

ORACLE®

Financial Services

Sanctions Pack

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Preface

This Preface provides supporting information for the Oracle Financials Services Sanctions Pack Release and includes the following topics:

- ◆ [Overview of OFSAA](#)
- ◆ [Purpose of This Document](#)
- ◆ [Intended Audience](#)
- ◆ [Documentation Accessibility](#)
- ◆ [Related Documents](#)

Overview of OFSAA

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

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

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

Purpose of this Document

This document contains release information for Oracle Financial Services Sanctions Pack.

Intended Audience

This document is intended for users of Oracle Financial Services Sanctions Pack.

Documentation Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docacc>.



Access to Oracle Support

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Related Documents

This section identifies additional documents related to OFS Sanctions Pack 8.0.7.0.0. You can access Oracle documentation online from the Documentation Library ([OHC](#)).

- ◆ [*Sanctions Pack Installation Guide Release 8.0.7.0.0*](#)
- ◆ [*Oracle Financial Services Analytical Applications Technology Matrix*](#)

Introduction to Sanctions Pack

The Sanctions Pack mainly consists of the following Applications:

- ♦ [Oracle Financial Services Transaction Filtering](#)
- ♦ [Oracle Financial Services Customer Screening](#)

Oracle Financial Services Transaction Filtering

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

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

Oracle Financial Services Customer Screening

Oracle Financial Services Customer Screening enables organizations to effectively and efficiently screen their customers to successfully meet anti-bribery, anticorruption, export control, and other legal regulations as well as all current anti-money laundering and counter-terrorist financing legislation. It leverages the sophisticated matching and data management capabilities of the Oracle Enterprise Data Quality platform to optimise customer and watchlist data prior to applying more than 450 deterministic matching rules. Oracle Financial Services Customer Screening is integrated with Oracle Financial Service Enterprise Case Management (ECM) which provides the ability to correlate watchlist events into cases for more efficient investigation.

Sanctions Pack

Sanctions Pack is a separately licensed product.

8.0.7.0.0 release is cumulative of all enhancements and bug fixes done since v8.0.6.0.0 release.

Release 8.0.7.0.0 of the Oracle Financial Services Sanctions application is not fully backward compatible with earlier versions of FCCM. You must upgrade all of your FCCM applications from the existing 8.0.x versions to the 8.0.7.0.0 version and cannot choose to upgrade only selective application packs to 8.0.7.0.0.

This chapter includes the following topics:

- ◆ [New Features](#)
- ◆ [Prerequisites](#)
- ◆ [Known Issues](#)

New Features

The list of features that are part of this release are:

For OFS Customer Screening (CS):

1. **Name Alias Support:** In 8.0.7, FCCM has been enhanced to support multiple customer names in an additional names table (previously the CUST table had support for a single name alias only). This table can support name changes and names in multiple languages and writing systems. Customer Screening takes the name data from the customer and the new additional names table for screening. The customer preparation process provides in-built transliteration for non-Latin names in batch screening. Additional name matches are displayed in case management as part of the match details for the event and the customer name record and watchlist alias it matches to can be seen. All customer alias information is shown with the customer details.
2. **ECM Customer Screening Tab Updates:** Enhancements have been made to the customer screening/ external entity screening /real-time screening tabs in Enterprise Case Management to allow:
 - Fields in grids can be selected and saved
 - Comments and decisions to be permission driven
 - Additional attributes added to grids to allow for easier decision making
 - Event sorting
 - Printing of case details
3. **Customer Screening Search Attributes:** In 8.0.7 allows customization of searchable attributes. Out of the box search attributes for watchlist id, name, type and origin are provided out of the box for Customer Screening case types.
4. **Watchlist Updates:** Updates have been made to several of the watchlist connectors.
 - EU: changes to URL and connector for new format of data as of March 2018.
 - OFAC: Changes to screen all record types

- World-Check: support for additional information fields (up to 10) and new data attributes: citizenship, extra identification numbers and dates of birth
- DJW: support for further information fields (up to 10)

For OFS Transaction Filtering (TF):

In 8.0.7, the following MIS reports are now available:

- **Sanctions Screening Report:** This report displays the number of hits matched with different web services, number of false positives and true positives for different matches, and a detailed report of all data for different message types.
- **Risk Rule Report:** This report displays the total count of alerts for an evaluation/risk rule.
- **Allowlist/Good Guy Report:** This report displays the number of matches, number of suppressed alerts, and number of suppressed matches for a name in the watch list.

For detailed information on installation and configuration, see [Sanctions Documents Release 8.0.7.0.0](#) from [OHC Documentation Library](#).

For more information on the OFS AAI requirements, see [OFS Advanced Analytical Applications Infrastructure Application Pack](#) in [OHC Documentation Library](#).


Prerequisites

The list of prerequisites that are part of this release are:

- Oracle Enterprise Data Quality for Oracle Financial Services Analytical Applications (Oracle EDQ) 12.1.1 must be installed. This needs to be installed separately and not on an existing AAI or OFS pack.
- OFS Inline Processing Engine (OFS IPE) must be installed for OFS Transaction Filtering but it is not required for OFS Customer Screening. OFS IPE will be part of AAI and needs to be enabled during installation.
- OFS Customer Screening needs OFS Enterprise Case Management installed along with the Sanctions pack, whether on the same OFSAA instance or different instance. In the case of the OFSAA instance being different, refer to the steps mentioned in the [ECM Installation Guide](#).

Known Issues / Limitations

The known issues / limitations in OFS Sanctions Release 8.0.7.0.0 are as follows.



Bug Number	Change Comments
29024022	Clear preference in matches list grid does not work and when saved result in "user preference reset failed" notification.
29138062	Real time cases event list label is displayed as key not found.
29126154	Model upload failing when upgrading from sanction 805 to 806
29153420	Real time screening cases in UI deployed on web sphere does not open which results in system error
29157415	Case created in 806 version gets void after upgrade to 807
29165266	Web sphere 807 IPE client for real time is not working



Oracle Financial Services Analytical Applications Infrastructure

This section includes the following sub-sections:

- ♦ New Features in This Release
- ♦ Bugs Fixed in This Release
- ♦ Known Issues / Limitations in This Release

For more information on the above sections, see the [Oracle Financial Services Analytical Applications Infrastructure ReadMe](#).



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