

Oracle Financial Services Sanctions

Installation Guide

Release 8.0.8.2.0

September 2021

F33969-01

ORACLE
Financial Services

Oracle Financial Services Sanctions Installation Guide.

Copyright © 2022 Oracle and/or its affiliates. All rights reserved.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish, or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this is software or related documentation that is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, then the following notice is applicable:

U.S. GOVERNMENT END USERS: Oracle programs, including any operating system, integrated software, any programs installed on the hardware, and/or documentation, delivered to U.S. Government end users are "commercial computer software" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, use, duplication, disclosure, modification, and adaptation of the programs, including any operating system, integrated software, any programs installed on the hardware, and/or documentation, shall be subject to license terms and license restrictions applicable to the programs. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by using this software or hardware in dangerous applications.

Oracle and Java are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

Intel and Intel Xeon are trademarks or registered trademarks of Intel Corporation. All SPARC trademarks are used under license and are trademarks or registered trademarks of SPARC International, Inc. AMD, Opteron, the AMD logo, and the AMD Opteron logo are trademarks or registered trademarks of Advanced Micro Devices. UNIX is a registered trademark of The Open Group.

This software or hardware and documentation may provide access to or information about content, products, and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third-party content, products, and services unless otherwise set forth in an applicable agreement between you and Oracle. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services, except as set forth in an applicable agreement between you and Oracle.

For information on third party licenses, click [here](#).

Document Control

[Table 1](#): records the number of revisions or changes done to this document as part of a release.

Table 1: Document Control

Version Number	Revision Date	Change Log
8.0.8.2.0	September 2021	<ul style="list-style-type: none">• Updated the section How This Guide is Organized section with post installation reference sections.• Updated the Prerequisites section with the list of modified files as part of the 8.0.8.2.0 ML version release.• Updated the Installing this Maintenance Level Release section as part of 8.0.8.2.0 ML version release.• Added the new section for Post Installation Steps - Customer Screening and Post Installation Steps - Transaction Filtering.
8.0.8.1.0	August 2020	Created for 8.0.8.1.0 ML version release.

Table of Contents

1	Preface	5
1.1	About this Guide	5
1.2	Audience	5
1.3	Related Documents	5
1.4	How This Guide is Organized	6
1.5	Conventions	6
1.6	Abbreviations	6
1.7	Prerequisites	7
1.7.1	<i>Modified Files</i>	7
1.7.2	<i>Data Model Files</i>	8
1.7.3	<i>Build-related Files</i>	8
2	Installing this Maintenance Level Release	9
3	Post-Installation Steps for Customer Screening	12
4	Post-Installation Steps for Transaction Filtering	14

1 Preface

This preface provides information for the Oracle Financial Services Sanctions (OFS Sanctions) Application pack Installation Guide.

Topics:

- [About this Guide](#)
- [Audience](#)
- [Related Documents](#)

1.1 About this Guide

The *Oracle Financial Services Sanctions (OFS Sanctions) Application pack 8.0.8.2.0 Installation Guide* provides instructions to install the OFS Sanctions 8.0.8.2.0 Maintenance Level (ML) release.

For more information on the 8.0.8.0.0 installation, see the [Oracle Financial Services Sanctions Release 8.0.8.0.0 Installation Guide](#).

1.2 Audience

Oracle Financial Services Sanctions Installation Guide is intended for administrators and implementation consultants responsible for installing and maintaining the application pack components.

1.3 Related Documents

You can access the following additional documents related to the Oracle Financial Services Sanctions application from the [Oracle Help Center \(OHC\) Documentation Library](#).

- *Oracle Financial Services Sanctions User Guide*
- *Oracle Financial Services Transaction Filtering Administration Guide*
- *Oracle Financial Services Transaction Filtering User Guide*
- *Oracle Financial Services Customer Screening Administration Guide*
- *Oracle Financial Services Customer Screening User Guide*
- *Oracle Financial Services Compliance Studio Security Guide*

To find additional information about how Oracle Financial Services solves real business problems, see our [website](#).

1.4 How This Guide is Organized

This guide includes the following chapters:

- [Pre-installation](#): Pre-installation requirements and files packaged.
- [Installing this Maintenance Level Release](#): Steps to install this ML patch.
- [Post Installation Steps - Customer Screening](#): Customer Screening post-installation steps.
- [Post Installation Steps - Transaction Filtering](#): Transaction Filtering post-installation steps.

