

**Oracle Financial Services**

**Transaction Filtering**

**Administration Guide**

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**ORACLE®**

**Financial Services**

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## OFS Transaction Filtering Admin Guide

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# Document Control

**Table 1: Document Control**

| Version Number | Revision Date | Change Log   |
|----------------|---------------|--|
| 8.12.0.0       | July 2024     | <ul style="list-style-type: none"><li>• Removed the section “Deleting a Good Guy Record.</li><li>• Removed the content related to Time period in section 5.1.</li></ul>  |
| 8.12.0.0       | July 2022     | <ul style="list-style-type: none"><li>• Added <a href="#">Appendix J: Configurations for the Bearer Token</a>.</li><li>• Added <a href="#">Appendix I: User Group Customization</a>.</li><li>• Added <a href="#">JMS Queue Creation for SWIFT, Fedwire and ISo20022 Message Types</a> section.</li><li>• Added <a href="#">Configuring New Watchlist Summary Field Name</a>.</li></ul> |

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## Contents

|          |   |           |
|----------|---|-----------|
| <b>1</b> | <b>About This Guide.....</b>  | <b>7</b>  |
| 1.1      | Intended Audience.....  | 7         |
| 1.2      | Access to Oracle Support .....  | 7         |
| 1.3      | How This Guide is Organized .....   | 7         |
| 1.4      | Where to Find More Information .....  | 8         |
| 1.5      | Conventions Used in this Guide.....   | 8         |
| <b>2</b> | <b>About Oracle financial Services Transaction Filtering.....</b>                 | <b>10</b> |
| 2.1      | Transaction Filtering Workflow .....  | 10        |
| <b>3</b> | <b>Getting Started.....</b>   | <b>12</b> |
| 3.1      | Accessing the Oracle Financial Services Analytical Applications (OFSAA) Page..... | 12        |
| 3.2      | Managing the Oracle Financial Services Analytical Applications (OFSAA) Page ..... | 13        |
| 3.2.1    | <i>Transaction Filtering Admin Menu .....</i>                                     | <i>13</i> |
| 3.2.2    | <i>ISO20022 Configuration Admin Menu .....</i>                                    | <i>14</i> |
| 3.2.3    | <i>SWIFT Configuration Admin Menu .....</i>                                       | <i>15</i> |
| 3.2.4    | <i>Process Modeller Menu .....</i>  | <i>16</i> |
| 3.2.5    | <i>FEDWIRE Configuration Admin Menu .....</i>                                     | <i>18</i> |
| 3.2.6    | <i>Process Monitor Menu .....</i>   | <i>19</i> |
| 3.2.7    | <i>Run Definition Menu .....</i>  | <i>20</i> |
| 3.2.8    | <i>List Management Menu .....</i>   | <i>21</i> |
| 3.2.9    | <i>Inline Processing Menu .....</i>   | <i>22</i> |
| 3.3      | Queue Management.....   | 23        |
| 3.3.1    | <i>List View .....</i>  | <i>23</i> |
| 3.3.2    | <i>Grid View .....</i>  | <i>25</i> |
| 3.3.3    | <i>Archiving a Queue .....</i>  | <i>26</i> |
| 3.4      | Troubleshooting Your Display.....   | 28        |
| 3.4.1    | <i>Enabling JavaScript .....</i>  | <i>28</i> |
| 3.4.2    | <i>Enabling Cookies .....</i>   | <i>28</i> |
| 3.4.3    | <i>Enabling Temporary Internet Files .....</i>                                    | <i>28</i> |
| 3.4.4    | <i>Enabling File Downloads .....</i>  | <i>28</i> |
| 3.4.5    | <i>Setting Printing Options .....</i>   | <i>29</i> |



---

|          |   |           |
|----------|---|-----------|
| 3.4.6    | <i>Enabling the Pop-Up Blocker</i> .....                                | 29        |
| 3.4.7    | <i>Setting Preferences</i> .....  | 29        |
| <b>4</b> | <b>Managing User Administration</b> .....                               | <b>31</b> |
| 4.1      | About User Administration .....   | 31        |
| 4.2      | Managing User Administration .....                                      | 31        |
| 4.2.1    | <i>Creating and Authorizing a User</i> .....                            | 31        |
| 4.2.2    | <i>Mapping Users with User Groups</i> .....                             | 31        |
| <b>5</b> | <b>General Configurations</b> .....                                     | <b>33</b> |
| 5.1      | Configuring the Application Level Parameters.....                       | 33        |
| 5.2      | Configuring the Good Guy Matching Parameters.....                       | 34        |
| 5.3      | Configuring the SLA Parameters .....                                    | 35        |
| 5.4      | Automatic Assignments of Alerts .....                                   | 37        |
| 5.5      | Configuring the Cut-Off Parameters for Alerts .....                     | 39        |
| 5.6      | Setting the Priority for Messages .....                                 | 41        |
| 5.7      | Running the Purge Utility .....   | 42        |
| 5.8      | Adding, Editing or Deleting Good Guy Records.....                       | 42        |
| 5.8.1    | <i>Adding a Good Guy Record</i> .....                                   | 42        |
| 5.8.2    | <i>Editing a Good Guy Record</i> .....                                  | 43        |
| 5.8.3    | <i>Deleting a Good Guy Record</i> .....                                 | 43        |
| 5.8.4    | <i>Good Guy Attributes</i> .....  | 44        |
| 5.8.5    | <i>Managing the Good Guy Attributes</i> .....                           | 45        |
| 5.9      | Generating Email for Different Statuses .....                           | 47        |
| 5.9.1    | <i>Notification Email</i> .....   | 47        |
| 5.9.2    | <i>Task Email</i> .....   | 48        |
| 5.10     | Configuring Alerts in Multiple Jurisdictions and Business Domains ..... | 49        |
| 5.10.1   | <i>Configuring Jurisdictions and Business Domains</i> .....             | 50        |
| 5.10.2   | <i>Configurations to Automatically Assign Transactions</i> .....        | 52        |
| 5.10.3   | <i>Configurations to Automatically Release Transactions</i> .....       | 52        |
| 5.11     | Version Control.....  | 53        |
| 5.11.1   | <i>Version Control for SWIFT Messages and IPE</i> .....                 | 53        |
| 5.11.2   | <i>Version Control for ISO20022</i> .....                               | 53        |

---

|          |  |           |
|----------|--|-----------|
| 5.11.3   | <i>Version Control for EDQ</i> .....   | 53        |
| 5.12     | Running the Migration Utility for SWIFT and Fedwire .....                    | 53        |
| 5.12.1   | <i>Restoring a Previous Message Configuration</i> .....                      | 55        |
| 5.13     | Running the Migration Utility for ISO20022.....                              | 55        |
| 5.14     | Configuring JMS Correlation ID .....   | 56        |
| 5.15     | Configuring Parallel Processing.....   | 57        |
| 5.16     | Configuring Additional Columns on the Alert List page.....                   | 57        |
| 5.17     | Retrigger Functionality.....   | 58        |
| 5.17.1   | <i>Configuring Data Source in WebLogic Application Server</i> .....          | 59        |
| 5.18     | Configuring New Watchlist Summary Field Name.....                            | 59        |
| <b>6</b> | <b>Configuring the SWIFT Message Parameters .....</b>                        | <b>60</b> |
| 6.1      | Message and Screening Configurations Window .....                            | 60        |
| 6.1.1    | <i>Adding or Updating a New Message Type</i> .....                           | 62        |
| 6.1.2    | <i>Repeating Sequences</i> .....   | 63        |
| 6.1.3    | <i>Configuring Message and Transaction References</i> .....                  | 63        |
| 6.2      | <Message Type> Subfield Level Configuration Window.....                      | 64        |
| 6.3      | <Message Type> Screening Configuration Window .....                          | 65        |
| 6.3.1    | <i>Enabling or Disabling a Web Service</i> .....                             | 68        |
| 6.3.2    | <i>Updating and Removing a Web Service</i> .....                             | 69        |
| 6.3.3    | <i>Populating Data for the Trade Goods and Trade Port Web Services</i> ..... | 69        |
| 6.4      | <Message Type> Other Field/Subfield Configuration Window.....                | 70        |
| <b>7</b> | <b>Configuring the Fedwire Message Parameters.....</b>                       | <b>72</b> |
| 7.1      | Message Type Configuration Window .....                                      | 72        |
| 7.1.1    | <i>Adding or Updating a New Message Type</i> .....                           | 73        |
| 7.1.2    | <i>Configuring Message and Transaction References</i> .....                  | 74        |
| 7.2      | <Message Type> Subfield Level Configuration Window.....                      | 74        |
| 7.3      | <Message Type> Screening Configuration Window .....                          | 76        |
| 7.3.1    | <i>Enabling or Disabling a Web Service</i> .....                             | 79        |
| 7.3.2    | <i>Updating and Removing a Web Service</i> .....                             | 80        |
| 7.3.3    | <i>Populating Data for the Trade Goods and Trade Port Web Services</i> ..... | 80        |
| 7.4      | <Message Type> Other Field/Subfield Configuration Window.....                | 80        |

---

- 8 Configurations for ISO20022 Message Parameters ..... 82**
  - 8.1 Configuring the ISO20022 Message Parameters ..... 82
    - 8.1.1 *Running the ISO20022 Batch* ..... 92
  - 8.2 Audit Queries ..... 96
- 9 Configurations for the US NACHA Batch Process..... 98**
- 10 Enterprise Data Quality (EDQ) Configurations ..... 102**
  - 10.1 Performance Improvement Measures for EDQ ..... 102
  - 10.2 EDQ Configuration Process Flow..... 103
    - 10.2.1 *Importing the Transaction Screening Project* ..... 109
    - 10.2.2 *Configuring Watch List Management and Transaction Filtering* ..... 109
- 11 Configuring Risk Scoring Rules ..... 122**
- 12 Appendix A: Watch Lists..... 138**
  - 12.1 HM Treasury Watch List ..... 138
  - 12.2 OFAC Watch List..... 138
  - 12.3 EU Watch List ..... 138
  - 12.4 UN Watch List..... 139
  - 12.5 World-Check Watch List ..... 139
  - 12.6 Dow Jones Watch List ..... 140
  - 12.7 Dow Jones Anti-Corruption Watch List..... 140
  - 12.8 Accuity Watch List..... 140
    - 12.8.1 *Using the Accuity Group File* ..... 141
    - 12.8.2 *New Alerts Resulting from Use of the Group File* ..... 141
  - 12.9 Private Watch List..... 142
    - 12.9.1 *Individual Private Watch List Input Attributes* ..... 142
    - 12.9.2 *Entity Private Watch List Input (PLI) Attributes* ..... 146
- 13 Appendix B: System Audit Logging Information..... 150**
  - 13.1 Activities for System Audit ..... 150
  - 13.2 Steps for System Audit Activities..... 150
- 14 Appendix C: Process Modeller Framework (PMF) Configurability ..... 152**
  - 14.1 Configuring the Human Task in the PMF Page ..... 152
    - 14.1.1 *Mapping the Transaction Statuses and Transaction Outcomes* ..... 152

---

|           |  |            |
|-----------|--|------------|
| 14.2      | Adding Data Fields for the PMF Status .....                                | 153        |
| 14.3      | Adding Application Rules for the PMF Status.....                           | 153        |
| 14.3.1    | <i>Mapping Rule Types to Application Rules</i> .....                       | 153        |
| 14.3.2    | <i>Mapping User Groups to Application Rules</i> .....                      | 154        |
| 14.4      | Configurations Required for the Audit Tables.....                          | 154        |
| 14.5      | Configurations Required for the setup_rt_params Table.....                 | 154        |
| 14.6      | TIME_ZONE Configurations Required for the dim_sanctions_status Table ..... | 155        |
| 14.7      | Creating New User Groups.....  | 156        |
| 14.8      | Other Configurations.....  | 156        |
| <b>15</b> | <b>Appendix D: PMF Configurations for Pool of Analyst.....</b>             | <b>157</b> |
| 15.1      | Mapping the dim_sanctions_status Table:.....                               | 162        |
| 15.2      | Adding Data Fields to the JSON Object.....                                 | 162        |
| 15.3      | List of Attributes Passed to Workflow.....                                 | 164        |
| 15.4      | Attribute to Configure the Auto Refresh in Queue Management .....          | 165        |
| <b>16</b> | <b>Appendix E: Delta Watch List Configurations .....</b>                   | <b>166</b> |
| 16.1      | Configurations for the Full and Delta Watch Lists .....                    | 167        |
| 16.1.1    | <i>Running the Full Watch list</i> .....                                   | 167        |
| 16.1.2    | <i>Running the Delta Watch List</i> .....                                  | 168        |
| 16.1.3    | <i>Merging the Delta Watch List to the Full Watch List</i> .....           | 168        |
| 16.2      | Delta Watch List Configurations for the World-Check Watch List.....        | 169        |
| 16.2.1    | <i>Configurations for the Full and Delta Watch Lists</i> .....             | 169        |
| 16.2.2    | <i>Running the Full Watch List</i> .....                                   | 170        |
| 16.2.3    | <i>Running the Delta Watch List</i> .....                                  | 171        |
| 16.2.4    | <i>Merging the Delta Watch List to the Full Watch List</i> .....           | 172        |
| <b>17</b> | <b>Appendix F: Message Categories and Message Types.....</b>               | <b>173</b> |
| 17.1      | SWIFT Message Types .....  | 173        |
| 17.2      | ISO20022 Message Types .....   | 174        |
| 17.3      | Fedwire Message Types.....   | 174        |
| 17.4      | US NACHA Message Types.....  | 175        |
| <b>18</b> | <b>Appendix G: Invoking the PMF Workflow from backend.....</b>             | <b>176</b> |
| <b>19</b> | <b>Appendix H: JMS Cluster Environment Creation.....</b>                   | <b>178</b> |

---

|           |   |          |
|-----------|---|----------|
| 19.1      | JMS Server Creation .....   | 178      |
| 19.2      | JMS Module Creation.....  | 181      |
| 19.3      | Sub-Deployment Creation.....  | 183      |
| 19.4      | Distributed Queues Creation .....                                     | 184      |
| 19.5      | Distributed Topic Creation .....                                      | 187      |
| 19.6      | Connection Factory Creation.....                                      | 189      |
| 19.7      | JMS Queue Creation for SWIFT, Fedwire and Iso20022 Message Types..... | 191      |
| <b>20</b> | <b>Appendix I: User Group Customization.....</b>                      | <b>1</b> |
| <b>21</b> | <b>Appendix J: Configurations for the Bearer Token.....</b>           | <b>2</b> |
| 21.1      | Generate User Password.....   | 2        |
| 21.2      | Change Token Validity.....  | 4        |
| 21.3      | Generate Token .....  | 5        |
| 21.4      | Send Requests .....   | 6        |
| <b>22</b> | <b>OFSAA Support Contact Details .....</b>                            | <b>8</b> |
| <b>23</b> | <b>Send Us Your Comments.....</b>                                     | <b>9</b> |

# 1 About This Guide

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

## 1.1 Intended Audience

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

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

## 1.2 Access to Oracle Support

Oracle customers have access to electronic support through [My Oracle Support \(MOS\)](#). For information, visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info>

Or visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs> if you are hearing-impaired.

## 1.3 How This Guide is Organized

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

- [About Oracle Financial Services Transaction Filtering](#) provides a brief overview of the Oracle Financial Services Transaction Filtering application.
- [Getting Started](#) explains common elements of the interface, includes instructions on how to configure your system, access Transaction Filtering, and exit the application.
- [Managing User Administration](#) explains the user administration of the Oracle Financial Services (OFS) Transaction Filtering application.
- [General Configurations](#) describes how to configure the SWIFT (Society for Worldwide Interbank Financial Telecommunication) message and screening parameters, run the migration utility, run the Purge utility, and do Version Control for messages in the Oracle Financial Services Transaction Filtering application.
- [Configuring the SWIFT Message Parameters](#) describes how to configure the SWIFT message parameters.
- [Configuring the Fedwire Message Parameters](#) describes how to configure the Fedwire message parameters.
- [Configurations for the ISO20022 Message Parameters](#) describe how to configure the ISO20022 message parameters and run the ISO20022 batch.

- [Configurations for the US NACHA Batch Process](#) describes how to configure the US NACHA batch.
- [Enterprise Data Quality \(EDQ\) Configurations](#) describes how to configure the EDQ parameters.
- [Configuring Risk Scoring Rules](#) describes how to configure business rules in the Inline Processing Engine (IPE).
- [Creating a JSON](#) describes how to create a JavaScript Object Notation (JSON) for SWIFT messages with sequences and SWIFT messages without sequences.
- [Appendix A: Watch Lists](#) explains the details of each of the pre-configured watch lists that can be used by Oracle Transaction Filtering.
- [Appendix B: System Audit Logging Information](#) contains information on the logs related to the Debug and Info log files.
- [Appendix C: Process Modeller Framework \(PMF\) Configurability](#) describes how to configure the Process Monitor Facility (PMF) workflow.
- [Appendix D: Time Zone Configuration](#) describes how to set the time zone for a user.
- [Appendix E: Delta Watch List Configurations](#) describes how to run and download the delta updates.
- [Appendix F: Message Categories and Message Types](#) shows the different message types available for the SWIFT, Fedwire, ISO 20022, and US NACHA message types.

## 1.4 Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, see the following Transaction Filtering application documents, which can be found on the [Oracle Help Center](#) page:

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

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

## 1.5 Conventions Used in this Guide

The following table mentions the conventions used in this guide.

**Table 2: Conventions Used**

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

**Table 2: Conventions Used in this Guide**

| Conventions    | Description   |
|----------------|---|
| <i>Italics</i> | <ul style="list-style-type: none"><li>• Names of books, chapters, and sections as references</li><li>• Emphasis</li></ul> |

**Table 2: Conventions Used in this Guide**

| Conventions | Description   |
|-------------|---|
| <b>Bold</b> | <ul style="list-style-type: none"><li>• The object of an action (menu names, field names, options, button names) in a step-by-step procedure</li><li>• Commands typed at a prompt</li><li>• User input</li></ul>  |
| Monospace   | <ul style="list-style-type: none"><li>• Directories and subdirectories</li><li>• File names and extensions</li><li>• Process names</li><li>• Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text.</li></ul> |
| Asterisk    | Mandatory fields in User Interface  |
| <Variable>  | Substitute input value  |



## 2 About Oracle financial Services Transaction Filtering

Oracle Financial Services Transaction Filtering is a Sanctions screening system that identifies Individuals, entities, cities, countries, goods, ports, BICs, and Stop keywords that may either be suspicious, restricted, or sanctioned with relation to a financial transaction that is processed through the Transaction Filtering application. The application enables you to integrate with any clearing or payment system, accept messages from the source system, and scans them against different watch lists maintained within the application to identify any suspicious data present within the message. The Transaction Filtering application can scan messages which are in the SWIFT, ISO20022, Fedwire, or NACHA category, or any custom format.

The OFS Transaction Filtering application is built using components of the Oracle Financial Services Analytical Applications (OFSAA) product suite. These components are Oracle Enterprise Data Quality (OEDQ) and Inline Processing Engine (IPE).

Financial Institutions are required to comply with regulations from different authorities. Some of them are as follows:

- USA PATRIOT Act
- U.S. Treasury's Office of Foreign Assets Control (OFAC), USA
- Office of the Superintendent of Financial Institutions (OSFI), Canada
- Financial Action Task Force (on Money Laundering) (FATF/GAFI)
- EU Commission
- Country-specific authorities

While the regulations can differ between countries, the spirit of regulatory intervention is uniform, and that is to hold financial institutions responsible and accountable if they have been a party, intentionally or unintentionally, to a criminal or terrorist-related transaction.

Sanctions include the withholding of diplomatic recognition, the boycotting of athletic and cultural events, and the sequestering of the property of citizens of the sanctioned country. However, the forms of sanctions that attract the most attention and are likely to have the greatest impact are composed of various restrictions on international trade, financial flows, or the movement of people.

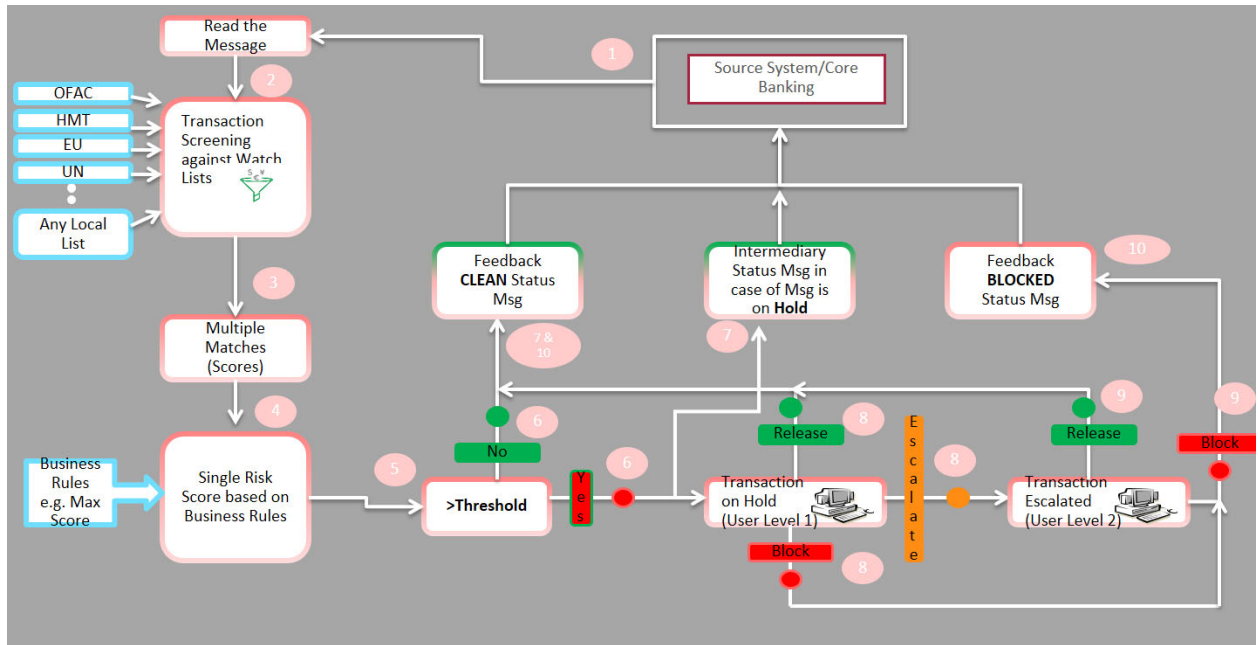
Transaction Filtering against government-regulated watch lists and internal watch lists is a key compliance requirement for financial institutions across the globe. At the turn of the century, Financial Institutions (FIs) were expected to identify customers who were either sanctioned or who lived in sanctioned countries and identify any transactions which were associated with these customers. FIs are now expected to also identify any suspicious dealings and parties involved in the transaction, and more recently identify information that is deliberately hidden or removed.

The Transaction Filtering application delivers a strong, effective filter that identifies all sanctioned individuals or entities with true positives and exploits all available information (internal and external) to reduce false positives and therefore minimizes the operational impact on FIs.

### 2.1 Transaction Filtering Workflow

The following image describes the Transaction Filtering workflow.

**Figure 1: Transaction Filtering Workflow**



The application first receives a message from the payment system and scans it against the watch lists, then provides a risk score for the message. If no suspicious data is found during screening, then the Transaction Filtering application sends a feedback message with the status CLEAN back to the payment system through the message queue. If suspicious data is found during screening, then the message is sent to an Analyst who investigates it using the Transaction Filtering User Interface. Feedback is sent to the payment system through a message queue, which indicates that the message is on hold. The Analyst reviews the message, which is the first level of review and decides to release, block, or escalate the message. Based on the decision, the system sends a feedback message, either CLEAN or BLOCKED, to the payment system for the reviewed message.

If the four-eyes workflow is enabled, then the Analyst can additionally Recommend to Release, Recommend to Block, or escalate the message to the Supervisor. If the Analyst escalates the message, then the message is sent to the Supervisor, which is the second level of review. The Supervisor can block or release the message and add comments. For a four-eyes workflow, the Supervisor can Release, Block, or Reject the message. You can view the associated matched data of a message from the Match Summary section. You can also view the risk score details from the Risk Summary section. Both these sections are present in the Investigation User Interface.

## 3 Getting Started

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

### 3.1 Accessing the Oracle Financial Services Analytical Applications (OFSAA) Page

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

**NOTE** After the first login, you will be prompted to change your password.

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

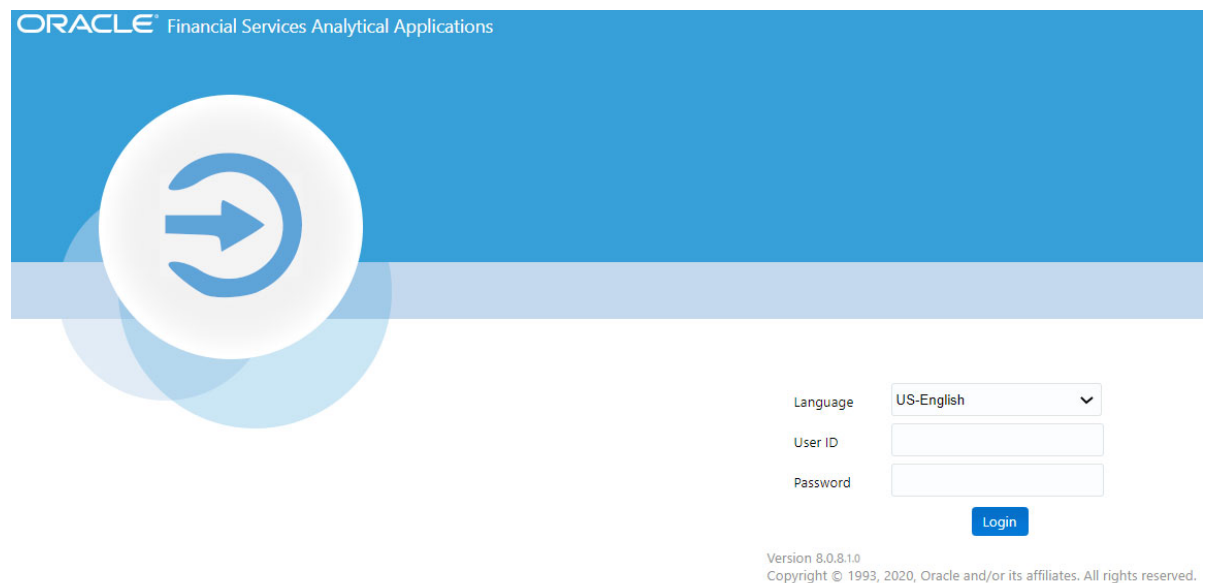
1. Enter the URL into your browser using the following format:

```
<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp
```

For example: `https://myserver:9080/ofsaapp/login.jsp`

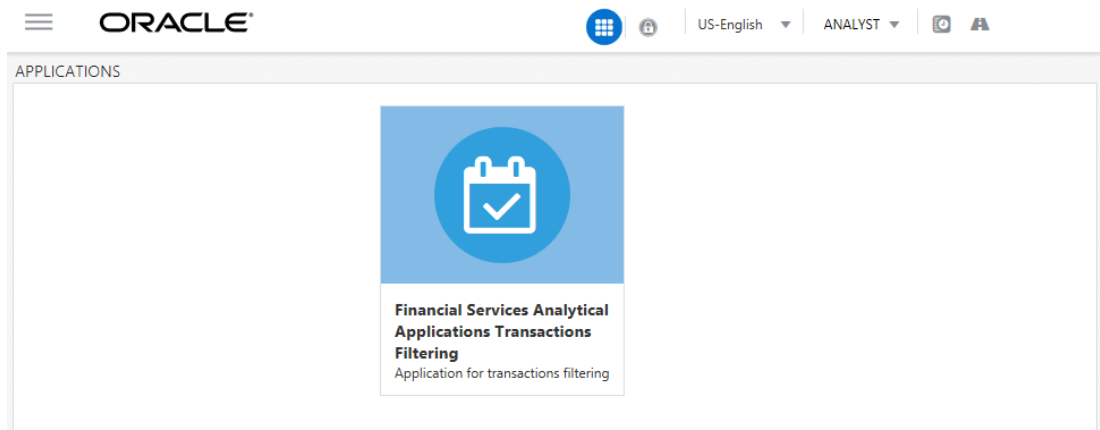
The **Oracle Financial Services Analytical Applications** login page is displayed.

**Figure 2: Oracle Financial Services Analytical Applications Login Page**



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

Figure 3: Financial Services Analytical Applications Transactions Filtering Landing Page



5. To view the **Financial Services Analytical Applications Transactions Filtering** landing page, click **Calendar** .

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

From the **Oracle Financial Services Analytical Applications** page, you can access the menus for the different message configurations. You can change the default transaction currency from USD to another currency in the **Process Modeller** page and view the **Good Guy Summary** page, which has details related to the records added in the good guy list.

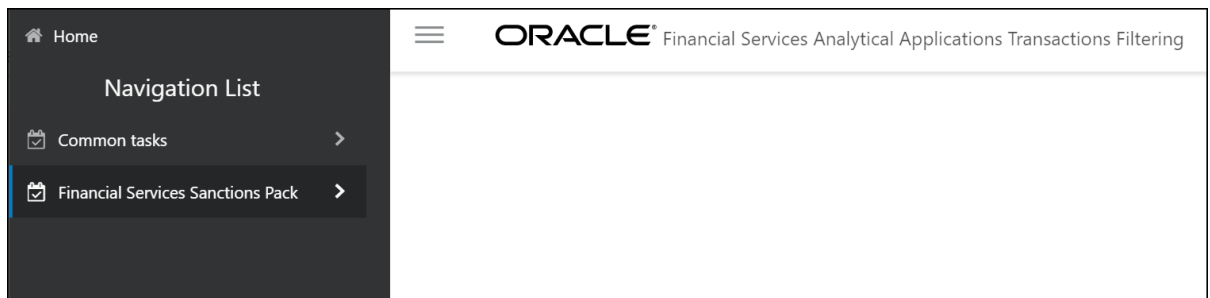
### 3.2.1 Transaction Filtering Admin Menu

The **Transaction Filtering Admin** menu allows the system administrator to configure the application-level parameters, good guy matching parameters, the cut-off time for messages, and assignment type for a message (manual or automatic). For more information, see [General Configurations](#).

To view the menu, follow these steps:

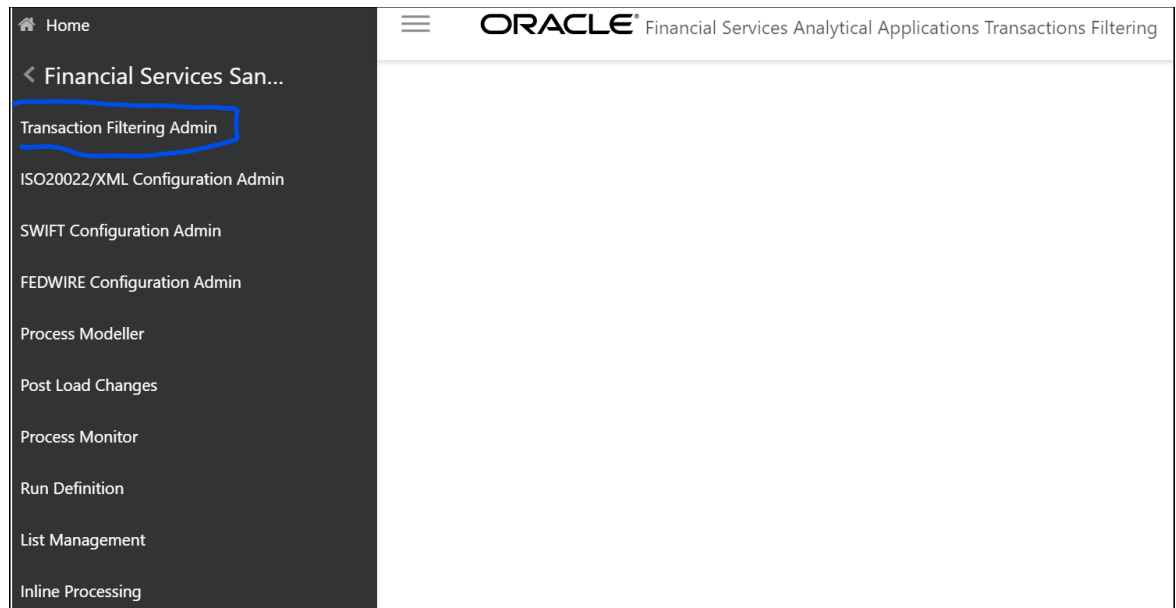
1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 4: Financial Services Sanctions Pack Menu



- From the **Navigation List**, click **Transaction Filtering Admin**. The Configuration Screen displays.

**Figure 5: Transaction Filtering Admin Sub-menu**



### 3.2.2 ISO20022 Configuration Admin Menu

The **ISO20022/XML Configuration Admin** menu allows the system administrator to configure the ISO20022 parser parameters. For more information, see [Configurations for ISO20022 Message Parameters](#).

To view the menu, follow these steps:

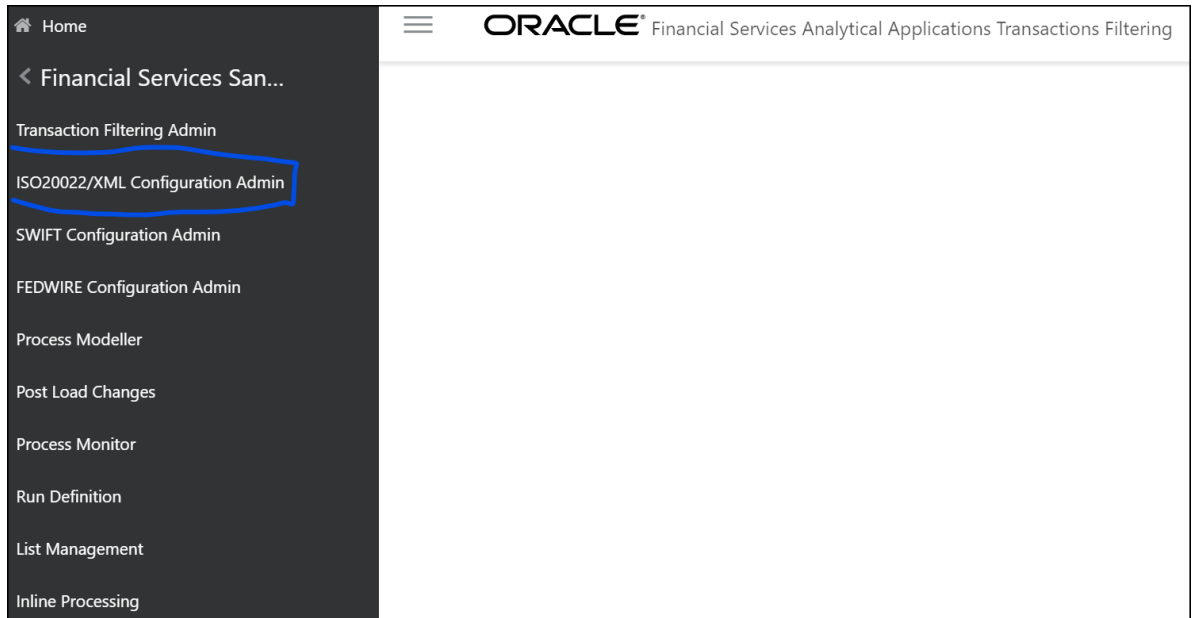
- Click **Financial Services Sanctions Pack**.

**Figure 6: Financial Services Sanctions Pack Menu**



- Click **ISO20022/XML Configuration Admin**. The Configuration Screen displays.

**Figure 7: ISO20022/XML Configuration Admin Sub-menu**



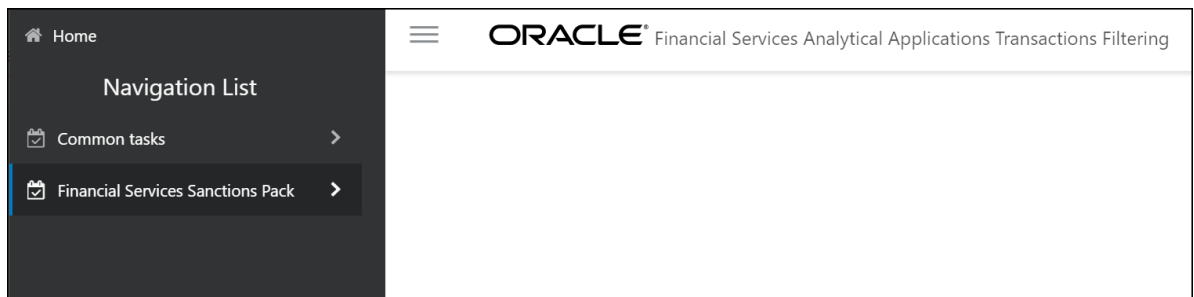
### 3.2.3 SWIFT Configuration Admin Menu

The **SWIFT Configuration Admin** menu allows the system administrator to configure the SWIFT parser parameters. For more information, see [General Configurations](#).

To view the **Configuration Admin** menu, follow these steps:

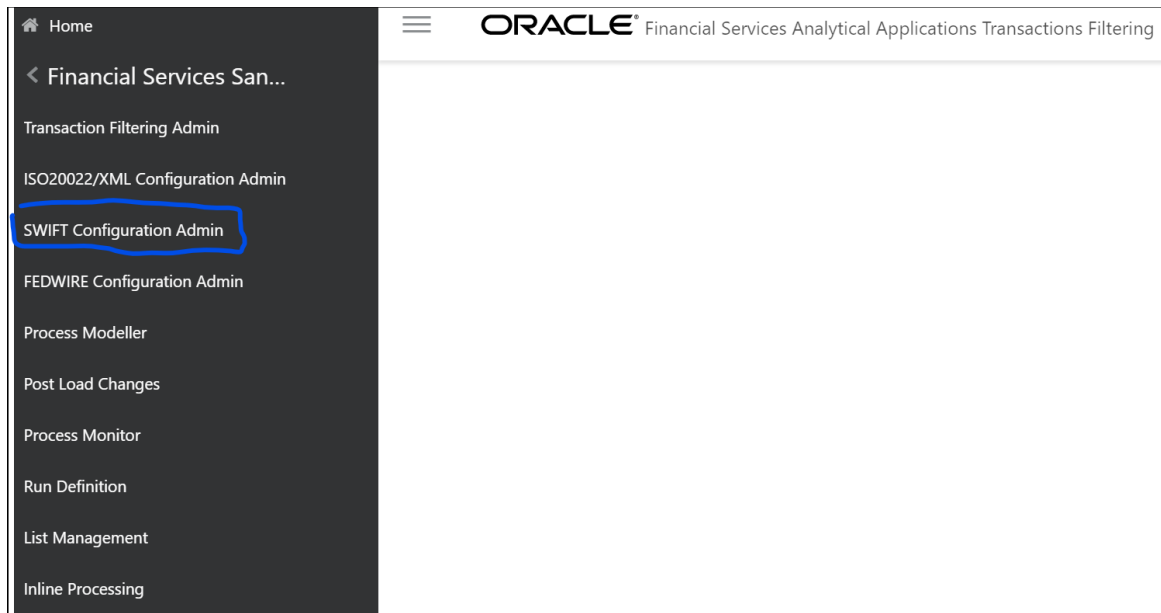
1. Click **Financial Services Sanctions Pack**.

**Figure 8: Financial Services Sanctions Pack Menu**



1. Click **SWIFT Configuration Admin**. The Configuration Screen displays.

**Figure 9: SWIFT Configuration Admin Sub-menu**



### 3.2.4 Process Modeller Menu

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

You can view the PMF process flow for the standard, four-eyes, and good guy workflows. For more information on the workflows, see the **Transaction Filtering WorkFlows** section in the [Oracle Financial Services Transaction Filtering User Guide](#).

To view the ready-to-use PMF flows, click **Process Modeller**. The **Process Modeller** page is displayed.

