# Oracle Financial Services Customer Screening Administration Guide Release 8.1.2.7.0 February 2024 F22546-05

# **ORACLE** Financial Services

Customer Screening Administration Guide

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# **Document Control**

#### Table 1: Document Control

Version Number	<b>Revision Date</b>	Change Log
8.1.2.7.0	February	<ul> <li>Added Configuring Bulk Action on the Events section.</li> <li>Added Splitting the Alerts Based on the Event Type Configuration section.</li> <li>Added Customer Screening Staged Data Simulation Pipeline information in Pipeline section.</li> <li>Added Figure 139 .</li> <li>Added new widget information in Table 11 .</li> </ul>
8.1.2.6.0	October 2023	<ul> <li>Added the following Chapter:</li> <li>Simulation</li> <li>Appendix L: Setting the ZEPPELIN_INTERPETER_OUTPUT_LIMIT in Python Interpreter</li> <li>Appendix M: Manual Configuration for Filter Condition to Apply in the Batch</li> </ul>
8.1.2.5.1	August 2023	<ul> <li>Added CSALRTSTS function code in Table 1.</li> <li>Added Configuring the Customer ID parameter for getting real time alerts in getAlertListForCustIdZipperCS API section.</li> </ul>
8.1.2.5.0	June 2023	<ul> <li>Added Reviewer user role information.</li> <li>Updated Application Level Configuration section with information on Bulk Action.</li> <li>Added Configuring Bulk Action Feature for the Alert List section.</li> <li>Added Appendix Q: Function Codes for User Groups section.</li> </ul>
8.1.2.4.1	April 2023	<ul> <li>Added Appendix P: Configurations Required to Open ECM Case or CSAM Alert from RT Screening if RT Screening and ECM/CSAM are in Different Servers section.</li> <li>Added Appendix O: CS and ECM Table Mapping for Alert Status Customization section.</li> <li>Added Appendix N: Adding New Alert Level Action and Standard Comments section.</li> <li>Added Populating Country Code section.</li> <li>Added Addition of Extra Fields in Customer Details section section.</li> </ul>

Version Number	Revision Date	Change Log
8.1.2.4.0	March 2023	<ul> <li>Added File Upload section.</li> <li>Added OWS Migration section.</li> <li>Added Application Level Configuration section.</li> <li>Added Fix for Primary Key Constraints section.</li> </ul>
8.1.2.3.0	December 2022	<ul> <li>Added Appendix N: Adding New Alert Level Action and Standard Comments section.</li> <li>Added Configuring the New Priority section.</li> <li>Added information about enhanced UI experience in the Queue, Alert List, and Alert Details which support more than the high, medium, and low classifications per queue in Grid View section.</li> </ul>
8.1.2.2	October 2022	<ul> <li>Added Merging Case Types section.</li> <li>Added Screening Watch List Records in Real-Time section with information about source request ID.</li> <li>Updated Screening Watch List Records in Real-Time with information about merging case types and events.</li> <li>Added Suppression of Alerts section.</li> </ul>
8.1.2.0	July 2022	<ul> <li>Added Enabling L2 Investigation for Customer Screening.</li> <li>Added Configuring Additional Columns on the Alert List page.</li> </ul>

#### Table 1: Document Control

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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 My Oracle Support (MOS). 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:

- Introduction provides an overview of Customer Screening and the architecture used.
- Getting Started explains common elements of the interface and how to configure the Financial Services Analytical Applications Customer Screening home page.
- General Configurations 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.
- Integrations with Enterprise Case Management 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.
- Real-Time Screening 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).
- Batch Screening provides information on how to prepare and analyze data and how to run the batch screening job using the Financial Data Crime Model (FCDM).
- Appendix A: Screening Non-Latin Character Sets provides information on how to perform matching for non-Latin data.
- Appendix B: Risk Scoring Reference Data shows the different reference data tables used to calculate risk scores in Customer Screening.

- Appendix C: Preconfigured Watch List Information provides information on the different watch lists used in Customer Screening.
- Appendix D: Splitting Jobs Using Multiple EDQ Servers provides information on splitting jobs across multiple severs.
- Appendix E: Viewing Snapshots of Tables in EDQ provides information on the EDQ table UI.
- Appendix F: Configurations for the Bearer Token provides information on the Bearer Token configuration.
- Appendix G: Error Logs provides information on the types of failure encounters.
- Appendix H: Out Of Box process to move Alerts from CS\_ALERTS of one DB instance to FCC\_ZCS\_ALERTS of another DB instance provides information on
- Appendix I: API to create the Alerts in the Zipper Alerts table (FCC\_ZCS\_ALERTS) provides information on steps to configure system to create Zipper Alerts.
- Appendix J: PMF Configurations for Pool of Analyst provides information on PMF configuration.
- Appendix K: Invoking the PMF Workflow from backend provides information on invoking the PMF Workfkow from backend for the Alert.

## **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 Oracle Help Center 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 Oracle for Financial Services home page.

# **1.5** Conventions Used in This Guide

The following table mentions the conventions used in this guide.

Table 1:	Conventions	Used
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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		
Hyperlink	Hyperlink type indicates the links to external websites, internal document links to sections.		

#### Table 1: Conventions Used

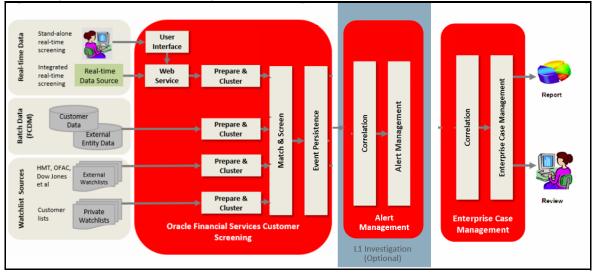
Conventions	Meaning
Asterisk (*)	Mandatory fields in User Interface
<variable></variable>	Substitute input value

# 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, 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). We have also introduced Alert Management for L1 investigation for rapid dispositioning of Alerts (optional).





# 3 Getting Started

NOTE

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.

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>/<context-name>/ login.jsp

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

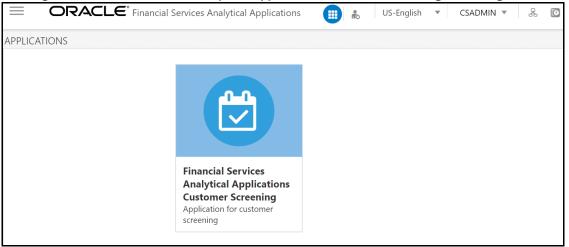
The Oracle Financial Services Analytical Applications (OFSAA) login page is displayed.



<b>ORACLE</b> <sup>®</sup> Financial Services Analytical Applications			
	Language	US-English	$\sim$
	User ID		
	Password		
		Login	
	Version 8.0.7.1.0 Copyright © 1993 reserved.	, 2019 Oracle and/or its aff	iliates. 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 Oracle Financial Services Analytical Applications Infrastructure Administration and Configuration Guide.



# 3.3 Queue Management

Queue Management is a common dashboard where the following users can see queues related to CS and TF that are created by the Queue Administrator and the system (Out Of Box):

- Reviewer
- Analyst
- Supervisor
- Senior Supervisor
- Queue Administrator

You can view the Queue details in the following formats:

- List View
- Grid View

By default, queue details are displayed in the List View. Only queue admin can assign the user groups for the queues in the Grid View.

For more information on Queue Administrator, see the **OFS Sanctions Queue Management User Guide**.

#### 3.3.1 List View

- 1. Log in to the application as Reviewer, Analyst, Supervisor, or Senior Supervisor.
- 2. Select the Financial Services Analytical Applications Customer Screening.
- 3. From the Application Navigation List, select Queue Management.

You can select the **hamburger** icon to view the **Queue List** for **All Teams** in List View.

By default, queue details are displayed in the List View.

Queue List displays the queues assigned to all user groups and the value. **All Team** is selected in the drop-down list and is disabled. It is displayed as the title for Queue List.

#### Figure 4: Queue List in List View

	ces Analytical Applications Transactions Filtering	🕕 歳 US-English 🔻 QAD	MN ▼ &	0
	All Teams	All Teams 👻 🖡		^
Queue List			+ Add Queue	
ALL SAN ALERTS SUPERVISOR GEN DOMAIN	CS Supervisor Access Group	09/14/2021 02:16:27 by QADMN	s 🖻 8	
All SAN Alerts GEN DOMAIN ANALYST	CS Analyst Access Group	09/14/2021 01:26:59 by SYSTEM	s 🕯 8	
ALL SAN ALERTS SUPERVISOR CWS DOMAIN	CS Supervisor Access Group	09/14/2021 02:23:17 by QADMN	s 🖻 8	
RT GEN DOMAIN ANALYST	CS Analyst Access Group	09/14/2021 08:06:12 by QADMN	s 🕯 8	
RT CWS SUPERVISOR	CS Senior Supervisor Access Group, CS Supervisor Access Group	09/14/2021 08:07:54 by QADMN	s 🖻 8	

The following details are displayed in the List View for **All Team**:

- Queue Name
- User Group names (that are assigned by the Queue Administrator)
- Date Time Created By (For example, 09/09/2021 14:06:39 by QADMIN/SYSTEM)
- Queue Action

You can view ten queues in Queue List and use the navigation to view the next set of queues.

You can perform the following actions on each queue:

- **+Add Queue**: Click + Add Queue button top-right in the Queue List to add a new queue. (only for Queue Admin.)
- **Delete:** Click the Ellipsis menu and then select Delete and click **Yes** to delete the queue.
- Edit: Click the Ellipsis menu and then select Edit to edit the queue details and click Finish.
- **Open**: Click the Ellipsis menu and then select Open to open the queue to see its details.

- Assign: Click the Ellipsis menu and then select Assign to assign the queue to Groups. (only for • Queue Admin)
  - Select the **Groups** to assign the queue.
  - Click Assign.

You can change the order of queues are as follows:

- According to your requirement, you can select the Queue to change the order, drag and drop in the list.
- Perform the following steps:
  - a. Select the Queue and right-click. The menu options are displayed as **Cut, Paste Before,** and Paste After. The only Cut is enabled.
  - b. Select Cut.
  - Locate the cursor wherever it needs to be added and right-click. The menu options are **Cut**, c. Paste Before, and Paste After. Only Paste Before and Paste After are enabled.
  - Select the **Paste Before** or **Paste After** to place the Queue. d.

#### **Grid View** 3.3.2



You can select the **thumbview** icon to view the **Queue List** for **All Teams** in Grid View.

Queue List displays the queues assigned to all user groups and the value. All Team is selected in the drop-down list and is disabled. It is displayed as the title for Queue List.



#### Figure 5: Queue List in Grid View

NOTE

Only Reviewer/Analyst/Supervisor/Senior Supervisor can view the number of alerts details in each Queue.

The Queue List appears in doughnut charts displays each cell's data as a slice of a doughnut. A pie chart data visualization uses a single circle divided into "slices," each slice representing a numerical proportion of the whole circle's value. Hover over the slices to see the details of the **Series** and the **Value** of the queue.

By default, the color-coding displayed for three priorities of the alerts and the **Total** numeric value indicates the number of alerts in that Queue.

The following are the default priorities in the application:

- High
- Medium
- Low

An admin can configure any number of priorities and color code that needs to be displayed on the Queue Management Dashboard against each of the priority based on their requirement in the backend based on the match score, screening type, event type, jurisdiction and business domain.

The Queue Management dashboard displays all the priorities defined by the admin and the number of alerts meeting the priority condition. If there are alerts which doesn't fall under any priority criteria are displayed as **No Priority Set**.

To configure the priorities and color code see Configuring the New Priority section.

Priority configuration for all the alerts to be defined before customer screening.

You can view six queues in Queue List and use the navigation to view the next set of queues.

You can perform the following actions on each queue:

- **+Add Queue**: Click + Add Queue button top-right in the Queue List to add a new queue. (only for Queue Admin.)
- **Delete:** Click the Ellipsis menu and then select Delete and click **Yes** to delete the queue.
- Edit: Click the Ellipsis menu and then select Edit to edit the queue details and click Finish.
- **Open**: Click the Ellipsis menu and then select Open to open the queue to see its details.
- **Assign**: Click the Ellipsis menu and then select Assign to assign the queue to Groups. (only for Queue Admin)
  - Select the **Groups** to assign the queue.
  - Click Assign.

#### 3.3.3 Configuring the New Priority

To configure the priority and color code for the alerts, follow the below steps:

- 1. Access the Atomic Schema and access the FCC\_ZCS\_ALERT\_PRIORITY\_DIM table.
- 2. Change the following parameter value:
  - N\_ALERT\_PRIORITY\_ID
  - V\_ALERT\_PRIORITY\_CODE
  - V ALERT PRIORITY NAME
  - V\_ALERT\_PRIORITY\_DSPLY\_COLR

Figure 6: FCC ZCS ALERT PRIORITY DIM Table

orkshe	et Query Builder			
1	select * from fcc_z	cs_alert_priority_dim	;	
2				
Quer	y Result X			
* 📇	🚱 🙀 SQL   All Rows	Fetched: 5 in 0.1 seconds		
	<pre> {     N_ALERT_PRIORITY_ID     </pre>	V_ALERT_PRIORITY_CODE	V_ALERT_PRIORITY_NAME	V_ALERT_PRIORITY_DSPLY_COLR
1	1	Н	High	#ED6647
2	2	M	Medium	#FAD55C
3	3	L	Low	#68C182
4	4	NP	No Priority Set	#B2BEB5
F	5	Z	Very High	#D625C0

MERGE INTO FCC\_ZCS\_ALERT\_PRIORITY\_DIM T USING (

SELECT '4' N\_ALERT\_PRIORITY\_ID, 'B' V\_ALERT\_PRIORITY\_CODE, 'Lower Medium' V\_ALERT\_PRIORITY\_NAME, '#25C0D6' V\_ALERT\_PRIORITY\_DSPLY\_COLR FROM DUAL) S

ON ( T.N\_ALERT\_PRIORITY\_ID = S.N\_ALERT\_PRIORITY\_ID )

WHEN MATCHED THEN UPDATE SET T.V\_ALERT\_PRIORITY\_CODE = S.V\_ALERT\_PRIORITY\_CODE, T.V\_ALERT\_PRIORITY\_NAME = S.V\_ALERT\_PRIORITY\_NAME, T.V\_ALERT\_PRIORITY\_DSPLY\_COLR = S.V\_ALERT\_PRIORITY\_DSPLY\_COLR

WHEN NOT MATCHED THEN INSERT

(N\_ALERT\_PRIORITY\_ID,V\_ALERT\_PRIORITY\_CODE,V\_ALERT\_PRIORITY\_NAME,V\_ALERT \_PRIORITY\_DSPLY\_COLR)

VALUES

```
(S.N_ALERT_PRIORITY_ID, S.V_ALERT_PRIORITY_CODE, S.V_ALERT_PRIORITY_NAME, S.V_ALERT_PRIORITY_DSPLY_COLR)
```

/

- 3. Access the FCC\_ZCS\_ALERT\_PRIORITY\_TL table.
- 4. Change the following parameter value:
  - V ALERT PRIORITY CODE
  - V\_ALERT\_PRIORITY\_NAME
  - V LOCALE

**NOTE** The FCC\_ZCS\_ALERT\_PRIORITY\_DIM\_table and FCC\_ZCS\_ALERT\_PRIORITY\_TL\_table must have the same parameter value entry. Figure 7: FCC ZCS ALERT PRIORITY TL Table

Workshe	Query Builder		
1 2	select * from fcc_zcs	_alert_priority_tl;	
Quer	y Result ×		
* 📇	🚱 🙀 SQL   All Rows Fet	ched: 6 in 0.088 seconds	
	♦ V_ALERT_PRIORITY_CODE	V_ALERT_PRIORITY_NAME	♦ V_LOCALE
1	Н	High	en_US
2	M	Medium	en_US
3	L	Low	en_US
4	A	Very Low	en_US
5	NP	No Priority Set	en_US
	Z	Very High	en US

```
MERGE INTO FCC_ZCS_ALERT_PRIORITY_TL T USING (
```

```
SELECT 'B' V_ALERT_PRIORITY_CODE, 'Lower Medium' V_ALERT_PRIORITY_NAME,
'en_US' V_LOCALE FROM DUAL) S
ON ( )
WHEN MATCHED THEN UPDATE SET T.V_ALERT_PRIORITY_CODE =
S.V_ALERT_PRIORITY_CODE, T.V_ALERT_PRIORITY_NAME =
S.V_ALERT_PRIORITY_NAME, T.V_LOCALE = S.V_LOCALE
WHEN NOT MATCHED THEN INSERT
(V_ALERT_PRIORITY_CODE, V_ALERT_PRIORITY_NAME, V_LOCALE)
VALUES
(S.V_ALERT_PRIORITY_CODE, S.V_ALERT_PRIORITY_NAME, S.V_LOCALE)
/
```

The priority for the new alerts are decided based on the score configured for the priority. To define the priority and color code for the new alerts created based on the score, follow the below steps:

- 1. Access the Atomic Schema and access the FCC\_ZCS\_ALERT\_PRIORITY\_CONF table.
- 2. Change the following parameter value:
  - N\_ALERT\_PRIORITY\_SEQ
  - V\_ALERT\_PRIORITY\_CODE
  - N\_ALERT\_PRIORITY\_MIN\_SCORE
  - N\_ALERT\_PRIORITY\_MAX\_SCORE
  - V ALERT TYPE CODE

Figure 8: FCC ZCS ALERT PRIORITY CONF Table

> 🗾 🐮 🗸	🤊 🗟 I 🔯 🕵 I 🏦 🥜 🗔 🗛 I		SANCTIONS_DEV_812_ATOMIC				
Worksheet	Query Builder						
1 selec	t t from fcc_zcs_alert_priority_conf;						
Query Resul	t ×						
ه 🚯 🚨 🖈	SQL   All Rows Fetched: 47 in 0.098 seconds						
∜ N_AI	LERT_PRIORITY_SEQ	N_ALERT_PRIORITY_MIN_SCORE	N_ALERT_PRIORITY_MAX_SCORE	V_ALERT_TYPE_CODE	V_JRSDCN_CD	V_BUS_DMN_	
1	47 A	0	81	CS_EE_EDD	AMEA	a	
2	38 A	0	81	CS_PEP	AMEA	a	
3	42 A	0	81	CS_EE_PEP	AMEA	a	
4	46 A	0	81	CS_EE_PRB	AMEA	a	
5	44 A	0	81	CS_RT_PEP	AMEA	a	
6	41 A	0	81	CS_EE_SAN	AMEA	a	
7	48 A	0	81	CS_RT_PRB	AMEA	a	
8	43 A	0	81	CS_RT_EDD	AMEA	a	
9	39 A	0	81	CS_SAN	AMEA	a	
10	40 A	0	81	CS_PRB	AMEA	a	
11	37 A	0	81	CS_EDD	AMEA	a	
12	24 H	91	100	CS EE PRB	AMEA	a	

MERGE INTO FCC ZCS ALERT PRIORITY CONF T USING (

SELECT '37' N\_ALERT\_PRIORITY\_SEQ, 'B' V\_ALERT\_PRIORITY\_CODE, '81' N\_ALERT\_PRIORITY\_MIN\_SCORE, '85' N\_ALERT\_PRIORITY\_MAX\_SCORE, 'CS\_RT\_SAN' V\_ALERT\_TYPE\_CODE, 'AMEA' V\_JRSDCN\_CD, 'a' V\_BUS\_DMN\_LIST\_TX FROM DUAL) S

ON ( T.N\_ALERT\_PRIORITY\_SEQ = S.N\_ALERT\_PRIORITY\_SEQ )

WHEN MATCHED THEN UPDATE SET T.V\_ALERT\_PRIORITY\_CODE = S.V\_ALERT\_PRIORITY\_CODE, T.N\_ALERT\_PRIORITY\_MIN\_SCORE = S.N\_ALERT\_PRIORITY\_MIN\_SCORE, T.N\_ALERT\_PRIORITY\_MAX\_SCORE = S.N\_ALERT\_PRIORITY\_MAX\_SCORE, T.V\_ALERT\_TYPE\_CODE = S.V\_ALERT\_TYPE\_CODE, T.V\_JRSDCN\_CD = S.V\_JRSDCN\_CD, T.V\_BUS\_DMN\_LIST\_TX = S.V\_BUS\_DMN\_LIST\_TX

WHEN NOT MATCHED THEN INSERT

(N\_ALERT\_PRIORITY\_SEQ,V\_ALERT\_PRIORITY\_CODE,N\_ALERT\_PRIORITY\_MIN\_SCORE,N\_ALERT\_PRIORITY\_MAX\_SCORE,V\_ALERT\_TYPE\_CODE,V\_JRSDCN\_CD,V\_BUS\_DMN\_LIST\_T X)

VALUES

(S.N\_ALERT\_PRIORITY\_SEQ,S.V\_ALERT\_PRIORITY\_CODE,S.N\_ALERT\_PRIORITY\_MIN\_S CORE,S.N\_ALERT\_PRIORITY\_MAX\_SCORE,S.V\_ALERT\_TYPE\_CODE,S.V\_JRSDCN\_CD,S.V\_ BUS\_DMN\_LIST\_TX)

#### /

#### 3.3.4 Archiving a Queue

To archive inactive queues, follow these steps:

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

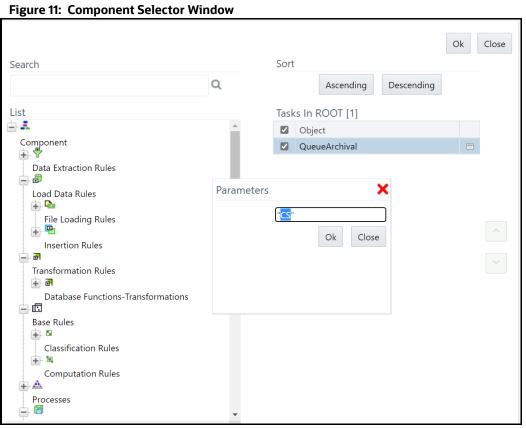
Figure 9: P	rocess Page					
	Financial Services Analytical Applica	🕕 🐁 US-English	▼ CSADMN ▼	& 🖸		
Process						0
					Q Search 'D	Reset
Code	e queue		Version	0		
Name	3		Active	Yes	~	
Folde	r 🗸 🗸					
🕂 New ष View 🖉 Edit	🕞 Copy 🏦 Remove 💄 Authorize 🚽	🖍 🛪 Export 👻 🕞 Trace Definition				
🗯 🗌 Code	Name		Folder	Version	Active	4
QueueArchive	QueueArchive		TFLSEGMENT	0	Yes	
Page 1 of 1 (1-15 of 1 items)	$\kappa \prec \rightarrow \varkappa$				Records Per Page	e 1

4. Click **Edit** *C*. The **Process** page opens in **Edit** mode.

#### Figure 10: Process Definition (Edit Mode)

Process Process Definition(Edit Mode) V Linked to								Save Close
	TFLSEGMENT	10						
∼Master Information 🖻 Propertie	es							
ID	1633605741491				Version	0		
Code	QueueArchive		Active			Yes		
Name	QueueArchive			Type Process Tree				~
Executable		e Execution to High recedence Node 🗿						
~√Subprocess ☐Component ≞	Precedence 🖉 I	Move 🗊 Remove 🗉	Show Details 🏼 🦉 Me	rge Rules 🔎 Edi	t Subprocess			
Process		Object		Precedence		Туре	Parameter	Executable
QueueArchival		QueueArchival				Data Transformatio	n "CS"	

- 5. Select the QueueArchival object and then select **Component**.
- 6. In the **Parameters** window, select the QueuArchival task and then click **drop-down list**  $\bigtriangledown$ . By default the parameter value will be selected as "TF". Change the parameter to "CS".



7. Click **OK** to close the **Parameters** window.

- 8. Click **OK**.
- 9. Click Save.

A confirmation message appears, click **Yes** to save the definition as a new version. A successful message appears, click **Close**.

# 3.4 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.

### 3.4.1 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.

### 3.4.2 Enabling Cookies

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

### 3.4.3 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.

#### 3.4.4 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.

#### 3.4.5 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.

### 3.4.6 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.

#### 3.4.7 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 12: Preferences Page

Preferences			
~ Home Page			
Property Name		Property Value	
Set My Home Page		Default Screen	•
Date Format		Select	•
	Save Cancel		

2. 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 Due Date and Time Configuration

Users with the Customer Screening Administrator role can use the **Due Date and Time Configuration** section to set the alerts' due date and time. The alerts will be prioritized based on these configuration values.

NOTE	• The Due Date and Time Configuration is applicable only
	for Alert Management in the L1 investigation.

To access Due Date and Time Configuration section, follow these steps:

- 1. Click the **hamburger** icon  $\equiv$  to view the Application Navigation List.
- 2. From the **Application Navigation List**, select **Due Date and Time Configuration**. The **Due Date and Time Configuration** page **appears**.

		Time Configuration					
ORA	CLE <sup>®</sup> Financial Services Analytic	al Applications Customer Screening		💷 🛍	US-English 🔻	CSADMN	• 8
Date and Ti	me Configuration						
risdiction	Americas 💌	Business Domain * C/WS	•	Entity Type	Customer		•
ert Type *	Customer Enhanced Due Di 🔻	Priority High	•				
ie Date * Day	vs 120 v ^ Hours 0	V A Minutes 0 V A					
					Add Update	Remove	Rese
leader all and any	Business Domain	Entity Type Al	ert Type	Priority	Du	le Date	
Jurisdiction							

3. Provide details in the following mandatory fields in Table 2:

#### Table 2: Conventions Used

Fields	Description
Jurisdiction	Select the jurisdiction value from the drop-down list.
Business Domain	Select the business domain to which the individual or entity belongs to.
Entity Type	Select the Entity Type as Customer, External Entity or Real-Time from the drop- down list.
Alert Type	Select the Alert Type value from the drop-down list. The values appear based on the selected entity type.
Priority	Select the alert priority value from the drop-down list.
Due Date	Select the due date values for the alert.

- 4. Click **Add.** The Due Date Configuration is added to the list.
  - Click **Reset** if you want to clear all the fields and enter new values.

ORAC	<b>LE</b> <sup>®</sup> Financial Services Analytic	cal Applications Custom	ner Screening	🔲 📩	US-Eng	lish 🔻	CSADMN 1	<b>,</b>
Date and Tim	e Configuration							
* risdiction	Americas 👻	Business Domain <sup>*</sup> (	C/WS 🔻	Entity Type *	Custon	ner		v
ert Type *	Customer Enhanced Due Di 🔻	Priority *	High 👻					
ue Date * Days	120 V A Hours 0	V A Minute	s 0 v x					
					Add	Update	Remove	Res
Jurisdiction	Business Domain	Entity Type	Alert Type	Priority	Due	Date		

- 5. You can perform the following actions on the existing configurations:
  - **Update**: Select the configuration from the list, change any field values, and then click **Update**.
  - **Remove**: Select the configuration from the list and then click **Remove**.
  - Reset: Select the configuration from the list and then click Reset to reset the given field values.



If the Due Date is not configured, the alerts will be prioritized based on the default configuration with Due Date as 120 days. You can reset the default Due Date with the CS\_appln\_params table.

6. To change the Default Due Date configuration, you have to access the Atomic Schema and access the CS\_appln\_params table and change the ZCS\_DEFUALT\_DUE\_DATE parameter value.

Figure 15: CS\_appln\_params table

se	lect	; * from cs_appln_params					
			_		_		
Ħ	<b>₽</b>	⊕ + - ✓ ₹ ¥ A		🖉 🏠 🗢 🚔	ŀ	a 🖀 🛍 -	
		PARAMETER_NAME		PARAMETER_TYPE		PARAMETER_VALUE	
	1	EDQ_USER		Text		weblogic	
	2	EDQ_PASSWORD		Password		AYsxQPUzjihtmR7EHDTCAfL0GLDX5/S/6RL1TSvrABs=	
	3	EDQ_SERVER_IP		Text		whf00den.in.oracle.com	
	4	EDQ_MANAGEMENT_PORT		Text		8090	
	5	ECM_URL	••••	Text		http://whf00anu:7009/ECMSAN808	
	6	ECM_SANCTIONS_PP	••••	Text		N	
	7	ECM_USERNAME		Text		ANALYST	
	8	ECM_PASSWORD		Password		mQ20TLf1y1GR8gZ6MQ7YU1alvvoHA/+MEwFEQiegGXg=	
	9	ZCS_BLANK_VAL_FILLER	••••	Text			
•	10	ZCS_DEFAULT_DUE_DATE		Text		120	

## 4.2 Setting the Priority

The Setting the Priority section describes how to set the alert priority as per your requirement. To set the priority of the alert, follow these steps.

- 1. Access the Atomic Schema and access the FCC ZCS ALERT PRIORITY CONF table.
- 2. Change the following parameter values:

**NOTE** Setting the Priority is applicable only for Alert Management in the L1 investigation.

- n alert priority min score
- n alert priority max score
- v jrsdcn cd
- v bus dmn list tx

Figure 16: FCC\_ZCS\_ALERT\_PRIORITY\_CONF table

s	select * from FCC_ZCS_ALERT_PRIORITY_CONF where V_ALERT_TYPE='CS_SAN'								
								4	
L									
Ę	₽	8 + - ✓ ₹ ₹ M	🖉 🏠 🗢 📥 🖶 🖀 🛍 🗸						
		V_ALERT_PRIORITY_DESC	N_ALERT_PRIORITY_MIN_SCORE V	_ALERT_PRIORITY_MAX_SCORE	V_ALERT_TYPE	V_JRSDCN_CD _	V_BUS_DMN_LIST_TX		
	3	Priority is Low	0	80	CS_SAN ···	AMEA	a		
	1	Priority is Medium	81	90	CS_SAN	AMEA	a		
	2	Priority is High	91	100	CS_SAN	AMEA	a		

## 4.3 Security Mapping

The Security Mapping section describes how to change the security mapping. To change the security mapping, follow these steps.

- 1. Access the Atomic Schema and access the FCC ZCS SECURITY ATTR GRP MAP table.
- 2. Provide the values for the following columns:

```
NOTE
```

The Security Mapping is applicable only in the L1 Investigation for Alert Management.

- V GROUP CODE
- V\_JRSDCN\_CD
- V\_BUS\_DMN\_LIST\_TX
- V\_ALERT\_TYPE
- V STATUS

The sample data is provided in the installer.

Figure 17: FCC\_ZCS\_SECURITY\_ALERT\_GRP\_MAP table.

sel	Leo	t * from FCC_ZCS_SECUR	IT	Y_ATTR_GRP_MAP	t					
Ħ	<b>#</b> -	<b>\$</b> + - ✓ ₹ ₹	<b>#</b> 4	∥ 🖬 ⊽ 🛆	-e <sup>66</sup>	🖬 🖀 🛍 -				
		V_GROUP_CODE		V_JRSDCN_CD	V_	BUS_DMN_LIST_TX	V_ALERT_T	YPE	V_STATUS	
	1	CSSUPERVISORGRP		All	All		All		All	
	2	CSANALYSTGRP		All	All		All		All	
-	2	CSSNRRSUPERVISORGRP		All	All		All		All	

# 4.4 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 Oracle Financial Services Data Interfaces Guide.

NOTE	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 Appendix C: Preconfigured Watch List Information.
	2.	The first time a watch list is downloaded, the staging value must be set to <b>Y</b> . 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.

#### 4.4.1 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.



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

#### 4.4.2 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 sftp://username:password@ftp.financialgo.net/ PIDGWL.ZIP 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.

#### 4.4.2.1 Filtering

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

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

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

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

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

# 4.5 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 <code>config/landingarea/Private</code> directory for

individuals and entities in the private individuals.csv and private entities.csv files respectively.

The base config folde folder is called oedq	a base config folder and a local config folder. er is called oedqhome and the local config localhome. The names can differ in some ots or underscores can be used in the names, _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 list-management.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.

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.

