previous steps:

a. Risk-Currency VS Amount Threshold Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 25.

Note: This score is configurable.

Table 14. Risk-Currency VS Amount Threshold Evaluation

Sl.No	Filter Name	Filter Clause
1	Amount	10000
2	Currency	USD
3	Jurisdiction	CHASUS33XXX
4	Direction	'INBOUND','OUTBOUND'
5	Message Type	'MT101', 'MT103', 'MT202COV', 'MT202'

b. Risk-High Risk Destination Country Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 20.

Note: This score is configurable.

Table 15. Risk-High Risk Destination Country Evaluation

Sl.No	Filter Name	Filter Clause
1	Amount	10000
2	Currency	EUR
3	Destination Country	CHASUS33XXX
4	Direction	'INBOUND','OUTBOUND'
5	Message Type	'MT101', 'MT103', 'MT202COV', 'MT202'

c. Risk-High Risk Originator Country Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 20.

Note: This score is configurable.

Table 16. Risk-High Risk Originator Country Evaluation

Sl.No	Filter Name	Filter Clause
1	Amount	10000
2	Currency	EUR
3	Originator Country	'TH', 'PK'
4	Direction	'INBOUND'
5	Message Type	'MT101', 'MT103', 'MT202COV', 'MT202'

d. Risk-Watchlist Screening Evaluation

This evaluation/risk rule returns the match score generated from matching engine. In case of multiple matches for a given message, it returns the maximum match score.

Note: Matching rules are configured with different match scores in EDQ.

e. Risk-Currency VS Destination Country Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 20.

This evaluation works with reference table 'SETUP_RULE_CONFIGURATION', which is another way of configuring evaluation/risk scoring rule. This evaluation is done using one of the lookup tables from the database. Similarly, you can add more rules using the same table where columns are generalized.

Table 17. Risk-Currency VS Destination Country Evaluation

Sl.No	Filter Name	Filter Clause
1	Rule Name	'TF_CCY_CTRY_RSK'
2	Currency	A value present in the column 'V_COND1' in table 'SETUP_RULE_-CONFIGURATION'
3	Destination Country	A value present in the column 'V_COND2' in table 'SETUP_RULE_-CONFIGURATION
4	Direction	'INBOUND','OUTBOUND'
5	Message Type	'MT101', 'MT103', 'MT202COV', 'MT202'

f. Risk-High Risk Destination Country Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 20.

Table 18. Risk-High Risk Destination Country Evaluation

Sl.No	Filter Name	Filter Clause
1	Amount	10000
2	Currency	‘EUR’
3	Destination Country	‘TH’, ‘PK’
4	Direction	'OUTBOUND'
5	Message Type	'MT101', 'MT103', 'MT202COV', 'MT202'

g. Risk- High Risk Party Evaluation

For all filters conditions mentioned in the table below, if the filter values are met as configured then add a risk score of 40.

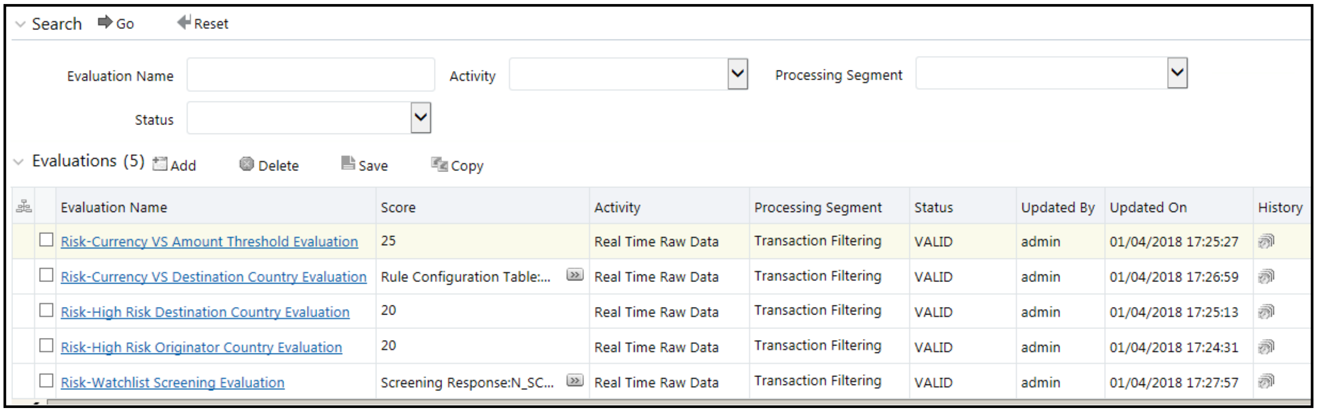
Table 19. Risk- High Risk Party Evalution

Sl.No	Filter Name	Filter Clause
1	Beneficiary Account Number	Rule Configuration Table:V_COND1
2	Rule Name	'TF_HIGH_RSK_PARTY'
3	Message Type	'MT700'
4	Direction	'INBOUND', 'OUTBOUND'

To add an evaluation, follow these steps:

a. Click the **Evaluations** menu.

b. In the *Evaluations* page, click **Add**.



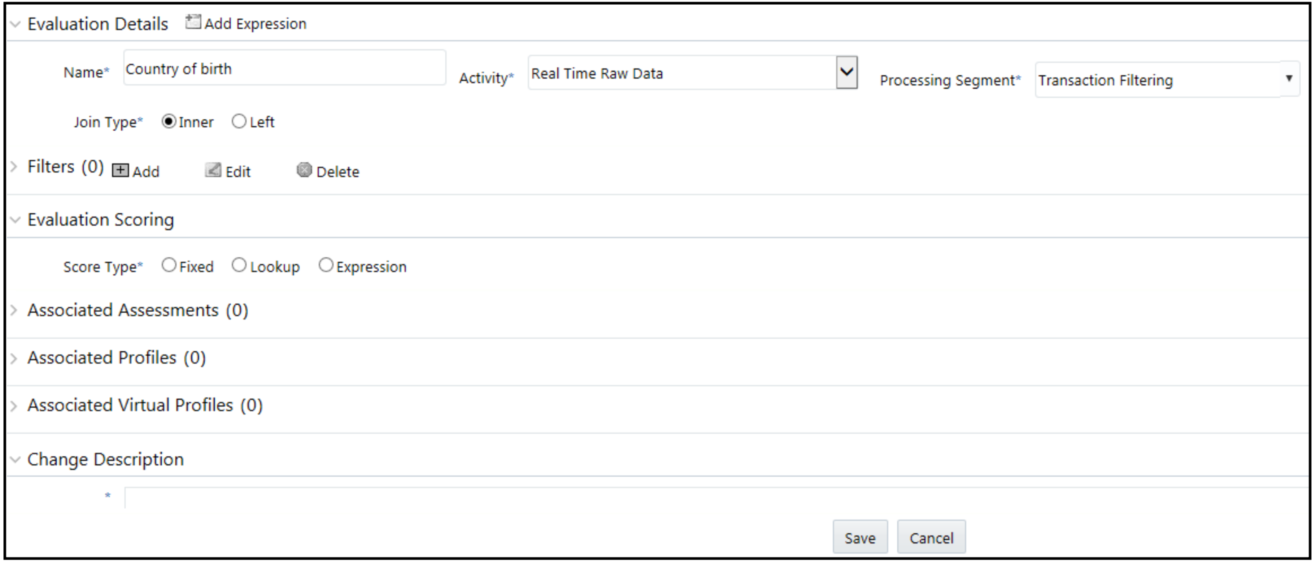
Evaluation Name
Activity
Processing Segment
Status