**Figure 10: Process Modeller Page**

| Process Modeller |  |  |              |                 |   |  |
|------------------|--|--|--------------|-----------------|---|--|
| Search           |  |  |              |                 |   |  |
| Sort by:         | Pipeline Filter: <span>Process X</span> <span>Run X</span> <span>Stream X</span> |  |              |                 |   |  |
| <b>B</b>         | <b>Business Restructure Process</b>  | Process Code: BR1<br>Process Description: Business Restructure Process | 0<br>Version | 0<br>Instances  | Application: Business Restructure<br>Type: Business Process Pipeline  |  |
| <b>Q</b>         | <b>Questionnaire Process</b>   | Process Code: QTNR<br>Process Description: Questionnaire Process       | 0<br>Version | 0<br>Instances  | Application: Questionnaire<br>Type: Business Process Pipeline         |  |
| <b>E</b>         | <b>ECM CS Real Time Screening</b>  | Process Code: CSRT<br>Process Description: ECM CS Real Time Screening  | 0<br>Version | 0<br>Instances  | Application: Customer Screening<br>Type: Business Process Pipeline    |  |
| <b>T</b>         | <b>TF List Management</b>  | Process Code: OFS_SAC_LIST<br>Process Description: TF List Management  | 0<br>Version | 10<br>Instances | Application: TF List Management<br>Type: Business Process Pipeline    |  |
| <b>T</b>         | <b>Transaction Filtering</b>   | Process Code: OFS_SAC<br>Process Description: Transaction Filtering    | 0<br>Version | 0<br>Instances  | Application: Transaction Filtering<br>Type: Business Process Pipeline |  |

To expand the window, click **Navigation Menu**

### 3.2.4.1 Configuring the Transaction Currency

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

1. On the **Process Modeller** page, click the **Application Rule** subtab.



**Figure 11: Application Rule Subtab**

| <span>Process Flow</span>   <span>Definition</span>   <b><span>Application Rule</span></b>   <span>DataFields</span> <span>?</span> |                          |              |                      |
|---|--------------------------|--------------|----------------------|
| <span>+</span> Add   <span>✎</span> Edit   <span>✖</span> Delete  |                          |              |                      |
| Select  | Rule Name                | Rule Type    | Implementation Type  |
| <input type="radio"/>   | Sup_Access_Attr_Rule     | DecisionRule | Attribute Expression |
| <input type="radio"/>   | Analyst_Access_Attr_Rule | DecisionRule | Attribute Expression |
| <input type="radio"/>   | Default                  | DecisionRule | SQL                  |
| <input type="radio"/>   | Outcome Approve          | DecisionRule | Outcome              |
| <input type="radio"/>   | Outcome Reject           | DecisionRule | Outcome              |
| <input type="radio"/>   | Outcome Submit           | DecisionRule | Outcome              |
| <input type="radio"/>   | Hold_Outcome             | DecisionRule | Outcome              |
| <input type="radio"/>   | Assigned_Outcome         | DecisionRule | Outcome              |
| <input type="radio"/>   | Escalate_Outcome         | DecisionRule | Outcome              |
| <input type="radio"/>   | Release_Outcome          | DecisionRule | Outcome              |
| <input type="radio"/>   | Block_Outcome            | DecisionRule | Outcome              |
| <input type="radio"/>   | R_to_Release_Outcome     | DecisionRule | Attribute Expression |
| <input type="radio"/>   | R_to_Block_Outcome       | DecisionRule | Attribute Expression |

2. To change the currency for a released transaction, select **R\_to\_Release\_Outcome**. To change the currency for a blocked transaction, select **R\_to\_Block\_Outcome**.
3. Click **Edit**.
4. Click inside the **TF\_Currency** drop-down list and select the required currency.
5. Click **Save**.

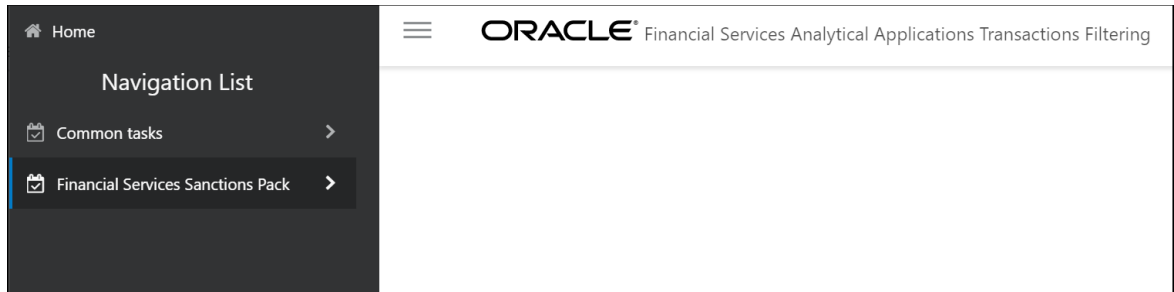
### 3.2.5 FEDWIRE Configuration Admin Menu

The **FEDWIRE Configuration Admin** menu allows the system administrator to configure the Fedwire parser parameters. For more information, see [General Configurations](#)

To view the **FEDWIRE Configuration Admin** menu, follow these steps:

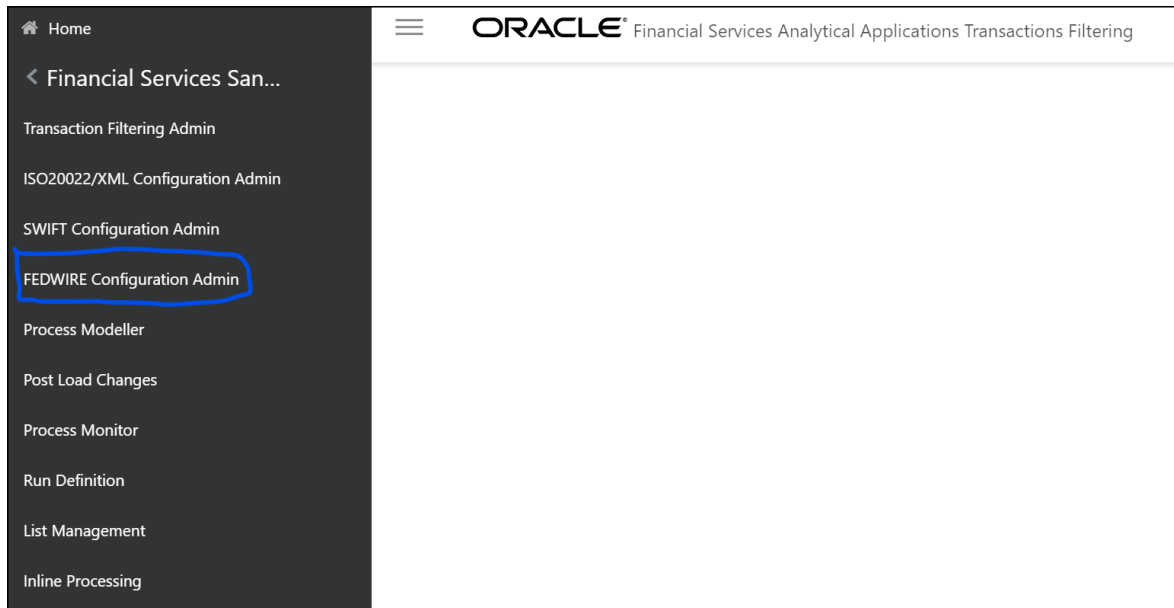
1. Click **Financial Services Sanctions Pack**.

**Figure 12: Financial Services Sanctions Pack Menu**



1. Click **FEDWIRE Configuration Admin**. The **Configuration Screen** is displayed.

**Figure 13: FEDWIRE Configuration Admin Sub-menu**




### 3.2.6 Process Monitor Menu

The **Process Monitor** menu allows the System Administrator to configure the workflow for a process. To do this, click **Process Monitor**. The **Process Monitor** page is displayed.

**Figure 14: Process Monitor Menu Page**

| Process Monitor               |                                  |  |
|-------------------------------|----------------------------------|--|
| <input type="text"/>          |                                  |  |
| Sort by: <input type="text"/> |                                  |  |
| 5                             | <b>50542</b><br>Object Id: 50542 | <b>Process Name:</b> Transaction Filtering<br><b>Process Description:</b> Transaction Filtering<br><b>Execution Start Time:</b> 26-APR-19 11:17:00<br><b>Last Execution Time:</b> 26-APR-19 11:17:00 |
| 5                             | <b>50541</b><br>Object Id: 50541 | <b>Process Name:</b> Transaction Filtering<br><b>Process Description:</b> Transaction Filtering<br><b>Execution Start Time:</b> 26-APR-19 11:16:59<br><b>Last Execution Time:</b> 26-APR-19 11:17:00 |
| 5                             | <b>50501</b><br>Object Id: 50501 | <b>Process Name:</b> Transaction Filtering<br><b>Process Description:</b> Transaction Filtering<br><b>Execution Start Time:</b> 23-APR-19 06:02:38<br><b>Last Execution Time:</b> 23-APR-19 06:02:38 |
| 5                             | <b>50422</b><br>Object Id: 50422 | <b>Process Name:</b> Transaction Filtering<br><b>Process Description:</b> Transaction Filtering<br><b>Execution Start Time:</b> 16-APR-19 02:33:27<br><b>Last Execution Time:</b> 23-APR-19 05:49:59 |
| 5                             | <b>50402</b><br>Object Id: 50402 | <b>Process Name:</b> Transaction Filtering<br><b>Process Description:</b> Transaction Filtering<br><b>Execution Start Time:</b> 12-APR-19 05:55:14<br><b>Last Execution Time:</b> 23-APR-19 05:34:29 |

To expand the window, click **Navigation Menu** .

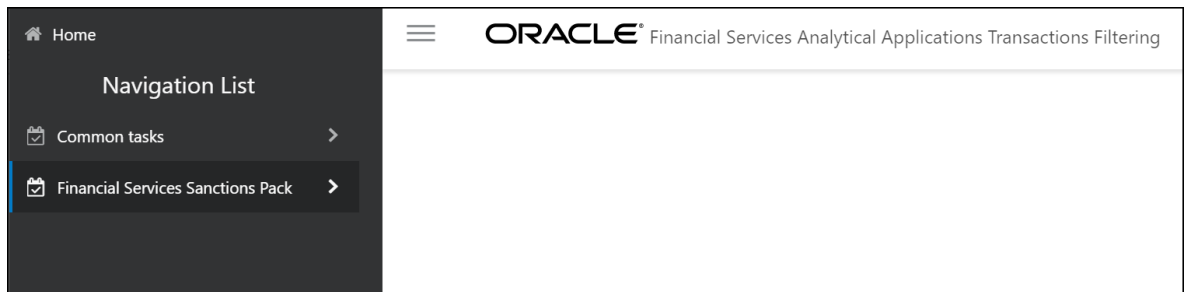
### 3.2.7 Run Definition Menu

The **Run Definition** menu allows the system administrator to run the batches for the message categories.

To run the batches, follow these steps:

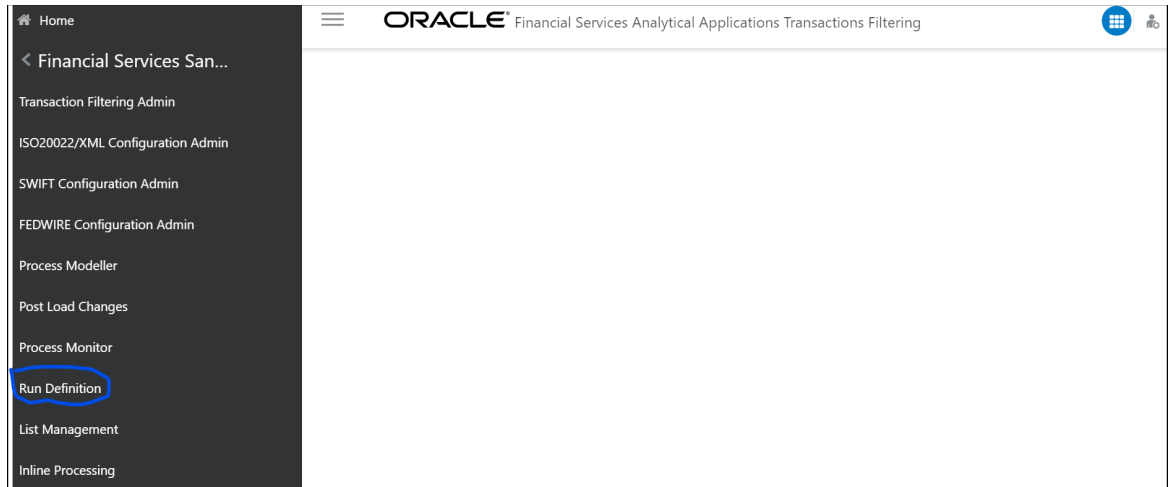
1. Click **Financial Services Sanctions Pack**.

**Figure 15: Financial Services Sanctions Pack Menu**



1. Click **Run Definition**. The **Run** page is displayed.

**Figure 16: Transaction Filtering Admin Sub-menu**



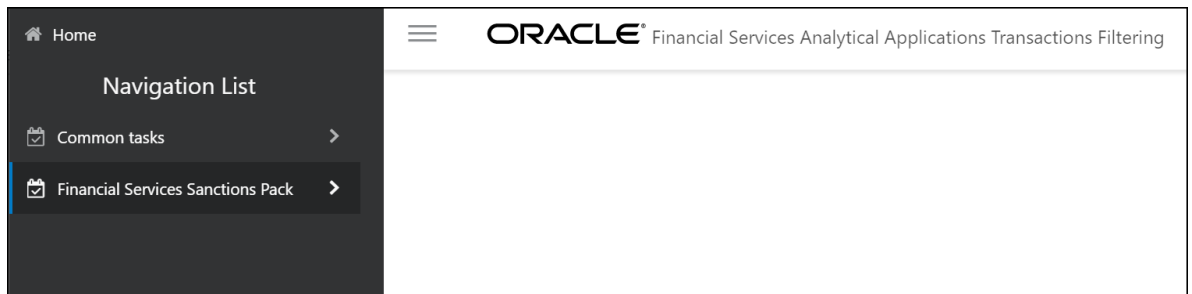
### 3.2.8 List Management Menu

The **List Management** menu allows the system administrator to view the **Good Guy Summary** page. For more information on the **Good Guy Summary** page, see the **Good Guy Summary** section in the [Oracle Financial Services Transaction Filtering User Guide](#).

To view the page, follow these steps:

1. Click **Financial Services Sanctions Pack**.

**Figure 17: Financial Services Sanctions Pack Menu**



1. Click **List Management**. The **Good Guy Summary** page is displayed.

**Figure 18: List Management Sub-menu**



### 3.2.9 Inline Processing Menu

The **Inline Processing** menu allows the System Administrator to view and configure the details related to Inline Processing Engine (IPE). For more information, see [Configuring Risk Scoring Rules](#).

To view the **Inline Processing** page, follow these steps:

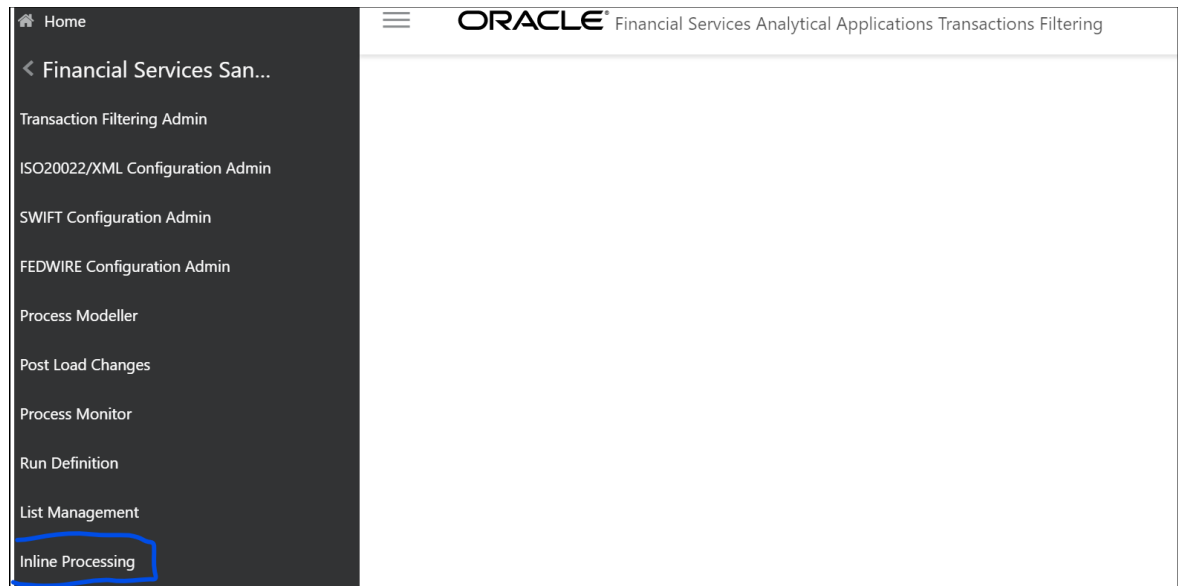
1. Click **Financial Services Sanctions Pack**.

**Figure 19: Financial Services Sanctions Pack Menu**



1. Click **Inline Processing**. The **Inline Processing** page is displayed.

Figure 20: Inline Processing Sub-menu



## 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):

- 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

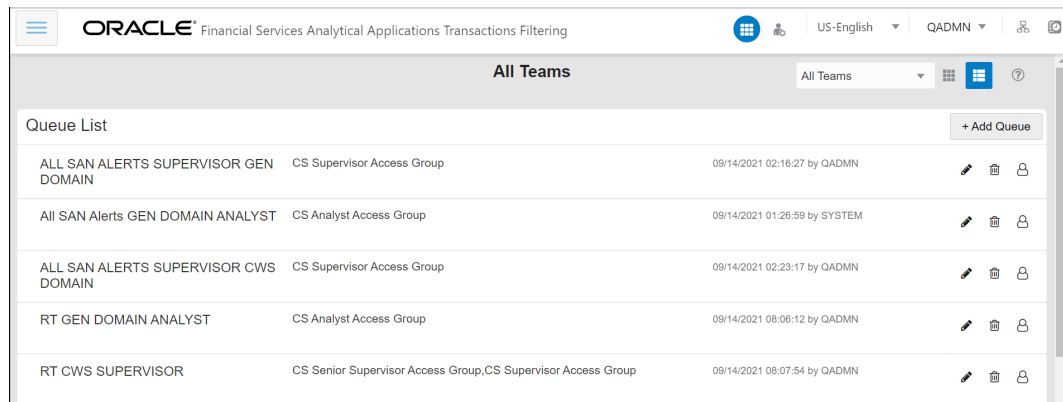
1. Log in to the application as Analyst, Supervisor, or Senior Supervisor.
2. Select the Financial Services Analytical Applications Transaction Filtering.
3. From the Application Navigation List, select Queue Management.

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 21: Queue List in List View**

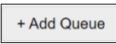


The following details are displayed in the List View for **All Teams**:

- 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  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 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:
  - § Select the Queue and right-click. The menu options are displayed as **Cut**, **Paste Before**, and **Paste After**. The only **Cut** is enabled.
  - § Select **Cut**.
  - § Locate the cursor wherever it needs to be added and right-click. The menu options are **Cut**, **Paste Before**, and **Paste After**. Only **Paste Before** and **Paste After** are enabled.
  - § Select the **Paste Before** or **Paste After** to place the Queue.

**NOTE**

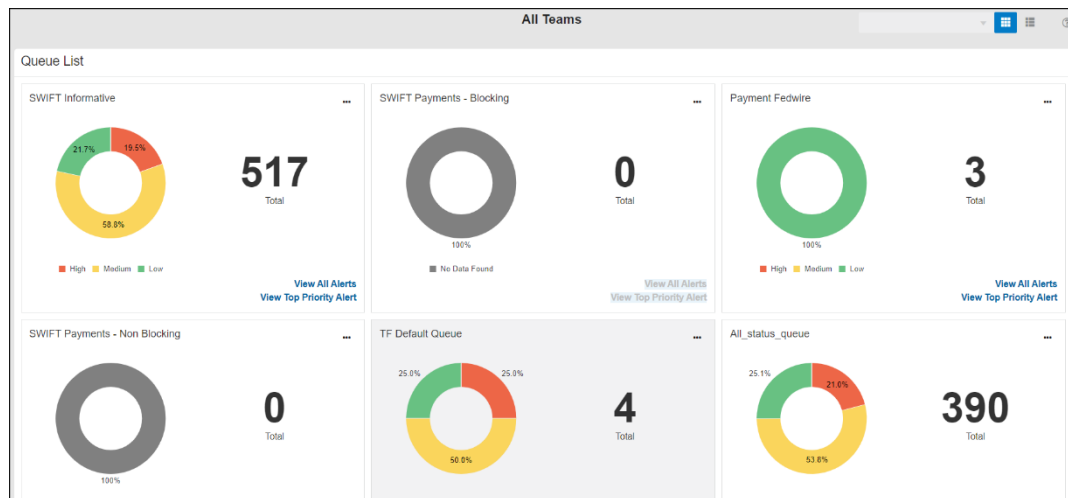
If the User Group is selected as the **All Teams** in the **Select Teams** menu, then the Queue Admin cannot sort the priority of the Queues.

### 3.3.2 Grid View

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 22: Queue List in Grid View**



**NOTE**

Only 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 only available priorities in the application:

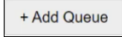
- High
- Medium
- Low

And also priority configuration for all the alerts to be defined before transaction filtering.

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:

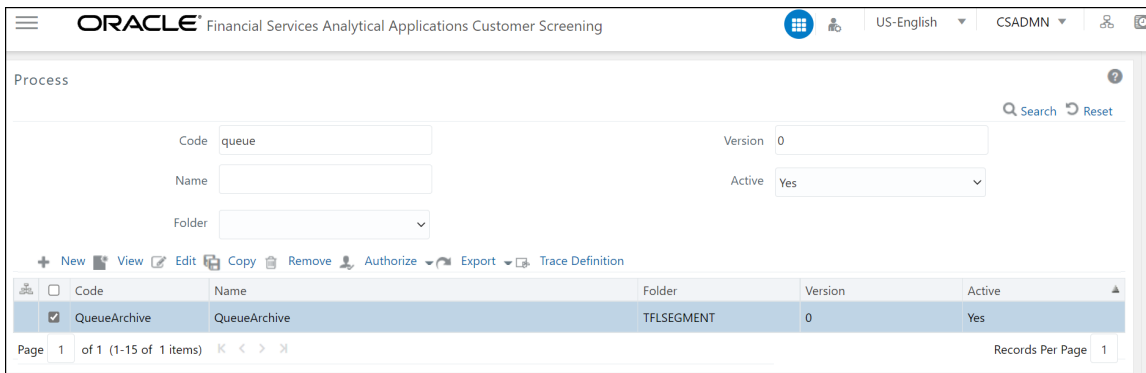
- **+Add Queue:** Click  button top-right in the Queue List to add a new queue. (only for Queue Admin.)
- **Delete:** Click the Ellipsis menu and then select Delete and click **Yes** to delete the queue.
- **Edit:** Click the Ellipsis menu and then select Edit to edit the queue details and click **Finish**.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

To archive the inactive queues, follow these steps:

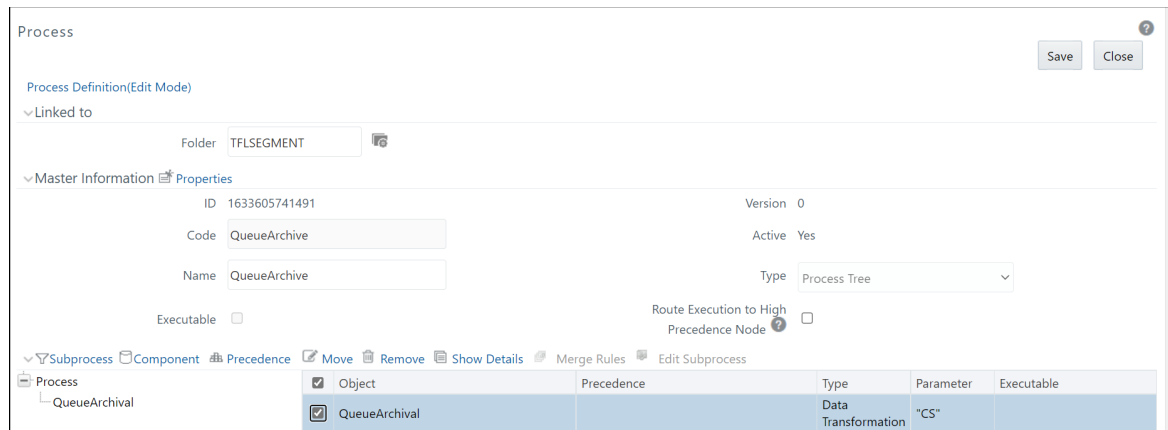
1. Log on to the Customer Screening application.
2. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Process**. The **Process** page appears.
3. Search for Queue in the **Code** field and select QueueArchive.

**Figure 23: Process Page**



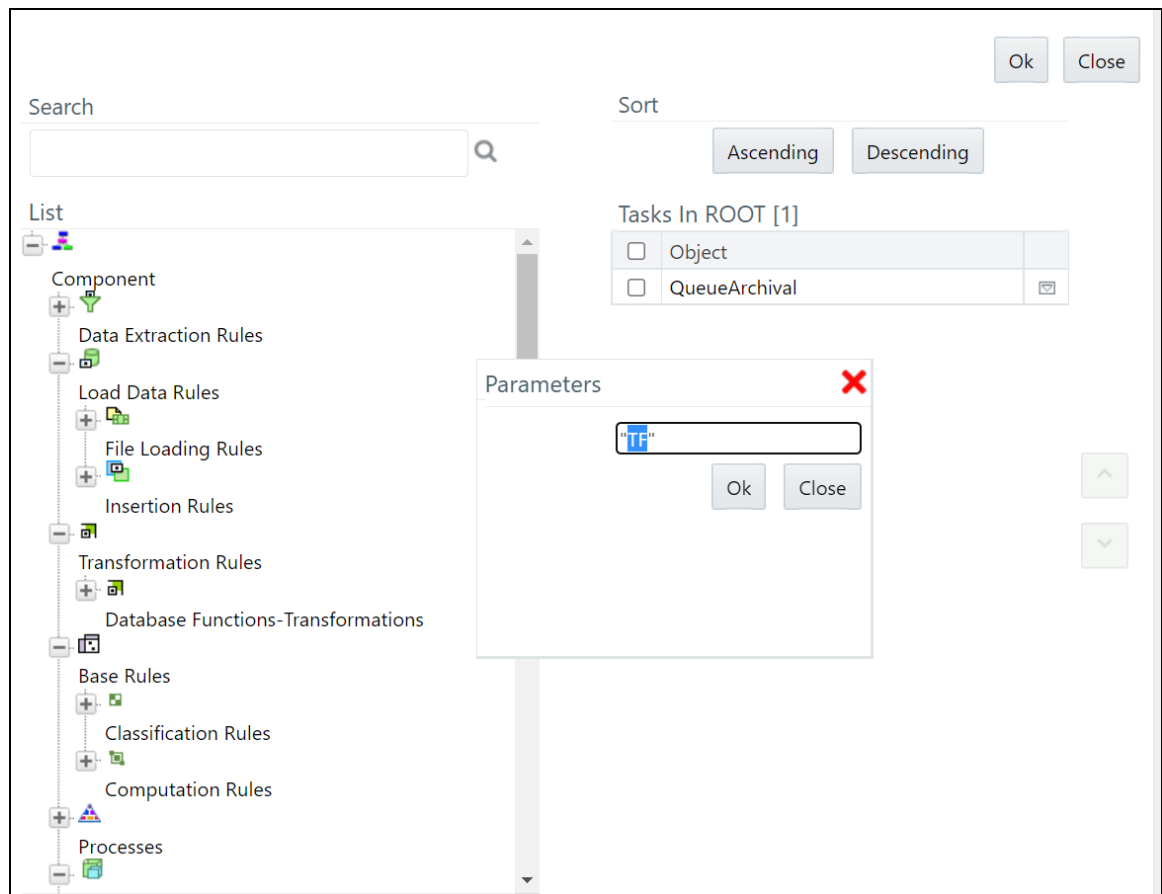
4. Click **Edit** . The **Process** page opens in Edit mode.

**Figure 24: Process Definition (Edit Mode)**



5. Select the `QueueArchival` object and then select **Component**.
6. In the **Parameters** window, select the `QueueArchival` task and then click **drop-down list** ▾. By default the parameter value will be selected as "TF".

**Figure 25: Component Selector Window**



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 Transaction Filtering or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for setting your Web display options for OFSAA applications.

### 3.4.1 Enabling JavaScript

This section describes how to enable JavaScript.

To enable JavaScript, 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, select **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 adjust your Temporary Internet File settings, follow these steps:

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

To enable file downloads, 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. Under the **Downloads** section, ensure that **Enable** 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.

To enable this option, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Advanced** tab. In the **Settings** list.
4. Under the **Printing** setting, 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 Oracle Financial Services Transaction Filtering application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the **Allowed Sites** in the Pop-up Blocker Settings in the **IE Internet Options** menu.

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**. The Settings are enabled.
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 enable you to set your OFSAA home page.

To access this section, follow these steps:

1. In the **Financial Services Analytical Applications Transactions Filtering** landing page, select **Preferences** from the user name drop-down list. The **Preferences** page is displayed.

**Figure 26: Preferences Page**

Preferences

▼ Home Page

| Property Name    | Property Value   |
|------------------|------------------|
| Set My Home Page | Default Screen ▼ |
| Date Format      | -- Select -- ▼   |

1. 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 drop-down list.
2. In the **Date Format** drop-down list, select the date format that you want to see. The options available are dd/MM/yyyy or M/dd/yyyy.
3. Click **Save** to save your preferences.

## 4 Managing User Administration

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

### 4.1 About User Administration

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

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

### 4.2 Managing User Administration

The following sections provide information on how to create and authorize a user and map the users to user groups in the Transaction Filtering application.

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

**Table 3: User Administration**

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

#### 4.2.1 Creating and Authorizing a User

The sysadm user creates a user and the sysauth user authorizes a user in the Transaction Filtering application. For more information on creating and authorizing a user, see the [Oracle Financial Services Analytical Applications Infrastructure User Guide](#).

#### 4.2.2 Mapping Users with User Groups

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

**Table 4: User Group-Role Mapping**

| Role              | Group Name                                    | User Group Code      |
|-------------------|---|----------------------|
| Administrator     | Transaction Filtering Administrator Group     | TFLTADMINISTRATORGRP |
| Analyst           | Transaction Filtering Analyst Group           | TFLTANALYSTGRP       |
| Supervisor        | Transaction Filtering Supervisor Group        | TFLTSUPERVISORGRP    |
| Senior Supervisor | Transaction Filtering Senior Supervisor Group | TFSNRRSUPERVISORGRP  |
| Audit             | Transaction Filtering Audit Group             | TFAUDITGRP           |

For each role, you can configure the time zones that apply to them. For information on the time zone values, see [Time Zone Configuration](#).

## 5 General Configurations

The following sections provide information on how to configure the application and message and screening parameters, configure the transaction workflow to accommodate the four-eyes principle and the good guy component, define the cut-off time for the message workflow (including investigations), set a priority for a message category, define the assignment type for messages (manual or automatic), define the SLAs and cut-off times for alerts, run the purge and migration utilities, add a good guy record, view the different emails generated based on the transaction status, segregate the alerts based on jurisdictions and business domains, and do version control for SWIFT messages, ISO20022 messages, and IPE.

### 5.1 Configuring the Application Level Parameters

Use the **Application Level Parameter Configuration** tab to configure the parameters for the Transaction Filtering application, such as enabling or disabling the four-eyes workflow, define the parameters that must be matched during the good guy workflow, define the cut-off time required to complete the entire transaction workflow, and assign messages manually or automatically.

To configure the parameters, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin**. The **Application Level Parameter Configuration** is displayed.

**Figure 27: Application Level Parameter Configuration Tab**

3. In the **Audit** section, select **Yes** to view the Debug details or select **No** to view the Info details. If you select **Yes**, then all the steps are logged in the system irrespective of the value in the **Status** column. If you select **No**, then only those steps for which the value is **Y** in the **Status** column are logged in the system.

**NOTE**

For more information on the values in the Status column, see [System Audit Logging Information](#).



4. In the **4 Eyes** section, select **Yes** to enable the four-eyes workflow and select **No** to disable the four-eyes workflow.

**NOTE**

If the 4 Eyes workflow is enabled, then the new alert data should be posted to the UI to view the new options which are Message Statuses, Blocked Recommended and Released Recommended.

5. In the **EDQ** section, provide the following values:
  - **EDQ URL** in the following format:  
`<http>: <Hostname of the server in which EDQ is installed>: Port Number`
  - **EDQ user name**: The default username is displayed. You can update the username if required.
  - **EDQ password**: The default password is displayed. You can update the password if required.
  - **EDQ webservice status username**
  - **EDQ webservice status password**
6. In the **ECM L2 Analysis** section, select **Yes** to enable and then provide the following values:
  - **ECM L2 Case Creation URL** in the following format  
`<http>: <Hostname of the server in which ECM is installed>: <Port Number>/<Context>`
  - **ECM Case Creation user name**: Enter the ECM username.
  - **ECM Case Creation password**: Enter the ECM password.
7. In the **FEEDBACK** section, enter the URL where we need to post messages for HOLD, RELEASE, CLEAN, BLOCK in the feedback queue in the **FEEDBACK URL** field.
8. Click **Save**. The following confirmation message is displayed: **Records Updated Successfully**.

## 5.2 Configuring the Good Guy Matching Parameters

The parameters shown here are applicable only when the good guy workflow is enabled. The Transaction Filtering application checks if there is a match or not for every parameter which is enabled, and if there is a match, the record is added to the good guy list. For more information on the good guy workflow, see the **Managing Transaction Filtering** chapter in the [Oracle Financial Services Transaction Filtering User Guide](#).

To enable or disable the good guy parameters, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Good Guy Matching Configuration** tab.

**Figure 28: Good Guy Matching Configuration Tab**

Configuration Screen

Application Level Parameter Configuration | **Good guy matching configuration** | SLA Configuration | Auto Assignment Configuration | Cut-Off Configuration

**Good guy matching configuration:**

Payment Entity Full Name :  Yes  No

Watchlist Record Name :  Yes  No

Payment Entity Jurisdiction :  Yes  No

Watchlist Name :  Yes  No

Watchlist Record ID :  Yes  No

Payment Account ID :  Yes  No

Watchlist Last Update Date :  Yes  No

Save

- **Payment Entity Full Name:** The payment entity full name must be matched, so it is mandatory to set the value in the **Payment Entity Full Name** to **Yes**. If you do not set it to **Yes**, an error message, “**The Payment Entity Full Name should be set as Yes mandatorily.**” is displayed.

## 5.3 Configuring the SLA Parameters

Banks or FIs want to settle payments within a specified time. To achieve this, related alerts should be closed well within this specified time. The cut-off time is the defined duration by when the alert has to be closed. This is the time from when the Analyst starts working on the alert till the time the alert is closed. The SLA is defined as the time from when the alert is created or reopened to when the Payment is made. The Cut-off time will be well within the SLA. You must define the cut-off time and SLA.

Use the **SLA Configuration** window to define an SLA for a combination of message category, message type, currency, jurisdiction, business domain, message direction, transaction amount range, and message priority.

### NOTE

The SLA time must be defined in `HH:MM:SS` format.

You can set an automatic action to be taken by the system if the alert is not investigated within the defined SLA using the **Auto Action Parameter** field (this is an optional step). For example, if you select **Escalate**, then the alert is escalated to the Supervisor after the SLA time is passed. You can also set a notification to be sent for overdue alerts as soon as the cut-off time is passed for an alert to any user role, for example, to a supervisor. For more information, see the [Generating Email for Different Statuses](#) section.

To set the SLA time, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **SLA Configuration** tab.

**Figure 29: SLA Configuration Tab**

| Message Category | Message Type | Jurisdiction | Business Domain | Currency | From Amount | To Amount | Priority | SLA Time | Message Direction | Auto Action Parameter | Enable |
|------------------|--------------|--------------|-----------------|----------|-------------|-----------|----------|----------|-------------------|-----------------------|--------|
| Swift            | Any          | Any          | Any             |          |             |           | Any      | 00:01:02 | ANY               | Escalate              | Y      |
| Swift            | Any          | Any          | Any             |          |             |           | Any      | 00:01:02 | ANY               | Escalate              | Y      |
| FEDWIRE          | Any          | Any          | Any             |          |             |           | Any      | 00:01:02 | ANY               | None                  | Y      |
| Any              | Any          | Any          | Any             |          |             |           | Any      | 00:01:02 | ANY               | None                  | Y      |

3. Enter the SLA time in HH:MM:SS format.
4. Select an automatic action for an alert that is overdue. You can do one of the following:
  - Recommend to block the transaction
  - Block the transaction
  - Recommend to release the transaction
  - Release the transaction
  - Escalate the transaction
5. Select **Yes** to enable a specific combination, else select **No**.
6. To create a combination, use the following conditions. This is an optional step.
  - **Message Category:** Select the message category used for the transaction. You can also select **Any** to indicate that regardless of the message category, the SLA time is enabled for the combination. If you select **Any**, you cannot select a message type.
  - **Message Types:** Select a message type for the message category. You can also select **All** to indicate that the SLA time is enabled for all message types.
  - **Currency:** Enter the ISO currency code of the currency used for the transaction.
  - **Jurisdiction:** Select the jurisdiction/geography if the defined SLA time must apply to only this jurisdiction. You can also select **All** to select all jurisdictions/geographies.
  - **Business Domain:** Select the business domain if the defined SLA time must apply to only this business domain. You can also select **All** to select all business domains.
  - **Message Direction:** Select INBOUND for transactions that are coming into your account and select OUTBOUND for transactions that are going out of your account. You can also select **Any** to select any message direction.
  - **Amount:** Select the amount range used in the transaction.
  - **Priority:** Set a specific alert priority or select **Any** to indicate that the alert can have any priority.

After you select the values in the required fields, you can do the following:

**Table 5: General Actions**

| To...               | Do this...  |
|---------------------|---|
| Add a configuration | Click <b>Add</b> . The values appear in a tabular format. |

**Table 5: General Actions**

| To...   | Do this...  |
|---|---|
| Update a configuration                                    | Select the configuration you want to update, update the value of one or more fields, and click <b>Update</b> . The updated value is displayed in the table. |
| Remove a configuration                                    | Select the configuration you want to remove and click <b>Remove</b> . The selected configuration is removed from the table.                                 |
| Clear the values of some of the fields in a configuration | Click <b>Clear</b> . You can only clear the values of the Cut-Off Time, Currency, and Amount fields.  |
| Enable all configurations                                 | Click <b>Enable All</b> .   |
| Disable all configurations                                | Click <b>Disable All</b> .  |

## 5.4 Automatic Assignments of Alerts

The Transaction Filtering application provides two options for assigning alerts:

- **Manual assignment:** Here the user must manually assign alerts one by one using the lock button in the Investigation Use Interface.

When you manually assign an alert, then all alerts which belong to the selected jurisdiction/business domain are displayed. You can manually assign an alert if, for example, the Analyst to whom the alert is assigned is on leave. In this case, the Supervisor moves the status of the alert from **ASSIGNED** to **HOLD** in the Investigation User Interface. The Analyst can self-assign the alert using the lock/unlock feature. For more information on the Investigation User Interface, see the **Managing Transaction Filtering** chapter in the [Oracle Financial Services Transaction Filtering User Guide](#).

- **Automatic assignment:** Alerts are automatically assigned to the selected user role and respective user IDs. When you auto-assign an alert, the alert is automatically assigned to all users who belong to the selected role. You can use two options: load balancing or load balancing along with specific criteria, to assign the alert.

### NOTE

- The Transaction Filtering application assigns all new alerts to the Analyst by default.
- Alerts cannot be assigned to a user who is mapped to the Admin role.

### NOTE

You cannot change the mode of assignment from automatic to manual for an alert that is already assigned. You can only select a mode of assignment for new alerts.

To configure an alert to be assigned manually or automatically, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Auto Assignment Configuration** tab.
3. Select **Automatic** to auto-assign the alert to the selected role. Select **Manual** to manually assign an alert to the selected user.

If you select **Automatic**, you can choose between **Based On Load Balancing** to select a user role or **Custom Criteria With Combination Of Load Balancing** to select a user role along with the following conditions.

If you select **Based On Load Balancing**, all users who belong to the role are assigned the alert and the maximum capacity for each user role must be defined.