### 4.6 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
```

# 4.7 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.

## 4.7.1 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

### 4.8 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 Oracle Financial Services Customer Screening Matching Guide.

## 4.9 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.

To enable the Set Event Decision for the Case Analyst, map the RT DECISION ACCESS function to the Case Analyst role.

## 4.10 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.

### 4.11 Filtering Watch List Data

The following sections provide information about 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.

### 4.11.1 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 Setting Filtering Options in the Run Profiles.

### 4.11.2 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:

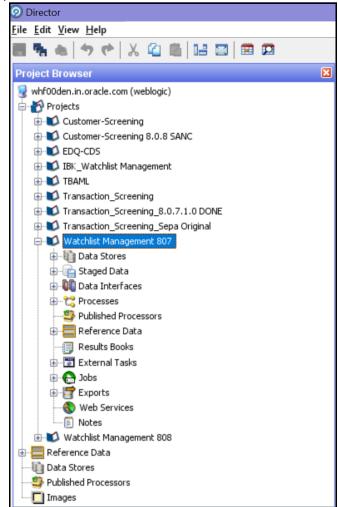
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

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#### Figure 18: Director Menu in EDQ

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

Figure 19: Project Browser Pane



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

	Viewi	ng page 1 or 1	(20 total save	ed records)	- Hell					_
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	1
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	
WLD	DJW-SAN	Y	Y	Y	Y	Y	Y	Y	Y	
WLD	DJW-PEP	Y	Y	Y	Y	Y	Y	Y	Y	
WLC	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	
UN	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	γ	γ	Y	Y	Y	γ	
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4									•	

#### Figure 20: 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 Setting Primary Filters and Linked Profile Filters in the Watch list Management Project.

### 4.11.3 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).

## 4.11.4 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 <code>Filter - Settings</code> reference data to **N**, and then make further changes to the corresponding reference data. When you set the value in the <code>Filter - Settings</code> 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.

#### 4.11.4.1 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 Setting Filtering Options in the Run Profiles.
- 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 Setting Primary Filters and Linked Profile Filters in the Watch list Management Project.

• 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 Setting Secondary Filters in the Customer Screening project.

#### 4.11.4.1.1 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

#### 4.11.4.1.2 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:

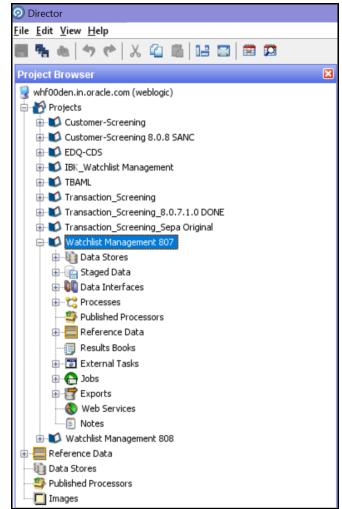
1. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

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	Director	Server Console	•			<u> </u>	
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Figure 21: Reference Data Filters

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

Figure 22: Reference Data Filters



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

	Data Editor - F			5						×
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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	Υ	Y	Y	Y	Υ	Υ	Υ
ACY	ACY-EDD	Υ	Y	Υ	Υ	Y	Υ	Υ	Y	Υ
HMT	HMT-CONS	Y	Y	Υ	Y	Y	Y	Y	Y	Υ
HMT	HMT-IB	Υ	Υ	Υ	Υ	Y	Υ	Υ	Υ	Υ
EU	EU	Y	Y	Υ	Y	Y	Y	Υ	Y	Υ
WCD	DJW-SAN	Y	Y	Υ	Υ	Y	Υ	Y	Y	Y
WCD	DJW-PEP	N	Y	Y	Y	Y	Y	Y	Y	Υ
MCD	DJW-EDD	N	Υ	Υ	Υ	Y	Υ	Υ	Υ	Υ
OFAC	OFAC-SDN	Y	Y	Υ	Y	Y	Y	Y	Y	Υ
OFAC	OFAC-NS-PLC	Y	Y	Υ	Υ	Y	Υ	Υ	Y	Y
UN	UN-ALQ	Y	Y	Υ	Y	Y	Y	Υ	Y	Υ
UN	UN-TAL	Υ	Υ	Υ	Y	Y	Υ	Υ	Υ	Υ
WC	WC-SAN	Y	Y	Y	Υ	Y	Υ	Υ	Y	Y
WC	WC-PEP	Υ	Y	Υ	Υ	Y	Υ	Υ	Y	Υ
WC	WC-EDD	Y	Y	Υ	Y	Y	Υ	Υ	Y	Υ
PRIV		Y	Υ	Υ	Y	Y	Υ	Υ	Y	Υ
DJAC	DJAC-SAN	Y	Y	Υ	Y	Y	Y	Υ	Υ	Υ
DJAC	DJAC-PEP	Υ	Υ	Υ	Y	Y	Υ	Υ	Υ	Υ
DJAC	DJAC-EDD	γ	Y	Y	Y	Y	Y	Y	Y	Y

#### Figure 23: 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 <code>List/sub-list (Primary?)</code> value in the <code>WC-SAN</code> row to  $\boldsymbol{Y}.$
  - 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  $\boldsymbol{Y}.$
  - 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 Y.
- 5. Click **OK** to close the window and save your changes.

#### 4.11.4.1.3 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.

#### Figure 24: Reference Data Filters

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Launchpad			
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(	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 25: Reference Data Filters

<ol> <li>Director</li> </ol>
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>H</u> elp
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Project Browser
😼 whf00den.in.oracle.com (weblogic)
🖶 📸 Projects
Ustomer-Screening
Ustomer-Screening 8.0.8 SANC
🗄 🔟 EDQ-CDS
IBK_Watchlist Management
🗄 🔟 TBAML
Transaction_Screening
Transaction_Screening_8.0.7.1.0 DONE
Transaction_Screening_Sepa Original
🖨 📫 Watchlist Management 807
🕀 📲 Data Stores
🕀 📲 Staged Data
🕀 💵 Data Interfaces
🗄 🗠 😋 Processes
Published Processors
🕀 📲 Reference Data
⊕
🕀 🕞 Jobs
🕀 🔚 Exports
Notes
🖮 🚺 Watchlist Management 808
🖶 🔚 Reference Data
Data Stores
Images

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

Figure 26: Reference Data Filters

② Reference	Data Editor - Fi	ilter - Settings								
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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	Y	Y	Υ	Y	Y	Y
ACY	ACY-EDD	Υ	Υ	Y	Y	Y	Υ	Y	Y	Υ
HMT	HMT-CONS	Y	Y	Y	Y	Y	Y	Y	Y	Y
HMT	HMT-IB	Υ	Υ	Υ	Y	Y	Υ	Y	Y	Y
EU	EU	Y	Y	Y	Y	Y	Y	Y	Y	Y
WLC	DJW-SAN	Υ	Υ	Υ	Υ	Y	Υ	Y	Y	Y
WLC	DJW-PEP	N	Y	Y	Y	Y	Υ	Y	Υ	Υ
WLC	DJW-EDD	N	Υ	Υ	Y	Y	Υ	Y	Υ	Υ
OFAC	OFAC-SDN	Y	Y	Y	Y	Y	Υ	Y	Y	Y
OFAC	OFAC-NS-PLC	Υ	Υ	Υ	Y	Y	Υ	Y	Y	Y
JN	UN-ALQ	Υ	Υ	Y	Y	Y	Y	Y	Y	Y
JN	UN-TAL	Υ	Υ	Υ	Y	Y	Y	Y	Y	Y
WC	WC-SAN	Y	Υ	Y	Y	Y	Y	Y	Y	Y
WC	WC-PEP	Y	Υ	Υ	Y	Y	Υ	Y	Υ	Υ
WC	WC-EDD	Y	Υ	Υ	Y	Y	Υ	Υ	Υ	Υ
PRIV		Υ	Υ	Υ	Y	Y	Υ	Y	Υ	Υ
DJAC	DJAC-SAN	Y	Υ	Υ	Y	Y	Υ	Y	Υ	Υ
DJAC	DJAC-PEP	Y	Y	Y	Y	Y	Υ	Y	Y	Υ
DJAC	DJAC-EDD	Υ	Y	Y	γ	γ	Y	Υ	Y	Υ

- 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.

## 4.11.5 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>/edq/oedq.local.home/runprofiles/ directory in the WinSCP server.

## 4.11.6 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.



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

# 4.12 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 Appendix B: Reference Data Tables for Watch Lists.



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

## 4.12.1 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.

## 4.12.2 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.

#### 4.12.2.1 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 27: Director Menu in EDQ Log In ORACLE Enterprise Data Quality Web Services 🚽 Launchpad Launchpad 0 0 Ø Server Console Director 0 0 Match Review Case Management 0 0 Case Management Administration **Configuration Analysis** Ö 0 

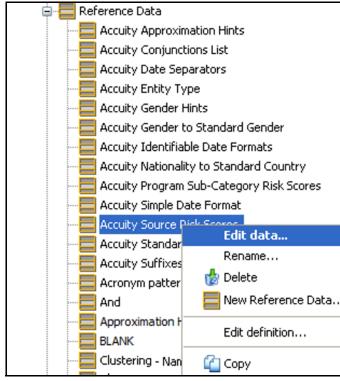
2. In the **Director** landing page, expand the **Watch list Management** project in the **Project Browser** pane.

Figure 28: Project Browser Pane

<ol> <li>Director</li> </ol>	
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Project Browser	×
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🖶 📸 Projects	
🕀 💕 Customer-Screening	
E Customer-Screening 8.0.8 SANC	
🗄 💕 EDQ-CDS	
🗄 💕 IBK_Watchlist Management	
🗄 💕 TBAML	
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	
🗈 🐨 🗊 External Tasks	
🕀 🔂 Jobs	
🗄 🖅 Exports	
Web Services	
🞰 🚺 Watchlist Management 808	
Reference Data	
Data Stores	
Published Processors	
Images	

- 3. Expand the **Reference Data** node.
- 4. Right-click **Accuity Source Risk Scores** and select **Edit data**.

#### Figure 29: 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	22-34-2010 17:08:47	
USP	25		Active	dnadmin	22-34-2010 17:08:47	
EDI	50		Active	dnadmin	22-3.4-2010 17:08:47	
EU.	50		Active	dnadmin	22-3ul-2010 17:08:47	
EUA	50		Active	dnadmin	22-34-2010 17:08:47	
ESA	50		Active	dnadmin	22-34-2010 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	22-3.4-2010 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-Jul-2010 17:08:47	
BofE	100		Active	dnadmin	22-30-2010 17:08:47	
CNA	75		Active	dnadmin	22-34-2010 17:08:47	
CSL	75		Active	dnadmin	22-34-2010 17:08:47	
ON8	75		Active	dnadmin	22-Jul-2010 17:08:47	
DTC	75		Active	dnadmin	22-Jul-2010 17:08:47	
ES	75		Active	dnadmin	22-Jul-2010 17:08:47	
EU	100		Active	dnadmin	22-3.4-2010 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-Jul-2010 17:08:47	
IA	75		Active	dnadmin	22-34-2010 17:08:47	
ISN	75		Active	dnadmin	22-Jul-2010 17:08:47	
ITL.	75		Active	dnadmin	22-Jul-2010 17:08:47	
JMF	75		Active	dnadmin	22-Jul-2010 17:08:47	
NCT	75		Artica.	Anadain	22.27.04042.06142	

Figure 30: 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 Analyzing the Data Quality of Customer Data and External Entity.

### 4.12.2.2 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 31: Director Menu in EDQ Log In ORACLE Enterprise Data Quality Web Services 🚽 Launchpad Launchpad 0 0 Ø Server Console Director 0 0 Match Review Case Management 0 0 Case Management Administration **Configuration Analysis** Ö 0 

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

Figure 32: Project Browser Pane

O Director	
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>H</u> elp	
🖩 🐂 👟   🦘 🥐   み 🖓 🏙   詰 🖾   🗰 🛱	
Project Browser	×
😼 whf00den.in.oracle.com (weblogic)	
🛱 📸 Projects	
🖶 💕 Customer-Screening	
Ustomer-Screening 8.0.8 SANC	
🗄 💕 EDQ-CDS	
🔠 🔟 IBK_Watchlist Management	
🕀 💕 TBAML	
🖶 💕 Transaction_Screening	
Transaction_Screening_8.0.7.1.0 DONE	
🕀 🚺 Transaction_Screening_Sepa Original	
🖨 💕 Watchlist Management 807	
🕀 📲 Data Stores	
🕀 📺 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	
Images	

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

RecordType	ResOpeCo	NatRegCo	Membership	Category	Occupation	Deceased	Active	ExternalRisk	Comment	1.1
HMT_I	0.2	0.2	0.3	0.3	0	0	0	0		Acti .
HMT_E	0.3	0.3	0.3	0.1	0	0	0	0		Acti
OFAC_I	0.2	0.2	0.3	0.3	0	0	0	0		Acti
OFAC_E	0.3	0.3	0.3	0.1	0	0	0	0		Acti
EU_I	0.3	0.3	0.4	0	0	0	0	0		Acti
EU_E	0.3	0.3	0.4	0	0	0	0	0		Acti
UN_I	0.3	0.3	0.3	0.1	0	0	0	0		Acti
UN_E	0.3	0.3	0.3	0.1	0	0	0	0		Actr
WC_I	0.2	0.2	0.3	0.2	0	0.1	0	0		Actr
WC_E	0.3	0.3	0.3	0.1	0	0	0	0		Actr
WC_PEP_I	0.2	0.2	0.3	0	0	0.3	0	0		Actr
WC_PEP_E	0.3	0.3	0.4	0	0	0	0	0		Actr
I_WLD	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Acti
DJW_E	0.2	0.2	0.3	0.1	0	0	0.2	0		Acti .
DJW_PEP_I	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Acti
CUST_I	0.5	0.5	0	0	0	0	0	0		Acti
CUST_E	0.5	0.5	0	0	0	0	0	0		Actr
Accuity_I	0.2	0.2	0.3	0.3	0	0	0	0		Acti
Accuity_E	0.3	0.3	0.3	0.1	0	0	0	0		Acti
Acculty_PEP_I	0.2	0.2	0.3	0.3	0	0	0	0		Actr
Acculty_PEP_E		0.3	0.3	0.1	0	0	0	0		Actr
PRIV_I	0.5	0.5	0	0	0	0	0	0		Actr
PRIV_E	0.5	0.5	0	0	0	0	0	0		Acti
PRIV_PEP_I	0.5	0.5	0	0	0	0	0	0		Actr
PRIV_PEP_E	0.5	0.5	0	0	0	0	0	0		Acti
DJAC_I	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Actr
DJAC_PEP_I	0.2	0.2	0.2	0.1	0.1	0.1	0.1	0		Acti
DJAC_E	0.2	0.2	0.3	0.1	0	0	0.2	0		Acti
DIAC_PEP_E	0.3	0.3	0.4	0	0	0	0	0		Acti 1
4										

#### Figure 33: 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  $\mathbb{E} x$  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.

## 4.13 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 34: EDQ Details
```

```
/scratch/ofsaadb/ES807AX/ES807AX/ficdb/bin>./EDQInsert.sh ES807AXINF0
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:
Encrypting 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 Oracle Financial Services Analytical Applications Infrastructure User Guide.

**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 appln 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 Loading Data.

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 Table 3. 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.
5	Oracle_CS_Zipper_Processing	This job will move the data from the source database to the consolidated database and create an alert based on the Customer. NOTE: The Oracle_CS_Zipper_Processing batch is only applicable in the L1 Investigation.

#### Table 3: Sequence of Batches to be Run

#### Figure 35: Run Page

un							Ø
						۹	Search 🏾 Reset
		Code			Version	0	
		Name			Active	Yes	
		Folder	*		Туре		
Nev	w	🖺 View 🖉 Edit 🖷 Copy 🕯	Remove 🌲 Authorize 🍽 Export 🔅	Fire Run			
å (		Code					
	_	Code	A Name	Туре	Folder	Version	Active
		CSBusinessDataLoad	Name     Customer Screening Business Data Load		Folder TFLSEGMENT	Version 0	Active Yes
-		CSBusinessDataLoad	Customer Screening Business Data Load	Base Run Base Run	TFLSEGMENT	0	Yes

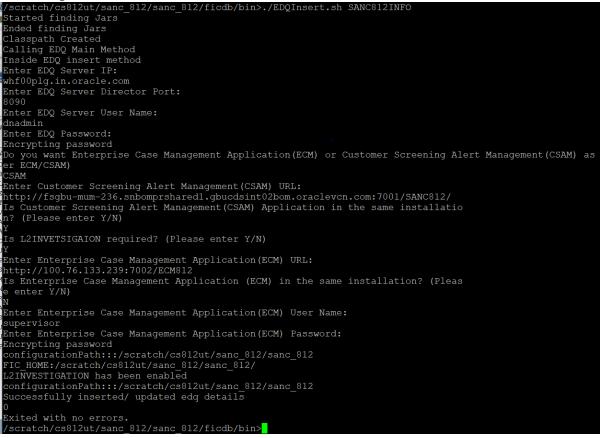
# 4.14 Enabling L2 Investigation for Customer Screening

To enable L2 Investigation for Customer 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

- EDQ Server Direct Port number (JMX port number). This value must be 8090.
- EDQ Server User Name
- EDQ Password details

#### Figure 36: EDQ Details



- 4. Enter the input as CSAM for the L1 investigation and then press Enter.
- 5. Enter the Customer Screening URL and then press Enter.
- 6. Enter Y if the Customer Screening installed in the same installation or else N and then press Enter.
- 7. Enter Y to enable the L2 Investigation or else N and then press Enter.
- 8. Enter Y if Case Management is installed on the same installation of Customer Screening or else N.

#### Figure 37: EDQ Details

```
812/sanc 812/ficdb/bin>./EDQInsert.sh SANC812INF
Started finding Jars
Inded finding Jars
Classpath Created
Calling EDQ Main Method
Inside EDQ insert method
Enter EDQ Server IP:
whf00plg.in.oracle.com
Enter EDQ Server Director Port:
Enter EDQ Server User Name:
Enter EDQ Password:
Encrypting password
Encrypting password
Do you want Enterprise Case Management Application(ECM) or Customer Screening Alert Management(CSAM) as
er ÉCM/CSAM)
Enter Customer Screening Alert Management(CSAM) URL:
http://fsgbu-mum-236.snbomprshared1.gbucdsint02bom.oraclevcn.com:7001/SANC812/
s Customer Screening Alert Management(CSAM) Application in the same installatio
Enter Enterprise Case Management Application(ECM) URL:
http://100.76.133.239:7002/ECM812
Is Enterprise Case Management Application (ECM) in the same installation? (Pleas
Enter Enterprise Case Management Application(ECM) Password:
Encrypting password
configurationPath:::/scratch/cs812ut/sanc_812/sanc_812
TIC_HOME:/scratch/cs812ut/sanc_812/sanc_812/
21NVESTIGATION has been enabled
Successfully inserted/ updated edq details
Exited with no errors.
/scratch/cs812ut/sanc 812/sanc 812/ficdb/bin>
```

9. If the input for the above step 8 is N, provide the User Name and Password of the Case Management.

## 4.15 Loading Data

This section explains how to load customer data from staging tables to the business table.

The following are the types of data loading:

- Loading Data into the Customer Tables (Full Load)
- Loading Data into the Customer Tables (Delta Load)

## 4.15.1 Loading Data into the Customer Tables (Full Load)

The full load allows you to move the complete list of data from the staging table to the business table.

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.

un									(
								Q	Search 🖱 Reset
		Code				Version	0		
		Name				Active	Yes	~	
		Folder		~		Туре		~	
+ Ne	ew	🖺 View 🖉 Edit 🗟 Copy	Re	move 👃 Authorize 🍽 Export 🚸 Fire	Run				
ž (		Code		Name	1	ype	Folder	Version	Active
C		CSBusinessDataLoad		Customer Screening Business Data Load	E	Base Run	TFLSEGMENT	0	Yes
C		CS_Data_Load_Event_Generation		CS Data Load And Event Generation	E	Base Run	TFLSEGMENT	0	Yes
C		CS_EDQ_Watchlist_Analyze		Customer Screening EDQ Watchlist Analyze	E	Base Run	TFLSEGMENT	0	Yes
C		CS_EDQ_Watchlist_Management		Call Watchlist Management	E	Base Run	TFLSEGMENT	0	Yes
ige		of 1 (1-15 of 4 items) K < >							ords Per Page

3. In the **Run** page, select the CSBusinessDataLoad checkbox and click **Fire Run**. Select the Date and click **OK**.

## 4.15.2 Loading Data into the Customer Tables (Delta Load)

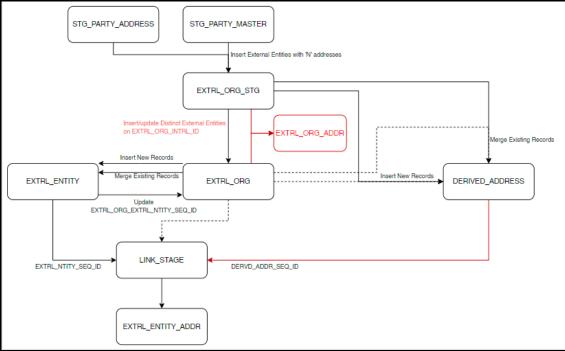
The delta load allows you to move only the changed or enhanced data from the staging table to the business table.

If any customer data is changed in stage data only those data is moved in business. Based upon the date you run the batch.

For example, if any new entry has come for the same customer ID on a different date. Only those customer details are pushed to the business table.

The following workflow explains the external entity data movement from stage tables to business 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.

Run							(
						Q	Search 🖱 Reset
		Code		Version	0		
		Name		Active	Yes	~	
		Folder	~	Туре		~	
+ Nev	w Yiew 🕑	Edit 🔁 Copy 🗎	Remove 🤳 Authorize 🍽 Export 🔅 Fire Run				
200	Code		Name	Туре	Folder	Version	Active
		al and	Customer Screening Business Data Load	Base Run	TFLSEGMENT	0	Yes
	CSBusinessDa	aload	Customer Screening Business Data Load	base Kull			
		Event_Generation	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
		Event_Generation				0	Yes Yes

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

#### Figure 41: Run Definition (Edit Mode)

Run	Run									
Run	Definition (Edit Mode)									
~Li	~Linked to									
		Folder	TFLSEGMENT	T <sub>0</sub>						
$\sim N$	laster Information 🖻 Properties									
ID 1525690932447										
	Code CSBusinessDataLoad									
		Name	Customer Scree	ning Business Data Loa						
				5						
_~Li	st 🛅 Selea		Move 🔲 Show	/ Details						
	Location		n Condition	Code		Name				
	Job		) Constitution	CS_Start_Batch		CS Start Batch				
	dol	INF	Condition	Truncate_Tables		Truncate_Tables				
	dot	INFODOM	1LO	CS_Business_Data_Load		CS Business Data Load				
	dol	INFODOM	1LO	CS_End_Batch		CS End Batch				

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

Component Selector - Google Chro	me		- 🗆 X
O Not secure   whf00bls.in.ora	cle.com:21161/ECM	1808SAN/pr2	Q
Search		Sort	Ok Close
	Q	Ascending Descending	
List Component Data Extraction Rules Data Extraction Rules Data Extraction Rules Data Extraction Rules Data Data Rules Data Data Base Rules Database Functions-Transformations Database Functions-Transformations Database Functions-Transformations Database Rules Database Rules Rules Database Rules Database Rules Database Rules Rules Database Rules	A A	Tasks [4]         Object         CS Start Batch         Truncate_Tables         CS Business Data Load         CS End Batch	

Figure 42: Component Selector Window

6. Change the parameter value to **n** and click **OK** to close the **Parameters** window.

Figure 43	: Paran	neters	Window
-----------	---------	--------	--------

				Sort			
Q						Ascending	Descending
				Task	cs [4]		
					Object		
					CS Start Batch		
					Truncate_Tables		
					CS Business Data Load	d	
Parameters			×		CS End Batch		
	"N"						
		Ok	Close				

NOTE

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

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

## 4.15.3 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:

#### 4.15.3.1 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 44	: Developer	Window
-----------	-------------	--------

se	lec	t t.*,	t.rowid	d from C	S_PRC	DCESS	ING_GI	ROUP t		
₽	🌐 - 🖌 - 🗸 🛛 🖉 🏫 🗸 👍 📳									
						1 1				
		N_GRO	UP_ID 🔄	V_GROU	P_NA	ME	ROWI	D		
	1	N_GRO	_	V_GROU					ABjrcAAA	
•	1	N_GRO	101		CS				ABjrcAAA	

- 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 45: Process Page

Proces	S						0
						Q, Searc	h 'D Reset
	Code	start		Version	0		
Name				Active	Yes	~	
	Folder						
		Copy 📋 Remove 🤱 Authorize 🚽	Export - A trace Definition				
*	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 1	of 1 (1-15 of 2 items)	к < > э				Records Pe	er Page 2

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

Process							Q
Process Definition(Cop	y Mode)						Next Close
~Linked to							
	Folder		10				
~Master Informatio	n 💣 Propertie	s					
	ID	<< New >	>	Version	<< NA >>		
	Code	CS_End	_To_End_Start_Batch	Active	<< NA >>		
	Name	CS_End	To_End_Start_Batch	Туре	Base Run	~	
				Route Execution to High Precedence Node @			
~ List	Selector	₽ Mo	ve 🔲 Show Details				
Location	Infodon	n	Code	Name	Туре	Simulation Job	Use Descendants
🗆 Job	SANEC	MML807	CS_E2E_Start_Batch	CS_End_To_End_Start_Batch	Process		
dol 🗌	SANECM	MML807	TruncateCSTables	Truncate CS Tables	Process		
Job	SANEC	MML807	CS_Call_Customer_Screeni	CS Customer Screening Call	Process		

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

#### Figure 47: Folder Selector

		Ok Close
Sear	ch	
	Q	
List	[1] + NewPage 1 / 1 K < > > Jump to page	
	Name	Code
	TFLSEGMENT	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.



Process						Save Close
Process Definition(Copy Mode)						
~Linked to						
Folder	TFLSEGMENT	10				
✓ Master Information						
ID	<< New >>			Version	<< NA >>	
Code	CS_E2E_Start_Batch_US		Active		<< NA >>	
Name	CS_End_To_End_St	art_Batch_US		Туре	Process Tree	*
Executable			Route Execution t	o High Precedence Node 🕐	0	
∽ ♡Subprocess OComponent ▲ Pr	ecedence 🖉 Mov	e 🗊 Remove 🗐 Show	🖉 🖉 Merge Rules 🏾 Edit Subproce	SS		
- Process	- C	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 ORACLECS to the entry made in the cs\_processing\_group table and the parameter CS to the Jurisdiction Code. For example, "GROUP\_US", "", "ALL", "START", "US".

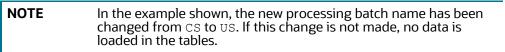
Search		Sort	
	Q	Ascending Descen	nding
List		Tasks In ROOT [1]	
		Object	
Component 🕕 🚏		F_CS_BATCH_RUN	
Data Extraction Rules			
Load Data Rules	Parameters	×	
File Loading Rules	<b>⊵_</b> US	","","ALL","START","US"	
Insertion Rules		Ok Close	
Transformation Rules			
Database Functions-Transformations			
Base Rules	-		
🛖. 🖬			
Classification Rules			
庄 🖬			
Computation Rules			

11. Click **OK** to close the **Parameters** window.

Figure 40. Component Coloctor 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** 🔄 . 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.



#### 4.15.3.2 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 50: Run Page

Rur	٦							
							Q	Search "D Reset
		Code			Version	0		
		Name			Active	Yes	~	
		Folder		~	Туре		~	
+	New	📓 View 🖉 Edit 🔂 Copy	🛙 Remove 🤳 Author	ize 🍽 Export 🔅 Fire Run				
de la		Code	Name		Туре	Folder	Version	Active
		CSBusinessDataLoad	Customer Screeni	ng 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 Screeni	ng EDQ Watchlist Analyze	Base Run	TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Management	Call Watchlist Mar	nagement	Base Run	TFLSEGMENT	0	Yes
age	1	of 1 (1-15 of 4 items) $\mathbb{K}$ < >	к				Rece	ords Per Page

- 3. Search for *Start* in the **Code** field and select CS\_End\_To\_End\_Start\_Batch.
- 4. Click **Copy** Che Run Page opens in **Copy** mode.

Run							8
Run Definition (Copy	(Mode)						Next Close
~Linked to							
	Folder		10				
✓Master Information	tion 💣 Properties						
	ID <	< New >>		Version	<< NA >>		
	Code C	CS_End_To	End_Start_Batch	Active	<< NA >>		
	Name C	S_End_To	_End_Start_Batch	Туре	Base Run	~	
				Route Execution to High Precedence Node			
~List			Show Details				
Location	Infodom	Co	ode	Name	Туре	Simulation Job	Use Descendants
or Jop	SANECMI	ML807 CS	5_E2E_Start_Batch	CS_End_To_End_Start_Batch	Process		
dol 🗌	SANECM	ML807 Tr	uncateCSTables	Truncate CS Tables	Process		
Job	SANECMI	ML807 CS	Call_Customer_Screeni	CS Customer Screening Call	Process		

#### Figure 51: Run Definition (Copy Mode) Page

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

Figure 52: Folder Selector

	Ok Close
Search	
Q	
List [1] 🕈 NewPage 1 / 1 K < > > Jump to page	
Name	Code
TFLSEGMENT	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** 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.

					Ok	Close
Search			Sort			
	Q			Ascending Descending		
List			Task	s [6]		
<b>⇒</b>	-			Object		
Component				CS_End_To_End_Start_Batch		
Data Extraction Rules				Truncate CS Tables		
				CS Customer Screening Call		
Load Data Rules				CS External Entity Screening Call		
File Les dies Deles				CS Event Creation		
File Loading Rules				CS_End_To_End_End_Batch		
Insertion Rules						
Transformation Rules		<				
Database Functions-Transformations						

Figure 53: Component Selector

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 created for ECM is Oracle CS\_Event\_Processing\_US.

# 4.16 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

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

				😮 🛛 Log I
DRACLE'	nterprise Data Quality		Launchpad	Web Services
Launchpad				
				*
		0		
	Director E Server Console			
		0		
	Match Review	0		
		0		
	Case Management Administration Configuration Analysis			
	•			-

#### Figure 54: Director Menu in EDQ

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

Figure 55: Project Browser Pane

O Director	
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>H</u> elp	
🖩 🐁 💩   か ぐ   乂 省 🛍   🖴 🖾   🛱 🛱	
Project Browser	×
whf00den.in.oracle.com (weblogic) Projects Customer-Screening Data Stores Staged Data Data Interfaces Processes	<
Published Processors     Reference Data     Results Books     Evternal Tasks     Obs     Exports     Web Services	~

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

Figure 56: Edit Data Store Window

Director	
Eile Edit View Help	
···································	
Project Browser	×
🧕 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 - 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 - 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-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	
🗧 DJAC-Entities-JMP	~
🗧 DJAC-Entities-JMP	
DJW-Entities-JMP	_
🚼 DJW-Individuals-JMP	
ECM Matches Output	
📑 Entity Audit	
FCDM Batch Data	
Filter - Extracted Origins-JMP	
Hints - GB Gender from Forename-JMP	

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

💿 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 need	d not be entered if it is the default for the user
	Test
	OK Cancel

Figure 57: 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.

## 4.17 **Optional Configurations**

You can perform the following optional configurations:

## 4.17.1 Data Quality Check

- To run the Data Quality (DQ) check, set the following values in the watch list-management.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

## 4.17.2 Sorting Real-Time Watchlist Details

The order of Watchlist details displayed on the UI for Real-Time Screening alerts in CSAM or Case in ECM can be configured in this table:

cs\_rt\_watchlistdetails\_order

The Order can be defined for Individual and Entity separately.

**NOTE** If you want to insert any new field in between the order list, make sure N ORDER column is properly sorted.s

This change gets reflected in the following UIs:

- On click of Watchlist ID in Real-time Screening UI
- Watchlist Details in Alert Details page in CSAM
- Watchlist Details in Case Details page in ECM

## 4.18 Application Level Configuration

Use the Application Level Parameter Configuration tab to configure the parameters for the Customer Screening application, such as enabling or disabling the **Select All** option feature and enabling or disabling **Bulk Action** feature.

To configure the parameter using the CS application, follow these steps:

- 1. Navigate to the **Financial Services Analytical Applications Customer Screening** landing page.
- 2. Click **Application Level Configuration** in the Navigation List Available at the LHS. The **Application Level Configuration** Screen is Displayed.

ORACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening	🜐 歳 US-English 🔻 TFADMN 🔻 🏯 🕻
oplication Level Configuration	
Select All option for the Events Grid	
Enable: * Ves  No Bulk Action	
Enable: * Yes  No	
Save	

- 3. Select **Yes** to enable the **Select All** option and select **No** to disable the Select All option in the Event table in Alert list details and click **Save**. For more information on alert details and event table, see Oracle Financial Services Customer Screening User Guide.
- 4. Select **Yes** to enable the **Bulk Action** option and select **No** to disable the **Bulk Action** option in the Alert list page and click **Save**. For more information on alert list page, see Oracle Financial Services Customer Screening User Guide.

**NOTE** To display the bulk action in the Alert list page, function code must be mapped to the user group and the flag must be enabled.

## 4.18.1 Configuring Select All Option for the Events Table

You can configure the Select All option using Atomic Schema. To configure Select All check box for the event table, follow these steps:

- 1. Access the Atomic Schema and access the CS\_APPLN\_PARAMS table.
- 2. For the <code>zcs\_select\_all</code> attribute enter the <code>parameter\_value</code> value as **Y** to enable the **Select All** check box in the event table for the match summary. Enter N to disable the **Select All** check box.

## 4.18.2 Configuring Bulk Action Feature for the Alert List

You can configure the Bulk Action feature using Atomic Schema. To display the bulk action button in the alert list page, follow the below steps:

- 1. Access the Atomic Schema and access the CS APPLN PARAMS table.
- 2. For the <code>zcs\_enbl\_bulk\_action</code> attribute enter the <code>parameter\_value</code> value as **Y** to enable the Bulk Action button in the alert list page. Enter **N** to disable the Bulk Action button.

Optional: You can configure to display the alert decision for the bulk action. To enable or disable the Alert Decision in Bulk Action follow the below steps:

- 1. Access the Atomic Schema and access the FCC\_ZCS\_ALERT\_ACTIONS\_DIM table.
- 2. For the <code>F\_IS\_BULKACTION\_ENABLE</code> attribute enter the <code>PARAMETER\_VALUE</code> value as **Y** to enable or enter **N** to disable the alert decision in bulk action. By Default the value is **Y**.

## 4.19 **Populating Country Code**

To populate the country code, follow the subsequent steps:

1. Populate the KDD\_COUNTRY table using the below query. This query will select the data from STG\_COUNTRY\_MASTER and insert into KDD\_COUNTRY table:

```
INSERT INTO kdd_country
(country_id, country_cd, country_nm, country_desc)
WITH country_data AS
(SELECT DISTINCT v_iso_country_cd, v_country_name, v_country_desc FROM
stg_country_master
WHERE TO_DATE(fic_mis_date, 'DD-Mon-YY') = TO_DATE(?, 'DD-Mon-YY'))
SELECT cm_geography_seq.nextval, v_iso_country_cd, v_country_name,
v_country_desc
FROM country_data WHERE NOT EXISTS (SELECT 1
FROM kdd_country kc
WHERE kc.country_cd = country_data.v_iso_country_cd);
2. Populate the KDD_COUNTRY_TL table using the below query. This query will select the data from
STG COUNTRY MASTER and insert into KDD COUNTRY TL table:
```

```
INSERT INTO kdd_country_tl(v_locale_cd, country_id, country_cd,
country nm, country desc,v source locale)
```

```
SELECT 'en_us', country_id, country_cd, country_nm, country_desc, 'en_us'
FROM kdd country;
```

# 4.20 Addition of Extra Fields in Customer Details section

You can add extra fields for comparison in the Customer Details section of the Alert details page and configure the fields to display in the Customer Details main page UI.

To add extra fields in Alert Details page UI follow the subsequent steps:

- 1. From the FCC\_ZCS\_CUST table select a field name to display in Customer Details section.
- 2. Create an entry in MESSAGES\_EN\_US table for the selected field name.

For example, for <code>TAX\_ID</code> field create an entry with message identifier as <code>ZCS\_TAX\_ID</code> in <code>MESSAGES\_EN\_US</code> table.

Figure 59:	MESSAGE	_EN_	US	Table	

Wor	sheet	Query Build	ler						
1	sel	lect * from	messages_en_us;						
AV	eb i i								
	)uery R	esult ×							
*	📌 📇 🔞 🙀 SQL   All Rows Fetched: 1 in 0.055 seconds								
	\$ I	15G_PACKAGE	MSG_IDENTIFIER	MSG_CODE	MSG_DESCRIPTION	MSG_TYPE	MSG_APPL_NAME	MSG_MODULE_NAME	
	1 RE	NDERER	ZCS_TAX_ID	2000012648	Tax Id	L	(null)	(null)	A

**3.** After successful addition of field entry in the MESSAGES\_EN\_US table restart the server.

4. Rename field name by removing the underscore and converting the name from upper to lower case.

For example, rename from TAX ID to taxid.

Check and validate that the Renamed field name exist in CS API response.

Following is a sample Customer Details API response:

[{"custId":"E000312","custaddeddate":"2010-09-23", "incdate":null, "custtype": "ORG", "marriedstatus":null, "citizenship":n ull, "asset":null, "fullname":null, "firstname":null, "middlename":null, "las tname":null,"originalname":"Brookson (g) Limited", "aliasname":null, "sourceofwealth":null, "dob":null, "age":null, "r esidencecode":null,"countryofbirth":null,"country":null,"publicprivate": null, "foriegnpublicoff":null, "dpt":null, "compensateflag":null, "employeme ntstatus":null,"creditrating":null,"workforfi":null,"creditscore":null," employername":null, "retirementyear":null, "custSeqId":"5331", "jurisdictio n":"Default", "busdmn": "DEFAULT", "datadumpdt": "2023-03-06 10:29:56", "srccustseqid": "740", "fnclprfllastupdtdt": null, "taxid": "TX 789 10", "taxidfrmtcd":null, "annlincmbaseam":null, "netwrthbaseam":null, "lqdne twrthbaseam":null,"eqtyknldgcd":null,"bndknldgcd":null,"optnknldgcd":nul l,"ovrallknldgcd":null,"ovrallexpcd":null,"eqtyexpyrqt":null,"bndexpyrqt ":null, "optnexpyrqt":null, "annleqtytrdqt":null, "annlbndtrdqt":null, "annl optntrdqt":null, "avgeqtytrdam":null, "avgbndtrdam":null, "avgoptntrdam":nu ll,"suffnm":null,"titlnm":null,"form407fl":null,"ctzshpcntry1cd":null,"c tzshpcntry2cd":null,"ocptnnm":null,"ageyrct":null,"ctzshpstatcd":null,"s rcsyscd":null, "orglglstruccd":null, "pwdlastchgdt":null, "mplyrinduscd":nu il, "jobtitlnm":null, "cstm1dt":null, "cstm2dt":null, "cstm3dt":null, "cstm1r l":null,"cstm2rl":null,"cstm3rl":null,"cstm1tx":null,"cstm2tx":null,"cst m3tx":null,"totacctct":null,"custefctvrisknb":"0","cstm4tx":null,"cstm5t x":null, "fnclinstnidtypecd":null, "fnclinstnid":null, "instnseqid":null, "c ustlistrisknb":null, "custlistsrccd":null, "custmatchtx":null, "custmatchty pecd":null,"custbusrisknb":"0","custgeorisknb":"0","cstmrisk1nb":"0","cs tmrisk2nb":"0", "daytrdknldgcd":null, "daytrdexpcd":null, "annlincmrptgam": null, "netwrthrptgam":null, "lqdnetwrthrptgam":null, "prcsngbatchnm":"CS", " jrsdcncd":null,"busdmnlisttx":null,"rptgcrncycd":null,"mantascustbustype cd":null,"custefctvriskfactrtx":null,"custpeergrpintrlid":null,"custstat cd":"Active","taxtncntrycd":"SWIZ","custinduscd":null,"rgstntypecd":"AU" ,"altcustid":null,"incmrngcd":null,"custgndrcd":"M","custnaicscd":null," maxdailyatmwdrwlam":null, "recalcitrantfl":null, "nonusctznresfl":null, "no nusdocholderfl":null,"certlossnationfl":null,"fatcaexemptcd":null,"govtd ocfl":null,"thrdpartycdtrptfl":null,"frgntaxrptngcertfl":null,"exceptedn ffefl":null, "fatcaorgtypecd":null, "geojrsdcncd":null, "cpifl":null, "ultmt instlcustintrlid":null, "cmdtyknldgcd":null, "cmdtyexpyrqt":null, "avgcmdty trdam":null,"annlcmdtytrdqt":null,"emprlshptypecd":null,"dmcldbrchorgid" :null,"giin":null,"giinissuedt":null,"custsubtypecd":null,"ficmisdate":" 2023-03-06

00:00:00", "runskey":"102", "dataorigin":"CS", "applicationid":null, "branch cd":null, "cddruleexempt":null, "cddruleexemptreason":null, "cipexcemptflag ":null, "cipexcemptreason":null, "relationshipteamcd":null, "request314":nu ll, "stockexchgcd":null, "tickersymbol":null, "websiteurl":null}]

5. Goto the subsequent path and open the  ${\tt Detailscreen.js}$  file.

<deployed-context>/CustomerScreening/js/viewmodels

6. Search for customeridtolabelmap JSON object. Add a new entry inside customeridtolabelmap JSON object and Save it.

For example, add the below entry for Tax Id:

```
"taxid": {
    label: CSMessageConstants.ZCS_TAX_ID,//"Tax Id",
    order: 50,
    Displayinmain: "Y"
  }
```

The entry consist of the following information

- label: Name of the field to display in the screen
- order: Order of the field to display
- Displayinmain: Enter the value Y to dispaly in the customer details main page or Enter N to display in the View Full Comparison page.
- 7. Goto the subsequent path and open the CSMessageConstants.jsp file.

<deployed-context>/CustomerScreening

8. Create a new entry in the CSMessageConstants.jsp file for the field and save it.

For example, for the Tax ID field create an entry as below:

