Oracle Financial Services Customer Screening

Administration Guide

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Customer Screening Administration Guide

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1 About This Guide

This guide explains the concepts of Oracle Financial Services Customer Screening (OFS CS) and provides step-by-step instructions to navigate to the Customer Screening web pages, analyzing, acting on, and researching the business information.

1.1 Intended Audience

The instructions in this guide are written with the assumption that the user has a good understanding of Enterprise Case Management (ECM), Financial Crime Data Model (FCDM), Oracle Enterprise Data Quality (OEDQ) and has knowledge of Sanctions (SAN), Politically Exposed Persons (PEP), Enhanced Due Diligence (EDD), and Country Prohibition Screening (PRB). The Customer Screening User Guide is designed for the following users:

- **Analyst**: This user works on the alerts within the application frequently. This user's specific role determines what they can view and perform within the application.
- **Supervisor**: This user works on the alerts within the application daily and is typically a higher-level Analyst or Compliance Officer.

1.2 Access to Oracle Support

Oracle customers have access to electronic support through <u>My Oracle Support (MOS</u>). For information, visit <u>http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info</u> Or visit <u>http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs</u> if you are hearing-impaired.

1.3 How this Guide is Organized

The Customer Screening User Guide includes the following chapters:

- <u>Introduction</u> provides an overview of Customer Screening and the architecture used.
- <u>Getting Started</u> explains common elements of the interface and how to configure the **Financial Services Analytical Applications Customer Screening** home page.
- <u>General Configurations</u> provides information on how to prepare watch list data, configure the different property files in Customer Screening, how to download the full and delta watch lists, how to filter watch list data, and how to configure General Data Protection Regulations (GDPR) for users.
- <u>Integrations with Enterprise Case Management</u> provides information on the different cases classes used for Customer Screening in Enterprise Case Management, view the correlation rules, what cases are linked to the case being investigated, and the workflows used for the different case types.
- <u>Real-Time Screening</u> shows the real-time user interface used for Customer Screening and how to run the real-time screening job using the Financial Data Crime Model (FCDM).
- <u>Batch Screening</u> provides information on how to prepare and analyze data and how to run the batch screening job using the Financial Data Crime Model (FCDM).

- <u>Appendix A: Screening Non-Latin Character Sets</u> provides information on how to perform matching for non-Latin data.
- <u>Appendix B: Risk Scoring Reference Data</u> shows the different reference data tables used to calculate risk scores in Customer Screening.
- <u>Appendix C: Preconfigured Watch List Information</u> provides information on the different watch lists used in Customer Screening.

1.4 Where to Find More Information

For more information about Oracle Financial Services Customer Screening, see the following Customer Screening application documents, which can be found on the <u>Oracle Help Center</u> page:

- Oracle Financial Services Customer Screening Matching Guide
- Oracle Financial Services Customer Screening Data Interfaces Guide

To find additional information about how Oracle Financial Services solves real business problems, see our website at <u>Oracle for Financial Services home page</u>.

1.5 Conventions Used in This Guide

The following table mentions the conventions used in this guide.

Conventions	Meaning
Italics	Names of books as references
	Emphasis
	Substitute input values
Bold	Menu names, field names, options, button names
	Commands typed at a prompt
	User input
Monospace	Directories and subdirectories
	File names and extensions
	Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<u>Hyperlink</u>	Hyperlink type indicates the links to external websites, internal document links to sections.
Asterisk (*)	Mandatory fields in User Interface
<variable></variable>	Substitute input value

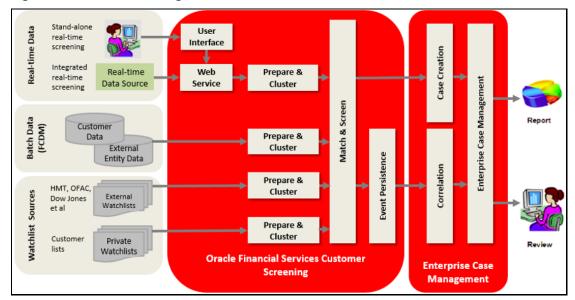
Table 2: Conventions Used

2 Introduction

Oracle Financial Services Customer Screening (OFS CS) enables organizations to effectively and efficiently screen their customers so that they can successfully meet anti-bribery, anti-corruption, export control, and other legal regulations as well as to meet anti-money laundering and counter-terrorist financing legislations. Screening customers enables organizations to keep track of and avoid the risk of being exposed to suspicious or sanctioned individuals and organizations. Customer Screening uses the Oracle Enterprise Data Quality (OEDQ) platform to manage watch list data and apply match rules, Process Modelling Framework (PMF) to generate alerts, and Enterprise Case Management (ECM) to investigate cases generated from the alerts based on the match rules.

2.1 Architecture Overview

This image shows the movement of data from a real-time data source, batch data from the Financial Crime Data Model (FCDM), and data from watch list sources such as OFAC, HM Treasury, and Dow Jones. This data then moves to the Customer Screening user interface where it is prepared and screened. Finally, cases are generated based on the matches in Enterprise Case Management (ECM).





3 Getting Started

This chapter provides step-by-step instructions to login to the Oracle Financial Services Customer Screening (OFS CS) application and the different features of the application.

3.1 Accessing the Financial Services Analytical Applications Customer Screening Home Page

Access to the Customer Screening application depends on the Internet or Intranet environment. The system administrator provides the intranet address uniform resource locator (URL), User ID, and Password.

NOTE The first time you log in, you will be prompted to change your password.

To access the **Oracle Financial Services Analytical Applications Customer Screening** home page, follow these steps:

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

<scheme/ protocol>://<ip address/ hostname>:<port>/<contextname>/login.jsp

For example: https://myserver:9080/ofsaaapp/login.jsp

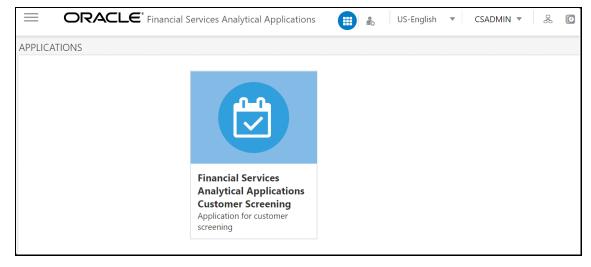
The Oracle Financial Services Analytical Applications (OFSAA) login page is displayed.

Figure 2: Oracle Financial Services Analytical Applications (OFSAA) Login Page

ORACLE [*] Financial Services Analytical Applications		
	Language	US-English
	User ID	
	Password	
		Login
	Version 8.0.7.1.0 Copyright © 1993, reserved.	2019 Oracle and/or its affiliates. All rights

- 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 Financial Services Analytical Applications Customer Screening home page is displayed.

Figure 3: Financial Services Analytical Applications Customer Screening Home Page



Click the **Financial Services Analytical Applications Customer Screening** tile to open the OFS CS home page.

3.2 Managing the Oracle Financial Services Analytical Applications (OFSAA) Page

From the OFSAA application page, you can access the menus for the different message configurations. For information on the different menus, see <u>Oracle Financial Services Analytical</u> <u>Applications Infrastructure Administration and Configuration Guide</u>.

3.3 Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Customer Screening or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions to set your Web display options for OFSAA applications.

3.3.1 Enabling JavaScript

This section describes how to enable JavaScript using the **Scripting** setting. To do this, follow these steps:

- 1. Navigate to the **Tools** menu.
- 2. Click Internet Options. The Internet Options dialog box is displayed.
- 3. Click the Security tab and then click Local Intranet.

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

3.3.2 Enabling Cookies

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

3.3.3 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 enable Temporary Internet Files, follow these steps:

- 1. Navigate to the Tools menu.
- 2. Click Internet Options. The Internet Options dialog box is displayed.
- 3. In the General tab, click Settings. The Settings dialog box is displayed.
- **4.** Select **Every visit to the page**. Selecting this option ensures that the temporary files are cleared every time.
- 5. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

3.3.4 Enabling File Downloads

This section describes how to enable file downloads with the following steps:

- 1. Navigate to the **Tools** menu.
- 2. Click Internet Options. The Internet Options dialog box is displayed.
- 3. Click the **Security** tab and then click **Local Intranet**.
- 4. Click Custom Level. The Security Settings dialog box is displayed.
- 5. In the **Downloads** section, ensure that the **Enable** check box is selected for all options.
- 6. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

3.3.5 Setting Printing Options

This section explains how to enable printing background colors and images with the following steps:

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

NOTE

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

3.3.6 Enabling the Pop-Up Blocker

You may have trouble running the Customer Screening application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the list of allowed sites in the Pop-up Blocker Settings in the IE Internet Options.

To enable the Pop-up Blocker, follow these steps:

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

3.3.7 Setting Preferences

Use the **Preferences** section to set the **Financial Services Analytical Applications Customer Screening** home page.

To access this section, follow these steps:

1. In the **Financial Services Analytical Applications Customer Screening** home page, select **Preferences** from the user name drop-down list to open the **Preferences** page.

Figure 4: Preferences Page

Preferences	
∨Home Page	
Property Name	Property Value
Set My Home Page	Default Screen
Date Format	Select 🔻
	Save Cancel

 In the Set My Home Page drop-down list, select the window that you want to view when you log in.

When a new application is installed, the related window for that application is found in the dropdown list.

3. In the **Date Format** drop-down list, select the date format that you want to see. The options available are dd/mm/yyyy or mm/dd/yyyy.

4. Click **Save** to save your preferences.

4 General Configurations

Some configurations must be done before screening customer or external entity data, such as configuring run profiles to control elements of the watch lists and how screening is performed, preparing private watch lists using the Private List Interface (PLI) and use them for screening, analyzing watch list data, configuring match rules and clusters, configuring real-time and batch screening, configuring risk scores in watch lists, and scheduling the Customer Screening run job. You can also configure the delta watch lists for the Dow Jones watch list, enable the General Data Protection Regulation (GDPR), and enable or disable the Data Quality (DQ) check.

The Watch List Management, Customer Screening, External Entity, and Real-time screening property files can be configured using run profiles in the FICDB/conf directory. You can use run profiles to specify the configuration settings that will override the default settings.

The following run profiles are available in the

<domain_name>/edq/oedq.local.home/runprofiles/ directory when you log in to the WinSCP server:

- watch list-management.properties
- customer-screening.properties
- external-entity-screening.properties
- customer-screening-real-time.properties

The watch list-management.properties run profile controls the following attributes:

- which watch lists are downloaded
- how filtering is applied to the watch lists
- how to apply the Data Quality check to the watch lists

The customer-screening.properties and external-entity-screening.properties run profiles control the screening of customers and external entities respectively in batches.

The customer-screening-real-time.properties run profile controls the screening of customers in real-time.

4.1 Preparing Watch List Data

Customer Screening is preconfigured to handle reference data from the following sources:

- HM Treasury
- OFAC
- EU consolidated list
- UN consolidated list
- World-Check
- Dow Jones Watch list
- Dow Jones Anti-Corruption List
- Accuity

You can also use your private watch list using the Private List Interface (PLI). For more information, see **The Private List Interface (PLI)** chapter in the <u>Oracle Financial Services Data Interfaces Guide</u>.

1.	Watch lists can be downloaded automatically by setting the appropriate values in the run profile, or by downloading the watch list from the watch list provider's website. For information on downloading the watch lists, see <u>Appendix C: Pre-Configured Watch List Information</u> .
2.	The first time a watch list is downloaded, the staging value must be set to Y . This ensures that data in the staging tables is refreshed every time the watch list is downloaded.
3.	The Accuity, Dow Jones, Dow Jones Anti-Corruption, and World-Check watch lists are provided as paid services. To use a watch list, you must register for an account on the watch list provider's website.

4.1.1 Example - Preparing the Accuity List

This example describes how to edit the watch list-management.properties run profile to allow you to download and configure the Accuity list. The run profile is available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory when you log in to the WinSCP server.

NOTE

You can also use the steps provided to download and configure the other watch lists.

4.1.2 Example - Enable Phases for Download and Staging

This example describes how to edit the watch list-management.properties run profile to allow you to download and configure the Accuity list.

To automatically download the Accuity list, set the following values in the watch list-management.properties run profile:

```
phase.ACY\ -\ Download.enabled = Y
phase.ACY\ -\ Stage\ reference\ lists.enabled = Y
```

To manually download the Accuity watch list using the Oracle Enterprise Data Quality (OEDQ) server, you must first set phase.ACY\ -\ Download.enabled and phase.ACY\ -\ Stage\ reference\ lists.enabled = N and click <u>sftp://username:password@ftp.financialgo.net/PIDGWL.ZIP</u> to connect to the WinSCP client. Enter your user name and password and download the watch list from the config/landingarea/Accuity directory. If the OEDQ server is connected to the internet through a proxy server, you must provide values for the following attributes in the proxy server:

- proxy_host. For example, proxy.example.microsoft.com.
- proxy_port. For example, 80.
- proxy_username. For example, username.
- proxy_password. For example, password.

4.1.2.1 Filtering

To prepare the Accuity list without filtering, set the following value in the watch listmanagement.properties run profile:

phase.ACY\ -\ Prepare\ without\ filtering.enabled = Y

To prepare the Accuity list with filtering, set the following values in the watch list-management.properties run profile:

```
phase.ACY\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = Y
phase.ACY\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = Y
```

4.2 Private Watch List Set Up

Oracle Financial Services Customer Screening is preconfigured to work with commercially-available and government-provided watch lists. However, you can also screen data against your private watch lists. Sample private watch lists are provided in the config/landingarea/Private directory for individuals and entities in the private individuals.csv and private entities.csv files respectively.

NOTE OEDQ release 12c has a base config folder and a local config folder. The base config folder is called oedqhome and the local config folder is called oedqlocalhome. The names can differ in some cases. For example, dots or underscores can be used in the names, such as oedq_local_home.

To screen data against a private watch list, you must first replace the data in the ready-to-use files with your data and then enable the private watch list properties in the watch listmanagement.properties run profile.

To replace the data, replace the data in the private individuals.csv and private entities.csv files with your private watch list data.

NOTE

The files must be saved in UTF-8 format.

To enable the staging and preparation of the private watch list in the watch listmanagement.properties run profile, follow these steps:

- 1. Set phase.PRIV\ -\ Stage\ reference\ lists.enabled = Y to move your private watch list data to the staging tables.
- 2. Set phase.PRIV\ -\ Prepare\ without\ filtering.enabled = Y to prepare the private watch list without filtering.
- 3. Set phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = Y and phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = Y to prepare the private watch list with filtering.

4.3 Showing the Hidden Watch List Staged Data or Snapshots in the Server Console Interface

The following staged data and snapshots are hidden in the Server Console interface by default:

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

To show this data, set the corresponding visibility property value in the run profile to Y.

For example, to view all Accuity watch list snapshots generated during Watch list Management, set the following properties in the watch list-management.properties run profile. The run profile is available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory when you log in to the WinSCP server.

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

4.4 Analyzing Watch List Data

Customer Screening has a process called Data Quality (DQ) that checks the quality of the downloaded watch list data which is later used for screening. This process can be run independently of the watch list screening process.

4.4.1 Analyzing Data Quality

Before you analyze your watch list data, follow these steps:

- 1. Ensure that your data is loaded into FCDM and the watch list-screening project has the correct database parameters.
- 2. Run the CS_EDQ_Watch list_Analyze job. The job checks your watch list data for any quality issues that affect have a negative impact on the screening process.

To analyze the data for watch lists, set the following properties in the watch listmanagement.properties run profile:

NOTE The attributes shown are for the Accuity watch list. You must set the corresponding properties for the watch list for which you want to analyze data.

- phase.DQ\ -\ Stage\ ACY\ reference\ lists.enabled = Y
- phase.DQ\ -\ ACY\ reference\ data\ quality\ analysis.enabled = Y
- stageddata.DQ\ ACY\ -\ Invalid\ Standard\ Country\ in\ Accuity\ Nationality\ to\ Standard\ Country.visible = Y
- stageddata.DQ\ ACY\ -\ Missing\ Source\ in\ Accuity\ Source\ Risk\ Scores\ Reference\ Data.visible = Y
- stageddata.DQ\ ACY\ -\ Obsolete\ Source\ in\ Accuity\ Source\ Risk\ Scores\ Reference\ Data.visible = Y

4.5 Configuring Match Rules and Clusters for Customers and External Entities

You can configure match rules and clusters by adding a property value to the customerscreening.properties and external-entity-screening.properties run profiles.

For example, to disable the **Exact name only** rule, that is, [I0100], for batch and real-time sanctions screening, add the following property value in the customer-screening.properties and external-entity-screening.properties run profiles:

phase.*.process.*.[I0100]\ Exact\ name\ only.san_rule_enabled = false

The * character denotes a wildcard, which indicates that the following rule applies to all phases and processes. If the [10100] rule is disabled for batch screening only, the following is the new property value:

```
phase.Batch\ screening.process.*.[I0100]\ Exact\ name\ only.san_rule_enabled
= false
```



The property value is case-sensitive.

For information on the match rules and clusters used in Customer Screening, see the <u>Oracle Financial</u> <u>Services Customer Screening Matching Guide</u>.

4.6 Real-Time and Batch Screening Set Up

By default, real-time and batch screening is enabled for SAN (sanctioned), PEP (Politically Exposed Persons), and EDD (Enhanced Due Diligence) records. This is controlled by the real-time and batch screening properties in the customer-screening.properties, Customer-Screening-real-

time.properties, and external-entity-screening.properties run profiles. You can use these run profiles to enable or disable real-time or batch screening for all records or a specific record type.

For example, to run real-time screening for PEP and EDD individual and entity records, disable the following property values in the customer-screening.properties and external-entity-screening.properties run profiles:

```
phase.Start\ Batch\ Screening.enabled = N
phase.Real-time\ Screening.process.Individual\ Real-time\
Screening.san_enabled = N
phase.Real-time\ Screening.process.Entity\ Real-time\ Screening.san_enabled
= N
```

Ensure that all other real-time screening properties are set to Y.

4.7 Extracting the Output of Matches into CSV Files

Customer Screening identifies possible relationships or matches between individuals and entities in your customer data and the external entities on watch lists. These matches form the basis of the cases that are investigated in Enterprise Case Management. When you perform batch screening and move these matches into the Customer Screening data layer, you can extract the output into the.csv files. This is useful if you want to use Customer Screening to identify the matches or if you want to review the matches using another case management system.

To extract the output of the matches into the.csv files, set the following values in the **Batch** Screening Setup section of the customer-screening.properties and external-entityscreening.properties run profiles. The run profiles are available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory in the WinSCP server. phase.*.process.*.output_relationships = Y

```
phase.Export\ Batch\ Relationships.enabled = Y
```

When you run Customer Screening with these run profile parameters enabled, two files are created:

- relns-ent-batch.csv. This file holds the match data for entities.
- relns-ind-batch.csv. This file holds the match data for individuals.

4.8 Filtering Watch List Data

The following sections provide information aboout how to enable watch list filtering, configure watch list filtering, how to use primary filters, secondary filters, linked records, and how to screen all watch list records.

4.8.1 Enabling Watch List Filtering

To enable filtering for a specific watch list, set the Prepare with Filtering phase in the appropriate run profile to **Y**, and the Prepare Without Filtering phase to **N**. For more information, see the example provided in <u>Setting Filtering Options in the Run Profiles</u>.

4.8.2 Configuring Watch List Filtering

Watch list filtering is controlled by configuring reference data in the watch list projects.

NOTE 1.		The reference data sets in the Watch list Management and Customer-Screening projects are identical. This is to support installations that require filtering at different stages. For example, if a company wants to initially filter the prepared watch list data and then run several screening projects to filter specific parts of the data.
	2.	Once data is filtered out from the watch list, it is not possible to view the filtered data in another project. If, for example, all entities are filtered out in the Watch list Management project, then the Customer-Screening project will not display the entities in the screening results.

The first level of filtering is controlled by editing the following filters in the Watch list Management project:

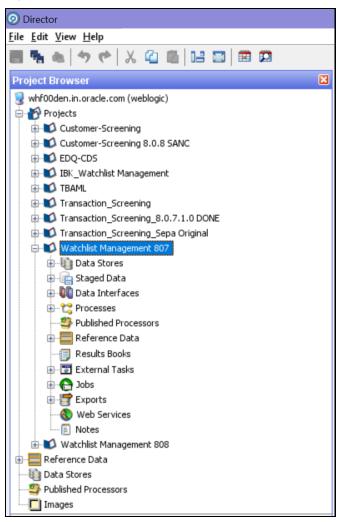
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

Figure 5: Director Menu in EDQ

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			*
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	Match Review	Case Management	
	Case Management Administration	Configuration Analysis	- 1
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2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 6: Project Browser Pane



 Expand the Reference Data node and open Filter - Settings. The Reference Data Editor – Filter - Settings window appears.

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	
WLC	DJW-SAN	Y	Y	Y	Y	Y	Y	Y	Y	
WCD	DJW-PEP	Y	Y	Y	Y	Y	Y	Y	Y	
WC	DJW-EDD	Y	Y	Y	Y	Y	Y	Y	Y	
DFAC	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	
JN	UN-TAL	Y	Y	Y	Y	Y	Y	Y	Y	
WC	WC-SAN	Y	Y	Y	Y	Y	Y	Y	Y	
NC	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	
										7
4									+	

Figure 7: Reference Data Editor – Filter - Settings Window

All the reference data filters except the Linked Profiles filter is set to **Y** by default. Unless these settings are changed, no actual filtering is performed on the watch list data. In the filter settings, a value of **Y** indicates that all records are included, that is, no filters are applied.

Watch list filtering falls into four categories:

- By list and list subke y
- By list record origin characteristics
- By list profile record characteristics
- By linked profiles

For more information, see the example provided in <u>Setting Primary Filters and Linked Profiles in the</u> <u>Watch list Management Project</u>.

4.8.3 Primary Filters, Secondary Filters, and Filters for Linked Profiles

Primary filters are filters that are used to display all profiles that match the criteria specified. Filters for linked profiles are used to display profiles that are linked to the primary filter.

NOTE

You can filter linked profiles only for the World-Check and Dow Jones watch lists.

An example of a primary filter is a filter that is configured to capture all sanctions data. For the primary filter, a filter is configured for the related PEP data.

Secondary filters are applied to filter data that is displayed for linked profiles. For example, the secondary filter for PEP data is occupation or nationality.