	Evaluation Name	Score	Activity	Processing Segment	Status	Updated By	Updated On	History
□	Risk-Currency VS Amount Threshold Evaluation	25	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:25:27	
□	Risk-Currency VS Destination Country Evaluation	Rule Configuration Table:...	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:26:59	
□	Risk-High Risk Destination Country Evaluation	20	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:25:13	
□	Risk-High Risk Originator Country Evaluation	20	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:24:31	
□	Risk-Watchlist Screening Evaluation	Screening Response:N_SC...	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:27:57	

Figure 45. Evaluations Menu

c. Enter a name for the evaluation.

d. Select the Activity **Real Time Raw Data** and Processing Segment **Transaction Filtering**.



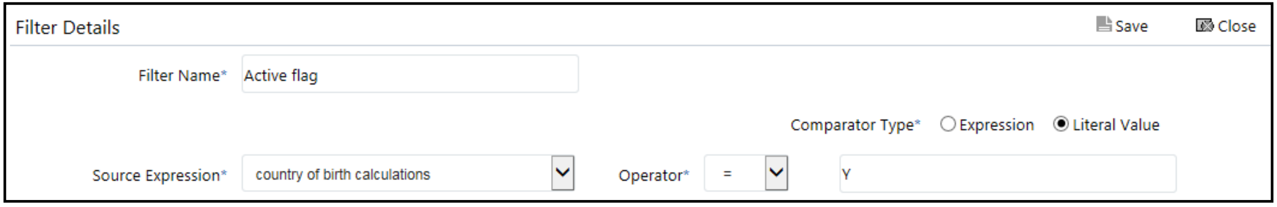
Name* Country of birth
Activity* Real Time Raw Data
Processing Segment* Transaction Filtering
Join Type* ● Inner ○ Left

Score Type* ○ Fixed ○ Lookup ○ Expression

Figure 46. Adding an Evaluation

e. To add filters for the evaluation, click **Add**.

f. Select the values according to the below figure and click **Save**:



Filter Name* Active flag
Comparator Type* ○ Expression ● Literal Value
Source Expression* country of birth calculations
Operator* =
Y

Figure 47. Adding an Evaluation

g. Select the expression that you have created for the calculation of the risk score.

h. Click **Save**.

9. Create an Assessment for the above five Evaluations.

There are five evaluations preconfigured under a single assessment 'Transaction Filtering Assessment' and all five evaluations are enabled by default for the risk scoring. You can choose the number of evaluation for the risk score calculation. This risk score is displayed in the investigation UI for the given message.

Note: You can adjust the risk score for any given evaluation dependingon the requirement but it should be within 40, because match rule score configuration starts with 45 and match score should always have high weightage than individual evaluation risk score.

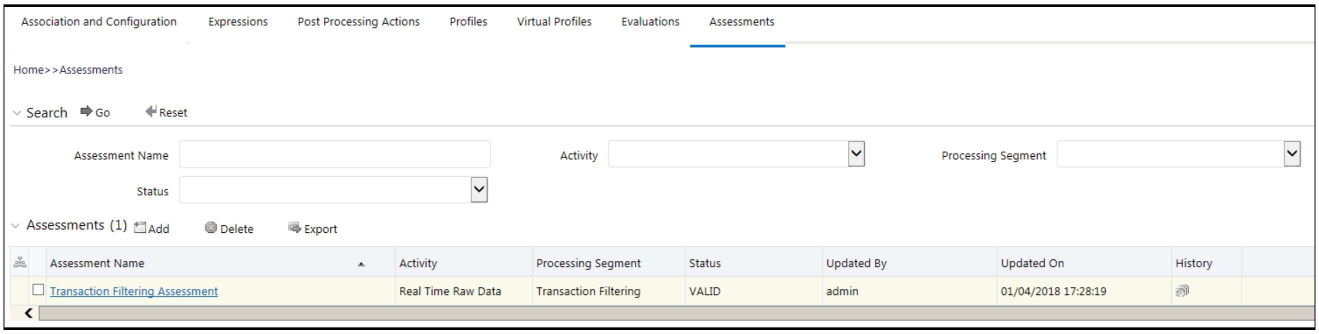
Risk score calculation at Assessment level is as follows:

- Total risk score of a message is the sum of all risk scores derived from configured evaluations/risk rules including match score.
- In case of multiple transactions, risk score is the sum of all risk scores derived from different evaluations across transactions.
- If same evaluation is true for multiple transactions within a message then the score is considered once and the maximum one is considered.
- If different evaluations are true for different transactions then it sums up all the risk scores across transactions within a message.

To add an Assessment, follow these steps:

a. Click the **Assessments** menu.

b. In the *Assessments* page, click **Add**.



Assessment Name	Activity	Processing Segment	Status	Updated By	Updated On	History
□ Transaction Filtering Assessment	Real Time Raw Data	Transaction Filtering	VALID	admin	01/04/2018 17:28:19	