**Figure 30: Auto Assignment Configuration Tab with Based on Load Balancing Selection**

The screenshot shows the 'Auto Assignment Configuration' tab with the following settings:

- Alert Assignment Option:  Automatic
- Automatic Configuration:  Based On Load Balancing
- User Role: TFLTANYST
- User Id: TFANALYST
- Jurisdiction: Any
- Business Domain: Any
- Max Capacity: Enter Capacity
- Enable: Yes

| User Role | User Id   | Max Capacity | Jurisdiction | Business Domain | Enable |
|-----------|-----------|--------------|--------------|-----------------|--------|
| TFLTANYST | TFANALYST | 2            | All          | All             | Y      |

If you select **Custom Criteria With Combination Of Load Balancing**, you can select a user role and a specific combination of conditions. The system then applies load balancing along with these conditions, while also applying the maximum capacity defined for the users.

**Figure 31: Auto Assignment Configuration Tab Custom Criteria with Combination of Load Balancing**

The screenshot shows the 'Auto Assignment Configuration' tab with the following settings:

- Alert Assignment Option:  Automatic
- Automatic Configuration:  Custom Criteria With Combination Of Load Balancing
- User Role: TFLTANYST
- User Id: TFANALYST
- Jurisdiction: Any
- Business Domain: Any
- Max Capacity: Enter Capacity
- Enable: Yes
- Message Category: FEDWIRE
- Message Type: Any
- Match Score: From Match Score, To Match Score
- Priority: Any
- Currency: Enter an ISO currency
- Amount: From Amount, To Amount

| User Role | User Id   | Max Capacity | Jurisdiction | Business Domain | Enable | Message Category | Message Type | From Match Score | To Match Score | Currency | Priority | From Amount | To Amount |
|-----------|-----------|--------------|--------------|-----------------|--------|------------------|--------------|------------------|----------------|----------|----------|-------------|-----------|
| TFLTANYST | TFANALYST | 2            | All          | All             | Y      | Any              |              | 10               | 110            |          | Any      | 10          | 2000      |

The following conditions must be defined:

- **User Role:** Select the role to whom you want to automatically assign alerts. When you select the role, all users who belong to that role are displayed in the *User ID* field. You can assign an alert to any user except the Admin user.
- **User ID:** Select the user to whom you want to automatically assign alerts.
- **Jurisdiction:** Select the jurisdiction applicable to the combination, or select **All** to indicate that for all jurisdictions, the alert auto-assignment is enabled for the combination.
- **Business Domain:** Select the business domain applicable to the combination or select **All**.
- **Max Capacity:** Select the maximum number of alerts that can be investigated by the selected user.
- **Enable Flag:** Select **Yes** to enable the combination.

The following additional fields can be used to create a combination when you select **Custom Criteria With Combination Of Load Balancing**:

- **Message Category:** Select the message category used for the combination or select **Any** to indicate that regardless of the message category, the alert auto-assignment is enabled for the combination.
- **Message Types:** Select a message type for the message category or select **None**.
- **Match Score:** Select the match score range. If the match score is between this range, then the alert is assigned to the selected user based on the configuration.
- **Priority:** Set the message priority or select **Any**.
- **Currency:** Enter the ISO currency code of the currency used during the transaction.
- **Amount:** Select the amount range used in the transaction.

After you select the values in the required fields, you can do the following:

**Table 6: General Actions**

| To...   | Do this...  |
|---|---|
| Add a configuration                                       | Click <b>Add</b> . The values appear in a tabular format.   |
| Update a configuration                                    | Select the configuration you want to update, update the value of one or more fields, and click <b>Update</b> . The updated value is displayed in the table. |
| Remove a configuration                                    | Select the configuration you want to remove and click <b>Remove</b> . The selected configuration is removed from the table.                                 |
| Clear the values of some of the fields in a configuration | Click <b>Clear</b> . You can only clear the values of the <b>Currency</b> and <b>Amount</b> fields.   |
| Enable all configurations                                 | Click <b>Enable All</b> .   |
| Disable all configurations                                | Click <b>Disable All</b> .  |

## 5.5 Configuring the Cut-Off Parameters for Alerts

Banks or FIs want to settle payments within a specified time. To achieve this, related alerts should be closed well within this specified time. The cut-off time is the defined duration by when the alert has to be closed. This is the time from when the Analyst starts working on the alert till the time the alert is closed. The SLA is defined as the time from when the alert is created or reopened to when the Payment is made. The Cut-off time will be well within the SLA. You must define the cut-off time and SLA.

Use the **Cut-Off Configuration** window to set a cut-off time for the investigator to complete the alert investigation. You can either set a single cut-off time for all alerts or set different cut-off times for each alert based on multiple conditions such as message category, message type, jurisdiction, business domain, currency, amount range, message priority, and message direction.

**NOTE** The cut-off time must be defined in HH:MM:SS format and will be based on your locale.

To set a single cut-off time for all alerts, define the cut-off time in the **Cut-Off Time** field and then select **Any** in the condition fields which have drop-down values. Do not enter a value in the **Currency** and **Amount** fields.

To set different cut-off times based on specific values, define the cut-off time in the **Cut-Off Time** field and then select one or more values in the condition fields. Here, you can enter a value in the **Currency** and **Amount** fields. For more information, see [step 6](#).

**NOTE**

If you set different cut-off times, ensure that you define the conditions in such a way that the cut-off time defined for a specific set of conditions does not overwrite the cut-off time defined for another set of conditions.

When the cut-off time is set for an alert, the alert displays the time in *green* in the Investigation User Interface until the cut-off time is passed. After the cut-off time is passed, that is, the alert becomes overdue and is not investigated within the defined cut-off time, then the alert displays the time in *red* in the Investigation User Interface. For information on the Investigation User Interface, see the [Oracle Financial Services Transaction Filtering User Guide](#).

You can set an automatic action to be taken by the system if the alert is not investigated within the defined SLA using the **Auto Action Parameter** field (this is an optional step). For example, if you select **Escalate**, then the alert is escalated to the Supervisor after the cut-off time is passed. You can also set a notification to be sent for overdue alerts as soon as the cut-off time is passed for an alert to any user role, for example, to a supervisor. For more information, see the [Generating Email for Different Statuses](#) section.

To set the cut-off time, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Cut-Off Configuration** tab.

**Figure 32: Cut-Off Configuration Tab**

| Message Category | Message Type | Jurisdiction | Business Domain | Currency | From Amount | To Amount | Priority | Cut-Off Time | Timezone | Message Direction | Enable |
|------------------|--------------|--------------|-----------------|----------|-------------|-----------|----------|--------------|----------|-------------------|--------|
| Swift            | MT695        | Any          | Any             |          |             |           | Any      | 00:00:01     |          | OUTBOUND          | Y      |

3. Enter the cut-off time in **HH:MM:SS** format. This is the time period by when the alert must be closed by the investigator.
4. Enter the locale. The cut-off time is displayed based on your selection.
5. Select **Yes** to enable a specific combination, else select **No**.
6. To create a combination, use the following conditions. This is an optional step.
  - **Message Category:** Select the message category used for the transaction. You can also select **Any** to indicate that regardless of the message category, the cut-off time is enabled for the combination. If you select **Any**, you cannot select a message type.
  - **Message Types:** Select a message type for the message category. You can also select **All** to indicate that the cut-off time is enabled for all message types.
  - **Jurisdiction:** Select the jurisdiction/geography if the defined cut-off time must apply to only this jurisdiction. You can also select **All** to select all jurisdictions/geographies.

- **Business Domain:** Select the business domain if the defined cut-off time must apply to only this business domain. You can also select **All** to select all business domains.
- **Currency:** Enter the ISO currency code of the currency used for the transaction.
- **Amount:** Select the amount range used in the transaction.
- **Priority:** Set a specific alert priority or select **Any** to indicate that the alert can have any priority.
- **Message Direction:** Select INBOUND for transactions that are coming into your account and select OUTBOUND for transactions that are going out of your account. You can also select **Any** to select any message direction.

After you select the values in the required fields, you can do the following:

**Figure 33: General Actions**

| To...   | Do this...  |
|---|---|
| Add a configuration                                       | Click <b>Add</b> . The values appear in a tabular format.   |
| Update a configuration                                    | Select the configuration you want to update, update the value of one or more fields, and click <b>Update</b> . The updated value is displayed in the table. |
| Remove a configuration                                    | Select the configuration you want to remove and click <b>Remove</b> . The selected configuration is removed from the table.                                 |
| Clear the values of some of the fields in a configuration | Click <b>Clear</b> . You can only clear the values of the Cut-Off Time, Currency, and Amount fields.  |
| Enable all configurations                                 | Click <b>Enable All</b> .   |
| Disable all configurations                                | Click <b>Disable All</b> .  |

## 5.6 Setting the Priority for Messages

You can set the priority for a specific message category as **High**, **Medium**, and **Low** based on certain criteria such as the message jurisdiction, message type, and amount. The seeded message categories are **High**, **Medium**, and **Low**. To add other priority types, add the required priority type in the DIM\_ALERT\_PRIORITY\_TYPE table.

**NOTE** The ready-to-use application extracts some of the key fields of the message into the FSI\_RT\_MSG\_TAG table.

If you want to use any field to define the priority, write an SQL query in the V\_ATTRIBUTE\_VALUE1 column of the SETUP\_RT\_PARAMS table. At the end of the query, add the following *where* clause:

```
where t.n_grp_msg_id = [GRP_MSG_ID] and rownum = 1
```

To define the priority for a message category, follow these steps:

1. Run the following query to view the SETUP\_RT\_PARAMS table:
 

```
select * from SETUP_RT_PARAMS;
```
2. Search for the MESSAGE\_PRIORITY value in the V\_PARAM\_NAME column.



3. In the `V_ATTRIBUTE_VALUE1` column, write the query or function to define the priority.  
You can write functions or queries based on your criteria.

## 5.7 Running the Purge Utility

Use the purge utility to maintain all data such as alerts, transactions, and reference data for a specific archival period for all involved jurisdictions. The archival period can be configured by users who have the required permissions under each legal entity policy or local data protection requirements.

### NOTE

The archival period can be configured by users who have the required permissions under each legal entity policy or local data protection requirements. The archival period also applicable for the AdminGuide\_Transaction Filtering\_8.0.7.0.0 and AdminGuide\_Transaction Filtering\_8.1.1.0.0. For more information, see [Sanctions Application Pack](#).

To run the purge utility, follow these steps:

1. Go to the `purgeTF.sh` file in the `<installed area>/ficdb/bin/` directory and replace the `##Infodom##` placeholder with the name of your Infodom.
2. Run the purge utility from the `<installed area>/ficdb/bin/` directory using the following command:

```
./purgeTF.sh <from date in mm/dd/yyyy> <to date in mm/dd/yyyy> S/H
```

S stands for soft delete and H stands for hard delete.

For example, `./purgeTF.sh 11/11/2019 11/12/2019 S`

3. Verify the purge logs in the following directory:

```
<installed area>/ficdb/log/TFpurge/ path
```

## 5.8 Adding, Editing or Deleting Good Guy Records

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

### 5.8.1 Adding a Good Guy Record

Apart from adding a good guy record using the process mentioned in the **Good Guy/White List Matching** section in the [Oracle Financial Services Transaction Filtering User Guide](#), you can also manually add a record to the `FCC_WHITELIST` table, for example, if the record is a trusted customer.

To add a record, follow these steps:

1. Click **List Management** on the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. In the **Good Guy Summary** section, click **Add** . A pop-up window is displayed.

Figure 34: Good Guy Summary Pop-up Window

Match criteria for this record:

|                             |                      |   |
|-----------------------------|----------------------|---|
| Payment Entity Full Name *  | <input type="text"/> | <input type="radio"/> Yes                                     |
| Payment Entity Jurisdiction | EMEA                 | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Payment Account ID          | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Record Name       | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Name              | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Record ID         | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Last Update Date  | 06/21/2022           | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Expiration Date *           | 06/21/2022           | <input type="radio"/> Yes <input checked="" type="radio"/> No |

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

## 5.8.2 Editing a Good Guy Record

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

To edit the good guy record, follow these steps:

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

### 5.8.2.1 Updating the Status of an Expired Alert

If the Supervisor has not worked on the alert and it is past the expiry date, you must move it to the expiry status. To do this, run the Good Guy Expiry Check batch in the **Run** page.

## 5.8.3 Deleting a Good Guy Record

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

To delete the good guy record, follow these steps:

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

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

- **V\_ORIGIN**: This column contains the watch list name.
- **V\_WHITE\_ENTITY\_NAME**: This column contains the watch list record name.
- **V\_WHITE\_NAME**: This column contains the input message name.
- **V\_IDENTIFIER\_CODE**: This column contains the ID of the party name present in the `V_WHITE_NAME` column and comes from the input message.
- **N\_RECORD\_ID**: This column contains the watch list record ID.
- **V\_JURISDICTION**: This column contains the watch list jurisdiction.
- **D\_EXPIRE\_ON**: This column contains the date after which the record is no longer checked against the records in the `FCC_WHITELIST` table.

## 5.8.4 Good Guy Attributes

The system will generate a hashcode to capture the current state of attributes on the WL side based on EDQ configuration.

When a name event/match is taking place, and the **Last Updated Date** with fingerprinting option is selected as **Yes**.

If there is no change to the **Last Updated Date** field, then this is considered positive for good guy (match will be considered good guy if all other conditions are met).

If there is a change to the **Last Updated Date** field, then the hashcode will be compared. If they are identical, then this is considered positive for a good guy (match will be considered good guy if all other conditions are met).

The following fields are used for hashcode calculation:

1. WL - entities - prepared data:
  - `dnListKey` (e.g. "DJW")
  - `dnListSubKey` (e.g. "DJW-SAN" or "DJW-EDD")
  - `dnListRecordType` (e.g. "SAN" or "EDD")
  - `dnListRecordId` (e.g. "1044689")
  - `dnOriginalEntityName`
  - `dnEntityName`
  - `dnPrimaryName`
  - `dnOriginalScriptName`
  - `dnAddress`
  - `dnCity`
  - `dnState`

- dnAddressCountryCode
  - dnAddressCountry
  - dnAllCountries
  - dnAllCountryCodes (e.g. "RU")
2. WL - individuals - prepared data
- dnListKey (e.g. "DJW")
  - dnListSubKey (e.g. "DJW-SAN" or "DJW-EDD")
  - dnListRecordType (e.g. "SAN" or "EDD")
  - dnListRecordId (e.g. "1044689")
  - dnOriginalFullName
  - dnOriginalGivenNames
  - dnOriginalFamilyName
  - dnFullName
  - dnGivenNames
  - dnFamilyName
  - dnPrimaryName
  - dnOriginalScriptName
  - dnAddress
  - dnCity
  - dnState
  - dnAddressCountryCode
  - dnAddressCountry
  - dnAllCountries
  - dnAllCountryCodes (e.g. "RU")
- The fields used for hashcode calculation should be configurable by consulting as global configuration (1 set of fields).
  - This configuration cannot be changed per list type.
  - This is expected to be a 1-time activity that will happen during implementation.

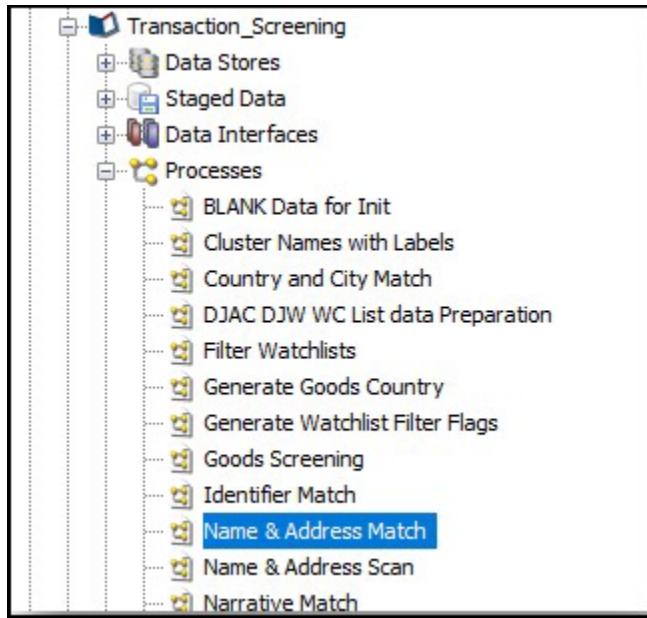
This functionality is expected to work for all types of lists - 3rd party lists and internal lists. This means an analyst should be able to mark a good guy based on an internal list match.

## 5.8.5 Managing the Good Guy Attributes

To change the Good Guy Attributes, follow these steps:

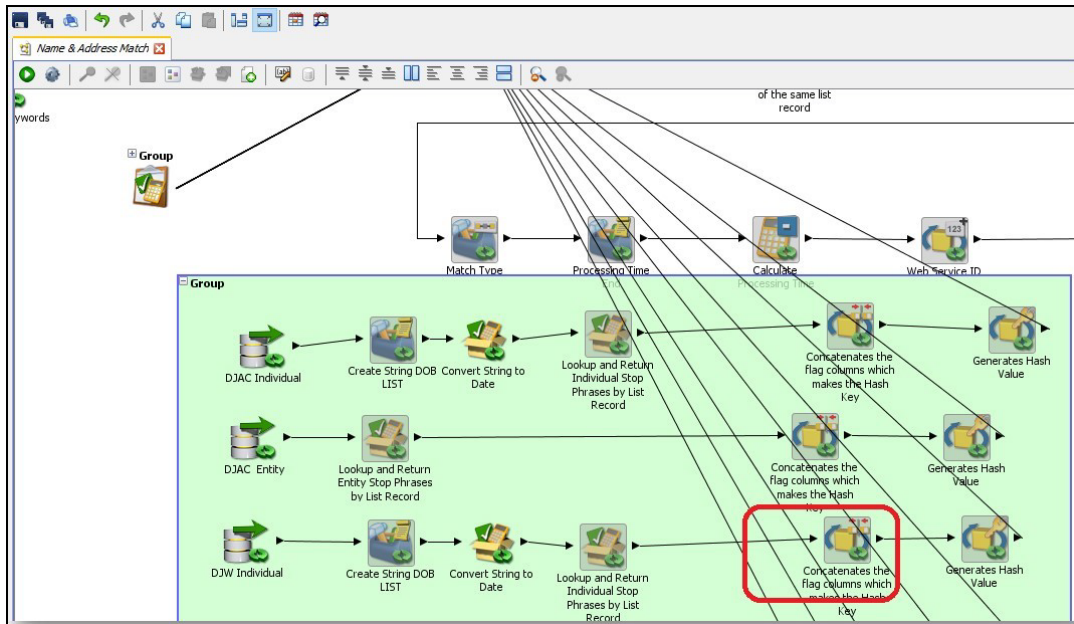
1. From the EDQ URL, open the Director and the Transaction\_Screening Project.

Figure 35: Transaction Screening Project



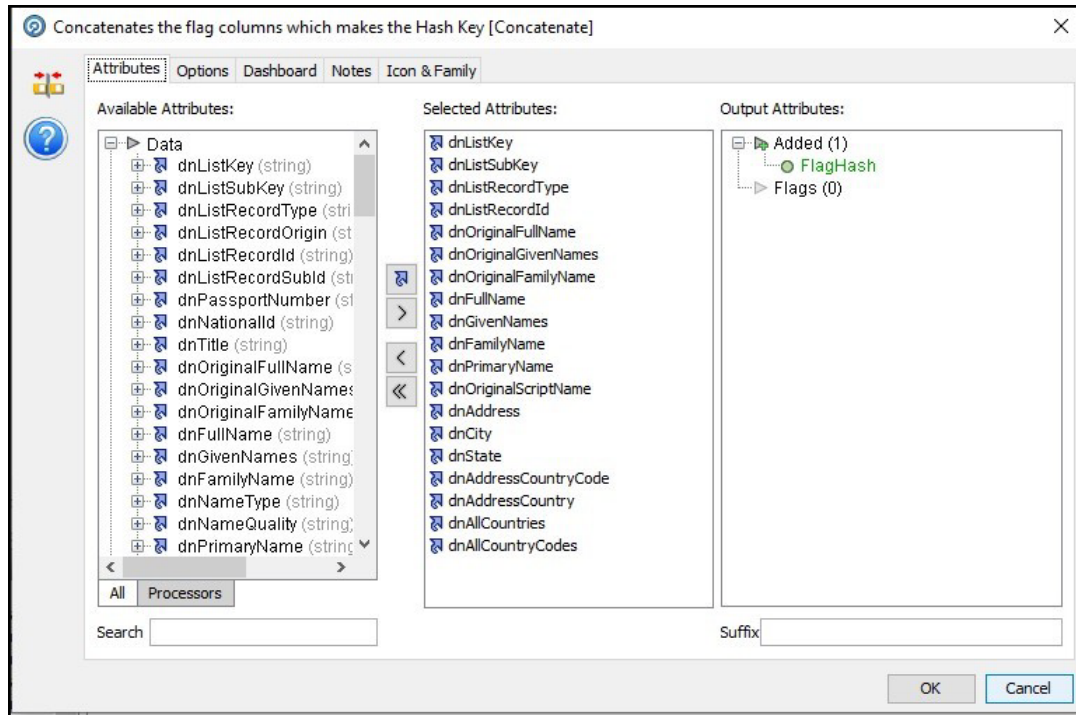
2. From Processes, open the **Name & Address Match**.

Figure 36: Name and Address Match



3. Expand the group and double click **“Concatenates the flag columns which makes the Hash Key”**.
4. You can map and unmap required set of attributes to make the hash key.

**Figure 37: Attributes for Concatenates the flag columns which makes the Hash Key**



## 5.9 Generating Email for Different Statuses

An email is generated for a transaction depending on its status. The following types of emails are generated:

- Notification Email
- Task Email

### 5.9.1 Notification Email

A notification email is generated for Blocked and Released transactions and the template is as follows:

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

Hi TFSUPERVISOR,

This is to inform you that a Notification is generated for you in your inbox for

Notification ID: <id>

Transaction Type: <Message Type>

Message Reference: <Message Reference>

Status: <Blocked/Released>

User Comments: <User comments>

Received On: 2017-07-25 12:03:19.0

Please access the below link to logon to Transaction Filtering System.

<Application URL>

Regards,

Admin

A notification email is generated for nearing cut-off/nearing SLA to supervisor and the template is as follows. Two different emails are sent for cut-off and SLA.

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

Hi TFSUPERVISOR/TFANALYST,

This is to inform you that a Notification is generated for you in your inbox for

Notification ID : <id>

Message Category: <Message Category>

Transaction Type : <Message Type>

Message Reference: <Message Reference>

Batch Reference: <Batch Reference>

Transaction Reference: <Transaction Reference>

Status : <HOLD/ASSIGNED/ESCALATED/BLOCK RECOMMENDED/RELEASE RECOMMENDED >

User Comments: <User comments>

Received On : <2017-07-25 12:03:19.0>

Please access the below link to logon to Transaction Filtering System.

<Application URL>

Regards,

Admin

## 5.9.2 Task Email

A task email is generated for Hold and Escalated transactions and the template is as follows:

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

Hi TFSUPERVISOR/TFANALYST,

This is to inform you that a Notification is generated for you in your inbox for

Task ID: <id>

Transaction Type: <Message Type>

Message Reference: <Message Reference>

Status: <Hold/Escalated>

User Comments: <User comments>            applicable to escalated only  
Received On: 2017-07-25 12:03:19.0

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

Regards,  
Admin

A task email is generated for nearing cut-off/nearing SLA to supervisor and the template is as follows.  
Two different emails are sent for cut-off and SLA.

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

Hi TFSUPERVISOR/TFANALYST,

This is to inform you that a Notification has been generated for you in your inbox for

Task ID : <id>

Message Category: <Message Category>

Transaction Type : <Message Type>

Message Reference: <Message Reference>

Batch Reference: <Batch Reference>

Transaction Reference: <Transaction Reference>

Status : <Overdue Cut-off/ Overdue SLA>            Note: not sure exact status name so use exact status which are used for cut-off overdue and SLA overdue.

User Comments: <User comments>            applicable to escalated only

Received On : 2017-07-25 12:03:19.0

Please access the below link to logon to Transaction Filtering System.

<Application URL>

Regards,  
Admin

## 5.10 **Configuring Alerts in Multiple Jurisdictions and Business Domains**

Alerts are segregated based on jurisdiction and business unit or line of business. You can also configure the alerts that are assigned to the users in the `tfanalytgroup` and `tf-supervisorgrp` groups.

Jurisdictions are used to limit user access to data in the database. The user must load all jurisdictions and associate user groups to jurisdictions in the tables as specified in [Configuring Jurisdictions and Business Domains](#). User groups can be associated with one or more jurisdictions.



**NOTE** All jurisdictions in the system reside in the FCC\_SWIFT\_JSRDSN\_MAP table.

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

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

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

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

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

**NOTE** All business domains in the system reside in the FCC\_SWIFT\_BUS\_DMN\_MAP table.

## 5.10.1 Configuring Jurisdictions and Business Domains

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

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

The following columns are provided to populate any additional information:

**Table 7: Columns used to provide additional information for Jurisdictions**

| Column                   | Data Type and Length |
|--------------------------|----------------------|
| V_EXTRACTED_SWIFT_-FIELD | VARCHAR2(100 CHAR)   |
| V_JRSDCN_CD              | VARCHAR2(40 CHAR)    |
| V_CUST_COLUMN_1          | VARCHAR2(4000 CHAR)  |
| V_CUST_COLUMN_2          | VARCHAR2(4000 CHAR)  |
| V_CUST_COLUMN_3          | VARCHAR2(4000 CHAR)  |
| V_CUST_COLUMN_4          | VARCHAR2(4000 CHAR)  |

**Table 7: Columns used to provide additional information for Jurisdictions**

| Column          | Data Type and Length |
|-----------------|----------------------|
| N_CUST_COLUMN_1 | NUMBER(20)           |
| N_CUST_COLUMN_2 | NUMBER(20)           |
| N_CUST_COLUMN_3 | NUMBER(20)           |
| N_CUST_COLUMN_4 | NUMBER(20)           |

2. Load all the business domains in the V\_BUS\_DMN\_CD column in the FCC\_SWIFT\_BUS\_DMN\_MAP table.

The following columns are provided to populate any additional information:

**Table 8: Columns used to provide additional information for Business Domains**

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

3. Map user groups to the appropriate jurisdiction and business domain. To do this, run the query `SELECT * FROM DOMAIN_JUR_GRP_MAP` and do the mapping in the DOMAIN\_JUR\_GRP\_MAP table and map with the additional columns STATUS\_CD, ALERT\_TYPE\_CD.

**NOTE**

- Refer N\_SANCTION\_STATUS\_CODE column from DIM\_SANCTIONS\_STATUS table for list of Status codes.
- Refer N\_ALERT\_TYPE\_CODE column from DIM\_SANC\_TF\_ALERT\_TYPE table for list of alert types.

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

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

4. Put the appropriate SQL query in the Message\_jurisdiction and Message\_Business\_Domain rows to derive the jurisdiction and business domain respectively in the Setup\_Rt\_Params table.

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

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

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

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

## 5.10.2 Configurations to Automatically Assign Transactions

In the `setup_rt_params` table, set the `V_ATTRIBUTE_VALUE1` value for `HOST_NAME`, `PORT` and `SANC_CONTEXT_NAME` corresponding to the `N_PARAM_IDENTIFIER` value as 55 and the `V_PARAM_NAME` value as `XML_WEB_SERVICE_BASE_URL`. It is in the following format:

```
http://##HOST_NAME##:##PORT##/##SANC_CONTEXT_NAME##/SanctionsService
```

**Example:**

```
http://whf00bls:8930/SAN807SEPA/SanctionsService
```

## 5.10.3 Configurations to Automatically Release Transactions

To configure a transaction for the *Auto Release* status, run the following query:

```
select * from fsi_rt_auto_release;
```

By default, the configuration is empty, which means that no transactions can be auto released. You can set the following values in the `fsi_rt_auto_release` table:

- Message category in the `V_MSG_CATEGORY` column. For example, a message category of 1 is mapped to the SWIFT message type by default. To see all default values, run the following query:

```
select * from dim_message_category;
```

- Message type in the `N_SWIFT_MSG_ID` column. For example, a message type of 1 is mapped to the MT101 message type by default. To see all default values, run the following query:

```
select * from dim_sanctions_swift;
```

- Jurisdiction in the `V_JURISDICTION` column.
- Business Domain in the `V_BUSINESS_DOMAIN` column.
- To see the default values for jurisdiction and business domain, run the following query:

```
select v_attribute_value1 from setup_rt_params where V_PARAM_NAME in ('MESSAGE_JURISDICTION', 'MESSAGE_BUSINESS_DOMAIN')
```

- To enable the configuration, set the **F\_ENABLED** column to **Y**.

## 5.11 Version Control

Version control for SWIFT messages, IPE, and ISO20022 is accomplished using the Import/export feature in Transaction Filtering. Say a file has been moved from one environment to another environment. Later, the file is updated. The import/export utility will create 2 separate files for each configuration. You can import both the files into the application and use a text file comparator such as *beyond compare* or a version control tool such as *SVN* to view the differences between the exported files.

Version control for EDQ follows a different process. EDQ has an inbuilt version control feature available, so you will just need to compare the `.dxi` files to view the differences.

### 5.11.1 Version Control for SWIFT Messages and IPE

The steps involved for SWIFT messages and IPE are the same. These steps are explained here:

1. Export the new file using the and save it in your local drive.
2. Import the file into the Transaction Filtering application.

You can now compare this file with another file. Ensure that you place these files in separate folders.

### 5.11.2 Version Control for ISO20022

The steps involved for ISO20022 are explained here:

1. Export the new file and save it in your local drive.
2. Import the file into the Transaction Filtering application.
3. You can now compare this file with another file. Ensure that you place these files in separate folders.

If you want to restore the current version to a previous version of the file, you can delete data from all the tables, import a previously exported file that has the date you want to restore into the application, and restart the webserver. This restores the configuration of the previous version.

### 5.11.3 Version Control for EDQ

To use the version control feature available within EDQ, follow these steps:

1. In the EDQ application, copy the two different versions of the `.dxi` files into the **EDQ Director** menu.
2. Click **View** and select **Configuration Analysis** in the **EDQ Director** menu.
3. In the popup which appears, select the versions that you want to compare.
4. Click **Configuration**.
5. In the popup which appears, select the differences only and click **OK**.
6. In the same window, select **Start Comparison**. This gives all changes between the two files.

For more information, see [Oracle Enterprise Data Quality Documentation](#).

## 5.12 Running the Migration Utility for SWIFT and Fedwire

Use this migration utility to import and export the SWIFT and Fedwire message configurations. For information on configuring the SWIFT message parameters, see [Configuring the SWIFT Message](#)

**Parameters.** For information on configuring the Fedwire message parameters, see [Configuring the Fedwire Message Parameters](#).

The message types provided in this utility are available in the `TF_Swift_Migration_Utility/output/MSG_TYPES` directory.

To export the configurations, follow these steps:

1. Navigate to the `TF_Swift_Migration_Utility/config` directory.
2. Open the `Dynamic.properties` file and update the placeholders as shown:

**Table 9: Configurations required in the `Dynamic.properties` file when running the export file**

| Placeholder                   | Update with...  |
|-------------------------------|---|
| <code>##jdbcurl##</code>      | Your JDBC URL.  |
| <code>##username##</code>     | The Atomic Schema user name using which you want to execute the files.  |
| <code>##password##</code>     | The Atomic Schema password for the user name.   |
| <code>##infodom##</code>      | Your Infodom name.  |
| <code>##SWIFT_MSG_ID##</code> | Your SWIFT ID. This is available in the <code>n_sanction_swift_msg_id</code> column in the <code>dim_sanctions_swift_details</code> table.<br>If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the `TF_Swift_Migration_Utility/bin` directory and run the `export.sh SWIFTMSGEXPORT MSG_TYPES` command.

`MSG_TYPES` is the folder name of the folder to which you can export the configurations. Before you perform the export, change the folder name. For example, `Exported`.

**WARNING** Do not change the folder name to `MSG_TYPES`. This will overwrite the ready-to-use message types provided with the utility.

To import the configurations, follow these steps:

1. Navigate to the `FIC_HOME/Transaction_Processing/TF_Swift_Migration_Utility/config` directory.
2. Open the `SWIFT_MSG_TYPES.txt` file and add the message types that you want to import to the `Exported` folder mentioned in the export configuration steps.
3. Open the `Dynamic.properties` file and update the placeholders as shown:

**Table 10: Configurations required in the `Dynamic.properties` file when running the import file**

| Placeholder               | Update with...   |
|---------------------------|--|
| <code>##jdbcurl##</code>  | Your JDBC URL.   |
| <code>##username##</code> | The Atomic Schema user name using which you want to execute the files. |
| <code>##password##</code> | The Atomic Schema password for the user name.                          |

4. Navigate to the `TF_Swift_Migration_Utility/bin` directory and run the `import.sh SWIFTMSGIMPORT MSG_TYPES` command.

`MSG_TYPES` is the folder name of the folder from where you can import the configurations. Before you perform the import, change the folder name. For example, `Imported`.

**WARNING** Do not change the folder name to `MSG_TYPES`. This will overwrite the ready-to-use message types provided with the utility.

After you complete the export and import steps, restart the web server. To verify if the message types have been successfully imported or not, check if the message types are available in the Message Type Configuration field in the [Message and Screening Configurations Window](#).

### 5.12.1 Restoring a Previous Message Configuration

To restore a configuration, you must first export and then import the configuration from that environment, and then restart the webserver. This restores the configuration of the previous version.

Follow these steps to restore the configuration:

1. Export the message configuration from the environment.

**NOTE** Ensure that you save the configuration.

2. To restore the previous version, Import the saved configuration.

When you import a message configuration, and the message already exists in the system, then the value of the `F_LATEST_IDENTIFIER` column is updated to **Y** in the `FSI_RT_SWIFT_CONF_DTLS` and `DIM_SANCTIONS_SWIFT_DETAILS` tables.

The audit history is captured in the `FSI_RT_SWIFT_CONF_DTLS_HIST` table in the `V_HIST_DESC` column and will have the following remark: Configuration Updated Through Migration Utility.

## 5.13 Running the Migration Utility for ISO20022

Use this migration utility to import and export the ISO20022 message configurations from one environment to another, for example, from the development server to UAT, and subsequently to production. For information on configuring the ISO20022 message parameters, see [Configurations for ISO20022 Message Parameters](#).

To use the utility, first export the configuration from the source environment and then import the file to the destination environment. To export the configuration, follow these steps:

1. Navigate to the `$FIC_HOME/Transaction_Processing/TF_Config_Migration_Utility/config` directory.
2. Open the `Dynamic.properties` file and update the placeholders as shown:

**Table 11: Configurations required in the `Dynamic.properties` file when running the export file**

| Placeholder               | Update with...   |
|---------------------------|--|
| <code>##jdbcurl##</code>  | Your JDBC URL.   |
| <code>##username##</code> | The Atomic Schema user name using which you want to execute the files. |

**Table 11: Configurations required in the `Dynamic.properties` file when running the export file**

| Placeholder                    | Update with...   |
|--------------------------------|--|
| <code>##password##</code>      | The Atomic Schema password for the user name.  |
| <code>##infodom##</code>       | Your Infodom name.   |
| <code>##N_XSD_CONF_ID##</code> | Your ISO20022 ID. This is available in the <code>n_xsd_conf_id</code> column in the <code>fcc_tf_xml_xsd_conf</code> table.<br>If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the `TF_Config_Migration_UTILITY/bin` directory and run the required command.

```
./export.sh SEPA
```

To import the configuration, follow these steps:

1. Navigate to the `TF_Config_Migration_UTILITY/config` directory.
2. Open the `Dynamic.properties` file and update the placeholders as shown:

**Table 12: Configurations required in the `Dynamic.properties` file when running the import file**

| Placeholder                    | Update with...   |
|--------------------------------|--|
| <code>##jdbcurl##</code>       | Your JDBC URL.   |
| <code>##user-name##</code>     | The Atomic Schema user name using which you want to execute the files.   |
| <code>##password##</code>      | The Atomic Schema password for the user name.  |
| <code>##infodom##</code>       | Your Infodom name.   |
| <code>##N_XSD_CONF_ID##</code> | Your ISO20022 ID. This is available in the <code>n_xsd_conf_id</code> column in the <code>fcc_tf_xml_xsd_conf</code> table.<br>If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the `TF_Config_Migration_UTILITY/bin` directory and run the required command.

```
./ import.sh SEPA.
```

## 5.14 Configuring JMS Correlation ID

JMS message has two properties (column) called Correlation ID and Message Identifier.

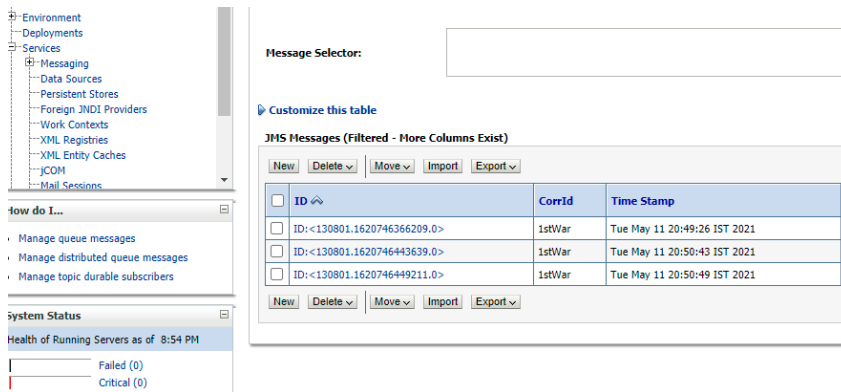
To set the Correlation ID, use the following sample code:

See *Code for Adaptor for SWIFT* section in the **Technical Integration Guide**.

```
SourceEntity srcEntity = new SourceEntity(busName); // already there
srcEntity.setCorrelationID("12345"); // corrid to be set (Optional)
```

Both initial and final feedback are set with same correlation ID while sending response to output queue.

Figure 38: JMS Message Output Queue



## 5.15 Configuring Parallel Processing

To enable parallel calling of EDQ web services, the following are the new configuration parameters introduced:

- **Setup\_rt\_params table:**
  - `ENABLE_PARALLEL_WS_CALL` - This Parameter is to indicate if a calling of EDQ Webservices from parser should be parallel or sequential. If the value is set to Y, it will be parallel. If the value is set to N, it will be sequential.
  - `ENABLE_PARALLEL_WS_TAGS_CALL` - This Parameter is to indicate if a calling of EDQ Webservices tags from the parser should be parallel or sequential. If the value is set to Y, it will be parallel. If the value is set to N, it will be sequential. By default OOB, both the parameters will be set to N.
- **static.properties file:**

The following are the new parameters introduced in the `static.properties` file under `<DeployedContext>/TFLT.ear/TFLT.war/conf`:

- `tf.edq.webservices.maxthread.count=6` - This Parameter is used to indicate EDQ Webservices thread count. This creates a thread pool with 6 threads executing the tasks.
- `tf.edq.webservices.tags.maxthread.count=5` - This Parameter is used to indicate EDQ Webservices tags thread count. This creates a thread pool with 5 threads executing the tasks. By default OOB thread count for both parameters is set to 6 and 5, respectively.

## 5.16 Configuring Additional Columns on the Alert List page

This configuration allows you to add additional column(s) on the Alert Search and List page and view additional information. It also provides the ability 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 `FSI_RT_ALERTS`



See [FCC\\_SANC\\_LIST\\_PAGE\\_CONFIG.xlsx](#) file for sample entries for Case ID and BIC Code Key

**NOTE**

Add an entry only for the DEFAULT view.

"TABLE\_NAME" column must have ' FSI\_RT\_ALERTS' value

"COLUMN\_NAME" column must have alias column name value in the parent table like caseld, bicCodeKey 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 TF\_LIST\_FILTER.

See [fcc\\_san\\_list\\_config.xlsx](#) file with sample entries for Case ID and BIC Code Key.

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 for sample entries for Case ID and BIC Code Key.