Primary and secondary filters are set in one project (Watch list Management/Customer-Screening), and secondary filters are set in another project (Watch list Management/Customer-Screening).

4.8.4 Setting Multiple Values for Primary and Secondary Filters

Further configurations must display the following records:

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

To filter data 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. When you set the value in the Filter – Settings reference data to **N**, only the records that match these values are included.

For example, if you set the value of the All name qualities (Primary)? filter to **N**, then you can determine which name qualities must be included for each watch list in the Filter – Primary Name Qualities reference data. Suppose you include a row for high-quality names in the EU watch list, but you do not include rows for medium-quality and low-quality names in this watch list, then only records with high-quality names are included in the watch list data.

NOTE Some reference data sets are prepopulated with rows that usually contain data which is supplied by each watch list provider and can be viewed in the Watch List Management project. For example, to view all possible stop keywords for World-Check data, open the WC Keyword reference data in the Watch list Management project as mentioned in the following section.

4.8.4.1 Example - Filtering World-Check Data

This example describes the configurations which must be done to use primary and linked profile filters in the World-Check watch list in the Watch list Management project and how to set secondary filters in the Customer-Screening project. The following tasks are described:

- how to enable filtering in the watch list-management.properties run profile. For more information on enabling filtering, see <u>Setting Filtering Options in the Run Profiles</u>.
- how to configure the primary filters and enable the filters for linked profiles in the Watch list Management project to return the active records for sanctioned individuals originating from the EU list. For more information, see <u>Setting Primary Filters and Linked Profiles in the Watch list</u> <u>Management project</u>.
- how to configure the secondary filters in the Customer-Screening project to filter out all the Linked Profiles of deceased individuals. For more information, see <u>Setting Secondary Filters in</u> the Customer Screening project.

4.8.4.1.1 Setting Filtering Options in the Run Profiles

In the watch list-management.properties run profile, set the World-Check filtering phases as
follows. This file is available in the <domain_name>/edq/oedq.local.home/runprofiles/
directory in the WinSCP server.

- 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
- 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

4.8.4.1.2 Setting Primary Filters and Linked Profile Filters in the Watch list Management Project

Follow these steps to set primary filters and linked profiles in the project:

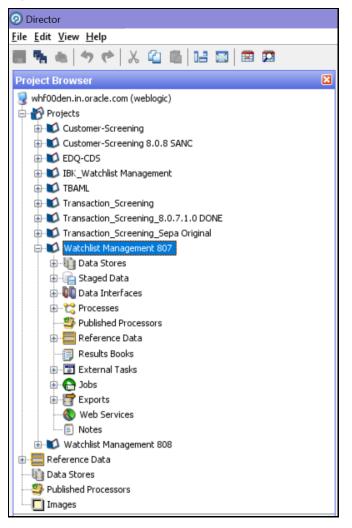
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

Figure 8: Reference Data Filters

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2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 9: Reference Data Filters



3. Expand the Reference Data node and open Filter - Settings. The Reference Data Editor – Filter - Settings window appears.

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List Key	List Sub Key	List/sub-list (Individuals (Entities (Prim	Vessels (Prim	All origins (Pr	All origin regi	All origin stat	All name typ	All r
ACY	ACY-SAN	Y	Y	Y	Y	Y	Y	Y	Y	Y
ACY	ACY-PEP	Y	Y	Y	Υ	Y	Y	Y	Y	Υ
ACY	ACY-EDD	Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
НМТ	HMT-CONS	Y	Y	Y	Y	Y	Y	Y	Y	Y
НМТ	HMT-IB	Y	Υ	Y	Υ	Υ	Y	Y	Y	Υ
EU	EU	Y	Y	Y	Y	Y	Y	Y	Y	Υ
WCD	DJW-SAN	Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
MCD	DJW-PEP	N	Y	Y	Y	Y	Y	Y	Y	Y
MCD	DJW-EDD	N	Υ	Y	Υ	Υ	Y	Y	Y	Υ
OFAC	OFAC-SDN	Y	Y	Y	Y	Y	Y	Y	Y	Υ
OFAC	OFAC-NS-PLC	Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
UN	UN-ALQ	Y	Y	Y	Y	Y	Y	Y	Y	Υ
UN	UN-TAL	Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
WC	WC-SAN	Y	Y	Y	Y	Y	Y	Y	Y	Υ
WC	WC-PEP	Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
WC	WC-EDD	Y	Y	Y	Y	Y	Y	Y	Y	Υ
PRIV		Y	Y	Y	Υ	Υ	Y	Y	Y	Υ
DJAC	DJAC-SAN	Y	Y	Y	Y	Y	Y	Y	Y	Υ
DJAC	DJAC-PEP	Y	Y	Y	Y	Y	Y	Y	Y	Υ
DJAC	DJAC-EDD	Y	Υ	Y	Υ	Υ	Y	Y	Y	Υ

Figure 10: Reference Data Filters

- 4. In the **Reference Data Editor Filter Settings** window, configure the following parameters. Double-click a value to update it.
 - a. Set the List/sub-list (Primary?) value in the WC-SAN row to Y.
 - **b.** Set the Entities (Primary)? value in the WC-SAN row to **N**.
 - c. Set the Inactive (Primary)? value in the WC-SAN row to N.
 - d. Set the All Origins (Primary)? value in the WC-SAN row to N.
 - e. Set all other values in the WC-SAN row to Y.
 - **f.** Add a new row with the following values:
 - i. List Key WC
 - ii. List Sub Key WC-SAN
 - iii. Origin EU
 - g. Set the Linked Profiles? value in the WC-SAN row to $\boldsymbol{Y}.$
- 5. Click **OK** to close the window and save your changes.

4.8.4.1.3 Setting Secondary Filters in the Customer Screening project

Follow these steps to set secondary filters in the project:

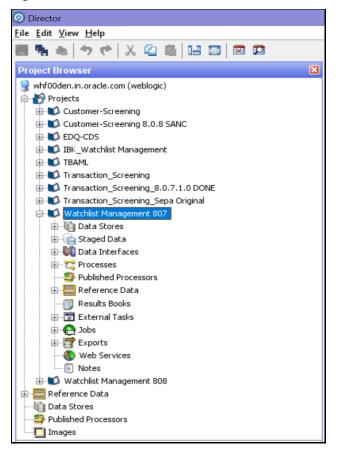
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.



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2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 12: Reference Data Filters



3. Expand the Reference Data node and open Filter - Settings. The Reference Data Editor – Filter - Settings window appears.

	💟 🛛 🕢 Viewing	page 1 of 1 (20 t	otal saved record	is) 🍸 🕌						
List Key	List Sub Key	List/sub-list (Individuals (Entities (Prim	Vessels (Prim	All origins (Pr	All origin regi	All origin stat	All name typ	All r
ACY	ACY-SAN	Y	Y	Y	Y	Y	Y	Y	Y	Y 🔺
ACY	ACY-PEP	Y	Y	Y	Y	Y	Y	Y	Y	Y
ACY	ACY-EDD	Y	Υ	Y	Y	Y	Y	Y	Y	Y
HMT	HMT-CONS	Y	Y	Y	Y	Y	Y	Y	Y	Y
HMT	HMT-IB	Y	Υ	Y	Y	Y	Y	Y	Y	Y
EU	EU	Y	Y	Y	Y	Y	Y	Y	Y	Υ
WCD	DJW-SAN	Υ	Υ	Y	Y	Υ	Υ	Y	Y	Y
MCD	DJW-PEP	N	Y	Y	Y	Y	Y	Y	Y	Y
MCD	DJW-EDD	N	Υ	Y	Y	Y	Y	Y	Y	Υ
OFAC	OFAC-SDN	Y	Y	Y	Y	Y	Y	Y	Y	Y
OFAC	OFAC-NS-PLC	Y	Υ	Y	Y	Y	Y	Y	Y	Y
UN	UN-ALQ	Y	Y	Y	Y	Y	Y	Y	Y	γ
UN	UN-TAL	Y	Υ	Y	Y	Y	Y	Y	Y	Y
WC	WC-SAN	Y	Y	Y	Y	Y	Y	Y	Y	Y
WC	WC-PEP	Y	Υ	Y	Y	Y	Y	Y	Y	Υ
WC	WC-EDD	Y	Y	Y	Y	Y	Y	Y	Y	Y
PRIV		Y	Υ	Y	Y	Y	Y	Y	Y	Y
DJAC	DJAC-SAN	Y	Υ	Y	Y	Y	Y	Y	Y	Υ
DJAC	DJAC-PEP	Y	Υ	Y	Y	Υ	Υ	Y	Y	Y
DJAC	DJAC-EDD	Y	Y	Y	Y	Y	Y	Y	Y	Y

Figure 13: Reference Data Filters

- 4. In the Reference Data Editor Filter Settings window, Set the Deceased (Secondary)? value in the WC-SAN row to N.
- 5. Click **OK** to close the window and save your changes.

4.8.5 Screening All Sanctions Data

By default, data is routed from the Watch list Management project to the different screening processes depending on their record type, which can be Sanctions (SAN), Politically Exposed Persons (PEP), or Enhanced Due Diligence (EDD) records. This allows different rules to be applied according to the risk appetite of the record that is being screened.

However, if you want to use the same screening logic for all watch list records and do not want to maintain separate rulesets, you can move all watch list records to the SAN screening processes. To do this, set phase.*.process.*.Screen\ all\ as\ SAN? value in the customer-screening.properties = Y. This file is located in the <domain name>/edg/oedg.local.home/runprofiles/directory in the WinSCP server.

4.8.6 Match Persistence and Flag Keys

Customer Screening parses all customer records against all watch list records daily. This allows new alerts to be created due to changes in either the customer or the watch list data. When there is no change to the customer or the watch list record and the match is identical to a previously generated relationship, no new alerts are created.

Many attributes can change on a customer or watch list record but not all changes result in a new alert. These attributes are controlled based on the flag key value.

NOTE

If a new alias name that matches the customer record is added to a watch list, then this results in a new alert.

An example of a flag key is date of birth. Some potential matches are eliminated because the value the customer has provided and the value in the watch list records are different. So, if the value changes, then any potential matches related to the date of birth must be rereviewed. An example of a field that is not included in the flag key is account balance. This value changes frequently and does not impact the match decision. Flag keys are set in individual match processes, and a hash value is generated which is used for comparison.

NOTE The order of fields in the flag key is important. If the order changes, this will result in a new alert.

4.9 Risk Scoring in Watch Lists

Customer Screening includes a feature to estimate the relative risk of doing business with a given entity or individual. For each watch list, a risk score is calculated for an individual or entity based on various attributes such as country of residence, operating country, and associated regime. The risk scores for watch lists are available in the reference data tables for the specific watch list. For more information, see <u>Appendix B: Reference Data Tables for Watch Lists</u>.

NOTE The risk scores must be evaluated and tuned by a risk and compliance expert with knowledge of your business requirements and the relevant legislation.

4.9.1 Adjusting the Risk Scores

Customer Screening calculates a risk score and a Politically Exposed Person (PEP) risk score for every alert created during screening. The risk score is a relative measure of the risk posed by an individual or entity out of a maximum score of 100. The PEP risk score identifies the relative risk of the individual or entity when the individual or entity is considered as a PEP. Since the risk score can be different from the PEP risk score, the same algorithm is used to derive the risk score and PEP risk score but the underlying scores and weightings on which the calculations are based are different.

The overall risk score of a potential match is calculated as a weighted average of the risk scores generated for the watch list, customer, and external entity records in the match. The risk scores for the watch list, customer, and external entity records are calculated as a weighted average of the risk scores of the contributing risk elements. A risk element is a data field, such as Country of Operation or Occupation, and a risk score is assigned to the risk elements based on its value.

You can adjust the following attributes to customize the overall risk score:

- Risk scores and relative weightings of the risk elements.
- Relative weight of the watch list risk score, customer risk score, and external entity risk score.
- Reference data tables of the specific watch list used in the screening process.

4.9.2 Editing the Risk Element Scores

You can adjust the risk element scores by editing the risk element in Enterprise Data Management (EDQ). The risk elements that are considered during the risk score calculation depend on the fields that are present in the watch list or customer record.

4.9.2.1 Example – Accuity Watch List

The following steps explain how to edit the risk element scores for the Accuity watch list:

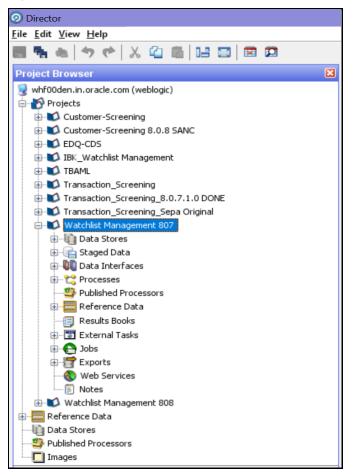
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

Figure 14: Director Menu in EDQ

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	Director	Server Console	
	Match Review	Case Management	
	Case Management Administration	Configuration Analysis	
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2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 15: Project Browser Pane



3. Expand the **Reference Data** node.

4. Right-click Accuity Source Risk Scores and select Edit data.

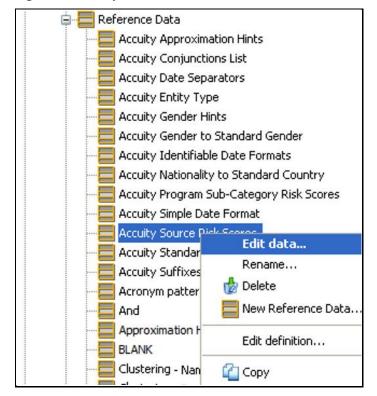


Figure 16: Accuity Source Risk Scores

5. In the **Reference Data Editor – Accuity Source Risk Scores** window, the risk score appears in editable mode.

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Name	RiskScore	Comment	State	Modified By	Modified On	
PEP	25		Active	dnadmin	22-Jul-2010 17:08:47	
USP	25		Active	dnadmin	22-34-2010 17:08:47	
EDI	50		Active	dnadmin	22-3.4-2010 17:08:47	
EUL	50		Active	dnadmin	22-Jul-2010 17:08:47	
EUA	50		Active	dnadmin	22-3u/-2010 17:08:47	
ESA	50		Active	dnadmin	22-3u/-2010 17:08:47	
EDA	50		Active	dnadmin	22-34-2010 17:08:47	
EUK	50		Active	dnadmin	22-Jul-2010 17:08:47	
EDC	50		Active	dnadmin	22-34-2010 17:08:47	
EDE	50		Active	dnadmin	22-34-2010 17:08:47	
311	75		Active	dnadmin	22-34-2010 17:08:47	
ACB	75		Active	dnadmin	22-Jul-2010 17:08:47	
ARG	75		Active	dnadmin	22-Jul-2010 17:08:47	
AU	75		Active	dnadmin	22-34-2010 17:08:47	
68.	75		Active	dnadmin	22-34-2010 17:08:47	
805	75		Active	dnadmin	22-34-2010 17:08:47	
BofE	100		Active	dnadmin	22-Jul-2010 17:08:47	
CNA	75		Active	dnadmin	22-34-2010 17:08:47	
CSL	75		Active	dnadmin	22-34-2010 17:08:47	
DN8	75		Active	dnadmin	22-Jui-2010 17:08:47	
DTC	75		Active	dnadmin	22-30/-2010 17:08:47	
ES	75		Active	dnadmin	22-3u/-2010 17:08:47	
EU	100		Active	dnadmin	22-34-2010 17:08:47	
FMU	75		Active	dnadmin	22-Jul-2010 17:08:47	
FR	75		Active	dnadmin	22-Jul-2010 17:08:47	
нк	75		Active	dnadmin	22-34-2010 17:08:47	
IA	75		Active	dnadmin	22-34-2010 17:08:47	
194	75		Active	dnadmin	22-3.4-2010 17:08:47	
ITL	75		Active	dnadmin	22-Jul-2010 17:08:47	
JMF	75		Active	dnadmin	22-3ul-2010 17:08:47	
NCT	75		A chicun	Anadain	22 3.4 20.40 43-08-47	

Figure 17: Reference Data Filters for Accuity

NOTE If you edit the risk scores, you must rerun the Download, Prepare, Filter and Export All Lists jobs in the Watch list Management project and the MAIN job in the Customer-Screening project in EDQ. Until this is done, the generated matches will not show the new risk scores. For more information on how to view the jobs, see <u>Analyzing the Data</u> <u>Quality of Customer Data and External Entity</u>.

4.9.2.2 Editing the Risk Element Weightings

You can edit the default weightings assigned to each risk element in the **Reference Data Editor – Risk – Risk Element Weightings** window. This reference data set specifies which fields in that record contribute to the risk score calculation for each type of record and to what degree (weightage).

The following steps explain how to view the risk element weightings for all watch lists:

1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

Figure 18: Director Menu in EDQ

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	Director	Server Console			- 11
	Match Review	Case Management	•		
	Case Management Administration	Configuration Analysis	•		
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2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 19: Project Browser Pane

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Project Browser 🛛 🛛
👷 whf00den.in.oracle.com (weblogic)
🖕 🛃 Projects
🖶 💕 Customer-Screening
⊕
EDQ-CDS
🗊 💕 IBK_Watchlist Management
⊕ IBAML
Transaction_Screening
Transaction_Screening_8.0.7.1.0 DONE
Transaction_Screening_Sepa Original
🖨 💕 Watchlist Management 807
🕀 🖓 🔁 Data Stores
🕀 🖳 🕞 Staged Data
🕀 💵 Data Interfaces
Processes
Reference Data
i ⊡ External Tasks
🕀 🔂 Jobs
⊕ 🚰 Exports
🗒 Notes
🞰 💕 Watchlist Management 808
E Reference Data
Published Processors

- 3. Expand the **Reference Data** node.
- 4. Right-click Risk Risk Element Weightings and select Edit data.

RecordType	ResOpeCo		(29 total save Membership	Category	Occupation	Deceased	Active	ExternalRisk	Comment	_
IMT_I	0.2	0.2		0.3	0	0	0	0		Acti .
IMT E	0.2	0.2		0.1	0	0	0	ŏ		Actr -
DFAC I	0.2	0.2		0.3	0	0	0	ŏ		Acti
FAC E	0.3	0.3		0.1	0	õ	0	ŏ		Acti
U_1	0.3	0.3	0.4	0	0	õ	0	õ		Acti
U_E	0.3	0.3	0.4	0	0	õ	0	ŏ		Acti
IN_I	0.3	0.3		0.1	0	õ	0	õ		Acti
N_E	0.3	0.3		0.1	0	0	0	ő		Acti
VC_1	0.2	0.2		0.2		0.1	0	0		Acti
VC_E	0.3	0.3		0.1	0	0	0	0		Acti
VC_PEP_I	0.2	0.2		0	0	0.3	0	0		Acti
VC_PEP_E	0.3	0.3		0	0	0	0	0		Acti
JW I	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Acti
JW E	0.2	0.2	0.3	0.1	0	0	0.2	0		Acti ²
JW_PEP_I	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Acti
UST_I	0.5	0.5	0	0	0	0	0	0		Acti
UST_E	0.5	0.5	0	0	0	0	0	0		Acti
ocuity_I	0.2	0.2	0.3	0.3	0	0	0	0		Acti
ocuity_E	0.3	0.3	0.3	0.1	0	0	0	0		Acti
ccuity_PEP_I	0.2	0.2	0.3	0.3	0	0	0	0		Acti
ocuity_PEP_E	0.3	0.3	0.3	0.1	0	0	0	0		Actr
RIV_I	0.5	0.5	0	0	0	0	0	0		Acti
RIV_E	0.5	0.5	0	0	0	0	0	0		Acti
RIV_PEP_I	0.5	0.5		0	0	0	0	0		Acti
RIV_PEP_E	0.5	0.5	0	0	0	0	0	0		Acti
IAC_I	0.2	0.2				0.1	0.1	0		Acti
JAC_PEP_I	0.2	0.2		0.1		0.1	0.1	0		Acti
JAC_E	0.2	0.2		0.1	0	0	0.2	0		Acti
JAC_PEP_E	0.3	0.3	0.4	0	0	0	0	0		Acti 1

Figure 20: Reference Data Filters for Risk Element Weightings

The format for the value in the **RecordType** column is the watch list and a suffix specifying whether the record represents an individual (_I) or an entity (_E). For example, HMT_I . Customer data have a record type of CUST I for individual records and CUST E for entity records.

The higher the weighting number, the more the corresponding risk element contributes to the overall risk score. The weighting scores for each row must add up to 1.

The overall risk score calculation for a record containing *n* elements is as follows:

Risk Score = E1w1 + E2w2 + ...+ Enwn

Where the risk element score for element x is represented by Ex and the weighting for element x is represented by wx.

The total of all weightings must add up to 1, that is, (w1 + w2 + ... + wn = 1).

NOTE If there is no data for a risk element, it must not be included in the risk score calculation.

4.10 Scheduling the Customer Screening Run Job

To execute a Customer Screening Run job, follow these steps:

1. Navigate to the FCI_DB_HOME/bin directory.

- 2. Execute the command /EDQInsert.sh <INFODOM NAME>. This step is used to register the EDQ server details. You must replace the INFODOM NAME placeholder with your domain name.
- 3. Enter the following details in the console where the command is run:
 - EDQ Server IP
 - EDQ Server Direct Port number (JMX port number). This value must be 8090.
 - EDQ Server User Name
 - EDQ Password details

Figure 21: EDQ Details

/scratch/ofsaadb/ES807AX/ES807AX/ficdb/bin>./EDQInsert.sh ES807AXINFO Started finding Jars Ended finding Jars Classpath Created Calling EDQ Main Method Inside EDQ insert method Enter EDQ Server IP: 10.184.152.8 Enter EDQ Server Director Port: 8090 Enter EDQ Server User Name: weblogic Enter EDQ Password: Encrypting password Enter ECM URL: https://whf00avg.in.oracle.com:4752/ES807AX Is Enterprise Case Management Application in the same installation? (Y/N) Enter ECM User Name: CSConnect Enter ECM Password: Incrypting password

4. Create and authorize a new ECM user who has no case privileges. For example, CSConnect. For information on how to create or add and authorize a user, see the *User Administrator* section in the <u>Oracle Financial Services Analytical Applications Infrastructure User Guide</u>.

NOTE In the first login as a new user, you are prompted to change the password.