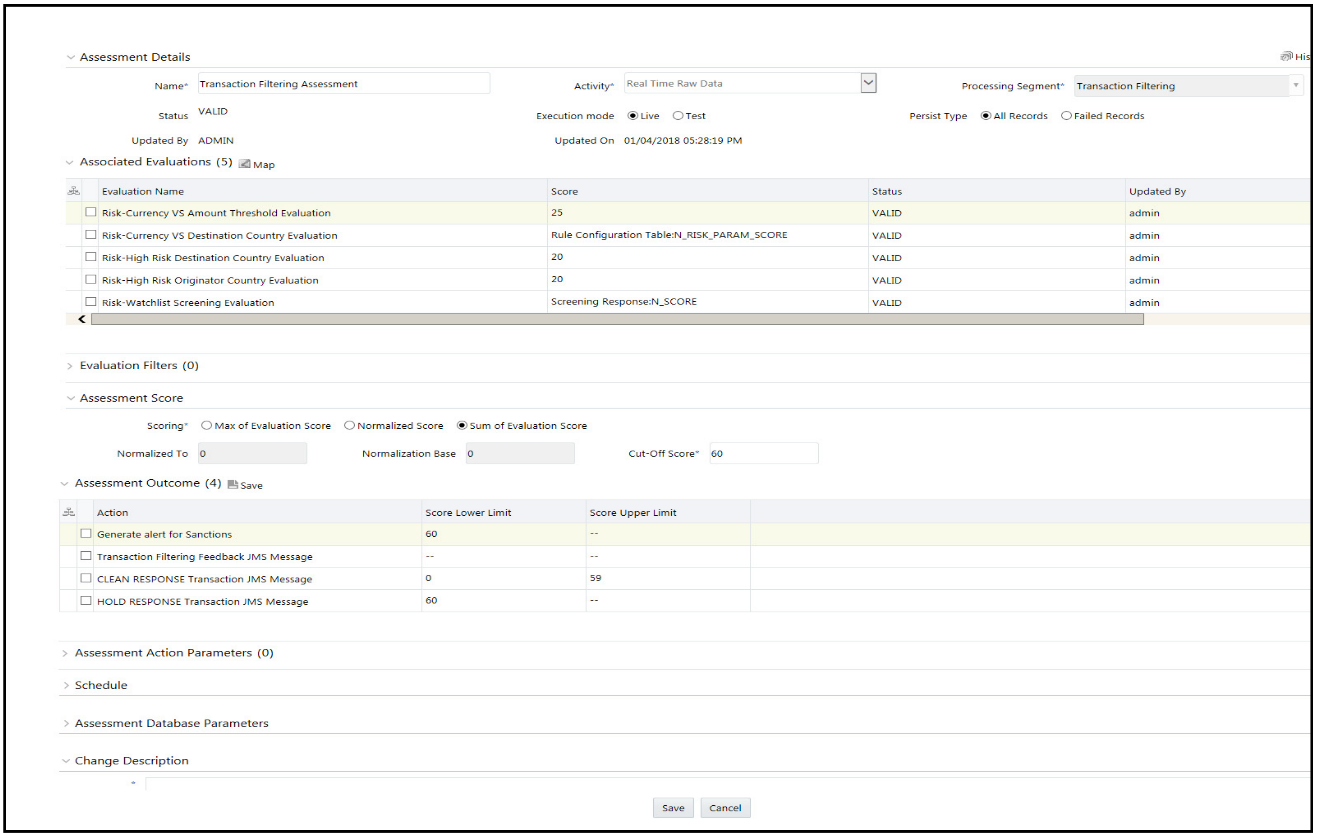
Figure 48. Assessments Menu

c. Add the Assessment details according to the following table and the following figure:

Table 20. Assessment Details

Sl.No	Evaluation Name	Score
1	Risk-Currency VS Amount Threshold Evaluation	25
2	Risk-High Risk Destination Country Evaluation	20
3	Risk-High Risk Originator Country Evaluation	20
4	Risk-Watchlist Screening Evaluation	Maximum of match score returned from matching engine
5	Risk-High Risk Destination Country Evaluation	20 (driven from reference table)
6	Risk- High Risk Party Evaluation	40 (driven from reference table)

7	Risk-Currency VS Destination Country Evaluation	20



Assessment Details

Name* Transaction Filtering Assessment

Activity* Real Time Raw Data

Processing Segment* Transaction Filtering

Status VALID

Execution mode ● Live ○ Test

Persist Type ● All Records ○ Failed Records

Updated By ADMIN

Updated On 01/04/2018 05:28:19 PM

Associated Evaluations (5) Map

	Evaluation Name	Score	Status	Updated By
□	Risk-Currency VS Amount Threshold Evaluation	25	VALID	admin
□	Risk-Currency VS Destination Country Evaluation	Rule Configuration Table:N_RISK_PARAM_SCORE	VALID	admin
□	Risk-High Risk Destination Country Evaluation	20	VALID	admin
□	Risk-High Risk Originator Country Evaluation	20	VALID	admin
□	Risk-Watchlist Screening Evaluation	Screening Response:N_SCORE	VALID	admin

Evaluation Filters (0)

Assessment Score

Scoring* ○ Max of Evaluation Score ○ Normalized Score ● Sum of Evaluation Score

Normalized To 0

Normalization Base 0

Cut-Off Score* 60

Assessment Outcome (4) Save

	Action	Score Lower Limit	Score Upper Limit
□	Generate alert for Sanctions	60	--
□	Transaction Filtering Feedback JMS Message	--	--
□	CLEAN RESPONSE Transaction JMS Message	0	59
□	HOLD RESPONSE Transaction JMS Message	60	--

Assessment Action Parameters (0)

Schedule

Assessment Database Parameters

Change Description

*

Figure 49. Adding an Assessment

CHAPTER 6 Creating JSON

OFS Transaction Filtering allows you to add new SWIFT message types and configure the messages by uploading a JSON for a given message type followed by few configurations using admin UI screen. A new JSON is required for each new SWIFT message type and for editing any existing message type. JSON follows SWIFT message standards given in SWIFT document. JSON file should be .txt or .json extensions only.

This chapter provides information on how to create a JSON for SWIFT messages with sequences and for SWIFT messages without sequences. This chapter covers the following topics:

- Structure of a JSON
- Creating JSON for SWIFT Messages with Sequences
- Creating JSON for SWIFT Messages without Sequences
- Creating JSON for SWIFT messages with the List of Values (LOV) Attribute

Note: For information on how to upload a JSON, see *Adding or Updating a New Message Type*.

Structure of a JSON

An example of a JSON is shown below:

```
{
  "message": [
    {
      "attr": {
        "id": "t1",
        "field": "Basic Header Block",
        "status": "",
        "fieldName": "",
        "expression": "",
        "editable": "N"
      },
      "children": [
        {
          "attr": {
            "id": "t1:1",
            "field": "",
            "status": "",
            "fieldName": "Block Identifier",
            "expression": "",
            "editable": "Y",
            "size": "1"
          }
        }
      ]
   }
 ]
}
```

Each JSON should start with a "message" element. Every "message" element is a list of "attr" elements.

Each field/tag in the JSON should be represented by "attr". Every "attr" element in the JSON can have the below mentioned properties.