**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 table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is 'TF\_ALERTLIST\_GRID', with the new column details in select query to get the data for new column.
5. Update "v\_query" column in table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is 'TF\_ALERTLIST\_GRID\_FROM\_QUEUE', with the new column details in select query to get the data for new column.
6. Update "v\_query" column in table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is 'TF\_CLOSED\_ALERT\_GRID', with the new column details in select query to get the data for new column
7. This is an optional step. Do not follow the below steps if you are trying to configure the column from the existing listed tables in the query do not follow the below steps. 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 ' TF\_ALERTS\_COUNT\_IN\_QUEUE' with the new column details in select query to get the updated count value.
  - update "v\_query" column in this table "FCC\_SANC\_LIST\_PAGE\_QUERY\_CONF" where "V\_QUERY\_IDENTIFIER" column value is ' TF\_ALERTS\_ZIPPER\_COUNT' with the new column details in select query to get the updated count value.

## 5.17 Retrigger Functionality

While posting the SWIFT/Fedwire/ISO20022 messages, if any of the EDQ web service pointing to the application is down, messages will be retriggered once all the required web services are up.

The Retrigger configuration parameters are:

- **RETRIGGER\_INTERVAL\_MINS** parameter in the `setup_rt_params` table under atomic schema. By default, `V_ATTRIBUTE_VALUE1` value is set to 30 min which are customizable and can be changed (increased/decreased) as per user requirement.
- **RETRIGGER\_MAX\_RETRIES** parameter in the `setup_rt_params` table under atomic schema. By default, `V_ATTRIBUTE_VALUE1` value is set to 5, which is customizable and can be changed (increased/decreased) as per user requirement. Once the max value is reached per message, the

retrigger loop will be terminated, and the `V_RETRY_STATUS_CD` parameter is updated to T for the particular message in `FSI_RT_RAW_DATA` table.

### 5.17.1 Configuring Data Source in WebLogic Application Server

If the `ENABLE_PARALLEL_WS_CALL` and `ENABLE_PARALLEL_WS_TAGS_CALL` parameter values are **Y** in the `SETUP_RT_PARAMS` table, it is recommended to perform the following configuration in Weblogic Application Server to avoid retrigger failure.

1. Open WebLogic Application Server. For more information, see [Oracle Financial Services Sanctions Pack Installation and Configuration Guide](#).
2. From the LHS menu (Domain Structure), click Services **Data Sources**. The Summary of JDBC Data Sources window is displayed.
3. Select **SANCINFO** from the **Data Sources** table. The Settings for SANCINFO window is displayed.
4. Select the **Connection Pool** tab.
5. Click **Advanced**. The Advanced informations are displayed.
6. Click and select the **Test Connections On Reserve** Check box and enter the value as **SQL IS VALID** in Test Table Name.
7. Click **Save**.

## 5.18 Configuring New Watchlist Summary Field Name

To configure or add new watchlist field name to display in the watchlist summary details follow the subsequent steps:

1. Access the `Config` schema and access the `messages_en_US` table.
2. Map the new field names in `messages_en_US` table as below:
  - `msg_identifier` as `ZTF_WATCHLIST_<field_Name>`
  - `msg_package` as `RENDERER`
  - `msg_description` as `<field_Name>`

---

**NOTE** The remaining parameter entries can be same as other entries in the table.

For Example:

```
insert into messages_en_us (MSG_PACKAGE, MSG_IDENTIFIER, MSG_CODE,
MSG_DESCRIPTION,MSG_TYPE) values
('RENDERER', 'ZTF_WATCHLIST_ADDRESS_COUNTRY_CODE', '80808', 'Address Country
Code', 'L');
```

## 6 Configuring the SWIFT Message Parameters

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

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **SWIFT Configuration Admin**. The **Message and Screening Configurations** tab is displayed.

### NOTE

The following screens are the same for the Fedwire and SWIFT message parameters.

This tab has the following windows:

- [Message and Screening Configurations Window](#)
- [<Message Type> Subfield Level Configuration Window](#)
- [<Message Type> Screening Configuration Window](#)
- [<Message Type> Other Field/Subfield Configuration Window](#)

### 6.1 Message and Screening Configurations Window

This window allows you to edit the status, field names, and expressions of the different JSON parameters in the message.

In the Message Type Configuration field, select the SWIFT message category. All message definitions are SWIFT 2019 compliant.

The following message types, MTC11, MTC22, MTC33, and MTC44, have been introduced for creating custom message categories, and they support UTF-8 characters. To add custom message categories, use the `dim_sanc_swift_msg_details` table. The new format must contain *MTC* and must be followed by a two-digit number.

You can also add a single line or multiple lines for Chinese characters. To add a single line, use `100k` for the expression in the configuration JSON. To add multiple lines, use `100*100k` for the expression in the configuration JSON.

**Figure 39: Sample format for MTC11/MTC22/MTC33/MTC44 SWIFT message type**

```
{1:F01SIIBSYDA9998525820}
{2:OC11540170801FSBKDZALAXX1237
0781261708020718N}{4:
:20:OAC44591555/5465
:11A:参考阿斯塔
:12:Osama Bin laden
Pakistan
:13:你好
:14:印度
:15:数据
数据
数据
:16:test data
-}{5:{MAC:44544500}
{CHK:3E59F535C1E9}{PDE:}{PDE:}
{DLM:}}{S:{SAC:}{COP:S}}
```

In this example, C11 can be either 11 or 11A and not 111. So, the tag can either start with two numbers or two numbers and one alphabet. The value in the 11A tag represents 100k in the JSON expression, and the value in the 15 tag represents 100\*100k in the JSON expression.

A sample JSON is shown:

```
{
  "attr": {
    "id": "t4:2:2",
    "field": "12",
    "status": "M",
    "fieldName": "Entity Type",
    "expression": "100k",
    "regex": "",
    "editable": "Y"
  }
},
{
  "attr": {
    "id": "t4:2:3",
    "field": "13",
    "status": "M",
    "fieldName": "Entity Relationship",
```

```

        "expression": "100*100k",
        "regex": "",
        "editable": "Y"
    }
},

```

Each message type has five blocks: Basic Header Block, Application Header Block, User Header Block, Text Block, and Trailer Block.

**Figure 40: Message and Screening Configurations Window for SWIFT**

|                             |                              | Expression dd |
|-----------------------------|------------------------------|---------------|
| Basic Header Block          |                              |               |
|                             | Block Identifier             |               |
|                             | Application Identifier       |               |
|                             | Service Identifier           |               |
|                             | LT Identifier                |               |
|                             | Session Number               |               |
|                             | Sequence Number (ISN or OSN) |               |
| Application Header Block    |                              |               |
| Application Header - Input  |                              |               |
| Application Header - Output |                              |               |
| User Header Block           |                              |               |

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

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

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

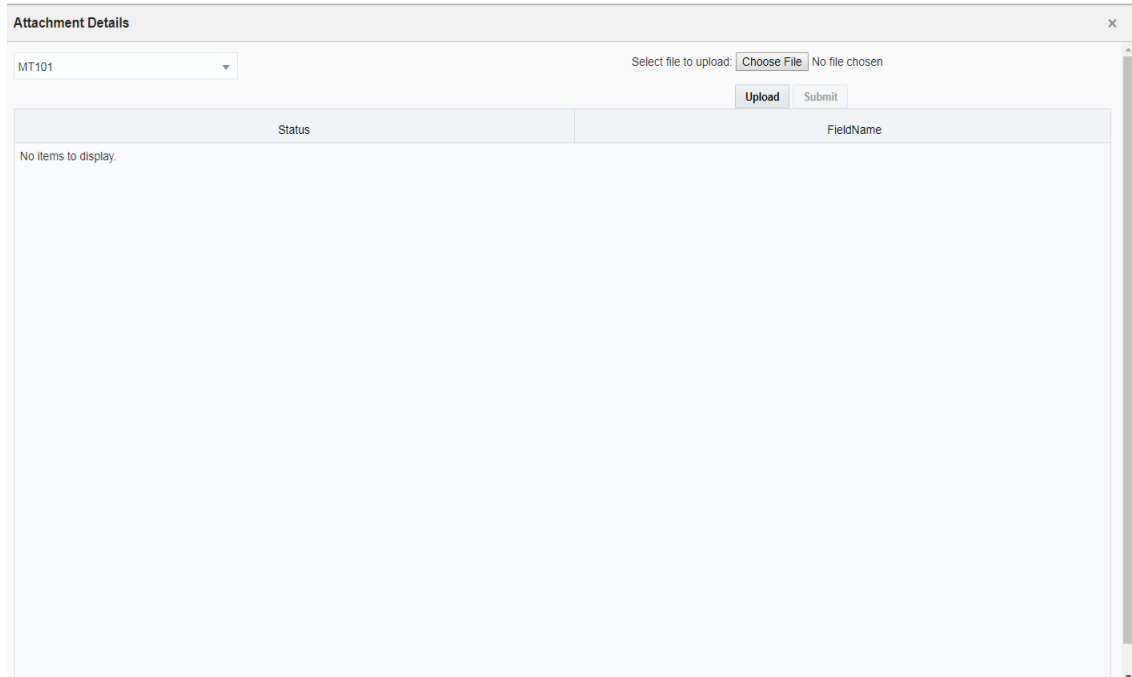
### 6.1.1 Adding or Updating a New Message Type

To add or update an existing message type, follow these steps:

1. Click the **Add/Update** button. The **Attachment Details** window is displayed.

2. Select the type of message that you want to add or update from the drop-down list.

**Figure 41: Attachment Details Window**



3. To upload an attachment, click **Choose File** . You can upload only one attachment at a time.

**NOTE** This file must be of the format `.json` or `.txt`.

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

For more information on the JSON format, see [Structure of a JSON](#).

## 6.1.2 Repeating Sequences

If the SWIFT message contains sequences and the same tag repeats in both the sequences and the subsequences, then you must set the `V_REPEAT_TYPE` column to `Y` in the `dim_sanc_swift_msg_details` table before you upload a new message type. If a SWIFT message has already been uploaded, then after you set the `V_REPEAT_TYPE` column to `Y` in the `dim_sanc_swift_msg_details` table, you can click the **Save** button in the Message Type Configuration.

## 6.1.3 Configuring Message and Transaction References

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

**Figure 42: Reference Configuration Window**

Message Identifier:

Transaction Reference:

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

## 6.2 <Message Type> Subfield Level Configuration Window

This window allows you to add a subfield to a field in the **Message Type Configuration** Window.

**Figure 43: <Message Type> Subfield Level Configuration Window**

| Expression ID | Expression Name | Expression Description | Field | Field/Subfield Name         |
|---------------|-----------------|------------------------|-------|-----------------------------|
| EXPAMOUNTid   | Amount          | Transaction Amount     | 32B   | Currency/Transaction Amount |
| EXPCURRENCYid | Currency        | Transaction Currency   | 32B   | Currency/Transaction Amount |





- To add a subfield, provide the required values in the fields shown in the window and click **Add**

. Enter values in the following fields:

**Table 13: Fields in the <Message Type> Subfield Level Configuration Window**

| Fields                                  | Field Description  |
|---|--|
| Expression Identifier                   | Enter a unique identifier. It must begin with an alpha character and must not contain any spaces. This is a mandatory field.   |
| Expression Name                         | Enter a name for the expression. The name must be in capital letters. This is a mandatory field.   |
| Expression Description                  | Enter a description for the Expression. This is a mandatory field.   |
| Field                                   | This field displays a complete list of fields in the drop-down for the given message type. Select the field from this drop-down field to configure the expression.   |
| Field/Subfield Name                     | This field displays the respective field name or subfield options for the field that was previously selected. Select the subfield from the drop-down list.   |
| Subfield Expression Format & Occurrence | This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1. |

**Table 13: Fields in the <Message Type> Subfield Level Configuration Window**

| Fields        | Field Description   |
|---------------|---|
| Add button    | To add a subfield, provide the required values in the fields shown above and click <b>Add</b>  .                     |
| Update button | To update an existing subfield, click the name of the subfield. After you make the changes, click <b>Update</b>  . |
| Remove button | To remove an existing subfield, click the name of the subfield and click <b>Remove</b>  .                            |
| Clear button  | To clear the data in these fields, click <b>Clear</b>  .   |

- To update an existing subfield, click the name of the subfield. After you make the changes, click **Update**.
- To remove an existing subfield, click the name of the subfield and click **Remove**.
- To clear the data in these fields, click **Clear**.

You can configure the subfield in two ways:

- By configuring the **subfield level data within the option** expression: Do this if you want to configure specific data within the expression.

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

Option A:

```
[/1!a][/34x]      (Party Identifier)
4!a2!a2!c[3!c]   (Identifier Code)
```

You must enter the names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

- By configuring the element level data within the subfield expression: Do this if you want to further configure any data out of the subfield.

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

Option A:

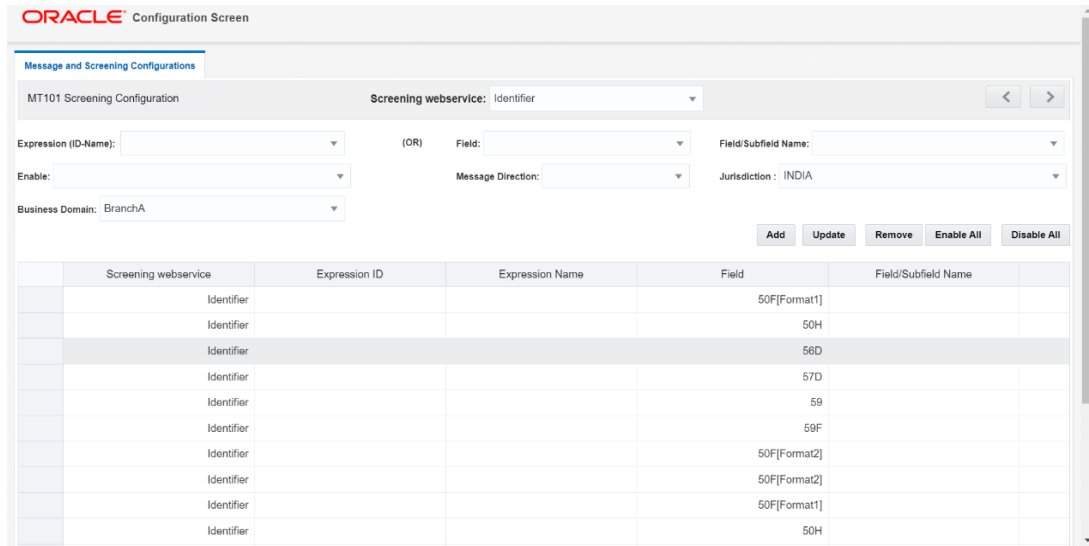
```
[/1!a][/34x]      (Party Identifier)
4!a 2!a 2!c[3!c]   (Identifier Code)
```

## 6.3 <Message Type> Screening Configuration Window

This window allows you to add, update, remove, and enable or disable a web service.



**Figure 44: <Message Type> Screening Configuration Window**




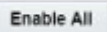



To view a web service, enter values in the following fields:

**Table 14: Fields in the <Message Type> Screening Configuration Window**

| Fields               | Field Description   |
|----------------------|---|
| Screening Webservice | <p>Select a screening web service from the drop-down list. This field lists all the supported matching web services in the <b>Transaction Filtering</b> application. The following web services are available:</p> <ul style="list-style-type: none"> <li>Identifier</li> <li>Country and City</li> <li>Goods Screening</li> <li>Name and Address</li> <li>Narrative or Free Text Information</li> <li>Port Screening</li> </ul> <p>The fields for all web services except Goods Screening are as shown here. For information on the fields for Goods Screening, see <a href="#">Fields for Goods Web Services</a>.</p> |
| Expression (ID-Name) | Select an expression identifier. When you select an expression identifier, the values are populated in the Field and Field/Subfield Name fields.  |
| Field                | Select the field name.  |
| Field/Subfield Name  | Select the subfield name. This displays the expression.   |
| Enable               | Select <b>Yes</b> to enable the web service. Select <b>No</b> to disable the web service.   |
| Message Direction    | Select <b>INBOUND(o)</b> and <b>OUTBOUND(i)</b> based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select <b>inbound</b> , else select <b>outbound</b> . If that field must be screened for both inbound and outbound, then select <b>ANY</b> .  |

**Table 14: Fields in the <Message Type> Screening Configuration Window**

| Fields             | Field Description  |
|--------------------|--|
| Jurisdiction       | <p>Select <b>All</b> to apply the Webservice for all jurisdictions or select the specific jurisdiction to apply the webservice for a specific jurisdiction.</p> <p>Use the <code>kdd_jrscn</code> table to configure the jurisdiction values. It has the following columns:</p> <ul style="list-style-type: none"> <li>• JRSDCN_CD: Values must be unique.</li> <li>• JRSDCN_NM: Actual jurisdiction name.</li> <li>• JRSDCN_DSPLY_NM: Jurisdiction name displayed in the Message and Configurations screen.</li> <li>• JRSDCN_DESC_TX: Optional field to adbusinessd descriptions for the jurisdictions.</li> </ul> |
| Add button         | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .   |
| Update button      | To update a web service, select the web service that you want to update and click <b>Update</b>  .  |
| Remove button      | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  .  |
| Enable All button  | To enable all web services, click <b>Enable All</b>  .   |
| Disable All button | To disable all web services, click <b>Disable All</b>  .  |

The fields you can use to configure the Goods web service are different from the fields you can use to configure the other web services. These fields are as shown:

**Figure 45: Fields for Goods Web Services**

MT101 Screening Configuration      Screening WebService: Goods Screening

**Goods:** Expression Identifier: [ ] (OR) Tag: [ ] Field Name: [ ]

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

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






Message Direction: INBOUND      Enable: Yes

Add Update Remove Enable All Disable All

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

Message Direction: INBOUND  
 Enable: Y

**Table 15: Fields in the Goods Web Service Window**

| Fields                | Field Description  |
|-----------------------|--|
| Expression Identifier | Select the Expression for the good.  |
| Tag                   | Select the tag related to the good. Based on the tag selected, the field name is populated.  |
| Field Name            | The field name is populated based on the tag selected.   |
| Message Direction     | Select <b>INBOUND(o)</b> and <b>OUTBOUND(i)</b> based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select <b>inbound</b> , else select <b>outbound</b> . If that field must be screened for both inbound and outbound, then select <b>ANY</b> . |
| Enable                | Select <b>Yes</b> to enable the message in a direction. Select <b>No</b> to disable the message in a direction.  |
| Add button            | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .   |
| Update button         | To update a web service, select the web service that you want to update and click <b>Update</b>  .  |
| Remove button         | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  .  |
| Enable All button     | To enable all web services, click <b>Enable All</b>  .  |
| Disable All button    | To disable all web services, click <b>Disable All</b>  .  |

### 6.3.1 Enabling or Disabling a Web Service

By default, every web service is enabled. You can change the message configuration by disabling a web service. When you do this, the selected web service is not evaluated.

To enable or disable one or more web services, replace the [WEBSERVICE\_IDS] placeholder with the corresponding web service ID. The web services and the corresponding IDs are shown here:

**Table 16: Web Services in Transaction Filtering**

| Web Service                        | Web Service ID                     |
|------------------------------------|------------------------------------|
| Name and Address                   | Name and Address                   |
| BIC                                | BIC                                |
| Country and City                   | Country and City                   |
| Narrative or Free Text Information | Narrative or Free Text Information |
| Port Screening                     | Port Screening                     |
| Goods Screening                    | Goods Screening                    |

To disable all the web services, replace the [WEBSERVICE\_IDS] placeholder with 1, 2, 3, 4, 5, 6 in the following command:

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

To enable all the web services, change **N** to **Y**.

### 6.3.2 Updating and Removing a Web Service

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

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

### 6.3.3 Populating Data for the Trade Goods and Trade Port Web Services

Data for the Trade goods and Trade port web services are taken from a reference table. To populate data for these web services, do this:

1. In the **EDQ Director** menu, go to the **Watch List Management** project.
2. Right-click on the **Reference Data Refresh** job.
3. Click **Run**. Provide a unique run label and run profile.
4. When you run this job, the port and goods reference data are refreshed at the same time.
5. Go to the **Transaction Filtering** project.
6. Right-click on the **MAIN-Shutdown Real-time Screening** job to shut down all web services.
7. Click **Run**.
8. Right-click on the **MAIN** job to restart all web services.
9. Click **Run**.

## 6.4 <Message Type> Other Field/Subfield Configuration Window



This window allows you to update the other fields which are required for the application. It displays the list of fixed business data/names for the required fields to run the system for any given message type. You can select a business data value to mention the source for a given message type.

**Figure 46: <Message Type> Other Field/Subfield Configuration Window**

| Generic Business Data:              | Expression ID | Expression Name | Field        | Field/Subfield Name |
|-------------------------------------|---------------|-----------------|--------------|---------------------|
| Amount                              | EXPAMOUNTid   | Amount          |              |                     |
| Beneficiary Address                 |               |                 | 59           | Name and Addre      |
| Beneficiary IBAN/Account/Identifier |               |                 | 59A          | Accou               |
| Currency                            | EXPCURRENCYid | Currency        |              |                     |
| Message Identifier                  |               |                 | 20           | Sender's Referen    |
| Originator Address                  |               |                 | 50F[Format1] | Name and Addre      |
| Originator Address                  |               |                 | 50F[Format2] | Name and Addre      |
| Originator Address                  |               |                 | 50H          | Name and Addre      |

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

**Table 17: Fields in the <Message Type> Other Field/Subfield Configuration Window**

| Fields                | Field Description  |
|-----------------------|--|
| Generic Business Data | This field displays the Business Name of the record that is selected. It is mandatory to configure this field.<br>If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the first tag of the sequence according to the SWIFT standard.                           |
| Message Direction     | Select <b>INBOUND(o)</b> and <b>OUTBOUND(i)</b> based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select <b>inbound</b> , else select <b>outbound</b> . If that field must be screened for both inbound and outbound, then select <b>ANY</b> . |
| Expression (ID-Name)  | Select an expression identifier. When you select an expression identifier, the values are populated in the <b>Field</b> and <b>Field/Subfield Name</b> fields.   |
| Field                 | Select the field name.   |
| Field/Subfield Name   | Select the Subfield Name. This displays the Expression.  |
| Add button            | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .   |
| Update button         | To update a web service, select the web service that you want to update and click <b>Update</b>  .  |

**Table 17: Fields in the <Message Type> Other Field/Subfield Configuration Window**

| Fields        | Field Description   |
|---------------|---|
| Remove button | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  . |

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

## 7 Configuring the Fedwire Message Parameters

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

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **FEDWIRE Configuration Admin**. The **Message and Screening Configurations** tab is displayed.

**NOTE** The following screens are the same for the Fedwire and SWIFT message parameters.

**Figure 47: Message and Screening Configurations tab for Fedwire**

|              |   |  | Expression dd      |
|--------------|---|--|--------------------|
| ▲ Text Block |   |  |                    |
| 1100         | M | Message Disposition                        | 2!n1!c1r1!c        |
| 1110         | M | Receipt Time Stamp                         | 4!n4!n4!c          |
| 1120         | M | Output Message Accountability Data         | 8!n8!c6!n4!n4!n4!c |
| 1130         | O | Error                                      | 1!c3!c35r          |
| 1500         | M | Sender Supplied Information                | 2!n8!c1!c1!c       |
| 1510         | M | Type/Subtype                               | 2!n2!n             |
| 1520         | M | Input Cycle Date/Input Source/Input Sequer | 8!n8!c6!n          |
| 2000         | M | Amount                                     | 12!n               |

This tab has the following windows:

- [Message Type Configuration Window](#)
- [<Message Type> Subfield Level Configuration Window](#)
- [<Message Type> Screening Configuration Window](#)
- [<Message Type> Other Field/Subfield Configuration Window](#)

### 7.1 Message Type Configuration Window

This window allows you to edit the status, field names, and expressions of the different JSON parameters in the message.

In the **Message Type Configuration** field, select the Fedwire message category.

The following image shows a sample Fedwire message:

**Figure 48: Sample Fedwire Message**

```
{1100}02P 7{1110}03082108FT01{1120}200603098680072D00000103082108FT01{1500}30QWERTYUIPP{1510}1002{1520}20200317CTRFULLC000156{2000}000001234567{3100}123456789IRAN
DEVOTIONAL*{3320}IPE1030800065862{3400}123456789RIHS IVORY COASTS SOMALIA*{3500}PREMSGIDENTIFIER{3600}BTR{4000}BSIBSYDA*SYRIA INTERNATIONAL ISLAMIC BANK
*****{4100}D121149*MELLI BANKAS*Paris*FRANCE**{4200}D1234456656*MELLI BANKAS*Paris*FRANCE**{4320}TERRORIST{5000}D123456789*Wells Fargo Bank Texas National*Association 109 North San
Saba*San Antonio Texas 78207**{5100}BBOFAUS3N*COOPER&PRICE MANAGEMENT MANULIFE *PLAZA ROOM 1202-05 12TH FLOOR*THE HK,HONG
KONG**{5200}CCHIPSParticipant*Name*Address1*Address2*Address3*{6000}YOUR INVOICE OFF-0506-7450*****{6100}ROUTING NO
026005322*****{6200}Terrorist*****{6210}LTRLETTERDETAILS*****{6300}YOUR INVOICE OFF-0506-7450*****{6310}LTRQWERTYUIOP*****{6400}/C NO.CR2016/151479 YR.
REF*RCL/FBDL/151479*****{6410}LTRLETTERDETAILS*****{6420}CHECK123456*{6500}CHECK123456*****
```

Each message type has a Text Block. The fields in the Text Block may change depending on the message type.

**Figure 49: Message and Screening Configurations tab for Fedwire**

| Message Identifier | Status | Field Name                                 | Expression         |
|--------------------|--------|--|--------------------|
| 1100               | M      | Message Disposition                        | 2ln1c1r1c          |
| 1110               | M      | Receipt Time Stamp                         | 4ln4ln4lc          |
| 1120               | M      | Output Message Accountability Data         | 8ln8lc6ln4ln4ln4lc |
| 1130               | O      | Error                                      | 1lc3lc35r          |
| 1500               | M      | Sender Supplied Information                | 2ln8lc1lc1lc       |
| 1510               | M      | Type/Subtype                               | 2ln2ln             |
| 1520               | M      | Input Cycle Date/Input Source/Input Sequer | 8ln8lc6ln          |
| 2000               | M      | Amount                                     | 12ln               |

In this figure, the first column lists all the message identifiers for the Fedwire message category. The other columns are:

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

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

### 7.1.1 Adding or Updating a New Message Type

To add or update an existing message type, follow these steps:

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



**Figure 50: Attachment Details Window**

3. To upload an attachment, click **Choose File** . You can upload only one attachment at a time.

**NOTE** This file must be of the format `.json` or `.txt`.

4. Click **Upload**.
5. Click **Submit**. The message is displayed in the following table as <Message Type\_draft>. For information on the JSON structure, see [Structure of a JSON](#).

## 7.1.2 Configuring Message and Transaction References

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

**Figure 51: Reference Configuration Window**


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

## 7.2 <Message Type> Subfield Level Configuration Window





This window allows you to add a subfield to a field in the **Message Type Configuration** Window.

**Figure 52: <Message Type> Subfield Level Configuration Window**

| Expression ID | Expression Name | Expression Description | Field | Field/Subfield Name         |
|---------------|-----------------|------------------------|-------|-----------------------------|
| EXPAMOUNTid   | Amount          | Transaction Amount     | 32B   | Currency/Transaction Amount |
| EXPCURRENCYid | Currency        | Transaction Currency   | 32B   | Currency/Transaction Amount |

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

**Table 18: Fields in the <Message Type> Subfield Level Configuration Window**

| Fields                                  | Field Description  |
|---|--|
| Expression Identifier                   | Enter a unique identifier. It must begin with an alpha character and must not contain any spaces. This is a mandatory field.   |
| Expression Name                         | Enter a name for the expression. The name must be in capital letters. This is a mandatory field.   |
| Expression Description                  | Enter a description for the Expression. This is a mandatory field.   |
| Field                                   | This field displays a complete list of fields in the drop-down for the given message type. Select the field from this drop-down field to configure the expression.   |
| Field/Subfield Name                     | This field displays the respective field name or subfield options for the field that was previously selected. Select the subfield from the drop-down list.   |
| Subfield Expression Format & Occurrence | This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1. |
| Add button                              | To add a subfield, provide the required values in the fields shown above and click <b>Add</b>  .  |
| Update button                           | To update an existing subfield, click the name of the subfield. After you make the changes, click <b>Update</b>  .                                |
| Remove button                           | To remove an existing subfield, click the name of the subfield and click <b>Remove</b>  .   |
| Clear button                            | To clear the data in these fields, click <b>Clear</b>  .  |

You can configure the subfield in two ways:

- By configuring the **subfield level data within the option** expression: Do this if you want to configure specific data within the expression.

For example, if 1100 has four options A, B, C, and D in the FDBTR1002 message but you want to configure BIC (Identifier Code) from option A:

Option A:

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

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

You must enter the names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

- By configuring the element level data within the subfield expression: Do this if you want to further configure any data out of the subfield.

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

Option A:

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

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

## 7.1 <Message Type> Screening Configuration Window




This window allows you to add, update, remove, and enable or disable a web service.

**Figure 53: <Message Type> Screening Configuration Window**



| Screening webservice | Expression ID | Expression Name | Field | Field/Subfield Name |
|----------------------|---------------|-----------------|-------|---------------------|
| BIC                  |               |                 | 4000  |                     |
| BIC                  |               |                 | 4100  |                     |
| BIC                  |               |                 | 4200  |                     |
| BIC                  |               |                 | 5000  |                     |
| BIC                  |               |                 | 5100  |                     |
| BIC                  |               |                 | 5200  |                     |

To view a web service, enter values in the following fields:

**Table 19: Fields in the <Message Type> Screening Configuration Window**

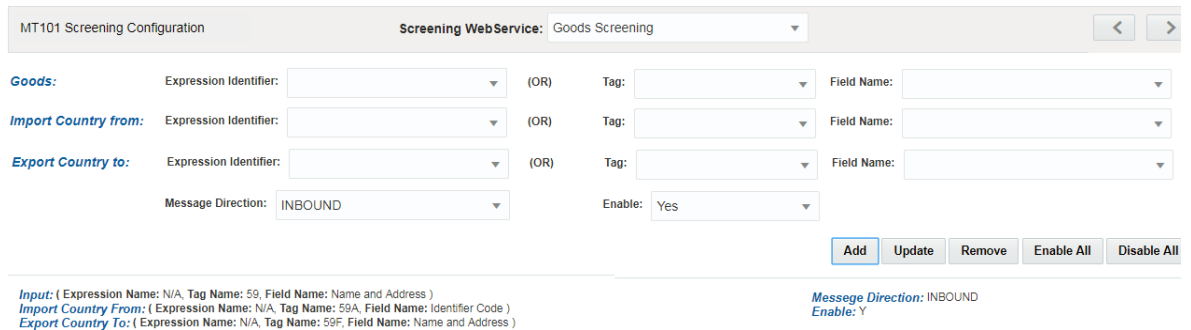
| Fields               | Field Description   |
|----------------------|---|
| Screening Webservice | <p>Select a screening web service from the drop-down list. This field lists all the supported matching web services in the <b>Transaction Filtering</b> application. The following web services are available:</p> <ul style="list-style-type: none"> <li>· BIC</li> <li>· Country and City</li> <li>· Goods Screening</li> <li>· Name and Address</li> <li>· Narrative or Free Text Information</li> <li>· Port Screening</li> </ul> <p>The fields for all web services except Goods Screening are as shown here. For information on the fields for Goods Screening, see .</p>                             |
| Expression (ID-Name) | Select an expression identifier. When you select an expression identifier, the values are populated in the <b>Field</b> and <b>Field/Subfield Name</b> fields.  |
| Field                | Select the field name.  |
| Field/Subfield Name  | Select the subfield name. This displays the expression.   |
| Enable               | Select <b>Yes</b> to enable the web service. Select <b>No</b> to disable the web service.   |
| Message Direction    | Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select <b>inbound</b> , else select <b>outbound</b> . If that field must be screened for both inbound and outbound, then select <b>ANY</b> .  |
| Jurisdiction         | <p>Select <b>All</b> to apply the Webservice for all jurisdictions or select the specific jurisdiction to apply the webservice for a specific jurisdiction.</p> <p>Use the <code>kdd_jrscn</code> table to configure the jurisdiction values. It has the following columns:</p> <ul style="list-style-type: none"> <li>· JRSDCN_CD: Values must be unique.</li> <li>· JRSDCN_NM: Actual jurisdiction name.</li> <li>· JRSDCN_DSPY_NM: Jurisdiction name displayed in the Message and Configurations screen.</li> <li>· JRSDCN_DESC_TX: Optional field to add descriptions for the jurisdictions.</li> </ul> |
| Add button           | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .  |
| Update button        | To update a web service, select the web service that you want to update and click <b>Update</b>  .   |
| Remove button        | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  .   |

**Table 19: Fields in the <Message Type> Screening Configuration Window**

| Fields             | Field Description   |
|--------------------|---|
| Enable All button  | To enable all web services, click <b>Enable All</b>    |
| Disable All button | To disable all web services, click <b>Disable All</b>  |

The fields you can use to configure the Goods web service are different from the fields you can use to configure the other web services. These fields are as shown:

**Figure 54: Fields for Goods Web Services**



MT101 Screening Configuration      Screening WebService: Goods Screening

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

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

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




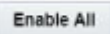

Message Direction: INBOUND      Enable: Yes

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

*Message Direction:* INBOUND  
*Enable:* Y

**Table 20: Fields in the Goods Web Service Window**

| Fields                | Field Description  |
|-----------------------|--|
| Expression Identifier | Select the Expression for the good.  |
| Tag                   | Select the tag related to the good. Based on the tag selected, the field name is populated.  |
| Field Name            | The field name is populated based on the tag selected.   |
| Message Direction     | Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select <b>inbound</b> , else select <b>outbound</b> . If that field must be screened for both inbound and outbound, then select <b>ANY</b> . |
| Enable                | Select <b>Yes</b> to enable the message in a direction. Select <b>No</b> to disable the message in a direction.  |
| Add button            | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .   |
| Update button         | To update a web service, select the web service that you want to update and click <b>Update</b>  .  |
| Remove button         | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  .   |
| Enable All button     | To enable all web services, click <b>Enable All</b>  .  |
| Disable All button    | To disable all web services, click <b>Disable All</b>  .  |

### 7.1.1 Enabling or Disabling a Web Service

By default, every web service is enabled. You can change the message configuration by disabling a web service. When you do this, the selected web service is not evaluated.

To enable or disable one or more web services, replace the [WEBSERVICE\_IDS] placeholder with the corresponding web service ID. The web services and the corresponding IDs are shown here:

**Table 21: Web Services used in Transaction Filtering**

| Web Service                        | Web Service ID                     |
|------------------------------------|------------------------------------|
| Name and Address                   | Name and Address                   |
| BIC                                | BIC                                |
| Country and City                   | Country and City                   |
| Narrative or Free Text Information | Narrative or Free Text Information |
| Port Screening                     | Port Screening                     |
| Goods Screening                    | Goods Screening                    |

To disable all the web services, replace the [WEBSERVICE\_IDS] placeholder with 1, 2, 3, 4, 5, 6 in the following command:

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

To enable all the web services, change **N** to **Y**.

### 7.1.2 Updating and Removing a Web Service

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

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

### 7.1.3 Populating Data for the Trade Goods and Trade Port Web Services

Data for the Trade goods and Trade port web services are taken from a reference table. To populate data for these web services, do this:

1. In the **EDQ Director** menu, go to the **Watch List Management** project.
2. Right-click on the **Reference Data Refresh** job.
3. Click **Run**. Provide a unique run label and run profile.
4. When you run this job, the port and goods reference data are refreshed at the same time.
5. Go to the **Transaction Filtering** project.
6. Right-click on the **MAIN-Shutdown Real-time Screening** job to shut down all web services.
7. Click **Run**.
8. Right-click on the **MAIN** job to restart all web services.
9. Click **Run**.

## 7.2 <Message Type> Other Field/Subfield Configuration Window

This window allows you to update the other fields which you can configure in the application. It displays the list of fixed business data/names for the required fields to run the system for any given message type. You can select a business data value to mention the source for a given message type.




**Figure 55: Other Field/Subfield Configuration Window**

The screenshot shows a web interface for configuring message parameters. At the top, there's a title bar 'FDBTR1002 Other Field/Subfield Configuration' with a 'Submit' button and a back arrow. Below this are several dropdown menus: 'Generic Business Data:', 'Message Direction:', 'Expression (ID-Name):', 'Field:', and 'Field/Subfield Name:'. There are also 'Add', 'Update', and 'Remove' buttons. Below the dropdowns is a table with the following columns: 'Generic Business Data:', 'Expression ID', 'Expression Name', 'Field', and 'Field/Subfield Name'.

| Generic Business Data:              | Expression ID | Expression Name | Field | Field/Subfield Name                                 |
|-------------------------------------|---------------|-----------------|-------|---|
| Originator BIC                      |               |                 | 5000  | Identifi  |
| Originator IBAN/Account/Identifier  |               |                 | 5000  | Identifi  |
| Originator Address                  |               |                 | 5000  | Name and addre                                      |
| Beneficiary IBAN/Account/Identifier |               |                 | 4200  | Identifi  |
| Beneficiary Address                 |               |                 | 4200  | Name and addre                                      |
| Beneficiary BIC                     |               |                 | 4200  | Identifi  |
| Message Identifier                  |               |                 | 3320  | Sender Referer                                      |
| Requested Execution Date            |               |                 | 1520  | Input Cycle Date/Input Source/Input Sequence Number |
| Amount                              |               |                 | 2000  | Amoi  |

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

**Table 22: Fields in the <Message Type> Other Field/Subfield Configuration Window**

| Fields                | Field Description  |
|-----------------------|--|
| Generic Business Data | This field displays the business name of the record that is selected. It is mandatory to configure this field.<br>If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the first tag of the sequence according to the Fedwire standard. |
| Message Direction     | Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select inbound, else select outbound. If that field must be screened for both inbound and outbound, then select ANY.               |
| Expression (ID-Name)  | Select an expression identifier. When you select an expression identifier, the values are populated in the Field and Field/Subfield Name fields.   |
| Field                 | Select the field name.   |
| Field/Subfield Name   | Select the Subfield Name. This displays the Expression.  |
| Add button            | To add a web service, provide the required values in the fields shown above and click <b>Add</b>  .   |
| Update button         | To update a web service, select the web service that you want to update and click <b>Update</b>  .  |
| Remove button         | To remove a web service, select the web service that you want to remove and click <b>Remove</b>  .  |

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



## 8 Configurations for ISO20022 Message Parameters

This chapter explains how to configure the parameters for the ISO20022 message category. The **Configuration** window allows you to view the elements associated with an XSD file after you upload the file. The elements are displayed in a tree structure. You must provide the transaction XPath before submitting the file. After the file is submitted, you can view the elements associated with a specific web service and define the XPath priority. This XSD file can be downloaded again. The **Run** page has information on the different tasks associated with the ISO20022 batch.

**NOTE** The XPath of an element is the logical structure or hierarchy of the element within the XSD file.

### 8.1 Configuring the ISO20022 Message Parameters

To configure the ISO20022 message parameters, follow these steps:

1. On the **Financial Services Analytical Applications Transactions Filtering** landing page, click **ISO20022/XML Configuration Admin**. The **Configuration** window is displayed.

Figure 56: Configuration Window - ISO20022

| Message Provider | Message Scheme       | Message Type  | Message Version       | Download XSD |
|------------------|----------------------|---|-----------------------|--------------|
| ISO20022         | SEPA Credit Transfer | Customer Credit Transfer Initiation                     | pain.001.001.08       |              |
| ISO20022         | SEPA Credit Transfer | FI to FI Customer Credit Transfer                       | pacs.008.001.07       |              |
| ISO20022         | SEPA Direct Debit    | Payment Return  | pain.001.001.08_Draft |              |
| ISO20022         | SEPA Credit Transfer | Resolution of Investigation                             | pain.001.001.08_Draft |              |
| ISO20022         |                      | Resolution of Investigation                             | pain.001.001.08_Draft |              |
| ISO20022         |                      | Negative/Positive Response: Resolution of Investigation | pain.001.001.08_Draft |              |
| ISO20022         |                      | Financial Institution Credit Transfer                   | pacs.008.001.02       |              |
| ISO20022         |                      | Financial Institution Credit Transfer                   | pacs.008.001.02_Draft |              |
| EPC              |                      | Financial Institution Credit Transfer                   | pacs.008.001.07_Draft |              |
| ISO20022         |                      | Customer to Bank Payment Reversal                       | pain.001.001.08_Draft |              |

The Message List displays the XSD files associated with each message provider /scheme/message type combination. Click the link in the **Message Provider** column to view the transaction XPaths for the message for every screening type. You can download the XSD for a message by

clicking **Download** in the **Download XSD** column. The XSD is downloaded as a zip folder; unzip the folder to view the XSD files.