1.5 Conventions

[Table 2](#) explains the text conventions used in this guide.

Table 2: Document Conventions

Convention	Description
<i>Italics</i>	Names of books, chapters, and sections as references
Bold	Emphasis and need attention
Monospace	<ul style="list-style-type: none"> • Directories and subdirectories • File names and extensions • Process names Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text
Hyperlink	Hyperlink type indicates the links to external websites, internal document links to sections.

1.6 Abbreviations

[Table 3](#) lists the abbreviations used in this document.

Table 3: Abbreviations

Abbreviation	Meaning
OFS	Oracle Financial Services
OFSAAI	Oracle Financial Services Analytical Applications Infrastructure
OHC	Oracle Help Center
MOS	My Oracle Support
OFSAA	Oracle Financial Services Analytical Application
EAR/WAR	Enterprise Archive/Web Archive

1.7 Prerequisites

NOTE Before you run the patch, perform a backup of the Schema (Atomic and Config), FIC_HOME, and ftpshare directories.

NOTE If the 8.0.8.2.0 patch is installed on the 8.0.8.1.x version, follow these steps.

- `CREATE TABLE fsi_rt_match_service_TEMP AS SELECT * FROM fsi_rt_match_service;`
- `ALTER TABLE fsi_rt_match_service RENAME COLUMN V_GOOD_SERVICE_UNIQ_ID TO V_GOOD_SERVICE_UNIQ_ID_TMP;`
- Install 8.0.8.2.0 patch, see [Installing this Maintenance Level Release](#).

Download and install the following mandatory patches from [My Oracle Support](#) by searching the patch under the Patches & Updates tab.

- Bug 32433104 - OFSAA 8.0.8.0.0 AAI ML RELEASE #4 (8.0.8.4.0).
- Bug 32951355 - TFLT-TRANSACTION FILTERING DEPLOYMENT IS FAILING.

NOTE Optionally install the patch Bug 31623851 - OFS SAN 8.0.8.0.0 SANCTIONS ML RELEASE #1 (8.0.8.1.0).

1.7.1 Modified Files

The product files modified for this ML release are as follows:

- [.jar Files](#)
- [.html Files](#)
- [.dxi Files](#)

1.7.1.1 .jar Files

- TF_XML_FINAL_FEEDBACK.jar
- TF_XML_FEEDBACK_SERVICE.jar
- TF_NACHA_FINAL_FEEDBACK.jar
- swiftService.jar

- SwiftRegexParser.jar
- realTimeScreening.jar
- fdService.jar
- CutOffRetrigger.jar
- TFLTService.jar
- TF_XML_XSD_CONF_UI.jar
- fdRegexParser.jar
- csprocessing.jar

1.7.1.2 **.html Files**

realTimeScreening/js/views/RTScreening.html

1.7.1.3 **.dxi Files**

- Customer_Screening_8.0.8.2.0.dxi
- Transaction_Screening_8.0.8.2.0.dxi
- Transaction_Screening_Batch_8.0.8.2.0.dxi

1.7.2 **Data Model Files**

The updated data model file impacting the data for this ML is as follows:

- CS_DataModel.xml

1.7.3 **Build-related Files**

The build-related files added for this ML release are as follows:

- Webroot/QueueManagement folder
- Webroot/CustomerScreening folder
- Webroot/TransactionFilteringZipper folder
- QueueService.jar

2 Installing this Maintenance Level Release

- NOTE** The following files are required for the patch utility to work:
- merge_wsdd.xsl
 - merge_Persistence.xsl
 - merge_web.xsl
 - merge_Menu.xsl

To apply Oracle Financial Services Sanctions Pack 8.0.8.2.0 Patch, follow these steps:

1. Load the `.profile` file and verify that `$FIC_HOME` corresponds to the proper environment where the patch application is required.

- NOTE** The FIC server must be up and running.

2. Download and copy `33090893_GENERIC.zip` (in Binary mode) to the server where OFSAA is installed.
3. Navigate to `<USER_PATCH_DIR>` and extract the contents of the patch archive file using the following command:

`<USER_PATCH_DIR>` is the directory containing the `<patch>.zip` file.

a. `unzip -a <name of the file to be unzipped>`

For example: `unzip -a 33090893_GENERIC.zip`.

The following files are available in the folder when the folder is unzipped.