- id: A unique value that identifies each element
- field: Name of the element as per the Swift document, used at parent level.
- status: It can hold either "M" or "O" ("M" - mandatory ,"O" - optional)

- fieldName: Name of the element as per the Swift document, used at child level.
- expression: Swift expression as per the Swift document
- editable: It can hold either "Y" or "N" ("Y" - editable in Admin UI,"N" - non editable in Admin UI)
- size: This property is applicable for Swift Block 1, Swift Block 2 where data is only positional i.e there is no swift expression for the element

For example:

- An *attr* element which represents the Swift Block Name is shown below:

```
{
"attr":
{
"id":"t1",
"field":"Basic Header Block",
"status":"",
"fieldName":"",
"expression":"",
"editable":"N"
}
}
```

- An *attr* element which represents the Swift Block Tag with a *size* property is shown below:

Note: The *expression* property should be blank for elements that are positional.

```
{
"attr":
{
"id":"t1:1",
"field":"",
"status":"",
"fieldName":"Block Identifier",
"expression":"",
"editable":"Y",
"size":"1"
}
}
```

An *attr* element which represents the Swift Block Tag with an *expression* property is shown below:

```
{
"attr":
{
"id":"t4:1:2:5:2:1",
"field":"",
"status":"",
"fieldName":"Party Identifier",
"expression":"35x",
"editable":"Y"
}
}
```

Each *attr* element in the JSON can have one or more child attributes. *Children* is used as a notation to identify the children of a particular *attr* element.

```
{
  "attr": {
    "id": "t1",
    "field": "Basic Header Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t1:1",
        "field": "",
        "status": "",
        "fieldName": "Block Identifier",
        "expression": "",
        "editable": "Y",
        "size": "1"
      }
  },
    ..........
]
}
```

Creating JSON for SWIFT Messages with Sequences

To create a JSON, follow these steps:

1. Create Message Elements.
2. Configure SWIFT Message Blocks

Creating Message Elements

To create a message element, use the sample code below:

```
{
  "message": [
  {
    Requires tags  ...
  }
  ]
}
```

Configuring SWIFT Message Blocks

To configure a SWIFT message block, follow these steps:

1. Configure the Basic Header Block. See *Configuring the Basic Header Block*.
2. Configure the Application Header Block. See *Configuring the Application Header Block*.
3. Configure the User Header Block. See *Configuring the User Header Block*.
4. Configure the Text Block. See *Configuring the Text Block*.
5. Configure the Trailer Block. See *Configuring the Trailer Block*.

Configuring the Basic Header Block

To configure a User Header Block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *Basic Header Block* and *editable* property as *N*.
2. Create a *children* element with the required *attr* elements that should be part of *Basic Header Block*.

```
{
  "attr": {
    "id": "t1",
    "field": "Basic Header Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t1:1",
        "field": "",
        "status": "",
        "fieldName": "Block Identifier",
        "expression": "",
        "editable": "Y",
        "size": "1"
      }
    },
    ..........
  ]
}
```

Configuring the Application Header Block

To configure an Application Header Block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *Application Header Block* and *editable* property as *N*.
2. Create a *children* element with two *attr* elements with *fieldName* property as *Application Header - Input* and *Application Header - Output* and *editable* property as *N*.
3. Create a *children* element with the required *attr* elements that should be part of *Application Header - Input* and *Application Header - Output*.

```
{
  "attr": {
    "id": "t2",
    "field": "Application Header Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t2:1",
        "field": "Application Header - Input",
        "status": "",
        "fieldName": "",
        "expression": "",
        "editable": "N"
      },
      "children": [
        {
          "attr": {
            "id": "t2:1:1",
            "field": "",
            "status": "",
            "fieldName": "Block Identifier",
            "expression": "",
            "editable": "Y",
            "size": "1"
          }
        },
...................
      ]
    },
    {
      "attr": {
        "id": "t2:2",
        "field": "Application Header - Output",
        "status": "",
        "fieldName": "",
        "expression": "",
        "editable": "N"
      },
      "children": [
        {
          "attr": {
            "id": "t2:2:1",
            "field": "",
            "status": "",
            "fieldName": "Block Identifier",
            "expression": "",
            "editable": "Y",
            "size": "1"
          }
        },
...................
      ]
    }
  ]
}
```

Configuring the User Header Block

To configure a User Header Block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *User Header Block* and *editable* property as *N*.
2. Create a *children* element with the required *attr* elements that should be part of *User Header Block*.

```
{
  "attr": {
    "id": "t3",
    "field": "User Header Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t3:1",
        "field": "",
        "status": "",
        "fieldName": "Block Identifier",
        "expression": "",
        "editable": "Y"
      }
    },
...................
  ]
}
```

Configuring the Text Block

To configure a Text Block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *Text Block* and *editable property* as *N*.
2. Create a *children* element with *attr* element having *fieldName* property as *Sequences* and *editable* property as *N*.
3. Create a *children* element with the required *attr* elements that represent individual Sequence (that is, Sequence <X>, where X can be A, B, or C) that should be part of Sequences.

```
{
  "attr": {
    "id": "t4",
    "field": "Text Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t4:1",
        "field": "Sequences",
        "status": "",
        "fieldName": "",
        "expression": "",
        "editable": "N"
      },
      "children": [
        {
          "attr": {
            "id": "t4:1:1",
            "field": "Sequence A",
            "status": "",
            "fieldName": "",
      "expression": "",
      "editable": "N"
     },
     "children": [
      {
       "attr": {
        "id": "t4:1:1:1",
        "field": "20",
        "status": "M",
        "fieldName": "Sender's Reference",
        "expression": "16x",
        "editable": "Y"
       }
      },
...............
     ]
    },
    {
     "attr": {
      "id": "t4:1:2",
      "field": "Sequence B",
      "status": "",
      "fieldName": "",
      "expression": "",
      "editable": "N"
     },
     "children": [
      {
       "attr": {
        "id": "t4:1:2:1",
        "field": "21",
        "status": "M",
        "fieldName": "Transaction Reference",
        "expression": "16x",
        "editable": "Y"
       },
 ...............
```

```
            }
          ]
        }
      ]
    }
  ]
}
```

Configuring the Trailer Block

To configure the Trailer Block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *Trailer Block* and *editable* property as *N*.
2. Create a *children* element with the required *attr* elements that should be part of *Trailer Block*.

```
{
  "attr": {
    "id": "t5",
    "field": "Trailer Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t5:1",
        "field": "CHK",
        "status": "M",
        "fieldName": "Checksum",
        "expression": "",
        "editable": "Y"
      }
    },
..............
  ]
}
```

Example of MT101 with Sequences

To see examples of MT101 with sequences, see MOS Document 2329509.1.

Creating JSON for SWIFT Messages without Sequences

To create a JSON, follow these steps:

1. Create Message Elements.
2. Configure SWIFT Message Blocks

Creating Message Elements

To create a message element, use the sample code below:

```
{
  "message": [
  {
    Requires tags  ...
  }
  ]
}
```

Configuring SWIFT Message Blocks

To configure a SWIFT message block, follow these steps:

1. Configure the Basic Header Block. See *Configuring the Basic Header Block*.
2. Configure the Application Header Block. See *Configuring the Application Header Block*.
3. Configure the User Header Block. See *Configuring the User Header Block*.
4. Configure the Text Block. See *Configuring the Text Block*.
5. Configure the Trailer Block. See *Configuring the Trailer Block*.