2. To upload a new XSD file, click **Add Message**. An **Attachment Details** dialog box opens.

Figure 57: Add Message Dialog Box

3. Select the message provider and message type for the web service. If required, you can also select the message scheme. If you select a message scheme, then the message types change depending on the selected combination of the message provider and message scheme.

**NOTE**

The message provider, message scheme, and message type values are mapped in the `fcc_tf_xml_pro_sch_msg_map` table.



4. To upload the parent XSD file and one or more child XSD files, click **Upload**  and select the XSD file from your local drive. After you select the file and click **Open**, the XSD file name appears next to the Upload button. Select the radio button next to the primary file name and click **Upload**. A confirmation message appears, “**File uploaded successfully.**” The basic elements related to the uploaded file appear in a tree view.

Figure 58: Add Message Dialog Box

If you want to see the XPath of an element, select the element from the drop-down field. In the example window, the XPath for the StrNm element is highlighted in red.

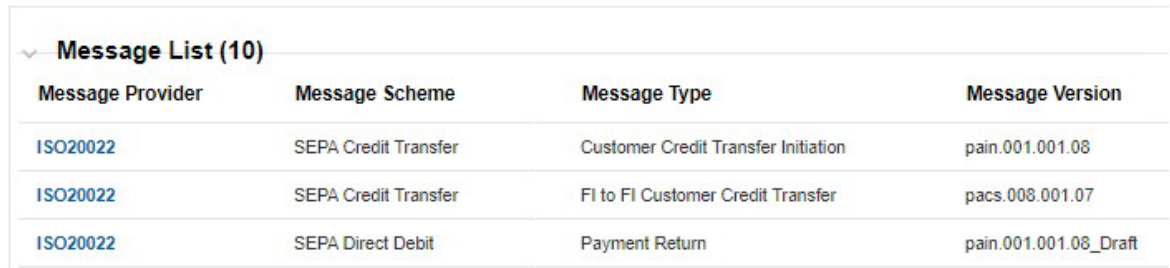
To choose the Batch XPath or the Transaction XPath of the element, right-click any element node in the Tree view and click **Batch** or **Transaction** respectively. The values appear in the tree view. It is mandatory to select the **Transaction XPath Configuration** before you submit the uploaded files.

**NOTE**

To view the child elements for a parent element, mouse over the parent element and click the parent element in the Tree view. If **Zero**  is displayed beside the element name, it means that there are no more child elements you can drill down to.

5. Click **Submit**. The ISO20022 parameter name appears in the **Message List** section with **\_Draft** attached to the parameter name.

**Figure 59: Message List Window**



| Message Provider         | Message Scheme       | Message Type                        | Message Version       |
|--------------------------|----------------------|-------------------------------------|-----------------------|
| <a href="#">ISO20022</a> | SEPA Credit Transfer | Customer Credit Transfer Initiation | pain.001.001.08       |
| <a href="#">ISO20022</a> | SEPA Credit Transfer | FI to FI Customer Credit Transfer   | pacs.008.001.07       |
| <a href="#">ISO20022</a> | SEPA Direct Debit    | Payment Return                      | pain.001.001.08_Draft |

6. Navigate to **ISO20022/XML Configuration Admin** in the Admin UI. To complete the configuration, click the message provider link. The **XML Screening Configuration** tab is displayed.

**Figure 60: Message List Window**

The screenshot shows a web interface for configuring message parameters. At the top, there are two tabs: "XML Screening Configuration" (selected) and "XML Message Configuration". Below the tabs is a "Screening Type" dropdown menu set to "Name and Address". To the right of the dropdown is a back arrow button. Below this are five action buttons: "Add", "Update", "Remove", "Enable All", and "Disable All".

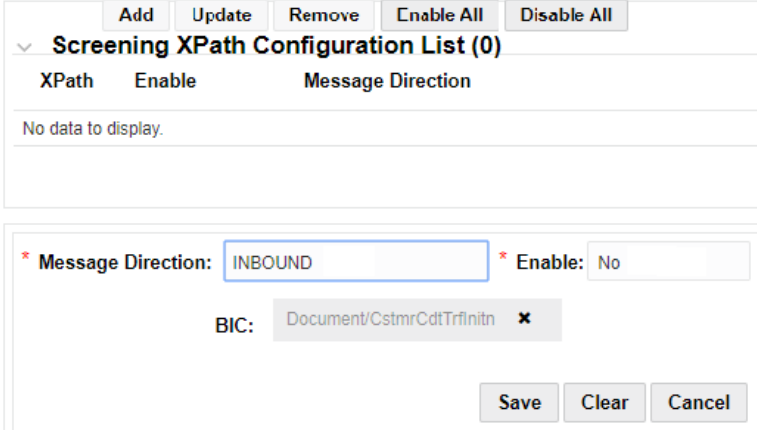
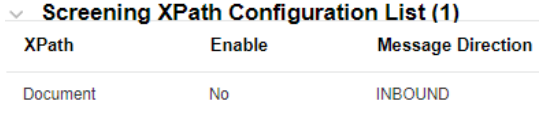
The main content area is titled "Screening XPath Configuration List (33)". It contains a table with the following columns: "XPath", "Enable", and "Message Direction". The table lists 10 entries, each with a unique XPath expression, a "Yes" value in the "Enable" column, and "ANY" in the "Message Direction" column.

At the bottom of the table, there is a pagination control showing "Page 1 of 4 (1-10 of 33 items)" and a set of navigation buttons (1, 2, 3, 4, >, <).

| XPath  | Enable | Message Direction |
|--|--------|-------------------|
| Document/CstmrCdtTrfInittn/GrpHdr/InitgPty                       | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/Dbtr                           | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/UltmtDbtr                      | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/CdtTrfTxInf/UltmtDbtr          | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/CdtTrfTxInf/Cdtr               | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/CdtTrfTxInf/UltmtCdtr          | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/CdtTrfTxInf/RmtInf/Strd/Invcr  | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/CdtTrfTxInf/RmtInf/Strd/Invcee | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/GrpHdr/InitgPty/CtctDtIs              | Yes    | ANY               |
| Document/CstmrCdtTrfInittn/PmtInf/Dbtr/CtctDtIs                  | Yes    | ANY               |

In this tab, you can view the details of the element `XPATHS` available for the selected web service. You can also perform the following actions:

**Table 23: Other Actions**

| To...                                     | Do this...  |
|---|---|
| <p>Add a web service configuration</p>    | <p>Click <b>Add</b>. The following fields appear:</p> <p style="text-align: center;"><b>Figure 61: Add a web service configuration</b></p>  <p>Select the message direction and enable or disable the web service and click <b>Save</b>. Clicking <b>Clear</b> clears any values selected. If you click <b>Cancel</b>, the fields disappear.</p> <p>In the Tree view, right-click any element node and click the element to view the element's XPath. The fields appear in the <b>Screening XPath Configuration List</b> section.</p> <p style="text-align: center;"><b>Figure 62: Add a web service configuration - tree view</b></p>  |
| <p>Update a web service configuration</p> | <p>Select the configuration you want to update and click <b>Update</b>. The fields shown in the previous row appear. Make the required changes and click <b>Save</b>. The updated values are displayed in the <b>Screening XPath Configuration List</b> section.</p>  |
| <p>Remove a web service configuration</p> | <p>Select the configuration you want to remove and click <b>Remove</b>. The selected configuration is removed from the <b>Screening XPath Configuration List</b> section.</p>   |

**Table 23: Other Actions**

| To...                                  | Do this...                 |
|--|----------------------------|
| Enable all web service configurations  | Click <b>Enable All</b> .  |
| Disable all web service configurations | Click <b>Disable All</b> . |

- Navigate to **ISO20022/XML Configuration Admin** in the Admin UI and click the message provider link. To add the screening configuration of External Attribute, select the Attributes under the **Screening External Attribute Configuration** list. The **Screening External Attribute Configuration** list is displayed.

**Figure 63: External Attribute List Window**

| Attribute            | Enable | Message Direction |
|----------------------|--------|-------------------|
| AdditionalAttribute3 | N      | INBOUND           |
| AdditionalAttribute5 | N      | INBOUND           |

In this tab, you can view the details of the attribute name, enable status, and message direction details. You can also perform the following actions:

**NOTE**

The **Add** button will only appear when the user configures the FCC\_TF\_XML\_EXTERNAL\_ATTR and FCC\_TF\_XML\_EXTERNAL\_ATTR\_MLS tables. Refer the following examples.

**Example: 1**

To configure FCC\_TF\_XML\_EXTERNAL\_ATTR table, run the following query similar way in your atomic schema:

```
REM INSERTING into FCC_TF_XML_EXTERNAL_attr
SET DEFINE OFF;

Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(1, 'AdditionalAttribute1');

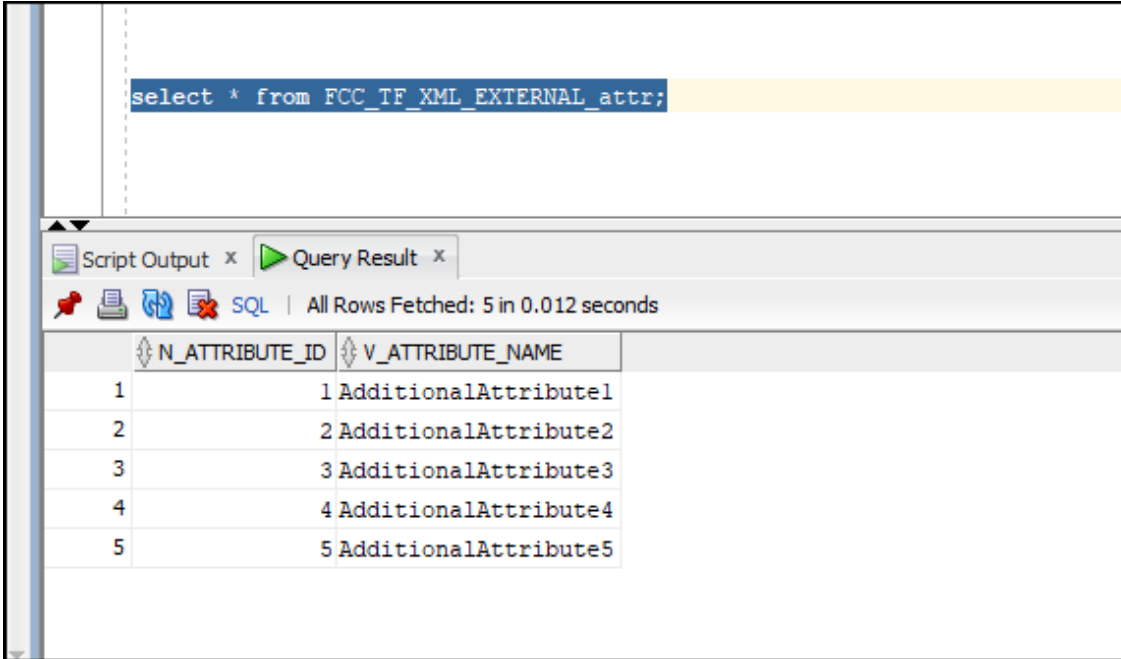
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(2, 'AdditionalAttribute2');

Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(3, 'AdditionalAttribute3');

Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(4, 'AdditionalAttribute4');

Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(5, 'AdditionalAttribute5');
```

Figure 64: Example 1



**Example: 2**

To configure FCC\_TF\_XML\_EXTERNAL\_ATTR\_MLS table, run the following query similar way in your atomic schema:

```
REM INSERTING into FCC_TF_XML_EXTERNAL_attr_MLS
SET DEFINE OFF;

Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(1,'AdditionalAttribute1','en_US');

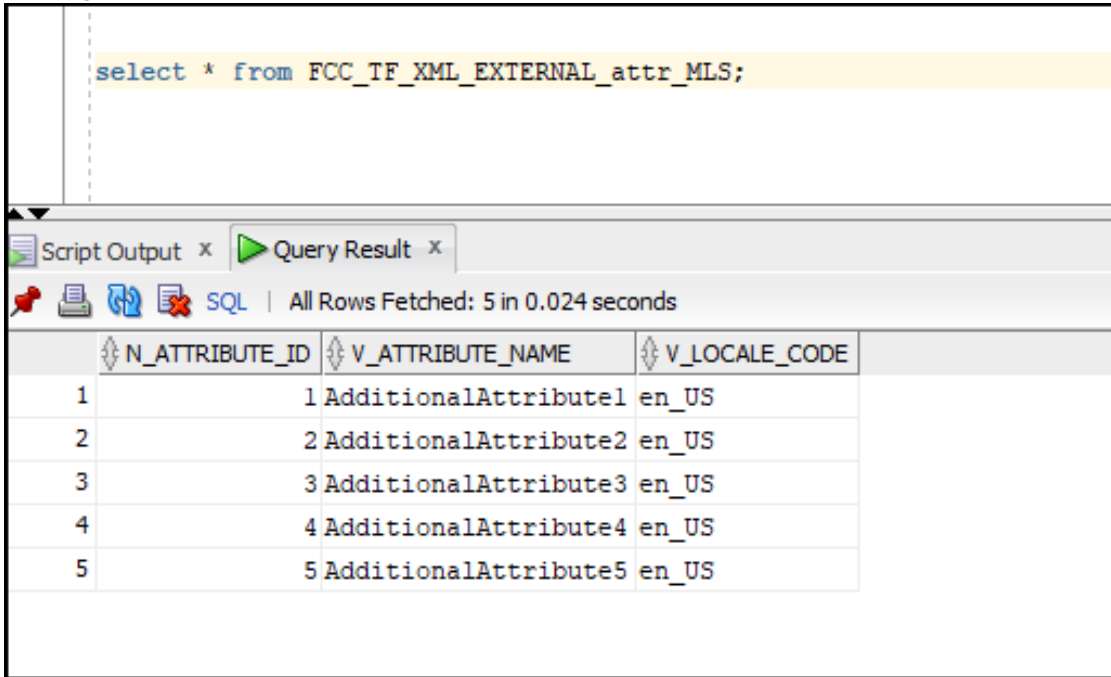
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(2,'AdditionalAttribute2','en_US');

Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(3,'AdditionalAttribute3','en_US');

Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(4,'AdditionalAttribute4','en_US');

Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(5,'AdditionalAttribute5','en_US');
```

Figure 65: Example 2



The following table describes how to take additional actions.

Table 24: Other Actions

| To...                                   | Do this...  |
|---|---|
| Add an external attribute configuration | <p>Click <b>Add</b>. The following fields appear:</p> <p style="text-align: center;"><b>Figure 66: Add an External Attribute configuration</b></p> <p>Select the message direction and enable or disable the web service and click <b>Save</b>. Clicking <b>Clear</b> clears any values selected. If you click <b>Cancel</b>, the fields disappear.</p> |
| Update a web service configuration      | Select the configuration you want to update and click <b>Update</b> . The fields shown in the previous row appear. Make the required changes and click <b>Save</b> . The updated values are displayed in the <b>Screening External Attribute Configuration List</b> section.  |
| Remove a web service configuration      | Select the configuration you want to remove and click <b>Remove</b> . The selected configuration is removed from the <b>Screening External Attribute Configuration List</b> section.  |
| Enable all web service configurations   | Click <b>Enable All</b> .   |
| Disable all web service configurations  | Click <b>Disable All</b> .  |



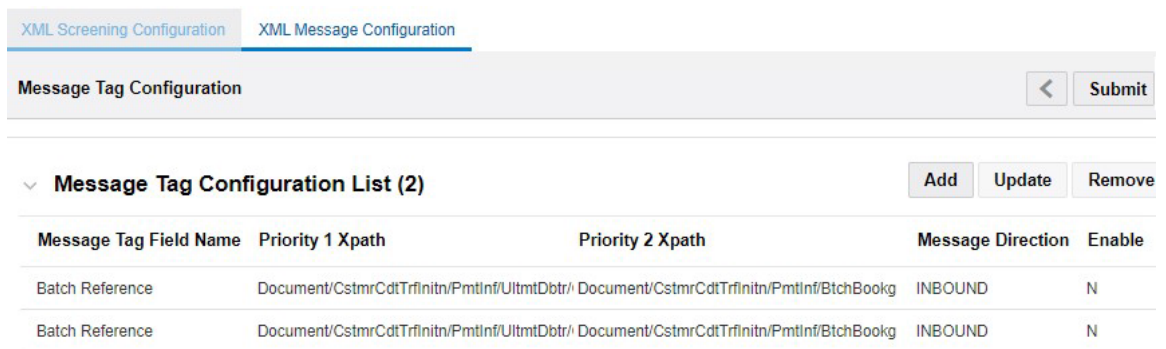
1. After configuring the External Attributes, give the following attribute names (Same attribute names which are populated in the above tables) in message posting.jsp.

**Example:** SanctionsPost.jsp

```
String AdditionalAttribute1 = request.getParameter("AdditionalAttribute1");
String AdditionalAttribute2 = request.getParameter("AdditionalAttribute2");
String AdditionalAttribute3 = request.getParameter("AdditionalAttribute3");
String AdditionalAttribute4 = request.getParameter("AdditionalAttribute4");
String AdditionalAttribute5 = request.getParameter("AdditionalAttribute5");
```

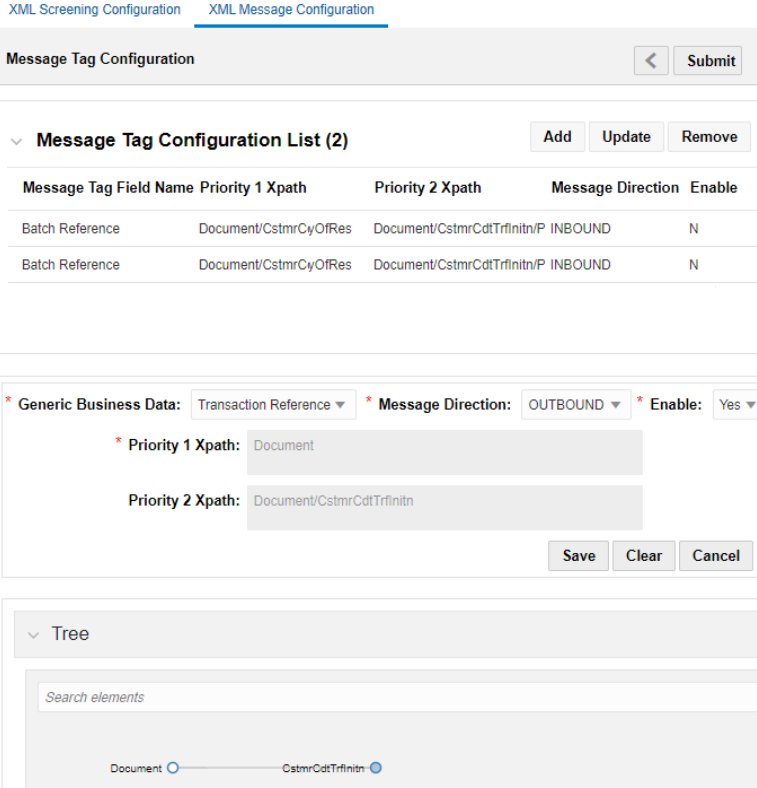
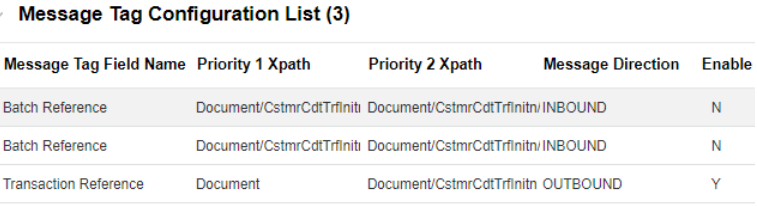
2. To view the message tag configurations for a field, click the **XML Message Configuration** tab.

**Figure 67: XML Message Configuration Tab**



You can also perform the following actions:

**Table 25: Other Actions**

| To...                                 | Do this...  |
|---------------------------------------|---|
| <p>Add a message configuration</p>    | <p>Click <b>Add</b>. The following fields appear:</p> <p style="text-align: center;"><b>Figure 68: Add a message configuration</b></p>  <p>Select the business data value, message direction, enable or disable the value, choose the <b>Priority 1 XPath</b> and <b>Priority 2 XPath</b>, and click <b>Save</b>. Clicking <b>Clear</b> clears any values selected. If you click <b>Cancel</b>, the fields disappear.</p> <p>In the Tree view, right-click any element node and click the element to view its XPath. The fields appear in the <b>Message Tag Configuration List</b> section.</p> <p style="text-align: center;"><b>Figure 69: Add a message configuration - tree view</b></p>  |
| <p>Update a message configuration</p> | <p>Select the configuration you want to update and click <b>Update</b>. The fields shown in the previous row appear. Make the required changes and click <b>Save</b>. The updated values are displayed in the <b>Message Tag Configuration List</b> section.</p>  |

**Table 25: Other Actions**

| To...                          | Do this...  |
|--------------------------------|---|
| Remove a message configuration | Select the configuration you want to remove and click <b>Remove</b> . The selected configuration is removed from the <b>Message Tag Configuration List</b> section. |

**NOTE** The ready-to-use business data values are available in the DIM\_TF\_XML\_MSG\_TAG\_FLD column. You can add a new value in this column.

- Click **Submit**. The ISO20022 parameter name is updated in the **Message List** without **\_Draft**.

**Figure 70: Message List Window**

| Message List (10) |                      |                                     |                 |
|-------------------|----------------------|-------------------------------------|-----------------|
| Message Provider  | Message Scheme       | Message Type                        | Message Version |
| ISO20022          | SEPA Credit Transfer | Customer Credit Transfer Initiation | pain.001.001.08 |
| ISO20022          | SEPA Credit Transfer | FI to FI Customer Credit Transfer   | pacs.008.001.07 |
| ISO20022          | SEPA Direct Debit    | Payment Return                      | pain.001.001.08 |

**NOTE** If an earlier configuration exists with the same message version, then this configuration is disabled, and the new configuration is enabled.

### 8.1.1 Running the ISO20022 Batch

The ISO20022 messages are processed using batches. So, you must first create the following folders before you run the ISO20022 batch:

- Create a folder for the MIS date with the folder name as ##FIC\_MIS\_DATE## (the date on which we run the ISO20022 batch) in the following directory structure:

##FTPSHARE\_PATH##/SANCINFO/STAGE/SEPA/inputXML

For example, /scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/20200214.

20200214 is the MIS Date folder.

- Create two folders called **OUTBOUND** and **INBOUND** inside the MIS Date folder and create a folder called **INPUT** inside both the folders.

**NOTE** All the ISO20022 XMLs must be either kept inside the **INPUT** folder inside the **OUTBOUND** folder or the **INPUT** folder inside the **INBOUND** folder based on the direction of the message XML. The ISO20022 batch takes these XMLs as input when it is run.

The directory structures for **OUTBOUND** and **INBOUND** are as follows:

##FTPSHARE\_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC\_MIS\_DATE##/OUTBOUND/INPUT

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/  
INPUT
```

For example,

- /scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/  
20200214/OUTBOUND/INPUT
- /scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/  
20200214/INBOUND/INPUT

After you run the ISO20022 batch, the following actions are performed:

- The VAL\_ERROR, PRCSNG\_ERROR, PROCESSED, and FEEDBACK folders are created as part of the batch processing.
- If any message XML fails during validation, then it is moved to the VAL\_ERROR folder. The directory structures for OUTBOUND and INBOUND are as follows:

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUT-  
BOUND/VAL_ERROR
```

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/  
VAL_ERROR
```

- If any message XML fails during the parsing process after validation, then it is moved to the PRCSNG\_ERROR folder. The folder structures for OUTBOUND and INBOUND are as follows:

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUT-  
BOUND/PRCSNG_ERROR
```

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/  
PRCSNG_ERROR
```

- If any message XML is successfully processed, then it is moved to the PROCESSED folder. The directory structures for OUTBOUND and INBOUND are as follows:

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUT-  
BOUND/VAL_ERROR
```

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/  
VAL_ERROR
```

- After the batch is run successfully, a ##FILE\_NAME##\_feedback.xml file is created for each file that is processed. The feedback is created inside the FEEDBACK folder. The directory structures for OUTBOUND and INBOUND are as follows:

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUT-  
BOUND/FEEDBACK
```

```
##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/  
FEEDBACK
```

- The logs of the batch are available in the following path:

```
##FIC_DB_HOME##/log/TF_XML
```

For example, /scratch/fccmappchef/SANC807/SANC807/ficdb/log/TF\_XML

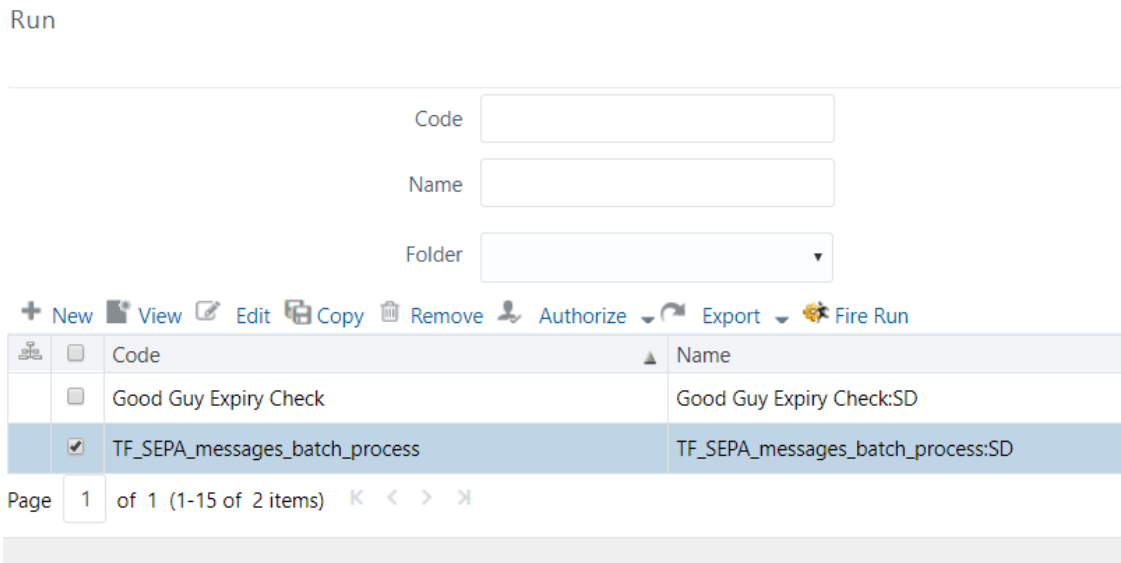
**NOTE**

When we take an action (RELEASE/BLOCK) on an alert from the Investigation User Interface, a feedback XML is recreated for the corresponding file with the name ##FILE\_NAME##\_feedback.xml and the name of the previous file with the same name becomes ##FILE\_NAME##\_feedback\_1.xml inside the FEEDBACK folder. So, the ##FILE\_NAME##\_feedback.xml is always the latest feedback file for a corresponding message XML.

To run the batch, follow these steps:

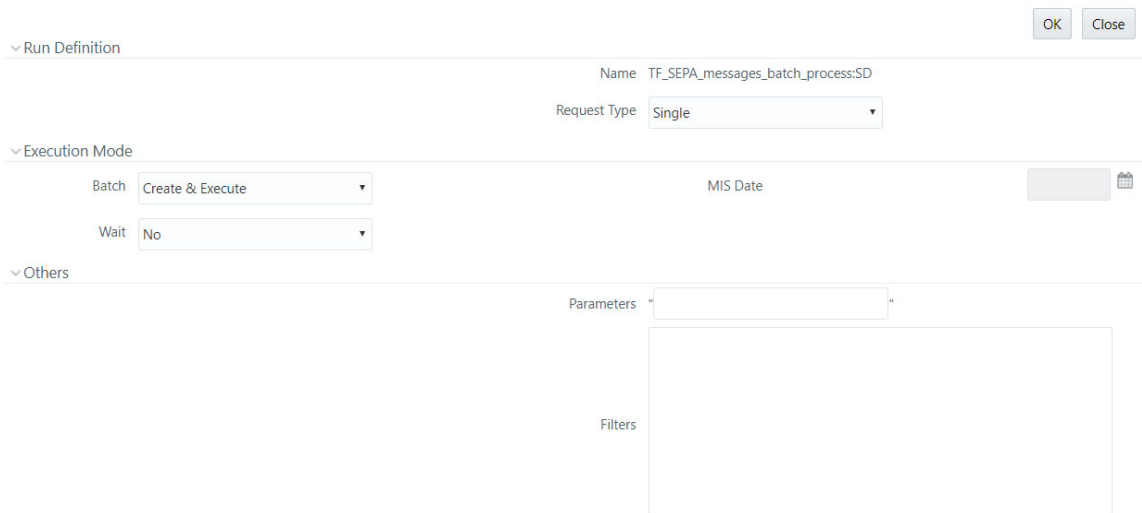
1. Navigate to the **Run** page. For more information, see the [Run Definition Menu](#).

**Figure 71: Run Page**



2. Select the TF\_SEPA\_messages\_batch\_process batch and click **Fire Run**. The **Fire Run** page is displayed.

**Figure 72: Fire Run Page**



3. Select **Single** as the **Request Type**.

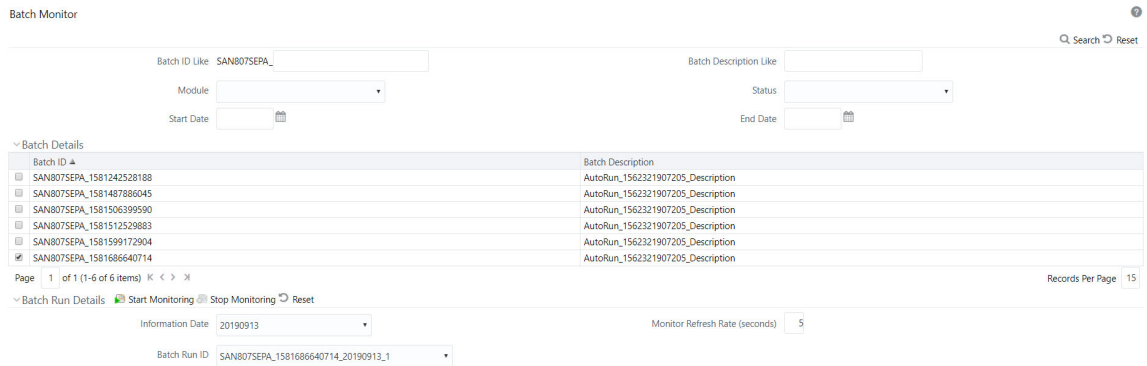
4. Select **Create & Execute** in the **Batch** field. The **MIS Date** field is displayed.
5. Select the date on which you want to execute the run. This date must be the same as the folder you create before you run the ISO20022 batch. In the example shown, since the **MIS Date** folder name is 20190913, the date you must select is 09/13/2019.
6. Click **OK**.

A message "**Batch execution is in progress**" is displayed. Click **Close** to go back to the **Run** page. After the batch is executed, you can view the batch details on the **Batch Monitor** page.

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. To run the batch, follow these steps:

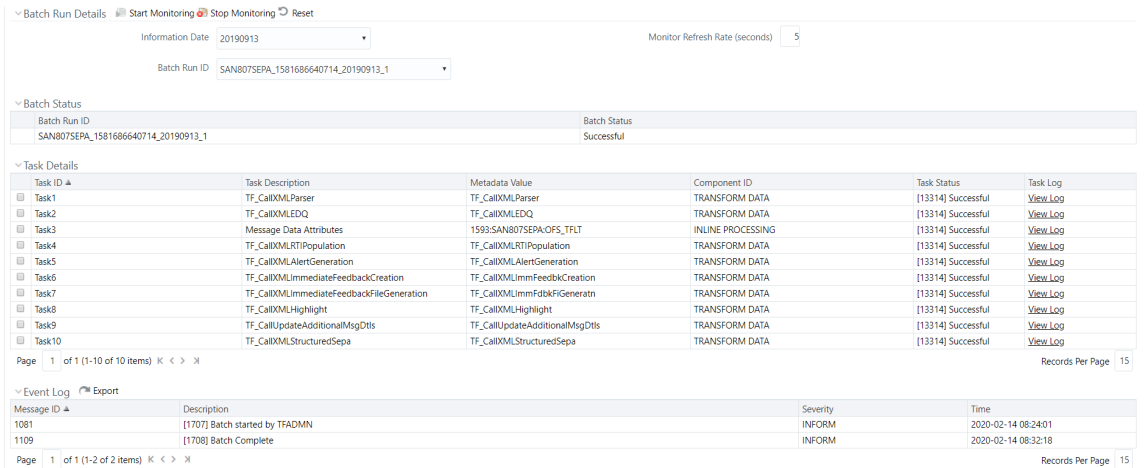
- Select the **Batch** and the **MIS Date**. After you select the **MIS Date**, the batch ID appears in the **Batch Run ID** field.

**Figure 73: Batch Monitor Page**



- Select the batch ID.
- 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.

**Figure 74: Tasks in the Batch Monitor Page**



**NOTE** If the batch run fails, you must restart the batch. In this case, the batch run ID changes.

The task details are as follows:

**Table 26: Task Details**

| Task ID | Task Name                                  | Task Description   |
|---------|--|--|
| Task1   | TF_CallXMLParser                           | Parses the XML data into the pre-processing tables.  |
| Task2   | TF_CallXMLEDQ                              | Calls EDQ data to check if there are any matches.  |
| Task3   | Message Data Attributes                    | NA   |
| Task4   | TF_CallXMLRTIPopulation                    | Moves data from the ISO20022 configuration tables to the SWIFT configuration tables to generate OBI reports.                       |
| Task5   | TF_CallXMLAlertGeneration                  | Creates alerts and loads data into the alert tables.   |
| Task6   | TF_CallXMLImmediate-FeedbackCreation       | Populates the feedback table.  |
| Task7   | TF_CallXMLImmediate-FeedbackFileGeneration | Generates the feedback in an XML format in the <code>INBOUND/feedback</code> directory for the date on which the run is triggered. |
| Task8   | TF_CallXMLHighlight                        | Populates the highlighted column in the <code>fsi_rt_al_raw_data</code> table.   |
| Task9   | TF_CallUpdateAdditionalMsgDtls             | Populates the post-processing alert table with the additional details provided for the alert.                                      |
| Task10  | TF_CallXMLStructuredSepa                   | Populates the data in the Structured Message tab in the Investigation User Interface.  |

## 8.2 Audit Queries

The following are the audit queries you can run to see the different audit operations:

**Table 27: Audit Queries for ISO20022**

| Table Name                     | Query   | Description   |
|--------------------------------|---|---|
| FCC_TF_XML_XS-D_CONF           | Select * from FCC_TF_XML_XS-D_CONF_HIST           | Run this query to see the history of all the actions that have been performed.                              |
| FCC_TF_XML_MS-G_TAG_FLD_XPATH  | Select * from FCC_TF_XML_MS-G_TAG_FLD_XPATH_HIST  | Run this query to see the history of all the actions performed in the <b>XML Message Configuration</b> tab. |
| FCC_TF_XML_SCREENING_XPATH_GRP | Select * from FCC_TF_XML_SCREENING_XPATH_GRP_HIST | Run this query to see the XPath for each parent element.  |

**Table 27: Audit Queries for ISO20022**

| Table Name                           | Query   | Description  |
|--------------------------------------|---|--|
| FCC_TF_XM-<br>L_SCRENG_<br>FLD_XPATH | Select * from FCC_TF_XM-<br>L_SCRENG_FLD_XPATH_HIST | Run this query to see the XPath for each subfield. |

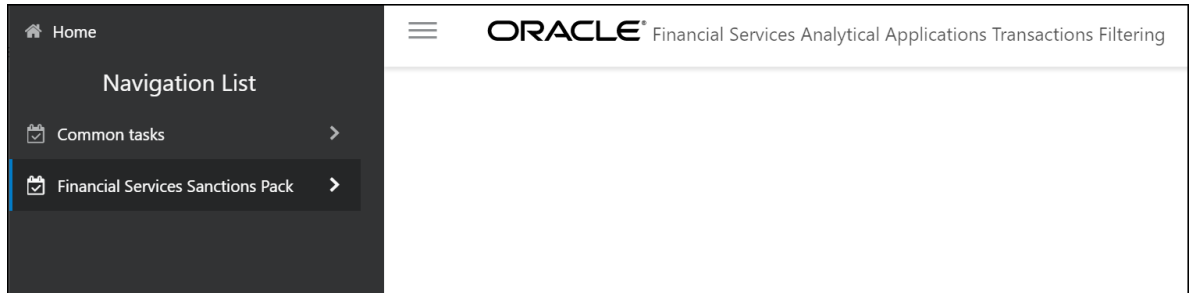


## 9 Configurations for the US NACHA Batch Process

To configure the `TF_US_Nacha_Batch_Process` batch and to ensure successful completion, follow these steps:

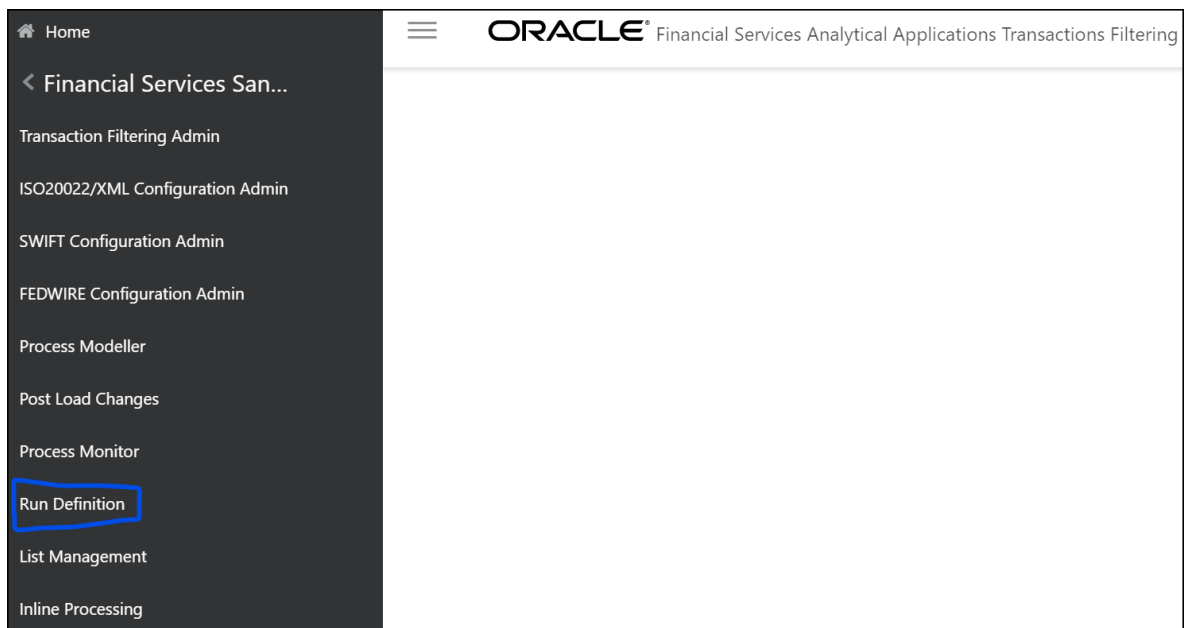
1. On the **Financial Services Analytical Applications Transactions Filtering** landing page, click **Financial Services Sanctions Pack**.

**Figure 75: Financial Services Sanctions Pack Menu**



2. Click **Run Definition**. The **Run** page is displayed.

**Figure 76: Run Definition Link**



3. In the **Run** page, select the `TF_US_NACHA_Batch_Process` batch.

**Figure 77: Run Page**

Run Search Reset

Code  Version

Name  Active

Folder  Type

+ New View Edit Copy Remove Authorize Export Fire Run

| <input type="checkbox"/>            | Code                           | Name                              | Type     | Folder     | Version | Active |
|-------------------------------------|--------------------------------|-----------------------------------|----------|------------|---------|--------|
| <input type="checkbox"/>            | Good Guy Expiry Check          | Good Guy Expiry Check:SD          | Base Run | TFLSEGMENT | 0       | Yes    |
| <input type="checkbox"/>            | TF_SEPA_messages_batch_process | TF_SEPA_messages_batch_process:SD | Base Run | TFLSEGMENT | 0       | Yes    |
| <input checked="" type="checkbox"/> | TF_US_Nacha_Batch_Process      | TF_US_Nacha_Batch_Process:SD      | Base Run | TFLSEGMENT | 0       | Yes    |

Page 1 of 1 (1-15 of 3 items) Records Per Page 3

- Click **Edit** . The **Run** page is displayed in Edit mode.