```
CSMessageConstants.ZCS_TAX_ID="<%=MessageFramework.getMessageFromLocaleS
peficCache("RENDERER.ZCS TAX ID", currentMsgLocale.toString())%>";
```

# 4.21 Configuring the Customer ID parameter for getting real time alerts in getAlertListForCustIdZipperCS API

If you use a customer ID other than CustId in RT screening request, you must change the default parameter value from CustId to the customized customer ID to get the RT alerts. RT alert is generated based on the customer Id value passed as an input to the API response. For API response, see OFS Customer Screening Data Interfaces Guide.

If you use the customized field for the customer Id and not configuring the value in the CS\_APPLN\_PARAMS table, you will not get RT alerts for the values passed against the customized field.

To configure the RT customer ID parameter value follow the subsequent Steps:

- 1. Access the Atomic Schema and access the CS APPLN PARAMS table.
- 2. Change the RT CUST ID PARAM parameter value from CustId to customized customer ID.

## 4.22 Configuring Bulk Action on the Events

If the bulk action on the events are configured, events are updated as per the configuration. This feature allows you to make decisions on events in bulk in accordance with the bulk action feature that is currently available for alerts on the alert list page. This feature can be enabled or disabled, and the required event decision mapping for alert decisions can be performed in the backend.

To enable or disable, and do the required decision mapping for the alert follow the subsequent Steps:

1. Access the Atomic Schema and access the FCC\_ZCS\_ALERT\_ACTIONS\_DIM table.

- 2. Change the value for the following parameters:
  - V\_EVNT\_UPDATE\_FL
  - V\_EVNT\_DECISION\_OVERRIDE\_FL
  - V EVENT STATUS CODE

Based on the  $FCC\_ZCS\_ALERT\_ACTIONS\_DIM$  table configuration, while performing bulk action, you must update the event status to V EVENT STATUS CODE value for that particular action.

The event decision will only override when the <code>V\_EVNT\_DECISION\_OVERRIDE\_FL</code> is enabled as **Y**. If <code>V\_EVNT\_DECISION\_OVERRIDE\_FL</code> value is **N**, then the Events in the Pending status are updated.

#### Use Case 1:

When the V EVNT UPDATE FL value is **N**, the events inside the alert are not updated.

#### Use Case 2:

When the <code>V\_EVNT\_UPDATE\_FL</code> value is **Y**, then the system will check whether the <code>V EVNT DECISION OVERRIDE FL</code> is enabled or not.

- The **V\_EVNT\_DECISION\_OVERRIDE\_FL** value is **N:** Event decision status will not be overwritten.
- The **V\_EVNT\_DECISION\_OVERRIDE\_FL** value is **Y**: Event decision status will be overwritten with **V\_EVENT\_STATUS\_CODE** value.

# 4.23 Splitting the Alerts Based on the Event Type Configuration

You can split the alerts by event type rather than group them in one alert. Based on the matches generated, separate alerts are created for SAN, PEP, and EDD.

To configure the alert splitting based on the event type, follow the subsequent Steps:

- 1. Access the Atomic Schema and access the CS APPLN PARAMS table.
- 2. Change the ZCS\_SPLIT\_ALERT\_TYPE parameter value as follows:
  - Y to enable the split alert function.
  - N to disable the split alert function.

# **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 Oracle Financial Services Enterprise Case Management Admin Guide.

# 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 Oracle Financial Services Enterprise Case Management Admin Guide.

					(III) 🕲 🗈	US-English 🔻 ECMADMN 🔻 🖸 🕰
Home > Case Desig	gner					A
Case Class Definition	Case Type Defi	nition				
Case Type	Add	Case Type Definition				
Default 🕨 🕨		Case Class		* Case Type	CS_EE_EDD	
AML 🕨		Description	External Entity EDD			
Fraud 🕨						
KYC 🕨		Attributes Entities Work	flow			
CS 🔻		Available Attributes		Selected Attributes		
CS_EDD		Document Control # Scenario Class		Case ID Class		
CS_EE_EDD		Risk Score Next Periodic Review Da	te 🕥	Type Status		
CS_EE_PEP		KYC Risk Score Expiratio		Title		
CS_EE_PRB				Jurisdiction Business Domain		
CS_EE_SAN				Priority Created		
CS_PEP						
CS_PRB		<ul> <li>Attributes</li> </ul>				
CS_RT_EDD		Case ID		Class	•	
CS_RT_PEP		Туре	•	Status	•	
CS_RT_PRB		Title Business Domain	=	Jurisdiction		
CS_RT_SAN			mm/dd/yyyy	Owner Organization	· · · · · · · · · · · · · · · · · · ·	
CS_SAN		Due	mm/dd/yyyy	Öwner	•	
TBML •		Closed	mm/dd/yyyy	Assignee	•	
Test_cls_n1		Description				
Test_cls_282_up 🕨		> Entities				
Test_cls_3		> Workflow				
Test_cls_4						
Test_cls_5						Save Cancel
Test_cls_6						

#### Figure 60: Case Designer Page

## 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 Oracle Financial Services Enterprise Case Management Admin Guide.

# 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:

#### Figure 61: Link Cases Window

Link Cases				×
Selected Cases:	C&101			
Action:	Select a value	٠		
Comments:				
			Save	Cancel

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 Oracle Financial Services Enterprise Case Management User Guide.

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 Oracle Financial Services Enterprise Case Management User Guide.

me 🔌 Search Ca						
Case Search Less Sear	ch Criteria Vi	iews Select a View	* Save View	Search By Case ID	▼ Enter Ca	se ID
Created From	mm/dd/yyyy	=	То	mm/dd/yyyy	曲	
Class		=	Туре		=	
Title			Jurisdiction		=	
Entity Type		٣	Entity ID			
Action Type	Vorkflow	Operational	② Case Action		=	
Action From	mm/dd/yyyy	<b></b>	То	mm/dd/yyyy	=	
Due From	mm/dd/yyyy	<b>m</b>	То	mm/dd/yyyy	<b></b>	
Closed From	mm/dd/yyyy	=	То	mm/dd/yyyy	=	
Event Type		=	Scenario		=	
Standard Comments		21	Narrative/Comments			
Created 8y		=			_	_
					Search	Reset

#### Figure 62: 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:

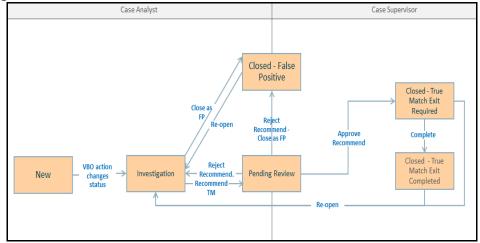
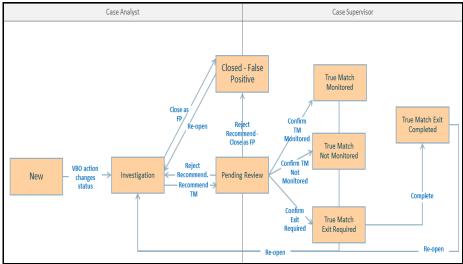


Figure 63: SAN and PRB Workflow

### 5.5.2 PEP and EDD Workflow

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



#### Figure 64: PEP and EDD Workflow

# 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 Oracle Financial Services Enterprise Case Management User Guide.

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

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		=	
Enter Comments			
1			
		Save Cancel	
			•

#### Figure 65: Take Action Window

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 <b>N</b> . 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**.

# 5.8 Merging Case Types

Alerts are correlated into cases based on the watch list record type when you run the Customer Screening batch. The record types Sanctions (SAN), Country Prohibitions (PRB), Politically Exposed Persons (PEP), and Enhanced Due Diligence (EDD) are merged under a single case ID based on the configuration. To merge ECM case types follow the below steps:

1. Create new case type under case the class CS in ECM from Case Designer. For example consider the case type CS\_RT. Map the entities and workflow from the user interface while creating the

case type. see the **Managing Case Designer** section in Oracle Financial Services Enterprise Case Management Admin Guide.

2. Update the entries 12, 13, 14, and 15 in the FCC\_CORRELATION\_CASE\_TYPE\_MAP table with new case type CS\_RT created in step 1. See Figure 66.

Figure 66:	FCC	CORREL	ATION	CASE	TYPE	MAP table

12 <mark>CS_RT</mark> 13 <mark>CS_RT</mark> 14 <mark>CS_RT</mark> 15 <mark>CS_RT</mark>		N_CORRELATION_RULE_SKEY	♦ V_CASE_TYPE
	1	12	CS_RT
	2	13	CS_RT
15 CS RT	3	14	CS_RT
	4	15	CS_RT

update FCC\_CORRELATION\_CASE\_TYPE\_MAP set v\_case\_type = 'CS\_RT' where N CORRELATION RULE SKEY in (12,13,14,15);

3. Add a new entry in the FCC\_RT\_EVENTTYPE\_PTC table for the newly created case type CS\_RT.

#### Figure 67: FCC\_RT\_EVENTTYPE\_PTC Table

	V_CASE_TYPE	♦ N_SEQUENCE	
1	CS_RT	5 CS_RT_KDD_CASE_RT_EXT_	ID

insert into FCC RT EVENTTYPE PTC select 'CS RT',

'5','CS\_RT\_KDD\_CASE\_RT\_EXT\_ID' from FCC\_RT\_EVENTTYPE\_PTC where V\_CASE\_TYPE = 'CS\_RT\_SAN';

4. Update the entries 12, 13, 14, and 15 in FCC\_CORRELATION\_RULE table to reflect the new title for the case type CS\_RT.

#### Figure 68: FCC\_CORRELATION\_RULE table

1			X. The second seco	V	_OPERATIONS	V_EVENT_LINK_OPERATIONS
1	121	RT Screenin	g 999	source.V_EVENT	TYPE='CS_RT_SAN'	(null)
2	131	RT Screenin	<mark>1</mark> 999	source.V_EVENT	TYPE='CS_RT_PEP'	(null)
3	141	RT Screenin	999	source.V_EVENT	TYPE='CS_RT_EDD'	(null)
4	151	RT Screenin	<mark>7</mark> 999	source.V_EVENT	TYPE='CS_RT_PRB'	(null)

update FCC\_CORRELATION\_RULE set V\_RULE\_NAME = 'RealTime Screening' where N CORRELATION RULE SKEY in (12,13,14,15);

5. In the Case Summary page, insert the status ID entries in the FCC\_CASETYPE\_EVENT\_STATUS\_MAP table for the new case type CS\_RT to get the event decisions in the Set Event Decision window.

#### Figure 69: FCC\_CASETYPE\_EVENT\_STATUS\_MAP Table

V_CASE_TYPE_SUBTYPE_CD	N_STATUS_ID
1 CS_RT	3
2 CS_RT	4

insert into FCC\_CASETYPE\_EVENT\_STATUS\_MAP select 'CS\_RT', n\_status\_id from FCC\_CASETYPE\_EVENT\_STATUS\_MAP where V\_CASE\_TYPE\_SUBTYPE\_CD = 'CS\_RT\_SAN';

6. To get the details in Take Action Pop-up window, insert the below entries in the KDD CASETYPE ACTION MAP-SEQ table for the new case type CS RT.

	CASE_CASETYPE_ACTION_MAP_SEQ	<pre># ACTION_CD</pre>	CASE_TYPE_SUBTYPE_CD
1	1702	CA6	CS_RT
2	1703	CA921	CS_RT
3	1704	CA922	CS_RT
4	1705	CA934	CS_RT
5	1706	CA935	CS_RT
6	1707	CA936	CS_RT
7	1708	CA937	CS_RT
8	1709	CA938	CS_RT
9	1710	CA939	CS_RT
10	1711	CA961	CS_RT
11	1712	CAS	CS_RT

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA6','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA921','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA922','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA934','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA935','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA936','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA937','CS\_RT');

Insert into KDD\_CASETYPE\_ACTION\_MAP
(CASE\_CASETYPE\_ACTION\_MAP\_SEQ,ACTION\_CD,CASE\_TYPE\_SUBTYPE\_CD) values ((select
max(CASE\_CASETYPE\_ACTION\_MAP\_SEQ) from
kdd\_casetype\_action\_map)+1,'CA938','CS\_RT');

```
Insert into KDD_CASETYPE_ACTION_MAP
(CASE_CASETYPE_ACTION_MAP_SEQ,ACTION_CD,CASE_TYPE_SUBTYPE_CD) values ((select
max(CASE_CASETYPE_ACTION_MAP_SEQ) from
kdd_casetype_action_map)+1,'CA939','CS_RT');
```

```
Insert into KDD_CASETYPE_ACTION_MAP
(CASE_CASETYPE_ACTION_MAP_SEQ,ACTION_CD,CASE_TYPE_SUBTYPE_CD) values ((select
max(CASE_CASETYPE_ACTION_MAP_SEQ) from
kdd_casetype_action_map)+1,'CA961','CS_RT');
```

```
Insert into KDD_CASETYPE_ACTION_MAP
(CASE_CASETYPE_ACTION_MAP_SEQ,ACTION_CD,CASE_TYPE_SUBTYPE_CD) values ((select
max(CASE_CASETYPE_ACTION_MAP_SEQ) from
kdd casetype action map)+1,'CA8','CS RT');
```

7. To get the values in standard comments drop down, insert below entries in KDD CASE TYPE CMMNT table for the new case type CS RT.

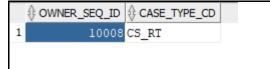
Figure 71: KDD\_CASE\_TYPE\_CMMNT Table

CASE_TYPE_CD	<pre>     CMMNT_ID </pre>
1 CS_RT	8155
2 CS_RT	8156
3 CS_RT	8157
4 CS_RT	8158
5 CS_RT	8159

insert into kdd\_case\_type\_cmmnt select 'CS\_RT', CMMNT\_ID from kdd\_case\_type\_cmmnt where CASE\_TYPE\_CD = 'CS\_RT\_SAN';

8. Map the OWNER\_SEQ\_ID table entry with the new case type CS\_RT created in the KDD\_REVIEW\_OWNER\_CASE\_TYPE table and restart the server.

#### Figure 72: OWNER\_SEQ\_ID Table



INSERT INTO KDD\_REVIEW\_OWNER\_CASE\_TYPE (OWNER\_SEQ\_ID, CASE\_TYPE\_CD) VALUES
(\$OWNER\_SEQ\_ID\$, 'CS\_RT')

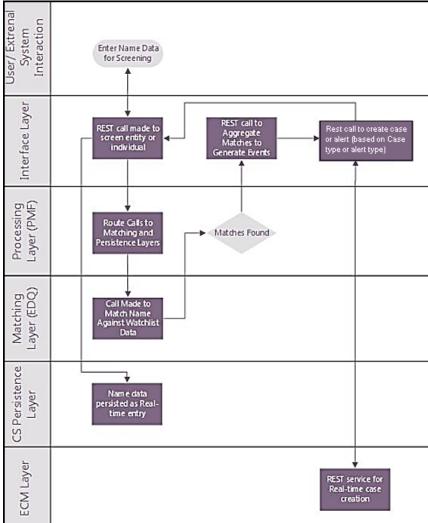
# 6 Real-Time Screening

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** (Analyst & Supervisor) and **Scan & Investigate** (Analyst & Supervisor) to see the screening results and details of Alert generation or Case creation. You can also view the Alert details or Case details from screening results. For more information, see File Upload. To enable scan & Investigate, map the role Scan & Investigate to CSRTGRP group.

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 Running the Batch Screening Job.

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





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 alerts or cases are displayed in the **Case Summary** page in L1 Alert Management or Enterprise Case Management (ECM) for investigation.

NOTE	<ul> <li>Real-time screening can be performed only when the real- time screening job in EDQ is running.</li> </ul>
	<ul> <li>To cancel the real-time screening process, select</li> <li>Shutdown web services in the Cancel Individual Real- time Screening web services dialog box.</li> </ul>
	<ul> <li>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.</li> </ul>

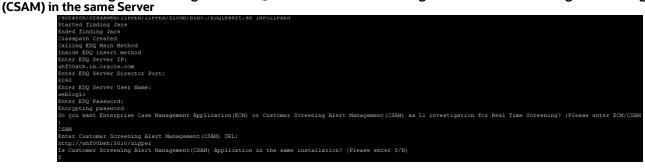
## 6.1 Configuring the EDQ URL

The Configuring the EDQ URL section describes the detailed process to configure the EDQ URL in Real-Time Screening with Customer Screening Alert Management (CSAM) and Enterprise Case Management (ECM) in the server.

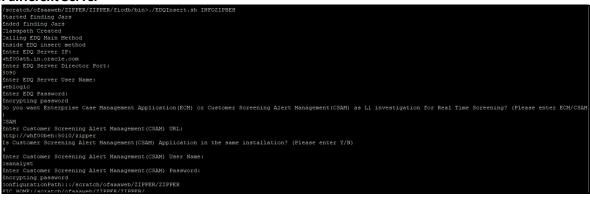
To configure the EDQ URL for Real-time screening, follow these steps:

- 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 <Host Name>:Port. 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.
- 4. Enter CSAM for alert management if the Customer Screening Alert Management (CSAM) is as L1 investigation for Real Time Screening.
- 5. If the Customer Screening Alert Management application is in the same server, see Figure 74. If not, see Figure 75.

Figure 74: Configure the EDQ URL in Real-time Screening with Customer Screening Alert Management



# Figure 75: Configure the EDQ URL in Real-time Screening with Customer Screening Alert Management (CSAM) in different Server



- 6. Enter ECM for case creation if the Enterprise Case Management (ECM) is as L1 investigation for Real Time Screening.
  - a. If the Enterprise Case Management application is in the same server, see Figure 58. If not, see Figure 59.

#### Figure 76: Configure the EDQ URL in Real-time Screening with Enterprise Case Management (ECM) in the

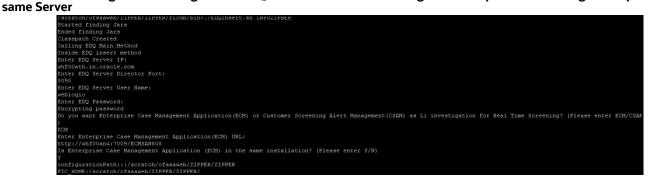
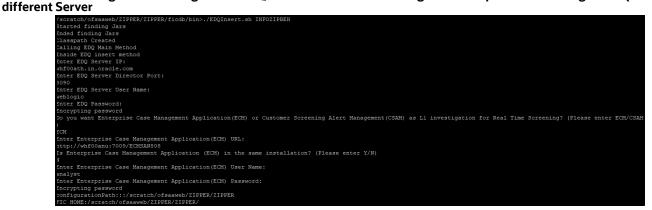


Figure 77: Configure the EDQ URL in Real-time Screening with Enterprise Case Management (ECM) in the



7. 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

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 (Analyst & Supervisor) and Scan & Investigate (Analyst & Supervisor) to see the screening results and details of Alert generation or Case creation. You can also view the Alert details or Case details from screening results.

**NOTE** Creating an Alert or Case is configurable. The Alert or Case will be generated when you select **CSAM** or **ECM**, respectively, while configuring EDQ URL. For more details, see Configuring the EDQ URL section.

### 6.2.1 Real-Time Screening for Individuals and Entities

To screen watch list records, follow these steps:

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

ORACLE' Financial Service	🜐 🐁 US-English 🔻 CSANALYST 🔻 🔏			
elect the search type :  Individual  Entity	🔿 File Upload			0
Given Names *	Jurisdiction *	Address Country	Country of Birth	
Family Names *	Business Domain *	Residency Country	External ID Type	
	*			w.
Original Script Name	City	Nationalities	External ID	
Date of Birth	Passport Number	Passport Issuing Country	Identification Numbers	
<u> </u>				
Source Request ID				
Scan Scan & Investigate Clear				

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

NOTE •	When L1 Investigation is CSAM, the <pre>fcc_zcs_security_attr_grp_map table must be populated to populate the business domain and jurisdiction.</pre>
	When L1 Investigation is ECM, the ECM security mapper batch must be executed to populate the business domain and jurisdiction.

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

ren Names *	Jurisdiction *		Address Country	Country of Birth	
en vanies	Junsalcuon	*	Address Country	country of birth	
nily Names *	Business Domain *	v	Residency Country	External ID Type	
miy Names	business Domain	*	Residency Country	External to type	
iginal Script Name	City		Nationalities	External ID	
te of Birth	Passport Number		Passport Issuing Country	Identification Numbers	
urce Request ID					
can Scan & Investigate Clear					

Enter/Select values for the Individual Search Type fields:

- Given Names
- Jurisdiction
- Business Domain
- Family Names
- Address Country
- Country of Birth
- Residency Country
- External ID Type
- Original Script Name

- City
- Nationalities
- External ID
- Date of Birth
- Passport Number
- Passport Issuing Country
- Identification Numbers
- Source Request ID

NOTE	<ul> <li>The combination of Given Name and Family Name or Original Script Name or Passport Number along with Jurisdiction and Business Domain must provide to scan.</li> </ul>
	• The Source request ID is used to reconfigure and suppress the duplication of RT screening and Batch screening generated cases. For more information see Suppression of Alerts.

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

#### Figure 80: Entity Search Type

t the search type : O Individual 💿 Entity	File Upload				3
tity Name *	Jurisdiction *	External ID Type		Operating Countries	
		*	Ψ.		
ginal Script Name	Business Domain *	External ID		Address Country	
		Ψ			
ntification Numbers	Registration Country	City			
ource Request ID					
Scan & Investigate Clear					
ican Scan & Investigate Clear					
Scan & Investigate Clear					

Provide details in the following mandatory fields:

- Entity Name
- Jurisdiction
- Business Domain
- Address Country
- Operating Countries
- Registration Country
- External ID Type
- Original Script Name
- City
- External ID
- Identification Numbers

Source Request ID

NOTE	<ul> <li>The combination of Entity Name or Original Script Name along with Jurisdiction and Business Domain must be provided to Scan.</li> </ul>
	• The Source request ID is used to reconfigure and suppress the duplication of RT screening and Batch screening generated cases. For more information see Suppression of Alerts.

For more details on fields, see the Field Descriptions section.

- 6. Perform the following for **Individual** or **Entity**:
- 7. Click **Scan**. The screened watch list records are displayed.
  - a. For Analyst & Supervisor:

Click **Scan**. The screened watch list records are displayed without creating an Alert in the L1 Investigation or case in ECM.

#### Figure 81: Scanning Real-time Screening Records Table

	aren girer o										0
Given Nar	mes *		Jurisdiction *			Address Country		Country of	of Birth		
MUHAM	MAD		Americas		*						
Family Na	imes *		Business Dom	ain *		Residency Country		External I	D Туре		
MUHAM	MAD		GEN		•						*
Original S	cript Name		City			Nationalities		External I	D		
Date of Bi	irth		Passport Num	ber		Passport Issuing Country		Identifica	tion Numbers		
mm/dd/	<i>YY</i>	<b>***</b>									
Source Re	equest ID										
Scan	Scan & Investiga	ate Clear									
ist Key	Name Type	Primary Name		Full Name							
IN	Alias	MOHAMMAD BA	QER ZOLQADR	MOHAMMAD BAKR ZC	DLQADR	R MOHAMMAD BAKR ZOLKADR	MOHAMMAD	BAQER ZOLQA	DIR MOHAMMAD	BAQER ZOLO	ADEF
								Page 1 of 1	(1 of 1 items)	< 1	>

b. For Analyst & Supervisor:

Click Scan. It displays the screened watch list records.

Click **Scan & Investigate**. It generates an alert in the L1 Investigation or case in ECM based on the configurations.

The alert ID or Case ID results are displayed.

Figure 82: Scanning Real-time Screening – Individual (Supervisor)

Select the search	n type : 💿 Individual	🔿 Entity 💦 🗍 File U	Upload							(?)
Given Names	*	Ju	irisdiction *		Address Country		Count	ry of Birth		
Robert		A	Americas	*						
Family Names	s *	Bu	usiness Domain *		Residency Country	1	Extern	al ID Type		
Mugabe		c	3EN	*						-
Original Scrip	t Name	Ci	ity		Nationalities		Extern	al ID		
Date of Birth		Pa	assport Number		Passport Issuing C	ountry	Identi	fication Numbers		
mm/dd/yy		1								
Source Reque	est ID									
	can & Investigate Clea Record Type: SAN	ır		1 Alert crea	ated with 2 events					
List Key	Name Type	Primary Name	Full Name	Original Script Name	Watchlist ID	Match Rule		Match Score	Country	Nationality
OFAC	Primary	Robert Gabriel MUGABE	ROBERT GABRIEL MUGABE		7480	[1060O] Abbreviated standardized g	iven name only	81		
EU	Primary	ROBERT GABRIEL MUGABE	ROBERT GABRIEL MUGABE		1	[1060O] Abbreviated standardized g	iven name only	81		
								Page 1 of 1 (1		K < 1 > >

You can define and merge all the different events or record type under the same case type based on the highest priority event type.

To merge different event types or record type in the same case ID, you must access the Atomic Schema and access the **CS\_appIn\_params** table and change the ECM\_MERGE\_EVENT\_TYPE parameter value from N to Y. See Merging Case Types for more information.

NOTE

By default, ECM MERGE EVENT TYPE parameter value is N.

Figure 83: Merging Different Event Types in Same Case – Individ	lual (Supervisor)

elect the searc	h type : 💿 Individual  🔿 E	ntity 🔷 File Upload								3
Given Names * MONIER SALEH			Jurisdiction *		Address Country		Country of	Country of Birth		
			Americas	*						
Family Name	**		Business Domain *		Residency Country		External II	D Туре		
SABET			GEN	*					*	
Original Scrip	pt Name		City		Nationalities		External II	D		
Date of Birth			Passport Number		Passport Issuing Country	y.	Identificat	tion Numbers		
mm/dd/yyg	y 🗰									
Scan S	ican & Investigate Clear			1 Cases cr	eated with 2 events					C.
it Key	Record Type	Name Type	Primary Name	Full Name	Original Script Name	Watchlist ID	Match Rule	Match Score	Country	Nationality
w	PEP	Spelling Variation	Mounir Thabet	MONIER SALEH SABET		550319	[I010O] Exact name only	85	EG	EG
W	SAN	Spelling Variation	Mounir Thabet	MONIER SALEH SABET		550319	[I0100] Exact name only	85	EG	EG
DJW	SAN	Spelling Variation	Mounir Thabet	MONIER SALEH SABET		550319	[I0100] Exact name only		EG of 1 (1-2 of 2 items)	

c. You can view generated alert ID or Case ID in the results and click **Alert ID** or **Case ID** to view the Alert Details or Case Details page, respectively.

#### Figure 84: Alert Details

D Audit History     B Rel						
ert 1006		<u>م اتبویه</u>	to filler	Match Score	• V	
ert Summary						
nary Name	STANDARD VACUUM REFINING CO OF INDIA		sal time Enhanced Due Dilig		888	00 45 1
eening Type	Online		nericas eneral	Comments		92 45 High
ited Date	09/14/2021 07:51:44		9d 23h 47m 2s	Attachments		
ents						Bulk Update [1] 👻
	List Type	DJW		Watchlist Primary Name		
Pending	Event Type	DJW-EDD		Watchist ID	1010	92 45 🗈 🤅
	Matched Rule Name	[E010D] Part-standardized [E040D] Name without suffi	name exact only.	Event ID	1010	Match Score Risk Score
age 1 of1 (1 of1 ite	ems) $  K < 1 > 3$					
	ems) K < 1 > X			Watchlist I	Petails	
Candidate Details	ems) K < [1] > X AMEA			Watchlist [	Petails	
Candidate Details Jurisdiction Business Domain	AMEA a			Watchlist I	Vetails	
Page 1 of 1 (1 of 1 ib Candidate Details Jurisdiction Business Domain Entry Name	AMEA a	D VACUUM REFINING CO OF INDU		Watchlist I	betails	
Candidate Details Jurisdiction Business Domain	AMEA a	) VACUUM REFINING CO OF INDU	IA View Full Corr		Petails	View Full Comparison
Candidate Details Jurisdiction Business Domain	AMEA a	) VACUUM REFINING CO OF INDU			Petails	View Full Comparison
Candidate Details Jurisdiction Bunness Joman Ently Name	AMEA a	) VACUUM REFINING CO OF INDU	View Full Com			View Full Comparison

8. Click **Clear** to clear the field data and re-enter.

#### 6.2.1.1 Field Descriptions

- **Given Name**: Enter the first name of the Individual.
- **Entity Name**: Enter the entity name.
- **Family Name**: Enter the family name of the Individual.
- Jurisdiction: Select the Jurisdiction to which the Individual or Entity belongs.
- Business Domain: Select the business domain to which the Individual or Entity belongs.
- You can also provide details in the following optional fields:
- Address Country: Enter the current address of the Individual or Entity.
- **Country of Birth**: Enter the country code in which the individual was born or the Entity originated. This field is applicable only when you select the search type as Individual.
- **Residency Country**: Enter the country code of residence of the Individual or Entity. This field is applicable only when you select the search type as Individual.
- Operating Countries: Enter the country codes the Entity operates in. To add more than one country code, add a comma between the countries. For example, the US, IN. This field is applicable only when you select the search type as Entity.
- Registration Country: Enter the country code 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.

- **External Type**: Select the external type of Entity.
- **Original Script Name**: Enter the Individual or Entity's name 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 country code 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. 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 code in which the passport is issued.
- Identification Numbers: Enter the identification numbers of the Individual or Entity.
- **Operating Countries**: Enter the operating country code of the Entity.

#### 6.2.2 File Upload

File upload facilitates bulk screening and process Realtime screening data without compromising quality or time. File upload is suitable for institutions that need to review a large number of customers. This allows instant results for multiple searches at once without having to conduct the search one by one. This data search saves time and allows the user to focus on entities that pose the highest risk to the institution.

The results of the screening can be downloaded from the system for internal use. The bulk screening result is very detailed and allows the user to see the results for each customer, including those who do not pose any risk.

For more information on File Upload screening and creating Alert or Case, see file upload section in Oracle Financial Services Customer Screening User Guide.

ORACLE <sup>2</sup> Financial Services Analytical Applications Customer Screening	🔲 🛦 US-English 🔻	csanalyst * 🔏 🗹
ielect the search type : 🔿 Individual 🔿 Entity 💿 File Upload		Ð
Download Template Upload		
Scan & Scan & Investigate Clear		

#### Figure 85: File Upload Page

#### 6.2.2.1 Configuring Multi Thread Count

You can configure the thread count for the Scan or Scan & Investigate operation. A thread is a unit of execution on concurrent programming. Multi-threading is a technique that allows a processor to execute many tasks of one process at the same time. To Configure the thread count follow the subsequent steps:

1. Access the cs-realtime.properties file in the following path

Oracle/Middleware/Oracle\_Home/user\_projects/domains/base\_domain/
applications/SAN812.ear/SAN812.war/WEB-INF/classes

2. Change the rt.excel.upload.multithread.count value to desired value.

#### 6.2.2.2 Merging an Event

You can define and merge all the different events or record type under the same case type based on the highest priority event type. To merge different event types or record type in the same case ID follow the subsequent steps:

- 1. Access the Atomic Schema and access the CS APPLN PARAMS table.
- 2. Change the ECM\_MERGE\_EVENT\_TYPE parameter value from **N** to **Y**. By default, ECM MERGE EVENT TYPE parameter value is N. See Merging Case Types for more information.

#### 6.2.2.3 Configuring Response Count in the Results

The candidate response count limit to display the request result section in the UI is configurable.

To configure the response display limit follow the subsequent steps:

- 1. Access the Atomic Schema and access the CS APPLN PARAMS table.
- 2. Change the parameter value for the MAX REQ DISPLAY NO parameter to the required value.

Figure 86 and Figure 87 show the File Upload response result for Scan & Investigate with response count limit configured as 20 and more than 20, respectively.

Scan Sc	an & Investigate	Clear								
File Uploa	d Summary Tab	le								
Total Num Total Num Note: Only U	Total Submitted Requests     19       Total Number of Submitted Names with a Match     17       Total Number of Duplicate Requests     0       Note: Only Unique Requests results is shown below     *       *: indicates it has matches *     : indicates it doesn't have matches									
ISHAM BI	ISHAM BIN ISHAK X SU YONG RI X BLACKROCK RESOURCES X SOE WIN X SOE WIN X AGRICULTURAL BANK OF CHINA DONGPING SUB BRANCH X ALEKSEI VASILIEVICH >									
Alert ID: 84	'1   Record Type	e: PEP			1 Alert created	d with 1 events				
List Key	Record Type	Name Type	Primary Name	Full Name	Original Script Name	Watchlist ID	Match Rule	Match Score	Country	Nationality
DJW	PEP	Also Known As	Isham Ishak	ISHAM BIN ISHAK		11043314	[I040B] Full name, country, DOB	96	MY	MY
								Page 1 of1 (	1 of 1 items) K	< <mark>1</mark> > X

#### Figure 86: Scan Response for Less than 20 Request

#### Figure 87: Scan Response for More than 20 Requests

Scan & Investigate Clear			
File Upload Summary Table			
Total Submitted Requests Total Number of Submitted Names with a Match Total Number of Duplicate Requests	21 5 10		

# 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
```

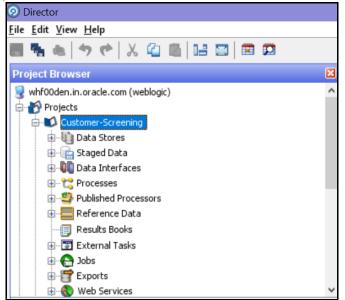
```
phase.Real-time\ Screening.process.Entity\ Real-time\ Screening.edd_enabled =
y
```

# 6.4 Adding a New Field in a Webservice

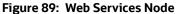
Currently, you can only search for the ready-to-use web service fields in the Real-time screening user interface. If you want to add a custom field to an existing web service, for example, full name, you must enter the field name in the applicable web service node and add the field to the applicable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

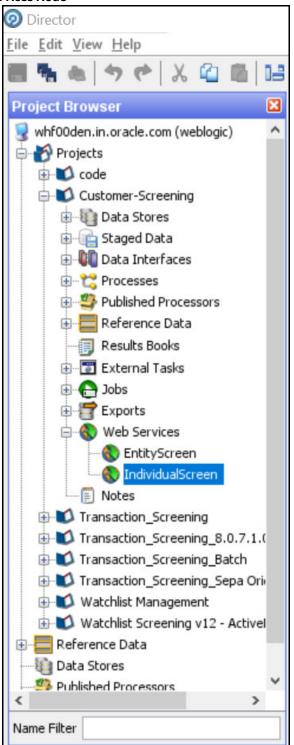
1. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 88: Project Browser Pane



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





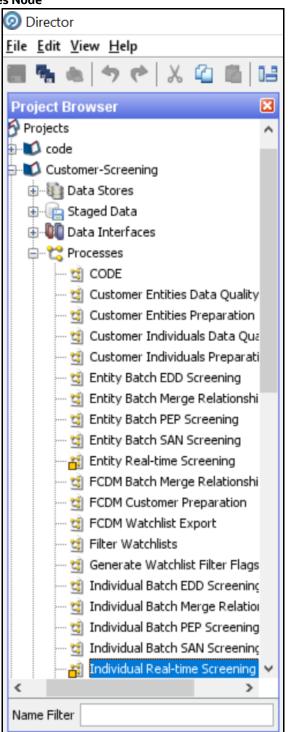
3. Click the **Plus** icon <sup>th</sup> in the **Web Service Inputs** window. A new row appears in the table.

#### Figure 90: Edit Web Service Window

Edit Web Service			
<b>What should this web service expect?</b>	ORA		
Multi Record			
Attribute Name	Attribute Type		
customorangoo	DILTIC	_	
CustomString40	STRING		
CustomDate1	DATE		
CustomDate2	DATE		
CustomDate3	DATE		
CustomDate4	DATE		
CustomDate5	DATE		
CustomNumber1	NUMBER		
CustomNumber2	NUMBER		
CustomNumber3	NUMBER		
CustomNumber4	NUMBER		
CustomNumber5	NUMBER		
	STRING	~	
<b>+</b> -	<u>ም</u> 1	± + 1	
mpty names not allowed			
	< Back Next >	Cance	

- 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.





- 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.

#### Figure 92: Reader Configuration window

-	er Configu							×
Type Source FullNam	Realtime Individual ne (string)	5creen	>	» > <	Selected Inputs for Prod ListSubKey (string) ListRecordType (string) ListRecordOrigin (string) CustSubId (string) PassportNumber (string) PassportIssuingCountr NationalId (string) Title (string) GivenNames (string) FamilyName (string) NameType (string) NameQuality (string) PrimaryName (string) OriginalScriptName (stri Gender (string)	) g) y (string)		< >
Search	full		×		Data Stream Name Ind	ividual Real·	time Dat	a
						OK	С	ancel

- 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 '' 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:

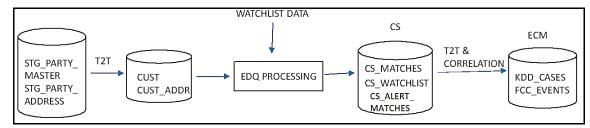
FullName:""

### 7

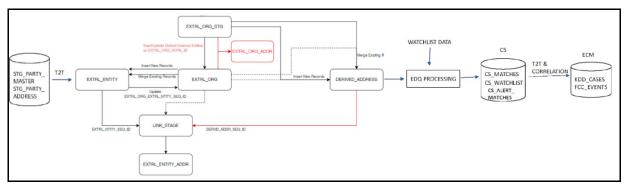
# **Batch Screening**

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

#### Figure 93: Batch Screening Workflow



#### Figure 94: Batch Screening Workflow with EXTRNL\_ORG table



The data movement in the workflow is as follows:

1. 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. See Figure 93 for batch screening workflow.

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 EXTRL\_ENTITY, EXTRL\_ORG, EXTRL\_ORG\_STG, EXTRL\_ORG\_ADDR, LINK\_STAGE, EXTRL\_ENTITY\_ADDR, DERIVED\_ADDRESS, ACCT, CUST\_NAME and other associated customer tables using the Table-to-Table (T2T) mode. See Figure 94 for batch screening workflow with EXTRNL\_ORG table.

- 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

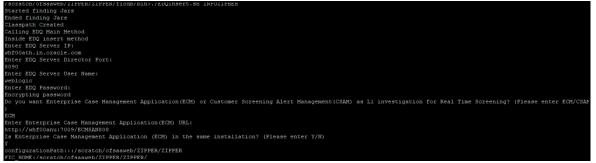
5. Data is correlated and loaded into the KDD CASES and FCC EVENTS tables in ECM.