- 5. Execute the command /EDQInsert.sh <INFODOM NAME> again only if you are doing a packon-pack installation of Enterprise Case Management (ECM) on Sanctions and the ECM URL is unavailable. An entry is made in the ATOMIC schema in the cs_appin_params table.
- 6. Copy the following run profiles from the <domain_name>/edq/oedq.local.home /runprofiles/ directory in the WinSCP server to the FIC_DB_HOME/conf directory:
 - watch list-management.properties
 - customer-screening.properties

- external-entity-screening.properties
- customer-screening-real-time.properties
- 7. Load the stage table data for the customer-related tables. For more information, see <u>Loading</u> <u>Data into the Customer tables</u>.
- 8. In the Run page, select the CS_Data_Load_Event_Generation run and click Fire Run Fire Run. The batches must be run in the order mentioned in the following table. It is not mandatory to run all the batches.

Sequence	Batch Name	Description
1	CS_EDQ_Watch list_Management	This job is used to run the watch list management project and start real-time screening in EDQ based on the run profile parameters. This job must be run daily.
2	CS_EDQ_Watch list_Analyze	This job is used to check the data quality of the downloaded watch list.
3	CSBusinessDataLoad	This job is used to load data from the staging tables to the business tables.
4	CS_Data_Load_Event_Generation	This job is used to match customer data with the downloaded watch list data and to generate alerts.

Table 3: Sequence of Batches to be Run

Figure 22: Run Page

Rur							0
						۹	Search 🏾 Reset
		Code			Version	0	
	Name				Active	Yes	T
		Folder	•	Туре			•
+	New	🖺 View 🖉 Edit 🗟 Copy 🗊	Remove 👃 Authorize 🍽 Export 🔅 Fire	Run			
-		Code 🔺	Name	Туре	Folder	Version	Active
		CSBusinessDataLoad	Customer Screening Business Data Load	Base Run	TFLSEGMENT	0	Yes
		CS_Data_Load_Event_Generation	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Analyze	Customer Screening EDQ Watchlist Analyz	Base Run	TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Management	Call Watchlist Management	Base Run	TFLSEGMENT	0	Yes
Page	1	of 1 (1-15 of 4 items) $~~$ K $~<~~$ >					Records Per Page 4

4.10.1 Loading Data into the Customer Tables

To load data into the Customer tables, follow these steps:

- 1. Log on to the Customer Screening application.
- 2. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Run**. The **Run** page appears.

Figure 23: Run Page

Ru	n						0
						Q s	earch 🖱 Reset
		Code		Version	0		
		Name		Active Yes 🗸		~	
		Folder	~	✓ Type ✓			
+	New	📑 View 🗭 Edit 🖷 Copy 🛢 Rer	move 👃 Authorize 🍽 Export 🕸 Fire Run				
		Code 🔺	Name	Туре	Folder	Version	Active
		CSBusinessDataLoad	Customer Screening Business Data Load	Base Run	TFLSEGMENT	0	Yes
		CS_Data_Load_Event_Generation	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Analyze	Customer Screening EDQ Watchlist Analyze	Base Run	TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Management	Call Watchlist Management	Base Run	TFLSEGMENT	0	Yes
Pag	8 1	of 1 (1-15 of 4 items) $\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \$				Recor	rds Per Page 4

3. In the Run page, select the CSBusinessDataLoad checkbox and click Edit . The Run page appears in edit mode.

Run								
Run Definitio	on (Edit Mode)							
~Linked to	0							
	Fold	ler TFLSEGMENT						
∨Master I	nformation 💣 Properties							
		ID 1525690932447						
	Co	de CSBusinessDataLoad	SBusinessDataLoad					
	Nar	ne Customer Screening	Business Data Loa					
			business bata cos					
∼List		🖉 Move 🔲 Show De	tails					
Locati	on Inf	Run Condition Co	ode	Name				
dol 🗌		dot Cs	S_Start_Batch	CS Start Batch				
dol 🗌	INFee	Job Condition Tr	uncate_Tables	Truncate_Tables				
dol 🗌	INFOD	OMLO CS	_Business_Data_Load	CS Business Data Load				
dol 🗌	INFOD	OMLO CS	S_End_Batch	CS End Batch				

Figure 24: Run Definition (Edit Mode)

- **4.** Click **Selector** and then select **Job**. The **Component Selector** window appears.
- 5. Select the Truncate_Tables task and then click drop-down list .

)Not secure whf00bls.in.orac	:le.com :2116 ⁻	1/ECM808SAN/p	or2						e
iearch			Sort				C	Ok	Close
	Q				Ascending	Descending			
ist Component → ♥ Data Extraction Rules → ↓ Load Data Rules → ↓ File Loading Rules → ↓ Insertion Rules → ↓ Database Functions-Transformations ↓ Base Rules → ↓ Classification Rules → ↓ Computation Rules → ↓	· ·	>		s [4] Object CS Start Batch Truncate_Tables CS Business Data Loa CS End Batch	d				^ ~

Figure 25: Component Selector Window

6. Change the parameter value to \mathbf{N} and click **OK** to close the **Parameters** window.

Figure 26: Parameters Window

		S	ort						
Q					Ascending	Descending			
		Ta	ask	s [4]					
		(Object					
		C		CS Start Batch					
			~	Truncate_Tables					
				CS Business Data Load					
Parameters		X		CS End Batch					
	"N"								
	Ok	Close							

NOTE By default it is "N", if delta mode to be supported, update from "N" to "D".

- 7. Click **Ok** to close the **Component Selector** window.
- 8. Click Next.
- 9. Click Save.

4.10.2 Creating and Running Parallel Batches

Parallel batches can be run in CS if you want to run batches with different jurisdictions at the same time. To run parallel batches, run the CS Data Load Event Generation task for each jurisdiction.

To create parallel batches, follow these steps:

4.10.2.1 Create a process

To create a process, follow these steps:

1. Make an entry in the cs_processing_group table in the N_GROUP_ID and V_GROUP_NAME columns. For ex, 102 and GROUP_US.

Figure 27: Developer Window

se.	select t.*, t.rowid from CS_PROCESSING_GROUP t										
Ħ	∰ • ⊕ + - ✓ ▼ ⊻ M ✓ @ ▽ △ @ ⊟ 🕃										
		N_GROUP_ID	V_GROUP_NAME	ROWID							
	1	101	ORACLECS ····	AAUKO6AATAABjrcAAA							
•	2	102	GROUP_US ···								
*											

- **2.** Log on to the Customer Screening application.
- 3. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Process**. The **Process** page appears.
- 4. Search for Start in the Code field and select CS E2E Start Batch.

Figure 28: Process Page

SCHEDULING THE CUSTOMER SCREENING RUN JOB

Proces	s					0
					Q Search	D Reset
	Cod	e start	Version	0		
	Nam	e	Active	Yes	. 🗸	
	Folde	r 🗸				
+	New 🎦 View 🍞 Edi 😭	Copy 📋 Remove 🤱 Authorize 🚽	🛪 Export 👻 📑 Trace Definition			
* 0	Code	Name	Folder	Version	Active	4
	CS_E2E_Start_Batch	CS_End_To_End_Start_Batch	TFLSEGMENT	0	Yes	
	CS_Start_Batch	CS Start Batch	TFLSEGMENT	0	Yes	
Page	of 1 (1-15 of 2 items)	к < > Я			Records Per	Page 2

5. Click **Copy** . The **Process** page opens in *Copy* mode.

Proc	ess									0
Proce	ess Definition(Copy Mod	de)							Next	Close
~Lir	nked to									
		Folder		10						
×м	aster Information 💣	Properties								
		ID <	< New >:	>		Version	<< NA >>			
		Code	CS_End_	To_End_Start_	Batch	Active	<< NA >>			
		Name	CS_End_	To_End_Start_1	Batch	Туре	Base Run	~		
						Route Execution to High Precedence Node				
~Lis	st 🗈	Selector 🖣	Mov	ve 🔲 Show Detai	ails					
	Location	Infodom		Code		Name	Туре	Simulation Job	Use Descend	lants 🔷
	Job	SANECM	IML807	CS_E2E_Start_Batch	:h	CS_End_To_End_Start_Batch	Process			. 1
	Job	SANECM	IML807	TruncateCSTables		Truncate CS Tables	Process			
	Job	SANECM	IML807	CS_Call_Customer_	r_Screeni	CS Customer Screening Call	Process			-

Figure 29: Process Definition (Copy Mode)

6. In the Folder field, click Folder and then select TFLSEGMENT.

Figure 30: Folder Selector

Sear	ch	Ok Close		
List	Q [1]			
LISC	Name	Code		
	TELSEGMENT			
	IFLSEGMEINT	TFLSEGMENT		

- 7. In the Name field, change the job name to include the Jurisdiction Code. For example, CS_Data_Load_Event_Generation_US.
- 8. Select F_CS_BATCH_RUN.

Figure 31: Process Definition (Copy Mode)

Process										?
									Save	Close
Process Definition(Copy Mode)										
~Linked to										
Folder	TFLSEGMENT		0							
∼ Master Information 🖻 Properties										
ID	<< New >>					Version	< < N/	<		
Code	Code CS_E2E_Start_Batch_US		Active			ctive << NA >>				
Name	Name CS_End_To_End_Start_Batch_US				Туре	Proce	ess Tree 🗸 🗸			
Executable				Route Execution to High	Precedence Node 🕜					
√ ♥ Subprocess 🖯 Component db Precedence 🕼 Move 🗟 Remove 🗟 Show Details 🥒 Merge Rules 🗮 Edit Subprocess										
- Process			Object		Precedence	Туре		Parameter	Executable	
F_CS_BATCH_RUN			F_CS_BATCH_RUN			Data Transform	ation	"GROUP_US","","ALL","START","US		

- 9. Select Component.
- **10.** In the **Parameters** window, select the F_CS_BATCH_RUN task and then click drop-down list . Change the parameter <code>ORACLECS</code> to the entry made in the <code>cs_processing_group</code> table and the parameter CS to the Jurisdiction Code. For example,

"GROUP US", "", "ALL", "START", "US".

Figure 32: Component Selector Window

Search		Sort		
	Q		Ascending Descending	
List		Tasks In ROOT [[1]	
ġ. 4		Object		
Component		F_CS_BATCH	I_RUN	
Data Extraction Rules				
Load Data Rules	Parameters	×		
File Loading Rules	P_US'	","","ALL","START","US"		~
Insertion Rules		Ok Close		
Transformation Rules ⊕ ਰੋਜ				~
Database Functions-Transformations				
Base Rules Classification Rules Computation Rules Computation Rules				

- 11. Click OK to close the Parameters window.
- 12. Click OK.
- 13. Click Save.
- **14.** Search for End in the Code field and select CS_End_To_End_End_Batch.
- **15.** Click **Copy** 1. The **Run** Page opens in *Copy* mode.

- **16.** In the **Folder** field, first click **Folder** and then select **TFLSEGMENT**.
- **17.** In the **Name** field, change the job name to include the Jurisdiction Code. For example, CS Data Load Event Generation US.
- **18.** Select F_CS_BATCH_RUN.
- 19. Select Component.
- **20.** In the **Parameter** field, change the parameter ORACLECS to the entry made in the cs_processing_group table, for example, GROUP_US, and the parameter CS to the Jurisdiction Code, for example, US.
- 21. Click OK.
- 22. Click OK.
- 23. Click Save.

A confirmation message appears. The new parameter is now displayed in the **Run** page.

NOTE In the example shown, the new processing batch name has been changed from CS to US. If this change is not made, no data is loaded in the tables.

4.10.2.2 Creating a Run

To create a run, follow these steps:

- 1. Log on to the Customer Screening application.
- 2. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Run**. The **Run** Page appears.

Figure 33: Run Page

	✓ move 🜲 Authorize (™ Export 🚸 Fire Run	Version 0 Active y Type	25	Q. ~	Search D Reset
Name Folder Edit 🔂 Copy 🖨 Ret	✓ move 🜲 Authorize (™ Export 🕸 Fire Run	Active y	25		
Folder Edit 🔁 Copy 🔒 Ret	▼ move 🜲 Authorize (™ Export 🕸 Fire Run		25		
Edit 😼 Copy 🔋 Rei	🗸 🗸 move 🌲 Authorize 🍽 Export 🕸 Fire Run	Туре		~	
	move 👃 Authorize 🤭 Export 🚸 Fire Run				
۵	Name	Туре	Folder	Version	Active
taLoad	Customer Screening Business Data Load	Base Run	TFLSEGMENT	0	Yes
_Event_Generation	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
hlist_Analyze	Customer Screening EDQ Watchlist Analyze	Base Run	TFLSEGMENT	0	Yes
hlist_Management	Call Watchlist Management	Base Run	TFLSEGMENT	0	Yes
	taLoad _Event_Generation hlist_Analyze hlist_Management if 4 items) K < > > X	_Event_Generation CS Data Load And Event Generation hlist_Analyze Customer Screening EDQ Watchlist Analyze hlist_Management Call Watchlist Management	Event_Generation CS Data Load And Event Generation Base Run hlist_Analyze Customer Screening EDQ Watchlist Analyze Base Run hlist_Management Call Watchlist Management Base Run	Event_Generation CS Data Load And Event Generation Base Run TFLSEGMENT hlist_Analyze Customer Screening EDQ Watchlist Analyze Base Run TFLSEGMENT hlist_Management Call Watchlist Management Base Run TFLSEGMENT	Event_Generation CS Data Load And Event Generation Base Run TFLSEGMENT 0 hlist_Analyze Customer Screening EDQ Watchlist Analyze Base Run TFLSEGMENT 0 hlist_Management Call Watchlist Management Base Run TFLSEGMENT 0

- 3. Search for Start in the Code field and select CS_End_To_End_Start_Batch.
- 4. Click **Copy** 1. The **Run** Page opens in *Copy* mode.

Figure 34: Run Definition (Copy Mode) Page

Run						0
Run Definition (Copy Mode)						Next Close
~Linked to						
	Folder	10				
∼ Master Information 💣 🖡	Properties					
	ID << Nev	v >>	Version	<< NA >>		
	Code CS_Er	nd_To_End_Start_Batch	Active	<< NA >>		
	Name CS_Er	nd_To_End_Start_Batch	Туре	Base Run	~	
			Route Execution to High Precedence Node			
~List	Selector 🖵 🖉 ।	Move 🔲 Show Details				-
Location	Infodom	Code	Name	Туре	Simulation Job	Use Descendants
🗆 Job	SANECMML807	7 CS_E2E_Start_Batch	CS_End_To_End_Start_Batch	Process		
🗆 Job	SANECMML807	7 TruncateCSTables	Truncate CS Tables	Process		
🗆 Job	SANECMML807	7 CS_Call_Customer_Screeni	CS Customer Screening Call	Process		

5. In the Folder field, click Folder and then select TFLSEGMENT.

Figure 35: Folder Selector

Search	Ok Close
Q	
List [1] + NewPage 1 / 1 K < > > Jump to page	
Name C	Code
TFLSEGMENT T	TFLSEGMENT

- 6. In the Name field, change the job name to include the Jurisdiction Code. For example, CS_Data_Load_Event_Generation_US.
- **7.** Click **Selector** list and select **Job**.
- 8. In the Component Selector page, first select the CS_End_To_End_Start_Batch, CS_End_To_End_End_Batch, and Truncate CS Tables tasks (in that order) from the Tasks table and then click < to move them to the List table. The tasks are moved to the Processes node.

Search			Sort		Ok	Close
	Q			Ascending Descending		
List			Task	(s [6]		
È	4			Object		
Component	- 1			CS_End_To_End_Start_Batch		
Data Extraction Rules	- 1			Truncate CS Tables		
	- 1			CS Customer Screening Call		
Load Data Rules	- 1			CS External Entity Screening Call		
	- 1			CS Event Creation		
File Loading Rules	- 1			CS_End_To_End_End_Batch		~
Insertion Rules	- 1	>				
<u>⊨</u> . ∂	- 1					
Transformation Rules	- 1	<				
	- 1					
Database Functions-Transformations						

WARNING Ensure that you remove the Truncate CS Tables job to prevent the removal of data. If, by mistake, you run the Truncate CS Tables job, you can run the CSBusinessDataLoad job to reload data in the table.

- 9. Replace these tasks with the task created in step 17, that is, CS_Data_Load_Event_Generation_US. If you do not make this change, no data is loaded in the tables.
- 10. Click OK.
- 11. Click OK.
- 12. Click Save.

The new job is displayed in the **Run** page.

NOTE	These steps must also be done in the ECM setup. The processes
	and runs created in Customer Screening create alerts, and the
	processes and runs created in ECM fetch the alerts. Cases are
	generated from these alerts. An example of a process created for
	ECM is Oracle_CS_Event_Processing and an example of a run
	<pre>created for ECM is Oracle_CS_Event_Processing_US.</pre>

Figure 36: Component Selector

4.11 Configurations for General Data Protection Regulation (GDPR)

GDPR is a set of data protection rules. The main aim of GDPR is to give control to individuals over their data.

To enable GDPR, perform the following configurations:

- 1. Create a user who will do the GDPR configurations in the same database, for example, GDPR.
- 2. Assign the OFS_NOSEC_DATA privilege to the user by executing the following grant: GRANT OFS_NOSEC_DATA to GDPR
- **3.** Follow these steps to connect to the user:
 - a. Create a synonym called cs_customer for the user by executing the following command: CREATE PUBLIC SYNONYM cs_customer FOR {dbname}.cs_customer {dbname} is the user for whom the CUST data and GDPR is applied
 - b. Go to the EDQ URL and open the Director menu. The Director landing page appears.

Figure 37: Director Menu in EDQ

ORACLE [®] Ente	rprise Data Quality	Launchpad	Web Services 👻
Launchpad			
	Director Server Console		
	Match Review Case Management Case Management		
	Case Management Administration Configuration Analysis		
	•		•

c. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

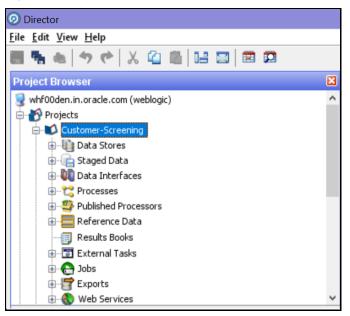


Figure 38: Project Browser Pane

d. Expand the **Data Stores** node and open **FCDM Batch Data**. The **Edit Data Store** window appears.

Figure 39: Edit Data Store Window

O Director	
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>H</u> elp	
📰 🐜 📥 🗢 🥐 🕺 🏠 🏙 🔚 🖼 🛤 🛤	
Project Browser	×
👮 whf00den.in.oracle.com (weblogic)	~
🖕 🏠 Projects	
🖨 💕 Customer-Screening	
🛱 📲 Data Stores	
😝 ACY-Entities-JMP	
😝 ACY-Individuals-JMP	
Cluster Prep - Common Entity Name Tokens-JMP	
Cluster Prep - Common Name Qualifiers-JMP	
El Cluster Prep - Entity Base Tokenization Map-JMP	
Cluster Prep - Entity Name Noise Characters Map-JMP	
Cluster Prep - Entity Name Remove Characters-JMP	
···· 🔡 Cluster Prep - Given Name Map-JMP	
Cluster Prep - Insignificant Entity Names-JMP	
🔡 Cluster Prep - Name Noise Characters Map-JMP	
Cluster Prep - Standard Entity Name Phrases-JMP	
🗧 Cluster Prep - Titles-JMP	
Country - Deleted ISO 3166-1-alpha-2 codes-JMP	
Country - ISO 3166-1-alpha-2 code to Blank-JMP	
Country - ISO 3166-1-alpha-3 to ISO 3166-1-alpha-2 co	
Country - ISO 3166-1 Country Master-JMP	
Customer - Entities	
Customer - Individuals	
DJAC-Entities-JMP	~
UDJAC-Entities-JMP	
UDJAC-Individuals-JMP	
UDJW-Entities-JMP	
BJW-Individuals-JMP	
ECM Matches Output	
Entity Audit	
EU-Entities-JMP	
EU-Individuals-JMP	
E FCDM Batch Data	
Filter - Extracted Origins-JMP	
🔡 Hints - GB Gender from Forename-JMP	

e. In the Edit Data Store window, enter the Database host, Port, Database name, User name, and Password.

Ø Edit Data Store	×
Oracle Configuration]
Database host	Locale Host
Port	1521
Database name	Database Name
Name type	SID 🗸
User name	User Name
Password	
Schema	
The schema nee	I not be entered if it is the default for the user
	Test
	OK Cancel

Figure 40: Edit Data Store for Staging Database Connection

The GDPR configurations are now enabled for the GDPR user. You can view the applicable data in the CUST table.

4.12 **Optional Configurations**

You can perform the following optional configurations:

- To run the Data Quality (DQ) check, set the following values in the watch listmanagement.properties file. This file is located in the <domain name>/edq/oedq.local.home/runprofiles/ directory in the WinSCP server.
 - phase.DQ\ -\ Stage\ DJW\ reference\ lists.enabled = Y
 - phase.DQ\ -\ DJW\ reference\ data\ quality\ analysis.enabled = Y
 - stageddata.DQ\ DJW\ -\ Invalid\ Standard\ Country\ in\ DJ\ Country\ to\ Standard\ Country.visible = Y
 - stageddata.DQ\ DJW\ -\ Missing\ Category\ in\ DJW\ SI\ Category.visible = Y
 - stageddata.DQ\ DJW\ -\ Missing\ Category\ in\ DJW\ SI\ Category\ Description.visible = Y
 - stageddata.DQ\ DJW\ -\ Missing\ DJW\ Country\ in\ DJ\ Country\ to\ Standard\ Country.visible = Y

- stageddata.DQ\ DJW\ -\ Missing\ Name\ in\ DJW\ List\ Provider\ Reference\ Data.visible
- stageddata.DQ\ DJW\ -\ Missing\ Occupation\ Name\ in\ DJW\
 Occupation\ Category.visible
- stageddata.DQ\ DJW\ -\ Obsolete\ Category\ in\ DJW\ SI\ Category.visible
- stageddata.DQ\ DJW\ -\ Obsolete\ Category\ in\ DJW\ SI\ Category\ Description.visible
- stageddata.DQ\ DJW\ -\ Obsolete\ DJW\ Country\ in\ DJW\ Country\ to\ Standard\ Country.visible
- stageddata.DQ\ DJW\ -\ Obsolete\ Name\ in\ DJW\ List\ Provider\ Reference\ Data.visible
- stageddata.DQ\ DJW\ -\ Obsolete\ Occupation\ Name\ in\ DJW\
 Occupation\ Category.visible
- To move data from the Windows batch file to the Linux shell script, follow these steps in the watch list-management.properties file:
 - Comment out phase.DJW\ -\ Download.externaltasks.Download\ Dow\ Jones\ Watch list.command = download-djw.bat
 - Uncomment phase.DJW\ -\ Download.externaltasks.Download\ Dow\ Jones\ Watch list.command = download-djw.sh

5 Integrations with Enterprise Case Management

Customer Screening uses the Enterprise Case Management (ECM) application to investigate and manage cases generated by the matching process in Customer Screening.