**Figure 78: Run Definition (Edit Mode)**

Run Next Close

Run Definition (Edit Mode)

Linked to

Folder

Master Information Properties

ID 1583487462588 Version 0

Code TF\_US\_Nacha\_Batch\_Process Active Yes

Name  Type

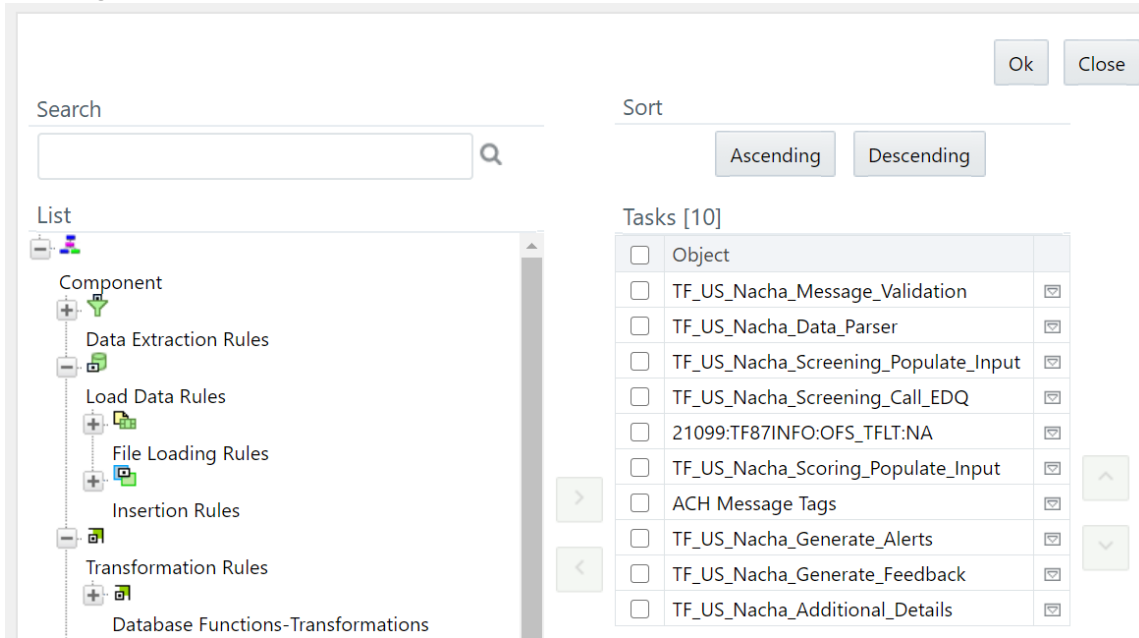
Route Execution to High Precedence Node

List Selector Move Show Details

| <input type="checkbox"/> | Location | Infodomain | Run Condition | Name                           | Type                | Simulation Job | Use Descendants |
|--------------------------|----------|------------|---------------|--------------------------------|---------------------|----------------|-----------------|
| <input type="checkbox"/> | Job      | KRISINFO   | Job           | TF_US_Nacha_Message_Validation | Data Transformation |                |                 |
| <input type="checkbox"/> | Job      | KRISINFO   | Job Condition | TF_US_Nacha_Data_Parser        | Data Transformation |                |                 |

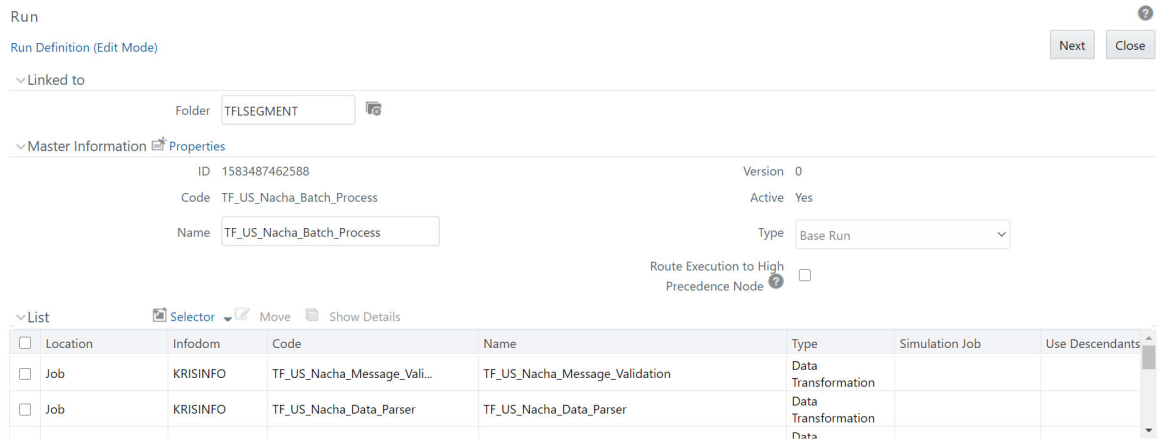
- Click **Selector** and then click **Job** from the drop-down list. The **Component Selector** window is displayed.

**Figure 79: Component Selector Window**



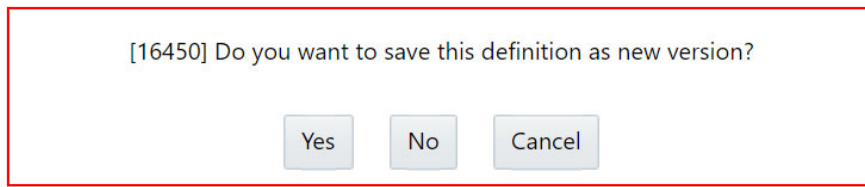
1. Deselect the 21099:TF87INFO:OFS\_TFLT:NA task.
2. Click **Ok**. The **Run** page with the **Run Definition** is displayed in Edit mode.
3. Provide a **Name** for the batch.

**Figure 80: Run Definition (Edit Mode) – Batch Name**



4. Click **Next**.
5. Click **Save**.
6. Click **No** in the **Run Rule Framework** dialog box.

**Figure 81: Run Rule Framework Dialog Box**



## 10 Enterprise Data Quality (EDQ) Configurations

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

EDQ has the following key features:

- Integrated data profiling, auditing, and cleansing and matching
- Browser-based client access
- Ability to handle all types of data (for example, customer, product, asset, financial, and operational)
- Connection to any Java Database Connectivity (JDBC) compliant data sources and targets
- Multi-user project support (Role-based access, issue tracking, process annotation, and version control)
- Representational State Transfer Architecture (REST) support for designing processes that may be exposed to external applications as a service
- Designed to process large data volumes
- A single repository to hold data along with gathered statistics and project tracking information, with shared access
- Intuitive graphical user interface designed to help you solve real-world information quality issues quickly
- Easy, data-led creation and extension of validation and transformation rules
- Fully extensible architecture allowing the insertion of any required custom processing

For more information on EDQ, see [Oracle Enterprise Data Quality Documentation](#).

### 10.1 Performance Improvement Measures for EDQ

#### NOTE

The following are some recommendations to help improve performance when you are dealing with bulk transactions. Perform these steps **ONLY** after you have completed all configurations for EDQ.

- Web Services are CPU-intensive, that is, they are frequently executed, and receive intermittent sets of simultaneous requests. Simultaneously running all batch requests slows down the real-time processing response time. To avoid this, set the following properties in the `director.properties` file in the `<domain_name>/edq/oedq.local.home/` directory:
  - Run the data preparation job for web services, for example, `Watch-list Management`, when real-time processing stops.
  - Set the `runtime.threads` value to a number which is lesser than the total `cpu-cores` so that both the `cpu-cores` can run in parallel. This ensures that the batch does not occupy all cores and allows real-time processing to run. The default value is 0, that is, the batch threads equal the number of `cpu-cores` on the system.
  - Set the `runtime.intervalthreads` value to display the number of `cpu-cores`. This allows for simultaneous processing, efficient resource utilization, and faster turnaround time. The default

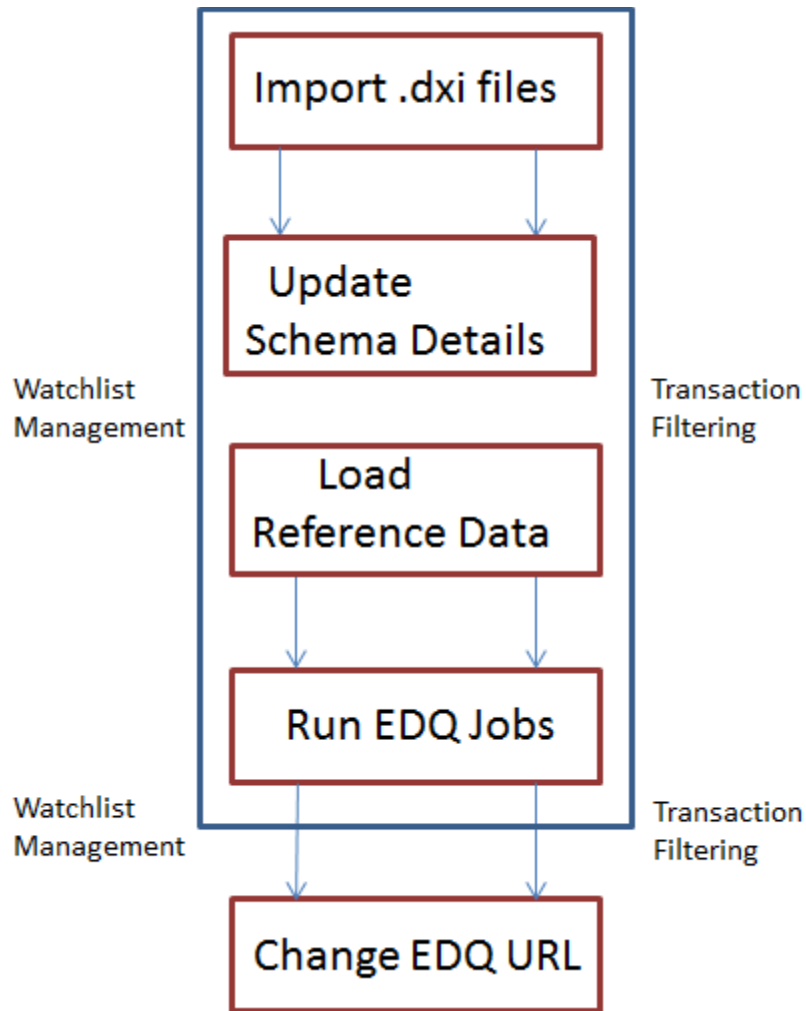
value is 1, that is, requests are processed sequentially on a single core which leads to underutilization.

- Set the `workunitexecutor.outputThreads` value to a number which is greater than the number of cpu-cores and number of connection to write results and staged data to the database to tune IO heavy real-time process. This is particularly useful when the database machine is more powerful than the EDQ server.
- Set the `resource.cache.maxrows` value to increase the number of rows for the reference data in memory. This yields a faster response time. By default, the maximum number of rows you can load is 100000.
- Optimize the data cluster definition and size of each cluster for real-time processing.
- Optimize attributes which are critical to performance such as watch list types, reference data size, and data store size.
- Optimize data for the `EDQ_RES` and `EDQ_STAGING` tablespace to improve performance. The minimum size for `EDQ_RES` must be 200-300 GB.
- Optimize the OEDQ job performance by minimizing result writing and disabling the sort and filtering feature.
- Adjust the response time by tuning the java options in the EDQ domain. To do this, follow these steps:
  - Open the `setStartupEnv.sh` file in the `<domain name given for EDQ>/bin` directory.
  - Update the `-server -d64 -Xms16G -Xmx16G -XX:+UseG1GC -XX:+UseAdaptiveSizePolicy -XX:MaxGCPauseMillis=500 -Doracle.jdbc.javaNetNio=false -XX:InitiatingHeapOccupancyPercent=80 -XX:ReservedCodeCacheSize=128m` attribute in the `# Startup parameters` for `STARTUP_GROUP EDQ-MGD-SVRS` section based on your requirements.
- Set the OEDQ parser processor to **Parse Mode** instead of to **Parse And Profile**.
- Update the user credentials for *dnadmin* from the default realm to the authentication realm.
- Enable the EDQ domain to operate in production mode.
- Disable the following clusters in Name and Address service to improve performance:
  - Individual Family Name
  - Individual Given Name
  - Entity Name Meta
  - Entity Start End Name Tokens
  - Individual Initials

## 10.2 EDQ Configuration Process Flow

The following image shows the EDQ configuration process flow:

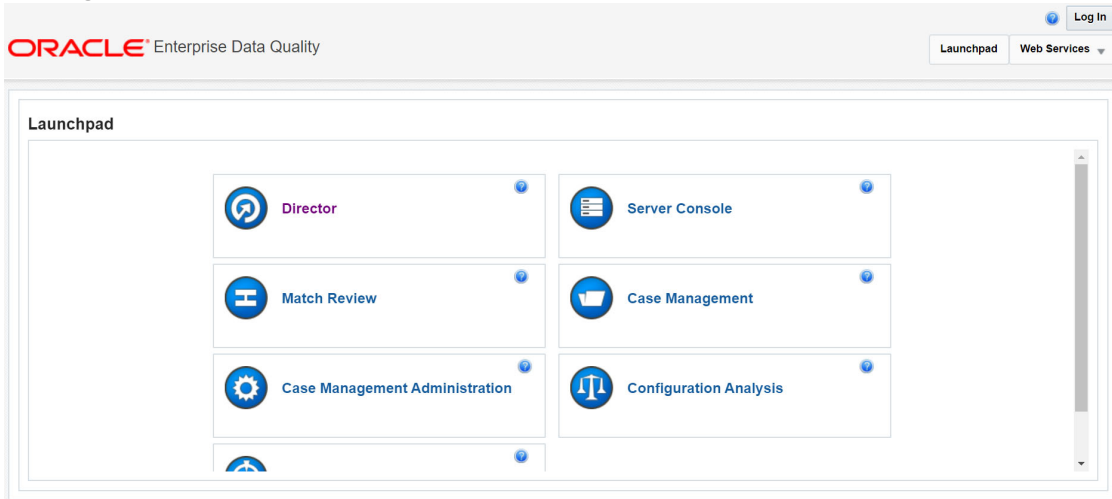
Figure 82: Enterprise Data Quality (EDQ) Configuration Steps



To configure EDQ, follow these steps:

1. Import the `Watchlist Management.dxi` file from the `FIC_HOME/SanctionsCommon` path.
2. Import the `Transaction_Screening.dxi` file from the `FIC_HOME/Transaction_Processing` path (This is for SWIFT messages only).
3. Import the `Transaction_Screening_SEPA.dxi` file from the `FIC_HOME/Transaction_Processing` path (This is for ISO20022 messages only).
4. For these projects, enter the applicable organization-specific Atomic schema details in the **Edit Data Store** window. To access the the **Edit Data Store** window, follow these steps:
  - Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

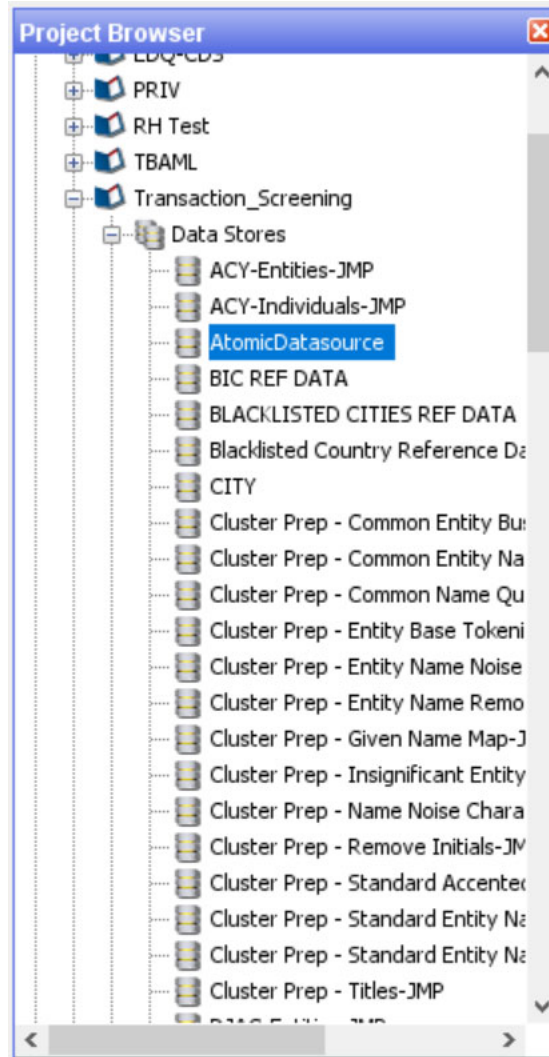
Figure 83: Director Menu in EDQ



- In the **Director** landing page, expand the **Transaction\_Screening** project in the **Project Browser** pane.



Figure 84: Project Browser Pane



- Expand the **Data Stores** node and open **AtomicDatasource**. The **Edit Data Store** window appears.

Figure 85: Edit Data Store Window

The screenshot shows a window titled "Edit Data Store" with a close button (X) in the top right corner. The window contains a section titled "Oracle Configuration" with the following fields:

- Database host:
- Port:
- Database name:
- Name type:  (dropdown menu)
- User name:
- Password:
- Schema:

Below the fields, there is a note: "The schema need not be entered if it is the default for the user". At the bottom right of the configuration area is a "Test..." button. At the bottom of the window are two buttons: "O" and "Cancel".

5. Load the Reference data. For more information on Reference data, see [Viewing Reference Data for Web Services](#).
6. Update the command area path in the following locations:
  - Watchlist Management > External Tasks > WatchListLoadPreparedData
  - Transaction\_Screening > External Tasks > WatchListLoadData
  - Transaction\_Screening > External Tasks > SanctionedListRefLoadData

Figure 86: Edit Task Window

**Edit Task**

**External Task Options**  
Configure the external task properties

ORACLE

Command: WatchListLoadPreparedData.sh

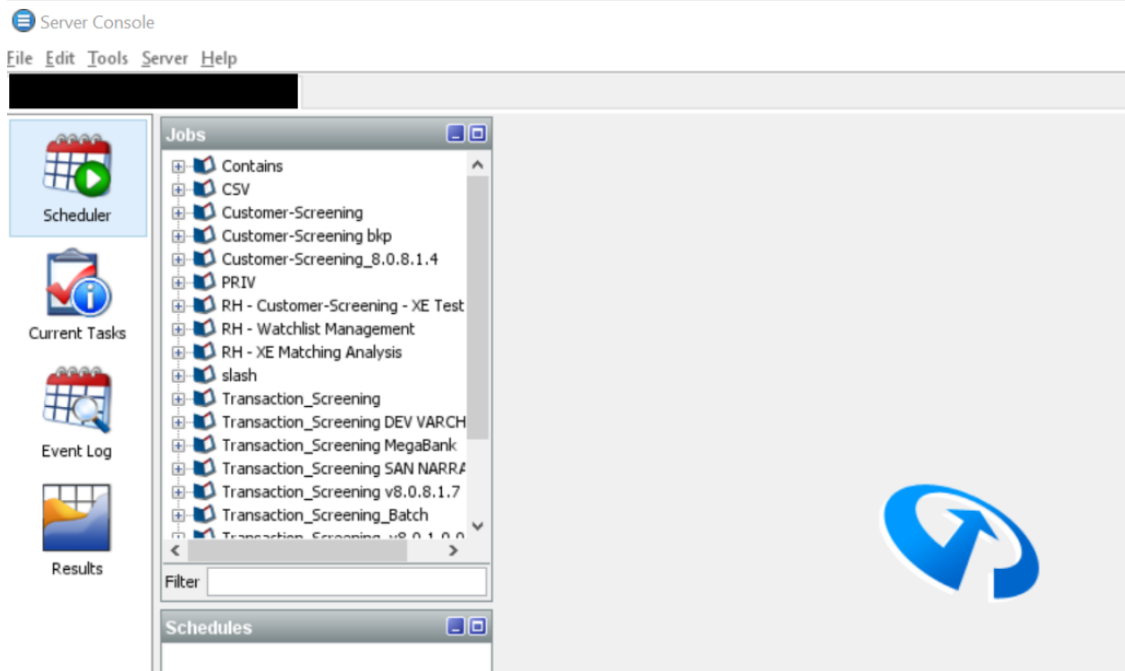
Working Directory: /scratch/ofsaebas/work/mwhome/user\_projects/domains/base\_domain/config/fmwconfig/edi

Arguments:

< Back   Next >   Cancel

7. Go to the EDQ URL and open the **Server Console** menu. The **Server Console** landing page appears.

Figure 87: Server Console Menu in EDQ



8. Run the following jobs under the **Watchlist Management** project:
  - Analyze Reference Data Quality
  - Download, Prepare, Filter and Export All Lists
  - Generate StopPhrases
9. Run the **MAIN** job under the **Transaction\_Screening** project.
10. Change the EDQ URL in the Transaction Filtering application. To change the EDQ URL, see [Configuring the Application Level Parameters](#).

**NOTE**

The first time you set up the Transaction Filtering application, you must change the EDQ URL.

11. Configure the message and screening parameters, if required.

### 10.2.1 Importing the Transaction Screening Project

For information on importing the Transaction Screening project, see the *Importing the OFS Customer Screening and OFS Transaction Filtering Projects* section in the [Oracle Financial Services Sanctions Installation Guide](#).

### 10.2.2 Configuring Watch List Management and Transaction Filtering

The Oracle Financial Services Transaction Filtering distribution contains two run Profiles for configuring Watch List Management and screening: `watchlist-management.properties` and `watchlist-screening.properties`. These profiles are available in the `<domain_name>/edq/oedq.local.home/runprofiles/` directory when you log into the WinSCP server.

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

Run profiles may be used when running jobs either from the Command Line Interface, using the `runopsjob` command, or in the Server Console User Interface.

The `watchlist-management.properties` run profile controls the following processes:

- Which watch lists are downloaded, and the configuration of the download process
- Whether filtering is applied to the watch lists or not
- Whether Data Quality Analysis is applied to the watch lists.
- Real-Time and Batch Screening set up
- Screening reference ID prefixes and suffixes
- Watch list routing
- Configuration of match rules.

**NOTE** The properties controlling match rules are not included in the `watchlist-screening.properties` run profile by default. For more information, see [Configuring Match Rules](#).

### 10.2.2.1 Preparing Watch List Data

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

- HM Treasury
- OFAC
- EU consolidated list
- UN consolidated list
- World-Check
- Dow Jones watch list
- Dow Jones Anti-Corruption List
- Accuity Reference Data
- For information on the watch lists, see [Appendix A: Watch Lists](#).

### 10.2.2.2 Setting Up Private Watch List

Oracle financial services Customer Screening is pre-configured to work with commercially available and government-provided watch lists. However, you can also screen data against your private watch lists. Sample private watch lists are provided in the `config/landingarea/Private` directory in the `privateindividuals.csv` and `privateentities.csv` files.

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

To replace the data, follow these steps:

1. Transform your private watch list data into the format specified in the **Private List Interface** chapter in the [Oracle Financial Services Data Interfaces Guide](#).

2. Replace the data in the `privateindividuals.csv` and `privateentities.csv` files with your transformed private watch list data.

**NOTE** The files must be saved in UTF-8 format.

To enable the staging and preparation of the private watch list in the `watchlist-management.properties` Run Profile, follow these steps:

1. Move your private watch list data to the staging area by setting `phase.PRIV\ -\ Stage\ reference\ lists.enabled` to **Y**.
2. Set `phase.PRIV\ -\ Prepare\ without\ filtering.enabled` to **Y** to prepare the private watch list without filtering.

Set `phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled` and `phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled` to **Y** to prepare the private watch list with filtering.

#### 10.2.2.2.1 Showing Watch List Staged Data/Snapshots in the Server Console User Interface

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

- Watch list snapshots
- Intermediate filtered watch list staged data
- Centralized reference data staged data and snapshots

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

For example, to make all HM Treasury watch list snapshots generated during Watch List Management visible, set the following properties in the `watchlist-management.properties` run profile:

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

#### 10.2.2.2.2 Configuring Match Rules

Match rules and match clusters can be configured and controlled by adding a property to the `watchlist-screening.properties` run profile.

**NOTE** Ensure that data is available in the `ref_port_cntry` table before you begin the matching process. This table contains the port code for a port name and the corresponding port country. For more information on matching, see [https://docs.oracle.com/middleware/1221/edq/user/adv\\_features.htm#DQUSG380](https://docs.oracle.com/middleware/1221/edq/user/adv_features.htm#DQUSG380).

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

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

**NOTE** Ensure that values are capitalized and characters are escaped as applicable.

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

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

For further details on tuning match rules, see the [Oracle Financial Services Transaction Filtering Matching Guide](#).

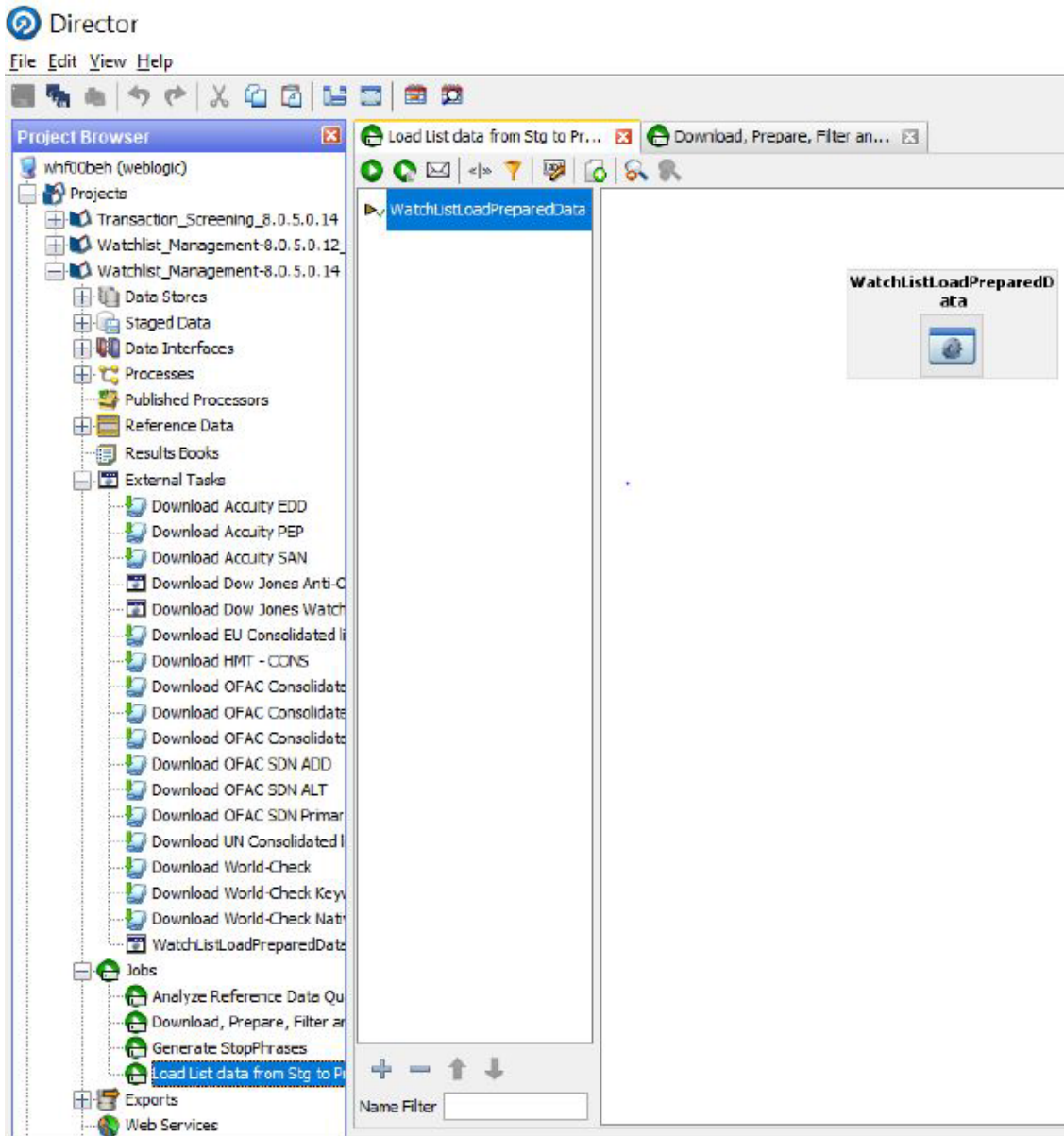
### 10.2.2.2.3 Configuring Jobs

To configure a job, it must be configured in the `properties` file and on the administration window to enable or disable the web services.

The **WatchListLoadPreparedData** process is disabled by default. To enable the process, follow these steps:

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

Figure 88: EDQ Director Menu



2. Right-click the **WatchListLoadPreparedData** process and click **Enable**.

### 10.2.2.3 Filtering Watch List Data

The following sections provide information on how to enable and configure the watch list filters.

#### 10.2.2.3.1 Enabling Watch List Filtering

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

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

#### 10.2.2.3.2 Configuring Watch List Filtering

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



**NOTE** After data is filtered out, it is not possible to filter it back in. For example, if all entities are filtered out in the **Watchlist Management** project, even if the **Transaction\_Screening** project is configured to include entities, they will not appear in the results data.

The top-level of filtering is controlled by editing the **Reference Data Editor - Filter - Settings** reference data.

**Figure 89: Reference Data Editor - Filter - Settings Window**

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

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

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

Broadly speaking, watch list filtering falls into four categories:

- By list and list subkey.
- By list record origin characteristics.
- By list profile record characteristics.
- By linked profiles.

### 10.2.2.3.3 Primary and Secondary Filtering, and Linked Records

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

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

**NOTE** Only the World-Check and DJW watch lists can provide Linked Profiles.

#### 10.2.2.3.4 Setting Multiple Values for Primary and Secondary Filters

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

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

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

**NOTE** When you set the `Filter - Settings` reference data to **N**, only the records that match the values set in the corresponding reference data are included. For example, if you set the value of `All name qualities` to **N** in `Filter - Settings`, then you can determine which name qualities must be included for each watch list in the `Filter - PrimaryName Qualities` reference data. For instance, if 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 for this watch list, then only records with high-quality names are included in the watch list.

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

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

#### 10.2.2.3.5 Filtering World-Check Data

This example describes configuring filtering on the World-Check Sanctions list in the **Watchlist Management** project and setting further filters in the **Transaction\_Screening** project. You can also perform the following actions:

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

#### 1.1.1.15.0.0.4 Setting Filtering options in the Run Profiles

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

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

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

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

#### 10.1.1.1.6 Setting Primary Filters and Linked Profiles in the Watchlist Management Project

To set the primary filters, follow these steps:

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

#### 10.1.1.1.7 Setting Secondary Filters in the Transaction\_Screening Project

To set secondary filters, follow these steps:

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

### 10.1.1.1.8 Screening All Data Using Sanctions Rules

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

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

### 10.1.1.2 Viewing Reference Data for Web Services

Previously, all reference data was available in EDQ. From 807 onwards, only data related to name and address is enabled in EDQ. All other reference data is available in the database in the following tables:

- Goods prohibition reference data is available in `fcc_prohibiton_goods_ref_data`
- Ports prohibition reference data is available in `fcc_port_ref_data`
- Bad BICs reference data is available in `dim_sanctioned_bic`
- Stop Keywords reference data is available in `dim_stop_keywords`
- Blacklisted Cities reference data is available in `dim_sanctioned_city`
- Blacklisted Countries reference data is available in `dim_sanctioned_country`

#### 10.1.1.2.1 Bad BICs Reference Data

The following columns are available in the template for BICs:

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

#### Sample Data for Sanctioned BICs

The following table provides examples based on BICs:

**Table 28: Sample Data for Sanctioned BICs**

| Record ID | BIC      | Data Source                             | Risk Score |
|-----------|----------|---|------------|
| 1         | SIIBSYDA | OFAC (Office of Foreign Assets Control) | 85         |
| 2         | FTBDKPPY | OFAC (Office of Foreign Assets Control) | 90         |
| 3         | DCBKPPY  | OFAC (Office of Foreign Assets Control) | 85         |
| 4         | ROSYRU2P | OFAC (Office of Foreign Assets Control) | 90         |
| 5         | INAKRU41 | OFAC (Office of Foreign Assets Control) | 90         |
| 6         | SBBARUMM | OFAC (Office of Foreign Assets Control) | 90         |

### 10.1.1.2.2 Blacklisted Cities Reference Data

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

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

#### Sample Data for Sanctioned Cities

The following table provides examples for blacklisted cities:

**Table 29: Sample Data for Sanctioned Cities**

| Record ID | Country | City              | ISO City Code | Data Source                             | Risk Score |
|-----------|---------|-------------------|---------------|---|------------|
| 1         | IRAQ    | ARBIL             | ABL           | OFAC (Office of Foreign Assets Control) | 90         |
| 2         | IRAQ    | ABU AL FULUS      | ALF           | OFAC (Office of Foreign Assets Control) | 90         |
| 3         | IRAQ    | AMARA (AL-AMARAH) | AMA           | OFAC (Office of Foreign Assets Control) | 85         |
| 4         | IRAQ    | ARAK              | ARK           | OFAC (Office of Foreign Assets Control) | 90         |

### 10.1.1.2.3 Blacklisted Countries Reference Data

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

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

#### Sample Data for Sanctioned Countries

The following table provides sample data for blacklisted countries:

**Table 30: Sample Data for Sanctioned Countries**

| Record ID | Country | ISO Country Code | Country Synonyms  | Data Source                             | Risk Score |
|-----------|---------|------------------|---|---|------------|
| 1         | IRAQ    | IQ               | IRAK, REPUBLIC OF IRAQ, AL JUM-HURIYAH AL IRAQIYAH, AL IRAQ | OFAC (Office of Foreign Assets Control) | 90         |

**Table 30: Sample Data for Sanctioned Countries**

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

#### 10.1.1.2.4 Stop Keywords Reference Data

The following columns are available in the template for keywords:

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

#### Sample Data for Sanctioned Stop Keywords

The following table provides examples based on keywords:

**Table 31: Sample Data for Sanctioned Stop Keywords**

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

#### 10.1.1.2.5 Goods Prohibition Reference Data

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

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

### Sample Data for Prohibited Goods

The following table provides sample data for prohibited goods:

**Table 32: Sample Data for Prohibited Goods**

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

#### 10.1.1.2.6 Ports Prohibition Reference Data

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

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

#### Sample Data for Prohibited Ports

The following table provides sample data for prohibited ports:

**Table 33: Sample Data for Prohibited Ports**

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

#### 10.1.1.3 Extending Prohibition Screening

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

- Create new entries in the prohibition reference data with a new Prohibition Type name, for example, "Employment Country".
- [Batch screening only] Extend the customer data preparation process to create a new attribute, for example, dnEmploymentCountryCode.

- Edit the appropriate screening process, to create the necessary match rules and clusters for the new attribute.



# 11 Configuring Risk Scoring Rules

This chapter provides a brief overview of configuring Risk Scoring Rules for Transaction Filtering. These rules are configured in the Inline Processing Engine (IPE). Transaction Filtering has a few ready-to-use business rules. The following steps show the pre-configured business rules and how you can create your business rules based on the requirements.

Before you configure the rules, you must update the sequence ID for IPE. To do this, execute the following script in the *Config* schema as a post-installation step:

```
Begin p_set_sequence_value('TASKS','5000000','Y'); end;
```

For information on the post-installation activities, see the [Oracle Financial Services Behavior Detection Installation Guide](#).

## NOTE

The screenshots shown for these steps are taken for existing tables. You can perform similar steps for newly added tables.

To configure rules in IPE, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page. For more information, see the [Inline Processing Menu](#).
2. Click **Inline Processing**. The **Inline Processing** page is displayed.

The following window shows the **Profiles** menu. Profiles are an aggregation of information. Profiles can be based on different grouping entities (For example, account and customer) and can be filtered to only look at specific types of transactions. Profiles can also be based on time (last three months) or activity counts (last 100 transactions). For more information on Profiles, see the **Managing Profiles** chapter in the [Oracle Financial Services Inline Processing Engine User Guide](#).

**Figure 90: Profiles Menu**

The screenshot shows the Oracle Financial Services Inline Processing web interface. The 'Profiles' menu is active. The page includes a search bar and a table with the following columns: Profile Name, Activity, Processing Segment, Status, Updated By, Updated On, and History. The table content is empty, showing 'No Data Found'.

3. Import data model tables into IPE using the **Business Entities** sub-menu. A Business Entity is a virtual layer that can be added to an existing table. You can add a new business entity and search for existing business entities to modify or remove a business entity. For more information on Business Entities, see the **Managing Business Entities** section in the [Oracle Financial Services Inline Processing Engine User Guide](#).

To import a table, follow these steps:

- Click the **Association and Configuration** menu, then click the **Business Entities** sub-menu.
- Select the Business Entity you want to import.
- Click **Import Entity** [Import Entity](#).

Figure 91: Import Table Action

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

---

Home >> Association and Configuration >> Business Entities

Choose Entity   Import Entity   Delete

Entity Name\*

> Business Entities (0)   Add   Edit   Delete   Synchronize

Entity Details   Save

Set Primary Key Attribute\*

Set Sequence ID Attribute

Set Processing Status Attribute

> Attributes (0)   Edit

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

Figure 92: Entities List

Search | Go | Reset

Entity Name

Entities

|                          | Entity Name                                   |
|--------------------------|---|
| <input type="checkbox"/> | ACCT-ACCT                                     |
| <input type="checkbox"/> | CS_ALERTS-CS_ALERTS                           |
| <input type="checkbox"/> | CUST-CUST                                     |
| <input type="checkbox"/> | CUST_ACCT-CUST_ACCT                           |
| <input type="checkbox"/> | CUST_ADDR-CUST_ADDR                           |
| <input type="checkbox"/> | CUST_EMAIL_ADDR-CUST_EMAIL_ADDR               |
| <input type="checkbox"/> | CUST_ID_DOC-CUST_ID_DOC                       |
| <input type="checkbox"/> | CUST_IMP_LICENSE-CUST_IMP_LICENSE             |
| <input type="checkbox"/> | CUST_IMP_LICENSE_GOODS-CUST_IMP_LICENSE_GOODS |
| <input type="checkbox"/> | CUST_LIST_MEMBERSHIP-CUST_LIST_MEMBERSHIP     |

- Select an entity. The **Business Entity** fields are enabled. You can enter the following details:

Table 34: Business Entity Fields

| Field         | Description  |
|---------------|--|
| Business Name | Enter a unique <b>Business Name</b> of the Entity. By default, the Business Name is populated as the logical name provided for the Table in the data model. The details of this field can be modified. |

**Table 34: Business Entity Fields**

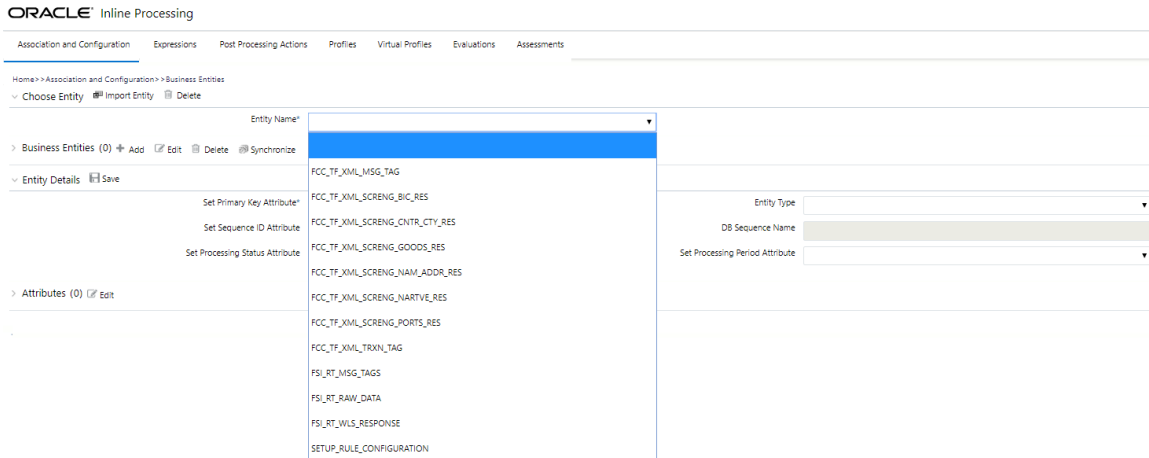
| Field                           | Description  |
|---------------------------------|--|
| Entity Type                     | <p>Select the <b>Entity Type</b> from the drop-down list. The following entity types are available:</p> <ul style="list-style-type: none"> <li>· <b>Activity:</b> Select a table as Activity if the data is to be processed by IPE as a part of assessment execution. To use Activity as a Reference, relevant Inline Datasets and Traversal Paths must be created. For example, if wire transactions and cash transactions are two activities, then there must be inline datasets created for them and a traversal path connecting the two.</li> <li>· <b>Reference:</b> Select a table as a Reference if the table has static values for IPE. Reference data cannot be processed by IPE.</li> <li>· <b>Lookup:</b> Select a table as Lookup if it is used as a scoring table in Evaluations. This can be used as a Reference.</li> </ul> <p>After a table is imported, you cannot change the entity type of the table.</p> |
| Processing Segment              | Select the <b>Processing Segment</b> from the multi-select drop-down list.   |
| Set Primary Key Attribute       | <p>Select the <b>Primary Key Attribute</b> from the drop-down list. This shows all the columns of the table. This is a unique attribute of the table which is imported. It is a mandatory field. Composite Primary Keys are not supported.</p>   |
| Set Sequence ID Attribute       | <p>Select the sequence ID attribute from the drop-down list. Select the sequence ID attribute from the drop-down list. This field is enabled if you select <b>Activity</b> as the Entity Type.</p>   |
| DB Sequence Name                | <p>Enter the <b>DB sequence name</b>. A DB Sequence must be created in the Atomic Schema. The name of that Sequence must be provided in this field. This field is enabled if you select <b>Activity</b> as the Entity Type.</p>  |
| Set Processing Status Attribute | <p>Select the <b>processing status</b> attribute from the drop-down list. This attribute is updated by IPE to indicate if the assessment has passed or failed. This field is enabled if you select <b>Activity</b> as the Entity Type.</p>   |
| Set Processing Period Attribute | <p>Select the <b>processing period</b> attribute from the drop-down list. This attribute defines the date or time when the activity has occurred. For example, Transaction Time. This field is enabled if you select <b>Activity</b> as the Entity Type.</p>   |
| Score Attribute                 | <p>This field is enabled ONLY if you select <b>Lookup</b> as the Entity Type. Select the <b>Score</b> Attribute from the drop-down list. This attribute can be used in evaluation scoring.</p>   |

- Click **Save**.