- `CS_DataModel.xml`
- `PatchConfig.xml`
- `install.sh`
- `Setup.bin`
- `validateXMLInputs.jar`
- `Readme_OFSTF_8.0.8.2.0.txt`

- NOTE** The "-a" option is mandatory to unzip the patch. If you notice an error message `unzip; not found [No such file or directory]` when the package is not installed, contact your UNIX administrator to resolve this issue.

4. Navigate to `<USER_PATCH_DIR>/33090893/bin` and grant execute (755) permission for all executables.

```
$ chmod 755 *
```

5. Navigate to <USER_PATCH_DIR>/33090893/conf/PatchConfig.xml and provide the following placeholder values
 - ##SCHEMA_OUT_XML_PATH## - This attribute refers to the path which needs to be pointed to OFS_SANC_SCHEMA_OUTPUT.xml, which was generated at the time of installation.
 - ##DATA_TABLE_SPACE## - This attribute refers to the placeholder name of ##OFS_TFLT_DATA_TBSP##, which you can find in OFS_SANC_SCHEMA_OUTPUT.xml, which was generated at the time of installation.
 - ##INDEX_TABLE_SPACE## - This attribute refers to the placeholder name of ##OFS_TFLT_INDEX_TBSP##, which you can find in OFS_SANC_SCHEMA_OUTPUT.xml, which was generated at the time of installation.
 - ##SWIFTINFO## This attribute refers to the infodom name.
6. Install the patch by executing the following install.sh command:

```
$ ./install.sh
```
7. Check if the patch is applied successfully by verifying the patch install logs under <USER_PATCH_DIR>/33090893/logs. Contact Oracle Support if there are any errors.

Once installation is successful, follow these steps:

- Execute the following script in the atomic schema:

```
update fsi_rt_match_service set
V_GOOD_SERVICE_UNIQ_ID=V_GOOD_SERVICE_UNIQ_ID_TMP;
commit;
```
- Execute the following statement in the atomic schema.

```
ALTER TABLE fsi_rt_match_service DROP COLUMN
V_GOOD_SERVICE_UNIQ_ID_TMP;
```

NOTE

Once installation is successful, execute the following script in the atomic schema.

- Execute the following script in the atomic schema:

```
Update fsi_rt_match_service set
V_GOOD_SERVICE_UNIQ_ID=V_GOOD_SERVICE_UNIQ_ID_TMP;

commit;
```

- Execute the following statement in the atomic schema:

```
ALTER TABLE FSI_RT_MATCH_SERVICE DROP CONSTRAINT
UK_FSI_RT_MATCH_SERVICE1;
```

```
CREATE UNIQUE INDEX UK_FSI_RT_MATCH_SERVICE1 ON
FSI_RT_MATCH_SERVICE (N_SWIFT_MSG_ID, N_EXPR_ID,
V_TAG_ID, V_FIELD_NAME, N_WEBSERVICE_ID,
F_ENABLED", N_DIRECTION, V_JURISDICTION,
V_GOOD_SERVICE_UNIQ_ID);
```

```
ALTER TABLE FSI_RT_MATCH_SERVICE ADD CONSTRAINT
UK_FSI_RT_MATCH_SERVICE1 UNIQUE (N_SWIFT_MSG_ID,
N_EXPR_ID, V_TAG_ID, V_FIELD_NAME,
N_WEBSERVICE_ID, F_ENABLED, N_DIRECTION,
V_JURISDICTION", V_GOOD_SERVICE_UNIQ_ID);
```

```
ALTER TABLE fsi_rt_match_service DROP COLUMN
V_GOOD_SERVICE_UNIQ_ID_TMP;
```

3 Post-Installation Steps - Customer Screening

This section provides the post installation steps for Customer Screening application.