The following sections describe the default case types and workflows provided with *Oracle Financial Services Enterprise Case Management*. For more information, see <u>Oracle Financial Services Enterprise</u> <u>Case Management Admin Guide</u>.

5.1 Case Class in ECM

For Customer Screening Application, the following case classes have been added in the Oracle Financial Services Enterprise Case Management Application:

- CS
- CS_EE
- CS_RT

To add new case classes, follow the steps in the *Adding Case Class* section in the <u>Oracle Financial</u> <u>Services Enterprise Case Management Admin Guide</u>.

Figure 41: Case Designer Page

	PACLE				(1)	US-English 🔻	ECMADMN 🔻	0	A
Home > Case	e Designer								1
Case Class Definit	ition Case	Type Definition							
Case Type	A	dd Case Type Definition							
Default AML	> >	Case Class Description	CS 💌	* Case Type	CS_EE_EDD				
Fraud	•								
KYC	•	Attributes Entities Wor	rkflow						
CS	*	Available Attributes		Selected Attributes					-
CS_EDD		Document Control # Scenario Class		Case ID					
CS_EE_EDD		Risk Score Next Periodic Review D		Type					
CS_EE_PEP		KYC Risk Score Expiratio	Jate	Status Title					
CS_EE_PRB				Jurisdiction Business Domain					
CS_EE_SAN				Priority					
CS_PEP				Crasted					
CS_PRB		 Attributes 							
CS_RT_EDD		Case ID		Class	•				
CS_RT_PEP		Туре			· · · · · · · · · · · · · · · · · · ·				
CS_RT_PRB		Title		Jurisdiction					
CS_RT_SAN		Business Domain	=	Priority	•				
CS_SAN		Created	mm/dd/yyyy	Owner Organization	•				
		Due			•				
TBML	*	Closed		Assignee	•				
Test_cls_n1	+	Description							
Test_cls_282_up	p 🕨	> Entities							
Test_cls_3	+	> Workflow							
Test_cls_4	•								
Test_cls_5	•						Save Canc	el	
Test_cls_6	+								

5.2 Case Types under Case Class

The following case types are created for the CS case class:

- CS_EDD: Enhanced Due Diligence (EDD)
- **CS_PRB**: Prohibition (PRB)
- CS_SAN: Sanctions (SAN)
- CS_EE_EDD: Enhanced Due Diligence (EDD) for External Entity screening
- CS_EE_PEP: Politically Exposed Person (PEP) for External Entity screening
- CS_EE_PRB: Prohibition (PRB) for External Entity screening
- CS_EE_SAN: Sanctions (SAN) for External Entity screening
- **CS_PEP**: Politically Exposed Person (PEP)
- **CS_RT_EDD**: Enhanced Due Diligence (EDD) for Real-Time screening
- CS_RT_PEP: Politically Exposed Person (PEP) for Real-Time screening
- CS_RT_PRB: Prohibition (PRB) for Real-Time screening
- CS_RT_SAN: Sanctions (SAN) for Real-Time screening

For each Case Type, default Entities are mapped. If additional Entities are required, see the *Adding Optional Entities to the Case Type* section in <u>Oracle Financial Services Enterprise Case Management</u> <u>Admin Guide</u>.

5.3 Case Correlation, Linked Cases, and Searching for Cases

After the Customer Screening batch is run, alerts are correlated into cases based on the watch list record type. More than one case can be generated for a single alert, one each for Sanctions (SAN), Country Prohibitions (PRB), Politically Exposed Persons (PEP), and Enhanced Due Diligence (EDD).

You can view the case which is linked with the case being investigated. The following image shows the fields:

Link Cases			×
Selected Cases:	CA101		
Action:	Select a value 👻		
Comments:			
		Save	Cancel

Figure 42: Link Cases Window

You can configure the correlation rules for an alert in the *Correlation* tab, or view the cases linked to the case being investigated in the *Relationship* tab. For more information, see the *Using Operational Data Tabs* section in <u>Oracle Financial Services Enterprise Case Management User Guide</u>.

There are certain ready-to-use Customer Screening case type search criteria. They can be viewed in the *Search Cases* tab in ECM. For more information, see the *Searching Cases* section in <u>Oracle</u> <u>Financial Services Enterprise Case Management User Guide</u>.

Created From	mm/dd/yyyy	1	То	mm/dd/yyyy		
Class		=	Туре		=	
Title			Jurisdiction		=	
Ø Entity Type		*	Entity ID			
Action Type	Vorkflow Voren	ational	O Case Action		=	
Action From	mm/dd/yyyy	曲	To	mm/dd/yyyy	=	
Due From	mm/dd/yyyy		То	mm/dd/yyyy	=	
Closed From	mm/dd/yyyy	=	To	mm/dd/yyyy	=	
Event Type		E	Scenario		=	
andard Comments		-	Narrative/Comments			

Figure 43: Search Cases Window

5.4 Creating Workflows for Case Types

Each of the Sanctions (SAN), Country Prohibitions (PRB), Politically Exposed Persons (PEP), and Enhanced Due Diligence (EDD) cases go through a workflow. The SAN and PRB cases have the same ready-to-use workflow, and the PEP and EDD cases have the same workflow.

5.5 Workflow Diagrams

The following diagrams represent the workflows for the Sanctions (SAN), Politically Exposed Persons (PEP), Country Prohibition (PRB), or Enhanced Due Diligence (EDD) records:

5.5.1 SAN and PRB Workflow

The workflow for the sanctions and country prohibition records are as follows:

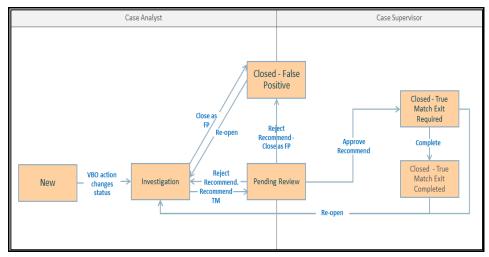
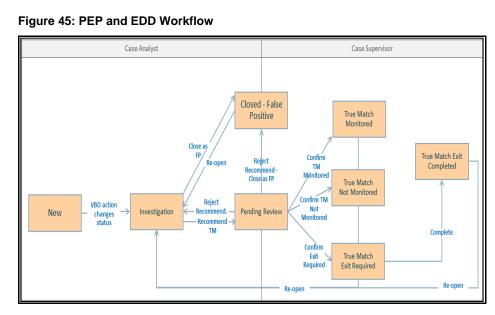


Figure 44: SAN and PRB Workflow

5.5.2 PEP and EDD Workflow

The workflow for the Politically Exposed Persons and Enhanced Due Diligence records are as follows:



5.6 Taking Actions on Customer Screening-related Cases

You can take an action on a case depending on the workflow status, case type, and user. You can also add a comment and attach a document To take an action on a case, see the *Using Take Action Window* section in <u>Oracle Financial Services Enterprise Case Management User Guide</u>.

The following figure shows a sample of an EDD workflow that has a Pending Review status and Supervisor user.

Figure 46: Take Action Window

Take Action			×
Selected Cases			
CA172			
Due Date			
Set Due Date			
Assign			
Auto Assignment	Set Case Owner	Set Case Assignee	
Evidence			
✓ Add Comment	Attach Document		
Standard Comments			
Please select			2
Enter Comments			
		Save Cano	el
			-

NOTE	When a match decision is taken for an alert, you can make the comments mandatory or optional.
	• To make comments mandatory, set the values of the REQ_CMNT_FL column in the KDD_ACTION table to Y. Run select t.action_cd,t.action_nm from kdd_action t and update the value. You cannot take an action until you provide a comment.
	 To make comments optional, set the values of the REQ_CMNT_FL column in the KDD_ACTION table to N. You can take an action even if you do not provide a comment.

5.7 Setting Thresholds for Case Priorities

The case priority is based on the case type and risk score. You can set the case priority in the FCC_CASE_PRIORITY table. By default, if you do not set the case priority, it is set to **High**.

6 Real-Time Screening

There are two ways to perform screening in the Customer Screening application: real-time screening and batch screening.

Real-time screening is the screening of individuals and entities that occur when you enter data in the **Real-Time Screening** page and click **Scan**. When you screen data in real-time, you can see the screening results after running the real-time screening job. For more information, see <u>Running the Real-Time Screening Job</u>.

Batch screening is the screening of individuals and entities that occur when you run the batch screening job. Before you run the job, you must first configure the Enterprise Data Quality (Director) details and then prepare and analyze the customer screening and external entity data in the Financial Crime Data Model (FCDM). For more information, see <u>Running the Batch Screening Job</u>.

The following image shows the different components involved during the Real-time screening process:

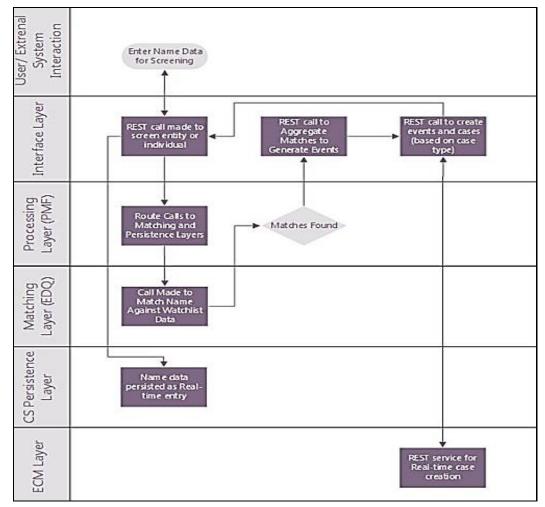


Figure 47: Real-Time Screening Workflow

After you provide data on the **Real-Time Screening** page, a REST call is made to the individual or entity being screened in the real-time screening user interface. The call is then routed to the **Enterprise Data Quality** (EDQ) system through the **Process Modelling Framework** (PMF) application. The information is then matched against the watch list data. Data is also persisted as external entities in the FCT RTSCR REQUEST table.

If a match is found, the matches are aggregated. The aggregated matches are used to create alerts and cases for external entities in Financial Crime Data Model (FCDM) and Analytical Application Infrastructure (AAI) and generate responses in PMF. The cases are displayed in the **Case Summary** page in Enterprise Case Management (ECM) for investigation.

NOTE	•	Real-time screening can be performed only when the real-time screening job in EDQ is running.
	•	To cancel the real-time screening process, select Shutdown web services in the Cancel Individual Real-time Screening web services dialog box.
	•	The Real-time access group must only be mapped to the case supervisor or the case analyst users and must not be mapped to the admin user.

6.1 Configuring the EDQ URL

To configure the EDQ URL for Real-time screening, follow these steps:

- 1. Navigate to the FCI_DB_HOME/bin directory.
- 2. Execute the command /EDQInsert.sh <INFODOM NAME>. This step is used to register the EDQ server details. You must replace the INFODOM NAME placeholder with your domain name.
- **3.** Enter the following details in the console where the command is run:
 - EDQ server IP: An example of the EDQ URL is http://whf00bte.in.oracle.com:7008/edq. Replace this with your EDQ server's URL.
 - EDQ Server Direct Port number: This is the JMX port number. This value must be 8090.
 - EDQ Server User Name: An example of the EDQ server user name is weblogic. Replace this with your EDQ server's user name.
 - EDQ Password: An example of the EDQ password is weblogic1. Replace this with your EDQ server's password.

Figure 48: Configure the EDQ URL in Real-time Screening

```
/scratch/ofsaadb/PACK806BS/PACK806BS/ficdb/bin>./EDQInsert.sh SANPACKINFO
Started finding Jars
Ended finding Jars
Classpath Created
Calling EDQ Main Method
Inside EDQ insert method
Enter EDQ Server IP:
10.184.158.232
Enter EDQ Server Director Port:
8090
Enter EDQ Server User Name:
weblogic
Enter EDQ Password:
Encrypting password
Enter ECM URL:
https://mum00ctf.in.oracle.com:7501/SANPACK
Enter ECM User Name:
ECMADMN
Enter ECM Password:
Encrypting password
```

4. Configure the EDQ URL in the CONFIG schema. To do this, run the following script and replace the placeholders in the v_method_name and v_param_1 columns with the EDQ URL, EDQ user name, and EDQ password respectively:

```
select t.*,t.rowid from aai_wf_application_api_b t where
t.v_process_id='CSRT' and t.v_app_api_id in
('1521535704140','1521535760435')
```

6.2 Screening Watch List Records in Real-Time

To screen watch list records, follow these steps:

- 1. Log on to the Customer Screening application.
- 2. Click Real-Time Screening. appears.

Figure 49: Real-Time Screening Page

Given Names	Jurisdiction *		Address Country	Country of Birth
m	DN of AMEA	•		
Family Names	Business Domain *		Residency Country	External ID Type
	DEFAULT	•		v
Original Script Name	City		Nationalities	External ID
Date of Birth	Passport Number		Passport Issuing Country	
mm/dd/yy				
Scan Clear				

3. In the Real-Time Screening page, select the search type as Individual or Entity.

The following fields appear if the search type is **Individual**.

Figure 50: Individual Search Type

Select the search type : Individual En	tity			
Given Names	Jurisdiction *		Address Country	Country of Birth
m	DN of AMEA	•		
Family Names	Business Domain *		Residency Country	External ID Type
	DEFAULT	•		v
Original Script Name	City		Nationalities	External ID
Date of Birth	Passport Number		Passport Issuing Country	
mm/dd/yy				
Scan Clear				

The following fields appear if the search type is **Entity**.

Figure 51: Entity Search Type

Entity Name *	Jurisdiction *		External Type		Operating Countries
			External type		
	DN of AMEA	•		•	
Original Script Name	Business Domain *		External ID		Address Country
	DEFAULT	•			
			City		Registration Country

- 4. Provide details in the following mandatory fields:
 - **Jurisdiction**: Select the jurisdiction to which the individual or entity belongs to.
 - Business Domain: Select the business domain to which the individual or entity belongs to.

You can also provide details in the following optional fields:

- **Given Name**: Enter the first name of the individual.
- Address Country: Enter the current address of the individual or entity.
- **Country of Birth**: Enter the country in which the individual was born or the entity originated. This field is applicable only when you select the search type as **Individual**.
- **Family Name**: Enter the family name of the individual.
- **Residency Country**: Enter the country of residence of the individual or entity. This field is applicable only when you select the search type as **Individual**.
- Operating Countries: Enter the countries the entity operates in. To add more than one country, add a comma between the country. For example: US, India. This field is applicable only when you select the search type as Entity.
- **Registration Country**: Enter the country the entity is registered in. This field is applicable only when you select the search type as **Entity**.
- External ID Type: Select the external ID type of the individual or entity.

- **Original Script Name**: Enter the name of the individual or entity in the original script if the script is a non-Latin script.
- **City**: Enter the city of residence of the individual or entity.
- **Nationalities**: Enter the nationality of the individual. This field is applicable only when you select the search type as **Individual**.
- **External ID**: Enter the external ID unique to the individual or entity.
- Date of Birth: Enter the date of birth of the individual or the date of conception of the entity. This field is applicable only when you select the search type as Individual.
- **Passport Number**: Enter the passport number of the individual.
- **Passport Issuing Country**: Enter the country in which the passport is issued.
- 5. Click Scan. The screened watch list records are displayed.

Figure 52: Scanning Real-time Screening Records Table

Given Nan	nes		Jurisdiction *		Address Countr	ry Cou	untry of Birth		
Robert			Americas						
Family Na	mes		Business Domain *		Residency Cour	ntry Extr	ernal ID Type		
Mugabe			GEN	-					•
Original Se	cript Name		City		Nationalities	Exte	ernal ID		
Date of Bin mm/dd/y Scan		益		1 Cases cre	eated with 1 event				
ID : CA38	3 Record Type:	SAN							
t Key	Name Type	Primary Name	Full Name	Original Script Name	Watchlist ID	Match Rule	Match Score	Country	Nationality
	Primary	ROBERT GABRIEL MUGABE	ROBERT GABRIEL MUGABE		1	[1060O] Abbreviated standardized given name or	nly 81		

6.3 Running the Real-Time Screening Job

To source the data from the Financial Crime Data Model (FCDM) and run the FCDM data preparation process, disable the MAIN_RT real-time screening job phase and enable the FCDM job phases in the customer screening-real time.properties and external-entity-screening.properties run profiles. These files are available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory in the WinSCP server. phase.Start\ Real-time\ Screening.enabled = Y

```
# Control single real-time screening types
phase.Real-time\ Screening.process.Individual\ Real-time\
Screening.san_enabled = Y
phase.Real-time\ Screening.process.Individual\ Real-time\
Screening.pep_enabled = Y
phase.Real-time\ Screening.process.Individual\ Real-time\
Screening.edd enabled = Y
```

```
phase.Real-time\ Screening.process.Entity\ Real-time\ Screening.san_enabled
= Y
phase.Real-time\ Screening.process.Entity\ Real-time\ Screening.pep_enabled
= Y
phase.Real-time\ Screening.process.Entity\ Real-time\ Screening.edd_enabled
= Y
```

6.4 Adding a New Field in a Webservice

Currently, you can only search for the ready-to-use web service fields in the Real-time screening user interface. If you want to add a custom field to an existing web service, for example, full name, you must enter the field name in the applicable web service node and add the field to the applicable process. To do this, follow these steps:

1. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

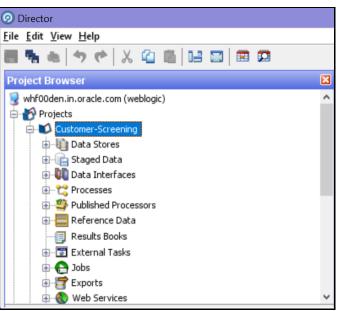


Figure 53: Project Browser Pane

2. Expand the Web Services node and double-click the IndividualScreen web service.

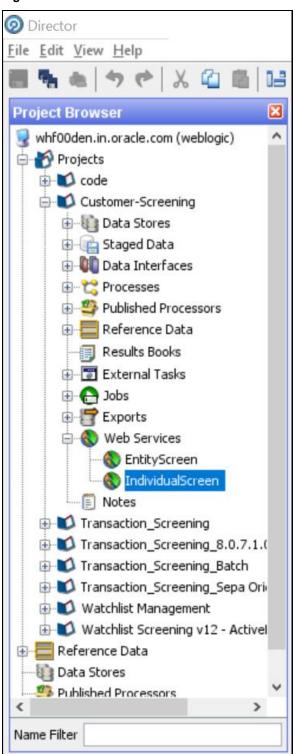


Figure 54: Web Services Node

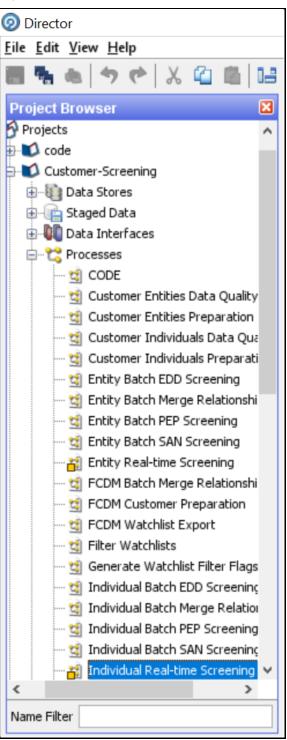
3. Click the **Plus** icon 🕂 in the **Web Service Inputs** window. A new row appears in the table.

eb Service Inputs What should this web service expect?		RACL
Multi Record		
Attribute Name	Attribute Type	
customou ngoo	DNITALC	~
CustomString40	STRING	
CustomDate1	DATE	
CustomDate2	DATE	
CustomDate3	DATE	
CustomDate4	DATE	
CustomDate5	DATE	
CustomNumber1	NUMBER.	
CustomNumber2	NUMBER.	
CustomNumber3	NUMBER	
CustomNumber4	NUMBER	
CustomNumber5	NUMBER	
	STRING	~
4 —	<u>የ</u>	+ +
mpty names not allowed		

Figure 55: Edit Web Service Window

- **4.** Enter the name of the column, for example, *FullName*, and click anywhere inside the table to enable the **Next** button.
- 5. Click **Next** until you view the **Finish** button, and click **Finish**.
- 6. In the **Customer-Screening** project, expand the **Processes** node and double-click the **Individual Real time Screening** process.

Figure 56: Processes Node



- **7.** Click the **Individual Real-time Data** process icon in the **Individual Real-time Screening** window.
- 8. Search for *FullName* in the **Reader Configuration** window.

aadar S	ource	Icon & Family			
eauer 5	ource	Icon & Family			
Туре	Realt	me	~	Selected Inputs for Process:	
Source	Indivi	dualScreen	\sim	ListSubKey (string)	^
FullNar	ne (stri	na)		ListRecordType (string)	
	and frame	1997		ListRecordOrigin (string)	
				CustId (string) CustSubId (string)	
			×	PassportIssuingCountry (string)	
			>	NationalId (string)	
				Tible (abulance)	
			<	GivenNames (string)	
			«		
				NameType (string)	
				NameQuality (string)	
				PrimaryName (string)	
				OriginalScriptName (string)	
				Gender (string) DateOfBirth (date)	~
5earch	full		×	Data Stream Name Individual Real-time	e Data

Figure 57: Reader Configuration window

- **9.** Select *FullName* and select the **Remove** icon to move it to **Selected Inputs for Process**.
- 10. Click OK.