### 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 95: Configure the EDQ URL in Batch Screening



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')
```

#### **Staging Database Connection Details** 7.2

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:

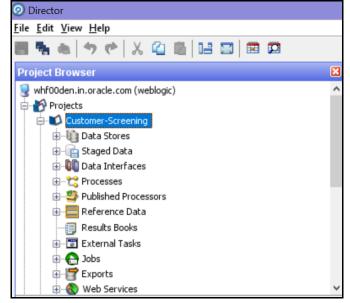
1. Go to the EDQ URL and open the **Director** menu.

				O Log
RACLE E	nterprise Data Quality		Launo	chpad Web Services
aunchpad				
	Director	Server Console	0	
	<b>v</b>			
	•		۲	
	Match Review	Case Management		
			0	
	Case Management Administration	Configuration Analysis	•	
	•			-

Figure 96: Director Menu in EDO

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

Figure 97: Project Browser Pane



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

#### Figure 98: Data Stores Node

Jata Stores Node							
O Director							
<u>File E</u> dit <u>V</u> iew <u>H</u> elp							
🐂 👞   つ ぐ   X 😩 🛍   🖴 🖾 🛤 🗭							
Project Browser	×						
🧕 whf00den.in.oracle.com (weblogic)	^						
🖨 📸 Projects							
Customer-Screening							
🛱 📲 Data Stores							
ACY-Entities-JMP							
Common Entity Business Words-JMP							
Cluster Prep - Common Entity Name Tokens-JMP							
Cluster Prep - Given Name 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							
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 Country Master-JMP							
Customer - Entities							
Customer - Individuals							
DJAC-Entities-JMP							
DJAC-Entities-JMP	~						
DJAC-Individuals-JMP							
DJW-Entities-JMP							
DJW-Individuals-JMP							
ECM Matches Output							
Entity Audit							
EU-Entities-JMP							
EU-Individuals-JMP							
FCDM Batch Data							
Filter - Extracted Origins-JMP							

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

Ø 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 99: Edit Data Store for Staging Database Connection

ΝΟΤΕ	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.
	-	<b>-</b>

#### 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 •
- ٠ phase.Snapshot \ External \ Entity \ Data.enabled

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

To enable screening of the external entity table, set phase.Batch\ Screening\ FCDM.enabled to **N** and phase.Snapshot\ External\ Entity\ Data.enabled to **Y**.

# 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.

#### Figure 100: JNDI Name

View changes and restarts									
Configuration editing is enabled. Future changes will automatically be activated as you	Settings for SAN	CECM807IF	NO						
modify, add or delete items in this domain.	Configuration	Targets	Monitoring	Control	Security	Notes			
Domain Structure	General Con	nection Pool	Oracle	ONS T	ransaction	Diagnostics	Identity Options		
lev_domain Domain Partitions	Save								
Bit Performant     Deployments     Services     Bit Messaging     Data Sources     Persistent Stores	Applications get a database connection from a data source by looking up the data source on the Java Naming and Directory Interface (JNDI) tree and then requesting a connection. The data source provides the connection to the application from its pool of database connections. This page enables you to define general configuration options for this JDBC data source.								
Foreign JNDI Providers Work Contexts XML Registries	Name:					SANCECM807	IFNO		A unique name that identifies this data source in the WebLogic domain. More Info
XML Entity Caches	Datasource Ty	pe:				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
How do I • Create JDBC generic data sources • Create JDBC GridLink data sources • Create LLR-enabled JDBC data sources	JNDI Name jdbc/SANCE		ю			^			The JNDI path to where this data source is bound. By default, the JNDI name is the name of the data source. More Info
System Status						~			
Health of Running Servers as of 10:38 AM Failed (0)	🗌 👸 Row Pr	efetch 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 Prefet	ch Size:				48	1		If row prefetching is enabled, specifies the number of result set rows to prefetch for a client. More Info
OK (2)	👸 Stream Chr	ınk Size:				256			Specifies the data chunk size for steaming data types. More Info
	Save								

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.

#### Figure 101: JDBC URL and Driver

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 Monitorin	ng Control Security Notes								
Domain Structure	General Connection Pool Grade	fe ONS Transaction Diagnostics Identity Options								
dev_domain Troomain Partitions	Save									
B <sup>+</sup> Environment <sup>++</sup> Deployments B <sup>-</sup> Services B <sup>+</sup> Messaging <sup>++</sup> Debla Sources Persitient Stores	deploying the data source to a new ta	The connection goal attiluin 12000, data source contains a group of 200C connections that applications reserve, use, and then return to the pool. The connection you' and the connection within it are constel when the connection pool in registered, usually when starting so WebCapic Server or when dealing the data scale. The context of the data source's connection pool.								
***Foreign JNDI Providers ***Work Contexts ****Work Contexts	JURL:	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							
MinLindigstrates	V of 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							
THE REPORT OF A	🖃 👩 Properties:		The list of properties passed to the JDBC driver that are used to create physical database connections. For example:							
Configure testing options for a JDBC data source     Configure the statement cache for a JDBC connection pool	user=efs1	Ŷ	server-diserver1. List each property-value par on a separate los. Nove life							
Configure credential mapping for a JDBC da source     Configure connection harvesting for a connection pool     Encrypt connection properties	System Properties:	^	The bit of system properties names passed to the XRC ofter that are used to could stypical debiase connections, For example: server-distance1. List each property-rease pair on a separate lise. Were latio							
System Status Health of Running Servers as of 10:41 AM	8	~								
Health of Ruming Servers & of 10:41 AM Paled (0) Critical (0) Overloaded (0) Warring (0) OK (2)	Encrypted Properties:	Add Security	The list of encrysted properties passed to the IXXC driver that are used to create physical database connections. For example: passend-value. Kee INKs_							
	Password:		The password attribute passed to the JDBC driver when creating physical database connections. More lafe							
	Confirm Password:	••••••								
	Initial Capacity:	1	The number of physical connections to create when creating the connection pool in the data source. If unable to create this number of connections, creation of the data source will fail. More Info							

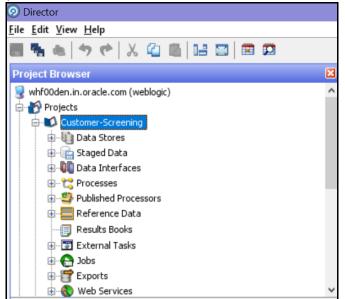
3. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

	Enterprise Data Quality				Launchpad	Web Services
					Launchpau	Web Service:
Launahnad						
Launchpad						
		•	Server Console	۲		
	Director		Server Console			- 1
		•		۵		- 1
	Match Review	U	Case Management			- 1
		0		۲		- 1
	Case Management Administration	on 🕕	Configuration Analysis			
		0				
		•				*

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

#### Figure 102: Director Menu in EDQ

#### Figure 103: Project Browser Pane



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

Figure 104: New Data Store

Success .				
File Edit View Help				
日 % & 今 や X @ 他 日 回 第 第				
	×			
Project Browser	<u>م</u>			
yhf00den.in.oracle.com (weblogic)	^			
Projects	New Data Store		×	
Data Stores	View Data Store		~	
ACY-Entities-JMP	Data Store Categor	v	ORACLE	
ACY-Individuals-JMP	Select the data store			
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		
Cluster Prep - Entity Base Tokenization Map-JMP		Other		
Cluster Prep - Entity Name Noise Characters Map-JMP	Category		~	
Cluster Prep - Entity Name Remove Characters-JMP	Туре	JDBC connection Server-based DB files		
Cluster Prep - Given Name Map-JMP		Server-based DB files		
Cluster Prep - Insignificant Entity Names-JMP				
Cluster Prep - Name Noise Characters 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 - Stalidaid Endry Name Words-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 code	-			
Country - ISO 3166-1 Country Master-JMP				
Customer - Entities				
DJAC-Entities-JMP			< Back Next > Cancel	
DJW-Entities-JMP			No data to display, please click an item to	view results.
DJW-Individuals-JMP	~			
Name Filter				

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

#### Figure 105: Edit Data Store

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Project Browser	
Cluster Prep - Entity Base Tokenization Map-JMP	<b>^</b>
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 - Remove Initials-JMP	Edit Data Store     X
Cluster Prep - Standard Accented Characters-JMP	Edit Data Store     X
Cluster Prep - Standard Entity Name Phrases-JMP	- JNDI Datasources Configuration
Cluster Prep - Standard Entity Name Words-JMP	JNDL Datasources Configuration
Cluster Prep - Titles-JMP	JNDI Name jdbc/SANCECM807IFNO
Country - Deleted ISO 3166-1-alpha-2 codes-JMP	
Country - ISO 3166-1-alpha-2 code to Blank-JMP	Schema efsa
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	
Customer - Individuals	Password
DJAC-Entities-JMP	User name and password are required if security for the datasource has been enabled in the
DJAC-Individuals-JMP	application server
DJW-Entities-JMP	Test
DJW-Individuals-JMP	- Com-
ECM Matches Output	
Entity Audit	OK Cancel
EU-Entities-JMP	
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	

- 7. In the **Edit Data Store** window, enter the JDBC connection details.
- 8. 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 106: Director Menu in EDQ

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terprise Data Quality			Launchpad	Web Servi	ces ,
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Match Review	Case Management				I
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3. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.

Figure 107: Project Browser Pane

<ul> <li>Director</li> </ul>	
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Project Browser	×
<pre>whf00den.in.oracle.com (weblogic) Projects Customer-Screening Customer-Customer-Screening Customer-Screening Customer-Screening Customer-Screening Customer-Customer-Screening Customer-Screening Customer-Customer-Screening Customer-Customer-Screening Customer-Customer-Screening Customer-Screening Cust</pre>	^
Published Processors	~

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

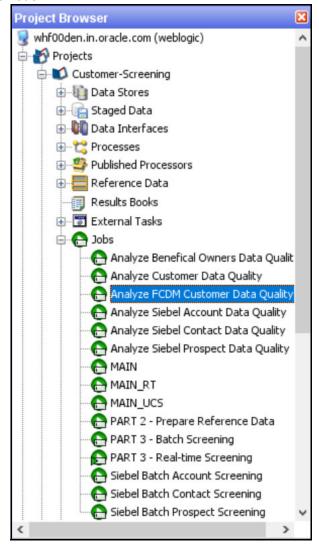


Figure 108: Jobs Node

To analyze the external entity data, follow these steps:

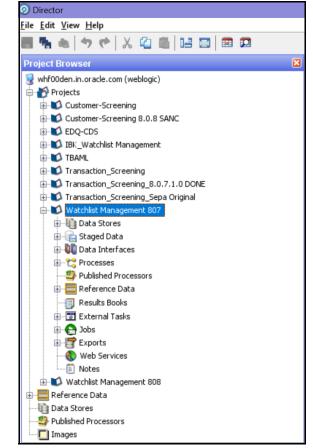
- 1. Ensure that data is loaded into FCDM and the **Watch list Management** project has the correct database parameters.
- 2. Go to the EDQ URL and open the **Director** menu.

Figure 109: Director Menu in EDQ

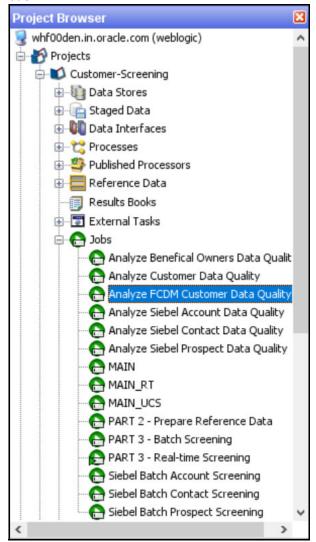
					Log I
RACLE <sup>®</sup> Ente	rprise Data Quality			Launchpad	Web Services
aunchpad					
	Director	Server Console	•		
	Match Review	Case Management	0		- 1
	Case Management Administration	Configuration Analysis	۵		
	•				*

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

Figure 110: Project Browser Pane



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



#### Figure 111: Jobs Node

### 7.5.1 Data Quality Errors

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 Table 4.

Table 4: Seve	rity Codes Assign	ed 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.
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 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.

# 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

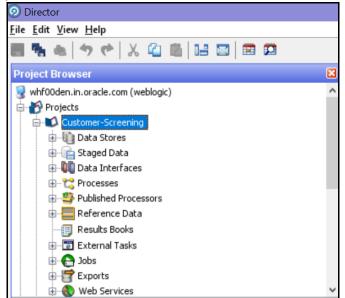
1. Go to the EDQ URL and open the **Director** menu.

	rise Data Quality		<ul> <li>Log In</li> <li>Launchpad</li> <li>Web Services -</li> </ul>
	noe Data Quality		
Launchpad			
			×
	Director	Server Console	
	Match Review	Case Management	
	Case Management Administration	Configuration Analysis	- I
	•		

#### Figure 112: Director Menu in EDQ

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

Figure 113: Project Browser Pane



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

#### Figure 114: Data Stores Node

Director	]
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Project Browser	2
🧕 whf00den.in.oracle.com (weblogic)	1
Projects	
Customer-Screening	
🖨 📲 Data Stores	
ACY-Entities-JMP	
Cluster Prep - Entity Base Tokenization Map-JMP	
Cluster Prep - Entity Name Noise Characters Map-JMP	
Cluster Prep - Given Name 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	
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	
Customer - Enddes	
DJAC-Entities-JMP	
DJAC-Entities-JMP	1
DJAC-Individuals-JMP	
DJW-Encluss-JMP	
ECM Matches Output	
Entity Audit	
Ellity Addit	
EU-Endividuals-JMP	
FCDM Batch Data	
Filter - Extracted Origins-JMP	

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

Ø 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 115: 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.

### 7.7 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
```

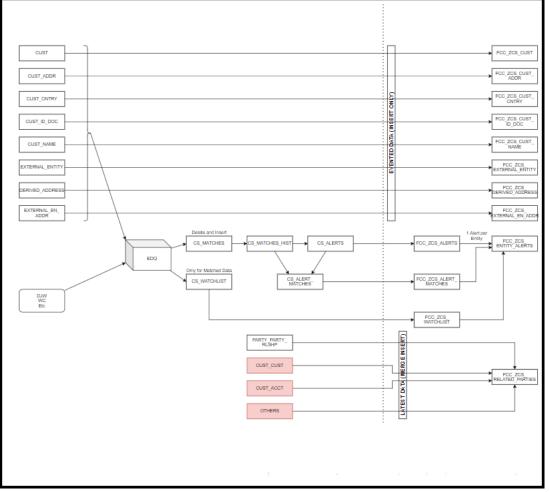
### 7.8 Generating Alerts

This job will move the alerts data displayed in the L1 Investigation for Alert Management from different origins in the source database to the consolidated database.

The Customer and Watchlist data will be screened in Enterprise Date Quality (EDQ) server. If any Customer data is matched with Watchlist Data, then the events are created. Based on the Customer, the alerts are generated.

If any customer data is changed in source data, only that data is moved in the consolidated database. Based upon the date, you run the batch.

The following workflow explains the data movement from the source database to the consolidated database.



### Figure 116: Generating Alerts Workflow

To run the batch to move data from the source database to the consolidated database, follow these steps:

- 1. Log In to the Customer Screening application.
- 2. Click **Common Tasks the** list of common tasks displayed. Then click **Rule Run Framework**, and then click **Run**. The **Run** page is displayed.

		Figure 117: Ru	un Page	è						
		ORACLE Fina	ancial Service	es Analytical Applica	ations Customer Screening	9	(	📕 歳 🛛 US-Engli	ish 🔻 CS/	ADMN 🔻 🕺 🙋
Run										0
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200		Code	4	Name		Туре		Folder	Version	Active
		CSBusinessDataLoad		Customer Screening B	Susiness Data Load	Base Run		TFLSEGMENT	0	Yes
		CS_Data_Load_Event_Genera	ation	CS Data Load And Eve	ent Generation	Base Run		TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Analyze		Customer Screening E	DQ Watchlist Analyze	Base Run		TFLSEGMENT	0	Yes
		CS_EDQ_Watchlist_Managen	ment	Call Watchlist Manage	ement	Base Run		TFLSEGMENT	0	Yes
		Oracle_CS_Zipper_Processing	ıg	Oracle_CS_Zipper_Proc	cessing	Base Run		TFLSEGMENT	0	Yes
		QueueArchival		QueueArchival		Base Run		TFLSEGMENT	0	Yes
Page	1	of 1 (1-15 of 6 items) K	к < > э						Red	cords Per Page 6

3. In the Run page, select the Oracle\_CS\_Zipper\_Processing checkbox and click Fire Run Fire Run

Figure 118:	Run Page						
					[	ОК	Close
✓Run Definition							
	Name	Oracle_CS_Zippe	r_Processing				
	Request Type	Single		~			
~Execution Mode							
Batch	Create	~					
Wait	No	~					
~Others							
Pa	arameters "						
	Filters						

- 4. In the Run Definition section, select **Request Type** from the drop-down list.
- 5. In the **Execution Mode** section, select the Batch value as **Create** to create the batch or select **Create & Execute** to create the batch and execute it.
  - a. If you select Execution Mode as Create & Execute, then select **MIS Date**.
- 6. Select the Wait as **No** if you want to create or create & execute the batch without any delay or select **Yes** and enter the duration value in seconds.

7. In the **Others** section, enter the **Parameters** and **Filters** if required.

### 7.9 Suppression of Alerts

This reconfigurability allows you to suppress the duplication of RT and Batch CS cases.

For any RT Screening, a new Real-time case is created. A new case is created for Batch Screening only if the customer matches with Watchlist information based on the rule configuration.

The subsequent batch runs will not create a new CS case against the customer until and unless any hash key attribute is changed on the customer or watchlist side.

To configure the Alert Suppression follow the these steps:

1. Access the Atomic Schema and access the CS\_appln\_params table. Change the parameter value from N to Y for ALERT SUPRRESSION parameter name.



By default, the ALERT\_SUPRRESSION parameter value is N.

- 2. The request ID for the respective customer name from the real-time screening must be copied for a match or scan.
- 3. Enter the copied request ID in the **V\_ORIG\_PARTY\_ID** field in the **STG\_PARTY\_MASTER** table.



The suppression of alerts is only applicable for CS batch alerts and not applicable for RT case.

### 7.10 Configuring Additional Columns on the Alert List page

This configurability allows you to add additional column(s) on the Alert Search and List page and view additional information.

It also provides configurability to execute the customized query to fetch the data in the columns against each Alert ID and shows the new columns in the Columns drop-down list while saving the view.

To add a column on the Search and List page and filters, follow these steps:

1. Add an entry in this table "FCC\_SANC\_LIST\_PAGE\_CONFIG" to configure a new value in the column drop-down section for FCC\_ZCS\_ENTITY\_ALERTS.

See fcc\_sanc\_list\_page\_config.xlsx file with sample entries for Case ID and Watchlist primary name.

 NOTE
 Add an entry only for the DEFAULT view.

 "TABLE\_NAME" column must have 'FCC\_ZCS\_ENTITY\_ALERTS' value

 "COLUMN\_NAME" column must have actual column name value in the parent table like V\_CASE\_ID, WATCHLIST\_PRIMARY\_NAME, and so on.

2. Add an entry in this table "FCC\_SAN\_LIST\_CONFIG" to configure a new value in the filter search section for CS\_LIST\_FILTER.

See fcc\_san\_list\_config.xlsx file with sample entries for Case ID and Watchlist primary name.

3. Add an entry in this table "FCC\_SAN\_LIST\_CONFIG\_TL" to configure a new value in the filter search section.

See fcc\_san\_list\_config\_tl.xlsx file with sample entries for Case ID and Watchlist primary name.

NOTE	N_CONFIG_ID column value in this table must match with N_CONFIG_ID value in "fcc_san_list_config" table.

- 4. Update "v\_query" column in this table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is 'CS\_ALERT\_LIST\_GRID', with the new column details in select query to get the data for new column.
- 5. (Optional step) If you are trying to configure the column from the existing listed tables in the query. If not, follow the below step,

Update "v\_query" column in this table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is 'CS\_ALERT\_LIST\_COUNT' with the new column details in select query to get the updated count value.

## 8 OWS Migration

The existing Oracle Watchlist Screening (OWS) customer data must be migrated to Oracle Financial Services Customer Screening (OFS CS).

The OWS User Application provides Watchlist Management for a number of free and commercial watchlists and has default matching rules for Entity and Individual Sanctions and Politically Exposed Persons (PEPs) and for Country Prohibitions. For more information on OWS, see Oracle Watchlist Screening Implementation Guide.

Oracle clients using OWS must migrate the customer data from OWS to OFS CS while the OWS-related components and processes continue. Migrating the data from the OWS to CS provides continued functionality to the existing OWS clients without any data loss. OWS and CS share the same functionality except for the output.

Following customer data are migrated from OWS to CS during the migration process:

- Closed cases
- Alerts
- Watchlist data associated with Case or Alert
- Customer data associated with Case or Alert
- Comments and attachments

The following data are not migrated from OWS to CS during the migration process:

- The OWS Workflow is not migrated.
- The EDQ rules are not migrated.
- In EDQ, the new projects will be a CS project. Any customization done on the OWS project must be done on the CS project.

If a new alert is generated for the customer and watchlist, it will be generated as a new alert, and you can view the migrated closed or resolved cases and their corresponding details. You cannot reopen a migrated case from OWS in CS.

NOTE	•	Migrating the customer data from OWS to OFS CS is a one-time activity.
	•	EDQ version 12.2.1.4.0 must be installed.

### 8.1 Post Implementation Steps for Data Migration from OWS to CS

Follow the subsequent steps to migrate/import customer data from OWS to OFS CS after installing the Sanction Application Pack:

 Create a DBLINK from the Sanctions Atomic Schema to the Enterprise Data Quality (EDQ) Config Schema. DBLINK act as a connection between the sanctions atomic schema and EDQ config schema.

Sample DBLINK format:

```
CREATE DATABASE LINK {dblinkname}
CONNECT TO {edgconfiguser} IDENTIFIED BY {password}
```

USING

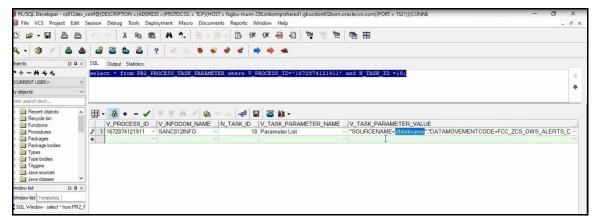
```
'(DESCRIPTION = (ADDRESS = (PROTOCOL = TCP) (HOST = {DBServername}) (PORT =
{portnumber})) (CONNECT_DATA = (SERVER = DEDICATED) (SERVICE_NAME =
{servicename})))';
```

- 2. Login into Sanction Config Schema.
- 3. Run the following script in the Config Schema.

```
select * from PR2_PROCESS_TASK_PARAMETER where
V PROCESS ID='1672874121911' and N TASK ID =18;
```

4. After running the script, in the PR2\_PROCESS\_TASK\_PARAMETER table, update the DBLINK name in the V\_TASK\_PARAMETER\_VALUE column with the DBLINK name created in step 1. See Figure 119.

#### Figure 119: PR2\_PROCESS\_TASK\_PARAMETER Table

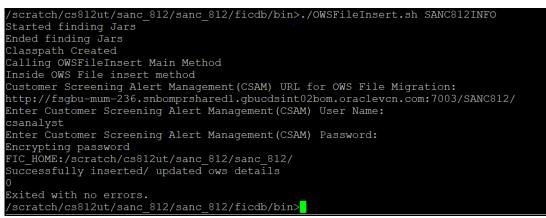


5. To move the file data from OWS Server to the CS server, you need to run the OWSFileInsert.sh, which is present in ficdb/bin path.

If you run the OWSFileInsert.sh shell script, it will be inserted in to the CS\_APPLN\_PARAMS table.

Once the entries for the OWS\_CS\_URL attribute are done in CS\_APPLN\_PARAMS, if you run the OWS Migration batch from the Run Screen, the OWS File Migration task will read the details from CS\_APPLN\_PARAMS table and move the files from OWS Server to CS server.

#### Figure 120: OWSFileInsert.sh shell script



6. Go to the fichome folder in the Sanctions server. Sample file path:

```
/scratch/ofsaabuild/BUILD_HOME/8.1.2.4.0/OFS_CMBT/packs/OFS_SANC/
dist GENERIC/OFS SANC/build/partial/fichome
```

7. Open the OWSMIGRATION folder.

Figure 121: Edit Data Store

- 8. Open DXI folder. The following files are available in the DXI folder:
  - OWSCS case migration utility.dxi
  - OWS\_CS\_Case\_Migration.properties
- Move the OWSCS case migration utility.dxi and OWS CS Case Migration.properties file to local directory.
- 10. Upload the OWSCS case migration utility.dxi file to the EDQ application from the local directory. For more information on Importing the OFS Customer Screening Projects, see Oracle Financial Services Sanctions Pack Installation and Configuration Guide.
- 11. Upload the OWS\_CS\_Case\_Migration.properties file to the following path in the EDQ server:

/scratch/devuser/Oracle/Middleware/Oracle\_Home/user\_projects/domains/ base domain/config/fmwconfig/edq/0edq.local.home/runprofiles

- 12. After uploading the DXI file to the EDQ application. Open the DXI from EDQ director and select the **Data Stores** folder the Project Browser.
- 13. Click AtomicDatasource. Edit Data Store window is displayed.
- 14. Update the sanctions data base details in the Edit Data Store configuration window and click **OK**. See Figure 121.

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Project Browser					Tool Palette	
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Projects					orernen	
Customer-Screening						
OWS>CS case migration utility						
Data Stores     AtomicDatasource	Edit Data Store		×			
System Information	•					
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Good Details     Staged Data						
Data Interfaces	Database host	1. gbucdsint0 2bom. or acle vcn. com				
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- Results Books	Name type	SID 🗸				
External Tasks	User name	cs812ut_atom				
I Constanting States	Password					
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Web Services						
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Transaction_Screening 8.1.2.3.0	The schema need	d not be entered if it is the default for the user		No data to display, please click an item to view results.		
Watchist Management			Test			
Reference Data						
Data Stores						
Published Processors			OK Cancel			
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Transaction Screening 8.1.2.3.0 - Count	ry And City Scanning	1 Instances				
🕀 whf00den		Running				
B-New Phase		Running				
Transaction Screening - Port Screening		1 Instances 🗸				

15. Click **System Information** in the **Data Stores** folder and select **Sentry** as source name. See Figure 122.

#### Figure 122: System Information page

Director		-	- 0 ×
File Edit View Help			
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Project Browser		Tool Palette	×
🚽 whf00den.in.orade.com (weblogic)		Overview	
Projects		Overview	
Customer-Screening			
OWS>CS case migration utility			
🕀 📲 Data Stores			
AtomicDatasource			
User Details	Results Browser		= = 🛛
Gases Configuration			
Data Interfaces			
Processes     Source Name     Sentry     V			
Published Processors			
Reference Data     Test			
- B Results Books			
External Tasks OK Cancel			
Exports 48			
Invites     Transaction_Screening			
Variation_operating     Transaction_Screening     8.1.2.3.0	No data to display, please click an item to view results.		
Watchist Management			
Reference Data			
Data Stores			
Published Processors			
Name Filter			
Tasks - 12 Tasks 🔹 🚺 🗖 🗖 🔀			
Server: whf00den.in.oracle.com			
E - A Transaction Screening 8.1.2.3.0 - Country And City Scanning 1 Instances			
B-whf00den Running			
New Phase     Running			
🖨 🖨 Transaction Screening - Port Screening 1 Instances 🗸			

- 16. Go to the EDQ server and login to the Server Console from the Launchpad menu.
- 17. Select **OWS>CS case migration utility** folder in the Server Console page.
- 18. Run OWS > STAGE LOADING by using the OWS\_CS\_Case\_Migration.properties file by Right-clicking OWS > STAGE LOADING.
- 19. Select **OWS\_CS\_Case\_Migration** from the Run Profile drop-down and click **Ok** to run the project. See Figure 123. With the execution, the results will be populated inside a temporary setup table.

Figure 123: Server Console Page

<pre>NOTE If there is a break or failure in running the OWS &gt; STAGE LOADING, truncate the following tables and re-run step 17.</pre>		
<ul> <li>OWS_CS_CASE_COMMENTS;</li> <li>OWS_CS_CASE_HISTORY;</li> <li>OWS_CS_CASE_MASTER;</li> <li>OWS_CS_CASE_ISSUES;</li> <li>OWS_CS_CASE_RELATION;</li> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>	ΝΟΤΕ	
<ul> <li>OWS_CS_CASE_HISTORY;</li> <li>OWS_CS_CASE_MASTER;</li> <li>OWS_CS_CASE_ISSUES;</li> <li>OWS_CS_CASE_RELATION;</li> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_ATTACHMENTS;</li> </ul>
<ul> <li>OWS_CS_CASE_MASTER;</li> <li>OWS_CS_CASE_ISSUES;</li> <li>OWS_CS_CASE_RELATION;</li> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_COMMENTS;</li> </ul>
<ul> <li>OWS_CS_CASE_ISSUES;</li> <li>OWS_CS_CASE_RELATION;</li> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_HISTORY;</li> </ul>
<ul> <li>OWS_CS_CASE_RELATION;</li> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_MASTER;</li> </ul>
<ul> <li>OWS_CS_COUNTRY_PRHB;</li> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_ISSUES;</li> </ul>
<ul> <li>OWS_CS_ENTITY_WL_DATA;</li> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_CASE_RELATION;</li> </ul>
<ul> <li>OWS_CS_ENT_CUST_DATA;</li> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_COUNTRY_PRHB;</li> </ul>
<ul> <li>OWS_CS_IND_CUST_DATA;</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_ENTITY_WL_DATA;</li> </ul>
<ul> <li>—</li> <li>OWS_CS_IND_WL_DATA;</li> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		• OWS_CS_ENT_CUST_DATA;
<ul> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>		• OWS_CS_IND_CUST_DATA;
		<ul> <li>OWS_CS_IND_WL_DATA;</li> </ul>
<ul> <li>OWS_CS_ENT_CUST_ISSUES;</li> </ul>		<ul> <li>OWS_CS_IND_CUST_ISSUES;</li> </ul>
		<ul> <li>OWS_CS_ENT_CUST_ISSUES;</li> </ul>

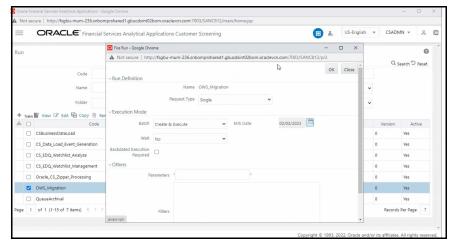
- 20. After running the job, log in to Oracle Financial Services Customer Screening (OFS CS) application.
- 21. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Run**. The **Run** page is displayed.
- 22. In the **Run** page, select the OWS\_Migartion check box from the table and click **Fire Run** \* Fire Run. Fire run page is displayed.

#### Figure 124: Run Page

		plications Customer Screening						
							0	
						Qs	Search "D Reset	
Code			Version	0				
Name			Active	Yes	~			
Folder		*	Type					
	D Damana P Authoriza	Charles and the first free	.,,,-					
		Name		lype	Folder	Version	Active	
CSBusinessDataLoad		Customer Screening Business Data Load	Base Run		TFLSEGMENT	0	Yes	
CS_Data_Load_Event_Generat	ion	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_Manageme	ent	Call Watchlist Management	Base Run		TFLSEGMENT	0	Yes	
Oracle_CS_Zipper_Processing		Oracle_CS_Zipper_Processing	Base Run		TFLSEGMENT	0	Yes	
OWS_Migration		OWS_Migration	Base Run		TFLSEGMENT	0	Yes	
QueueArchival		QueueArchival	Base Run		TFLSEGMENT	0	Yes	
	Name Folder View @ Edit @ Copy CSBusinessDataLoad CS_DDat_Load_Event_Generat CS_EDQ_Watchist_Analyze CS_EDQ_Watchist_Analyze Oracle_CS_Zipper_Processing Oracle_CS_Zipper_Processing	Name Folder View & Edit © Copy @ Remove & Authonize = 1 Code CSBusinessDataLoad CS_Dat_Sold_Event_Generation CS_EDQ_Watchist_Analyze CS_EQQ_Watchist_Management Oracle_CS_Zippe_Processing Ovg_Mgration	Name     Folder       Folder	Name     Active       Folder	Name         Active         Yes           Folder	Name         Type         Polder           roller         visu of still Big Copy         Remove J, Authoritie v. * Sine Rum         Type         Polder           Cdbuildersstatat.cod         Code         Name         Type         Polder           CSbuildersstatat.cod         Code         Name         Type         Polder           CSbuildersstatat.cod         Costomer Screening Builness Data Load         Base Rum         TRSSGMENT           CS,Data,Load, Event_Generation         CS Data Load And Stevil Generation         Base Rum         TRSSGMENT           CS,EQQ.Watchildt, Management         Call Watchildt Management         Base Rum         TRSSGMENT           Calc_CS,Zipper, Processing         Oracle_CS,Zipper, Processing         Base Rum         TRSSGMENT           Calg_Watchildt, Management         Owst, Migration         Base Rum         TRSSGMENT           Calg_Watchildt, Management         Oracle_CS, Zipper, Processing         Base Rum         TRSSGMENT           Calg_Watchildt, Management         Owst, Migration         Base Rum         TRSSGMENT	Code       Version       0         Name       Active       version       0         rolder       version       Type       version         rolder       version       Type       version         View Gr Edit Copy Gr Remove L Authorize C Export - & Fire Run       Name       Type       Folder       Version         CSBUsingstatut.cod       Customer Screening Business Data Load       Base Run       TRJSEGMENT       0         CS_Data_Load_Evert_Generation       CS Data Load And Evert Generation       Base Run       TRJSEGMENT       0         CS_DQLWatchits_Analyze       Customer Screening EDQ Watchits Analyze       Base Run       TRJSEGMENT       0         CS_EQQLWatchits_Management       Call Watchits Analyze       Base Run       TRJSEGMENT       0         OrgE_Migration       OWS_Migration       OWS_Migration       Base Run       TRJSEGMENT       0	Code         Version         0           Name         Active         Version         0           Tolder         Version         0         Version         0           Tolder         Version         0         Version         0         Version           View         Version         0         Version <td< td=""></td<>

- 23. Select **single** as the **Request Type** in the Run Definition section.
- 24. Select the Batch value as **Create & Execute** and select the MIS Date in the Execution Mode section.
- 25. Select Wait as **No** to create & execute the batch without any delay.
- 26. Click **Ok** to execute the OWS\_Migration batch. A message is displayed after successful batch execution. Click Close to go back to the Run page.

#### Figure 125: Fire Run page



After the successful execution, the OWS data will get migrated to CS and alert will be generated in the Customer Screening Alert List if there are matches. For more information on Alert List, see Alerts for Migrated OWS Watchlist data section in OFS Customer Screening User Guide.

### 8.2 Monitoring the migrated OWS batch ID in OFSAA

After the batch is executed, you can view the batch details on the Batch Monitor page. To view the batch details follow the subsequent steps:

1. To access the Batch Monitor page, click Operations, and then click Batch Monitor. The Batch Monitor page has details of all batches. The batch you have executed is the last in the Batch Details list.

- 2. Select the **Batch ID**.
- 3. Select the **MIS** or **Information Date**. After you select the **MIS Date**, the Batch ID appears in the **Batch Run ID** field.
- 4. Select Batch Run ID.
- 5. Click **Start Monitoring**. The task details associated with the batch appears in the **Task Details** section. You can also view and export the event logs for the batch in the **Event Log** section.

NOTE	If the batch run fails, you must run the following scripts and start a new batch:
	<ul> <li>delete from fcc_zcs_cust where JRSDCN_CD='D';</li> </ul>
	<ul> <li>delete from fcc_zcs_cust_addr where ZCS_CUST_SEQ_ID in (select ZCS_CUST_SEQ_ID from fcc_zcs_cust where JRSDCN_CD='D');</li> </ul>
	<ul> <li>delete from fcc_ZCS_CUST_ID_DOC where JRSDCN_CD='D';</li> </ul>
	<ul> <li>delete from FCC_ZCS_RT_ENTITY where ext_id_type ='OWS_ENT';</li> </ul>
	<ul> <li>delete from FCC_ZCS_RT_ENTITY where ext_id_type ='OWS_IND';</li> </ul>
	<ul> <li>delete from fcc_ZCS_WATCHLIST where WATCHLIST_SUB_ID is not null;</li> </ul>
	<ul> <li>delete from fcc_ZCS_WATCHLIST where WATCHLIST_KEY='PRHB';</li> </ul>
	<ul> <li>delete from FCC_ZCS_ENTITY_ALERTS where JRSDCN_CD='D';</li> </ul>
	<ul> <li>delete from fcc_zcs_alerts where JRSDCN_CD='D';</li> </ul>
	<ul> <li>delete from FCC_ZCS_ALERT_MATCHES where JRSDCN_CD='D';</li> </ul>
	<ul> <li>delete from FCC_ZCS_ENTITY_ALERTS_AUDIT where V_UPDATED_BY = 'Director Administrator';</li> </ul>
	<ul> <li>delete from OWS_CS_CASE_ATTACHMENTS;</li> </ul>

# 9 Simulation

The OFS customer Screening Simulation feature allows the user to test new configurations in a sandbox environment and compare the results with the existing set-up by integrating with the OFS Compliance Studio Application. This allows the user to replicate and test the screening process without impacting the production environment. The Sandbox workspace created will allow the user to define a suitable dataset based on the production and the available test data. You can extract the data, filter it, and plug it into a visualization tool.

You can create multiple workspaces, each with its own EDQ rules. To view the changes in the simulation data for a deeper analysis, you can use the data extraction feature. You can run multiple simulations and compare the results using data extraction.

For information about installation and configuration of Compliance Studio Application, see Oracle Financial Services Compliance Studio Installation Guide.

For the subsequent informations, see Oracle Financial Services Compliance Studio User Guide.

- Accessing the OFS Compliance Studio Application
- Using the Application UI
- Mapping User Groups
- Access the Workspace Dashboard Window
- Using the OFS Compliance Studio Application
- Using Workspaces
- Managing Workspace
- Managing Model Pipelines

### 9.1 CS Data Process Flow

The process flow for building Customer Screening models in Compliance Studio involves the configuring, creation Sandboxes and the creation of Models mapped to the Sandboxes. You can use these CS models to perform model visualizations and test for the outcomes. You can then publish a model into production and make it available to users after you have determined that the models and the parameters used to construct the models meet the requirements of your business logic.