To perform the post-installation activities, follow these steps:

1. Once the patch is installed successfully, re-create the `ear/war` file by executing `./ant.sh` for sanctions under `$FIC_WEB_HOME`.
2. Copy the `##EDQ_INSTALLATION_PATH##/edq/oracle.edq/jmxtools.jar` file into the `##FIC_DB_HOME##/lib` folder.
3. Navigate to `$FIC_HOME/Customer_Screening` and copy the `Customer_Screening_8.0.8.2.0.dxi` file to the local setup.
4. Open EDQ and import the `Customer_Screening_8.0.8.2.0.dxi` file from the local.
5. To configure the Security Mapping, do the necessary configurations in the `fcc_zcs_security_attr_grp_map` table for Customer Screening.
6. To configure the Priority of Alert, do the necessary configurations in the `fcc_zcs_alert_priority_conf` table for Customer Screening.
7. To configure the temporary and permanent directories to save the uploaded documents, set the `DOCUMENT_UPLOAD_TEMP` and `DOCUMENT_UPLOAD_SAVE` parameters in the `CONFIGURATION` table of the `Config` Schema as shown in the following [Table 4](#):

Table 4: Parameter Value Examples

Parameter Name	Parameter Values
<code>DOCUMENT_UPLOAD_SAVE</code>	<code>/DocStorage</code>
<code>DOCUMENT_UPLOAD_TEMP</code>	<code>/Temp</code>

For more details, see the 10.1.1 Configure Document Upload Location Properties section in [Oracle Financial Services Analytical Applications Infrastructure Administration and Configuration Guide](#).

8. Restart both the servers.
9. Execute the following command in `Config` Schema


```
GRANT SELECT ON cssms_group_mast_pack TO ##atomic_user##
```
10. Login as `sys` user and use the command


```
grant execute on dbms_crypto to ##atomic_user##
```
11. Navigate to `$FIC_HOME/utility/AppPckMastSynch/bin`
 - a. Open the shell file `AppPckMastSynch.sh`
 - b. Replace the token `$PackName` to `"OFS_SANC_PACK"`
 - c. Execute the shell file as below


```
$ ./AppPckMastSynch.sh
```

12. After execution is complete, replace "OFS_SANC_PACK" to `$PackName` in `AppPckMastSynch.sh` and close the file.

4 Post-Installation Steps - Transaction Filtering

This section provides the post installation steps for Transaction Filtering application.

To perform the post-installation activities, follow these steps:

1. Once the patch is installed successfully, re-create the ear & war file by executing `./ant.sh` for sanctions under `$FIC_WEB_HOME`.
2. Navigate to the `$FIC_HOME/Transaction_Processing` and re-create the ear & war file by executing `./ant.sh` for TFLT in the same path.
3. In the Command Prompt, navigate to the `$FIC_HOME/Fedwire_Processing` and run `./ant.sh` in putty to import fedwire ear & war files. This will trigger the creation of EAR/WAR file-`.ear` & `.war` in the same path. Deploy the ear/war files.
4. Navigate to `$FICHOME/Sepa_Real_Time_Processing` and execute `ant.sh` and then deploy `SEPATFLT.ear` or `SEPATFLT.war`
5. Navigate to `$FIC_HOME/Transaction_Processing/IPEAssessmentImport`. Import the `RTIExport_TransactionFiltering_IPE_Assessments_Swift_8.0.8.2.0.xml` (See the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for `RTIExport_TransactionFiltering_IPE_Assessments_Swift_8.0.8.2.0.xml`).
6. Navigate to `$FIC_HOME/Transaction_Processing/IPEAssessmentImport`. Import the `RTIExport_TransactionFiltering_IPE_Assessments_Sepa_8.0.8.2.0.xml` (See the OFS [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for `RTIExport_TransactionFiltering_IPE_Assessments_Sepa_8.0.8.2.0.xml`).
7. Navigate to `$FIC_HOME/Transaction_Processing/IPEAssessmentImport`. Import the `RTIExport_TransactionFiltering_IPE_Assessments_Nacha_8.0.8.2.0.xml` (See the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for `RTIExport_TransactionFiltering_IPE_Assessments_Nacha_8.0.8.2.0.xml`).
8. Navigate to `$FIC_HOME/Transaction_Processing/IPEAssessmentImport`. Import the `RTIExport_TransactionFiltering_IPE_Assessments_AutoRelease_8.0.8.2.0.xml` (See the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for `RTIExport_TransactionFiltering_IPE_Assessments_Nacha_8.0.8.2.0.xml`).
9. Navigate to `$FIC_HOME/Sepa_Real_Time_Processing/IPEAssessmentImport`. Import the `RTIExport_TransactionFiltering_IPE_Assessments_SEPA_RT.xml` (See the Post Installation Steps section in the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) to import.)
10. Navigate to `$FIC_HOME/ficdb/conf` for the `transaction-screening-batch.properties` and configure according to your requirements.
11. For deploying Repository and Catalog, see the Deploying Analytic Reports and Threshold Analyzer section in the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.7.0.0](#).
12. Navigate to `$FIC_HOME/SanctionsCommon` and copy the `config.zip` file to the local setup.