After you add the new field, you must integrate it with the Real-time screening user interface to display it in the user interface. To do this, follow these steps:

- Open the RTScreening.html file from the <Installed Sanctions Path>/js/views directory. For example, ECM808SAN.war path }/realTimeScreening/js/views.
- 2. Change the external ID placeholders to *FullName*.

```
<oj-label for ="text-input">External ID</oj-label>
```

```
<oj-input-text id="externalId" value="{{ExternalId}}"></oj-input-text>
```

- **3.** Copy the code with the new value.
- 4. Open the RTScreening.js file from the <Installed Sanctions Path>/js/viewModels directory. For example, ECM808SAN.war path }/realTimeScreening/js/viewModels.
- 5. Update the placeholder within γ with the copied code with the same syntax as given in the id in the html file in the self.Clear function:

```
Document.getElementById("FullName").value = '';
```

6. Update the placeholder within "" with the copied code with the same syntax as given in the id in the html file in the self. IndividualScreenObject array:

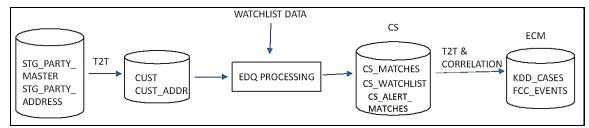
FullName:""

Batch Screening

7

The following diagram describes the data movement from Customer Screening to Enterprise Case Management (ECM) during the batch screening process.

Figure 58: Batch Screening Workflow



The data movement in the workflow is as follows:

- Data is moved from the STG_PARTY_MASTER, STG_PARTY_ADDRESS, STG_CASA, STG_LOAN_CONTRACTS, STG_PARTY_ACCOUNT_ROLE_MAP, STG_PARTY_ROLE_MAP, STG_TD_CONTRACTS, STG_TRADING_ACCOUNT, and STG_PARTY_OTHER_NAMES tables to the CUST, CUST_ADDR, ACCT, CUST_NAME and other associated customer tables using the Table-to-Table (T2T) mode.
- 2. The watch list data is downloaded from the watch list-management project in EDQ. The watch list data is matched with the data in the CUST and CUST_ADDR tables in the Customer-Screening project.
- **3.** The matches are loaded into the CS_MATCHES table and the corresponding watch list data is loaded into the CS_WATCHLIST table.
- **4.** Data from the CS_MATCHES_HIST table is generated as alerts in the CS_ALERTS and CS_ALERTS_MATCHES tables.

NOTE	1. The CS_MATCHES_HIST table contains all the matches made. Each time screening is run, the CS_MATCHES table is compared to the CS_MATCHES_HIST table and any new or updated matches are added to the CS_MATCHES_HIST table. This creates a new alert.
	2. Every time you run the Customer-Screening project, data is cleared from the CS_MATCHES table.

5. Data is correlated and loaded into the KDD_CASES and FCC_EVENTS tables in ECM.

7.1 Configuring the EDQ URL

To configure the EDQ URL for batch screening, follow these steps:

1. Navigate to the FCI_DB_HOME/bin directory.

- 2. Execute the command /EDQInsert.sh <INFODOM NAME>. This step is used to register the EDQ server details. You must replace the INFODOM NAME placeholder with your domain name.
- 3. Enter the following details in the console where the command is run:
 - EDQ server IP: An example of the EDQ URL is http://whf00bte.in.oracle.com:7008/edq. Replace this with your EDQ server's URL.
 - EDQ Server Direct Port number: This is the JMX port number. This value must be 8090.
 - EDQ Server User Name: An example of the EDQ server user name is weblogic. Replace this with your EDQ server's user name.
 - EDQ Password: An example of the EDQ password is weblogic1. Replace this with your EDQ server's password.

Figure 59: Configure the EDQ URL in Batch Screening

```
/scratch/ofsaadb/PACK806BS/PACK806BS/ficdb/bin>./EDQInsert.sh SANPACKINFO
Started finding Jars
Ended finding Jars
Classpath Created
Calling EDQ Main Method
Inside EDQ insert method
Enter EDQ Server IP:
10.184.158.232
Enter EDQ Server Director Port:
8090
Enter EDQ Server User Name:
weblogic
Enter EDQ Password:
Encrypting password
Enter ECM URL:
https://mum00ctf.in.oracle.com:7501/SANPACK
Enter ECM User Name:
ECMADMN
Enter ECM Password:
Encrypting password
```

4. Configure the EDQ URL in the CONFIG schema. To do this, run the following script and replace the placeholders in the v_method_name and v_param_1 columns with the EDQ URL, EDQ user name, and EDQ password respectively:

```
select t.*,t.rowid from aai_wf_application_api_b t where
t.v_process_id='CSRT' and t.v_app_api_id in
('1521535704140','1521535760435')
```

7.2 Staging Database Connection Details

To run the customer screening jobs using the Financial Crime Data Model (FCDM) as a source of customer and external entity data, you must add the connection details of the staging database into which FCDM will place the data to be screened in EDQ.

To set the connection details for customer and external entity data, follow these steps:

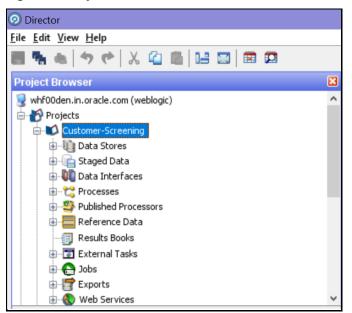
1. Go to the EDQ URL and open the **Director** menu.

Figure 60: Director Menu in EDQ

	se Data Quality			Launchpad	Q Log In Web Services ▼
Launchpad					
	Director	Server Console	Ũ		ĺ
	Match Review	Case Management	•		
	Case Management Administration	Configuration Analysis	۲		
					•

2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 61: Project Browser Pane



3. Expand the **Data Stores** node and open **FCDM Batch Data**. The **Edit Data Store** window appears.

Figure 62: Data Stores Node

Director	
<u>File Edit View H</u> elp	
日本	
	-
1	×
whf00den.in.oracle.com (weblogic)	^
Projects	
Customer-Screening	
Data Stores ACY-Entities-JMP	
ACY-Individuals-JMP	
Cluster Prep - Common Entity Business Words-JMP	
Cluster Prep - Common Entity Name Tokens-JMP	
Cluster Prep - Common Name Qualifiers-JMP	
Cluster Prep - Entity Base Tokenization Map-JMP	
🗧 Cluster Prep - Insignificant Entity Names-JMP	
😝 Cluster Prep - Name Noise Characters Map-JMP	
🚼 Cluster Prep - Remove Initials-JMP	
🔡 Cluster Prep - Standard Accented Characters-JMP	
El Cluster Prep - Standard Entity Name Phrases-JMP	
Cluster Prep - Standard Entity Name Words-JMP	
Cluster Prep - Titles-JMP	
Country - Deleted ISO 3166-1-alpha-2 codes-JMP	
Country - ISO 3166-1-alpha-2 code to Blank-JMP	
Country - ISO 3166-1-alpha-3 to ISO 3166-1-alpha-2 co	
Country - 150 3166-1 Country Master-JMP	
Customer - Individuals	
DJAC-Entities-JMP	
DJAC-Entities-JMP	~
DJAC-Individuals-JMP	
DJW-Entities-JMP	
DJW-Individuals-JMP	
ECM Matches Output	
Entity Audit	
FCDM Batch Data	
Filter - Extracted Origins-JMP	

4. In the **Edit Data Store** window, enter the database host, database name, user name, and password.

💿 Edit Data Store	>	<
Oracle Configuratio	n	
Database host	Locale Host	
Port	1521	
Database name	Database Name	
Name type	SID 🗸	
User name	User Name	
Password		
Schema		
The schema nee	d not be entered if it is the default for the user	
	Test	
5	OK Cancel	

Figure 63: Edit Data Store for Staging Database Connection

NOTE	1.	OEDQ release 12c has a base config folder and a local config folder. The base config folder is called oedqhome and the local config folder is called oedqlocalhome. The names may differ in some cases. For example, dots or underscores may be inserted in the names, such as oedq_local_home.
	2.	It is not necessary to enter the schema name if the user name mentioned is the schema owner.
	3.	The parameters can be passed as externalized values in

the runopsjob command.

7.3 Enabling Customer and External Entity Tables

The FCDM Integration section of the customer-screening.properties and external.entity.properties run profile contains the following parameters. These files are available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory in the WinSCP server.

- phase.Batch\ Screening\ FCDM.enabled
- phase.Snapshot\ External\ Entity\ Data.enabled

To enable screening of the customer table, set <code>phase.Batch\</code> Screening\ FCDM.enabled to Y and <code>phase.Snapshot\</code> External\ Entity\ Data.enabled to N.

 $\label{eq:screening} To enable screening of the external entity table, set <code>phase.Batch\ Screening\ FCDM.enabled to N and phase.Snapshot\ External\ Entity\ Data.enabled to Y. \\$ </code>

7.4 Data Preparation in FCDM

Before you prepare data for individuals and entities, there is an FCDM-specific data preparation process which needs to be performed. This process performs the following transformations:

- Splits records into individuals and entities based on Customer Type Code
- Creates additional rows of data for aliases
- Creates name attributes compatible with CDI
- Derives gender and year of birth for individuals

NOTE The FCDM Data Preparation job is built on expected population of data in FCDM. This must be validated for each specific implementation and the process adapted if required.

7.4.1 Establishing a JDBC Database Connection using WebLogic

To set up a database connection using the WebLogic server, follow these steps:

1. In the WebLogic server, provide the name of the JNDI directory in the **JNDI Name** field in the **General** subtab of the **Configurations** tab.

/iew changes and restarts			*********					
Configuration editing is enabled. Future changes will automatically be activated as you	Settings for SA	NCECM807IF	NO					
nodify, add or delete items in this domain.	Configuration	n Targets	Monitoring	Control	Security	Notes		
Domain Structure	General Co	onnection Pool	Oracle	ONS T	ransaction	Diagnostics	Identity Options	
ev_domain P Domain Partitions	Save							
Deployments Services Hessaging Data Sources Persistent Stores	connection to	get a database o the application ables you to de	n from its po	ol of datal	base connect	ions.		and Directory Interface (INDI) tree and then requesting a connection. The data source provides the
Foreign JNDI Providers	Name:					SANCECM807	IFNO	A unique name that identifies this data source in the WebLogic domain. More Info
XML Entity Caches	Datasource T	Type:				GENERIC		The data source type. Valid types are: More Info
Mail Sessions	Scope:					Global		The scope in which the data source is available in More Info
tow do I Create JDBC generic data sources Create JDBC GridLink data sources Create LLR-enabled JDBC data sources	🧑 JNDI Nan jdbc/SAN(ne: CKCMS07IF)	10			^		The JNDI path to where this data source is bound. By default, the JNDI name is the name of the data source. More Info
ystem Status						~		
tealth of Running Servers as of 10:38 AM Failed (0)	🗆 🚳 Row P	Prefetch Enab	led					Enables multiple rows to be "prefetched" (that is, sent from the server to the client) in one server access. More Info
Critical (0) Overloaded (0) Warning (0)	Row Prefetch Size:			48		If row prefetching is enabled, specifies the number of result set rows to prefetch for a client. More Info		
ОК (2)	👩 Stream C	hunk Size:				256		Specifies the data chunk size for steaming data types. More Info
	Save							

Figure 64: JNDI Name

2. In the **Connection Pool** subtab, provide the connection details of the JDBC URL. Enter the JDBC URL in the **URL** field and the class name of the JDBC driver in the **Driver Class Name** field.

View changes and restarts			
Configuration editing is enabled. Future	Settings for SANCECM807IFNO		
changes will automatically be activated as you modify, add or delete items in this domain.	Configuration Targets Monitoring	Control Security Notes	
Domain Structure	General Connection Pool Oracle	ONS Transaction Diagnostics Identity Options	
dev_domain	Save		
Dromain Partitions Deployments Deployments Deployments Deflows Sources "Details Sources "Details Sources	The connection pool within a JDBC data deploying the data source to a new targe Use this page to define the configuration	et.	The connection pool and the connections within it are onested when the connection pool is registered, usually when starting up WebLogic Server or when
"Foreign JNDI Providers "Work Contexts "XML Registries	👩 URL:	jdbc:oracle:thin:@whf00bik.in.oracle.com:1521:DBWHF	The URL of the database to connect to. The format of the URL varies by JDBC driver. Nore Info
····XML Entity Caches ·····;COM	👩 Driver Class Name:	oracle.jdbc.OracleDriver	The full package name of JDBC driver class used to create the physical database connections in the connection pool. (Note that this driver class must be in the classpath of any server to which it is deployed.) More Info
How do L	Properties:		The list of properties passed to the JDBC driver that are used to create physical database connections. For example: server=dbarver1. List each property-value pair on a separate line. More Info
Configure testing options for a JDBC data source Configure the statement cache for a JDBC connection pool Configure credential mapping for a JDBC data source		Ç	
Source Configure connection harvesting for a connection pool Encrypt connection properties System Status	System Properties:	Â	The list of system paperses earned passed to the XBC one that are used to create physical database convectors. For example: server-diserver1. List exch property-value pier on a separate lise. New life
Pailed (0) Critical (0) Overlaaded (0) Warning (0) OK (2)	Encrypted Properties:	Add Securely	The fiel of encrypted properties passed to the JDIC driver that are used to create physical database connections. For example: passed-value. Note Mitt
	Password:	••••••	The password attribute passed to the JDBC driver when creating physical database connections. Hore Info
	Confirm Password:	•••••••	
	Initial Capacity:	1	The number of physical connections to create when creating the connection pool in the data source. If whatle to create this number of connections, creation of the data source will fail. More Info

Figure 65: JDBC URL and Driver

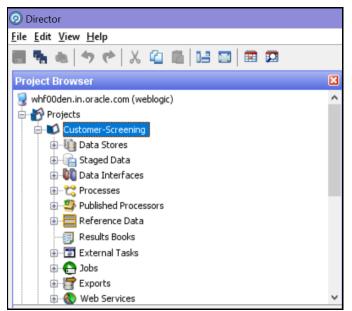
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

						0	Log In
	ise Data Q	uality			Launchpad	Web Servie	ces 🔻
Launahnad							
Launchpad							A
	Ø	Director	Server Console	ø			
	=	@ Match Review	Case Management	Ø			
		Case Management Administration	Configuration Analysis	Ø			
		0					•

Figure 66: Director Menu in EDQ

2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 67: Project Browser Pane



3. In the **Project Browser** pane, right-click **Data Stores** under the Customer-Screening project and then select **New Data Store**.

Ø Director			
File Edit View Help			
🐂 👟 🦘 (*) 🗶 🖆 🏙 🖬 🔤 🕮 🕮			
Project Browser	×		
swhf00den.in.oracle.com (weblogic)	^		
Projects	New Data Store		×
Customer-Screening	Wew Data Store		~
ACY-Entities-JMP	Data Store Categor	v	ORACLE
ACY-Individuals-JMP	Select the data store	category	
Cluster Prep - Common Entity Business Words-JMP			
Cluster Prep - Common Entity Name Tokens-JMP			
Cluster Prep - Common Name Qualifiers-JMP	Data is accessed from	Server	~
	Category	Other	
Uluster Prep - Entity Name Noise Characters Map-JMP			~
Cluster Prep - Entity Name Remove Characters-JMP	Туре	JDBC connection Server-based DB files	
Cluster Prep - Given Name Map-JMP		Scriver bused bb nies	
Cluster Prep - Insignificant Entity Names-JMP			
Cluster Prep - Name Noise Character's Map-JMP Cluster Prep - Remove Initials-JMP			
Cluster Prep - Standard Accented Characters-JMP			
Cluster Prep - Standard Entity Name Phrases-JMP			
Cluster Prep - Standard Entity Name Words-JMP			
Cluster Prep - Titles-JMP			
Country - Deleted ISO 3166-1-alpha-2 codes-JMP			
Country - ISO 3166-1-alpha-3 to ISO 3166-1-alpha-2 code-			
Country - ISO 3166-1 Country Master-JMP			
Customer - Entities			
Ustomer - Individuals DJAC-Entities-JMP			<back next=""> Cancel</back>
DJAC-Entitides-JMP			Cancel
DJW-Entities-JMP			No data to display, please click an item to view results.
	*	-	
Name Filter			

Figure 68: New Data Store

4. In the New Data Store window, select the type as JDBC Connection and click Next.

Ø Director	
File Edit View Help	
🐂 🐀 (ち ぐ) 从 🖆 🛍 🔛 📰 🕮	
Project Browser	
Cluster Prep - Entity Base Tokenization Map-JMP	~
Cluster Prep - Insignificant Entity Names-JMP	
Cluster Prep - Name Noise Characters Map-JMP	
Cluster Prep - Remove Initials-JMP	S Edit Data Store
	JNDI Datasources Configuration
Cluster Prep - Titles-JMP	JNDI Name jdbc/SANCECM807IFNO
Country - Deleted ISO 3166-1-alpha-2 codes-JMP	Schema
Country - ISO 3166-1-alpha-2 code to Blank-JMP	
Country - ISO 3166-1-alpha-3 to ISO 3166-1-alpha-2 code-JMP	Use of schema is dependent on the underlying database
Country - ISO 3166-1 Country Master-JMP	User name
Customer - Entities	Password
	User name and password are required if security for the datasource has been enabled in the
DJAC-Entities-JMP	User name and password are required in security for the datasource has been enabled in the application server
DJW-Entities-JMP	Test
ECM Matches Output	OK Cancel
	OK Cancel
EU-Individuals-JMP	
😝 FCDM Batch Data	
FCDM Batch Data Old	
Filter - Extracted Origins-JMP	
Hints - GB Gender from Forename-JMP	No data to display, please dick an item to view results.
Hints - GB Gender from Title-JMP	✓
Name Filter	
Induite Filler	

Figure 69: Edit Data Store

- 5. In the Edit Data Store window, enter the JDBC connection details.
- 6. Click OK.

You have now created a JDBC database connection.

7.5 Analyzing the Data Quality of Customer Data and External Entity

Customer Screening is integrated with a Data Quality (DQ) check process which checks the quality of data in FCDM for screening. This process is run independently of the screening process and identifies potential issues with the customer and external entity data quality that can affect the screening efficiency. Run the Analyze FCDM Customer Data Quality job to analyze the data quality. This job checks data for any quality issues that can affect the screening efficiency.

To analyze the customer data, follow these steps:

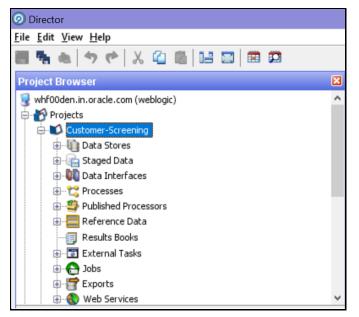
- 1. Ensure that data is loaded into FCDM and the **Customer-Screening** project has the correct database parameters.
- 2. Go to the EDQ URL and open the **Director** menu.

Figure 70: Director Menu in EDQ

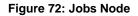
			👔 Log In	a
ORACLE [®] Enterpr	ise Data Quality		Launchpad Web Services w	,
Launchpad				
Launchpau				
	Director	Server Console		
	Match Review	Case Management		
	Case Management Administration	Configuration Analysis		
	•		-	

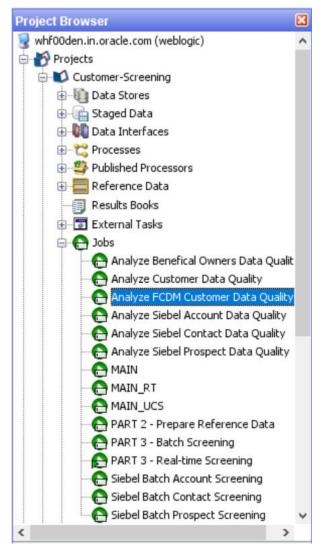
3. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 71: Project Browser Pane



- 4. Expand the **Jobs** node.
- 5. Right-click the Analyze FCDM Customer Data Quality job and click Run.





To analyze the external entity data, follow these steps:

1. Ensure that data is loaded into FCDM and the **Watch list Management** project has the correct database parameters.

2. Go to the EDQ URL and open the **Director** menu.

Figure 73: Director Menu in EDQ

ORACLE [®] Enterpr	rise Data Qua	ality			Launchpad	2 L Web Service	⊾og In es _▼
Launchpad							
	()	ector e	Server Console	e			
	E Ma	eatch Review	Case Management	ø			
	() ca	ase Management Administration	Configuration Analysis	۵			
		0					•

3. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

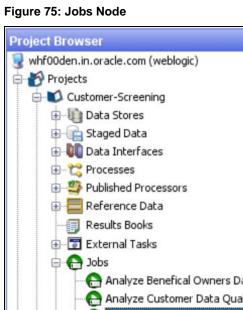
Figure 74: Project Browser Pane

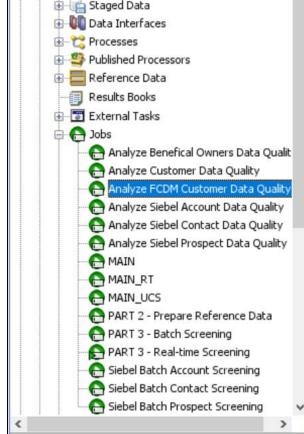
O Director
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■ % & 今 ペ X 公 略 □ □ □ □ □
Project Browser 🛛 🛛
😼 whf00den.in.oracle.com (weblogic)
🖶 📸 Projects
Eustomer-Screening
Customer-Screening 8.0.8 SANC
EDQ-CDS
⊕ 💕 IBK_Watchlist Management
IBAML
Transaction_Screening
Transaction_Screening_8.0.7.1.0 DONE
Transaction_Screening_Sepa Original
🖨 💕 Watchlist Management 807
🕀 📲 Data Stores
⊕ mail Staged Data
🕀 🛄 Data Interfaces
🕀 📸 Processes
Published Processors
Reference Data
Results Books
🗄 🐨 🗊 External Tasks
🕀 🔂 Jobs
🗈 🔚 Exports
Web Services
Notes
⊕ 🖬 Watchlist Management 808
Reference Data
Data Stores
Published Processors

- 4. Expand the **Jobs** node.
- 5. Right-click the Analyze FCDM Customer Data Quality job and click Run.

×

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Data Quality Errors 7.5.1

For each Data Quality (DQ) error, a severity code is assigned, and it corresponds to the likely impact the issue will have on screening efficiency. The error codes and the associated messages that are displayed are based on the data analysis are shown in the following table.

Table 4: Severity	Codes Assigne	d to Data Quality	Errors
--------------------------	----------------------	-------------------	--------

Severity Code	Data Quality Error
1	Severe data error which prevents screening.
2	Invalid data which will limit the effectiveness of screening.

Severity Code	Data Quality Error
3	Missing data which will limit the effectiveness of screening.
4	Invalid data which does not affect screening. Errors in this category will not affect the output of the match processor but can cause issues when manually evaluating any potential matches that are raised.