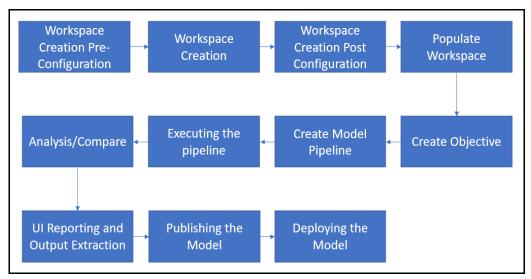
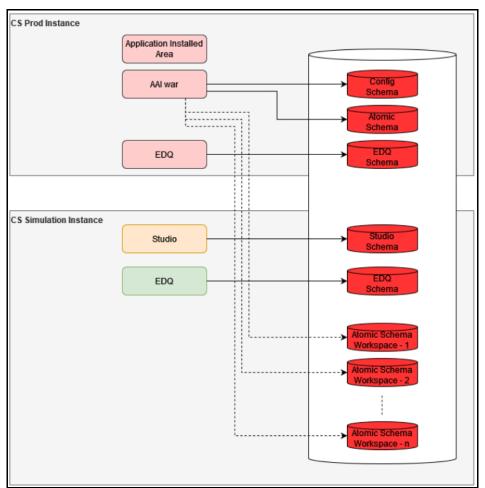


Figure 126: Simulation Process Flow





### 9.2 Integrating With Compliance Studio

OFS Compliance Studio is an advanced analytics application that supercharges anti-financial crime programs for better customer due diligence, transaction monitoring, and investigations by leveraging the latest innovations in artificial intelligence, open-source technologies, and data management. It combines Oracle's Parallel Graph Analytics (PGX), Machine Learning for AML, Entity Resolution, and notebook-based code development and enables Contextual Investigations in one platform with complete and robust model management and governance functionality. For More Information on Compliance Studio, see Oracle Financial Services Compliance Studio User Guide.

Topics:

- Workspace Creation Pre-Requisite
- Workspace Creation Pre-Configuration
- Workspace Creation
- Workspace Creation Post-Configuration

### 9.2.1 Workspace Creation Pre-Requisite

Following are the pre-requisites for workspace creation:

1. Create User tablespace in simulation database by executing below script as sysdba user:

```
CREATE TABLESPACE AIF_USER_TS DATAFILE '<DATAFILE PATH>/
aif_user_data_tablespace.dbf' SIZE 1G REUSE AUTOEXTEND ON NEXT 500M
MAXSIZE UNLIMITED;
```

 $DATAFILE \ PATH \ example: \verb|scratch|oraofss|app|oradata|$ 

- 2. Perform the Zippelin Interpreter Configuration in Compliance Studio UI. See Appendix L: Setting the ZEPPELIN\_INTERPETER\_OUTPUT\_LIMIT in Python Interpreter.
- 3. Create Instance Token for Production and Simulation in Sanctions Application. See Appendix F: Configurations for the Bearer Token.

### 9.2.2 Workspace Creation Pre-Configuration

Execute the following steps in the same order to integrate the CS data with OFS Compliance Studio application:

- 1. Create Database Schema for the new workspace
- 2. Add the schema to wallet in the Compliance Studio Setup
- 3. Add the infodom in Weblogic Console
- 4. Display the OFSAA Environment Menu in Compliance Studio UI
- 5. Registering the OFSAA Environment Details
- 6. Configuring the Data Source

### 9.2.2.1 Create Database Schema for the new workspace

Follow the subsequent steps to configuring new Database schema:

1. Create a new database schema in the sys user. To create the new schema, run the below script as sysdba user:

CREATE USER <NEW SIM USER> IDENTIFIED BY <NEW SCHEMA PASSWORD> DEFAULT TABLESPACE AIF USER TS TEMPORARY TABLESPACE TEMP QUOTA UNLIMITED ON AIF USER TS; grant create SESSION to <NEW SIM USER>; grant create PROCEDURE to <NEW SIM USER>; grant create SEQUENCE to <NEW SIM USER>; grant create TABLE to <NEW SIM USER>; grant create TRIGGER to <NEW SIM USER>; grant create VIEW to <NEW SIM USER>; grant create MATERIALIZED VIEW to <NEW SIM USER>; grant select on SYS.V \$PARAMETER to <NEW SIM USER>; grant create SYNONYM to <NEW SIM USER>; grant select on sys.v \$parameter to <NEW SIM USER>; grant select on sys.dba free space to <NEW SIM USER>; grant select on sys.dba tables to <NEW SIM USER>; grant select on sys.Dba tab columns to <NEW SIM USER>; grant create RULE to <NEW SIM USER>; grant create any trigger to <NEW SIM USER>; grant drop any trigger to <NEW SIM USER>; grant select on SYS.DBA RECYCLEBIN to <NEW SIM USER>; grant connect, resource, dba to #new user#; grant execute on dbms crypto to <NEW SIM USER>; grant execute on <SIM CONFIG SCHEMA>.checkenvfordataredaction to <NEW SIM USER>; grant select on <SIM CONFIG SCHEMA>.PR2 FIRERUN FILTER to <NEW SIM USER>; grant select on <SIM CONFIG SCHEMA>.pr2 run object to <NEW SIM USER>;

USER>; grant select on <SIM CONFIG SCHEMA>.pr2\_run\_map to <NEW SIM USER>; grant select on <SIM CONFIG SCHEMA>.PR2\_FILTERS to <NEW SIM USER>; grant select on <SIM CONFIG SCHEMA>.pr2\_run\_execution\_b to <NEW SIM USER>; grant select on <SIM CONFIG SCHEMA>.pr2 run execution filter to <NEW SIM

grant select on <SIM CONFIG SCHEMA>.pr2 run object member to <NEW SIM

USER>;

grant select on <SIM CONFIG SCHEMA>.configuration to <NEW SIM USER>;

```
grant select on <SIM CONFIG SCHEMA>.aai_wf_filter_exec_map to <NEW SIM
USER>;
```

2. Run the below sql statements in newly created user:

```
NOTE
             Replace <NEW INFODOM> with the actual infodom within the
            single quotes.
CREATE SYNONYM pr2 firerun filter FOR <SIM CONFIG
SCHEMA>.pr2 firerun filter;
CREATE OR REPLACE SYNONYM checkenvfordataredaction FOR <SIM CONFIG
SCHEMA>.checkenvfordataredaction;
CREATE OR REPLACE SYNONYM cssms role mast FOR <SIM CONFIG
SCHEMA>.cssms_role_mast;
CREATE OR REPLACE SYNONYM cssms_group_role_map FOR <SIM CONFIG
SCHEMA>.cssms group role map;
CREATE OR REPLACE SYNONYM cssms usr group map view FOR <SIM COA@NFIG
SCHEMA>.cssms_usr_group_map_view;
CREATE OR REPLACE FORCE EDITIONABLE VIEW pr2 run object (
v_run_id,v_infodom_name,v_object_unique_name,v_object_type_code,v_object
location code, n object order, v task ref unique name,
v_task_type_code,v_task_sub_type_code,v_task_ref_1_name,v_task_ref_1_val
ue, v task ref 2 name, v task ref 2 value, v task ref 3 name,
    v_task_ref_3_value,v_task_ref_4_name,v_task_ref_4_value
) AS
    SELECT
v run id, v infodom name, v object unique name, v object type code, v object
_location_code,n_object_order,v_task_ref_unique_name,v_task_type_code,
v task sub type code, v task ref 1 name, v task ref 1 value, v task ref 2 n
ame,v_task_ref_2_value,v_task_ref_3_name,v_task_ref_3_value,
v task ref 4 name, v task ref 4 value
    FROM
        <SIM CONFIG SCHEMA>.pr2 run object pro
    WHERE
        pro.v infodom name = <NEW INFODOM>;
CREATE OR REPLACE FORCE EDITIONABLE VIEW pr2 run object member (
v_run_id,v_infodom_name,v_object_unique_name,v_member_unique_name,v_memb
er type code, n member order
) AS
    SELECT
```

```
v run id,v infodom name,v object unique name,v member unique name,v memb
er type code, n member order
    FROM
        <SIM CONFIG SCHEMA>.pr2 run object member prom
    WHERE
        prom.v infodom name = <NEW INFODOM>;
CREATE OR REPLACE FORCE EDITIONABLE VIEW pr2 run map (
v run id,v infodom name,v task ref unique name,v object unique name,v me
mber_unique name
) AS
    SELECT
v run id,v infodom name,v task ref unique name,v object unique name,v me
mber unique name
    FROM
        <SIM CONFIG SCHEMA>.pr2 run map prm
    WHERE
        prm.v infodom name = <NEW INFODOM>;
CREATE OR REPLACE FORCE EDITIONABLE VIEW pr2 filters (
f is rrf,v dsn name,v execution id,v task id,v component code,n run skey
,v run code,v rule code,v filter
) AS
    SELECT
filters.f is rrf,filters.v dsn name,filters.v execution id,filters.v tas
k id,filters.v component code,filters.n run skey,filters.v run code,
filters.v rule code, filters.v filter
    FROM
             (
            SELECT
                'RRF'
                                         AS f is rrf,
                pref.v infodom name
                                         AS v dsn name,
                pref.v run execution id AS v execution id,
                pref.v task id
                                         AS v task id,
                pref.v process id
                                        AS v component code,
                pref.n run skey
                                        AS n run skey,
                preb.v_run id
                                        AS v run code,
```

```
pref.v_rule_id
                                       AS v_rule_code,
                '('
                ||
                CASE
                    WHEN pref.v_process_filter IS NULL THEN
                            '7=7 '
                    ELSE
                        pref.v process filter
                END
                || ')'
                || ' AND '
                || '('
                ||
                CASE
                    WHEN pref.v_run_filter IS NULL THEN
                            '8=8'
                    ELSE
                        pref.v run filter
                END
                || ')'
                || ' AND '
                || '('
                CASE
                    WHEN pff.v run filter IS NULL THEN
                            '9=9'
                    ELSE
                        pff.v run filter
                END
                || ')'
                                        AS v filter
            FROM
                <SIM CONFIG SCHEMA>.pr2_run_execution_b
                                                              preb
             LEFT OUTER JOIN <SIM CONFIG SCHEMA>.pr2 firerun filter
pff ON pff.v_run_execution_id = preb.v_run_execution_id
                                                                      AND
pff.v infodom name = preb.v infodom name
```

```
JOIN <SIM CONFIG SCHEMA>.pr2 run execution filter pref ON
pref.v run execution id = preb.v run execution id
                                                                   AND
pref.v infodom name = preb.v infodom name
            WHERE
                preb.v infodom name = <NEW INFODOM>
            UNION ALL
            SELECT
                'PR2' AS f is rrf,v dsn name,v execution id,NULL AS
v task id,v component code,n run skey,v run code,v rule code,v filter
            FROM
                <SIM CONFIG SCHEMA>.pr2 filters pf
            WHERE
                pf.v dsn name = <NEW INFODOM>
        ) filters
        JOIN <SIM CONFIG SCHEMA>.configuration ON upper(paramvalue) =
upper(f is rrf)
    WHERE
        paramname = 'F IS RRF'
    UNION ALL
    SELECT
awfem.f is rrf,awfem.v dsn name,awfem.v execution id,awfem.v task id,awf
em.v component code, awfem.n run skey, awfem.v run code,
awfem.v rule_code,awfem.v_filter
    FROM
```

<SIM CONFIG SCHEMA>.aai\_wf\_filter\_exec\_map awfem;

### 9.2.2.2 Add the schema to wallet in the Compliance Studio Setup

Follow the subsequent steps to add the schema to the wallet:

1. Add the database schema credentials in the wallet using the following command:

```
mkstore -wrl <WALLET LOCATION> -createCredential <NEW SCHEMA>_alias <NEW
SCHEMA>
```

- 2. After you run the command, a prompt is displayed. Enter the password <NEW SCHEMA PASSWORD> associated with the database user account in the prompt. You are the prompted to re-enter the password and the wallet password that you entered during wallet creation.
- 3. Update the tnsnames.ora file to include the following entry.

```
<NEW SCHEMA>_alias = (DESCRIPTION = (ADDRESS_LIST = (ADDRESS = (PROTOCOL
= TCP)(HOST = <<IP ADDRESS>>)(PORT = <<PORT NUMBER>>))) (CONNECT_DATA =
(SERVICE NAME = <<SERVICE NAME>>) ))
```

4. Repeat the above steps for Production Database Schema if not added.

For more information, see Oracle Wallet documentation to create/manage wallets. Refer to the Compliance Studio Installation Guide to locate the wallet location.

### 9.2.2.3 Add the infodom in Weblogic Console

To add the infodom in WebLogic console follow the subsequent steps:

- 1. Login into WebLogic console.
- 2. Go to Services.
- 3. Click Data Sources.
- Click on New button and add Data Source name as <<Simulation Infodom>> and JNDI Name as jdbc/<<Simulation Infodom>> for the newdatabase schema details.

NOTE • <<Simulation Infodom>> must have 11 characters. • <<Simulation Infodom>> name used while creating the work space.

### 9.2.2.4 Configure the infodom in tnsnames.ora in Simulation Sanctions Setup

To enter the new schema details in the tnsnames.ora file, see the below sample template:

```
<<NEW SCHEMA>> =
  (DESCRIPTION =
    (ADDRESS LIST =
      (ADDRESS = (PROTOCOL = TCP) (HOST = <<IP ADDRESS>>) (PORT = <<PORT
NUMBER>>))
    )
    (CONNECT DATA =
      (SERVICE NAME = <<SERVICE NAME>>)
    )
  )
<<Simulation Infodom>> =
  (DESCRIPTION =
    (ADDRESS LIST =
      (ADDRESS = (PROTOCOL = TCP) (HOST = <<IP ADDRESS>>) (PORT = <<PORT
NUMBER>>))
    )
    (CONNECT DATA =
      (SERVICE NAME = <<SERVICE NAME>>)
    )
  )
```

To enter the new infodom details in the weblogic server, see Configure Multi Data Sources section in OFS Sanctions Pack Installation and Configuration Guide.

### 9.2.2.5 Display the OFSAA Environment Menu in Compliance Studio UI

To display **OFSAA Environment** in the UI follow the subsequent steps:

- 1. Click the **User** lcon right top corner.
- 2. Click **Identity Management.** The Identity Management window is displayed. For more information on Identity Management, see OFS Admin Console User Guide.
- 3. Click **Groups**. The Groups window is displayed.
- 4. Select **Workspace Administrator** from the list to display the Group Details page.
- 5. Select Mapped Roles tab. The Mapped Roles window is displayed.
- 6. Click **New Mapping**. The Unmapped Roles window is displayed.
- 7. Click Authorization View.
- 8. Search for OFSAA Environment Menu Access, and select OFSAA Environment Menu Access.
- 9. Click Authorize to display **OFSAA Environment** in the UI.

### 9.2.2.6 Registering the OFSAA Environment Details

To Register the OFSAA Environment details, follow the subsequent steps:

- 1. Click the **User** lcon and select the **OFSAA Environment** from the list.
- 2. Click **Register Environment**. The OFSAA Environment page is displayed.
- 3. Click **Register Environment** to register the new CS Environment.

NOTE

You must Register Environment for Production and Simulation.

- 4. Provide the input for the following fields:
  - Name: Name of the environment Must be minimum 5 characters and maximum 20 characters
  - Description: Description for the environment
  - Type: Select either simulation or production
  - Properties: Select the key and enter the corresponding value. For information on Key and corresponding values, see Table 5 and Table 6.
- 5. Click Create.

Table 5 and Table 6 provides information about Key and Values for OFSAA Environment Registration.

### Table 5: OFSAA Production Environment Key and Values

Кеу	Description
PROD_baseUrl	Sanctions application base URL.
	(Example: http://host name>: <port>/<context- name&gt;)</context- </port>
PROD_app_id	Application ID (Example: OFS_CS)
PROD_infodom	infodom ID (Example: SANC812INFO)
PROD_ficserver_hostname	Server IP address where ftpshare is located
PROD_ficserver_username	ficserver user name
PROD_ficserver_password	ficserver password
PROD_ftpshare_path	ftpshare path (Example: /scratch/sanc812/sanc/ftpshare)
PROD_edq_server_hostname	EDQ server host name
PROD_edq_server_username	EDQ server user name
PROD_edq_server_password	EDQ server password
PROD_edq_runprofiles_path	EDQ run profiles path (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/runprofiles/)
PROD_edq_autorun_directory	EDQ Autorun directory (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/autorun/)
PROD_edq_exportproject_directory	EDQ export project directory (Example: /scratch/ ofsaaapp/test/CS/Export/)
PROD_edq_jshell_jar_directory	EDQ jshell and jar directory (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/edq/ oracle.edq/)
PROD_edq_management_port	EDQ management port ID
PROD_edq_director_username	EDQ director user name
PROD_edq_director_password	EDQ director password
PROD_edq_landingarea_path	EDQ landing area path (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/landingarea/)
PROD_edq_project_name	EDQ project name (Example: Customer_Screening Watchlist_Management)
PROD_instanceName	Instance name (Example: SIMULATION)
PROD_instanceAccessToken	Instance access token ID

Кеу	Description
PROD_edq_baseUrl	EDQ base URL (Example: http://host name>: <port>)</port>
PROD_ficdb_path	ficdb directory

### Table 6: OFSAA Simulation Environment Key and Values

Кеу	Description		
SIM_base Url	Sanction application Base URL (Example: http://host name>: <port>/<context-name>)</context-name></port>		
SIM_ficserver_hostname	ficserver host name		
SIM_ficserver_username	ficserver user name		
SIM_ficserver_password	ficserver password		
SIM_ftpshare_path	ftpshare path (Example: /scratch/tf812dev/ san_812/ftpshare)		
SIM_edq_server_hostname	EDQ server host name		
SIM_edq_server_username	EDQ server user name		
SIM_edq_server_password	EDQ server password		
SIM_edq_autorun_directory	EDQ autorun directory (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/autorun/)		
SIM_edq_importproject_directory	EDQ import project directory (Example: /scratch/ ofsaaapp/test/CS/Import/)		
SIM_edq_jshell_jar_directory	EDQ jshell and jar directory (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/edq/ oracle.edq/)		
SIM_edq_management_port	EDQ management port		
SIM_edq_director_username	EDQ director username		
SIM_edq_director_password	EDQ director_password		
SIM_edq_landingarea_path	EDQ landingarea_path (Example: /scratch/ ofsaaapp/Oracle/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/landingarea/)		
SIM_instanceAccessToken	Instance access token ID		
SIM_instanceName	Instance Name		
SIM_sys_admin_user	System admin user ID		
SIM_sys_auth_user	System authentication user ID		
SIM_edq_baseUrl	EDQ base URL (Example: http://host name>: <port>)</port>		
SIM_edq_runprofiles_path	EDQ run profiles path (Example: /scratch/ ofsaaapp/EDQ/Middleware/Oracle_Home/ user_projects/domains/base_domain/config/ fmwconfig/edq/oedq.local.home/runprofiles/)		
SIM_ficdb_path	ficdb directory		

### 9.2.2.7 Configuring the Data Source

The Data Source allows you to manage the Data Schemas registered with the OFS Compliance Studio application. The Data Source Summary window shows the list of Data schemas registered with OFS Compliance Studio. These Data schemas can be used either for workspace or for sourcing data.

To view the Data Source details, click **Action** icon next to corresponding Workspace and select **View**.

After Pre-configuration procedures you must add new data source in the compliance studio application.

NOTE

Add the production schema data source from where the data will be moved to the Simulation schema.

Follow the subsequent steps to add the new data source:

- 1. Click on the **User** lcon.
- 2. Click **Data Source**. The **Data Source** page is displayed.
- 3. Click Add Data Source and enter the value for the following fields:
  - Data Source Name: Enter the workspace schema name.
  - Description: Enter the description of database connection.
  - Type: Enter the type of the database connection.
  - Database Type: Select the Database Type as Oracle.
  - Wallet Alias: Enter the Wallet Alias. This value should be same as configured using Oracle Wallet (<NEW SCHEMA>\_alias)
  - Table Owner: Enter the table owner name (<NEW SCHEMA>).
- 4. Click **Test Connection** to check the status of the connection.
- 5. Click **Create** to create the Data Source or Click **Cancel** to skip the changes.

#### Figure 128: Data Source Summary Page

14 10 14 14 10 10 10 10 10 10 10 10 10 10 10 10 10					
Sused Data Source (9) Sunused	I Data Source(10)			[	Q Search
Data Source Name 🗘	Description 🗘	Туре 🗢	Used In 🗘	Used As 🗘	Action
MMGCSA_atom_alias	new simulation schema	JDBC	TF WORKSPACE	Data Schema	
SIM50	new schema 50	JDBC	CSSIM50	Data Schema	
SIM11	this is SIM11 mocksetup	JDBC	CSSIM11	Data Schema	
:sqa1	csqa1	JDBC	CSQA1	Data Schema	
SIM15	new sim15	JDBC	SIM15CS	Data Schema	
SIM14	new sim14	JDBC	CSSIM14	Data Schema	
:sqa2	csqa2	JDBC	CSQA2	Data Schema	
FFTest	TFTest	JDBC	TF WORKSPACE	Data Schema	
imulation schema 2	new schema 2	JDBC	WORKSPACE3	Data Schema	
1-9 of 9 items)  < 4 1 ->					

### 9.2.3 Workspace Creation

The Workspace creation requires entry of the source of dataset, validation, and deployment.

To create a Workspace, follow the subsequent steps:

- 1. Navigate to **Workspace Summary** page. The page displays workspace records in a table.
- 2. Click Add Workspace. The Create Workspace page is displayed.

#### Figure 129: Create Workspace

	Compl	iance Studio				ê û	M •
	↑ 🎖	Create Workspace			Cancel	Next -	•
		146.640		126 6 20 T	111	1111	-
			Use Template				
	0	Basic Details	Workspace Code	±.			
			Required	Import Archive File			
	2	Workspace Schema	Purpose	Drag & Drop file here			
	3	Data Sourcing	Required				
1							1
1	4	Metadata Sourcing	User-group				
Ξ.			Required				1
	5	Validate	Subtype  Sandbox Workspace  Production Workspace				-
-							1
	6	Summary	Production Workspace 🕥				1
							1.
1							-
_	-						-

NOTE

The window displays a progress indicator at the left that indicates the active window where you are entering details. Click **Previous** to go back a step and click **Next** to go to the next step.

Use the pre-configured template to load the data base and metadata objects to the workspace.

To use the pre-configured template, follow the subsequent steps:

- 1. Click **Use template**. Use template pop up window is displayed.
- 2. Select CSWorkspaceTemplate.zip from the library drop-down. The Update schema mapping is displayed.
- 3. Select the following target schema field details:
  - New Data Schema: Enter/select the newly created schema ID.
  - New Data Source Name: Enter/select the production data source name.
- 4. Click **Update** to load the pre-configured template. Click **Cancel** to close the window.

The following steps show the various phases from workspace creation to deployment:

- a. Configuring Basic Details
- b. Configuring Workspace Schema
- c. Managing a Workspace
- d. Configuring Metadata Sourcing
- e. Validating Workspace
- f. Displaying Summary

### 9.2.3.1 Configuring Basic Details

To configure the basic details follow the subsequent steps:

- 1. Enter the value for the fields displayed in the Table 7.
- 2. Click **Next** to open the next page.



The field drop down values are populated based on the registration in the OFSAA Environment and the template.

#### Table 7: Basic Details

Fields	Description
Workspace Code	Enter the code of the workspace. This field is limited to 20 characters.
Purpose	Enter the purpose of the creation of the Workspace.
User group	<ul> <li>Click on this field to display a list of User-group values. Select the required value.</li> <li>Modeling Approver</li> <li>Modeling Reviewer</li> <li>Modeling User</li> </ul>
Туре	Select the type of Workspace as Modeling or Simulation.
SubType	If you have selected Modeling, select the subtype of Workspace as Sandbox Workspace or Production Workspace.
Application Type	Select Customer Screening
Production	The CS Production drop down value will be populated as a result of registering the OFSAA Environment Details.
Simulation	The CS Simulation drop down value will be populated as a result of registering the OFSAA Environment Details.
Simulation Infodom	Enter Infodom name (< <simulation infodom="">&gt;).</simulation>
Simulation User Group Code	Enter the User Group Code. This field is limited to 20 characters.
Simulation User ID	Enter the User ID. This field is limited to 20 characters.
Simulation User Password	Enter the User Password.
Simulation DB Server	Enter the Simulation fic server IP address.
Simulation DB Schema name	Enter simulation Schema name ( <new schema="">).</new>
Simulation DB Password	Enter the password ( <new pass-word="" schema="">).</new>
Simulation Jdbc Connection String	Enter the connection Sting (Example: <oracle- driver&gt;@<hostipadress>:<dbport>/<servicen- ame&gt;).</servicen- </dbport></hostipadress></oracle- 

Comp	liance Studio		<u>○</u> ♥ ↓ M <del>-</del>
↑ (	Create Workspace		Cancel Next →
	1 1 1 1 1 4 Charles	Use Template	196.696
0	Basic Details	Workspace Code	±.
		Required	Import Archive File Drag & Drop file here
2	Workspace Schema	Purpose	
3	Data Sourcing	Required	
4	Metadata Sourcing	User-group	
(5)	Validate	Required	
Ŭ		Subtype      Sandbox Workspace      Production Workspace	
6	Summary	Production Workspace 🔿	
-			

### 9.2.3.2 Configuring Workspace Schema

Select the schema operation and enter connection details.

No configuration required if you are using the template.

### 9.2.3.3 Configuring Data Sourcing

The schema type selected in the previous step requires the definition of database objects to be used for model creation. The data sourcing step of Workspace provisioning allows the select tables from Hive-based data sources from which data has to be pulled into the Oracle-based Workspace data schema.

In case any of the selected tables are not present in the target schema, those tables are included in the failed objects count in the workspace provisioning summary.

As a part of using the template, all the CS specific data sourcing objects are available by default.

If you are not using the template, follow the subsequent steps and enter the value manually to configure the Data Sourcing:

- 1. Select a **Data Source** from the Data Source Name drop-down list.
- 2. Select the Target Data Schema.
- 3. Select the object type and corresponding object names from the drop down list.
- 4. Click **Previous** to go back a step and click **Next** to go to the next step.

#### Figure 130: Data Sourcing

) Compliance Studio		
↑ 💩 Create Workspace		Skip Cancel ← Previous Next →
1 Basic Details	☐ Data Sourcing ⊗ Data Pipeline	
Workspace Schema	Data Sourcing (*) Data Store Name OFSAASOURCESCHEMA	Target Data Schema SANCSIMULATION_alias
3 Data Sourcing		Outline
(4) Metadata Sourcing	Object Type   Name	• • • • • • • • • • • • • • • • • • •
5 Validate	No items to display.	FSLRT_ALERTS     IDIM_MSG_CLASS
Summary		

### 9.2.3.4 Configuring Metadata Sourcing

The Metadata Sourcing is a stage during Workspace provisioning to allow seeding of metadata like scheduler batches at the time of workspace provisioning.

To configure Metadata Sourcing, select the CS specific schema from the **Object Type** drop-down list and corresponding available objects.

As a part of using the template, all the CS specific metadata sourcing objects are available by default.

If you are not using the template, follow Table 8 and select the metadata objects manually.

Click **Previous** to go back a step and click **Next** to go to the next step.

### Table 8: Metadata Sourcing Object Type and Names

Object Type	Object Name
CS EDQ OBJECTS	Import EDQ Production DXI Project
	Import EDQ Production Watchlist JMP Files
	Import EDQ Production Properties Files
CS RRF BATCH OBJECTS	Import Production Dmt Source Definition
	Import Production Batch Run Definition

### Figure 131: Metadata Sourcing

Compliance Studio		<u>○</u> ♥ ₽ ₩ ▼
↑ 🕭 Create Workspace		Skip Cancel ← Previous Next →
256.65		1946 65 65 1 1 1 1 1 1 1 1 1
Basic Details	Metadata Sourcing	
	Object Type	•
2 Workspace Schema	Available Objects	Selected Objects
3 Data Sourcing	<ul> <li>Object Name </li> </ul>	✓ ⑤ CSEDQ OBJECTS
Metadata Sourcing	Import EDQ Production DXI Project	Import EDQ Production D00 Projec
Metadata Sourcing	Import EDQ Production Watchlist JMP Files	Import EDQ Production Watchlist JMP File Import EDQ Production Properties File
5 Validate	Import EDQ Production Properties Files	CS RRF BATCH OBJECTS
		Import Production Dmt Source Definitio
6 Summary		Import Production Batch Run Definitio
1		

## 9.2.3.5 Validating Workspace

The **Validate** pane displays a preview of the configuration values entered in the previous panes. Click **Previous** to go back a step and click **Next** to go to the next step.

## 9.2.3.6 Displaying Summary

The **Summary** pane displays the status of the workspace creation. Click **Download** to download the deployment report.

## 9.2.4 Workspace Creation Post-Configuration

Do the subsequent configuration in the CS application after the Workspace creation.

## 9.2.4.1 Importing Workspace Metadata for ML4AML for the created Workspace

- 1. Login to Compliance Studio installed UNIX Machine.
- 2. Navigate to the following path:

/deployed/ml4aml/bin

3. Execute the following UNIX command once, against the schema used in the current Sandbox workspace:

```
./importWorkspaceSQL.sh -w <NEW_SCHEMA>_alias
```

NOTE

<NEW SCHEMA> is the placeholder to be replaced with the actual value used to create the workspace.

# 9.3 Managing a Workspace

The workspace displays a menu for Models and an application configuration and model creation submenu. For more information on the subsequent topics, see Managing Workspaces section in Oracle Financial Services Compliance Studio User Guide.

- Launching a Workspace
- Viewing the Workspace
- Editing the Workspace
- Deleting the Workspace
- Downloading the Workspace

## 9.3.1 Populating the Workspace

NOTE

The workspace is populated with data from source data schema to target data schema. When you are creating a workspace the table definitions are created. The Data movement from production to simulation happens when you populate the screen.

To populate the Workspace, follow these steps:

1. Navigate to the **Workspace Summary** page.

The page displays Workspace records in a table.

- 2. Click **Action** next to corresponding Workspace and select **Populate Workspace** to populate the Workspace with data from source data schema to target data schema in the **Populate Workspace** window.
- 3. You cause the pre-configured template to auto populate the field values and filters. click **Use Template** and select CSJurisdictionFilterTemplate.zip file from the library list to auto populate the values.

You must replace the SQL Filter (<code>\$JRSDCN\_CD\$</code>) value with the jurisdiction.

4. You can enter the field values manually. For reference, see Table 9.

Workspace Code CS261OCT	Purpose CS261OCT	Creation Date 2023-10-26 10:08:56	Data Store Type External Data Source
Write Mode ⑦			
Write Mode Overwrite		•	
In this mode, all the underlyin below for specific tables.	ng tables mapped to the workspa	ce will be populated (truncate and insert	) along with the filters mentioned
Data Filters - Global le	vel 💿		<u>Use Templat</u>
Data Filters - Global			
Data Filters - Table lev Tables	el 💿	SQL Filter	<u>ت</u>
Additional Parameters	0		
	Batch Comr	nit Size	
Fetch Size 10	1,000		

Figure 132: Populate Workspace Window

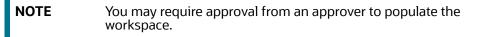
The Table 9 provides descriptions for the fields in the **Populate Workspace** window.

### Table 9: Populate Workspace

Field	Description
Workspace Code	The code of the Workspace.
Purpose	The description for the Workspace.
Creation Date	The date on which the Workspace was created.
Data Source Type	The source of data. The value can be the OFSAA Data Schema or an external data source.
Data Filter - Global	Enter the data filter that needs to be applied on all the tables selected for data sourcing. For example: If MISDATE is equal to Today, then it is applied to all tables (wherever it is available) for selected Data Sources during population. If this field is not found (MISDATE) in the tables, it is not updated.
Data Filter - Table level	<ul> <li>Provide the data filters individually on the tables here.</li> <li>NOTE: You can provide multiple table names for the same SQL filter.</li> <li>For example, there are two tables called Student and Employee in the target data source, and below filters are applied: <ul> <li>MISDATE as Today for Student and Employee tables</li> <li>ID as 1 for Student table</li> </ul> </li> <li>Then, Student table will be populated with MISDATE and ID filters and Employee tables vill be populated with only MISDATE filter.</li> <li>Global Filters will not be applicable for those tables on which filters have been applied individually.</li> <li>If the same table name is provided in more than one rows here, then filter condition is generated as a conjunction of all the provided filters.</li> </ul>
Fetch Size	Enter the Fetch size of JDBC properties for data upload
Batch Commit Size	Enter the Batch Commit size of JDBC properties for data upload
Write Mode	Populate the workspace in <b>append</b> mode.
Rejection Threshold	<ul> <li>Following two options are available:</li> <li>Custom Rejection Threshold Enter the maximum of number of inserts that may fail for any of the selected tables. You can provide the maximum number of inserts that can fail while loading data to a given table from all the sources. In case of threshold breach, all the inserts into the particular target schema will be rolled back. However, it will continue with populating the next target schema. </li> <li>Unlimited Here, all the errors will be ignored during the data population. </li> </ul>
Data Load	Available options are SELECTIVE and ALL. Use ALL for first time data population

5. Click **Populate Workspace** to start the process.

You can create the batch using Create Batch, or create and execute using Create and Execute Batch option. On selecting either of these options, a workspace population task gets added to the batch.



- When you select Create and Execute Batch option, it allows you to create batch and triggers the batch as well.
- When you select 'Create Batch' option, it allows you to prepare the batch and then execute or schedule the batch at a later time through Scheduler Service window.

The Workspace population task execution can be tracked in the 'Monitor Batch' window. For more information on Scheduler Service and Workspace population task execution, see Oracle Financial Services Compliance Studio User Guide.

NOTE	٠	You can only run the workspace population for once.
	•	Any table that is deselected from the data sourcing definition will <b>NOT</b> be dropped.

### Figure 133: Accessing Scheduler Service from Dashboard

Dash	ce Studio board			ooard Modeling 🎽		tration ^ More ~	TFDEVSIM2 😪 🗅 💝 📮 🛛
	ly Used			177777 <b>48</b> -38	E	eduler Service 	dels Status
D	Transaction Filtering Model V	Version 0	<b>?</b>	21 Hours 14 Minutes Ago		Manage and configure batch definitions	
C	Transaction Filtering/Model V Model V	Version 1	<b>?</b>	6 Days 19 Hours 57 Minutes Ago	C.	within a batch process	
ß	Russia Sanctions RUSSIA	Version 0	<b>?</b>	6 Days 20 Hours 10 Minutes Ago		Schedule Batch Set execution schedules for your batch processes	
D	Sanctions/Test Draft Test Draft	Version 2	<b>?</b>	8 Days 19 Hours 2 Minutes Ago	Ģ	Monitor Batch Track and monitor batch process executions	
D	Sanctions/Test Draft Test Draft	Version 3	<b>?</b>	8 Days 19 Hours 3 Minutes Ago			0 📕 In Review 📕 For Approval 📕 Deployed
			Last Up	dated: Nov 3, 2023, 10:26:32	AM	Last Updated: Nov 3, 2023, 10:26:32 AM	Last Updated: Nov 3, 2023, 10:26:32 AM

# 9.4 Managing Model Pipelines

Model Pipeline allows you to create and publish models based on the workspaces created from datasets in the database. The published models are then deployed in production to be consumed by users. For the subsequent information on model pipelines, see Managing Model Pipelines section in Oracle Financial Services Compliance Studio User Guide.

- Prerequisites
- Access the Workspace Dashboard Window
- Accessing the Model Pipelines
- Reviewing, Approving Model
- Import a Workspace Model Data into a New Model
- Import/Export Models
- Using View Models

- Editing Models
- Deleting Objectives and Draft Models
- Creating Seeded Models

## 9.4.1 Creating a Model

Model creation and deployment undergoes a workflow of Model Governance where the following types of users in the system have privileges that restrict the activities, they can do in the model creation and deployment workflow.

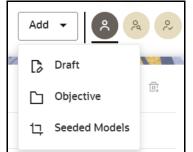
## 9.4.1.1 Creating Objective (Folders)

Create folders called Objectives within which you can create Models.

To create an Objective, follow these steps:

- 1. Click Launch Workspace next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
- 2. In the Mega menu, click **Modeling** and select **Pipelines** from the drop down to display the **Model Pipeline** window.
- 3. Click Add and select Objective from the list to display the Objective Details dialog box.

Figure 134: Select Objective from Add



- 4. Enter details in Objective Name and Description fields in the Add Objective dialog box.
- 5. Click Save.

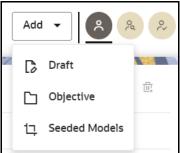
## 9.4.1.2 Creating Draft Models Using Seeded Model

Create Models that are classified as draft models. These models will be reviewed before being sent for Scoring.

To create a draft Model, follow these steps:

- 1. Click Launch Workspace and next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
- 2. Open the Objective.
- 3. Click **Add** and select **Draft** from the list to display the **Add Draft** dialog box.

### Figure 135: Create Model



4. Create New Model is the default setting in the Model Details dialog box.

To create a new model, follow these steps:

- a. Click Use Template.
- b. Select the CS Simulation zip file from the templates. The available CS templates are:
  - CSWLSIMULATION\_1697221476336\_0.zip (CS Watchlist Screening pipeline, see Figure 138)
  - CSSIMULATION\_1697220226831\_0.zip (CS Simulation pipeline, see Figure 137)
  - CSNOPRODSIMULATION\_1701856523642\_0.zip (Customer Screening Staged Data Simulation Pipeline)

The Table 10 gives information CS pipelines and associated widgets.

### Table 10: CS Pipeline and Associated Widgets

Pipeline	Widgets
	Customer Screening Batch EDQ
	Data Load Event Generation Batch
	L1 Alert Generation Batch
CSSIMULATION_1697220226831_0	CS Simulation Statistics
	CS Simulation Results
	CS Production Results
	Watchlist Managament Batch EDQ
CSWLSIMULATION_1697221476336_0	Watchlist Managament Batch
	Business Data Load Batch
	Customer Screening Batch EDQ
	Data Load Event Generation Batch
CSNOPRODSIMULATION_1701856523642_0	L1 Alert Generation Batch
	CS Simulation Statistics
	CS Simulation Results

c. Enter details for Draft Name and Description.

Figure 136: Model Details - Create New Model

- d. Enter a tag in the Tags field.
- e. Click **Create**. a model pipeline will be created from the template.

To clone the objects for Batch EDQ and Batch RRF Widgets, follow the subsequent steps:

- a. Navigate to the **Design Pipeline** page.
- b. From the pipeline canvas double click on the widget to open the widget details screen on the right side.
- c. In the widget screen under the Custom Parameters tab, click **Copy** to open the **Clone Objects** Window.
- d. Select the source model ID from the **Clone Objects** Window and select the version from which you want to clone the widget.