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

- In the **Business Entities** sub-menu, select an entity from the **Entity Name** drop-down.

**Figure 93: Entities List**



- Click **Add**.
2. Provide the name, processing segment, and score attribute for the business entity.

**Figure 94: Business Entity attributes**

Name\*

Processing Segment\*

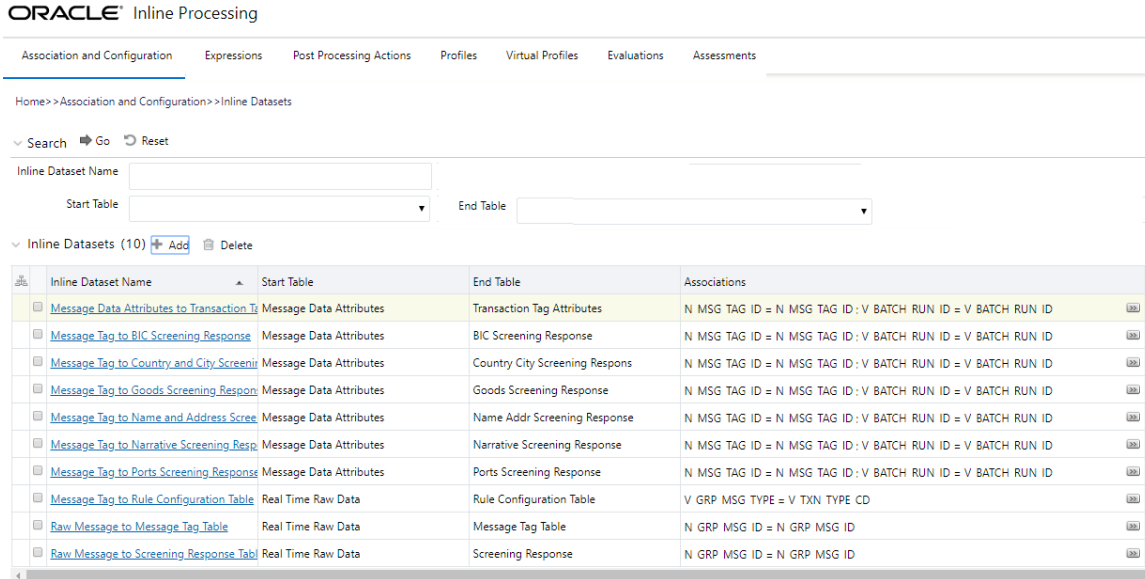
Set Score Attribute

3. Click **Add**. The new parameter is added to the list of Business Entities on the **Business Entities** page.
4. Add a join in IPE from the **Inline Datasets** sub-menu in the **Association and Configuration** menu. Inline Datasets are joins between two Business Entities. When you create an Inline Dataset, you must define at least one join.

To add a join, follow these steps:

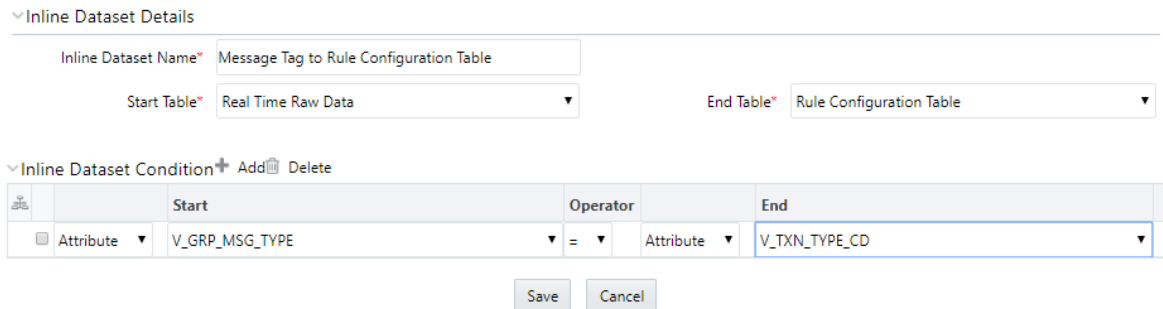
- On the **Inline Datasets** page, click **Add**.

**Figure 95: Inline Datasets page**



- Enter a name for the inline dataset.
- In the **Start Table** field, select the start table of the join.
- In the **End Table** field, select the end table of the join.

**Figure 96: Inline Datasets Attributes**



- Click **Add**.
  - Click **Save**. The new dataset is added to the list of Inline Datasets on the **Inline Datasets** page. For more information on inline datasets, see the **Managing Inline Datasets** section in the [Oracle Financial Services Inline Processing Engine User Guide](#).
1. Add a traversal path for each join defined in the **Inline Datasets** sub-menu. Traversal paths are the paths between two or more entities. The traversal paths defined can be used to create expressions, evaluations, and profiles.

To add a traversal path, follow these steps:

- Click the **Traversal Paths** sub-menu in the **Association and Configuration** menu.
- On the **Traversal Paths** page, click **Add**.

**Figure 97: Traversal Paths Page**

ORACLE® Inline Processing

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

Home>>Association and Configuration>>Traversal Paths

Search Go Reset

Traversal Path Name

Start Table  End Table

Traversal Paths (10) Add Delete

| Traversal Path Name                                      | Start Table             | End Table                      | Traversal Path Flow                                      |
|--|-------------------------|--------------------------------|--|
| <a href="#">Message Tag to BIC Screening Response</a>    | Message Data Attributes | BIC Screening Response         | Message Data Attributes : BIC Screening Response         |
| <a href="#">Message Tag to Country and City Screenin</a> | Message Data Attributes | Country City Screening Respons | Message Data Attributes : Country City Screening Respons |
| <a href="#">Message Tag to Goods Screening Respon</a>    | Message Data Attributes | Goods Screening Response       | Message Data Attributes : Goods Screening Response       |
| <a href="#">Message Tag to Name and Address Scree</a>    | Message Data Attributes | Name Addr Screening Response   | Message Data Attributes : Name Addr Screening Response   |
| <a href="#">Message Tag to Narrative Screening Resp</a>  | Message Data Attributes | Narrative Screening Response   | Message Data Attributes : Narrative Screening Response   |
| <a href="#">Message Tag to Ports Screening Respon</a>    | Message Data Attributes | Ports Screening Response       | Message Data Attributes : Ports Screening Response       |
| <a href="#">Message Tag to Rule Configuration Table</a>  | Real Time Raw Data      | Rule Configuration Table       | Real Time Raw Data : Rule Configuration Table            |
| <a href="#">Message Tag to Transaction Tag</a>           | Message Data Attributes | Transaction Tag Attributes     | Message Data Attributes : Transaction Tag Attributes     |
| <a href="#">Raw Message to Message Tag Table</a>         | Real Time Raw Data      | Message Tag Table              | Real Time Raw Data : Message Tag Table                   |
| <a href="#">Raw Message to Screening Response Tab</a>    | Real Time Raw Data      | Screening Response             | Real Time Raw Data : Screening Response                  |

- Enter a name for the traversal path.
- In the **Start Table** field, select the same start table that you selected in [step c.](#)
- In the **End Table** field, select the same end table that you selected in [step d.](#)

**Figure 98: Traversal Paths Attributes**

Traversal Path Details

Traversal Path Name

Start Table  End Table

Traversal Path Flow Add Delete

| Source Entity                               | Destination Entity                                    | Sequence ID |
|---|---|-------------|
| <input type="checkbox"/> Real Time Raw Data | <input type="text" value="Rule Configuration Table"/> | 1           |

Save Cancel

- Click **Add**.
  - Select the values for the traversal path flow as shown in the figure.
  - Click **Save**. The new path is added to the list of traversal paths on the **Traversal Paths** page. For more information on traversal paths, see the **Managing Traversal Paths** section in the [Oracle Financial Services Inline Processing Engine User Guide](#).
2. Add an Expression on the *risk score* column of the newly created business entity which is to be scored as a risk parameter from the **Expressions** menu. An expression is used as a filter when creating evaluations or profiles. Expressions must only be created on the activity table on which an evaluation is created.

In this example, two expressions are created. The first expression is for the column which holds the value of the new risk parameter, and the second expression is for the calculations that are needed to derive the risk score

To add an expression, follow these steps:

- Click the **Expressions** menu.
- On the **Expressions** page, click **Add**.

**Figure 99: Expressions Page**

ORACLE<sup>®</sup> Inline Processing

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

Home >> Expressions

Search Go Reset

Expression Name:  Activity:  Processing Segment:

Status:

Expressions (26) Add Delete Save

| Expression Name              | Description                                     | Status | Activity                | Processing Segment |
|------------------------------|---|--------|-------------------------|--------------------|
| Amendments                   | ( Message Tag Table:V_NUMBER_OF_AMENDMENT)      | VALID  | Real Time Raw Data      | Transaction F...   |
| Amount                       | ( Message Tag Table:V_AMOUNT)                   | VALID  | Real Time Raw Data      | Transaction F...   |
| Amount ISO20022              | ( Message Data Attributes:N_CNTRL_SUM_AMT)      | VALID  | Message Data Attributes | Transaction F...   |
| BIC Score                    | ( BIC Screening Response:N_Match_Score)         | VALID  | Message Data Attributes | Transaction F...   |
| Batch Run ID                 | ( Message Data Attributes:V_BATCH_RUN_ID)       | VALID  | Message Data Attributes | Transaction F...   |
| Beneficiary Account Number   | ( Message Tag Table:V_BENF_ACC_NO)              | VALID  | Real Time Raw Data      | Transaction F...   |
| Beneficiary Name and Address | ( Message Tag Table:V_BENF_ACC_ADDRS)           | VALID  | Real Time Raw Data      | Transaction F...   |
| Country and City Score       | ( Country City Screening Respons:N_Match_Score) | VALID  | Message Data Attributes | Transaction F...   |
| Currency                     | ( Message Tag Table:V_CURRENCY)                 | VALID  | Real Time Raw Data      | Transaction F...   |
| Currency ISO20022            | ( Transaction Tag Attributes:V_CURRENCY)        | VALID  | Message Data Attributes | Transaction F...   |
| Destination Country          | ( Message Tag Table:V_DESTINATION_CNTRY)        | VALID  | Real Time Raw Data      | Transaction F...   |
| Direction                    | ( Message Tag Table:V_DIRECTION)                | VALID  | Real Time Raw Data      | Transaction F...   |
| Goods Score                  | ( Goods Screening Response:N_MATCH_SCORE)       | VALID  | Message Data Attributes | Transaction F...   |
| Jurisdiction                 | ( Real Time Raw Data:V_BIC_CODE)                | VALID  | Real Time Raw Data      | Transaction F...   |
| Message Reference            | ( Message Tag Table:V_MSG_REF)                  | VALID  | Real Time Raw Data      | Transaction F...   |

Page 1 of 2

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

**Figure 100: First Expression Attributes**

Expression Name\* Country of birth Activity\* Real Time Raw Data

Processing Segment\* Transaction Filtering

Variables Add Delete Apply Function to Group Remove Function from Group Apply Function to Expression

| Group    | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter                    |
|----------|-------|----------|---|----------|---------------------------------------|
| Variable |       | Operator | Business Entity* Message Tag Table                      |          | Business Attribute* D_REQST_EXECUTION |

Add to Current Group Create New Group

Submit Close

- Select the business entity and the business attribute where the value of the new parameter resides.
- Click the **Save** icon. The variable is displayed on the window.

**Figure 101: First Expression Displayed**

Expression Name\*  Activity\*

Processing Segment\*

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1     | 1     |          | Message Tag Table : D_REQST_EXECUTION                   |          |                    |

Variable Save Cancel

Operator

Business Entity\*

Business Attribute\*

Add to Current Group  Create New Group

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

**Figure 102: Second Expression Attributes**

Expression Name\*  Activity\*

Processing Segment\*

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1     | 1     |          | Message Tag Table : D_REQST_EXECUTION                   |          |                    |

Variable Save Cancel

Operator

Business Entity\*

Business Attribute\*

Add to Current Group  Create New Group

- Click the **Save icon**. The variable is displayed.



**Figure 103: Second Expression Displayed**

Expression Name\*  Activity\*

Processing Segment\*

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1     | 1     |          | Message Tag Table : D_REQST_EXECUTION                   |          |                    |
| 2     | 1     | +        | Message Tag Table : D_DATE_OF_ISSUE                     |          |                    |

Variable  Save Cancel

Operator

Business Entity\*

Business Attribute\*

Add to Current Group  Create New Group

Submit Close

For information on applying a function to the group or expression, see the **Managing Expressions** chapter in the [Oracle Financial Services Inline Processing Engine User Guide](#).

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

3. Add the following ready-to-use evaluations from the **Evaluations** Menu. Evaluations are logical comparisons against conditions that result in a score. For information on the conditions, see the **Managing Evaluations** section in the [Oracle Financial Services Inline Processing Engine User Guide](#).

You can define new rules according to your requirement using the expressions defined in the earlier steps.

- ISO20022 Risk-Currency VS Amount Threshold Evaluation**

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

**NOTE**

- This evaluation applies to the ISO message category.
- This score is configurable.

**Table 35: ISO20022 Risk-Currency VS Amount Threshold Evaluation Filters**

| Sl.No | Filter Name | Filter Clause   |
|-------|-------------|---|
|       | Batch ID    | ( Message Data Attributes:V_BATCH_RUN_ID ) = BATCH RUN ID |
|       | Amount      | ( Message Data Attributes:N_CNTRL_SUM_AMT ) >= 10000      |
|       | Currency    | ( Transaction Tag Attributes:V_CURRENCY ) = 'EUR'         |

- Risk- High Risk Party Evaluation**

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

**Table 36: Risk- High-Risk Party Evaluation Filters**

| SI.No | Filter Name                | Filter Clause  |
|-------|----------------------------|--|
|       | Beneficiary Account Number | ( Message Tag Table:V_BENF_ACC_NO) = ( Rule Configuration Table:V_COND1) |
|       | Rule Name                  | ( Rule Configuration Table:V_RISK_RULE_CODE) = 'TF_HIGH_RSK_PARTY'       |
|       | Message Type               | ( Real Time Raw Data:V_GRP_MSG_TYPE) = 'MT700'                           |
|       | Direction                  | ( Message Tag Table:V_DIRECTION) in (('INBOUND', 'OUTBOUND'))            |

■ **Risk-Currency VS Amount Threshold Evaluation**

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

**NOTE**

This score is configurable.

**Table 37: Risk-Currency VS Amount Threshold Evaluation Filters**

| SI.No | Filter Name  | Filter Clause   |
|-------|--------------|---|
|       | Message Type | ( Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |
|       | Jurisdiction | ( Real Time Raw Data:V_BIC_CODE) = 'CHASUS33XXX'                                |
|       | Direction    | ( Message Tag Table:V_DIRECTION) in ('INBOUND','OUTBOUND')                      |
|       | Currency     | ( Message Tag Table:V_CURRENCY) = 'USD'   |
|       | Amount       | ( Message Tag Table:V_AMOUNT) >= 10000  |

■ **Risk-Currency VS Destination Country Evaluation**

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

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

**Table 38: Risk-Currency VS Destination Country Evaluation Filters**

| SI.No | Filter Name | Filter Clause   |
|-------|-------------|---|
|       | Currency    | ( Message Tag Table:V_CURRENCY) = ( Rule Configuration Table:V_COND1) |

**Table 38: Risk-Currency VS Destination Country Evaluation Filters**

| Sl.No | Filter Name         | Filter Clause  |
|-------|---------------------|--|
|       | Destination Country | ( Message Tag Table:V_DESTINATION_CNTRY) = ( Rule Configuration Table:V_COND2)   |
|       | Direction           | ( Message Tag Table:V_DIRECTION) in ('INBOUND','OUTBOUND')                       |
|       | Message Type        | ( Real Time Raw Data:V_GRP_MSG_TYPE) = ( Rule Configuration Table:V_TXN_TYPE_CD) |
|       | Rule Name           | ( Rule Configuration Table:V_RISK_RULE_CODE) = 'TF_CCY_C-TRY_RSK'                |

- **Risk-High Risk Destination Country Evaluation**

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

**NOTE** This score is configurable.

**Table 39: Risk-High Risk Destination Country Evaluation Filters**

| Sl.No | Filter Name         | Filter Clause   |
|-------|---------------------|---|
|       | Amount              | ( Message Tag Table:V_AMOUNT) >= 10000  |
|       | Currency            | ( Message Tag Table:V_CURRENCY) = 'EUR'   |
|       | Destination Country | ( Message Tag Table:V_DESTINATION_CNTRY) in ('TH', 'PK')                        |
|       | Direction           | ( Message Tag Table:V_DIRECTION) = 'OUTBOUND'                                   |
|       | Message Type        | ( Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |

- **Risk-High Risk Originator Country Evaluation**

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

**NOTE** This score is configurable.

**Table 40: Risk-High Risk Originator Country Evaluation Filters**

| Sl.No | Filter Name        | Filter Clause   |
|-------|--------------------|---|
|       | Amount             | ( Message Tag Table:V_AMOUNT) >= 10000  |
|       | Currency           | ( Message Tag Table:V_CURRENCY) = 'EUR'   |
|       | Message Type       | ( Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |
|       | Direction          | ( Message Tag Table:V_DIRECTION) = 'INBOUND'                                    |
|       | Originator Country | ( Message Tag Table:V_ORIGINATOR_CNTRY) in ('PK', 'TH')                         |

■ **Risk-Trade Amendments Evaluation**

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

**NOTE** This score is configurable.

**Table 41: Risk-Trade Amendments Evaluation Filters**

| Sl.No | Filter Name          | Filter Clause  |
|-------|----------------------|--|
|       | Message Type         | ( Real Time Raw Data:V_GRP_MSG_TYPE) = 'MT707'               |
|       | Direction            | ( Message Tag Table:V_DIRECTION) in (('INBOUND','OUTBOUND')) |
|       | Number of Amendments | ( Message Tag Table:N_NUMBER_OF_AMENDMENT) >= 5              |

■ **Risk-WatchList Screening Evaluation**

This evaluation or risk rule returns the match score generated from the matching engine. In the case of multiple matches for a given message, it returns the maximum match score. The matching rules are configured with different match scores in EDQ.

**NOTE** This evaluation applies to the SWIFT message category.

- This score is configurable.

■ **Watch List Score**

This evaluation or risk rule watch list response score. The matching rules are configured with different match scores in EDQ.

**NOTE**

- This evaluation applies to the ISO message category.
- This score is configurable.

**Table 42: Watch List Score Filters**

| Sl.No | Filter Name      | Filter Clause   |
|-------|------------------|---|
|       | Watch List Score | (Get Max Watch List Score(( Name Addr Screening Response:N_MATCH_SCORE),Goods Score,Country and City Score,BIC Score,Ports Score,Narrative Score)) > 50 |
|       | Batch Run ID     | ( Message Data Attributes:V_BATCH_RUN_ID) = :BATCH_RUN_ID   |

To add an evaluation, follow these steps:

- Click the **Evaluations** menu.
- On the **Evaluations** page, click **Add**.

**Figure 104: Evaluations Page**

The screenshot shows the Oracle Inline Processing interface for the Evaluations page. At the top, there is a navigation menu with options: Association and Configuration, Expressions, Post Processing Actions, Profiles, Virtual Profiles, Evaluations (selected), and Assessments. Below the menu, there is a breadcrumb 'Home > Evaluations' and search options including 'Search', 'Go', and 'Reset'. There are input fields for 'Evaluation Name' and 'Activity', and a 'Status' dropdown menu. Below these are buttons for 'Add', 'Delete', 'Save', and 'Copy'. The main part of the page is a table with the following columns: Evaluation Name, Score, Activity, Processing Segment, Status, Updated By, Updated On, and History. The table contains several rows of evaluations, with the 'Watch List Score' row highlighted in blue. The 'Watch List Score' row has a score of 20, activity 'Message Data Attributes', processing segment 'Transaction Filtering', status 'VALID', updated by 'TFADMN', and updated on '01/03/2020 07:00:47'.

| Evaluation Name                                 | Score                                      | Activity                | Processing Segment    | Status | Updated By | Updated On          | History |
|---|--|-------------------------|-----------------------|--------|------------|---------------------|---------|
| ISO20022 Risk-Currency VS Amount Threshold E... | 20   | Message Data Attributes | Transaction Filtering | VALID  | TFADMN     | 02/12/2020 10:46:43 |         |
| Risk- High Risk Party Evaluation                | Rule Configuration Table:N_I               | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 05/03/2018 04:47:24 |         |
| Risk-Currency VS Amount Threshold Evaluation    | 25   | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 01/04/2018 06:55:27 |         |
| Risk-Currency VS Destination Country Evaluation | Rule Configuration Table:N_RISK_PARAM_SCOR | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 01/04/2018 06:56:59 |         |
| Risk-High Risk Destination Country Evaluation   | 20   | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 01/04/2018 06:55:13 |         |
| Risk-High Risk Originator Country Evaluation    | 20   | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 01/04/2018 06:54:31 |         |
| Risk-Trade Amendments Evaluation                | 20   | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 05/03/2018 04:44:52 |         |
| Risk-Watchlist Screening Evaluation             | Screening Response:N_SC...                 | Real Time Raw Data      | Transaction Filtering | VALID  | --         | 01/04/2018 06:57:57 |         |
| Watch List Score                                | Watchlist response Score                   | Message Data Attributes | Transaction Filtering | VALID  | TFADMN     | 01/03/2020 07:00:47 |         |

- Enter a name for the evaluation.
- Select an activity for the evaluation and the **Transaction Filtering** processing segment.

**Figure 105: Evaluations Attributes**

- To add a filter for the evaluation, click **Add**.
- Select the expression as mentioned in [step f](#).

**Figure 106: Evaluations Filters**

- Click **Save**. The new evaluation is added to the list of evaluations on the **Evaluations** page.
4. Create an Assessment for the ready-to-use evaluations. The Assessments checks the logic of all the evaluations and considers the sum of all the Evaluations for the output score.

**NOTE**

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

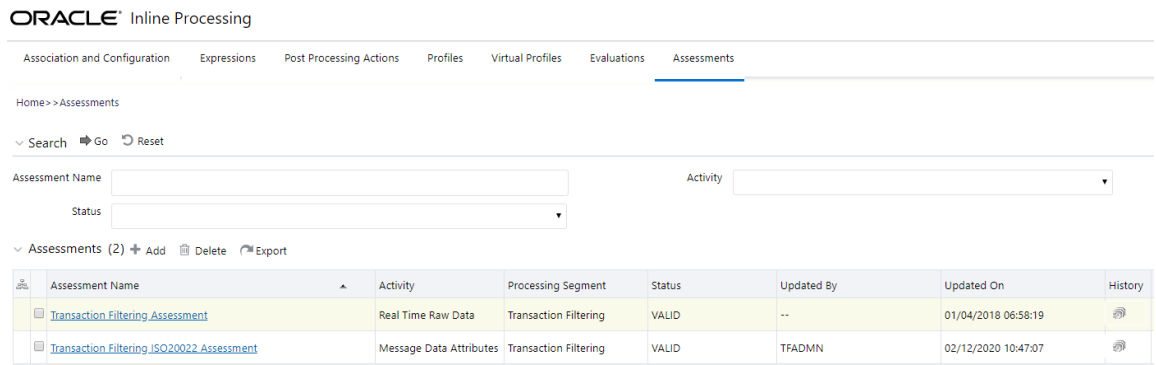
The risk score is calculated at the assessment level is as follows:

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

To add an Assessment, follow these steps:

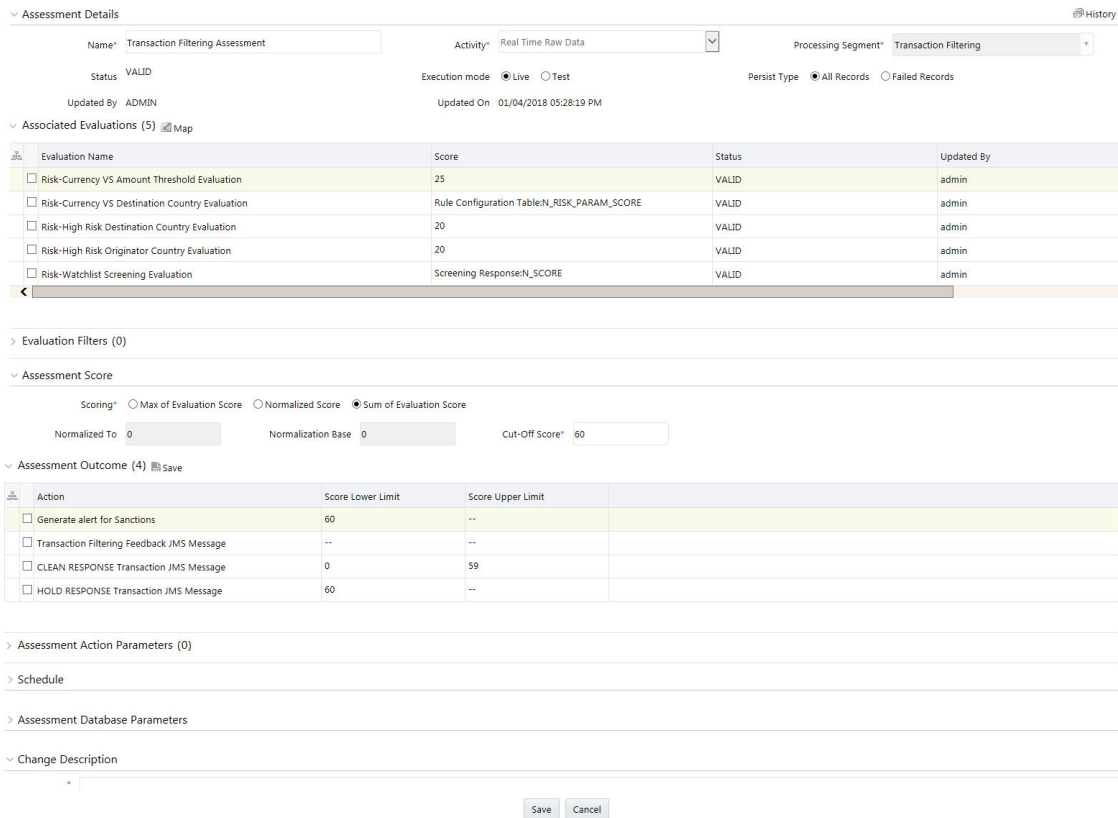
- Click the **Assessments** menu.

**Figure 107: Assessments Page**



- On the **Assessments** page, click **Add**. The following image shows the evaluations for the **Transaction Filtering Assessment**:

**Figure 108: Assessments Attributes**



The following image shows the evaluations for the **Transaction Filtering ISO20022 Assessment**:

**Figure 109: Sample Assessment**

Activity\* 
Processing Segment\* 
History

Status: 
Execution mode:  Live  Test
Persist Type:  All Records  Failed Records

Updated By: 
Updated On:

Associated Evaluations (2)

| Evaluation Name  | Score                    | Status | Updated By |
|--|--------------------------|--------|------------|
| <input type="checkbox"/> ISO20022 Risk-Currency VS Amount Threshold Evaluation | 20                       | VALID  | TFADMIN    |
| <input type="checkbox"/> Watch List Score                                      | Watchlist response Score | VALID  | TFADMIN    |

Evaluation Filters (0)

Assessment Score

Scoring\*  Max of Evaluation Score  Normalized Score  Sum of Evaluation Score

Normalized To: 
Normalization Base: 
Cut-Off Score\*:

Assessment Outcome (4)

| Action  | Score Lower Limit | Score Upper Limit |
|---|-------------------|-------------------|
| <input type="checkbox"/> Generate alert for Sanctions               | --                | --                |
| <input type="checkbox"/> Transaction Filtering Feedback JMS Message | --                | --                |
| <input type="checkbox"/> CLEAN RESPONSE Transaction JMS Message     | --                | --                |
| <input type="checkbox"/> HOLD RESPONSE Transaction JMS Message      | --                | --                |

Assessment Action Parameters (0)

Schedule

Assessment Database Parameters

Change Description

- Provide the assessment name, activity, processing segment, assessment scoring method, and change description for the assessment.
- Click **Save**. The new assessment is added to the list of assessments on the **Assessments** page. For more information on assessments, see the **Managing Assessments** section in the [Oracle Financial Services Inline Processing Engine User Guide](#).



## 12 Appendix A: Watch Lists

Monitoring transactions against watch lists of sanctioned individuals and companies, internal watch lists, and other commercial lists of high-risk individuals and organizations is a key compliance requirement for financial institutions worldwide. These watch lists help financial institutions identify customers who are sanctioned, live in sanctioned countries and any inbound or outbound transactions associated with these customers.

### L.1 HM Treasury Watch List

The HM Treasury publishes a sanctions list that can be used for screening in Transaction Filtering. The sanctions list provides a consolidated list of targets listed by the United Nations, the European Union, and the United Kingdom under legislation relating to current financial sanctions regimes. For more information, see the [HM Treasury website](#).

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

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

### L.2 OFAC Watch List

The US Treasury website states that The US Treasury's Office of Foreign Assets Control (OFAC) administers and enforces economic and trade sanctions based on US foreign policy and national security goals against targeted foreign countries, terrorists, international narcotics traffickers, and those engaged in activities related to the proliferation of weapons of mass destruction. For more information, see the [Treasury website](#).

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

<https://www.treasury.gov/ofac/downloads/sdn.csv>

<https://www.treasury.gov/ofac/downloads/add.csv>

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

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

[https://www.treasury.gov/ofac/downloads/consolidated/cons\\_prim.csv](https://www.treasury.gov/ofac/downloads/consolidated/cons_prim.csv)

[https://www.treasury.gov/ofac/downloads/consolidated/cons\\_add.csv](https://www.treasury.gov/ofac/downloads/consolidated/cons_add.csv)

[https://www.treasury.gov/ofac/downloads/consolidated/cons\\_alt.csv](https://www.treasury.gov/ofac/downloads/consolidated/cons_alt.csv)

### L.3 EU Watch List

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

The European Commission offers a consolidated list containing the names and identification details of all persons, groups, and entities targeted by these financial restrictions. For more information, see the [European Commission website](#).

To download the consolidated list:

1. Go to <https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/account>.
2. Create an account.
3. Navigate to <https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/files> and open show settings for crawler/robot.
4. Copy the URL for 1.0 XML (Based on XSD). This is 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.
5. Enter this URL in your run profile or download the task.

## L.4 UN 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, see 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>.

## L.5 World-Check Watch List

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

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

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

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

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

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

**NOTE**

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

## L.6 Dow Jones Watch List

Dow Jones provides a subscription-based service offering a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the various sanctions lists. For more information, see the [Dow Jones website](#).

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

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

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

## L.7 Dow Jones Anti-Corruption Watch List

Dow Jones provides a subscription-based service containing data to help you assess, investigate, and monitor third-party risk about anti-corruption compliance regulation. For more information, see the [Dow Jones website](#).

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

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

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

## L.8 Accuity Watch List

The Accuity Global watch list is a subscription-based service. The Accuity website states:

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

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

- The Regulatory Due Diligence (RDD) lists which cover sanctioned entities and individuals. The Accuity Group File can also be used in conjunction with this list.
- Enhanced Due Diligence (EDD) lists which cover entities and individuals who are not part of the regulatory sanctions lists, but whose activities may need to be monitored

- The Politically Exposed Persons (PEPs) Due Diligence Database, and covering PEPs

Any or all the lists can be downloaded and used separately or in conjunction with each other. For more information, see the [Accuity website](#).

## L.8.1 Using the Accuity Group File

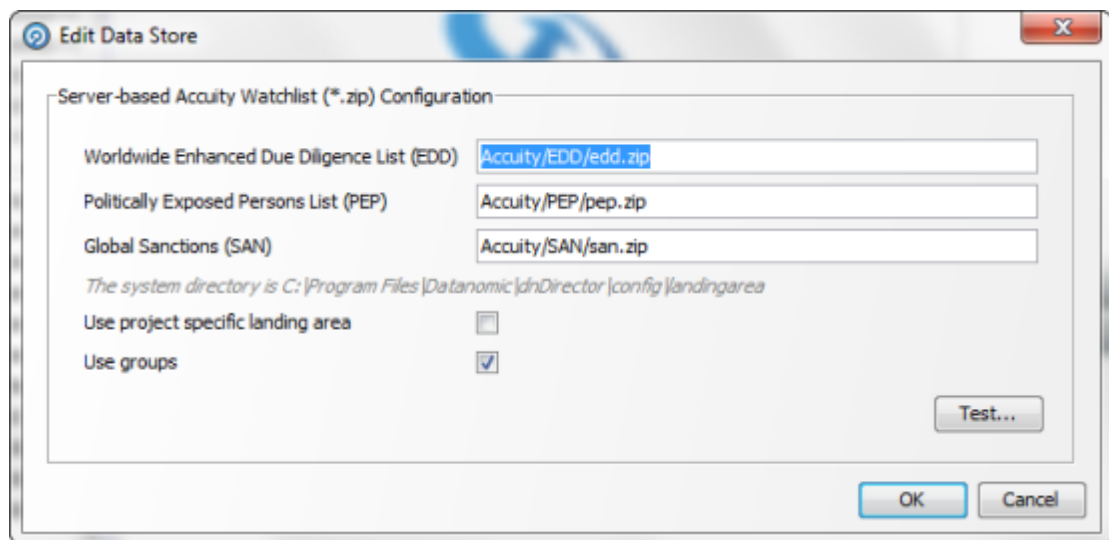
The Accuity global Watchlist is created by aggregating multiple watch lists. As such, any given individual or entity may be represented in the watch list by multiple entries using the `GROUP.XML` file.

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. Groups are used by default. To change this, open **Accuity Data Store** in the **Watch List Management** project and deselect the **Use groups** option.

Figure 110: Edit Data Store Window



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

## L.8.2 New Alerts Resulting from Use of the Group File

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

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

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

The Use Groups setting is changed after cases and alerts have already been generated. The setting for the Use Groups option must be selected during the implementation phase of the project. After screening has started, it must not be changed unless necessary. Changing this setting is likely to result in duplication of existing alerts with a new alert ID.

## L.9 Private Watch List

This section describes the structure of the `.csv` files used in the Private List Interface (PLI).

Private watch list data are provided in two `.csv` (comma-separated value) files; `privateindividuals.csv` and `privateentities.csv`. These files come with a pre-defined structure and set of validation rules. On installation, these files are populated with sample private watch list data, which must be replaced with your data, once it has been transformed into the required format.