The data quality check analyses each row of data. If the analysis of any row results in a severity code of 1, it is rejected by the screening process. This is because there is a lack of data in the core attributes used by the screening process, and so screening cannot be performed.

The screening processes load data that cannot be screened into the <code>CUST_Individuals_Invalid staged data or the CUST_Entities_Invalid staged data tables for the individual and external entity records, respectively. The error codes associated with each row are also stored in the database.</code>

7.6 Extract Transform Load (ETL) Database Connection Details

After screening is run, relationships (matches) and watch list records are exported to the Customer Screening database, and this data is sent to ECM based on the connections configured in the data store.

To set the ETL database connection details, follow these steps

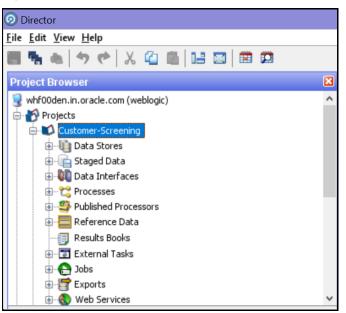
1. Go to the EDQ URL and open the **Director** menu.

Figure 76: Director Menu in EDQ

			Log In
	se Data Quality		Launchpad Web Services 🚽
Launchpad			
	•	e	*
	Director	Server Console	
	Match Review	Case Management	
	Case Management Administration	Configuration Analysis	
	•		

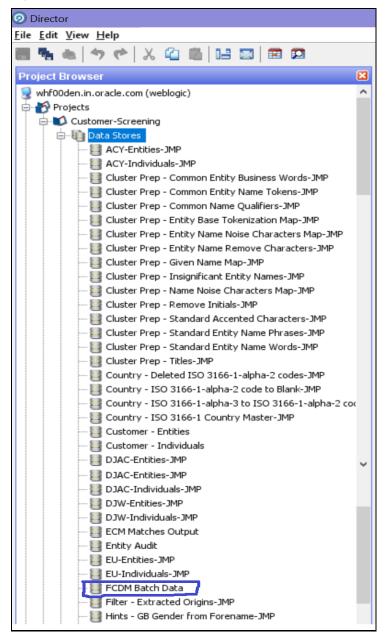
2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 77: Project Browser Pane



3. Expand the **Data Stores** node and open **FCDM Batch Data**. The **Edit Data Store** window appears.

Figure 78: Data Stores Node



4. In the **Edit Data Store** window, enter the database host, database name, user name, and password.

Edit Data Store		:
Oracle Configuratio	n	
Database host	Locale Host	
Port	1521	
Database name	Database Name	
Name type	SID 🗸	
User name	User Name	
Password		
Schema		
The schema nee	d not be entered if it is the default for the user	
		Test
		OK Cancel

Figure 79	: Edit Data	Store	for Staging	Database	Connection
-----------	-------------	-------	-------------	----------	------------

NOTE	1.	OEDQ release 12c has a base config folder and a local config folder. The base config folder is called oedqhome and the local config folder is called oedqlocalhome. The names may differ in some cases. For example, dots or underscores may be inserted in the names, such as oedq_local_home.
	2.	It is not necessary to enter the schema name if the user name mentioned is the schema owner.
	3.	The parameters can be passed as externalized values in the <code>runopsjob</code> command.

7.7 Running the Batch Screening Job

To source the data from the Financial Crime Data Model (FCDM) and run the FCDM data preparation process, disable the **MAIN** batch screening job phase and enable the FCDM version in the customer screening.properties and external-entity-screening.properties run profiles:

```
# Globally turns on/off batch screening types
phase.Batch\ Screening.enabled = N
phase.Batch\ Screening\ FCDM.enabled = Y
```

To export the data to the Customer Screening database these job phases must also be enabled:

phase.ECM\ Export\ Matches.enabled = Y
phase.ECM\ Export\ Watch list.enabled = Y

8 Appendix A: Screening Non-Latin Character Sets

The reference data sources supported by Customer Screening are all provided in the Latin character set, and some in the original scripts. The screening process can also be used with non-Latin data. Non-Latin data can be screened against the Latin reference data sources which are supported by performing transliteration of data from the non-Latin character set to the Latin character set.

Non-Latin customer data can be screened against non-Latin reference data without any changes to the product, although certain fuzzy text matching algorithms may not be as effective when used to match data with the non-Latin character set. Text is processed on a left-to-right basis.

NOTE You may have to install additional language packs to display non-Latin data. For more information, contact <u>My Oracle Support</u> (<u>MOS</u>).

The following screenshot shows the transliteration of Cyrillic to the Latin character set:

Results Browser		
Job: 🔄 [MAIN] Transliterate Russian Names	a	
🔘 🖉 🏠 🔻 😓 🚯 🖏 🛛	H 📙 💿 😨 🖻 🖬 💼 🔰 🛔	
Original Name	Name in standard Latin form	
Александр Федорович Елизаров	ALEKSANDR FEDOROVICH ELIZAROV	
Александр Федорович Затулин	ALEKSANDR FEDOROVICH ZATULIN	
Александр Федорович Федоров	ALEKSANDR FEDOROVICH FEDOROV	
Александр Федорович Фогель	ALEKSANDR FEDOROVICH FOGEL	
Александр Федулович Хатанзейский	ALEKSANDR FEDULOVICH KHATANZEISKII	
Александр Феликсович Булатов	ALEKSANDR FELIKSOVICH BULATOV	
Александр Филиппович Урбан	ALEKSANDR FILIPPOVICH URBAN	
Александр Филиппович Хренков	ALEKSANDR FILIPPOVICH KHRENKOV	
Александр Фирович Габитов	ALEKSANDR FIROVICH GABITOV	
Александр Фридрихович Триппель	ALEKSANDR FRIDRIKHOVICH TRIPPEL	
Александр Фёдорович Беспечанский ALEKSANDR FEDOROVICH BESPECHANSKII		
Александр Фёдорович Ефремов ALEKSANDR FEDOROVICH EFREMOV		
Александр Фёдорович Жилин	ALEKSANDR FEDOROVICH ZHILIN	
Александр Фёдорович Морозенко	ALEKSANDR FEDOROVICH MOROZENKO	
Александр Хетагури	ALEKSANDR KHETAGURI	
Александр Цинцадзе	ALEKSANDR TSINTSADZE	
Александр Шалвич Давитиашвили	ALEKSANDR SHALVICH DAVITIASHVILI	
Александр Шаньгин	ALEKSANDR SHANGIN	
Александр Шапневский	ALEKSANDR SHAPNEVSKII	
Александр Шиндин	ALEKSANDR SHINDIN	
Александр Сорокин	ALEKSANDR SOROKIN	
Александр Шуман	ALEKSANDR SHUMAN	

Figure 80: Non-Latin Character Set

8.1 Original Script Matching

To match the original script data against reference data, follow these steps:

- 1. Prepare customer and external entity data such that non-Latin names are populated in the Original Script Name fields.
- 2. Enable Original Script Name match rules and clusters.

For more information, see the Oracle Financial Services Customer Data Interfaces Guides.

NOTE You must make changes to the FCDM Customer Preparation process to support original script matching. For more information, contact <u>My Oracle Support (MOS).</u>

9 Appendix B: Reference Data Tables for Watch Lists

This appendix lists the reference data tables which are available in Customer Screening. These tables contain data that is used to calculate the risk scores and PEP risk scores. The reference data tables are stored in the Watch list Management project.

The following table has information on the different reference data tables which contain risk score values used by each watch list.

Screening Process or Watch List	Reference Data Table Used
Multiple screening processes	 The following reference data table contains risk score values used by multiple screening processes: Risk - ISO 3166-1 Country to Risk Score (used by the lookup Risk - ISO 3166-1-alpha-2 code to Risk Score) is used to derive a risk score from a country code
Country prohibition screening process	 The following reference data tables contain risk score values used in the country prohibition screening process: Country Prohibitions - Entities Country Prohibitions - Individuals
Dow Jones watch list (DJW)	 The following reference data tables contain risk score values used when calculating risk scores for the Dow Jones watch list records: DJW Occupation Category DJW List Provider Risk Scores DJW SI Category Description DJW SI Category
Dow Jones Anti-Corruption (DJAC) watch list	 The following reference data tables contain risk score values used when calculating risk scores for the Dow Jones watch list records: DJAC Occupation Category DJAC List Provider Risk Scores DJAC SI Category Description
EU watch list	There are no reference data tables containing risk score values used only for calculating risk scores for the EU watch list records.
HM Treasury watch list	The HMT Regime reference data table contains risk score values used when calculating risk scores for the HM Treasury watch list records.
OFAC watch list	The OFAC SDN Program reference data table contains risk score values used when calculating risk scores for the OFAC watch list records.
UN watch list	The UN List Type reference data table contains risk score values used when calculating risk scores for the UN watch list records.

Table 5: Reference Data Tables for Watch Lists

Screening Process or Watch List	Reference Data Table Used
World-Check (WC) watch list	 The following reference data tables contain risk score values used when calculating risk scores for the World-Check watch list records: WC Category WC Keyword (used by the lookup WC Keyword - Risk Score Lookup)
Accuity watch list	 The following reference data tables contain risk score values used when calculating risk scores for the Accuity watch list records: Accuity Program Sub-Category Risk Scores Accuity Source Risk Scores
NA	The Risk – Risk Element Weighting reference data table contains the weightings used when calculating a record risk score from the various contributing elements.

10 Appendix C: Preconfigured Watch List Information

This appendix contains details of each of the pre-configured watch lists that can be used by Customer Screening.

10.1 HM Treasury Watch List

The HM Treasury publishes a sanctions list that can be used for screening in Customer Screening. The sanctions list provides a consolidated list of targets listed by the United Nations, European Union, and the United Kingdom under legislation relating to current financial sanctions regimes. For more information, visit the <u>HM Treasury</u> website.

Customer Screening uses the watch list in a semi-colon delimited form. Click the following link to download the . csv file.

https://ofsistorage.blob.core.windows.net/publishlive/ConList.csv

10.2 OFAC Watch List

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. For more information, visit the <u>Treasury</u> website.

Customer Screening supports the OFAC Specially Designated Nationals and OFAC Consolidated Sanctions watch lists.

The OFAC Specially Designated Nationals (SDN) watch list must be downloaded in three parts:

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 watch list must be downloaded in three parts:

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

10.3 EU Watch List

The European Union applies sanctions or restrictive measures to achieve certain objectives as mentioned in the Common Foreign and Security Policy (CFSP) and defined in Article 11 of the Treaty on the 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. For more information, visit the <u>European Commission</u> website.

To download the consolidated list, follow these steps:

- 1. Go to <u>https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/account</u> and create a user name and password to the site.
- 2. Navigate to <u>https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/files</u> and open the settings for the crawler file.
- 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/xmlFullSanc tionsList/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.

10.4 UN Consolidated Watch List

The United Nations (UN) or United Nations Security Council consolidated list is a watch list that includes all individuals and entities who are subject to sanctions measures imposed by the Security Council. For more information, visit the <u>UN Security Council</u> website.

Download the consolidated list from https://www.un.org/sc/suborg/sites/www.un.org.sc.suborg/files/consolidated.xml.

10.5 World-Check Watch List

The World-Check watch list provides a subscription-based service and offers a consolidated list of Politically Exposed Persons (PEPs) 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. For more information, visit the <u>World-Check</u> website.

To download the World-Check Premium+ feed subscription service, set the following values in the WC Setup section of the watch list-management.properties run profile:

```
phase.WC\ -\ Download.enabled = Y
phase.WC\ -\ Download\ native\ aliases.enabled = Y
phase.WC\ -\ Stage\ reference\ lists.enabled = Y
phase.*.process.*.use_accelus_url = Y
```

To download the Standard or Premium feed subscription services, set the following values in the WC Setup section of the watch list-management.properties run profile:

```
phase.WC\ -\ Download.enabled = Y
phase.WC\ -\ Download\ native\ aliases.enabled = N
```

phase.WC\ -\ Stage\ reference\ lists.enabled = Y
phase.*.process.*.use accelus url = Y

When the parameters are set to **Y**, the watch list data is downloaded from the following URL:

https://app.accelus.com/#accelus/fsp/%7B%22location%22%3A%22%3Flocale%3Den-US%23fsp%2Fquickid%2F

When the parameters are set to **N**, the watch list data is downloaded from the following URL:

https://www.world-check.com/frontend/profile/

NOTE If your instance of Oracle Financial Services Customer Screening uses the WebLogic application server and you use the World-Check watch list to screen individuals and entities, then you must add the -DUseSunHttpHandler=true script to the Server Start arguments of your EDQ server to download the World-Check watch list data.

10.6 Dow Jones Watch List

The Dow Jones watch list provides a subscription-based service and offers a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the various sanctions lists. For more information, visit the <u>Dow Jones</u> website.

You can automate the download of the Dow Jones watch list using the following script files that are provided with Customer Screening to configure the download process:

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

The script files are used by the automated task to download the data files and copy them to the Oracle Enterprise Data Quality (OEDQ) landing area. The script files must be modified to provide the download URL and the proxy server details for your Internet connection as follows:

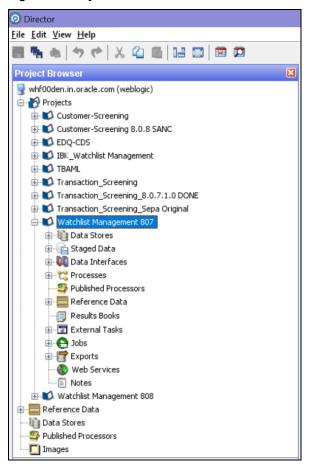
1. Go to the EDQ URL and open the **Director** menu.

Figure 81: Director Menu in EDQ

ORACLE	Enterprise Data Quality		Launchpad	 Log In Web Services – 	
Launchpad					
	Director Server Console	۲			
	Match Review Case Management	۲			
	Case Management Administration Configuration Analysis	۲			
	•			•	

2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 82: Project Browser Pane



3. Expand the External Tasks node for the Watch list Management project and then doubleclick on the Download Dow Jones Watch list task.

O Director <u>File Edit View Help</u> || 🐂 も (つ ぐ) 乂 😩 💼 | 詰 😅 🛱 🛱 Project Browser 😡 whf00den.in.oracle.com (weblogic) 🚊 🚮 Projects 🗄 🚺 Customer-Screening 🗄 🚺 EDQ-CDS i IBK_Watchlist Management 🗄 💕 TBAML ⊕ ♥ Transaction_Screening the section_Screening_8.0.7.1.0 DONE 🗄 🚺 Transaction_Screening_Sepa Original 🖶 🚺 Watchlist Management 807 🗄 📲 Data Stores 🗄 🕞 💼 Staged Data 🗄 💵 Data Interfaces 🗄 📸 Processes ---- Sublished Processors 🗄 📃 Reference Data 🗄 -- 📅 External Tasks 💹 Download Accuity EDD 😓 Download Accuity PEP 🚽 Download Accuity SAN Download Dow Jones Anti-Corruption List 📲 Download Dow Jones Watchlist 🐨 Download Dow Jones Watchlist Delta 😓 Download EU Consolidated list 😓 Download HMT - CONS 😓 Download OFAC Consolidated Non-SDN ADD Name Filter

Figure 83: External Tasks Node

4. Configure the external task to call the batch or shell file by providing the directory and related command as shown:

🔊 Edit Task	
External Task Op Configure the ext	tions ORACLe erenal task properties
Command Working Directory Arguments	C:\ProgramData\Oracle\Enterprise Data Quality\oedq_local_home\commandarea\download-djw.bat C:\ProgramData\Oracle\Enterprise Data Quality\oedq_local_home\commandarea
	< Back Next > Cance

Figure 84: Edit Task Window for the Dow Jones Watch List

- 5. Configure your PATH system variable to include the path to your Java installation.
- **6.** Add the user name and password and the proxy server configuration details for Dow Jones in the batch or script file.

10.7 Dow Jones Anti-Corruption Watch List

The Dow Jones Anti-Corruption watch list provides a subscription-based service that contains information to help you assess, investigate, and monitor third-party risk with regards to the anti-corruption compliance regulation. For more information, visit the <u>Dow Jones</u> website.

You can automate the download of the Dow Jones watch list using the following script files that are provided with Customer Screening to configure the download process:

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

The script files are used by the automated task to download the data files and copy them to the Oracle Enterprise Data Quality (OEDQ) landing area. The script files must be modified to provide the download URL and the proxy server details for your Internet connection as follows:

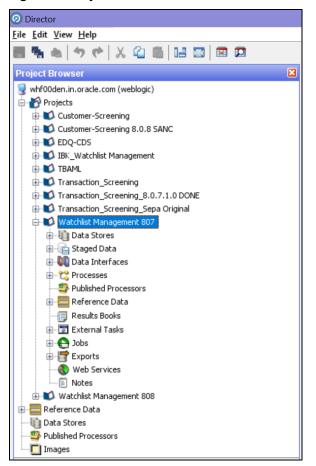
1. Go to the EDQ URL and open the **Director** menu.

Figure 85: Director Menu in EDQ

ORACLE	Enterprise Data Quality		Launchpad	 Log In Web Services – 	
Launchpad					
	Director Server Console	۲			
	Match Review Case Management	۲			
	Case Management Administration Configuration Analysis	۲			
	•			•	

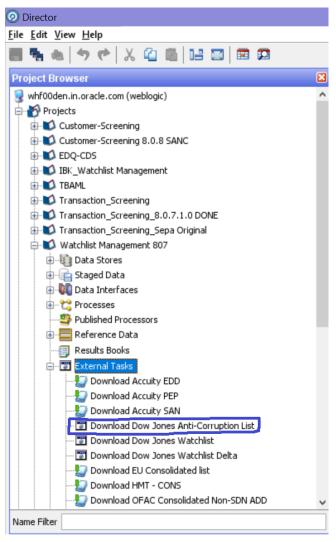
2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 86: Project Browser Pane



3. Expand the External Tasks node for the Watch list Management project and then doubleclick on the Download Dow Jones Anti-Corruption List task.

Figure 87: External Tasks Node



4. Configure the external task to call the batch or shell file by providing the directory and related command as shown:

💿 Edit Task	X
External Task Op Configure the ex	tions ORACLE [®]
Command	C:\ProgramData\Oracle\Enterprise Data Quality\oedq_local_home\commai
Working Directory	C:\ProgramData\Oracle\Enterprise Data Quality\oedq_local_home\commai
Arguments	
	< Back Next > Cancel

Figure 88: Edit Task Window for the Dow jones Anti-Corruption Watch List

- 5. Configure your PATH system variable to include the path to your Java installation.
- **6.** Add the user name and password and the proxy server configuration details for Dow Jones Anti-Corruption in the batch or script file.

10.8 Accuity Watch List

The Accuity global watch list is a subscription-based service. The Accuity watch list'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. This watch list provides the ideal framework for your customer screening and interdiction filtering processes. For more information, visit the <u>Accuity</u> website.

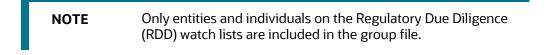
Accuity provides aggregated data in the following watch lists:

- The Regulatory Due Diligence (RDD) watch list, which covers sanctioned entities and individuals. You can use the Accuity Group File with this list. For more information, see <u>Using the Accuity</u> <u>Group File</u>.
- The Enhanced Due Diligence (EDD) watch list, which covers entities and individuals who are not part of the regulatory sanctions lists, but whose activity must be monitored.
- The Politically Exposed Persons (PEPs) Due Diligence Database watch list, which covers PEP individuals.

10.8.1 Using the Accuity Group File

The Accuity global Watch list is created by aggregating multiple watch lists. As such, any given individual or entity can be represented in the watch list by multiple entries using the GROUP.XML file.

In the GROUP.XML file, 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 has a unique identifier to differentiate it from the original record identifier in Enterprise Case Management (ECM). Records that are not included in the group use their original Accuity record ID with a different identifier to indicate that they are single records.



The group file allows you to generate cases on individuals who are grouped together, instead of generating cases on separate individuals. To use the group file for individuals, follow these steps:

1. Go to the EDQ URL and open the **Director** menu.

Figure 89: Director Menu in EDQ

	orise Data Quality	Launchpad	Veb Services 👻
Launchpad			
	Director Server Console		*
	Match Review Case Management		
	Case Management Administration		
	•		Ŧ

- 2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.
 - Oirector <u>File</u> <u>Edit</u> <u>View</u> <u>H</u>elp || 🐂 💩 | つ ぐ | 乂 🙆 🏙 | 📑 📰 🛤 🗭 Project Browser × 😡 whf00den.in.oracle.com (weblogic) ^ 🖨 📸 Projects 🗄 📲 Data Stores 🗄 🖳 💼 Staged Data 🗄 💵 Data Interfaces 🗄 🗠 📸 Processes 🕀 🎒 Published Processors 🗄 🔚 Reference Data 🗐 Results Books 🗄 🐨 🗊 External Tasks 🛓 🕒 Jobs 🗉 🚍 Exports 🗄 🚷 Web Services

Figure 90: Project Browser Pane

3. Expand the **Data Stores** node and then double-click the **ACY** node.

Figure 91: Data Stores Node

File Edit View Help	Ø Director	
Project Browser Image: Constraint of the second	File Edit View Help	
 IBK_Watchlist Management TBAML Transaction_Screening_8.0.7.1.0 DONE Transaction_Screening_Sepa Original Watchlist Management 807 Data Stores ACY-Entities-JMP ACY-Entities-JMP ACY-Entities-IMP Blacklisted Cities Reference Data Blacklisted Cities Reference Data Blacklisted Cities Reference Data Cluster Prep - Common Entity Business Words-JMP Cluster Prep - Common Entity Business Words-JMP Cluster Prep - Entity Base Tokenization Map-JMP Cluster Prep - Entity Name Roise Characters-JMP Cluster Prep - Entity Name Remove Characters-JMP Cluster Prep - Entity Name Remove Characters-JMP Cluster Prep - Insignificant Entity Names-JMP Cluster Prep - Standard Accented Characters-JMP Cluster Prep - Standard Entity Name Phrases-JMP Cluster Prep - Standard Entity Name Words-JMP 		
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< E3 of 1 or 711 100		J
	<pre> i i i i i i i i i i i i i i i i i</pre>	-
Name Filter	Name Filter	٦

4. In the Edit Data Store window, deselect the Use groups checkbox.

Figure 92: Edit Data Store Window for the Accuity Watch List

Edit Data Store Server-based Accuity Watchlist (*.zip) Configurati	ion
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 scratch ofsaaapp Oracle Middleware Oracle_ edg.local.home Iandingarea	Home/user_projects/domains/dev18_domain/config/fmwconfig/edq/o
Use project specific landing area	
Use groups	
	Test
	OK Cance

5. Configure your PATH system variable to include the path to your Java installation.

6. Add the user name and password and the proxy server configuration details for Accuity in the batch or script file.

NOTE If the **Use groups** checkbox is selected, you must have downloaded the GROUP.XML file.