**NOTE** Select the model ID as PROD. For the Batch EDQ widget, the model ID is PRODi (Example: PROD0, PROD1) based on the input in the PROD\_edq\_project\_name Key.

- e. Click **Copy**. The CS Widget clone process begins. Once the cloning is completed, the current model ID and version will automatically be populated in the widget screen.
- f. Click **Save** to save the widget.

### 9.4.1.3 Cloning a Model

You can pick any published model and clone the contents to a new draft in the same objective or clone the content to the current parent draft. The cloned draft can be edited and used further. Audit Trail window also captures the clone information.

To clone the model details, follow these steps:

- 1. Open a Published Model in Pipeline Designer.
- 2. Select Clone to new Draft to Re-image parent draft with current.

# 9.5 Model Pipeline

Modeling refers to the process of designing a prototype based on a structured data model for statistical analysis and for simulating actual events and functions. A user with access to the Workspace can create or modify models in a workspace. Model versions are preserved in the Workspace, along with execution and output histories. Once a model has been validated in the Workspace and considered fit for use, modelers can request to push the Model into the production environment.

The following sections are available on the Model Pipeline window:

- Pipeline
- Dashboard
- Notebook
- Simulations
- Execution History
- Compare

## 9.5.1 Pipeline

A pipeline is an embedded data processing engine that runs inside the application to filter, transform, and migrate data on-the-fly. Pipelines are a set of data processing elements called widgets connected in series, where the output of one widget is the input to the next element. Use the Pipeline canvas to create the model and execute the pipeline using widgets.

To create a paragraph using pipeline, follow these steps:

- 1. Navigate to the **Pipeline Designer** page. Pipeline Canvas is displayed.
- 2. Click on the Connector  $\checkmark$  to display the widgets.
- 3. Select Customer Screening from the list.
- 4. Select a widget and add the widget to the pipeline canvas. For information on widgets, see Table 11.
- 5. From the pipeline canvas double click on the widget to open the widget details screen on the right side.
- 6. In the widget screen under the Custom Parameters tab, click **Copy** to open the **Clone Objects** Window.
- 7. Select the source model ID from the **Clone Objects** Window and select the version from which you want to clone the widget.

ΝΟΤΕ	Select the model ID as PROD. For the Batch EDQ widget, the model ID is PRODi (Example: PROD0, PROD1) based on the input in the
	PROD_edq_project_name <b>Key</b> .

8. Click **Copy**. The CS Widget clone process begins. Once the cloning is completed, the current model ID and version will automatically be populated in the widget screen.

**NOTE** Cloning of Watchlist-Management and Customer-Screening project should not be configured in the same pipeline.

- 9. Click **Save** to save the widget.
- 10. Click **Add** the next widget and repeat from step 2 to step 8.

### Figure 137: CS Simulation Pipeline

Compliance Studio	Dashboard Modeling - Orchestra	ation 🗸 More 🗸	CS2610CT 😪 🛆 💝 🗘 🔳 ▼
Model Pgelines / Test,CS / CS Simulation Pgeline CS Simulation Pipeline Pgeline for EDQ and Zipper Screening / X Pipeline 🗈 Dashboard 🕕 Notebook 🛕 Simulations		Parameter Sets Publish ···	Version: Version Model (D: 1698900015349 Notebook (D: dorgen03
Session No previously created session found		Durk auto-save is on 💽 <table-cell></table-cell>	Created Date: Nor 3, 2023, 105:13 PM Addiaes Python Runtime ©

Figure 138: CS Watchlist Screening Pipeline

) Compliance Studio	Dashboard Modeling Orchestration M	More 🗸	с52610СТ 😫 🛆 🛛 🗘 📶
Model Popelines / Test_CS / CS Watchist Screening CS Watchlist Screening Sample for CS Watchist Simulation /		Darameter Sets Publish	Version: Version
X Pipeline 🔄 Dashboard 🕥 Notebook	🛦 Simulations 👔 Execution History 🛱 Compare		Model ID: 199999708040 Notebook ID: ds8a55e3 Created Date: Nov 3, 2023, 108:28 PM
Session the previously created session found	Buch FDQ     Data and Thresholds     Mark & Bach Execution	Diatit auto-save is on 💽 🛛 🕶	Additegi Python Runtme

Figure 139: Customer Screening Staged Data Simulation Pipeline

↑ Customer Screening Staged Data Simulation Pipeline This Pipeline helps you to create alerts for inves	<u>Parameter</u> <u>Sets</u>	Publish ••
★ Pipeline	) Compare	0060
Session :No previously created session found	Draft auto-save is or	00
E & Kanna Henkar, & Kanna Henk	53 Streadingson, Re- investering Association Result Streamings	CS Develation.

The Table 11 gives information about CS pipeline widgets.

### Table 11: CS Pipeline Widgets

Widget	Description
Customer Screening Batch EDQ	This widget will allow you to access the EDQ Project for modifying the matching configurations.
Data Load Event Generation Batch	This batch will call the EDQ and perform the screening between Customer and Watchlist data to generate the matches in simulation schema.
L1 Alert Generation Batch	This batch will generate the alerts for investigation.
CS Simulation Statistics	This report shows comparison between Production Results and Simulation Results for the same input
CS Simulation Results	This report shows the list of all L1 alerts generated along with the events for a Simulation Run.
CS Production Results	This report shows the list of all L1 alerts generated along with the events in Production Environment for the same input.
Watchlist Managament Batch EDQ	This widget will allow you to access the EDQ Project for modifying the watchlist configurations.
Watchlist Managament Batch	This batch will call the EDQ and load the watchlist data.
Business Data Load Batch	This batch will move the data from Staging tables to Business tables.
Customer Screening Batch EDQ	This widget will allow you to access the EDQ Project for modifying the matching configurations.
Data Load Event Generation Batch	This batch will call the EDQ and perform the screening between Customer and Watchlist data to generate the matches in simulation schema.
L1 Alert Generation Batch	This batch will generate the alerts for investigation.
CS Simulation Statistics	This report shows the Simulation Result Statistics.
CS Simulation Results	This report will show the list of all L1 alerts generated along with the events for a Simulation Run.

To execute the pipeline follow the subsequent steps:

1. Click execute Pipeline window is displayed. For the manual configuration for the filter condition to apply in the Run Definition Widget batch, see Appendix M: Manual Configuration for Filter Condition to Apply in the Batch.

#### Figure 140: Execute Pipeline

	aining 🗹 Experimentation 🔽 Scoring	Open free	n saved parameter set?
Exec	ution Parameters	<u>opennor</u>	50 +
	Key \$alertSuppressionRequired\$	Value	固
	L	From Notebook	
	Key \$AGE_YR_CT\$	Value	匝
		From Natebook	
Syst	em Parameters		Save parameter set
Key \$FI	, CMISDATE\$	Value 2023-11-03	Ē
Key \$B	/ ATCHRUNID\$	Value Batch_auto_14a9040b-1427	7-4086-8139-4239501
		Value task1	
Key \$T/	ASKID\$		

- 2. Click **Open from saved Parameter set?** to import the template.
- 3. If your not importing the template enter Enter the execution Key and Value manually.

**NOTE** Select the flow, which you want to execute Scoring, Training, and Experimentation. It displays all the keys defined for all the paragraphs in the notebook with a placeholder for providing the values.

4. You can add new parameters using Add

d 🕂 .

Note: If the parameter is not defined in the notebook, it will not be used for the execution. In case of multi select, if there are common parameters among the chosen scenarios, it will take the value based on the order of selection. that is first chosen scenario parameter will be taken.

- 5. But if open from saved scenarios again (not on single go), then already added will get replaced by the newly added (same as what existed)
- 6. Execution is performed based on selected link types. It filters out all the not required/unused parameters. And, all the unused parameters for the current execution are displayed with a

warning <sup>1</sup>. To view the only required parameters, click **Show only required** link.

7. Click Reset O to reset the entered data.



to delete the entered Key and Value.

For example, refer to below Figure.

9. Click **Execute** to initiate the execution. The widgets in pipelines are executed sequentially and

you can see victor on each widget for a successful execution. For individual widget execution details click the widget and click **View Details**.

## 9.5.2 Dashboard

The Dashboard of the Pipeline Designer allows you to execute shows the execution output of the Model.

#### Figure 141: Dashboard Tab

ompliance Studio			Dashboard	Modeling
Model Pipelines / SANC TF / 06 Sep				
8 06 Sep				
				146
Pipeline 🖾 Dashboard 🖸 Noteboo	ok 🔺 Simulations	E Execution History	🕅 Compare	
Links		Reports (Last	execution outputs	)
<ul> <li>Training</li> <li>Experimentation</li> </ul>				
-		No items to display		
Scoring Open from saved parameter set?	(15	\ \		
	Ũ			
Parameters				
\$FICMISDATE\$	Ē	]		
2023-09-20		J		
\$BATCHRUNID\$		Ì		
Batch_auto_9a2096f5-e5ae-4529-b1c7-4f7	727f5e875a	J		
\$TASKID\$		]		
task1		J		
task1				
task1	Execute			

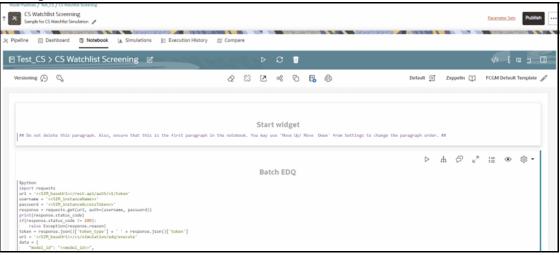
## 9.5.3 Notebook

Navigate to Notebook tab to view the paragraphs. You can run, invalidate session, edit, add, and export the notebook in the Notebook tab.



By default the code is not displayed in the UI. To display code in the UI, click the visibility icon and select code.

#### Figure 142: Notebook Tab



## 9.5.4 Simulations

The simulation flow allows for iterative execution along that path with input drivers (variables) that are passed through a parameter set. You can either create a new parameter set or use the existing parameter set and execute it from this tab.

## Compliance Studio Dashboard Modeling - Orchestration - More -\* 06 Sep 1 🖧 Pipeline 🛛 Dashboard 🗊 Notebook 🔺 Simulations 🛛 🗄 Execution History 🖉 Compare Training Z Experimentation Scoring Choose from parameter sets ⊳ × Parameter sets: 20 Default(From notebook) ✓ Run Stats Start time: NA End time: NA ✓ Outputs No items to display.

### Figure 143: Simulation Tab

## 9.5.5 Execution History

This section of Pipeline Designer shows the history of the executions of the current pipeline. You can view the list of executions, check the report for the corresponding simulation run, and extract the report. You can compare multiple executions by selecting multiple executions and click on Compare icon.

### Figure 144: Execution History Tab

rpliance Studio		Dashbo	ard Modeling Vorch	estration More -				TESIMULATION 🚱 🛆 👳 4
tooli Pipetres / SAVC TF / 00 Sep 06 Sep 2								Parameter Sen
ipeline 🗊 Dashboard 🕤 Notebook 👔 Simulations 🏢 Execution			777 7777 <b>1</b> 8		146-69-69-69	1.11 1121		
Q. Search								74
Batch Run identifier 🗘	Inputs 0	Task Identifier 0	Status O	Outputs 0	Canvas view 0	MISDATE O	Start Time 0	End Time O
Batch_auto_47a43096-4550-4b90-97b0-d2752783f4c7	Custom	task1	٥	68	×	2023-09-20	Sep 20, 2023, 7:50:22 AM	Sep 20, 2023, 7:52:28 AM
Batch_auto_da4e559a-5ca3-4745-b569-6d6bd7d3abb2	ParserSet	task1	*	<u>b8</u>	*	2023-09-20	Sep 20, 2023, 7:27:05 AM	Sep 20, 2023, 7:29:32 AM
Batch_auto_1391de51+4dc0+420e+899e+f57fa775b742	Custom	task1		12	×	2023-09-19	Sep 19, 2023, 2:39:08 PM	Sep 19, 2023, 2:39:59 PM
Batch_auto_d111918f-1725-425a-aa00-d9ea0feb9c93	Custom	task1	*	<u>b8</u>	×	2023-09-19	Sep 19, 2023, 1:54:31 PM	Sep 19, 2023, 1:55:16 PM
Batch_auto_1c682354-3bc6-41d3-88ee-bc874458fc97	Custom	task1		<u>b8</u>	×	2023-09-19	Sep 19, 2023, 1:44:36 PM	Sep 19, 2023, 1:45:22 PM
Batch_auto_6aba7a32-ea91-40fb-be6c-5721bedd3b4f	Custom	task1	0	68	×	2023-09-19	Sep 19, 2023, 1:39:55 PM	Sep 19, 2023, 1:40:45 PM
Batch_auto_5729b3e3-bd31-410f-8065-6b97e5aa1cff	Custom	task1		<u>b8</u>	×	2023-09-19	Sep 19, 2023, 1:35:02 PM	Sep 19, 2023, 1:35:48 PM
Batch_auto_a67813ca-251a-419a-905f-1f01c217a480	Custom	taskl		108	*	2023-09-19	Sep 19, 2023, 12:57:50 PM	Sep 19, 2023, 12:58:36 PM
Batch_auto_04e9dcc2-ccc8-43d8-b226-0875353b95b1	ParserSet	task1		68	×	2023-09-19	Sep 19, 2023, 12:08:37 PM	Sep 19, 2023, 12:09:22 PM
Batch_auto_edicce2f7-7b4c-489d-8dfa-5bc82d0f093f	Custom	task1	0	<u>b3</u>	*	2023-09-19	Sep 19, 2023, 12:04:37 PM	Sep 19, 2023, 12:06:38 PM

To download the report follow the subsequent steps:

1. click the output icon 🔀 for the respective batch. Output Details Page is displayed.

Following Output report tiles are displayed

- Start Widget
- CS Specific widget
- Report Widget
- 2. From the Report Widget tile click the download icon to download the report in the text file format.

NOTE

You must open the extracted report file in Excel or drag and drop the file in Excel to view the Simulation output.

### Figure 145: Report Extraction Tile

<b>⊞</b> ⊠ ⊪	* ** ~ ~ ** ×	🔤 🗠 🔮	) ②   ≈ 🕹 •		
Type to search			<b>P</b> =	RAW	
Category 🗘	Туре 😄	Description 🔅	Production Data 🔅	Simulation Data 🗘	Change 🗘
Hits Information	Alert Count (Number of alerts)	NA	67.0	41.0	-26
Hits Information	Unique Watchlist Count	NA	9.0	8.0	-1
Alert List	Number of Events Per Events Type	SAN,PEP,EDD	71.0	43.0	-28
Alert List	Number of Events Per Events Type	EDD	15.0	11.0	-4
Alert List	Number of Events Per Events Type	SAN	29.0	28.0	-1

### Figure 146: Extracted Output Sample

	Туре	Description	Production Data	Simulation Data	Change
	Number of Alerts in each web service	Name and Address	2	1	-1
Hits Information	Number of Alerts in each web service	Narrative	5	2	-3
Hits Information	Alert Count (no of lerts)	NA	5	2	-3
	Unique WL Count	NA	4	1	-3
Hits Information	Unique WL Count	NA	4		-3
Hits Information	No of Events Per Events Type - TF	SAN	100	102	2
	No of Events Per Events Tupe - CS	SAN, EDD, PEP	100	75	-25
Hits Information	No of Events Per Events Type - CS	SAN	50	7	-43
Hits Information	No of Events Per Events Type - CS	EDD	10	8	-2
Hits Information	No of Events Per Events Type - CS	PEP	10	2	-8
	Exemption Recommendation TF	Total Events Exempted	30	5	-25
Hits Information	Exemption Recommendation TF	Total Events Exempted - Narrative	7	3	-4
Hits Information	Exemption Recommendation TF	Total Events Exempted - Name	3	2	-1
lits Information	Exemption Recommendation TF	Total Events Not Exempted	10	12	2
Hits Information	Exemption Recommendation TF	Total Events Not Exempted - Narrative			
Hits Information	Exemption Recommendation TF	Total Events Not Exempted - Name			
Hits Ratio	Ratio of alerts generated between 2 changes CS On		5	10	5
Hits Ratio	Ratio of alerts generated between 2 changes CS On		3	3	0
Hits Ratio	Ratio of alerts generated between 2 changes CS On				
Hits Ratio	Ratio of alerts generated between 2 changes CS On				
Hits Ratio	Ratio of alerts generated between 2 changes CS On				
Hits Ratio	Ratio of alerts generated between 2 changes TF On	% of Zipper alert have hits against SAN	100	150	1
		0	10	5	-
Alert List Alert List	No of alerts per jurisdiction (Juris Name)	Germany India	10 5	5	-5
Alert List Alert List	No of alerts per jurisdiction (Juris Name) No of alerts per biz domain (dom Name)	India Domain A	5 10	5	-3
Alert List Alert List	No of alerts per biz domain (dom Name) No of alerts per biz domain (dom Name)	Domain A Domain B	5	5	-0
MIGI (LISU	No or arens per biz domain (dom Name)	Doman D	5	10	5
Alert List	No of alerts per Message Type/tag	MT101 59a	200	50	-150
Alert List		Individual	7000	8000	1000
Alert List	No of Hits Generated Per Customer Type, CS	Entity (organisation)	8000	7000	-1000
Alert List		Individual	8000	7000	-1000
Alert List	No of Hits Generated Per WL Entity Type, TF	Entity (organisation)	8000	7000	-1000

## 9.5.5.1 Compare

The Compare option allows you to compare the executions with champion model. To compare, follow these steps:

- 1. Navigate to Execution Summary window.
- 2. Select the executions using the corresponding check-boxes.
- 3. Click 🕅 Compare .

The Execution Comparison window is displayed.

The Window shows the following comparison details:

- Model Properties
- Model Input (Last Execution Details)
- Audit Log

- Model Script
- Model Output (Last Execution Outputs)

### Figure 147: Compare Tab

Highlight Same Data		06 Sep ver 0
Model Properties		^
Objective	There is no champion to compare against.	SANC TF
Description	There is no champion to compare against.	
Version	There is no champion to compare against.	0
Language	There is no champion to compare against.	Default
Technique	There is no champion to compare against.	
Model Inputs (Last Execution Details)		^
No data to display Audit Log		~
Created By	There is no champion to compare against.	MMGANALYST
Created Date	There is no champion to compare against.	Sep 11, 2023, 8:54:45 AM
Modified By	There is no champion to compare against.	
Modified Date	There is no champion to compare against.	
Model Script		^
Script 0	There is no champion to compare against.	## Do not delete this paragraph. Also, ensure that this is the first paragraph in the notebook. You may use 'Move Up/ Move Down' from Settings to c hange the paragraph order, ##
Script 1	There is no champion to compare against.	Significan Import requests ui la tatop()/00.5 US 127700/LAK/SI2/vet.ap/usth/https://useraamia.SUALTON passed = VS482479-4030 -441-438-y7774-6400 Yesteonia e request public, usernia-seman passionality interpretaines asstatus, code in 2000 most passionality of the 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e separate passionality and the 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e separate passionality information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus, code in 2004 Yesteonia e seta code information asstatus

# 9.6 **Report Extraction**

You can view the output of the executions from all the tabs of the model pipeline. Execution History tab allows you to download the execution output to the local system. For more information, see Execution History.

NOTE	• You must open the report text file in excel or drag and drop in excel to view the output.
	<ul> <li>If the execution output is truncated, update the Zeppelin interpreter output limit. For more information, see Appendix L: Setting the ZEPPELIN_INTERPETER_OUTPUT_LIMIT in Python Interpreter.</li> </ul>

	Туре	Description	Production Data	Simulation Data	Change
Hits Information	Number of Alerts in each web service	Name and Address	2	1	-1
Hits Information	Number of Alerts in each web service	Narrative	5	2	-3
Hits Information	Alert Count (no of lerts)	NA	5	2	-3
Hits Information	Unique WL Count	NA	4	1	-3
Hits Information	No of Events Per Events Type - TF	SAN	100	102	2
Hits Information	No of Events Per Events Type - CS	SAN, EDD, PEP	100	75	-25
Hits Information	No of Events Per Events Type - CS	SAN	50	7	-43
Hits Information	No of Events Per Events Type - CS	EDD	10	8	-2
Hits Information	No of Events Per Events Type - CS	PEP	10	2	-8
Hits Information	Exemption Recommendation TF	Total Events Exempted	30	5	-25
Hits Information	Exemption Recommendation TF	Total Events Exempted - Narrative	7	3	-4
Hits Information	Exemption Recommendation TF	Total Events Exempted - Name	3	2	-1
Hits Information	Exemption Recommendation TF	Total Events Not Exempted	10	12	2
Hits Information	Exemption Recommendation TF	Total Events Not Exempted - Narrative			
Hits Information	Exemption Recommendation TF	Total Events Not Exempted - Name			
Hits Ratio	Ratio of alerts generated between 2 changes CS On	% of Zipper alert have hits against SAN	5	10	5
Hits Ratio	Ratio of alerts generated between 2 changes CS On	% of Zipper alert have hits against PEP	3	3	0
Hits Ratio	Ratio of alerts generated between 2 changes CS On	% of Zipper alert have hits against EDD			
Hits Ratio	Ratio of alerts generated between 2 changes CS On				
Hits Ratio	Ratio of alerts generated between 2 changes CS On	% of alert have hits against SAN & PEP & ED	D & PRB		
	Ratio of alerts generated between 2 changes TF On		100	150	1
Alert List	No of alerts per jurisdiction (Juris Name)	Germany	10	5	-5
Alert List	No of alerts per jurisdiction (Juris Name)	India	5	2	-3
Alert List	No of alerts per biz domain (dom Name)	Domain A	10	5	-5
Alert List	No of alerts per biz domain (dom Name)	Domain B	5	10	5
Alert List	No of alerts per Message Typel tag	MT101 59a	200	50	-150
	No of Hits Generated Per Customer Type, CS	Individual	7000	8000	1000
	No of Hits Generated Per Customer Type, CS	Entity (organisation)	8000	7000	-1000
		Individual	8000	7000	-1000
		Entity (organisation)	8000	7000	-1000
MIDICEIS	INFORTING GENERATED WE ENILY TYPE, TF	Linux (organisation)	0000	1000	-1000

### Figure 148: Extracted Output Sample

# 9.7 Publishing a Pipeline

If your satisfied with the results of the execution you can publish the pipeline. Publish the pipeline will backup the current model pipeline with non editable mode. To publish the pipeline, follow these steps:

- 1. Click Launch Workspace and next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
- 2. In the Mega menu, click **Modeling** and select **Pipelines** from the drop down to display the **Model Pipeline** window.
- 3. Select the Objective from the list. The publish canvas is displayed.
- 4. Click **Publish**. Publish Pipeline popup is displayed.
- 5. Enter the field details. See Table 12.

### Table 12: Publish Pipeline

Field or Icon	Description
Model Name	The field displays the name of the Model. Modify the name if required.
Model Description	The field displays the description for the Model. Enter or modify the description if required.
Technique	Enter the registered technique to use.
Run Version	Select a rub version.
Variable Mapping	The table displays the OFSAA variables and datasets used in the creation of the Training Model.
Script	The table displays the Paragraphs created in the Training Model. Select the Paragraphs that you want to use to create the Scoring Model. Track Output - Select this to track the output of the paragraph.

6. Select the required configuration and click **Publish** to publish the pipeline or click **Cancel** to go back to previous page.

To view the published model follow the subsequent steps:

- 1. Navigate to Model Pipeline page
- 2. Click **Models** in-line with the Object Name. published models are displayed.

### Figure 149: Published Model

) Compliance Studio	Dashboard Modeling Crchestration	More 🗸		TFUTSIMULATION @	းဂမင်္နာ 🖉 •
Model Pipelines / Cuba Sanctions				Add 👻	
Q cub					Refresh E 🛞
Dbjective Name	D	Owner	Tags		
Cube 2 Ten 2	 1695207480956	MMGANALYST	culta -		
Cube 3 Cube 7EP	 1695207498690	MMGANALYST	10°		
Cubal Test	 1695207466725	MMGANALYST	Gda	✓ 2 Models	Working Draft
Weak 3         Sep 23 2021 (2314 0"         Image: Sep 23 2021 (2314 0"					

The published models are then deployed in production to be consumed by users. The iterations of comparison between various models lead to the elimination of undesired models and the filter of a few robust ones that can be considered for deployment in production. Modelers then use their better judgment to consolidate their choice and fix on one model - the champion model. The champion model is also called the scoring model or the actual model in this document.

# 9.8 Deploying the Model

You can promote the published model to production by deploying the Model. For the subsequent information, see Oracle Financial Services Compliance Studio User Guide.

- Understanding Model Governance
- Request Model Acceptance
- Review Models and Move to Approve or Reject
- Approve Models and Promote to Production

- Deploying Models in Production and Make it a Global Champion
- Executing Models using Scheduler Service

To deploy the model follow the subsequent steps:

- 1. Click Launch Workspace and next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
- 2. In the Mega menu, click **Modeling** and select **Pipelines** from the drop down to display the **Model Pipeline** window.
- 3. Select the Objective name from the list and select the published Model.
- 4. Click () to view the Model Deployment screen.

### Figure 150: Model Deployment Window

Model Deployment		
ID <u>1695207466725</u>	Ø O 3	
Version 2 Cuba1	Requesting Pending Approv Approval	ved
<b>Objective</b> Cuba Sanctions	Comments	Reviewer
Description Test2	No items to display.	Required
Created By MMGANALYST Sep 20, 2023, 1:14:29 PM		Level 1 Approver
sep 20, 2025, 1:14:29 PM		Require
		Comments
		Request 👻 Cance

- 5. Select the value for the following fields:
  - Reviewer
  - Level 1 Approver
  - Comments
- 6. Click **Request** and select **Model Acceptance** action.
- 7. Click **Cancel** to cancel the model Deployment.

**NOTE** For each workspace there can be only one champion model.

# 9.9 Audit Trail

For information on using audit trail, see Oracle Financial Services Compliance Studio User Guide.

# 10 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 My Oracle Support (MOS).

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

Results Browser						
Job: 📺 [MAIN] Transliterate Russian Names	Job: 🗐 [MAIN] Transliterate Russian Names					
🍥 🖉 🎓   🍸   🗞 🖶   🗞 🖏 🕻	l 📙 💿 🚱 🖹 🖬 🖻 🖌					
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 151: Non-Latin Character Set

# **10.1 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 My Oracle Support (MOS).

# 11 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:
	<ul> <li>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</li> </ul>
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 13: Reference Data Tables for Watch Lists

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

Table 13:	Reference	Data	Tables	for	Watch Lists
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## 12 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.

# 12.1 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 HM Treasury website.

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

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

# 12.2 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 Treasury 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

# 12.3 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 European Commission website.

To download the consolidated list, follow these steps:

- 1. Go to https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/account and create a user name and password to the site.
- 2. Navigate to https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/files and open 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/ xmlFullSanctionsList/content?token=[username]. You must replace the [username] placeholder with the user name you have created.
- 4. Enter this URL in your run profile or download task.

# 12.4 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 UN Security Council website.

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

# 12.5 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 World-Check 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.

# **12.6** 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 Dow Jones 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)

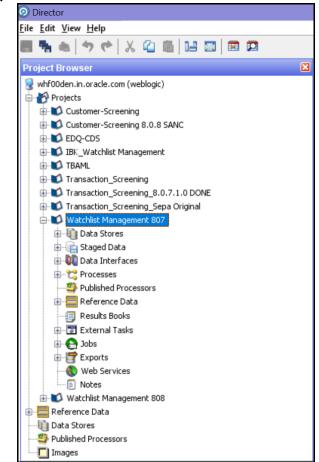
The script files are used by the automated task to download the data files and copy them to the Oracle Enterprise Data Quality (OEDQ) landing area. The script files must be modified to provide the download URL and the proxy server details for your Internet connection as follows:

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

### Figure 152: Director Menu in EDQ

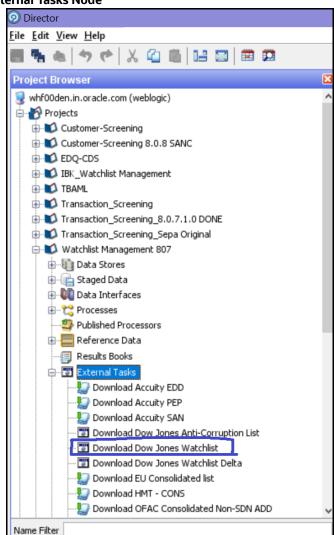
	arise Deta Quelity				Log In
				Launchpad	Web Services 👻
Launchpad					
	Director	Server Console	۲		
	Match Review	Case Management	0		
	Case Management Administration	Configuration Analysis	۲		
	•				Ţ

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



### Figure 153: 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.



#### Figure 154: External Tasks Node

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

#### Figure 155: Edit Task Window for the Dow Jones Watch List

Edit Task	<b>X</b>			
External Task Op Configure the ext	tions ORACLE <sup>®</sup>			
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 > Cancel			

- 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.

# 12.7 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 Dow Jones 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)

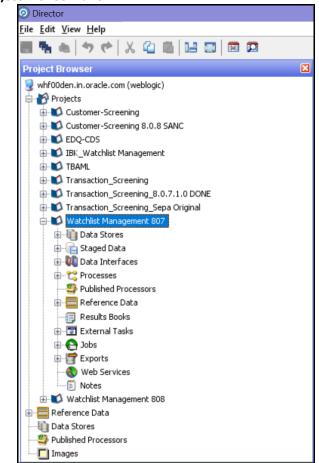
The script files are used by the automated task to download the data files and copy them to the Oracle Enterprise Data Quality (OEDQ) landing area. The script files must be modified to provide the download URL and the proxy server details for your Internet connection as follows:

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

### Figure 156: Director Menu in EDQ

DRACLE'	interprise Data Quality		Launchpad	Web Services 👻
Launchpad				
	Director	Server Console		Ĺ
	Match Review	© Case Management		
	Case Management Administration	Configuration Analysis		
	•			*

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



### Figure 157: 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.

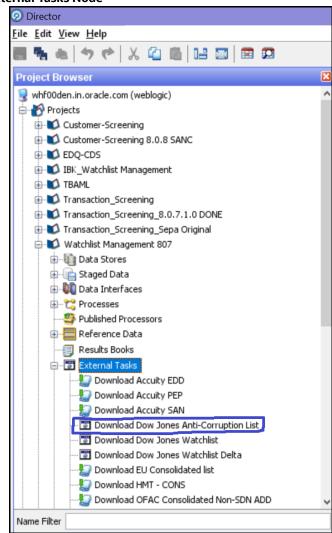


Figure 158: External Tasks Node

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 ext	<b>tions</b> ærnal task properties	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		
		Nut > Court
	< Back	Next > Cancel

Figure 159: 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.

# **12.8** 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 Accuity 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 Using the Accuity Group File.
- 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.

## 12.8.1 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.

**NOTE** Only entities and individuals on the Regulatory Due Diligence (RDD) watch lists are included in the group file.

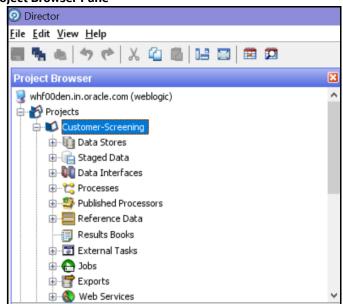
The group file allows you to generate cases on individuals who are grouped together, instead of generating cases on separate individuals. To use the group file for individuals, follow these steps:

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

### Figure 160: Director Menu in EDQ

	rise Data Quality			Launchpad	Log In     Web Services
Launchpad					
	•		0		A
	Director	Server Console	•		- 1
	Match Review	Case Management	0		
	Case Management Administration	Configuration Analysis	•		
	•				•

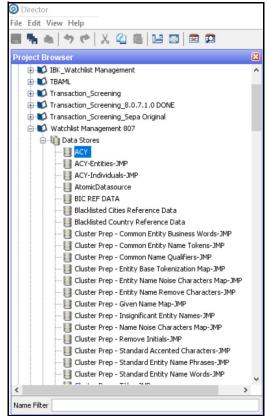
2. In the **Director** landing page, expand the **Customer-Screening** project in the **Project Browser** pane.



#### Figure 161: Project Browser Pane

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

#### Figure 162: Data Stores Node



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

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	
lscratch/ofsaaapp/Oracle/Middleware/Oracle edg.local.home/landingarea	e_Home/user_projects/domains/dev18_domain/config/fmwconfig/edq/
	e_Home/user_projects/domains/dev18_domain/config/fmwconfig/edq/

#### Figure 163: Edit Data Store Window for the Accuity 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 Accuity in the batch or script file.



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

#### 12.8.1.1 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.

### 12.8.2 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 164: Director Menu in EDQ

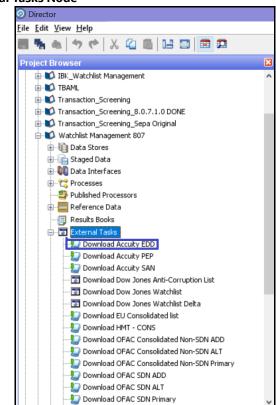
RACLE <sup>®</sup> Ent	erprise Data Quality		Launchpad Web Services
aunchpad			
	Director	@ erver Console	Î
	Match Review	© ase Management	
	Case Management Administration	<b>₽</b> onfiguration Analysis	
	©		

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

#### Figure 165: Project Browser Pane

O Director	
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>H</u> elp	
📕 🐜 📥 🗢 📌 🕹 🏠 🎬 🛤 🛤 🛤	
Project Browser	×
<pre>whf00den.in.oracle.com (weblogic)  Projects  Customer-Screening  Customer-Screeni</pre>	^
Published Processors     Published Processors     Reference Data     Posults Books     Posults Books     Posults Tasks     Posults	~

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



#### Figure 166: External Tasks Node

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

#### Figure 167: Edit Task Window for the Accuity Watch List

Ø Edit Task		×
External Task Of Configure the ext	ernal task properties	ORACLE
Command	download-acy-edd.sh	
Working Directory Arguments	/ <edq_domain>/config/fmwconfig/edq/oedq.local.home/commandarea</edq_domain>	a

- 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.

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

### 12.9 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:

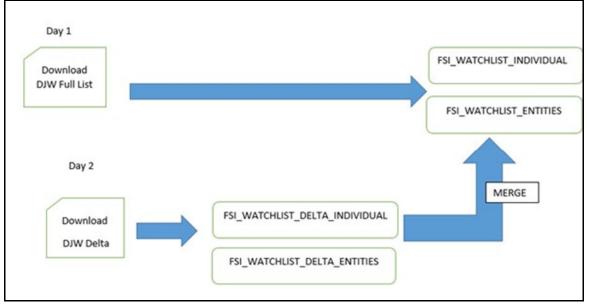


Figure 168: Flow for Delta Watch List

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.

### 12.9.1 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.

### 12.9.2 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

#### **12.9.3** 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.

#### **12.9.4** 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 listmanagement.properties file:

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

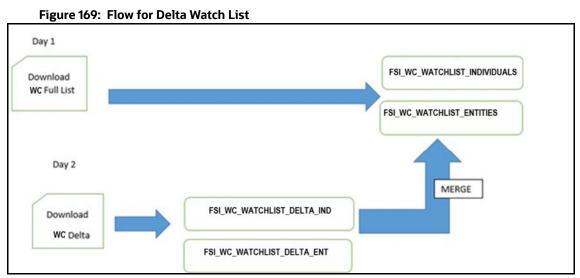
### 12.10 Delta Watch List Configurations for the World-Check Watch List

**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.

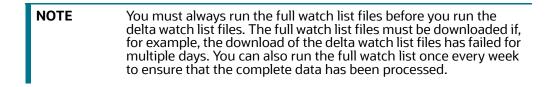
Customer Screening recommends that you always use the full watch list during the screening process. Due to the clustering strategy, which is implemented in the screening process, you must not download the delta watch list. There are certain cases in which you must download the delta watch list files, 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:



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 Merging the Delta Watch List to the Full Watch List.



### 12.10.1 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.

### 12.10.2 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)\ DB.enabled = Y
- phase. WC \ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y

### 12.10.3 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\_ENT

- 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

### 12.10.4 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 <code>watch list-management.properties</code> file:

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

### **13** 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 Scheduling the Customer Screening Run Job.

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	1.	Provide the EDQ user name and password in the cs_appln_params table.
	2.	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 170: EDQ Details

	<pre>'ficdb/bin&gt;./EDQServerInsert.sh</pre>	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:		
Encrypting 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 171: Financial Services Analytical Applications Customer Screening Home Page

A Home	<b>ORACLE</b> <sup>*</sup> Financial Services Analytical Applications Customer Screening
Navigation List	
Common tasks	
Real-Time screening	

b. Click the hamburger icon  $\equiv$  to view the Application Navigation List.

#### Figure 172: Application Navigation List

A Home		=	ORACLE <sup>®</sup> 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	173: Ru	ın Pa	age in Copy Mod	le			
Run							6
Run Definition (Copy	Mode)						Next Close
~Linked to							
	Folder	TFLSEG	MENT III				
✓Master Informat	ion 💣 Propertie	25					
	ID	<< New	>>	V	Version << N	A >>	
	Code	CS_Data	_Load_Event_GenerationD		Active << N	4 >>	
	Name	CS Data	Load And Event Generation		Type Base	Run	~
				Route Execution to Precedence No			
~List	📓 Selector	<b>-</b> ℤ м	love 🔲 Show Details				
Location	Infodor	m	Code	Name	Туре	Simulation Job	Use Descendants
🔲 Job	CSINFC	DOM	CS_E2E_Start_Batch	CS_End_To_End_Start_Batch	Proce	ss	
🗌 Job	CSINFO	DOM	TruncateCSTables	Truncate CS Tables	Proce	ss	

- 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.