Configuring the Text Block

To configure the text block, follow these steps:

1. Create an *attr* element node with *fieldName* property as *Text Block* and *editable property* as *N*.
2. Create a *children* element with the required *attr* elements that should be part of *Text Block*.

```
{
  "attr": {
    "id": "t4",
    "field": "Text Block",
    "status": "",
    "fieldName": "",
    "expression": "",
    "editable": "N"
  },
  "children": [
    {
      "attr": {
        "id": "t4:1",
        "field": "20",
        "status": "M",
        "fieldName": "Sender's Reference",
        "expression": "16x",
        "editable": "Y"
      }
    },
..........
  ]
}
```

Example of MT101 without Sequences

To see examples of MT101 with sequences, see MOS Document 2329509.1.

Creating JSON for SWIFT messages with the List of Values (LOV) Attribute

According to SWIFT standards, if there is a tag which contains predefined codes, then we must prepare a List of Values (LOV) attribute for the SWIFT tag. An example of a JSON with an LOV attribute is shown below:

```
{
                  "attr": {
                    "id": "t4:14:2:2",
                    "field": "",
                    "status": "",
                    "fieldName": "Code",
                    "expression": "14x",
                    "regex": "",
                    "editable": "Y",
                    "lov": [
                      "BY ACCEPTANCE",
                      "BY DEF PAYMENT",
                      "BY MIXED PYMT",
                      "BY NEGOTIATION",
                      "BY PAYMENT"
                    ]
                  }
                }
```

APPENDIX A Watch Lists

This appendix contains details of each of the pre-configured watch lists that can be used by Oracle Transaction Filtering and contains the following topics:

- HM Treasury Reference Data
- OFAC Reference Data
- EU Reference Data
- UN Reference Data
- World-Check
- Dow Jones Watchlist
- Dow Jones Anti-Corruption List
- Accuity Reference Data
- PLI Reference Data

HM Treasury Reference Data

The HM Treasury publishes a sanctions list that can be used for screening in Oracle Transaction Filtering. The sanctions list provides a consolidated list of targets listed by the United Nations, European Union and United Kingdom under legislation relating to current financial sanctions regimes.

The HM Treasury website provides more details about the list at the following location:

https://www.gov.uk/government/publications/financial-sanctions-consolidated-list-of-targets

Oracle Transaction Filtering uses the list in a semi-colon delimited form. It can be downloaded from the following location:

http://hmt-sanctions.s3.amazonaws.com/sanctionsconlist.csv

OFAC Reference Data

The US Treasury website states that The US Treasury's Office of Foreign Assets Control (OFAC) administers and enforces economic and trade sanctions based on US foreign policy and national security goals against targeted foreign countries, terrorists, international narcotics traffickers, and those engaged in activities related to the proliferation of weapons of mass destruction. More details on the OFAC list can be found on the US Treasury website available at the following location:

http://www.treasury.gov/ofac/

Oracle Transaction Filtering supports two lists that are produced by OFAC. The OFAC Specially Designated Nationals (SDN) list, which is available for download in three separate parts from the following links:

https://www.treasury.gov/ofac/downloads/sdn.csv https://www.treasury.gov/ofac/downloads/add.csv

https://www.treasury.gov/ofac/downloads/alt.csv

The OFAC Consolidated Sanctions List, which can be downloaded in three separate parts from the following links:

https://www.treasury.gov/ofac/downloads/consolidated/cons_prim.csv

https://www.treasury.gov/ofac/downloads/consolidated/cons_add.csv

https://www.treasury.gov/ofac/downloads/consolidated/cons_alt.csv

EU Reference Data

The European Union applies sanctions or restrictive measures in pursuit of the specific objectives of the Common Foreign and Security Policy (CFSP) as set out in Article 11 of the Treaty on European Union.

The European Commission offers a consolidated list containing the names and identification details of all persons, groups and entities targeted by these financial restrictions. See the European Commission website for more details:

http://eeas.europa.eu/cfsp/sanctions/index_en.htm

To download the consolidated list:

1. Go to https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/account and create a user name and password to the site.
2. Navigate to https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/files and open show settings for crawler/robot.
3. Copy the URL for 1.0 XML (Based on XSD). This will be in the format https://webgate.ec.europa.eu/europeaid/fsd/fsf/public/files/xmlFullSanctionsList/content?token=[username]. You must replace the [username] placeholder with the user name you have created.
4. Enter this URL in your run profile or download task.

UN Reference Data

The United Nations consolidated list includes all individuals and entities subject to sanctions measures imposed by the Security Council.

Details are here:

https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list

Download link is:

https://www.un.org/sc/suborg/sites/www.un.org.sc.suborg/files/consolidated.xml

World-Check

World-Check provides a subscription based service, offering a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the HM Treasury, OFAC, and other world lists. Three levels of subscription are provided: Standard, Premium and Premium+. Some features of the World-Check lists are only available to users with a higher subscription level.

To download the World-Check Premium+ feed, set values in the **WC Setup** section of the `watchlist-management.properties` Run Profile as follows:

```
phase.WC\ -\ Download.enabled = Y
phase.WC\ -\ Download\ native\ aliases.enabled = Y
phase.WC\ -\ Stage\ reference\ lists.enabled = Y
phase.*.snapshot.*.use_native_aliases = 1
```

To download the Standard or Premium feeds, set values in the **WC Setup** section of the `watchlist-management.properties` Run Profile as follows:

```
phase.WC\ -\ Download.enabled = Y
phase.WC\ -\ Download\ native\ aliases.enabled = N
phase.WC\ -\ Stage\ reference\ lists.enabled = Y
phase.*.snapshot.*.use_native_aliases = 0
```

See the World-Check website for more details:
https://risk.thomsonreuters.com/en/products/third-party-risk/world-check-know-your-customer.html

Note: If your instance of Oracle Transaction Filtering uses the WebLogic application server, and you are screening against the World-Check watch list, then, in order to download the World-Check reference data successfully, you must add the following to the 'Server Start' arguments of your EDQ managed server: `-DUseSunHttpHandler=true.` This is only required if you are using the WebLogic application server and screening against the World-Check watch list.

Dow Jones Watchlist

Dow Jones provide a subscription based service offering a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the various sanctions lists. See the Dow Jones website for more details:

http://www.dowjones.com/products/risk-compliance/

The Dow Jones Watchlist automated download task uses one of two script files that are provided with Oracle Transaction Filtering to provide further configuration of the download process. These script files are:

- `download-djw.sh` (for use on Unix platforms)
- `download-djw.bat` (for use on Windows platforms)

The script files are invoked by the automated task and will download the data files and copy them to the appropriate sub-folder of the OEDQ landing area.

Dow Jones Anti-Corruption List

Dow Jones provides a subscription based service containing data to help you assess, investigate and monitor third-party risk with regard to anti-corruption compliance regulation. See the Dow Jones website for more details:

http://www.dowjones.com/products/risk-compliance/

The Dow Jones Anti-Corruption List automated download task uses one of two script files that are provided with Oracle Transaction Filtering to provide further configuration of the download process. These script files are:

- `download-djac.sh` (for use on Unix platforms)
- `download-djac.bat` (for use on Windows platforms)

The script files are invoked by the automated task and will download the data files and copy them to the appropriate sub-folder of the OEDQ landing area.