10.8.1.1 New Alerts Resulting from Use of the Group File

When you use the GROUP.XML file, the original record identifier for a record is replaced with the group ID of the record. Any change to the original record identifier will result in new alerts being generated for existing and known matches. This can happen in the following scenarios:

- If Individuals or entities are moved into, out of, or between groups, then new alerts are generated for existing matches.
- If the setting of the **Use groups** checkbox is changed after alerts or cases are generated.

WARNING Do not alter the setting of the **Use groups** checkbox during the implementation phase of the project.

10.8.2 Configuring the .sh File

You can automate the download of the Accuity watch list using the following script files that are provided with Customer Screening to configure the download process:

- download-acy-edd.sh
- download-acy-pep.sh
- download-acy-san.sh

The script files are used by the automated task to download the data files and copy them to the Oracle Enterprise Data Quality (OEDQ) landing area. The script files must be modified to provide the download URL and the proxy server details for your Internet connection as follows:

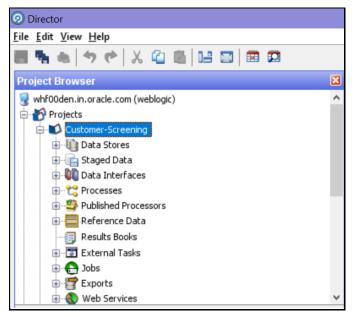
1. Go to the EDQ URL and open the **Director** menu.

Figure 93: Director Menu in EDQ

			Log In
ORACLE [®] Enter	prise Data Quality		Launchpad Web Services 🚽
Launchpad			
			*
	Director	Server Console	Ŷ
	Match Review	Case Management	•
	Case Management Administration	Configuration Analysis	•
	•		

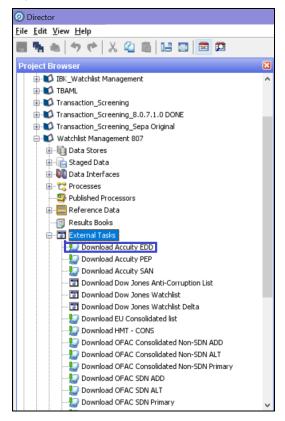
2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 94: Project Browser Pane



3. Expand the External Tasks node for the Watch list Management project and then doubleclick on the Download Accuity EDD task.

Figure 95: External Tasks Node



4. Replace the EDQ_DOMAIN placeholder with the installed domain path for the EDD, PEP, and SAN records.

 Edit Task
 External Task Options Configure the external task properties

Figure 96: Edit Task Window for the Accuity Watch Lis	ist
---	-----

External Task 0 Configure the ex	ptions tternal task properties	ORACLE
Command Working Directory Arguments	download-acy-edd.sh / <edq_domain>/config/fmwconfig/edq/oedq.local.home/commandarea</edq_domain>	

- 5. Configure your PATH system variable to include the path to your Java installation.
- 6. Add the user name and password and the proxy server configuration details for Accuity in the download-acy-edd.sh, download-acy-pep.sh, and download-acy-san.sh script files.

 \times

NOTE To ensure that you have the SFTP protocol enabled for automatic password recognition, you must install sshpass.

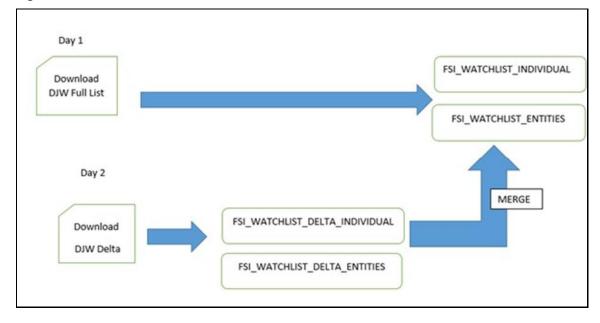
10.9 Delta Watch List Configurations for the Dow Jones Watch List

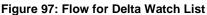
NOTE These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

Customer Screening recommends that you always use the full watch list during the screening process. Due to the clustering strategy which is implemented in the screening process, you must not download the delta watch list. There are certain cases in which you must download the delta watch list files, for example, if the full watch list files are not yet available for download or if you want to save time.

Customers who download the delta watch list files must first download the full watch list files and then download the delta watch list files. The delta watch list is then merged into the full watch list before screening.

The following image shows the information flow for the delta watch list:





When you download the full watch list, data is stored in the FSI_WATCHLIST_INDIVIDUAL and FSI_WATCHLIST_ENTITIES tables. When you download the delta watch list, data is first stored in the

FSI_WATCHLIST_DELTA_INDIVIDUAL and FSI_WATCHLIST_DELTA_ENTITIES tables. Then, based on the value in the ACTION Flag tag in the delta watch list, it merges with the full watch list.

The ACTION flag key is a non-editable value, and can be one of the following values:

- **new**: If the value is new, it means that these records are new and are added to the full watch list when the delta files are merged with the full watch list.
- **chg**: If the value is chg, it means that these records are modified and are added to the full watch list when the delta files are merged with the full watch list.
- **del**: If the value is del, it means that these records are no longer active and are removed from the full watch list when the delta files are merged with the full watch list.

NOTE You must always run the full watch list files before you run the delta watch list files. The full watch list files must be downloaded if, for example, the download of the delta watch list files has failed for multiple days. You can also run the full watch list once every week to ensure that the complete data has been processed.

10.9.1 Configurations for the Full and Delta Watch Lists

The following configurations must be done for both full and delta watch list updates in the watch list-management.properties run profile. The run profile is available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory when you log in to the WinSCP server.

- Set phase.Initialise\ staged\ data.enabled = N to disable the .jmp file updates.
- Set phase.Initialise \ staged \ data \ DB.enabled = Y to initialize the database.
- Set phase.Initilize\ Prepared\ List\ Data.enabled = N to disable the .jmp file updates.
- Set phase.Initilize \ Prepared \ List \ Data \ DB.enabled = Y to prepare the database.

10.9.2 Running the Full Watch list

To run the full watch list, follow these steps:

- 1. Set the following properties in the watch list-management.properties file:
 - phase.DJW\ -\ Download.enabled = Y.
 - phase.DJW\ -\ Download\ Delta.enabled = N.
 - phase.DJW\ -\ Stage\ reference\ lists.enabled = Y.
 - phase.*.export.*.ind table name = FSI WATCHLIST INDIVIDUAL.
 - phase.*.export.*.entities table name = FSI WATCHLIST ENTITIES.
- 2. Set the following properties in the customer-screening.properties file:

- phase.DJW\ -\ Load\ without\ filtering.enabled = N
- phase.DJW\ -\ Load\ without\ filtering\ DB.enabled = Y
- phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
- phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
- phase.DJW\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y
- **3.** Set the following properties in the customer-screening-real-time.properties file:
 - phase.DJW\ -\ Load\ without\ filtering.enabled = N
 - phase.DJW\ -\ Load\ without\ filtering\ DB.enabled = Y
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y
- 4. Set the following properties in the external-entity-screening.properties file:
 - phase.DJW\ -\ Load\ without\ filtering.enabled = N
 - phase.DJW\ -\ Load\ without\ filtering\ DB.enabled = Y
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
 - phase.DJW\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y

10.9.3 Running the Delta Watch List

To run the delta watch list, follow these steps:

- 1. Set the following properties in the watch list-management.properties file:
 - phase.DJW\ -\ Download.enabled = N.
 - phase.DJW\ -\ Download\ Delta.enabled = Y.
 - phase.DJW\ -\ Stage\ reference\ lists.enabled = Y.
- 2. Set phase.*.export.*.ind table name = FSI WATCHLIST DELTA INDIVIDUAL.
- 3. Set phase.*.export.*.entities table name = FSI WATCHLIST DELTA ENTITIES.

10.9.4 Merging the Delta Watch List to the Full Watch List

To merge the delta watch list with the full watch list, set the following properties in the watch list-management.properties file:

- phase.Delta\ Merge.enabled = Y.
- phase.Linked\ Profiles.enabled = Y.

10.10 Delta Watch List Configurations for the World-Check Watch List

NOTE These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

Customer Screening recommends that you always use the full watch list during the screening process. Due to the clustering strategy, which is implemented in the screening process, you must not download the delta watch list. There are certain cases in which you must download the delta watch list files, for example, if the full watch list files are not yet available for download or if you want to save time.

Customers who download the delta watch list files must first download the full watch list files and then download the delta watch list files. The delta watch list is then merged into the full watch list before screening.

The following image shows the information flow for the delta watch list:

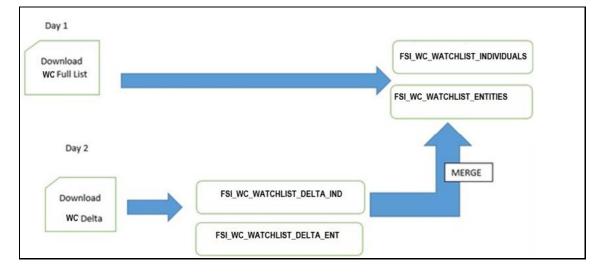


Figure 98: Flow for Delta Watch List

When you download the full watch list, data is stored in the FSI_WC_WATCHLIST_INDIVIDUALS and FSI_WC_WATCHLIST_ENTITIES tables. When you download the delta watch list, data is first stored in the FSI_WC_WATCHLIST_DELTA_IND and FSI_WC_WATCHLIST_DELTA_ENT tables. Then the data is merged into the main table. For more information, see <u>Merging the Delta Watch List to the Full Watch List</u>.

NOTE You must always run the full watch list files before you run the delta watch list files. The full watch list files must be downloaded if, for example, the download of the delta watch list files has failed for multiple days. You can also run the full watch list once every week to ensure that the complete data has been processed.

10.10.1 Configurations for the Full and Delta Watch Lists

The following configurations must be done for both full and delta watch list updates in the watch list-management.properties run profile. The run profile is available in the <domain_name>/edq/oedq.local.home/runprofiles/ directory when you log in to the WinSCP server.

- Set phase.Initialise \ staged \ data.enabled = N to disable the .jmp file updates.
- Set phase.Initialise \ staged \ data \ DB.enabled = Y to initialize the database.
- Set phase.Initilize \ Prepared \ List \ Data.enabled = N to disable the .jmp file updates.
- Set phase.Initilize \ Prepared \ List \ Data \ DB.enabled = Y to prepare the database.

10.10.2 Running the Full Watch list

To run the full watch list, follow these steps:

- 1. Set the following properties in the watch list-management.properties file:
 - phase.WC\ -\ Download.enabled = Y.
 - phase.WC\ -\ Download\ Delta.enabled = N.
 - phase.WC\ -\ Stage\ reference\ lists.enabled = Y.
 - phase.*.export.*.wc ind table name=FSI WC WATCHLIST INDIVIDUAL
 - phase.*.export.*.wc entities table name=FSI WC WATCHLIST ENTITIES

To run the full watch list without filtering, set the following properties:

- phase.WC\ -\ Prepare\ without\ filtering.enabled = N
- phase.WC\ -\ Prepare\ without\ filtering\ Full\ DB.enabled = Y

To run the full watch list with filtering, set the following properties:

- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = N
- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = N
- phase.WC\ -\ Prepare\ with\ filtering\ Full\ DB.enabled = Y

To run the full watch list without filtering, set the following properties:

- phase.WC\ -\ Load\ without\ filtering.enabled = N
- phase.WC\ -\ Load\ without\ filtering\ DB.enabled = Y

To run the full watch list with filtering, set the following properties:

- phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
- phase.WC\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
- phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y
- 2. Set the following properties in the customer-screening-real-time.properties file:
 - phase.WC\ -\ Load\ without\ filtering.enabled = N
 - phase. WC \ -\ Load\ without\ filtering\ DB.enabled = Y
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y
- 3. Set the following properties in the external-entity-screening.properties file:
 - phase. WC \ -\ Load\ without\ filtering.enabled = N
 - phase. WC \ -\ Load\ without\ filtering\ DB.enabled = Y
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 1).enabled = N
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y
 - phase. WC \ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y

10.10.3 Running the Delta Watch List

To run the delta watch list, follow these steps:

- 1. Set the following properties in the watch list-management.properties file:
 - phase.WC\ -\ Download.enabled = N.
 - phase.WC\ -\ Download\ Delta.enabled = Y.
 - phase.WC\ -\ Stage\ reference\ lists.enabled = Y.
 - phase.*.export.*.wc_ind_table_name=FSI_WC_WATCHLIST_DELTA_IND
 - phase.*.export.*.wc_entities_table_name=FSI_WC_WATCHLIST_DELTA_EN
 T
- 2. To run the delta watch list without filtering, set the following properties:
 - phase.WC\ -\ Prepare\ without\ filtering.enabled = N
 - set phase.WC\ -\ Prepare\ without\ filtering\ Delta\ DB.enabled = Y

To run the delta watch list with filtering, set the following properties:

- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = N
- phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = N
- phase.WC\ -\ Prepare\ with\ filtering\ Delta\ DB.enabled = Y

10.10.4 Merging the Delta Watch List to the Full Watch List

To merge the delta watch list with the full watch list, set the following properties in the watch list-management.properties file:

- phase.WC\Delta\ Merge.enabled = Y.
- phase.WC\Linked\ Profiles.enabled = Y.

11 Appendix D: Splitting Jobs Using Multiple EDQ Servers

You can split jobs across multiple servers to reduce the time taken to process many customers, for example, one million or more.

NOTE These steps are applicable only if you plan to use multiple EDQ servers for customer screening. If you want to use the default setup, that is, only a single EDQ server, see <u>Scheduling the</u> <u>Customer Screening Run Job</u>.

Some examples are as follows:

- If one server is used to process the watch lists and another server is used to process the entity names.
- If one server is used to process data of individuals and another server is used to process data of entities during different times of day.

NOTE	4.	Provide the EDQ user name and password in the cs_appln_params table .
	5.	Run the select * from cs_edq_servers query in your SQL query tool to verify the server details.

To split jobs using multiple servers, follow these steps:

- 1. Navigate to the FIC_DB_HOME/bin directory.
- 2. Execute ./EDQServerInsert.sh <INFODOM NAME>. This step is used to register the EDQ server details. You must replace the INFODOM NAME placeholder with your domain name.
- 3. Enter the following details in the console where the command is run:
 - EDQ Server Name
 - EDQ server IP
 - EDQ Server Direct Port number (JMX port number). This value must be 8090.
 - EDQ Server User Name
 - EDQ Password details

Figure 99: EDQ Details

```
'ficdb/bin>./EDQServerInsert.sh SANC808TF
Started finding Jars
Ended finding Jars
Classpath Created
Calling EDQ Main Method
Inside EDQ insert method
Enter EDQ Server Name :
TESTING
Enter EDQ Server User Name:
weblogic
Enter EDQ Password:
Enter EDQ Password
Enter EDQ Server Director Port:
8090
Enter EDQ Server IP:
whf00abc.in.oracle.com
```

4. Duplicate the CS_Data_Load_Event_Generation batch in the **Run** page. To do this, copy the CS Data Load Event Generation batch and create another batch.

Follow these steps to access the **Run** page:

a. Login as the administrator. The Financial Services Analytical Applications Customer Screening home page appears.

Figure 100: Financial Services Analytical Applications Customer Screening Home Page

A Home		\equiv	ORACLE [®] Financial Services Analytical Applications Customer Screening
Navigation List			
Common tasks	>		
Real-Time screening			

b. Click the **hamburger** icon to view the **Application Navigation List**.

Figure 101: Application Navigation List

A Home		=	ORACLE [*] Financial Services Analytical Applications Customer Screening
< Common tasks			
Data Model Management	>		
Data Management Framework	>		
Operations	>		
Rule Run Framework	>		
Processing Modelling Framework	>		

- c. From the **Application Navigation List**, select **Common Tasks**, then select **Rule Run Framework**, and then select **Run**. The **Run** page appears.
- 5. In the **Run** page, follow these steps to create a duplicate batch:
 - a. Select the CS_Data_Load_Event_Generation run and click Copy. The Run page opens in copy mode.

NOTE You must select the segment folder for the Sanctions pack in the **Folder** field to proceed.

Figure 102: Run Page in Copy Mode

Run						0
Run Definition (Copy Mode)						Next Close
~Linked to						
Folder	TFLSEGMENT	10				
✓ Master Information	es					
ID	<< New >>		Version	<< NA >>		
Code	CS_Data_Load_	Event_GenerationD	Active	<< NA >>		
Name	CS Data Load A	and Event Generation	Туре	Base Run	~	
			Route Execution to High Precedence Node			
VList 🔄 Selector	🚽 🖉 Move	Show Details				
Location Infodo	m Cod	e	Name	Туре	Simulation Job	Use Descendants
Job CSINF	DDOM CS_	E2E_Start_Batch	CS_End_To_End_Start_Batch	Process		
Job CSINF	ODOM Trur	ncateCSTables	Truncate CS Tables	Process		-

- **b.** Enter a new run code or alter the existing value in the **Code** field. For example, code can be CS_Data_Load_Event_GenerationD.
- **c.** Enter a new run name or alter the existing value in the **Code** field. For example, name can be CS Data Load And Event Generation.

NOTE The run name and run code values can be the same.

- d. Click **Next** to go to the next page and confirm the name.
- e. Click Save.

After you click **Save**, the new run name appears in the **Run** page.

Figure 103: New Run Name in Run Pag	ge	е	e	(ľ	I	I	I	I		ļ	ļ	1	2	2	2	2	1	1	ļ	1	1	1	1	1	1	1	1	1	1	1	1	1	ļ	1	I	I	I	ľ	ľ	ľ	ľ	((((ľ	I	I	1	1	1	1	l	l	l	l	l	1	1	1	l	l	l	l	l	l	1	1	1	1	1	1	1	2	2	1	2		C	í	(((ļ	ļ	Ì	l	J	2	ć	ć	i)	1	i	ľ					l	Ì	•	ľ	I	l	J	J	ί	ļ	ļ	2		ĥ	ł	ļ		l	ì	۱	1	ſ	r	r	I	İ	i	i	i			¢	e	1	۱	٢	1	r	I	I	ł	3	3	ĉ	ć
-------------------------------------	----	---	---	---	---	---	---	---	---	--	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	--	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	--	--	--	--	---	---	---	---	---	---	---	---	---	---	---	---	--	---	---	---	--	---	---	---	---	---	---	---	---	---	---	---	---	--	--	---	---	---	---	---	---	---	---	---	---	---	---	---	---

		Cod	de			Version	0		
		Nam	ne			Active	Yes		~
		Folde	er	~		Туре			v
+	New	📓 View 🕝 Edit 🗐	Сору	Remove 4. Authorize 🧰 Export	Fire Run				
蟲		Code		Name	Туре	Folder		Version	Active
		CSBusinessDataLoad		Customer Screening Business Data Load	Base Run	TFLSEGMENT		0	Yes
		CS_Data_Load_Event_Gener	ration	CS Data Load And Event Generation	Base Run	TFLSEGMENT		0	Yes
		CS_Data_Load_Event_Genera	ationD	CS Data Load And Event Generation	Base Run	TFLSEGMENT		0	Yes
		CS_EDQ_Watchlist_Analyze		Customer Screening EDQ Watchlist Analyz	Base Run	TFLSEGMENT		0	Yes
	0	CS_EDQ_Watchlist_Manage	ement	Call Watchlist Management	Base Run	TFLSEGMENT		0	Yes

6. Duplicate the CS_E2E_Start_Batch, CS_Call_Customer_Screening, and CS_E2E_End_Batch processes in the Process page.

Figure 104: Process Page

Pro	cess						0
						Q Search "D Re	eset
		Code		Version	0		
		Name		Active	Yes	~	
		Folder	×.				
		Code	Authorize Car Export Trace Definition	Folder	Version	Active	
040		CS Business Data Load	CS Business Data Load	TELSEGMENT	0	Yes	
		CS_Call_Customer_Screening	CS Customer Screening Call	TFLSEGMENT	0	Yes	
		CS_Call_Customer_Screening_den	-	TFLSEGMENT	0	Yes	
		CS Call Ext Ent Screening	CS External Entity Screening Call	TFLSEGMENT	0	Yes	
		CS_Call_Watchlist_Analyze	Analyze Reference Data Quality	TFLSEGMENT	0	Yes	
		CS_Call_Watchlist_Download	Download, Prepare, Filter and Export All Lists	TFLSEGMENT	0	Yes	
		CS_E2E_End_Batch	CS_End_To_End_End_Batch	TFLSEGMENT	0	Yes	
		CS_E2E_End_Batch_den	CS_End_To_End_End_Batch den	TFLSEGMENT	0	Yes	
		CS_E2E_End_Batch_US	CS_End_To_End_End_Batch_US	TFLSEGMENT	0	Yes	
		CS_E2E_Start_Batch	CS_End_To_End_Start_Batch	TFLSEGMENT	0	Yes	
		CS_E2E_Start_Batch_den	CS_End_To_End_Start_Batch den	TFLSEGMENT	0	Yes	
		CS_End_Batch	CS End Batch	TFLSEGMENT	0	Yes	

Follow these steps to access the **Process** page:

a. Login as the administrator. The **Financial Services Analytical Applications Customer Screening** home page appears.



Figure 105: Financial Services Analytical Applications Customer Screening Home Page

b. Click the **hamburger** icon to view the **Application Navigation List**.

Figure 106: Application Navigation List

🖀 Home		ORACLE [*] Financial Services Analytical Applications Customer Screening
< Common tasks		
Data Model Management	>	
Data Management Framework	>	
Operations	>	
Rule Run Framework	>	
Processing Modelling Framework	>	

- c. From the **Application Navigation List**, select **Common Tasks**, then select **Rule Run Framework**, and then select **Process**. The **Process** page appears.
- 7. To duplicate each process, follow these steps:
 - a. For the CS_E2E_Start_Batch process:
 - i. In the **Process** page, select CS_E2E_Start_Batch and click **Copy**. The **Process** page opens in copy mode.