13. Unzip `config.zip`. Copy the files inside each folder of `config` into the corresponding folders under `oedq.local.home`.
14. Navigate to `$FIC_HOME/SanctionsCommon` and copy the `Watchlist_Management_8.0.8.2.0.dxi` file to the local setup.
15. Open EDQ and import the `Watchlist_Management_8.0.8.2.0.dxi` file from the local.
16. Navigate to the `$FIC_HOME/Transaction_Processing` folder. Import `Transaction_Screening_8.0.8.2.0.dxi` into the EDQ directory. (See the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for how to import `Transaction_Screening.dxi` in EDQ).
17. Navigate to `$FIC_HOME/Transaction_Processing/EDQDXIFiles` folder. Import `Transaction_Screening_Batch_8.0.8.2.0.dxi` into the EDQ directory. (See the [Oracle Financial Services Sanctions Pack Installation and Configuration Guide 8.0.8.0.0](#) for how to import `Transaction_Screening.dxi` in EDQ).

If the Weblogic version is 12.1.3.0.0, make the following change in the `Context-jmx.xml` application in the path:

```
<Installed Area>/realtime_processing/WebContent/conf/applicationContext-jmx.xml\
```

Actual:

```
<map>
  <entry key="realtime:name=StatsManager" value-ref="statMgrBean" />
  <entry key="realtime:name=LogConfig" value-ref="logRuntimeConfigBean" />
</map>
```

Change to:

```
<map>
  <entry key="realtime1:name=StatsManager" value-ref="statMgrBean" />
  <entry key="realtime1:name=LogConfig" value-ref="logRuntimeConfigBean" />
</map>
```

NOTE After creating the Fedwire `ear` & `war` files, revert the changes.

18. To configure the Security Mapping, do the necessary configurations in the `domain_jur_grp_map` table for Transaction Filtering.
19. To configure the Priority of Alert for Transaction Filtering, do the following necessary configurations:

```
Select t.v_attribute_value1 from setup_rt_params t where
t.n_param_identifiser=34;
```

20. To configure the temporary and permanent directories to save the uploaded documents, set the DOCUMENT_UPLOAD_TEMP and DOCUMENT_UPLOAD_SAVE parameters in the CONFIGURATION table of the Config Schema as shown in the following [Table 5](#):

Table 5: Parameter Value Examples

Parameter Name	Parameter Values
DOCUMENT_UPLOAD_SAVE	/DocStorage
DOCUMENT_UPLOAD_TEMP	/Temp

For more details, see the 10.1.1 Configure Document Upload Location Properties section in [Oracle Financial Services Analytical Applications Infrastructure Administration and Configuration Guide](#).

21. Restart both the servers.
22. Execute the following command in Config Schema


```
GRANT SELECT ON cssms_group_mast_pack TO ##atomic_user##
```
23. Login as sys user and use the command


```
grant execute on dbms_crypto to ##atomic_user##
```
24. Navigate to \$FIC_HOME/utility/AppPckMastSynch/bin
 - a. Open the shell file AppPckMastSynch.sh
 - b. Replace the token \$PackName to "OFS_SANC_PACK"
 - c. Execute the shell file as below


```
$ ./AppPckMastSynch.sh
```
25. After execution is complete, replace "OFS_SANC_PACK" to \$PackName in AppPckMastSynch.sh and close the file.

OFSAA Support

Raise a Service Request (S.R.) in [My Oracle Support \(MOS\)](#) for queries related to the OFSAA applications.

Send Us Your Comments

Oracle welcomes your comments and suggestions on the quality and usefulness of this publication. Your input is an important part of the information used for revision.

- Did you find any errors?
- Is the information clearly presented?
- Do you need more information? If so, where?
- Are the examples correct? Do you need more examples?
- What features did you like most about this manual?

If you find any errors or have any other suggestions for improvement, indicate the title and part number of the documentation along with the chapter/section/page number (if available) and contact the Oracle Support.

Before sending us your comments, you might like to ensure that you have the latest version of the document wherein any of your concerns have already been addressed. You can access the My Oracle Support site that has all the revised/recently released documents.