Accuity Reference Data

The Accuity Global Watchlist is a subscription based service. The Accuity website states:

```
Accuity's proprietary collection of watch list screening databases is an
aggregation of specially designated individuals and entities compiled from dozens
of regulatory and enhanced due diligence lists from around the world. Global
WatchList provides the ideal framework for your customer screening and interdiction
filtering processes.
```

Accuity provides their aggregated data as a set of three lists, as follows:

- The Regulatory Due Diligence (RDD) Lists, covering sanctioned entities and individuals. The Accuity Group File can also be used in conjunction with this list. For more information, see *Using the Accuity Group File*
- Enhanced Due Diligence (EDD) Lists, covering entities and individuals who are not part of the regulatory sanctions lists, but whose activities may need to be monitored
- The Politically Exposed Persons (PEPs) Due Diligence Database, and covering PEPs

Any or all of the lists can be downloaded and used separately or in conjunction with each other.

For more information, see http://www.accuity.com/compliance/.

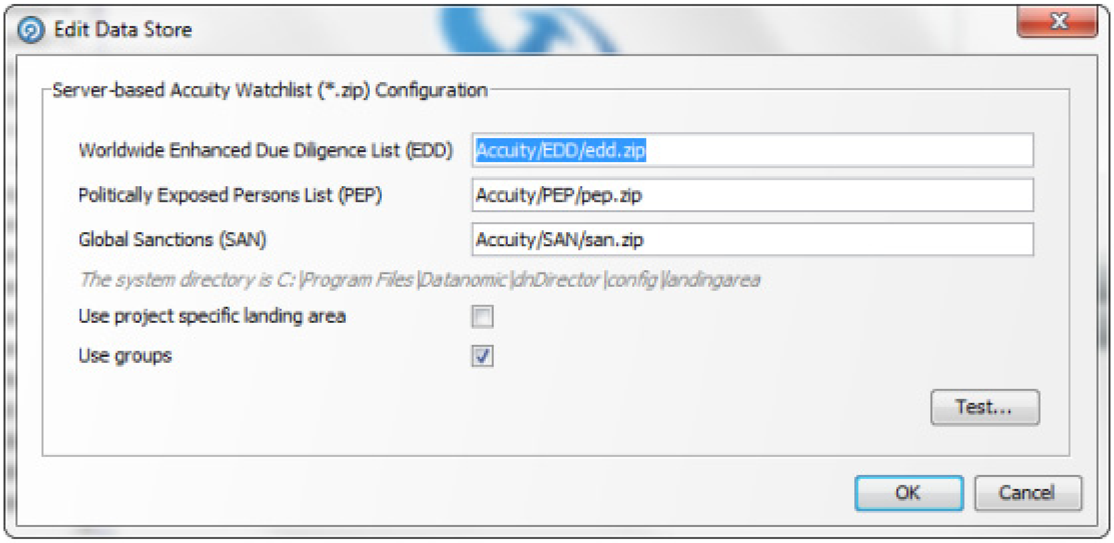
Using the Accuity Group File

The Accuity Global Watchlist is created by aggregating many other lists. As such, any given individual or entity may be represented in the list by multiple entries.

The group file, **GROUP.XML**, provides a way to work with a data set of this type in Transaction Filtering. All records which represent the same individual or entity are collected into groups, and each group is assigned a unique group ID. The group ID is used with a prefix to indicate the fact that this is a group ID, in place of the original record identifier in Case Management. Records which are not included in a group use their original Accuity record ID, with a different prefix to indicate that they are single records.

Note: The group file only applies to Transaction Filtering. That is, only entities and individuals on the Regulatory Due Diligence (RDD) Lists are included in the group file.

The group file allows case generation to be centered around real-world individuals, rather than separate watch list records. Groups are used by default. To change this, open the Accuity Data Store in the Watchlist Management project, and deselect the **Use groups** option:



Edit Data Store

Server-based Accuity Watchlist (*.zip) Configuration

Worldwide Enhanced Due Diligence List (EDD): Accuity/EDD/edd.zip

Politically Exposed Persons List (PEP): Accuity/PEP/pep.zip

Global Sanctions (SAN): Accuity/SAN/san.zip

The system directory is C:\Program Files\Datanomic\dnDirector\config\landingarea

Use project specific landing area □

Use groups ☑

Figure 50. Edit Data Store

If you choose to use the group file but it is not present in your downloaded data, an error will be generated.

New Alerts Resulting from Use of the Group File

Using the group file causes the original list ID for an entry to be replaced with the appropriate group ID. The list ID is used in the alert key, so changes to the list ID will result in new alerts being raised for existing, known relationships. There are two main scenarios in which this may occur:

Individuals or entities are moved into, out of or between groups by Accuity, new alerts will be generated for existing relationships.

Note: Use of the group file may result in new alerts being raised for existing relationships if the group file structure is changed by Accuity. There is at present no way to circumvent this issue

The **Use Groups** setting is changed after cases and alerts have already been generated.

Note: The setting for the **Use Groups** option should be selected during the implementation phase of the project. Once screening has started, it should not be changed unless absolutely necessary. Changing this setting is likely to result in duplication of existing alerts with a new alert ID.

PLI Reference Data

This section describes the structure of the .csv files used in the Private List Interface (PLI).
Private watch list data are provided in two .csv(comma seperated value) files; `privateindividuals.csv` and `privateentities.csv`. These files come with a pre-defined structure and set of validation rules.On installation, these files are populated with sample private watch list data, which must be replaced with your own data, once it has been transformed into the required format. For information on the location of the .csv files, see *Installation Guide.*

Note:

- It is recommended that you keep a copy of the sample private watch list files, as they can be used to verify the correct functioning of your installation on a known data set.
- The files must be saved in UTF-8 format.

Three types of attributes are used in the PLI for screening:

Mandatory attributes: These attributes are tagged in the PLI tables with the [Mandatory attribute] tag, and are mandatory for screening.

Recommended attributes: These attributes are used in matching, typically to either eliminate false positive matches which may occur if the mandatory fields alone were used or to reinforce the likelihood of a possible match. They are tagged in the PLI tables with the [Recommended attribute] tag.

Optional attributes: These attributes are not used in matching. Information provided in these fields may be of use in processes downstream of the match process.

This chapter covers the following areas:

- Individual private watch list input attributes
- Entity Private Watch List Input Attributes

Individual private watch list input attributes

This section lists the PLI fields used for individuals. In addition to the prescribed fields, fifty customizable input attributes are available for individual private watch lists, out of which forty are string attributes, five are date attributes and five are number attributes. They are available for any additional inputs required by your private watch list.