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 174: New Run Name in Run Page

	Code			Version	0	
	Name			Active	Yes	~
	Folder	~		Туре		~
+ Nev	View 🕼 Edit 😨 Copy	🖹 Remove 👃 Authorize 🦳 Export	Fire Run			
ž (	Code	🔺 Name	Type	Folder	Version	Active
	CSBusinessDataLoad	Customer Screening Business Data Load	Base Run	TFLSEGMENT	0	Yes
C	CS_Data_Load_Event_Generation	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
C	CS_Data_Load_Event_GenerationD	CS Data Load And Event Generation	Base Run	TFLSEGMENT	0	Yes
C	CS_EDQ_Watchlist_Analyze	Customer Screening EDQ Watchlist Analy	e Base Run	TFLSEGMENT	0	Yes
0	CS_EDQ_Watchlist_Management	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 175: Process Page

Proc	ess								0
								Q Search	) Reset
		Code			Version	0			
		Name			Active	Yes	~		
		Folder	v						
	+ 1	New 📑 View 🕜 Edit 😭 Copy	y 💼 Remove 🤔 Authorize 🦳	Export III. Trace Definition					
2		Code	Name		Folder	Version		Active	4
		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 Expo	rt 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	
	0	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	

- 7. Follow these steps to access the **Process** page:
  - f. Login as the administrator. The **Financial Services Analytical Applications Customer Screening** home page appears.

#### Figure 176: Financial Services Analytical Applications Customer Screening Home Page

🖀 Home		ORACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening
Navigation List		
Common tasks	>	
Real-Time screening		

g. Click the hamburger icon  $\equiv$  to view the Application Navigation List.

#### Figure 177: Application Navigation List



- h. From the **Application Navigation List**, select **Common Tasks**, then select **Rule Run Framework**, and then select **Process**. The **Process page appears**.
- 8. 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.

ro	cess						?
						Q Search	り Reset
		Code	Ver	rsion	0		
		Name	Name Active		Yes	~	
		Folder	~				
	+ )	New 🌇 View 🍞 Edit 😭 Cop	y 💼 Remove 👤 Authorize 🥅 Export	E 📪	Trace Definition		
		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 All Li	ists	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

9. 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:

- 10. 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.

select \* from cs\_processing\_group

	Task	(s In ROOT [1]	
-		Object	
		F_CS_BATCH_RUN	
Parameters		×	
	"OR	ACLECS", "","ALL","STA	
		Ok Close	

Figure 179: Parameter for the CS\_E2E\_Start\_Batch Process

- d. Change the ORACLECS parameter to the applicable data origin or processing name.
- 11. 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.

#### Figure 180: Parameter for the CS\_E2E\_End\_Batch Process

	Tasks In ROOT [1]							
<u> </u>		Object						
		F_CS_BATCH_RUN						
Parameters	"OR	ACLECS ","","ALL","STA Ok Close						

- d. Change the ORACLECS parameter to the data origin or processing name.
- 12. 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>
```

#### Figure 181: Parameters for the CS\_Call\_Customer\_Screening\_den Process

	Tasks In ROOT [1]	
<b>^</b>	Object	
	CallEDQ	
Parameters	"runprofileName=customel Ok Close	

- 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: "edqServerName=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 <= @$~20 June 1972@$~"
```

NOTE	1.	It is not mandatory to provide a condition.
	2.	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@\$~".

- 13. 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.

)Not secure   whf00anu:8009/CS8	308/pr2				
iearch	٩	Sort	Ascending Descending	Ok	Close
List		<ul> <li>Trunc</li> <li>CS C</li> <li>CS Ex</li> <li>CS Ex</li> </ul>	ct ind_To_End_Start_Batch den cate CS Tables ustomer Screening Call den xternal Entity Screening Call vent Creation ind_To_End_End_Batch den		
CS Start Batch CS_End_To_End_End_Batch	•				

Figure 182: 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.

### **13.1** 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  $\equiv$  to view the Application Navigation List.

2. 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.

10111	e > Post Load Changes						
ear	ch and Filter						Q Search "O Re
	Code	EDQ			Туре	Select	Ψ
	Name	2			Record Status	ACTIVE	Ψ.
um	mary						
+	Add 📑 View 🕼 Edit 🔟 De	elete 🗋 Copy 🤱 Authorize	Make Latest 📎 Purg	e			Search
	Code	Name	Туре	Created by	Created Date	Version	Active
		C III C D O	External Library	CSSUPERVISOR	12/08/20 12:33:19	4	Yes
	CallEDQ	CallEDQ	External cibrary		12/00/20 12:00:10		105
	CallEDQ CS_Alerts	CS_Alerts	Stored Procedure	SYSDAMN	25/02/20 18:11:03	1	Yes
	CS_Alerts	CS_Alerts	Stored Procedure	SYSDAMN	25/02/20 18:11:03	1	Yes
	CS_Alerts fn_expiredRecords	CS_Alerts fn_expiredRecords	Stored Procedure Stored Procedure	SYSDAMN SYSADMN	25/02/20 18:11:03 25/06/18 00:00:00	1	Yes Yes
	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN	Stored Procedure Stored Procedure Stored Procedure	SYSDAMN SYSADMN SYSADMN	25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03	1 1 1	Yes Yes Yes
	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control	Stored Procedure Stored Procedure Stored Procedure Stored Procedure	SYSDAMN SYSADMN SYSADMN SYSDAMN	25/02/20 18:11:03 25/06/18 00:00:00 25/02/20 18:11:03 25/02/20 18:11:03	1 1 1 1	Yes Yes Yes Yes
	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History	Stored Procedure Stored Procedure Stored Procedure Stored Procedure Stored Procedure	SYSDAMN SYSADMN SYSADMN SYSDAMN SYSDAMN	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	1 1 1 1 1 1	Yes Yes Yes Yes Yes
_	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History TF_CallUpdateAdditionalMs	CS_Alerts fn_expiredRecords F_CS_BATCH_RUN Populate_Batch_Control Populate_Match_History TF_CallUpdateAdditionalMs	Stored Procedure Stored Procedure Stored Procedure Stored Procedure Stored Procedure External Library	SYSDAMN SYSADMN SYSADMN SYSDAMN SYSDAMN SYSADMN	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	1 1 1 1 1 1 1	Yes Yes Yes Yes Yes Yes

Figure 183: 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.

meter Definition			🕂 Add Row 📋 Delete Row 🕐 Hel
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 184: 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.

# **13.2** Fix for Primary Key Constraints

The Multi EDQ Screening process fails when you try to insert in the CS\_WATCHLIST table, due to an interlock problem at the database level when two or more of the EDQ try to perform an action over the same database. You will experience a unique constraint as multiple systems are trying to update the same data.

The error caused due to locking of the record is removed by a creating multiple EDQ instances and then insert data into the temporary table by running CS batch.

For example, consider five EDQ server instances. Error is caused when the five EDQ servers are loaded into the same CS\_WATCHLIST table. To overcome the scenario, five temporary tables (CS\_WATCHLIST1, CS\_WATCHLIST2, CS\_WATCHLIST3, CS\_WATCHLIST4, and CS\_WATCHLIST5) are created. Each EDQ servers are individually loaded into each watchlist table, and then the five tables are merged into the CS\_WATCHLIST table.

The EDQ application is pre-configured with following five watchlist tables:

- CS\_WATCHLIST1
- CS\_WATCHLIST2
- CS\_WATCHLIST3
- CS WATCHLIST4
- CS WATCHLIST5

If you have multiple EDQ servers, follow the subsequent steps to load the EDQ server to the watchlist table:

- 1. Log into the EDQ Application.
- 2. Click **Customer Screening** project from Project Browser. For more information on Importing the OFS Customer Screening Projects, see Oracle Financial Services Sanctions Pack Installation and Configuration Guide.
- 3. Click **Export ECM Watchlist** in the Export folder under **Customer Screening** project to open the Edit Export Definition page.

Figure 105. Export Folder	
🖬 🐂 💩   か ぐ   炎 🖓 🏙   🍱 🖾   🏛 🛱	
Project Browser	
😼 whf00den.in.oracle.com (weblogic)	
🛱 🔂 Projects	
Customer-Screening	
🐵 🍓 Data Stores	
🐵 💼 Staged Data	
Data Interfaces	
⊕- <sup>1</sup> Processes	
Published Processors	
Reference Data	
Results Books	
External Tasks	
🕀 🔂 Jobs	
Exports	
Export ECM Matches	
- 📅 Export ECM Watchlist	
📑 🕞 port Ent Batch Relationships	
Export Entity Audit	
Export Ind Batch Relationships	
😭 Export Individual Audit	
Web Services	
Notes	
⊕- 💕 OWS>CS case migration utility	v
Name Filter	Results Browser
Tasks - 1 Task 🖉 🗖	
Server: whf00den.in.oracle.com	
Customer-Screening - PART 3 - Real-time Screening 1 Instan	
whf00den     Runn     Real-time Screening     Runn	
Kurin	The serve or subject y product since or rectil to view results.

#### Figure 185: Export Folder

- 4. Select the ECM\_Watchlist data interface from the staged data table and click **Next** to open the data store table. ECM Watchlist is the staged data that you will export.
- 5. Select the ECM Watchlist Output as data store from the Data Store table and click **Next** to open the Table Selection screen. ECM Watchlist Output is the data store which will be used as the target for the export.
- 6. In the Table Selection table by default CS\_Watchlist table is selected. Instead of CS\_Watchlist, select CS\_Watchlist1 and click Next to open Column Mapping table.

			7	rou nave no issues
			Tool Palette	
Data Stores  Data Stores  Data Stores  Data Interfaces  Processes  Processes Proceses Processes Processes P	C Edit Export Definition  Table Selection Which table do you want to export to?  CS_RTSCR_REQUEST_MOT_LOG CS_RTSCR_REQUEST_MOT_LOG CS_RTSCR_REQUEST_MOT_LOG CS_RTSCR_REQUEST_MOT_LOG CS_RTSCR_REQUEST_MOT_LOG CS_TT_PUT_PARAMS CS_UT_CALIST CS_WATCALIST CS_WATCALIST CS_WATCALISTS	X ORACLE		
⊕ 💕 OWS>CS case migration utility 15 Jul 2022	CS_WATCHLIST_BKP	¥		
Transaction_Screening 8.1.2.3.0	Search		Overview	C 🗆 🕻
Transaction_Screening Matched	Create new table?			
Name Filter	New Table Name			
Server: whf00den.in.orade.com				
Customer-Screening - PART 3 - Real-time Screening     whf00den	1 In	< Back Next > Cancel		
Real-time Screening	Running	No data to display, please click an item to view results.		

Figure 186: Loading EDQ Server to CS\_Watchlist1

7. Click **Next** in Column Mapping table and click Finish the process in Export Name screen. The EDQ server will be loaded to the CS\_Watchlist1.

The same procedure steps must be repeated for the remaining EDQ servers if you have multiple EDQ servers.

Merging the table is a pre-configured procedure. The multiple watchlist table will auto populate to  ${\tt CS\_Watchlist}$  .

# 14 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.

#### Figure 187: Director Menu in EDQ

					Log In
	ise Data Quality			Launchpad	Web Services 👻
Launchpad					
					A.
	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 188: Project Browser Pane

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	
🗈 📲 Staged Data	
🖶 💵 Data Interfaces	
🗄 🕂 😋 Processes	
🖶 🍄 Published Processors	
🕀 📲 Reference Data	
🖅 🐨 🗊 External Tasks	
😥 🕂 🔂 Jobs	
Exports	
😥 🚷 Web Services	~

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

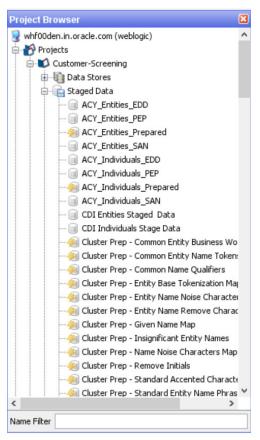


Figure 189: FCDM Customer Data Node

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

#### Figure 190: Setup Snapshot Window

Setup Snapshot	>
Data Store Which Data Store should be used as the source for this snapshot?	ORACLE
📑 FCDM Batch Data	^
😝 Filter - Extracted Origins-JMP	
😝 Hints - GB Gender from Forename-JMP	
😝 Hints - GB Gender from Title-JMP	
HMT-Entities-JMP	
E 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	
Hatch - Individual Safe Countries ISO Codes-JMP	
I Match - Organisation Prefixes-JMP	¥
Search	
	New Data Store
	Back Next > Cancel

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

#### Figure 191: Select Table or View

Setup Snapshot	×
Table Selection What data do you want to snapshot?	ORACLE
● Select Table or View ○ SQL ○ Type Table Name	
😟 🔛 CS_ALERT_MATCHES\$	^
CS_APPLN_PARAMS	
CS_BATCH_DATAORIGIN	
€ CS_EXTERNAL	
CS_MATCHES	
CS_MATCHES_HIST	
CS_RTSCR_ALERT	
CS_RTSCR_ALERT_MATCHES	~
Search	
< Back	lext > Cancel

- 6. Click **Next** until you see the **Finish** button.
- 7. Click **Finish** to view a snapshot of the selected table in the **Results Browser**.

# **15** 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 Change Token Validity.

# 15.1 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 192: Administration Page

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

E- 407	<b>C C</b>	<b>C</b>		<b>T</b>
Figure 193:	Configure	Setup	Access	loken

		>
Configure Setup Access Token		
Client Setup Name		③ Reset ○, Search
A Configure Setup Access Token		
Client Setup Name	Client Setup Access Token	
	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**.

A	
Configure Setup Access Token	
	Generate Token Close
* Client Setup Name	
Setup Access Token Details	

#### Figure 194: Generate Token Button

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

1		
Configure Setup Access Token		
	Generate Token CI	ose
* Client Setup Name Key_Rest_02		
Setup Access Token Details		
STP_ACC_NM=KEY_REST_02 STP_ENC_STR=S0VZX1JFU1RfMDI6MGVjNTRhNmEtODY2ZS00OWY2LWI0NWItODU3NGM2NTJhM2Uw		

#### Figure 195: Setup Access Token Details

The **STP\_ACC\_NM** field displays the username. The **STP\_ENC\_STR** field displays the password.

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

# 15.2 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 196: Administration Page

×	<b>Aa</b>	8	<b>I</b>	
Configure Database Server Configure Application Server Configure Web Server Configure OLAP Details Configure System Configuration	Identity Management Framework to manage fine grained user authentication and authorization security using access management constructs like passwords, user roles and functions	Database Details Configure OFSAA Database Server	Manage OFSAA Product Licenses Enable additional products across Application Packs	Create New Application Create New Application
Configure Email Configuration Configure Setup Access Token		•		
	Information	Domain Processing	Modelling	

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

#### Figure 197: Configuration window with the API token validity in seconds field shown

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)		
Link based token validity in minutes		
API token validity in seconds		
Enable batch operation notification		
Enable batch owner notification only		
Security Question Enable		

4. Click Save.

### 15.3 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 Postman Docs.
	You can also use any other API client, such as cURL. For more information, see <b>REST APIs for Oracle Database</b> .

- 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:

##APP\_URL##/rest-api/auth/v1/token

Figure 198: Request

Untitled F	Untitled Request					JILD	8
GET	v	http://[servername]:[portnumber]/[context]/v1/token			Send	Sav	ve 💌
Params Query Par	•	ization   Headers (7) Body Pre-request	Script Tests Settings			Cooki	es Code
KEY			VALUE	DESCRIPTION		••• [	Bulk Edit
Key			Value	Description			
Response	2						Ŧ

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

#### Figure 199: Authorization

Untitled Request			BUILD	0	
GET • http://[servername]:[portnumber]/[co	ontext]/v1/token		Send 🔻	Save	Ŧ
Params Authorization • Headers (7) Body	Pre-request Script Te	ests Settings		Cookies	Code
TYPE Basic Auth		rameters hold sensitive data. To keep this data secure while working in a collaborative environment rn more about variables	t, we recomme	end	×
The authorization header will be automatically generated when you send the request. Learn more about authorization	Username	Username			
	Password	Password			
		Show Password			
Response					
1					

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\_ACC\_TKN** attribute.

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

#### Figure 200: Response



### **15.4** Send Requests

1. 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 Postman Docs.
•	You can also use any other API client, such as cURL. For more information, see <b>REST APIs for Oracle Database</b> .

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

```
http://[servername]:[portnumber]/[context]/rest-api/RTScreening/
RTScreeningRestService/service/IndividualScreen/EntityScreen
```

#### Figure 201: Request

Untitled Request						BUILD
РО	POST • http://[servername]:[portnumber]/[context]/restapi/RTScreening/RTScreeningRestService/IndividualScreen/EntityScreen					
Params Authorization  Headers (8) Body Pre-request Script Tests Settings Query Params						
	KEY		VALUE	DESCRIPTION		
	Кеу		Value	Description		
Door	00000					
Resp	oonse					

3. In the Authorization menu, select the **TYPE** as **Bearer Token**.

#### Figure 202: Authorization

{

Untitled Request			BUILD				
POST • http://[servername]:[portnumber]/	[context]/restapi/RTScreening/RTScreenir	ngRestService/IndividualScreen/EntityScreen	end 👻				
Params Authorization • Headers (7) Body	y Pre-request Script Tests S	Settings					
TYPE Bearer Token 🔹	Heads up! These parameters h variables. Learn more about v	hold sensitive data. To keep this data secure while working in a collaborative environment, variables	we recomme				
The authorization header will be automatically generated when you send the request. Learn more about authorization	Token	Token					
Response							
(97) ·							

- 4. Paste the token generated in the **Token** field.
- 5. Click **Send**. The JSON is displayed in the **Response** field. A sample JSON is shown:

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

# 16 Appendix G: Error Logs

The following are the types of failures you may encounter:

- EDQ Failure
- Data Model Failure
- Batch Failure
- DM Utility Failure

# 16.1 EDQ Failure

If there is an EDQ failure, follow these steps.

1. Go to the following path, where the EDQ is installed.

{domain\_path}/servers/edq\_server1/logs/edq/logs

- 2. Open the file name (main0.log).
- 3. Rectify the errors that you find in the logs.

# 16.2 Data Model Failure

If there is a data model failure, follow these steps.

1. Go to the following path.

{ftpshare\_path}/{infodom}/logs.

2. Check for the latest file and rectify the error according or raise an SR to support.

### 16.3 Batch Failure

If there is batch failure, follow these steps.

1. Go to the following path.

{ftpshare\_path}/logs/{BatchDate}/{infodom}/TRANSFORM DATA.

2. Search for the log file with task ID. Rectify the relevant error.

# 16.4 DM Utility Failure

If there is DM Utility failure, follow these steps.

- 1. Log in to Atomic Schema and search for the table FCC\_DM\_AUDIT.
- 2. This table has all the logs for the current running batch.
- 3. Rectify the relevant error.

### 17 Appendix H: Out Of Box process to move Alerts from CS\_ALERTS of one DB instance to FCC\_ZCS\_ALERTS of another DB instance

The <code>Oracle\_CS\_Zipper\_Processing</code> run, present under the Run screen of Rule Run Framework, handles data movement from the <code>CS\_ALERTS</code> to <code>FCC\_ZCS\_ALERTS</code>. It is configured to Out of Box (OOB) to move this data on the same instance.

The following are the steps to move data from one DB instance to another:



The following configurations must be done on the instance where the Zipper UI is present.

The Oracle\_CS\_Zipper\_Processing run intern calls Loading\_Oracle\_CS\_Alerts process, which is present under the Process screen of Rule Run Framework. This process is responsible for moving the CS\_ALERTS data from the source system to the destination system.

- 1. Create a DB link in the Zipper UI database by giving the DB details of source system database details where CS ALERTS are present.
- 2. Login with CS Admin in the Zipper UI instance and navigate to Common Tasks > Rule Run Framework>Process.
- 3. Select the check box for Loading\_Oracle\_CS\_Alerts process name and click on Edit.
- 4. In the process details screen, you will see that in the parameters column, SOURCENAME and LOADTYPE is value is empty by default as shown in the below screenshot. Make sure to update these parameters with the following values.

**SOURCE NAME**: Enter the name of the DB link which is created in Step 1.

LOADTYPE: Enter the value as DBLINK.

**Example:**"SOURCENAME=SOURCE1\_DB\_LINK\_NAME","DATAMOVEMENTCODE=FCC\_ZCS\_CUST","L OADTYPE=DBLINK","DATAMOVEMENTOPERATION=IS".

#### Figure 203: Master Information

~ Master Information Propertie	15						
ID	1624235101298			Vers	ion 0		
Code	Loading_Oracle_C	S_Alerts		Act	ive Yes		
Name	Loading_Oracle_C	5_Alerts			pe Process Tree	v	
Executable ∽∀Subprocess <mark>⊖Component</mark> dia		ove 🔒 Remove 🗐 Show		Route Execution to H Precedence Node	oh 🗆		
= Process			Precedence	Туре	Parameter		Executable
<ul> <li>FCCDataMovement</li> <li>FCCDataMovement</li> </ul>	•	FCCDataMovement		Data Transformation	"SOURCENAME	","DATAMOVEMENTCODE=FCC	
<ul> <li>FCCDataMovement</li> <li>FCCDataMovement</li> </ul>	0	FCCDataMovement	FCCDataMovement	Data Transformation	"SOURCENAME	,"DATAMOVEMENTCODE=FCC	
				Data	"SOURCENAME	"."DATAMOVEMENTCODE=FCC	

- 5. Click the **Component** button to edit the parameters.
- 6. In the **Component Selector** popup, on the **TASK** in the **ROOT** section on the right side, against each FCCDataMovement, click on the down arrow button to edit the parameters as shown in below screenshot.

Search		Sort					
	Q		Aso	ending	Descending		
List		Task	s In ROO	T [15]			
	<b>^</b>	Object					
Component		FCCDataMovement			1		
+ Y Data Extraction Rules			FCCDataN	lovement			
		0	CCD at at	lounnant		23	
Load Data Rules	Parameters				×	19	
🕀 💁		"SOL	JRCENAME	=" "DATA!	M	団	
File Loading Rules							
Insertion Rules			Ok	Close	e	1	
😑 🗃						19	
Transformation Rules						团	

- 7. Give the value for SOURCENAME and LOADTYPE as suggested in Step d and click **OK** to save.
- 8. Update the above values mentioned in step 7 to all the FCCDataMovement where SOURCENAME and LOADTYPE are empty.
- Now, if you create a batch out Oracle\_CS\_Zipper\_Processing run in ZIPPER UI Instance and execute it, it will pull the CS\_ALERTS from the source system and create a zipper alert Zipper UI instance.

The following are the steps to pull data from multiple source systems in the zipper UI instance:

- a. Enter a DB details of source system database where CS\_ALERTS are present to create a DB link in the Zipper UI database for each source system.
- b. Login as a CS Admin in the Zipper UI instance and navigate to Common Tasks>Rule Run Framework>Process.
- c. Select the check box for Loading\_Oracle\_CS\_Alerts process name and click **Copy** to create a copy. Create the copies for all source systems.
- d. Now, select Individual Process and click **Edit** and follow the above steps from 4 to 7 and give the respective **SOURCENAME** value and **LOADTYPE** as DBLINK.
- e. Navigate to Common Tasks>Rule Run Framework>Run.
- f. Select the check box for <code>Oracle\_CS\_Zipper\_Processing</code> run name and click Copy to create a copy.
- g. In the RUN details, enter a Folder name and give a different name for Code and Name fields.
- h. Click on the **Selector** button and then select **Job**.
- i. From the tasks section on the right side, remove the Loading\_Oracle\_CS\_Alerts, map the respective process created for a particular source system, and click **OK**.
- j. Verify the **Run Details** screen to see processes are mapped correctly and proceed to finish the steps to complete copying of process.
- k. Create a different run for each source system by following the above steps from Step vi to x.
- 1. Now, if you create a batch out individual source system runs created in ZIPPER UI Instance and execute it, it will pull the CS\_ALERTS from the respective source system and create zipper alert in Zipper UI instance.

# **18** Appendix I: API to create the Alerts in the Zipper Alerts table (FCC\_ZCS\_ALERTS)

Multiple CS Instances are used for an ad-hoc Screening of Customer and External Entity from the Realtime Screening UI. Following are the steps to configure these systems to create zipper alerts in separate Zipper UI Instances:

- 1. Navigate to ##FIC\_HOME##/ficdb/bin folder of CS instance, used for ad-hoc screening of Customer and External Entity from Real-time Screening UI.
- 2. Execute EDQInsert.sh bypassing infodom along with it.

Example:./EDQInsert.sh TFLTINFO

- 3. Initially, enter the EDQ server details.
- If you want to use the Enterprise Case Management Application (ECM) or Customer Screening Alert Management (CSAM) as an L1 investigation for Real-Time Screening, enter CSAM.
- 5. Enter the URL of the Zipper UI instance used for Zipper alerts, and if the **Customer Screening Alert Management (CSAM)** application is in the same installation, enter **N**.
- 6. Enter the user name and password to access the Zipper UI instance URL.
- 7. Now, if you perform an ad-hoc screening of Customer and External Entity from Real-time Screening UI from CS instance, it will create zipper alerts in Zipper UI instance.
- 8. Follow the above steps 1 to 7 in all the multiple CS instances used for ad-hoc screening of Customer and External entity from Real-time Screening UI.

**NOTE** The source systems are configured with the **Rest URL** of the CS Instance used for ad-hoc screening of Customer and External Entity from the Real-time Screening UI. In this case, it will still use the same configuration done in the above steps 1 to 7 and creates zipper alerts in the Zipper UI instance.

# **19** Appendix J: PMF Configurations for Pool of Analyst

To configure the PMF Pool of Analyst configuration to set the new statuses, follow these steps:

- 1. Perform the following queries and introduce new status in the following tables.
  - Select t.\*, rowid from AAI\_WF\_STATUS\_B t where t.v\_app\_package\_id in ('OFS\_CS\_RT');
  - Select t.\*, rowid from AAI\_WF\_STATUS\_TL t where t.v\_app\_package\_id in ('OFS\_CS\_RT');
  - Create unique v\_status\_id in AAI\_WF\_STATUS\_B table and map the same in the AAI\_W-F\_STATUS\_TL table and fill all the other columns data. This data will show in the PMF screen while mapping new status.

#### Figure 205: Example 1

		272/conf × III AAI_WF_STATUS_B ×	
> 📃 🕲 🗸 🎽	8 🗟   🔯 🛃   🏯		🔂 ZIP_conf 🗸
orksheet Que	ery Builder		
select t	t.*, rowid from AA	_WF_STATUS_B t where t.v_app_package_id in ('OFS_CS_RT ');	
Script Output	Query Result ×		
-	SQL   All Rows Fetched:	in 0.05 accords	
	US_ID 0 V_APP_PACKAG		
1 301	OFS_CS_RT	AAPSIeABHAAAHjzABG	
2 302	OFS_CS_RT	AAPSIeABHAAAHjzABH	
3 303	OFS_CS_RT	AAPSIeABHAAAHjzABI	
4 307	OFS_CS_RT	AAPSIeABHAAAHjzABJ	
5 309	OFS CS RT	AAPSIeABHAAAHj2AAB	

3 👻	) 🗟 I 🖗 🛃 I 🏯 🥜 🗔 🗛 I					🗟 ZIP_conf
ksheet Que	ery Builder					
select t	*, rowid from AAI_WF_STATUS_B t where	t.v_app_package_id in ('OFS_CS_RI	');			
select t	*,rowid from AAI_WF_STATUS_TL t where	t w app package id in (!OFS CS PT	1).			
SCICCU	, towid from ARI_WI_SIRIOS_IS & Where	upp_puckage_iu in ( 015_05_ki				
cript Output X	Query Result ×					
	Query Result ×					
4 🚯 🙀	SQL   All Rows Fetched: 5 in 0.055 seconds	∲ v_status_desc	V_LOCALE_CODE	V_APP_PACKAGE_ID	ROWID	
4 🚯 🙀	SQL   All Rows Fetched: 5 in 0.055 seconds US_ID 🚯 V_STATUS_NAME	<u> </u>	V_LOCALE_CODE en_US	1	ROWID	
🛃 ঝ 😹	SQL   All Rows Fetched: 5 in 0.055 seconds US_ID V_STATUS_NAME Investigation	Investigation	en_US	OFS_CS_RT	*	
■ № v_station 1 301	SQL   AURows Fetched: 5 in 0.055 seconds US_ID () V_STATUS_NAME Investigation Pending Review	Investigation Pending Review	en_US en_US	OFS_CS_RT OFS_CS_RT	AAPSD/ABHAAAEqLABZ	
V_STATI 1 301 2 302	SQL   AURows Fetched: 5 in 0.055 seconds US_ID () V_STATUS_NAME Investigation Pending Review	Investigation Pending Review Closed - False Positive	en_US en_US en_US	OFS_CS_RT OFS_CS_RT OFS_CS_RT	AAPSD/ABHAAAEqLABZ AAPSD/ABHAAAEqLABa	

- 2. Perform the following query and introduce new Outcome in both the following tables.
  - Select t.\*, rowid from AAI WF OUTCOME B t;
  - Select t.\*, rowid from AAI\_WF\_OUTCOME\_TL t;
  - Create unique outcome id in AAI\_WF\_OUTCOME\_B table and map the same in AAI\_WF\_OUT-COME\_TL table and provide other columns data.

#### Figure 206: Example 2

	Select t	.*, rowid from AAI_WF_OU
	-	
	Query Result ×	
	• 📇 🚯 🛃 so	All Rows Fetched: 19 in 0.05
É		
	- <u>₩v_</u> 001C0	ME_ID ROWID
	7 12	AAPSIqABHAAAJ4DAAM
	8 2	AAPSIqABHAAAJ4DAAN
	9 21	AAPSIqABHAAAJ4DAAA
	10 22	AAPSIqABHAAAJ4DAAB
	11 23	AAPSIgABHAAAJ4DAAC
	12 24	AAPSIqABHAAAJ4DAAD
	13 25	AAPSIqABHAAAJ4DAAE
	14 26	AAPSIqABHAAAJ4DAAF
	15 3	AAPSIqABHAAAJ4DAAO
	16 309	AAPSIqABHAAAJ4GAAB
	17 4	AAPSIqABHAAAJ4DAAP
	18 5	AAPSIqABHAAAJ4DAAQ
	19 96	AAPSIqABHAAAJ4GAAA

Se	elect t.*, r	owid from AAI_WF_OUTC	COME_TL t;		
					1
Query R					
/ 📇 🔇		Rows Fetched: 19 in 0.05 sec	1		
<u>\$</u>		V_OUTCOME_NAME	V_OUTCOME_DESC	V_LOCALE_CODE	ROWID
7 11	13	False Positive	False Positive	_	AAPSVEAA1AAAQizAAG
8 11	12	Confirmed Match	Confirmed Match	en_US	AAPSVEAAlAAAQizAAH
9 11	11	Auto Release	Auto Release	en_US	AAPSVEAA1AAAQizAAI
10 1		Hold	Hold	en_US	AAPSVEAAlAAAQizAAJ
11 2		Investigation	Investigation	en_US	AAPSVEAA1AAAQizAAK
12 3		Escalate	Escalate	en_US	AAPSVEAAlAAAQizAAL
13 4		Block	Block	en_US	AAPSVEAAlAAAQizAAM
14 5		Release	Release	en_US	AAPSVEAAlAAAQizAAN
15 12	2	Reject	Reject	en_US	AAPSVEAA1AAAQizAAO
16 10	0	Recommend To Block	Recommend To Block	en_US	AAPSVEAAlAAAQizAAP
17 11	1	Recommend To Release	Recommend To Release	en_US	AAPSVEAA1AAAQizAAQ
18 96	6	Pending Review	Pending Review	en_US	AAPSVEAA1AAAQi2AAA
19 30	09	Pending Test Review	Pending Test Review	en_US	AAPSVEAA1AAAQi2AAB

## 3. In the atomic schema, do the configuration for the following tables:

Select t.\*, rowid from FCC\_ZCS\_STATUS\_dim t;

Select V\_STATUS\_CODE, V\_STATUS\_CODE from fcc\_zcs\_status\_dim;

		7: Example 3		
] qt_tflt2.sql	l 💉 🖸 Welcome Page 🛛	< 🔠 ZIP_conf × 🛄 FCC_ZCS_STATUS_DIM × 🜡	300 ZIP_TFLT ×	
> 📃 🝓 -	- 🈹 🕄 I 🔯 🕵 I .	🏦 🥔 🗔 🚑 I		🔀 ZIP_TFLT
Vorksheet	Query Builder			
Sele		FCC_ZCS_STATUS_dim t;		
Query Result	ult ×			
	SQL   All Rows Fetch	red: 9 in 0.05 seconds		
			F_CLOSED_STATUS_FLAG	A ROWID
1	302	302 Pending Review	(null)	AAPS78AAMAAATFbAAA
2	303			AAPS78AAMAAATFbAAB
3	304	304 True Match Monitored		AAPS78AAMAAATFbAAC
4	305	305 True Match Not Monitored		AAPS78AAMAAATFbAAD
5	306			AAPS78AAMAAATFbAAE
6	307	307 Closed - True Match Exit Required		AAPS78AAMAAATFbAAF
7	13	13 New	(null)	AAPS78AAMAAATFbAAG
8	301	301 Investigation		AAPS78AAMAAATFbAAH
9	309		Y	AAPS78AAMAAATFdAAA
9	309	309 Pending Test Review	Y	AAPS78AAMAAATFdAAA
Sele	ct V STATUS CODE, V	V_STATUS_CODE from fcc_zcs_status_dim;		
	/			
<b>▼</b>				
Query Resu	ult ×			
e 🗐 🚇	SQL   All Rows Fetch	ned: 9 in 0.054 seconds		
	STATUS_CODE & V_STAT			
1	302	302		
2	302	302		
3	303	303		
	304	305		
4	303	303		
4	306	306		
5	306	306		
5	307	307		
5 6 7	307 13	307 13		
5	307	307		

#### Figure 207: Example 3

 In the following table do the security attribute mapping for the new workflow: Select t.\*, rowid from FCC\_ZCS\_SECURITY\_ATTR\_GRP\_MAP t;

In the following table, add the two entries:

Select \* from cs\_appln\_params;

For the entry <code>ZCS\_ENBL\_ANLYST\_POOL</code>, the value must be Y and for the entry <code>POA CHECK STS CODES</code>, add the status code of the newly created status.

5. Create Human task in PMF screen that you want to introduce in-between existing status or you want to introduce new status or create separate status.

Activity

-----

Activity Name\*

Activity Description

Status\* - New Status Name.

Outcomes - Where has to go (Destination Status).

Example: If we have to introduce a new status between Investigation to Pending Review, first add the new activity as shown in the following Figures (Pending Test Review).

Figure 20	08: Activ	ity Statuses
-----------	-----------	--------------

Oracle Financial Services Analytical Applications - Google Chrome – 🗆 🗙					
▲ Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp	ର୍				
ORACLE' Financial Services Analytical Applications Customer Screening	🌐 🐁 US-English 🔻 CSADMN 🔻 🖧 💟				
Process Modeller 2 Process Flow Zipper Customer Screening SAN PRB 🖉	Pending Test Review				
<ul> <li>Correl - Tal.</li> <li>Correl - Tal.</li> <li>Correl - Tal.</li> <li>Correl - Tal.</li> <li>Perting Rev.</li> <li>Perting Rev.</li> <li>Perting Rev.</li> </ul>	Activity Name Pending Test Review Activity Desc Pending Test Review Activity Type MANUAL Status Cutcomes				
	Convisiont © 1993, 2021, Oracle and/or its affiliates. All rights reserved				

Transitions

-----

Add ->

Transition Name - Unique Name for the particular Transition.

Connected To – Destination status.

Decision Rule - Map to decision rule for particular status.

Order - 1

Stroke – Default.

**Example**: First Transition between **Investigation** to **Pending Test Review** the next one between **Pending Test Review** and **Pending Review**.

Oracle Financial Services Analytical Applications - Google Chrome	- 🗆 X
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ORACLE' Financial Services Analytical Applications Customer Screening	🜐 👗 US-English 🔻 CSADMN 🔻 🔏 🔯
Process Modeller > Process How Zipper Customer Screening SAN PRB	Edit Transition Job_1622121272870_JOB_16469118750280
	Transition Name Investigation to Pending Test Review
•	Connected To Pending Test Review
<b>0</b>	Stroke
	Order 1
- (4- Job 1621212	Decision Rule Rule_Investigation_to_Pending Test Review
*	
(invertigatio	
Pending Revi.	
Pending Test.	Ø

## Figure 209: Edit Transaction – Pending Test Review

## Figure 210: Edit Transaction – Pending Review

A Not secure wh00palinorade.com:28229/ZIPEE/main/home.jpp     CRACLE® Inhancial Services Analytical Applications Customer Screening     Edit Transition JOB_16469118750280_Job_1622446950311     Transition Modeline     Produces Mindeline     Produces Mindeline     Edit Transition JOB_16469118750280_Job_1622446950311     Transition Mame   Pending Review   Pending Review   Pending Review   Stroke   Normal     Context To   Pending Review_to_Pending_Review     Crider   1     Decision Rule   Rule_Test_Pending_Review_to_Pending_Review     Crider     1     Decison Rule     Rule_Test_Pending_Review_to_Pending_Review     Crider     1     Decison Rule     Rule_Test_Pending_Review_to_Pending_Review     Comment Stroke     Normal     Comment Stroke     Normal     Comment Stroke     Normal     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review     Pending Review_to_Pending_Review </th <th>Oracle Financial Services Analytical Applications - Google Chrome</th> <th>– 🗆 X</th>	Oracle Financial Services Analytical Applications - Google Chrome	– 🗆 X
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Pending Test Review to Pending Review   Connected To   Pending Review   Stroke   Normal   Order   1   Decision Rule   Rule_Test_Pending_Review_to_Pending_Review		Edit Transition JOB_16469118750280_Job_1622446950311
Pending Test	<ul> <li>■</li> <li>●</li> <li>●</li></ul>	Pending Test Review to Pending Review Connected To Pending Review Stroke Normal Order 1 Decision Rule O
		Ø

In Transition Decision Rule Map the specified rule for the current status. Or create as per business requirement.