NOTE You must select the segment folder for the Sanctions pack in the **Folder** field to proceed.

- Enter a new process code in the Code field and a new process name in the Name field. You can also alter the existing process code or name. For example, CS_E2E_Start_Batch_den.
- iii. Click Save.
- **b.** For the CS Call Customer Screening process:

- i. In the **Process** page, select CS_Call_Customer_Screening and click **Copy**. The **Process** page opens in copy mode.
- Enter a new process code in the Code field and a new process name in the Name field. You can also alter the existing process code or name. For example, CS_Call_Customer_Screening_den.
- iii. Click Save.
- **c.** For the CS_E2E_End_Batch process:
 - i. In the **Process** page, select CS_E2E_End_Batch and click **Copy**. The **Process** page opens in copy mode.
 - Enter a new process code in the Code field and a new process name in the Name field. You can also alter the existing process code or name. For example, CS_E2E_End_Batch_den.
 - iii. Click Save.

After you click **Save**, the new process names appear in the **Process** page.

Pro	cess	5					?
						Q Search D	Reset
		Code		Version	0		
		Name		Active	Yes	~	
		Folder	~				
	+ 1	New 📑 View 🍞 Edit 😭 Copy	r 💼 Remove 👤 Authorize 🎮 I	Export 📑	Trace Definition		
0-00		Code	Name		Folder	Version	Active 🔺
		CS_Business_Data_Load	CS Business Data Load		TFLSEGMENT	0	Yes
		CS_Call_Customer_Screening	CS Customer Screening Call		TFLSEGMENT	0	Yes
		CS_Call_Customer_Screening_den	CS Customer Screening Call den		TFLSEGMENT	0	Yes
		CS_Call_Ext_Ent_Screening	CS External Entity Screening Call		TFLSEGMENT	0	Yes
		CS_Call_Watchlist_Analyze	Analyze Reference Data Quality		TFLSEGMENT	0	Yes
		CS_Call_Watchlist_Download	Download, Prepare, Filter and Export	t All Lists	TFLSEGMENT	0	Yes
		CS_E2E_End_Batch	CS_End_To_End_End_Batch		TFLSEGMENT	0	Yes
		CS_E2E_End_Batch_den	CS_End_To_End_End_Batch den		TFLSEGMENT	0	Yes
		CS_E2E_End_Batch_US	CS_End_To_End_End_Batch_US		TFLSEGMENT	0	Yes
		CS_E2E_Start_Batch	CS_End_To_End_Start_Batch		TFLSEGMENT	0	Yes
		CS_E2E_Start_Batch_den	CS_End_To_End_Start_Batch den		TFLSEGMENT	0	Yes

Figure 107: New Process Names in Process Page

8. Update the group name for the CS_E2E_Start_Batch_den and CS_E2E_End_Batch_den processes. To do this, run the following query:

select * from cs_processing_group

- 9. Change the parameter for the CS_E2E_Start_Batch_den process. To do this, follow these steps:
 - **a.** Select the duplicated process created in the earlier step and click **Edit**. The **Process** page opens in edit mode.
 - b. Click Component. The Component Selector window appears.
 - c. Click the drop-down list in line with the **F_CS_BATCH_RUN** task. The **Parameters** window appears.

Figure 108: Parameter for the CS_E2E_Start_Batch Process

	Task	s In ROOT [1]	
		Object	
		F_CS_BATCH_RUN	
Parameter		ACLECS", "", "ALL", "STA Ok Close	

- **d.** Change the ORACLECS parameter to the applicable data origin or processing name.
- 10. Change the parameter for the CS E2E End Batch den process. To do this, follow these steps:
 - **a.** Select the duplicated process created in the earlier step and click **Edit**. The **Process** page opens in edit mode.
 - **b.** Click **Component**. The **Component Selector** window appears.
 - c. Select the drop-down list in line with the **F_CS_BATCH_RUN** task. The **Parameters** window appears.

	Tasl	(s In ROOT [1]	
^		Object	
		F_CS_BATCH_RUN	
Paramete	ers	×	
	"OR	ACLECS ","","ALL","STA	
		Ok Close	

Figure 109: Parameter for the CS_E2E_End_Batch Process

- **d.** Change the ORACLECS parameter to the data origin or processing name.
- 11. To change the parameters for the CS_Call_Customer_Screening_den process, follow
 these steps:
 - **a.** Select the duplicated process created in the earlier step and click **Edit**. The **Process** page opens in edit mode.
 - b. Click Component. The Component Selector window appears.
 - **c.** Select the drop-down list in line with the **CallEDQ** task. The **Parameters** window appears with the following values:

```
"runprofileName=customer-screening1.properties", "RunLabel=customer-
screening", "JobName=MAIN", "ProjectName=Customer-
Screening", "edqServerName=SERVER_2", "condition=and AGE_YR_CT>20 and
BIRTH DT <= @$~20 June 1972@$~"</pre>
```

		1
	Tasks In ROOT [1]	_
A	Object	
	CallEDQ	
Parameters	×	
	"runprofileName=customer	
	Turpromentarile=customer	
	Ok Close	

Figure 110: Parameters for the CS_Call_Customer_Screening_den Process

- **d.** Change the following parameters:
 - **i.** Run profile name.

Example: runprofileName=customer-screening1.properties"

ii. EDQ server name. If you do not change the server name, it is replaced with the server name in the cs appln params table.

Example: "edgServerName=SERVER 2"

iii. Condition. By default, a single condition is provided. Use *and* to give more than one condition.

```
Example: "condition=and AGE_YR_CT>20 and BIRTH_DT <= @$~20 June
1972@$~"</pre>
```

NOTE	6.	It is not mandatory to provide a condition.
	7.	Provide the expression @\$~ to use alphanumeric characters for fields such as customer birth date. For example, "condition=and AGE_YR_CT>20 and BIRTH_DT <= @\$~20 June 1972@\$~".

- 12. Replace the new batches in the Run page. To do this, follow these steps:
 - a. Select CS_Data_L_Event_Generation_Den and click Edit. The Run page opens in edit mode.
 - **b.** Click the **Selector** drop-down list and select **Job**. The **Component Selector** window appears.

Component Selector - Microsoft Edge		-		\times
① Not secure whf00anu:8009/CS808/pr2				Q
Search List Processes	Sort Ascending Descending Tasks [6] Object Grade State State data	Ok	Close	
TFLSEGMENT TFLSEGMENT Analyze Reference Data Quality S CS Business Data Load CS Sustomer Screening Call S CS Customer Screening Call den CS End Batch CS Event Creation CS External Entity Screening Call S CS Start Batch CS End To End End Batch CS End To End End Batch CS End To End End Batch C	CS_End_To_End_Start_Batch den CS_End_To_End_Start_Batch den CS Customer Screening Call den CS External Entity Screening Call CS Event Creation CS_End_To_End_End_Batch den CS_End_To_End_End_Batch den			

Figure 111: Parameters for the CS_Call_Customer_Screening_den Process

- c. In the List hierarchy window, expand the Transformation Rules node.
- d. Expand the Processes node and then the TFLSEGMENT node.
- e. In the Tasks table, select the original processes, which are CS_End_To_End_Start_Batch, CS Customer Screening Call, and CS_End_To_End_End_Batch. These processes must be selected one at a time.
- f. Click Move . The selected batches are displayed in the **TFLSEGMENT** node.
- g. In the List table, select the new processes, which are CS_End_To_End_Start_Batch_den, CS Customer Screening Call den, and CS_End_To_End_End_Batch_den.
- **h.** Click **Remove**. The selected batches are displayed in the **Tasks** table.
- i. Click OK.

The duplicate jobs are now split across servers using the CS_End_To_End_Start_Batch, CS Customer Screening Call, and CS_End_To_End_End_Batch batches.

11.1 Adding Input Parameters for the CallEDQ Task

Finally, add the new EDQ server name and applicable condition as input parameters in the **Post Load Changes** page as shown in the following steps:

- 1. Click the **hamburger** icon to view the Application Navigation List.
- From the Application Navigation List, select Common Tasks, then select Data Management Framework, then select Data Management Tools, and then select Post Load Changes. The Post Load Changes page appears.

	: Load Changes e > Post Load Changes						6
Sear	ch and Filter						Q Search D Reset
	Cod	e EDQ			TypeSe	elect	Ψ.
	Nam	e			Record Status ACT	IVE	Ψ.
Sum	mary						
+	Add 📲 View 🖉 Edit 📋 D	elete 🗍 Copy 🤱 Authorize	Make Latest 📎 Purg	e			Search
			-				
	Code	Name	Type	Created by	Created Date	Version	Active
	Code CallEDQ	Name CallEDQ	Type External Library	Created by CSSUPERVISOR	Created Date 12/08/20 12:33:19	4	Active Yes
				,			
	CallEDQ	CallEDQ	External Library	CSSUPERVISOR	12/08/20 12:33:19	4	Yes
	CallEDQ CS_Alerts	CallEDQ CS_Alerts	External Library Stored Procedure	CSSUPERVISOR SYSDAMN	12/08/20 12:33:19 25/02/20 18:11:03	4	Yes Yes
	CallEDQ CS_Alerts fn_expiredRecords	CallEDQ CS_Alerts fn_expiredRecords	External Library Stored Procedure Stored Procedure	CSSUPERVISOR SYSDAMN SYSADMN	12/08/20 12:33:19 25/02/20 18:11:03 25/06/18 00:00:00	4 1 1	Yes Yes Yes
	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN	External Library Stored Procedure Stored Procedure Stored Procedure	CSSUPERVISOR SYSDAMN SYSADMN SYSADMN	12/08/20 12:33:19 25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03	4 1 1 1 1	Yes Yes Yes Yes
	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History	External Library Stored Procedure Stored Procedure Stored Procedure Stored Procedure	CSSUPERVISOR SYSDAMN SYSADMN SYSADMN SYSDAMN	12/08/20 12:33:19 25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03 25/02/20 18:11:03	4 1 1 1 1 1 1 1	Yes Yes Yes Yes Yes Yes
	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History	External Library Stored Procedure Stored Procedure Stored Procedure Stored Procedure Stored Procedure	CSSUPERVISOR SYSDAMN SYSADMN SYSADMN SYSDAMN SYSDAMN	12/08/20 12:33:19 25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03 25/02/20 18:11:03 25/02/20 18:11:03 25/02/20 18:11:03	4 1 1 1 1 1 1 1 1 1	Yes Yes Yes Yes Yes Yes
	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History TF_CallUpdateAdditionalMs	CallEDQ CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History TF_CallUpdateAdditionalMs	External Library Stored Procedure Stored Procedure Stored Procedure Stored Procedure Stored Procedure External Library	CSSUPERVISOR SYSDAMN SYSADMN SYSADMN SYSDAMN SYSDAMN SYSDAMN	12/08/20 12-33:19 25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03 25/02/20 18:11:03 25/02/20 18:11:03 19/08/20 11:34:54	4 1 1 1 1 1 1 1 1 1	Yes Yes Yes Yes Yes Yes Yes

Figure 112: Post Load Changes Page

- 3. Search for *CallEDQ* in the **Code** field and select it.
- 4. Click Edit.
- 5. In the **Transformation Process Flow** section, select **Input Parameters**. The Input parameters appear in the **Parameter Definition** section.
- 6. Click Add Row to add a row. You must add two rows, one for the EDQ server name and one for the condition.

~ Parame	eter Definition			🕂 Add Row 💼	Delete Row 🛛 Help
	Parameter Name	Data Type	Default Value		
	RUNID	Varchar2	null		
	PHID	Varchar2	null		
	EXEID	Varchar2	null		
	RUNSK	Varchar2	null		
	PropertiesFileName	Varchar2	null		
	RunLabel	Varchar2	null		
	JobName	Varchar2	null		
	ProjectName	Varchar2	null		
	edqServerName	Varchar2	null		
	condition	Varchar2	null		

Figure 113: Adding Input Parameters

7. Click Finish.

To verify the batch execution logs for the EDQ tasks, see the $\tt FIC_HOME/ficdb/bin/CS_EDQ_CALL$ log file.

12 Appendix E: Viewing Snapshots of Tables in EDQ

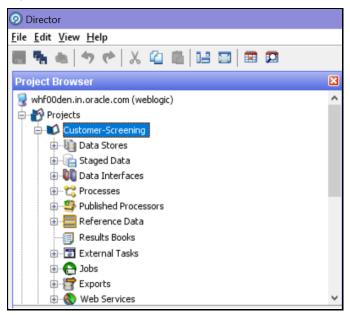
To view a snapshot of a selected table and associated columns in the **Results Browser** pane in Enterprise Data Quality (EDQ), follow these steps:

1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 115: Project Browser Pane

Figure 114: Director Menu in EDQ



3. Expand the Staged Data node and double-click FCDM Customer Data.

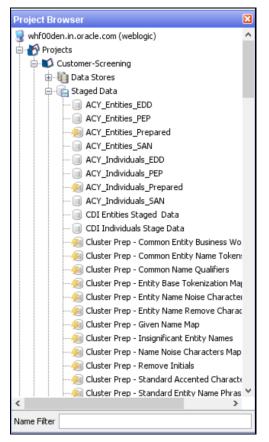


Figure 116: FCDM Customer Data Node

4. In the Setup Snapshot window, double-click **FCDM Batch Data**.

Setup Snapshot	ORACLE
Jata Store Which Data Store should be used as the source for this snapshot?	ORACLE
EFCDM Batch Data	•
Filter - Extracted Origins-JMP	
Hints - GB Gender from Forename-JMP	
Hints - GB Gender from Title-JMP	
HMT-Entities-JMP	
HMT-Individuals-JMP	
🚦 Individual Audit	
🗧 Match - Cardinals and Ordinals-JMP	
📑 Match - English Dictionary Words-JMP	
📑 Match - Entity Frequent Watchlist Tokens-JMP	
📒 Match - Entity Safe Countries ISO Codes-JMP	
📑 Match - Individual Safe Countries ISO Codes-JMP	
🚆 Match - Organisation Prefixes-JMP	~
5earch	
	New Data Store
	New Data Store
< Ba	ack Next > Cance

Figure 117: Setup Snapshot Window

5. The default view is the SQL query. To change the view to a table view, select **Select Table or View**.

Setup Snapshot			×
Table Selection What data do you want to snapshot?		OF	ACLE.
● Select Table or View ○ SQL ○ Type Table Name			
CS_ALERT_MATCHES\$ CS_APPIN_PARAMS CS_BATCH_DATAORIGIN CS_BATCH_DETAIL CS_BATCH_DETAIL CS_BATCH_RUN CS_CUSTOWER CS_CUSTOWER CS_EDQ_SERVERS CS_EXTERNAL CS_MATCHES CS_MATCHES_HIST CS_MATCHES_HIST CS_PROCESSING_GROUP CS_RTSCR_ALERT CS_RTSCR_ALERT_MATCHES Search			~
	< Back	Next >	Cancel

Figure 118: Select Table or View

6. Click **Next** until you see the **Finish** button.

7. Click **Finish** to view a snapshot of the selected table in the **Results Browser**.

13 Appendix F: Configurations for the Bearer Token

The following section takes you through the process of generating a token and using it to get the individual or entity JSON, depending on the API request. A token is used to authorize the request.

You can begin by generating a password for the user who sends the request. After the password is generated, generate a token to authorize this request. The default time for token expiration is 3600 seconds (1 hour) and can be changed. To change the validity, see <u>Change Token Validity</u>.

13.1 Generate User Password

To generate a password for the user, follow these steps:

- **1.** Log in as a system administrator.
- 2. Click System Configuration in the Administration page and select Configure Setup Access Token. The Configure Setup Access Token window is displayed.



Figure 119: Administration Page

3. In the Configure Setup Access Token section, click Add. A new window is displayed.

Figure 120: Configure Setup Access Token

		×
∡ Configure Setup Access Token		
Client Setup Name		() Reset
 Configure Setup Access Token + Add 		
Client Setup Name	Client Setup Access Token	
KEY_REST_01	ce6d4b1a-6c2b-4e00-89df-a9f22853608d	

4. Enter the username in the **Client Setup Name** field and click **Generate Token**. The token is displayed in the **Setup Access Token Details** section.

Figure 121: Generate Token Button

* Client Setup Name	Generate Token Close
Setup Access Token Details	

5. Copy and save the text generated in the **Setup Access Token Details** section.

Figure 122: Setup Access Token Details

Generate Token C	Close
	Generate Token

The **STP_ACC_NM** field displays the username. The **STP_ENC_STR** field displays the password.

6. Click **Close** and log out as the system administrator.

13.2 Change Token Validity

To generate a password for the user, follow these steps:

- **1.** Log in as a system administrator.
- 2. Click System Configuration in the Administration page and select Configure System Configuration. The Configuration window is displayed.

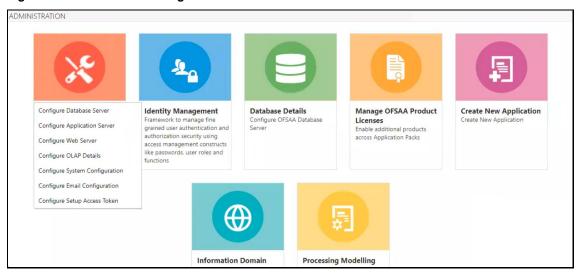


Figure 123: Administration Page

3. In the **Configuration** window, change the token validity time in the **API token validity in seconds** field.

Configuration		0
Configuration		Save Cancel
~ Environment Details		
Database - ORACLE		Server - Unix
General Details Guest Login	Optimization Others	
Number of invalid logins	10	
Path for Application Packaging		
Session Timeout Value(in minute)	50	
Link based token validity in minutes	60	
API token validity in seconds	3600	
Enable batch operation notification		
Enable batch owner notification only		
Security Question Enable		

Figure 124: Configuration window with the API token validity in seconds field shown

4. Click Save.

13.3 Generate Token

After the password is generated, you can generate the token. To generate the token, open your API client and follow these steps:

NOTE	 You may use the desktop version of the Postman client to perform these steps. Postman is an open- source, collaborative platform for API development. For more information, see <u>Postman Docs</u>.
	 You can also use any other API client, such as cURL. For more information, see <u>REST APIs for Oracle</u> <u>Database</u>.

- 1. Open the Postman client and click **Create a request**.
- 2. Select the request type as **GET** and enter the request URL in the following format: http://[servername]:[portnumber]/[context]/v1/token

Figure 125: Request

Untitled F	Request				BUILD	1	Ð
GET	Ŧ	http://[servername]:[portnumber]/[context]/v1/token			Send 👻	Save	v
Params	Authori	zation Headers (7) Body Pre-request	Script Tests Settings			Cookies C	ode
Query Par	rams						
KEY			VALUE	DESCRIPTION	••	Bulk E	dit
Key			Value	Description			
Response							Ŧ

3. Select the **Authorization** menu and then select the **TYPE** as **Basic Auth**.

Figure 126: Authorization

Untitled Request			BUILD	Ø				
GET • http://[servername]:[portnumber]/[c	EET v http://[servername]:[portnumber]/[context]/v1/token							
Params Authorization Headers (7) Body	Pre-request Script Tests Settings			Cookies	Code			
TYPE Basic Auth	Heads up! These parameters hold sensitiv using variables. Learn more about variable	e data. To keep this data secure while working in a collaborative environment, v ss	we recomme	nd	×			
The authorization header will be automatically generated when you send the request. Learn more about authorization	Username Password	Username Password						
		Show Password						
Response								

4. Enter the username and password.

The username is the value generated for the **STP_ACC_NM** attribute and the password is the value generated for the **STP_ENC_STR** attribute.

5. Click **Send**. The token is displayed in the **Response** field.

Figure 127: Response

Visualize	JSON 🔻	E .		
		and the second sec		
			YWI0YzIiLCJpc3MiC	DiJLRV1fUkVTVf8wMSIsImF1ZC
	jN2ZhNDEzYi02	jN2ZhNDEzYi02NDMwLTRkYjMt0	XAİOİJKV1QİLCJhbGcİOİJSUZI1NİJ9. jN2ZhNDEzYİ02NDMwLTRKYjMtOGM5My1kZTU4NDJh cwNjM1MjYsImV4cCI6MTYwNzA2NzEyNn0.	jN2ZhNDEzYi02NDMwLTRkYjMtOGM5My1kZTU4NDJhYWI0YzIiLCJpc3MiC

13.4 Send Requests

Requests are sent using the **POST** request feature. Use the token generated to authorize the request and pass the JSON in the correct format.

NOTE	• You may use the desktop version of the Postman client to perform these steps. Postman is an open-source, collaborative platform for API development. For more information, see <u>Postman Docs</u> .
	 You can also use any other API client, such as cURL. For more information, see <u>REST APIs for Oracle</u> <u>Database</u>.

1. In the Postman client, select the request type as **POST** and enter the request URL in the following format:

http://[servername]:[portnumber]/[context]/restapi/RTScreening/RTScreen
ingRestService/service/IndividualScreen/EntityScreen

Figure 128: Request

Untit	led Request		BL	JILD					
POST + http://[servername]:[portnumber]/[context]/restapi/RTScreening/RTScreeningRestService/IndividualScreen/EntityScreen									
Para	ns Authorization • Headers (8) Body Pre-reque	t Script Tests Settings							
Que	y Params								
	KEY	VALUE	DESCRIPTION	•					
	Key	Value	Description						
Resp	inse								
	OPA								

2. In the Authorization menu, select the TYPE as Bearer Token.

Figure 129: Authorization

Untitled	Request									BUILD
POST	~	http://[ser	vername]:[port	tnumber]/[co	/[context]/restapi/RTScreening/RTScreeningRestService/service/IndividualScreen/EntityScreen				Send	•
Params	Author	ization 🌒	Headers (7)	Body	Pre-request Script Tes	ts Settings				
TYPE Bearer	Token			Ŧ	Heads up! These para variables. Learn more		data. To keep this data secure while working in a colla	borative enviror	iment, we rei	commer
The authorization header will be automatically generated when you send the request. Learn more about authorization			Token		Token					
Response	2									

3. Paste the <u>token</u> generated in the **Token** field.

{

4. Click **Send**. The JSON is displayed in the **Response** field. A sample JSON is shown:

```
"Jurisdiction": "AMEA",
"BusinessDomain":"d",
"FamilyName": "HAMMAD",
"GivenNames": "Fathi Ahmad"
}
```

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