The following table lists the individual PLI fields in order, the data format expected for each field, and notes on their use in screening:

Table 21. Private List for Individuals

Field Name	Expected Data Format	Notes
ListSubKey	String	This field is used to identify the source list of the watch list record (for example, Private List, Accounting Private List, Financial Private List and so on). It is included in the alert key.
ListRecordType	String	
ListRecordOrigin	String	This field is used to record the provenance of a record when it is part of a consolidated list.
ListRecordId	String	[Mandatory attribute] This attribute is not used as part of the matching process, but it must be populated with a unique identifier.
PassportNumber	String	This is an optional field that may be used to capture the passport numbers of customers or individuals for use in the review process. **Note:** Passport numbers are not used in the default screening rules.
NationalId	String	This is an optional field that may be used to capture customer National IDs where known for use in the review process. **Note:** The National IDs of customers and individuals must not used in the default screening rules.

Table 21. Private List for Individuals (Continued)

Field Name	Expected Data Format	Notes
Title	String	This field should contain the titles of customers or individuals (such as Mr/Mrs/Dr/Herr/Monsieur). It is used to derive gender values where the gender is not already stated, and is used during the review process. **Note:** Avoid putting titles in the name fields.
FullName	String	[Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed.
GivenName	String	
FamilyName	String	
NameType	String	This is an optional field used in the review process only. Multiple names may exist for the same person. The Name Type therefore denotes if the name is the primary name of the listed party, or an additional name (such as an Alias, or Alternate Spelling). If two private list records were derived from a single source with multiple names (such as Mrs Louise Wilson née Hammond being split into two records, Louise Wilson and Louise Hammond) you may wish to denote one as the primary name and one as a maiden or alias name.
NameQuality	String	This field may be assigned a value of Low, Medium or High to indicate the quality of the individual name. High is used for Primary names and specified good/high quality aliases.
PrimaryName	String	For alias records, this field indicates the main name for that record.
OriginalScriptName	String	[Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed. If you populate the OriginalScriptName, then you will also need to enable two facets of Match processor configuration that are disabled by default: the Original Script Name Cluster and some or all of the Match Rules that include Original script name in their name. To adapt Match Processor configuration, you will need to open the Transaction screening project within the Director user interface, and make the changes to every process used during the Transaction Filtering installation.
Gender	String	The value supplied should be either ‘M’ or ‘F’. The gender is not used directly in the matching process, but optionally, the value of the Gender field can be used by the elimination rules to eliminate poor matches.
Occupation	String	This is an optional field that may be used to eliminate records with "safe" occupations, in the review process and in risk scoring. Note that customer occupations are not matched against list occupations using the default screening rules.
DateofBirth	String, representing a date, in the format 'YYYYMMDD'; day, month and year are required.	[Recommended attribute] Birth date information can be used in matching to identify particularly strong matches, or to eliminate matches that are too weak.
YearofBirth	String, in the format 'YYYY'.	

Table 21. Private List for Individuals (Continued)

Field Name	Expected Data Format	Notes
Deceased Flag	String	If populated, this optional field should contain either Y or N.
DeceasedDate	String, representing a date, in the format 'YYYYMMDD'.	If populated, this optional field should contain either the current date or a date in the past.
Address1	String	These are optional fields that may be used in the review process.
Address2	String	
Address3	String	
Address4	String	
City	String	[Recommended attribute] City data is used to strengthen potential match information.
State	String	
Postal Code	String	
AddressCountryCode	String; ISO 2-character country code.	[Recommended attribute] Address country data is used to strengthen potential match information.
ResidencyCountryCode	String; ISO 2-character country code.	[Recommended attribute] The country of residence can be used in optional country prohibition screening.
CountryOfBirthCode	String; ISO 2-character country code.	[Recommended attribute]
NationalityCountryCodes	String; commaseparated list of ISO 2-character country codes.	[Recommended attribute] The nationality can be used in optional country prohibition screening.
ProfileHyperlink	String; a hyperlink to an Internet or intranet resource for the record.	This field may contain a hyperlink to an Internet or intranet resource that can provide reviewers with additional information about the individual.
RiskScore	Number, between 0 and 100	This field is included where the risk score for a customer is calculated externally.
RiskScorePEP	Number, between 0 and 100	A number indicating the relative ‘riskiness’ of the individual, considered as a PEP. The risk score is expressed as an integer between 1 and 100, with higher numbers indicating a higher risk.
AddedDate	String, representing a date, in the format 'YYYYMMDD'	These are optional fields for use in the review process.
LastUpdatedDate	String, representing a date, in the format 'YYYYMMDD'	
DataConfidenceScore	Number, between 0 and 100	
DataConfidenceComment	String	
InactiveFlag	String	If populated, this optional field should contain either Y or N.
InactiveSinceDate	String, representing a date, in the format 'YYYYMMDD'	If populated, this optional field should contain either the current date or a date in the past.

Table 21. Private List for Individuals (Continued)

Field Name	Expected Data Format	Notes
PEPclassification	String	This field can be used to indicate the type of PEP (for example, whether the individual is part of an international organization or government, and at what level). It can be used to filter watch list records, and is primarily used by the World-Check watch list, but could be used by a private watch list if required.
customString1 to customString40	String	Fifty custom fields are provided in the private list data interface for individuals. Forty of these are intended to hold string data, five hold dates and five numeric data. **Note:** The interface file is a comma-separated value (.csv) file, and so all fields intrinsically contain strings. However, during the processing of Private watch lists, the custom date and number fields are checked to ensure that they include appropriate data, and warning messages are provided as output if they do not.
customDate1 to customDate5	String, representing a date, in the format 'YYYYMMDD'	
customNumber1 to customNumber5	Number	

Entity Private Watch List Input Attributes

This section lists the PLI fields used for entities. In addition to the prescribed fields, fifty customizable input attributes are available for individual private watch lists, out of which forty are string attributes, five are date attributes and five are number attributes. They are available for any additional inputs required by your private watch list.

The following table lists the individual PLI fields in order, the data format expected for each field, and notes on their use in screening:

Table 22. Private List for Individuals

Field Name	Expected Data Format	Notes
ListSubKey	String	This field is used to identify the source list of the watch list record (for example, Private List, Accounting Private List, Financial Private List and so on). It is included in the alert key.
ListRecordType	String	[Mandatory attribute]This field is used when filtering alerts, to determine whether the record is a sanctions or PEP record. It must contain a value of SAN, PEP, or a combination of these values. If you want to include a combination of values, the values should be comma-separated, and enclosed by double quotation marks. For example: "SAN, PEP".
ListRecordOrigin	String	This field is used to record the provenance of a record when it is part of a consolidated list.
ListRecordId	String	[Mandatory attribute] This attribute is not used as part of the matching process, but it must be populated with a unique identifier.
RegistrationNumber	String	This is an optional field that may be used to capture entity registration numbers where known for use in the review process. Note that entity registration numbers are not used for matching in the default screening rules.
EntityName	String	[Mandatory attribute] The entity matching process is based primarily on the name supplied for the entity. An entity name or original script name must be submitted to the screening process for screening to proceed.