**Example**: For the decision rules, add the following 2 decision rules.

		- 🗆 🗙
Oracle Financial Services Analytical Applications - Google Chrome  Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp		Q
ORACLE <sup>*</sup> Financial Services Analytical Applications Customer Screening	🜐 🔥 US-English 🔻 CSAD	MN 🔻 🕺 🖸
Process Modeller > Process Flow Zipper Customer Screening SAN PRB	Application Rule	
	Add Application Rule	
	Add ⑦ Application Rule Type	
	Attribute Expressions	
	Name Rule_Investigation_to_Test_Pending_Review	
- (47 Job 16221213	Rule Type Decision Rule	•
	Execution Type	•
	Attribute Expressions	•
	Attribute CS_STATUS	
	value	
Pending Test		
	Copyright © 1993, 2021, Oracle and/or its affiliate	s. All rights reserved.
Oracle Financial Services Analytical Applications - Google Chrome		- 🗆 ×
		- 🗆 X
	🖽 🐁 US-English 💌 CSA	
Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp	E US-English VCSA	Q
Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp      ORACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening Process Modeller      Process Flow     Typer Oustomer Screening SAN PRE	Application Rule	Q ADMN V & & C
Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp		Q Admn V & E
Not secure whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp CRACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening Process Modeller 2 Process Row Zipper Customer Screening SAM PRB	Application Rule Attribute CS_ROLE_CODE CS_ACTION_CODE Value	Q ADMN V & & C
Not secure   whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp	Application Rule       Attribute       CS_ROLE_CODE	Q ADMN V & & C
Not secure whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp  CRACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening  Process Modeller 2 Process Row  Toper Customer Screening SAN PRB	Application Rule          Attribute         CS_ROLE_CODE         CS_ACTION_CODE         Value         PENDING_TEST_REVIEW         X	Q ADMN V & & C
	Application Rule Attribute CS_ROLE_CODE CS_ACTION_CODE Value PENDING_TEST_REVIEW	Q ADMN V & & C
	Application Rule          Attricore         CS_ROLE_CODE         CS_ACTION_CODE         Value         PENDING_TEST_REVIEW         X         CS_STATUS	Q ADMN V & & C
	Application Rule       Attribute       CS_ROLE_CODE       CS_ACTION_CODE       Value       PENDING_TEST_REVIEW       X	Q ADMN V & & C
CRACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening  Compare Customer Screening SAN PRB  Compare Customer Screening SAN PRB Compare Cus	Application Rule ANTROVE CS_ROLE_CODE CS_ACTION_CODE Value PENDING_TEST_REVIEW X CS_STATUS Value 301 X  ZP_POOL_ANALYST_FL Value Y X	Q ADMN V & & C
A Not secure whf00pal.in.oracle.com:28229/ZIPPER/main/home.jsp CRACLE <sup>C</sup> Financial Services Analytical Applications Customer Screening Process Modeller - Process Flow Zapper Customer Screening SAM PRB Cores Interface Core (1,1,2,2,3,4,4,4,4,4,4,4,4,4,4,4,4,4,4,4,4,4	Application Rule          Attribute         CS_ROLE_CODE         CS_ACTION_CODE         Value         PENDING_TEST_REVIEW         CS_STATUS         Value         2P_POOL_ANALYST_FL	Q ADMN V & & C
Not secure whf00pal.in.oracle.com/28229/ZIPPER/main/home.jsp CRACLE <sup>®</sup> Financial Services Analytical Applications Customer Screening Process Modeller 2 Process Rive Zipper Customer Screening SAM PRB Image: Cust	Application Rule          AMPOURE         CS_ROLE_CODE         CS_ACTION_CODE         Value         PENDING_TEST_REVIEW         CS_STATUS         Value         301 ×         ZP_POOL_ANALYST_FL         Value         Y ×         CS_ROLE_CODE	Q ADMN V & & C

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Ø

Application Rule				
М	Pending Test Review to Pending Review			
	Name Pending Test Review to Pending Review			
	Rule Type Decision Rule			
	Execution Type Attribute Expressions			
	Attribute ZP_POA_LOGGED_USER_ACTED_FIRST	Ŧ		
	CS_ROLE_CODE			
	CS_STATUS			
	ZP_LOGGED_USER_ACTED			
	ZP_POOL_ANALYST_FL			
	CS_BUSINESS_DOMAIN ZP_POA_LOGGED_USER_ACTED_FIRST			
		<b>S</b>		

Figure 212: Rule Details – Decision Rule 2

Application Rule	
Name Pending Test Review to Pending Review	
Rule Type Decision Rule	
Execution Type Attribute Expressions	~
Attribute CS_ACTION_CODE	▼ +
ZP_POOL_ANALYST_FL	Ŵ
CS_ROLE_CODE	逊
CS_STATUS value 309 ×	觉
ZP_POA_LOGGED_USER_ACTE	觉
CS_ACTION_CODE	<u>ل</u>

Edit the existing decision rule, by adding the  ${\tt ZP\_POOL\_ANALYST\_FL}$  .

# **19.1** List of Attributes Passed to Workflow

Table 14 provides the list of Attributes passed to workflow:

## Table 14: Attributes Passed to Workflow

Attributes	Description
CS_ROLE_CODE	Logged in User.
CS_STATUS	Status code.
TF_ALERT TYPE	Alert type of the message (1 or 2).

## Table 14: Attributes Passed to Workflow

Attributes	Description
ZP_POOL_ANALYST_FL	Allowed values are Y/N based on the CS_appln_params Configuration.
ZP_POA_LOGGED_USER_ACTE D_FIRST	If the Logged in User is the user who performed the first action on the POA status, then the value of ZP_POA_LOGGED_USER_ACTED_FIR ST is Y else it's N.

# **19.2** Attribute to Configure the Auto Refresh in Queue Management

Table 15 provides the list of Attribute to configure the Auto Refresh in Queue Management:

## Table 15: Q\_AUTO\_REFRESH\_TIME Attribute

Attributes	Description
Q_AUTO_REFRESH_TIME	Provide the time in mille second for the attribute in CS_APPLN_PARAMS_table. By default it's $25000$ i.e $25$ seconds but the value is editable.

# 20 Appendix K: Invoking the PMF Workflow from backend

This appendix describes invoking the Process Modeller Framework (PMF) workflow from the backend for the alert.

Table1 provides the PMF workflow invoking parameters.

Table 1: PMF Workflow Invoking Parameters

Parameter Name	Parameter Description			
Object ID	This represents the unique object ID. For Sanctions, the object ID can be alert ID or Good Guy Whitelist ID.			
Object Type	This represents the object type for the object ID. For Sanctions, the object type will be <b>301</b> for alert and <b>302</b> for Good Guy Whitelist.			
Infodom	This represents the name of the infodom in which Sanctions are installed.This represents the name of the segment. For Sanctions, it will be TFLSEGMENT.			
Segment				
User ID	This represents the User ID that is triggering the workflow. Pass the value as <b>SYSTEM</b> .			
Locale	This represents the locale. Pass the value as <b>en_US</b> .			
Application Params	This represents the list of workflow data fields with their respective value.			
Security Params	This represents the list of workflow security data fields with their respec- tive value.			

To trigger the workflow for Sanctions Alerts, follow the below code snippet.

DECLARE

```
lv_infodom varchar2(4000);
lv_segment varchar2(4000);
TYPE alert_record_ids IS TABLE OF fsi_rt_alerts.n_grp_msg_id%TYPE;
l_alert_record_ids alert_record_ids;
appParams array_varchar := array_varchar();
secMap array_varchar := array_varchar();
```

BEGIN

```
appParams.extend();
appParams(1) := 'TF_ACTION=MANUAL_CLOSE';
appParams.extend();
appParams(2) := 'Role=SYSTEM';
select t.v_attribute_value1
```

```
into lv infodom
    from setup rt params t
   where t.v param name = 'TFLT INFODOM';
  select t.v_attribute_value1
   into lv segment
    from setup rt params t
  where t.v param name = 'TFLT SEGMENT';
  select t.n grp msg id bulk collect
   into 1 alert record ids
   from fsi rt alerts t
  where t.n status cd in (1,2);
  FOR recId IN 1 .. l_alert_record_ids.COUNT loop
    startWorkflowForExpireRecord(l alert record ids(recId),
                                 '301',
                                lv infodom,
                                 lv_segment,
                                 'SYSTEM',
                                 'en US',
                                appParams,
                                secMap);
  end loop;
EXCEPTION
  WHEN OTHERS THEN
    dbms output.put line(SQLCODE || SQLERRM);
```

ROLLBACK;

END;

# 21 Appendix L: Mapping the PMF Workflow for Different Jurisdiction and domain

The AAI\_WF\_APP\_DEFINITION\_MAP table in Config Schema stores the mapping of object type data to the rocess Modeller Framework (PMF) workflow that is to be used.

The AAI\_WF\_APP\_DEFINITION\_MAP table also captures the values for crucial business decisions such as jurisdiction and business domain.

To map a particular workflow to an object type for a combination of jurisdiction and business domain follow these steps:

1. Insert V\_KBD\_1 and V\_KBD\_2 columns values into the AAI\_WF\_APP\_DEFINITION\_MAP table.



V\_KBD\_1 represents Jurisdiction code and V\_KBD\_2 represents Business Domain code.

2. Restart the web server after inserting the values into AAI WF APP DEFINITION MAP table.

# **22** Appendix M: User Group Customization

When a new user group for Customer Screening is created from Oracle Financial Services Analytical Applications (OFSAA) user Interface (UI), you must insert an entry in the  $CSSMS\_GROUP\_MAST\_PACK$  table manually with the product id  $OFS\_CS$ .

# 23 Appendix N: Adding New Alert Level Action and Standard Comments

To Add new Alert level action in the alert decision follow the subsequent steps:

- 1. Access the atomic schema in database.
- 2. Add new entries in the following tables:
  - fcc\_zcs\_alert\_actions\_dim
  - fcc\_zcs\_alert\_actions\_tl

For example, to add a new alert decision, provide an entry in the fcc\_zcs\_alert\_actions\_dim and fcc\_zcs\_alert\_actions\_t1 with action code, name and description.

Figure 1: fcc\_zcs\_alert\_actions\_dim Table

select	* from FCC ZCS ALERT ACTIONS D	IM	
Script Outp	it × ▶Ouerv Result ×		
	It × Duery Result ×		
💄 🔃 🙀 S	QL   All Rows Fetched: 13 in 0.055 seconds		
📇 🐏 🕞 S	QL   All Rows Fetched: 13 in 0.055 seconds TON_ID & V_ACTION_CD	& V_ACTION_NAME	V.ACTION.DESC
Image: A state of the state	QL   All Rows Fetched: 13 in 0.055 seconds TION_ID & V_ACTION_CD 1 RECOMMEND_TM	♦V_ACTION_NAME Recommend True Match	Recommend True Match
	QL   All Rows Fetched: 13 in 0.055 seconds TION_ID    V_ACTION_CD 1.RECOMMEND_TM 2.CLOSE_FP	ØV_ACTION_NAME           Recommend True Match           Close as False Positive	Recommend True Match Close as False Positive
	QL   All Rows Fetched: 13 in 0.055 seconds TON_ID   0 V_ACTION_CD 1 RECOMMEND_TM 2 CLOSE_PP 3 REJECT_RECOMMEND	≬V_ACTION_NAME Recommend True Match Close as Palse Positive Reject Recommend	Recommend True Match Close as False Positive Reject Recommend
■ № ■ S ♦ N_AC <sup>*</sup> 1 2 3 4	QL   All Rows Fetched: 13 in 0.055 seconds TON_ID    V_ACTION_CD 1 RECOMMEND_TM 2 CLOSE_FP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND_CLOSE_FE	V_ACTION_NAME Recommend True Match Close as False Positive Reject Recommend Reject Recommend - Close as False Pos	Recommend True Match Close as Palse Positive Reject Recommend - Close as False Positive itive Reject Recommend - Close as False Positive
■ 🐏 👒 S	QL   All Rows Fetched: 13 in 0.055 seconds TON_ID (V_ACTION_CD I RECOMMEND_TM C CLOSE_PP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND_CLOSE_FI 5 APPROVE_RECOMMEND	≬V_ACTION_NAME Becommend True Match Close as False Positive Reject Recommend Reject Recommend - Close as False Pos Approve Recommend	Recommend True Match Close as False Positive Reject Recommend itive Reject Recommend - Close as False Positive Approve Recommend
■ № № S 0 N_AC 1 2 3 4	Q. All Rows Fetched: 13 in 0.055 seconds TION_D[0] V_ACTION_O 1 RECOMMEND_TM 2 CLOSE_FP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND CLOSE_FF 5 APPROVE_RECOMMEND 6 CONTENT_MEMONITORED	Ø V_ACTION_NAME Recommend Frue Match Close as False Positive Reject Recommend - Close as False Pos Approve Recommend Confirm True Match Monitored	Recommend True Match Close as False Positive Reject Recommend itive Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored
■ • • • • • • • • • • • • • • • • • • •	QL All Rows Fetched: 13 in 0.055 seconds TION_ID @V_ACTION_CD 1 RECOMMEND_TM 2 CLOSE_PP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND 5 APPROVE_RECOMMEND 6 CONFIRM_TM_MONITORED 7 CONFIRM_TM_MONITORED	♦ V_ACTION_NAME Recommend Frue Match Close as False Positive Reject Recommend - Close as False Pos Approve Recommend - Close as False Pos Approve Recommend Confirm True Match Monitored Confirm True Match Monitored	Recommend True Match Close as False Positive Reject Recommend itive Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored Confirm True Match Not Nonitored
■ 🐏 👒 S	Q. All Rows Fetched: 13 in 0.055 seconds TION_D[0] V_ACTION_D 1 RECOMMEND 7M 2 CLOSE_FP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND_CLOSE_FI 5 ADEROVE_RECOMMEND 6 CONTENT_TM_ONTTORED 6 CONTENT_TM_NOT_MONTTORED 8 CONTENT_TM_NOT_MONTTORED 8 CONTENT_EXT_RECUTERED	Ø V_ACTION_NAME Recommend Frue Match Close as False Positive Reject Recommend - Close as False Pos Approve Recommend Confirm True Match Nonitored Confirm True Match Nonitored Confirm True Match Nonitored Confirm Exit Required	Recommend True Match Close as False Positive Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored Confirm True Match Not Monitored Confirm Exit Required
Image: A state of the state	Q. All Rows Fetched: 13 in 0.055 seconds TION_ID [0 V_ACTION_OD 1 RECOMMEND_TM 2 CLOSE PP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND 6 CONFIRM_TRECOMMEND 6 CONFIRM_TM_MONITORED 8 CONFIRM_EXIT_REQUIRED 9 REODEN	♦ V_ACTION_NAME Recommend Frue Match Close as False Positive Reject Recommend - Close as False Pos Approve Recommend - Close as False Pos Approve Recommend Confirm True Match Monitored Confirm True Match Monitored	Recommend True Match Close as False Positive Reject Recommend itive Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored Confirm True Match Not Nonitored
	Q. I All Rows Fetched: 13 in 0.055 seconds TION_ID (V _ACTION_CD 1 RECOMMEND_TM 2 CLOSE_FP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND 4 REJECT_RECOMMEND 6 CONFIRM_TM_NONITORED 6 CONFIRM_TM_NONITORED 8 CONFIRM_TM_NOT_NONITORED 9 REOPEN 10 DO_NOT_MONITOR	Ø V_ACTION_NAME Recommend Frue Match Close as False Positive Reject Recommend - Close as False Pos Approve Recommend Confirm True Match Nonitored Confirm True Match Nonitored Confirm True Match Nonitored Confirm Exit Required Re-open Do Not Monitor	Recommend True Match Close as False Positive Reject Recommend itive Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored Confirm True Match Not Monitored Confirm Exit Required Re-open
■ • • • • • • • • • • • • • • • • • • •	Q. All Rows Fetched: 13 in 0.055 seconds TION_ID [0 V_ACTION_OD 1 RECOMMEND_TM 2 CLOSE PP 3 REJECT_RECOMMEND 4 REJECT_RECOMMEND 6 CONFIRM_TRECOMMEND 6 CONFIRM_TM_MONITORED 8 CONFIRM_EXIT_REQUIRED 9 REODEN	◊ V_ACTION_NAME Recommend frue Match Close as Palse Positive Reject Recommend - Close as Palse Pos Approve Recommend - Close as Palse Pos Approve Recommend - Close as Palse Pos Approve Recommend - Close as Confirm True Match Nonitored Confirm True Match Not Monitored Confirm Exit Required Re-open	Recommend True Match Close as False Positive Reject Recommend Live Reject Recommend - Close as False Positive Approve Recommend Confirm True Match Monitored Confirm True Match Not Monitored Confirm True Match Not Monitored Confirm Exit Required Re-open Do Not Monitor

- 3. If you require any validation for the newly added alert level action before taking action, provide an entry in the following tables:
  - FCC\_ZCS\_ALERT\_ACTIONS\_MSG\_DIM
  - FCC ZCS ALERT ACTIONS MSG TL

To add new standard comments for the alert action, follow the subsequent steps:

- 1. Access the atomic schema in database.
- 2. Add new entries in the following table:
  - For simply adding new standard comments in the application:
    - fcc\_san\_std\_cmnts\_dim
    - fcc\_san\_std\_cmnts\_tl
  - For mapping a newly added standard comment to event/alert in the application:
    - fcc\_san\_std\_cmnts\_entity\_map
  - For mapping a newly added standard comment to an existing action in the application:

- fcc\_san\_scmnts\_entity\_actn\_map

# 24 Appendix O: CS and ECM Table Mapping for Alert Status Customization

When L2 Investigation is enabled and if there is any customization of the alert workflow (status, action, or standard comments) done to the Customer Screening (CS) dimension tables listed in Table1, then update the same data in the corresponding ECM dimension table. As a result Alert summary for the escalated case will be visible in Enterprise Case Management (ECM) application.

Table1 provides the list CS dimensions tables and corresponding ECM dimension table.

CS Dimension Tables	ECM Dimension Tables
FCC_ZCS_STATUS_DIM	FCC_CS_CM_STATUS_DIM
FCC_ZCS_STATUS_TL	FCC_CS_CM_STATUS_TL
FCC_ZCS_ALERT_PRIORITY_DIM	FCC_CS_CM_ALERT_PRIORITY_DIM
FCC_ZCS_ALERT_PRIORITY_TL	FCC_CS_CM_ALERT_PRIORITY_TL
FCC_ZCS_SCREENING_MODE_DIM	FCC_CS_CM_SCREENING_MODE_DIM
FCC_ZCS_SCREENING_MODE_TL	FCC_CS_CM_SCREENING_MODE_TL
FCC_ZCS_ALERT_TYPE_DIM	FCC_CS_CM_ALERT_TYPE_DIM
FCC_ZCS_ALERT_TYPE_TL	FCC_CS_CM_ALERT_TYPE_TL
FCC_SAN_ALERT_STD_CMNTS_MAP	FCC_CS_ESC_AL_STDCMNTS
FCC_SAN_STD_CMNTS_DIM	FCC_CS_CM_SAN_STD_CMNTS_DIM
FCC_SAN_STD_CMNTS_TL	FCC_CS_CM_SAN_STD_CMNTS_TL
FCC_ZCS_ALERT_ACTIONS_DIM	FCC_CS_CM_ALERT_ACTIONS_DIM
FCC_ZCS_ALERT_ACTIONS_TL	FCC_CS_CM_ALERT_ACTIONS_TL
FCC_ZCS_EVENT_STATUS_DIM	FCC_CS_CM_EVENT_STATUS_DIM
FCC_ZCS_EVENT_STATUS_TL	FCC_CS_CM_EVENT_STATUS_TL
FCC_SAN_EVENTS_STD_CMNTS_MAP	FCC_CS_ESC_EVNT_STDCMNTS
FCC_ZCS_MATCH_RULE_DIM	FCC_CS_CM_MATCH_RULE_DIM
FCC_ZCS_MTCH_RULE_ENT_ATTR_MAP	FCC_CS_CM_MTCH_RULE_ENT_ATRMAP
FCC_ZCS_ENTITY_ATTR_DIM	FCC_CS_CM_ENTITY_ATTR_DIM
FCC_ZCS_MTCH_RULE_WLS_ATTR_MAP	FCC_CS_CM_MTCH_RULE_WLS_ATRMAP
FCC_SAN_SCMNTS_ENTITY_ACTN_MAP	FCC_CSCM_SCMNTS_ENT_ACTN_MAP
FCC_SAN_STD_CMNTS_ENTITY_MAP	FCC_CSCM_STD_CMNTS_ENT_MAP

## Table 1: CS and ECM Dimension Tables

## 25 Appendix P: Configurations Required to Open ECM Case or CSAM Alert from RT Screening if RT Screening and ECM/CSAM are in Different Servers

Perform the following configuration to open Enterprise Case Management (ECM) Case or Customer Screening Alert Management (CSAM) Alert from Real-time (RT) Screening if RT Screening and ECM/ CSAM are in Different Servers.

# 25.1 Configure REFERRER-POLICY-ENABLED

The valid V PROP VALUE values are TRUE or FALSE. The default is FALSE.

```
Configure this value to TRUE to allow Referrer URLs.
```

```
MERGE INTO aai_setup_props ut
USING (
SELECT 'REFERRER-POLICY-ENABLED' AS V_PROP_NAME FROM dual
) md ON (ut.V_PROP_NAME = md.V_PROP_NAME)
WHEN NOT MATCHED THEN
INSERT (V_PROP_NAME,V_PROP_VALUE,V_PROP_TIER,V_SEEDED_BY)
VALUES ('REFERRER-POLICY-ENABLED','FALSE','WEB','AAI')
/
```

# 25.2 Configure ALLOWED-REFERRER-URLS

By default V PROP VALUE is set to NONE.

Configure this value to set the HOST URL (Real time CS URL) as the allowed URL in the following format:

http://<HOST NAME>:<PORT NUMBER>/

Separate the URLs with a single space. Adding the URLs without a space between them or adding two or more spaces between them results in errors.

Run the following query after replacing the <Referral-URLs> with the suitable values.

```
MERGE INTO aai_setup_props ut
USING (
SELECT 'ALLOWED-REFERRER-URLS' AS V_PROP_NAME FROM dual
) md ON (ut.V_PROP_NAME = md.V_PROP_NAME)
WHEN NOT MATCHED THEN
INSERT (V_PROP_NAME,V_PROP_VALUE,V_PROP_TIER,V_SEEDED_BY)
VALUES ('ALLOWED-REFERRER-URLS','<Referral-URLs>','WEB','AAI')
/
```

# 26 Appendix Q: Function Codes for User Groups

All actions or functions in the Customer Screening (CS) application is configured with a function code. You can define the functionalities for the particular user group by assigning the required functional code to the user group. If a function code is mapped to the user group, the functionality corresponding to the functional code is enabled in the UI.

Table1 provide the list of OOB functional codes assigned for different user groups.

Function Codes	Function Descrip- tion	CSA- NYST	CSSU- PRV	CSSNRSU- PER	CSREADO NLY	CSRT
CSQALLALRT	Access to View All Alerts in List Page through Queue			✓	$\checkmark$	
CSACSALLQ	Access to open any queue in Queue dashboard			✓	$\checkmark$	
CSQGET- NEXT	Access to get the next queue alerts in details page			✓	✓	
CSQGNXTALL	Access to view all alerts from get next in queue			~	✓	
CSALRTASGN	Access to assign alerts when the user opens alert	~	~	~		
CSALRTATTH	Access to select and save attachments for an alert in List Page	~	~	~		
CSBLKACNT	This function gives access to Bulk Update in List Page			~		
CSADATTH	Access to select and save attachments for an alert in Details Page	✓	✓ 	✓		
CSEVNTDEC	Access to take event level action in alert Details Page	~	~	✓		
CSEVNTCOM	Access to add or update event level comments in alert Details Page	✓	✓	✓		
CSSCN	This function gives access to Scan Button in RealTime Screen- ing Page	✓				<b>√</b>
CSSCNINVST	This function gives access to Scan & Investigate Button in RealTime Screening Page	✓				✓

Table 1: Function Codes for User Groups

Function Codes	Function Descrip- tion	CSA- NYST	CSSU- PRV	CSSNRSU- PER	CSREADO NLY	CSRT
CSBLKTK- ACN	Bulk Action Function Code	✓	~			
CSRTUP- LOAD	File Upload Function Code	✓				
CSALRTSTS	Function Code to Access Alert List API for Cust Id					

NOTE	If you configure any of the following function codes to a user group, you must also configure the CSALRTASGN function code to the user group as a mandatory function code:
	CSADATTH
	CSEVNTDEC
	CSEVNTCOM

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## 27 Appendix L: Setting the ZEPPELIN\_INTERPETER\_OUT-PUT\_LIMIT in Python Interpreter

An interpreter is a program that directly executes instructions written in a programming or scripting language without requiring them previously to be compiled into a machine language program. Interpreters are plug-ins that enable users to use a specific language to process data in the backend. In Compliance Studio, Interpreters are used in Notebooks to execute code in different languages. Each The interpreter has a set of adjusted and applied properties across all notebooks. For more information on Interpreter Configuration and Connectivity, see OFS Compliance Studio Administration and Configuration Guide.

Using the **zeppelin.interpreter.output.limit** field you can enter the output message limit. Any message that exceeds the limit is truncated.

# 27.1 Configuring through the UI

Follow the subsequent steps to configure the **zeppelin.interpreter.output.limit** through the UI:

## Using the Wizard Screen:

- 1. Click the **User** lcon right top corner.
- 2. Go to Data Studio Options.
- 3. Click Interpreters. The Interpreters page is displayed.
- 4. select the python interpreter for which you want to configure the **zeppelin.interpreter.output.limit**.
- 5. Select python from the LHS options.
- 6. Click on the  $\times$  Wizard Icon.
- 7. From the RHS side click on **oracle.datastudio.python.DsPythonInterpreter** under Interpreter Client Configurations. The Interpreter Client Configuration popup is displayed.
- 8. Under Properties, click on +Properties. The Properties popup is displayed.
- 9. Fill the options as shown in Figure 1. Set the default value to 870400 (for 1000 records approx.).

• Configuration using the Wizard screen is preferable to other ways of configuration.
<ul> <li>If the data is more than 1000 records, update the zeppelin.python.maxResult in properties to the desired value and zeppelin.interpreter.output.limit as 870.4 x maxResult.</li> </ul>
• If you cannot see the <b>Create</b> and <b>Cancel</b> buttons, click on the header label of the Properties window.
• The default value for zeppelin.interpreter.output.limit i is 102400 (in bytes)
<ul> <li>Increasing the default value from 102400 bytes to an immense value will slow down the rendering of outputs of python paragraphs.</li> </ul>

Figure 1: spring-postSacalert.properties file

🔵 Cor	npliance Studio						<u>∩</u> ⊗	- Û,	×
0	Compliance Studio				Q Sear	h Notebooks	Ям	MGANA	ALYST 🔻
	<sup></sup> ⇒ Interpreters				×			c	Ireate
	fcc-python		reter Client Configurations						
	fcc-python-ml4aml	+ ***		×					
	fcc-python-sane	~ Pr	Properties Key *	_					
	jdbc	P	zeppelin.interpreter.output.limit						
	md	P	Environment Name		elin)				
	pgx	P	Property Name		sinij				
	python	1	zeppelin.interpreter.output.limit						
	spark	+	Default Value						
		Initial C	204800						
		1 i 2 s	Description		_	Share	Clone	Upć	date

- 10. Click **Create**. The Interpreter Client Configuration popup is displayed and **zeppelin.interpreter.output.limit** is displayed under **Properties**.
- 11. Click **Confirm.** The Interpreter Client Configuration window is displayed.
- 12. Click Update.
- 13. Restart the Compliance Studio application to reflect the changes.

## **Configuration through JSON Screen:**

- 1. Click the **User** lcon right top corner.
- 2. Go to Data Studio Options.
- 3. Click **Interpreters**. The Interpreters page is displayed.
- 4. select the python interpreter for which you want to configure the **zeppelin.interpreter.output.limit**.
- 5. Select python from the LHS options.
- 6. Click on the 🕞 Icon. The JSON configuration screen is displayed.
- Scroll down and locate interpreterClientConfigs with className oracle.datastudio.python.DsPythonInterpreter. you can find the properties section with zeppelin configurations.
- 8. Add the **zeppelin.interpreter.output.limit**. See Figure 2.

## Figure 2: JSON Screen

00	ompliance Studio					Q Search Notebooks ♀ MMGANALYST ▼
Ð	<sup>≈</sup> Interpreters					Create
ጼ	fcc-python	⊁	48 49			"sype": "number" };
ß	fcc-python-ml4aml	2	50 51 52			"zeppelin.python.useIPython": { "envName": null, "provertyName": "zeppelin.python.useIPython",
¢	fcc-python-sane		53 54			"defaultValue": "false", "description": "Use IPython when it is available",
$\bigotimes$	jdbc		55 56 57			"type": "checkbox" ); "zeppelin.interpreter.output.limit": {
$\mathcal{P}_{a}$	md		58 59 60			<pre>"envName": "", "propertyName": "zeppelin.interpreter.output.limit", "defaultvalue": "204800".</pre>
A	pgx		61 62			"description": "", "type": ""
	python		63 64 65		},	}
	spark		66 67 68		{	"type": "zeppelin", "SolitisTonde": []
<b>&gt;&gt;</b>			Del	ete		Share Clone Update

- 9. The update button will be enabled in the bottom right corner after the JSON modification. Click **Update**.
- 10. Restart the Compliance Studio application to reflect the changes.

# **27.2** Configuring through the Filesystem

Follow the subsequent steps to configure the **zeppelin.interpreter.output.limit** through the filesystem:

- 1. Go to the python interpreter option as pointed out in section 27.1. You can see the python interpreter listed there if you have run the MMG services before. Delete it, if you run the MMG Application for the first time on a fresh schema, then you don't need to do this step.
- 2. After deleting the python interpreter or if the start has not been done, go to the filesystem inside mmg-home/mmg-studio/server/builtin/interpreters, and open python.json in a text editor.
- Scroll down under interpreterClientConfigs with className ,racle.datastudio.python.DsPythonInterpreter, you will find the following properties section with Zeppelin configurations. After the last entry in properties, add the zeppelin.interpreter.output.limit using the JSON screen. See Figure 2.
- 4. Save the python.json with the desired default value.
- 5. Restart the Compliance Studio application to reflect the changes.

Figure 3: Output in table view

		÷ △ ₪ △ ÷	• 🗠 🌫 🐇 •				
Type to search	J						
Column_1 0	Column_2 0	Column_3 0	Column_4 0	Column_5 0	Column_6 0	Column_7 0	Column_8 0
-0.8933910191898379	0.7613799878489635	0.75806146330438	1.2753426005586657	-1.5934944618973514	0.5965222292150769	0.5829090157274303	-0.197946806574
-0.4792920585860974	0.6014851803485978	-0.07350947398693965	0.06001880557421651	-0.06466793427830368	-0.44494929367260394	-0.8361218782799762	-1.4185312486264
0.4790844079384656	-1.34332772958042	-1.2684080797668027	0.8988179711893556	-0.709742130514913	-1.9365143492049126	0.1481468677129027	-0.419456821682
0.03732633828712172	0.33468022887354104	-1.547544190292229	-0.8939236490440552	-0.7403558285426715	-0.7646700982508163	1.7847515628537471	0.1669535658351
0.42289642019235335	-1.626284936446582	0.7038916058037783	0.4856477230960553	0.8823036516706713	1.8401232449352867	-1.4962853947932677	-0.011098415694
Page 1 of 105 (1-5	of 521 items) IC 4	1 2 3 4 5 105	► > Load More				
• Output is truncated to	204800 bytes. Learn more	about ZEPPELIN_INTERPRE	TER_OUTPUT_LIMIT				

You can see the ZEPPELIN\_INTERPRETER\_OUTPUT\_LIMIT value as a warning if the table content is more than the set default value for zeppelin.interpreter.output.limit, and accordingly, you can modify the default value for the same.

# 28 Appendix M: Manual Configuration for Filter Condition to Apply in the Batch

This is a one-time manual activity that must be done once the EDQ dxi project is transferred from production to the Simulation EDQ director.

Follow the subsequent steps:

1. Go to the EDQ project in the simulation EDQ director.

## Figure 4: EDQ Director

Ø Director	
<u>File Edit View H</u> elp	
1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	
Project Browser	8
Customer-Screening_CS18OCT_PROD0_0	^
E Customer-Screening_CSSIM20OCT_1697797509803_0	
E Customer-Screening_CSSIM20OCT_PROD0_0	
E Customer-Screening_CSSIM54_1697643226789_0	
E Customer-Screening_CSSIM54_1697643226789_1	
E Customer-Screening_CSSIM54_PROD0_0	
Customer-Screening_CSSIM55_PROD0_0	
Customer-Screening_CSSIMULATION_1697206195041_0	
Customer-Screening_CSSIMULATION_PROD0_0	
Customer-Screening_CSSIMULATION52_PROD0_0	
E Customer-Screening_KUM10WORK_1697700107299_0	
E Customer-Screening_KUM10WORK_PROD0_0	
E Customer-Screening_KUM20WORK_1697790164704_0	
E Customer-Screening_KUM20WORK_1697790164704_1	
Customer-Screening_KUM20WORK_1697811395718_0	
Customer-Screening_KUM20WORK_PROD0_0	
Customer-Screening_KUM22_PROD0_0	
Customer-Screening_KUM25_1698059792052_0	
Customer-Screening_KUM25_PROD0_0	
Customer-Screening_SANCTIONS 8.0.8.2.13	
E Customer-Screening_SANCTIONS 8.1.2	~

- 2. Click **Data Stores** and click **FCDM Batch Data**. The Edit Data Store window is displayed.
- 3. Give the simulation database details and click **Test** to connect to the specific Data Store.
- 4. Click **Ok**.

DJAC-Entities-JMP	Edit Data Store			×
DJAC-Individuals-JMP	Internet and the second se			
DJW-Entities-JMP	Oracle Configuration	n		
DJW-Individuals-JMP	Database hast	100 76 140 85		
ECM Matches Output	Database host	100.76.143.52		
Entity Audit	Port	1521		
EU-Entities-JMP				
EU-Individuals-JMP	Database name	fccmdb		
FCDM Batch Data	Name type	SID 🗸		
Filter - Extracted Origins-JMP		Commission		
Hints - GB Gender from Forename-JMP	User name	SIMNET3		
Hints - GB Gender from Title-JMP	Password			
HMT-Entities-JMP	Line Kerberge	-		
HMT-Individuals-JMP	Data Store Succe	w.r.	×	
Individual Audit	Data Store Succe	13-3	0	
Match - Cardinals and Ordinals-JMP				
Match - English Dictionary Words-JMP	You su	ccessfully connected to the sp	ecified Data Store.	
Match - Entity Frequent Watchlist Tokens-JMP				Test
		OK		

5. Click Simulation EDQ project **Staged Data** and click on **FCDM Customer Data**. The data Store Window is displayed.

## Figure 6: Data Store Window

DJW_Entities_PEP	Setup Snapshot	×	1
-  DJW_Entbles_SAN  DJW_Individuals_D8  DJW_Jndividuals_EDD	Data Store Which Data Store should be used as the source for this snapshot?	ORACLE	l
D7W_Individuals_PEP     D7W_Individuals_PEP     D7W_Individuals_Pepared     D7W_Individuals_FAN     ECM Matches     Entry Auditing     Entry Customer DQ Issues - Details     Entry Customer DQ Issues - Summary by Error     Entry Customer DQ Issues - Summary by Severity     EL_Entries_Prepared     EU_Individuals_Prepared     FGME Acutomer Drats     Entry FCCME Letrend Entry Data		*	
- Fiter_Linked_Profiles	Match - Organisation Prefixes-3HP	÷	h
	Search		1
ter		New Data Store	F
21 Tasks		<li>cliack Next &gt; Cancel</li>	

6. Click **Next**. The Table Selection window is displayed.

	Setup Snapshot Table Selection What data do you want to unapshot?	ORACLE
Entry Customer DQ Issues - Details     Entry Customer DQ Issues - Summary by Error     Entry Customer DQ Issues - Summary by Seventry     EU_Entrities     EU_Entrities     EU_Entrities_Prepared     EU_Endviduals     EU_Endviduals     EU_Endviduals     FREM_External Entry Data     FREM_External Entry     FREMENTER External Entry     FREMENTER External Entry	Select Table or View  SQL  Type Table Name	
ane Fiker	Search (CS_CUSTOMER)	×
158x - 19 Tasks even: 100.76.157.111		<back next=""> Cancel</back>

Figure 7: Table Selection Window

7. Select the table or view and click **Next**. The Column Selection Window is displayed.

Figure 8	:
	Setup Snapshot
	Column Selection

Numn Selection Which columns do you want to snapshot?		RACL
Ø Column Name	Data Type Sort/Filter?	
CUST_INTRL_ID	VARCHAR(50)	^
CUST_TYPE_CD	VARCHAR(10)	
TAX_ID	VARCHAR(20)	
TAX_ID     PASSPORT     PASSPORTISSCNTRY     IDENTIFIERS     COUNTRYCODES	VARCHAR(4000)	
PASSPORTISSCNTRY	VARCHAR(4000)	
IDENTIFIERS	VARCHAR(4000)	
COUNTRYCODES	VARCHAR(4000)	
TITL_NM	VARCHAR(30)	
ORG_NM	VARCHAR(255)	
PRIMARY_NM	VARCHAR(800)	
FULL_NM	VARCHAR(800)	
FIRST_NM	VARCHAR(255)	
V TITL_NM ORG_NM PRIMARY_NM FUL_NM FIRST_NM MIDL_NM LAST_NM ALIAS_NM	VARCHAR(255)	
LAST_NM	VARCHAR(255)	
ALIAS_NM	VARCHAR(50)	~
All None	Use intelligent So	ort/Filtering
	< Back Next >	Canc

- 8. Search for <code>cs\_customer</code> and select <code>cs\_customer</code>.
- 9. Click **Next**. The Snapshot Name window is displayed.
- 10. Click **Finish** to save the updates.

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