Table 22. Private List for Individuals (Continued)

Field Name	Expected Data Format	Notes
NameType	String	This is an optional field used in the review process only. Multiple names may exist for the same person. The Name Type therefore denotes if the name is the primary name of the listed party, or an additional name (such as an Alias, or Alternate Spelling). If two private list records were derived from a single source with multiple names (such as Mrs Louise Wilson née Hammond being split into two records, Louise Wilson and Louise Hammond) you may wish to denote one as the primary name and one as a maiden or alias name.
NameQuality	String	This field may be assigned a value of Low, Medium or High to indicate the quality of the individual name. High is used for Primary names and specified good/high quality aliases.
PrimaryName	String	For alias records, this field indicates the main name for that record.
OriginalScriptName	String	[Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed. If you populate the OriginalScriptName, then you will also need to enable two facets of Match processor configuration that are disabled by default: the Original Script Name Cluster and some or all of the Match Rules that include Original script name in their name. To adapt Match Processor configuration, you will need to open the Transaction screening project within the Director user interface, and make the changes to every process used during the Transaction Filtering installation.
AliasIsAcronym	String	If this field is set to Y, this flags an alias as an acronym as opposed to a full entity name. Leaving the field blank or setting it to any other value has no effect (that is, an alias is assumed to be a full entity name). **Note:** This flag is used during matching.
VesselIndicator	String	This field should be set to Y if the entity is a vessel (a ship). It should be left empty or set to N if the entity is not a vessel.
VesselInfo	String	If the entity is a vessel, you can populate this field with information about it: for example, its call sign, type, tonnage, owner, flag and so on.
Address1	String	These are optional fields that may be used in the review process.
Address2	String	
Address3	String	
Address4	String	
City	String	[Recommended attribute] City data is used to strengthen potential match information.
State	String	
Postal Code	String	
AddressCountryCode	String; ISO 2-character country code.	[Recommended attribute] Address country data is used to strengthen potential match information.

Table 22. Private List for Individuals (Continued)

Field Name	Expected Data Format	Notes
ResidencyCountryCode	String; ISO 2-character country code.	[Recommended attribute] The entity's registration country can be used in optional country prohibition screening.
OperatingCountryCodes	String; ISO 2-character country code.	[Recommended attribute] Any of the entity's operating countries can be used in optional country prohibition screening.
ProfileHyperlink	String; a hyperlink to an Internet or intranet resource for the record.	This field may contain a hyperlink to an Internet or intranet resource that can provide reviewers with additional information about the individual.
RiskScore	Number, between 0 and 100	This field is included where the risk score for a customer is calculated externally.
RiskScorePEP	Number, between 0 and 100	A number indicating the relative 'riskiness' of the individual, considered as a PEP. The risk score is expressed as an integer between 1 and 100, with higher numbers indicating a higher risk.
AddedDate	String, representing a date, in the format 'YYYYMMDD'	These are optional fields for use in the review process.
LastUpdatedDate	String, representing a date, in the format 'YYYYMMDD'	
DataConfidenceScore	Number, between 0 and 100	
DataConfidenceComment	String	
InactiveFlag	String	If populated, this optional field should contain either Y or N.
InactiveSinceDate	String, representing a date, in the format 'YYYYMMDD'	If populated, this optional field should contain either the current date or a date in the past.
PEPclassification	String	This field can be used to indicate the type of PEP (for example, whether the individual is part of an international organization or government, and at what level). It can be used to filter watch list records, and is primarily used by the World-Check watch list, but could be used by a private watch list if required.
customString1 to customString40	String	Fifty custom fields are provided in the private list data interface for individuals. Forty of these are intended to hold string data, five hold dates and five numeric data. **Note:** The interface file is a comma-separated value (.csv) file, and so all fields intrinsically contain strings. However, during the processing of Private watch lists, the custom date and number fields are checked to ensure that they include appropriate data, and warning messages are provided as output if they do not.
customDate1 to customDate5	String, representing a date, in the format 'YYYYMMDD'	
customNumber1 to customNumber5	Number	

APPENDIX B Match Score Rules

See *Oracle Financial Services Transaction Filtering Matching Guide* for information on Match Score Rules.

APPENDIX C Host Configuration

This appendix contains information on how to configure a host in the Transaction Filtering application.

To configure the Transaction Filtering application for a particular host location, add the following details:

- Host name of the location
- Port number of the location
- User name and password of the location

APPENDIX D System Audit Logging Information

This appendix contains information on the logs related to the Debug and Info log files. It covers the following topics:

- Activities for System Audit
- Steps for System Audit Activities

Activities for System Audit

The following table contains information related to the system audit activities:

Table 23. Activities for System Audit

Activity Identifier	Activity Name	Activity Sequence
1.	Raw Message Processing	1
2.	Message Parser Processing	2
3.	WatchList Processing	3
4.	Alert Manager Processing	4
5.	Hold	5
6.	Assigned	6
7.	Escalated	7
8.	Recommend to Block	8
9.	Block	9
10.	Recommend to Release	10
11.	Release	11
12.	Reject	12

Steps for System Audit Activities

The following table contains information related to the steps for the system audit activities:

Table 24. Steps for System Audit Activities

Step Identifier	Activity Name	Step Name	Step Sequence	Status
1.	Raw Message Processing	Record the receipt of raw message	1	Y
2.	Raw Message Processing	Raw Message persisted into structure table	2	N
3.	Message Parser Processing	Raw Message parsed	1	N
4.	Message Parser Processing	Parsed Raw Message persisted into structure table	2	N
5.	WatchList Processing	Matching data prepared	1	N
6.	WatchList Processing	Matching Engine Invoked	2	Y
7.	WatchList Processing	Scoring Engine Invoked	3	Y
8.	WatchList Processing	Scoring performed	4	Y
9.	WatchList Processing	Response Received	5	Y
10.	WatchList Processing	Response persisted	6	N
11.	Alert Manager Processing	Transaction Hold	1	N
12.	Alert Manager Processing	Alert Persisted	2	N
13.	Hold	Hold Transaction Workflow Invoked	1	Y

Table 24. Steps for System Audit Activities (Continued)

Step Identifier	Activity Name	Step Name	Step Sequence	Status
14.	Hold	Hold Transaction Workflow completed	2	Y
15.	Assigned	Assigned Transaction Workflow Invoked	1	Y
16.	Assigned	Assigned Transaction Workflow completed	2	Y
17.	Escalate	Escalated Transaction Workflow Invoked	1	Y
18.	Escalate	Escalated Transaction Workflow completed	2	Y
19.	Recommend to Block			
20.	Block	Blocked Transaction Workflow Invoked	1	Y
21.	Block	Blocked Transaction Workflow completed	2	Y
22.	Recommend to Release			
23.	Release	Released Transaction Workflow Invoked	1	Y
24.	Release	Released Transaction Workflow completed	2	Y
25.	Reject			

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