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

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

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

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

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

### L.9.1 Individual Private Watch List Input Attributes

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

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

**Figure 111: Individual Private Watch List Input Attributes**

| Field Name | Expected Data Format | Notes   |
|------------|----------------------|---|
| ListSubKey | String               | This field is used to identify the source list of the watch list record (for example, Private List, Accounting Private List, Financial Private List, and so on). It is included in the alert key. |

**Figure 111: Individual Private Watch List Input Attributes**

| Field Name       | Expected Data Format | Notes  |
|------------------|----------------------|--|
| ListRecordType   | String               | NA   |
| ListRecordOrigin | String               | This field is used to record the provenance of a record when it is part of a consolidated list.  |
| ListRecordId     | String               | [Mandatory attribute] This attribute is not used as part of the matching process, but it must be populated with a unique identifier.   |
| PassportNumber   | String               | This is an optional field that may be used to capture the passport numbers of customers or individuals for use in the review process.<br>Passport numbers are not used in the default screening rules.   |
| NationalId       | String               | This is an optional field that may be used to capture customer National IDs for use in the review process.<br>The National IDs of customers and individuals must not use in the default screening rules.   |
| Title            | String               | This field must contain the titles of customers or individuals (such as Mr/Mrs/Dr/Herr/Monsieur). It is used to derive gender values where gender is not already stated and is used during the review process.<br>Avoid putting titles in the name fields.   |
| FullName         | String               | [Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed.  |
| GivenName        | String               |  |
| FamilyName       | String               |  |
| NameType         | String               | This is an optional field used in the review process only. Multiple names may exist for the same person. The Name Type, therefore, denotes if the name is the primary name of the listed party, or an additional name (such as an Alias, or Alternate Spelling). If two Private list records were derived from a single source with multiple names (such as Mrs. Louise Wilson née Hammond being split into two records, Louise Wilson and Louise Hammond) you may wish to denote one as the primary name and one as a maiden or alias name. |

**Figure 111: Individual Private Watch List Input Attributes**

| Field Name         | Expected Data Format  | Notes   |
|--------------------|---|---|
| NameQuality        | String  | This field may be assigned a value of Low, Medium, or High to indicate the quality of the individual name. High is used for Primary names and specified good/high-quality aliases.  |
| PrimaryName        | String  | For alias records, this field indicates the main name for that record.  |
| OriginalScriptName | String  | [Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed. If you populate the Original Script Name, then you will also need to enable two facets of Match processor configuration that are disabled by default: the Original Script Name Cluster and some or all of the Match Rules that include Original script name in their name. To adapt the Match Processor configuration, you will need to open the Transaction screening project within the Director user interface and make the changes to every process used during the Transaction Filtering installation. |
| Gender             | String  | The value supplied must be either 'M' or 'F'. The gender is not used directly in the matching process, but optionally, the value of the Gender field can be used by the elimination rules to eliminate poor matches.  |
| Occupation         | String  | This is an optional field that may be used to eliminate records with "safe" occupations, in the review process and risk scoring. Note that customer occupations are not matched against list occupations using the default screening rules.   |
| DateofBirth        | String, representing a date, in the format 'YYYYMMDD'; day, month, and year are required. | [Recommended attribute] Birth date information can be used in matching to identify particularly strong matches or to eliminate matches that are too weak.   |
| YearofBirth        | String, in the format 'YYYY'.   | NA  |
| Deceased Flag      | String  | If populated, this optional field must contain either <b>Y</b> or <b>N</b> .  |
| DeceasedDate       | String, representing a date, in the format 'YYYYMMDD'.                                    | If populated, this optional field must contain either the current date or a date in the past.   |

**Figure 111: Individual Private Watch List Input Attributes**

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



**Figure 111: Individual Private Watch List Input Attributes**

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

## L.9.2 Entity Private Watch List Input (PLI) Attributes

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

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

**Table 43: Entity Private Watch List Input Attributes**

| Field Name     | Expected Data Format | Notes   |
|----------------|----------------------|---|
| ListSubKey     | String               | This field is used to identify the source list of the watch list record (for example, Private List, Accounting Private List, Financial Private List, and so on). It is included in the alert key.   |
| ListRecordType | String               | [Mandatory attribute]This field is used when filtering alerts, to determine whether the record is a sanctions or PEP record. It must contain a value of SAN, PEP, or a combination of these values. If you want to include a combination of values, the values must be comma-separated and enclosed by double quotation marks. For example: "SAN, PEP". |

**Table 43: Entity Private Watch List Input Attributes**

| Field Name         | Expected Data Format | Notes  |
|--------------------|----------------------|--|
| ListRecordOrigin   | String               | This field is used to record the provenance of a record when it is part of a consolidated list.  |
| ListRecordId       | String               | [Mandatory attribute] This attribute is not used as part of the matching process, but it must be populated with a unique identifier.   |
| RegistrationNumber | String               | This is an optional field that may be used to capture entity registration numbers for use in the review process. Note that entity registration numbers are not used for matching in the default screening rules.   |
| EntityName         | String               | [Mandatory attribute] The entity matching process is based primarily on the name supplied for the entity. An entity name or original script name must be submitted to the screening process for screening to proceed.  |
| NameType           | String               | This is an optional field used in the review process only. Multiple names may exist for the same person. The Name Type, therefore, denotes if the name is the primary name of the listed party, or an additional name (such as an Alias, or Alternate Spelling). If two private list records were derived from a single source with multiple names (such as Mrs. Louise Wilson née Hammond being split into two records, Louise Wilson and Louise Hammond) you may wish to denote one as the primary name and one as a maiden or alias name. |
| NameQuality        | String               | This field may be assigned a value of Low, Medium, or High to indicate the quality of the individual name. High is used for Primary names and specified good or high-quality aliases.  |
| PrimaryName        | String               | For alias records, this field indicates the main name for that record.   |

**Table 43: Entity Private Watch List Input Attributes**

| Field Name           | Expected Data Format                  | Notes  |
|----------------------|---------------------------------------|--|
| OriginalScriptName   | String                                | [Mandatory attribute] The individual matching process is based primarily on the name supplied for the individual. Either a full name, a pair of given and family names, or an original script name must be submitted to the screening process for screening to proceed. If you populate the Original Script Name, then you will also need to enable two facets of Match processor configuration that are disabled by default. The Original Script Name Cluster and some or all the Match Rules that include Original script name in their name. To adapt the Match Processor configuration, you will need to open the Transaction screening project within the Director user interface and make the changes to every process used during the Transaction Filtering installation. |
| AliasIsAcronym       | String                                | If this field is set to <b>Y</b> , this flags an alias as an acronym as opposed to a full entity name. Leaving the field blank or setting it to any other value does not affect screening (that is, an alias is a full entity name).<br>This flag is used during matching.   |
| VesselIndicator      | String                                | This field must be set to Y if the entity is a vessel (a ship). It must be left empty or set to <b>N</b> if the entity is not a vessel.  |
| VesselInfo           | String                                | If the entity is a vessel, you can populate this field with information about it: for example, its call sign, type, tonnage, owner, flag, and so on.   |
| Address1             | String                                | These are optional fields that may be used in the review process.  |
| Address2             | String                                |  |
| Address3             | String                                |  |
| Address4             | String                                |  |
| City                 | String                                | [Recommended attribute] City data is used to strengthen potential match information.   |
| State                | String                                |  |
| Postal Code          | String                                |  |
| AddressCountryCode   | String; ISO 2-character country code. | [Recommended attribute] Address country data is used to strengthen potential match information.  |
| ResidencyCountryCode | String; ISO 2-character country code. | [Recommended attribute] The entity's registration country can be used in optional country prohibition screening.   |

**Table 43: Entity Private Watch List Input Attributes**

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

## 13 Appendix B: System Audit Logging Information

This appendix contains information on the logs related to the Debug and Info log files.

### B.1 Activities for System Audit

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

**Table 44: Activities for System Audit**

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

### B.2 Steps for System Audit Activities

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

**Table 45: Steps for System Audit Activities**

| Step Identifier | Activity Name             | Step Name   | Step Sequence | Status |
|-----------------|---------------------------|---|---------------|--------|
| 1               | Raw Message Processing    | Record the receipt of the raw message             | 1             | Y      |
| 2               | Raw Message Processing    | Raw Message persisted into structure table        | 2             | N      |
| 3               | Message Parser Processing | Raw Message parsed                                | 1             | N      |
| 4               | Message Parser Processing | Parsed Raw Message persisted into structure table | 2             | N      |
| 5               | watch list Processing     | Matching data prepared                            | 1             | N      |
| 6               | watch list Processing     | Matching Engine Invoked                           | 2             | Y      |
| 7               | watch list Processing     | Scoring Engine Invoked                            | 3             | Y      |
| 8               | watch list Processing     | Scoring performed                                 | 4             | Y      |

**Table 45: Steps for System Audit Activities**




| Step Identifier | Activity Name            | Step Name                                | Step Sequence | Status |
|-----------------|--------------------------|--|---------------|--------|
| 9               | watch list Processing    | Response Received                        | 5             | Y      |
| 10              | watch list Processing    | Response persisted                       | 6             | N      |
| 11              | Alert Manager Processing | Transaction Hold                         | 1             | N      |
| 12              | Alert Manager Processing | Alert Persisted                          | 2             | N      |
| 13              | Hold                     | Hold Transaction Workflow Invoked        | 1             | Y      |
| 14              | Hold                     | Hold Transaction Workflow completed      | 2             | Y      |
| 15              | Assigned                 | Assigned Transaction Workflow Invoked    | 1             | Y      |
| 16              | Assigned                 | Assigned Transaction Workflow completed  | 2             | Y      |
| 17              | Escalate                 | Escalated Transaction Workflow Invoked   | 1             | Y      |
| 18              | Escalate                 | Escalated Transaction Workflow completed | 2             | Y      |
| 19              | Recommend to Block       | NA                                       | NA            | NA     |
| 20              | Block                    | Blocked Transaction Workflow Invoked     | 1             | Y      |
| 21              | Block                    | Blocked Transaction Workflow completed   | 2             | Y      |
| 22              | Recommend to Release     |  |               |        |
| 23              | Release                  | Released Transaction Workflow Invoked    | 1             | Y      |
| 24              | Release                  | Released Transaction Workflow completed  | 2             | Y      |
| 25              | Reject                   | NA                                       | NA            | NA     |

## 14 Appendix C: Process Modeller Framework (PMF) Configurability

This appendix contains information on the steps required to configure the ready-to-use Process Modeller Framework (PMF) workflow. On the **Process Modeller** page, click the transaction that you want to configure and follow the steps in the following sequence. For information on how to access the **Process Modeller** page, see the [Process Modeller Menu](#).

### C.1 Configuring the Human Task in the PMF Page

To configure all human tasks on the **PMF** page, follow these steps:

1. Navigate to the **Process Flow** subtab in the **Process Modeller** tab. The **PMF** page is displayed.
2. Drag and drop **Human Task**  on to the PMF page. For information on all components available, see the **Components for Designing Your Process Flow** chapter in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#).
3. Double-click **Human Task** .
4. In the Activity dialog, provide the following information:
  - A unique activity name in the **Activity Name** field. After you provide a name, it appears after the icon on the **PMF** page.
  - The activity description in the **Activity Description** field.
  - The current status of the transaction in the **Status** field.
  - The next status of the transaction in the **Outcomes** field.
5. Click **Transitions**  and then click **Add**.
  - In the **Add New Transition** dialog, provide the following information:
    - A unique transition name in the **Transition Name** field.
    - The destination status of the transaction in the **Connected To** field.
    - The execution or decision rule for a status in the **Decision Rule** field. Here you need to map the specific rule to the current status or create the rule according to the business requirement.
    - The order of the transaction in the **Order** field.

You can also configure the fields in the **Action and Notifications** subtabs. For more information, see the **Action Tab for Creating Tasks/Notification** section in [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#).

#### C.1.1 Mapping the Transaction Statuses and Transaction Outcomes

After you provide the new transaction status and outcome in step 4, you need to map the values in the required tables to update the value on the **PMF** page.

To update the status on the **PMF** page, populate the following status in the Config schema:

1. Run `select * from AAI_WF_STATUS_B t where t.v_app_package_id = 'OFS_SAC' and select * from AAI_WF_STATUS_TL where t.v_app_package_id = 'OFS_SAC'` queries.

2. In the `AAI_WF_STATUS_B` table, populate a unique entry in the `v_status_id` column for each new status and map the same entry in the `AAI_WF_STATUS_TL` table for a column. For example, populate the entry `OFS_SAC` in the `v_app_package_id` column.
3. When you map the new status, it appears on the PMF page.
  - Ensure that data is provided in all required columns in the `AAI_WF_STATUS_TL` table.
  - When doing the mapping in any other configuration tables, ensure that you provide the same status that is mentioned in the `v_status_name` column in the `AAI_WF_STATUS_TL` table.

To update the outcome on the PMF page, populate the following status in the Config schema:

1. Run the `select * from AAI_WF_OUTCOME_B t and where t.v_app_package_id = 'OFS_SAC'` queries.
2. In the `AAI_WF_OUTCOME_B` table, populate a unique outcome ID in the `v_outcome_id` column for each new status and map the same entry in the `AAI_WF_OUTCOME_TL` table.
  - Ensure that data is provided in all required columns in the `AAI_WF_OUTCOME_TL` table.
  - When doing the mapping in any other configuration tables, ensure that you provide the same status that is mentioned in the `AAI_WF_OUTCOME_TL` table.
  - After you complete the above steps, refresh the application and web servers.

## C.2 Adding Data Fields for the PMF Status

To add a new data field for each new status, for example, `TF_BLOCKED_NEW`, click the **Data Fields** subtab in the **Process Modeller** page and click **Add**. For information on the fields, see the **Data Fields** section in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#).

### NOTE

If the data field name contains more than one word, give an underscore (`_`) between each word. The name will not be valid if you provide a space between each word.

You can also edit an existing data field, follow these steps:

1. Select the radio button of the data field that you want to edit.
2. Click **Edit**.

## C.3 Adding Application Rules for the PMF Status

To add a new application rule for each new status, for example, `RB_TO_Block_New`, click the **Application Rule** subtab in the **Process Modeller** page and click **Add**. For information on the fields, see the **Application Rules** section in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#).

### C.3.1 Mapping Rule Types to Application Rules

If you select a new rule type for the application rule, you must then map it to the rule.

To map a rule, run the `select * from aai_aom_app_comp_attr_mapping` query.

If a static rule is present with `n_static_grp_id = 501`, then run the `select * from AAI_AOM_STATIC` query.



## C.3.2 Mapping User Groups to Application Rules

If you have also mapped a new user group to the rule, then you need to map the entry in the `DOMAIN_JUR_GRP_MAP` table. After you map the user group to the rule, run the `select * from DOMAIN_JUR_GRP_MAP` query to update the `DOMAIN_JUR_GRP_MAP` table.

The steps required to create a new user group are available in [Creating New User Groups](#). For more information, see the **User Administrator** section in the [Oracle Financial Services Analytical Applications Infrastructure User Guide](#).

## C.4 Configurations Required for the Audit Tables

Before you update the tables, you must first provide a unique value in the `n_activity_id` column in the `SETUP_RT_AUD_ACTIVITY` table and then provide the same value in the `n_activity_id` column in the `SETUP_RT_AUD_STEPS` table.

After this is done, run the `select * from SETUP_RT_AUD_ACTIVITY` query to update the `SETUP_RT_AUD_ACTIVITY` table and run the `select * from SETUP_RT_AUD_STEPS` query to update the `SETUP_RT_AUD_STEPS` table.

After the tables are updated, provide two entries, 1 and 2, in the `n_step_sequence` column in the `SETUP_RT_AUD_STEPS` table.

### NOTE

The value provided in the `v_status_name` column in the `AAI_WF_STATUS_TL` table must be a combination of one of the following values:

- The value provided in `v_sanction_status_name` in `dim_sanctions_status` table and the name of the transaction workflow invoked for entry 1.
- The value provided in `v_sanction_status_name` in `dim_sanctions_status` table and the name of the transaction workflow completed for entry 2.

## C.5 Configurations Required for the `setup_rt_params` Table

To configure the table in the `ATOMIC` schema, follow these steps:

1. Provide the function code in the `v_attribute_value1` column where `v_attribute_name1 = 'TF_FUNCTION_CODES'`.
2. Provide the status codes according to the `v_attribute_name1` value in the `v_attribute_value1` column where `v_attribute_name1 = 'TF_FUNCTION_AND_STATUS_CODES'`.
3. Provide all status codes in the `v_attribute_value1` column against each function code in the `v_attribute_name1` column. This displays the dynamic status filter.
4. Provide the code for each status to be displayed to the user for that function code in the `v_attribute_value1` column.
5. Provide the code for each status to be displayed to the user in the *Transaction Summary* window in the `v_attribute_value2` column.
6. Provide the code for each action that must be displayed to the user for that transaction in the `v_attribute_value3` column.
7. To create an order for the transactions, follow these steps:

- Provide `TF_USERWORKFLOWCLAUSE` in the `v_param_name` column.
  - Provide `TF_ORDERBY_PRECEDENCE` in the `v_attribute_name1` column.
  - Provide `TF_ORDERBY_FUNCCODE` in the `v_attribute_name2` column.
  - Provide the function code for which you want to do the order in the `v_attribute_value2` column. For example, use `TFLTANYSE` for the analyst user.
  - Provide `TF_ORDERBY_CLAUSES` in the `v_attribute_name3` column.
  - Provide the *order by query* in the `v_attribute_value3` column. For a sample value, see the value for the `TFLTANYSE` function code.
8. Update the fields in the feedback response JSON for blocked and released payments in the `v_attribute_value1` column in the `FEEDBACK_RESPNSE_CONFIGURATION` row and restart the WebLogic server.
  9. Update the `v_attribute_value1` column as **Y** where `v_param_name = 'ECM_SANCTIONS_PP'`, if ECM pack is installed in the same server where Sanctions also installed.

## C.6 TIME\_ZONE Configurations Required for the dim\_sanctions\_status Table

To configure the table in the ATOMIC schema, follow these steps:

1. Create a unique value for the new PMF status in the `n_sanction_status_code` column. This value must be the same in the `AAI_WF_STATUS_B` and `AAI_WF_STATUS_TL` columns. For more information, see [Configurations Required for the Audit Tables](#).<XREF>
2. Provide the activity name as mentioned in step 4 of the [Configuring the Human Task in the PMF Page](#) <XREF>section in the `v_remarks` column.
3. Provide a unique data field value in the `v_applicable_params` column where `n_sanction_staus_key = 101` (ApplicationParams) and `n_sanction_staus_key = 202` (PMF-Params).
4. To update the image path for the alert status, update the `v_sanction_status_img_path` value.
5. To update the image path for the list of actions, update the `v_sanction_dropdown_img_path` value.
6. To configure the action status:
  - Provide the value `StatusActon` if a status action must be fired.
  - Provide the value `PendingTrxnsCount` if the count of pending transactions is required for a particular action.
  - Provide the value `PendingTrxnsSuspiciousCountAndStatusActon` if the count of pending transactions and count of pending suspicious transactions are both required.
7. In the `v_data_field` column, give the same data field created in the PMF page data field section.
8. Update the `v_owner_update` column in the `fsi_rt_alerts` table if the owner must be updated.
9. Provide the audit message in the `v_audit_msg` column. This value must be the same as the value provided in the `v_sanction_status_name` column. For more information, see [Configurations Required for the Audit Tables](#).

**NOTE** For a new status, the `v_applicable_params` column must be left blank.

## C.7 Creating New User Groups

To add a new user group, follow these steps:

1. Create a function.
2. Create a role.
3. Map the function to the role.
4. Create a user.
5. Map the user to a user group and a role.
6. Map the user to a user group and a domain.
7. Map the user to a user group.

## C.8 Other Configurations

The user group is now created. After it is created, follow these steps:

1. Map the group in the `domain_jur_grp_map` table.
2. Login to the Config schema.
3. Run the `select * from cssms_folder_function_map` query.
4. Add the new function to the Transaction Filter folder (TransactionFiltering TFLTADMIN).
5. Run the `select t.v_access_code,t.v_menu_id from aai_menu_b t where t.v_menu_id in('OFS_TFLTSCRN','OFS_TFLT')` query.
6. Add the new function in the `v_access_code` column.
7. To map the new function, add an entry in the `v_access_code` column in the `aai_menu_b` table by running a query with the entry mentioned in the following format: `select * from aai_menu_b t where t.v_menu_id like '%OFS_TFLT%';` query.
8. To map the function to a folder, run a query with the function mentioned in the following format: `select * from cssms_folder_function_map p where p.v_function_code like '%TF%';` query.

# 15 Appendix D: 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 * from AAI_WF_STATUS_B t where t.v_app_package_id = 'OFS_SAC';`
  - `Select * from AAI_WF_STATUS_TL t where t.v_app_package_id = 'OFS_SAC';`
  - Create unique `v_status_id` in `AAI_WF_STATUS_B` table and map the same in the `AAI_WF_STATUS_TL` table and fill all the other columns data. This data will show in the PMF screen while mapping new status.

Figure 112: Example 1

```
select t.* from aai_wf_status_b t where t.v_app_package_id = 'OFS_SAC' and t.v_status_id = 250;
```

| Row 1 | Fields           | Comments    |
|-------|------------------|-------------|
| ▶     | V_STATUS_ID      | 250 ...     |
|       | V_APP_PACKAGE_ID | OFS_SAC ... |

```
select t.* from aai_wf_status_tl t where t.v_app_package_id = 'OFS_SAC' and t.v_status_id = 250;
```

|   | V_STATUS_ID | V_STATUS_NAME | V_STATUS_DESC                 | V_LOCALE_CODE | V_APP_PACKAGE_ID |
|---|-------------|---------------|-------------------------------|---------------|------------------|
| ▶ | 1 250       | ...           | Pending Block Recommended ... | en_US         | OFS_SAC ...      |

2. Perform the following query and introduce new Outcome in both the following tables.
  - `Select * from AAI_WF_OUTCOME_B ;`
  - `Select * from AAI_WF_OUTCOME_TL;`
  - Create unique outcome ID in `AAI_WF_OUTCOME_B` table and map the same in `AAI_WF_OUTCOME_TL` table and provide other columns data.

Figure 113: Example 2

```
SQL Output Statistics
```

```
select t.* from AAI_WF_OUTCOME_B t where t.v_outcome_id = 250;
```

|   | V_OUTCOME_ID |
|---|--------------|
| ▶ | 1 250 ...    |

```
select t.* from AAI_WF_OUTCOME_TL t where t.v_outcome_id = 250;
```

|   | V_OUTCOME_ID | V_OUTCOME_NAME | V_OUTCOME_DESC                | V_LOCALE_CODE |
|---|--------------|----------------|-------------------------------|---------------|
| ▶ | 1 250        | ...            | Pending Block Recommended ... | en_US ...     |

3. Perform the following query and add a new entry for the new status to come up in the TF\_ACTION drop-down list while adding new Application rule.

```
select * from AAI_AOM_STATIC t where t.n_static_grp_id=501;
```

**Figure 114: Example 3**

```
select t.*| from AAI_AOM_STATIC t where t.n_static_grp_id=501 and t.v_static_val = 'TF_PNDNG_RECBLOCK';
```

| V_STATIC_ID | N_STATIC_GRP_ID | V_STATIC_VAL      |
|-------------|-----------------|-------------------|
| 1           | 501             | TF_PNDNG_RECBLOCK |

4. 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 and Recommend to Block as Pending Recommend to Block, first add the new activity as shown in the following Figures (Pending Block Recommended).

**Figure 115: Activity Statuses**

Activity ID ? Job\_1633667659310

Activity Name ? Pending Block Recommended

Activity Desc ? Pending Block Recommended

Activity Type ? MANUAL

Status ? Pending Block Recommended

Outcomes ? Recommend To Block x

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** and **Pending Block Recommended** the next one between **Pending Block Recommended** and **Recommend to Block**.

Figure 116: Edit Transaction – Pending Block Recommended

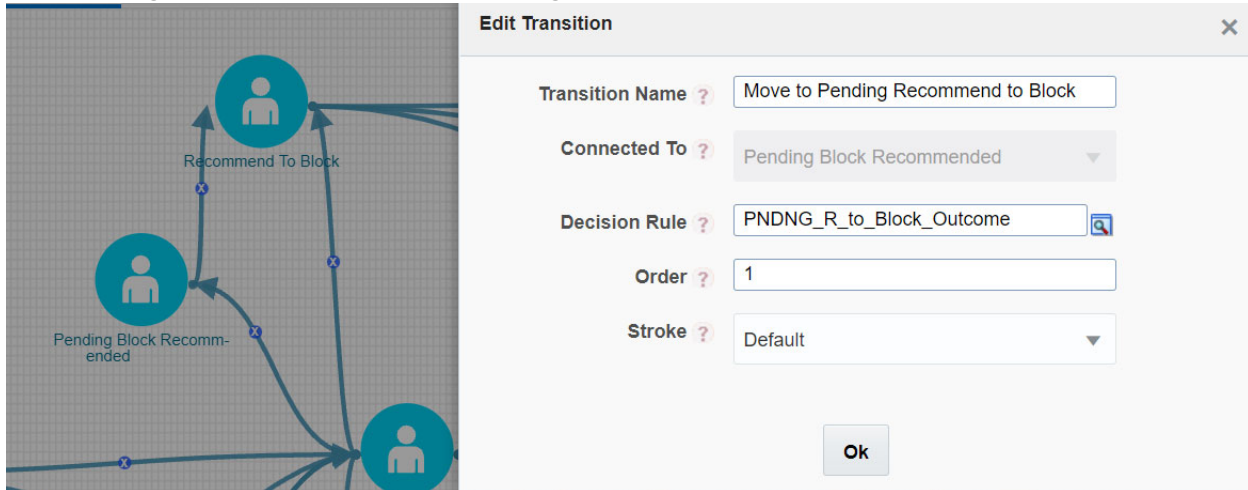
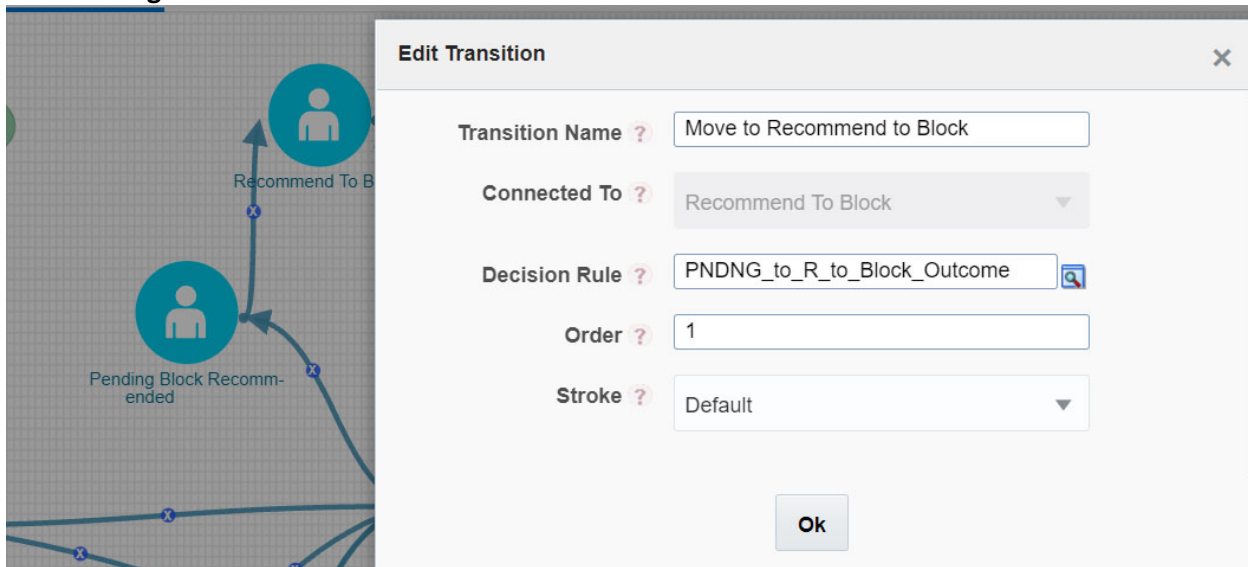


Figure 117: Edit Transition – Recommend To Block



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.

Figure 118: Rule Details – Decision Rule 1

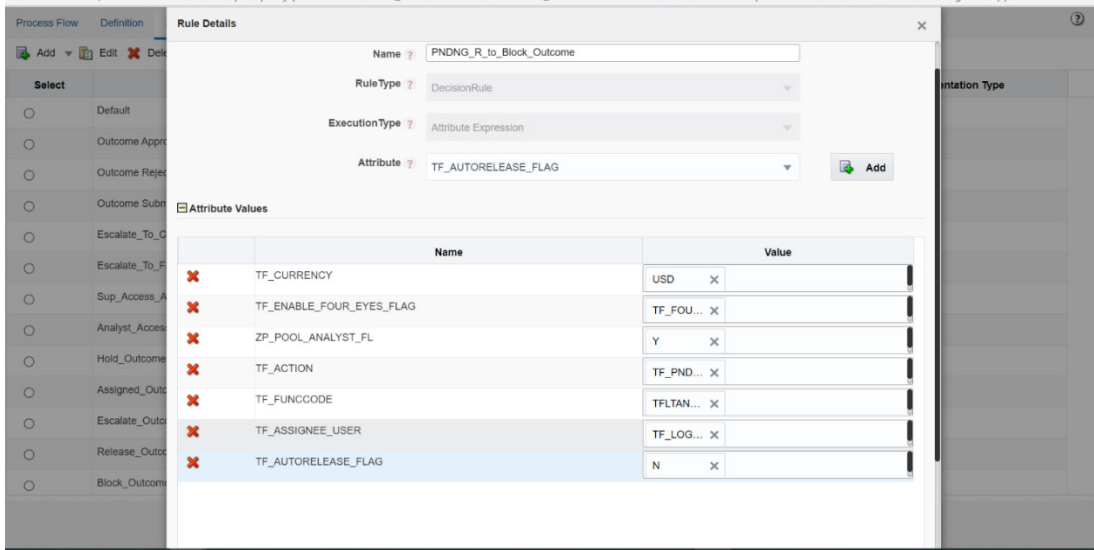
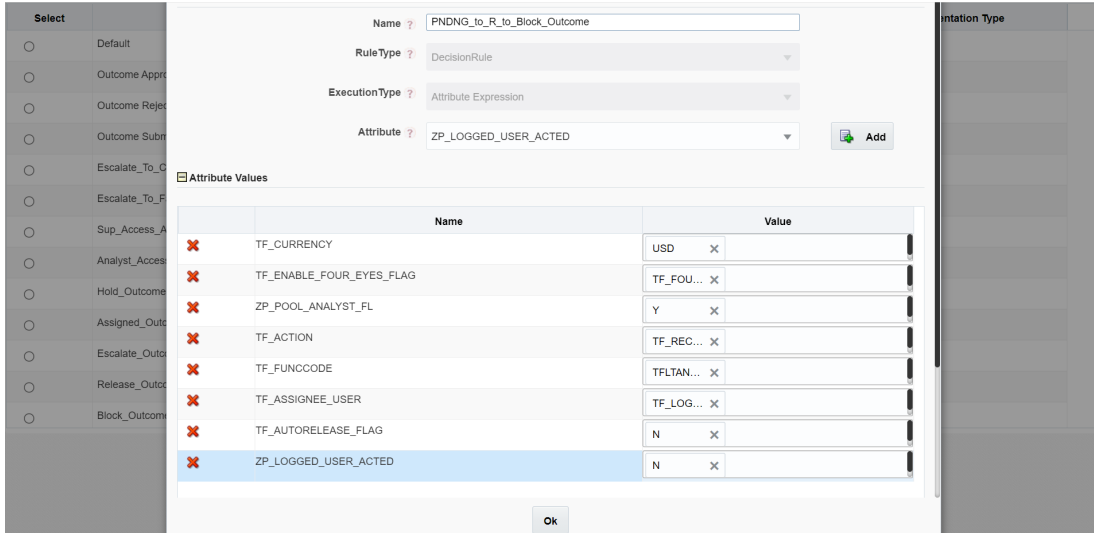


Figure 119: Rule Details – Decision Rule 2



Edit the existing decision rule, by adding the ZP\_POOL\_ANALYST\_FL.

**NOTE**

The attribute ZP\_LOGGED\_USER\_ACTED value is Y then the user has acted first on the POA status.

Figure 120: Edit API Details

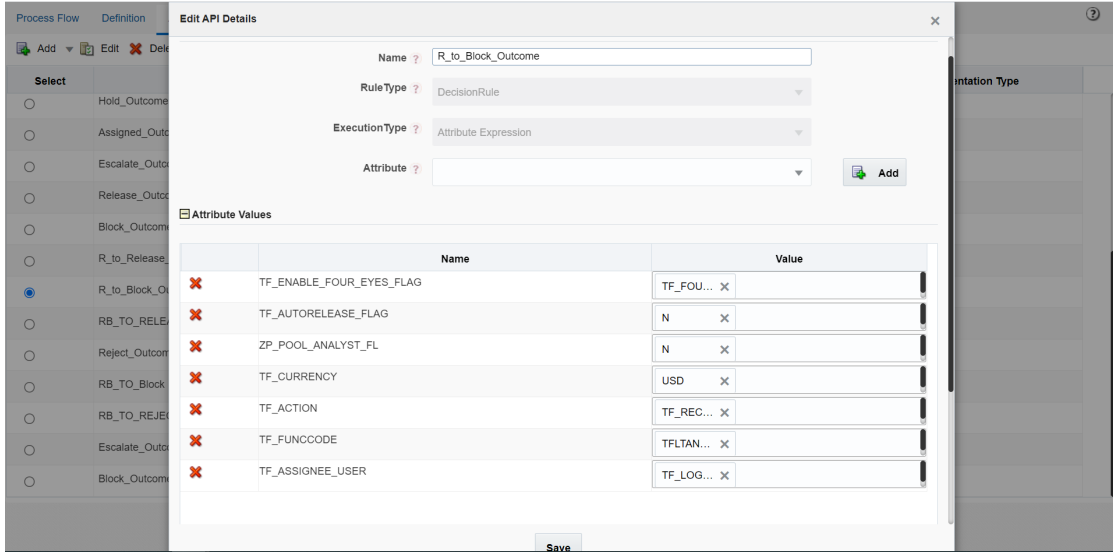
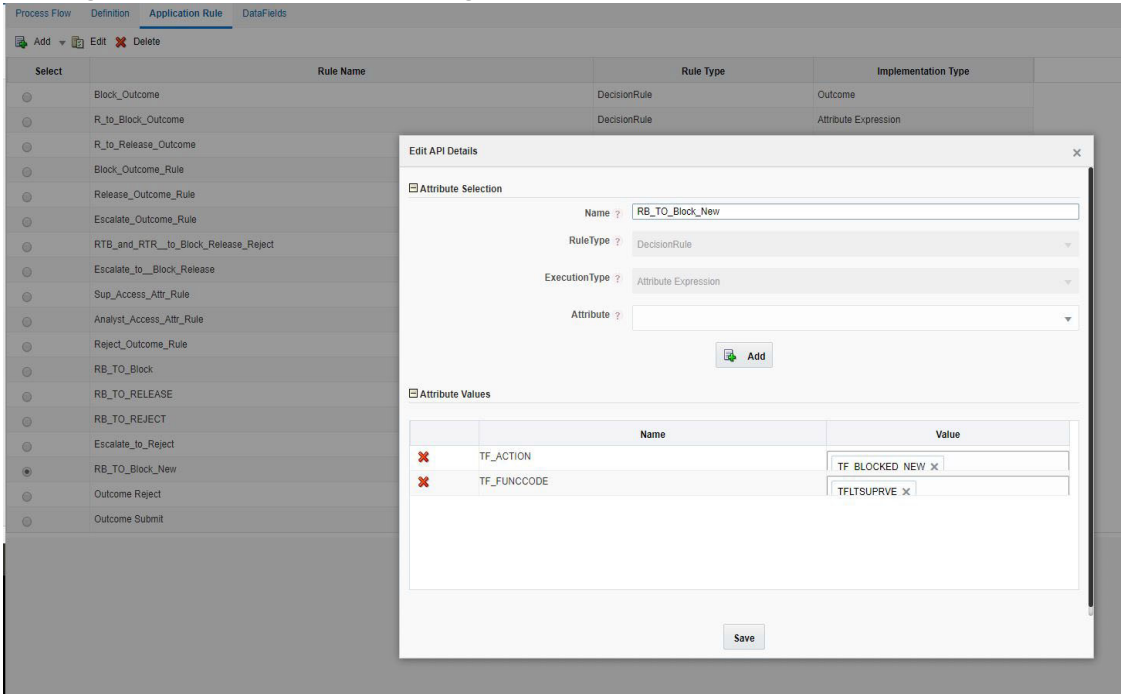


Figure 121: Edit API Details – Adding Attribute Values



5. Access for the new status (example: Pending Review (96)) should be given to **TFLTANYSE** in order to take/update action on events.
6. Follow these steps:
  - i. `select * from setup_rt_params where V_PARAM_NAME = 'TF_FUNCTION_AND_STATUS_CODES' and V_ATTRIBUTE_NAME1 = 'TFLTANYSE';`
  - ii. Append V\_ATTRIBUTE\_VALUE3 with the newly added Pending review Status.



iii. Example: 2,96

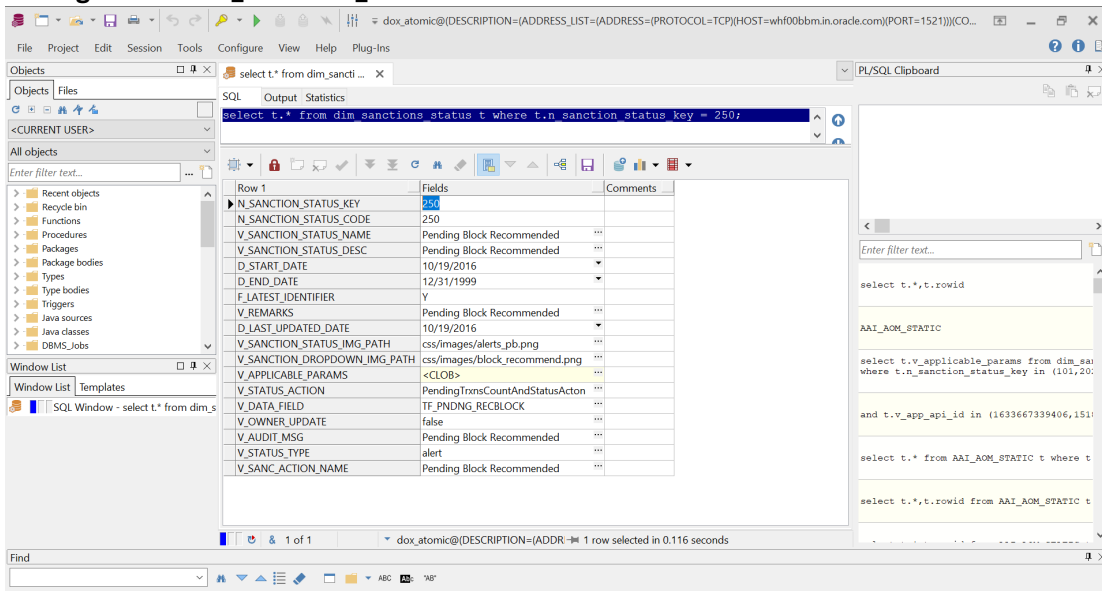
**NOTE**

- To get the V\_ATTRIBUTE\_VALUE3 ; refer the dim\_sanctions\_status table.
- This is the Customized example for Pending Review (96) to be added manually.

## D.1 Mapping the dim\_sanctions\_status Table:

Create a new entry for newly created status and provide the unique n\_sanction\_status\_code. The new n\_sanction\_status\_code must be the same as AAI\_WF\_STATUS\_B and AAI\_WF\_STATUS\_TL that you have created while configuring PMF screen.

**Figure 122: dim\_Sanctions\_status Table**

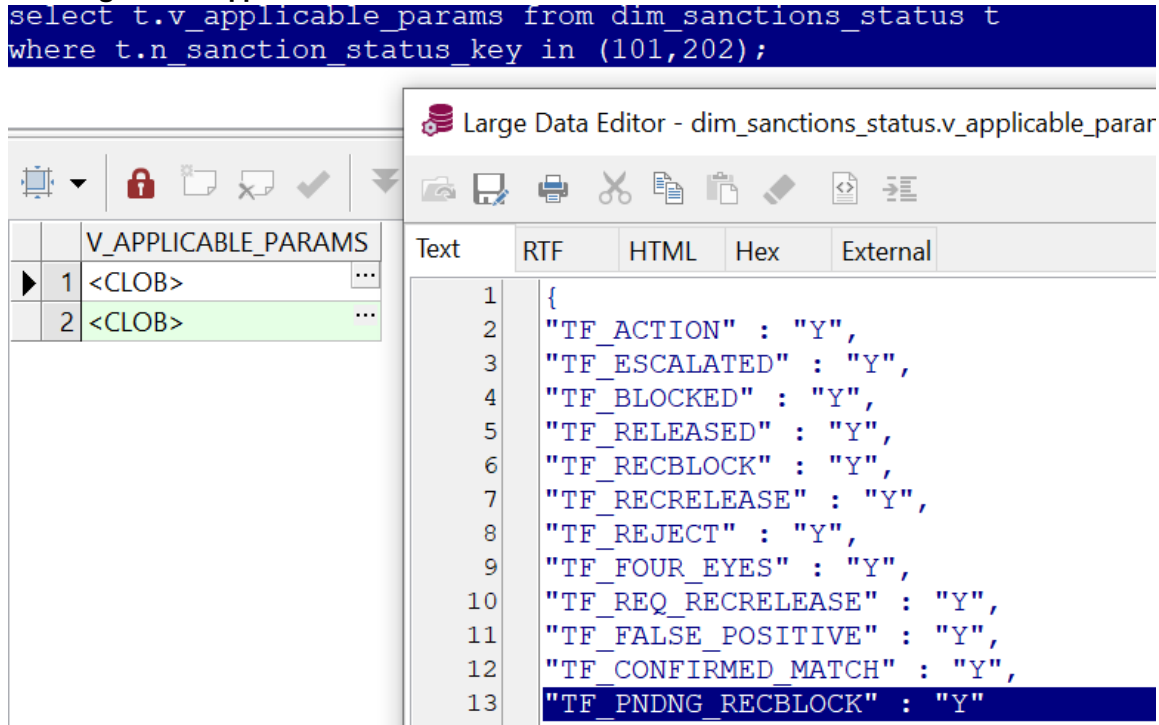


## D.2 Adding Data Fields to the JSON Object

To add a new data field to the JSON object in the following clob columns, follow these steps:

Select t.v\_applicable\_params from dim\_sanctions\_status t where t.n\_sanction\_status\_key in (101,202);

**Figure 123: Applicable Params**



Also provide all the following fields:

- `v_sanction_status_img_path` - Image path for status of the alert image.
- `v_sanction_dropdown_img_path` - Image path for action clicked list of action image.
- `v_applicable_params` - keep it blank for new status column.
- `v_status_action` - If only particular action has to be fired, then provide `statusActon`, if `PendingTrxnsCount` is required for the particular action, then provide `PendingTrxnCount`, and if `PendingTrxnsCount` and `PendingSuspiciousCount` both is required, then provide `PendingTrxnsSuspiciousCountAndStatusActon`.
- `v_data_field` - Provide the same data field as added in `AAI_AOM_STATIC` table.
- `v_owner_update` - `fsi_rt_alerts` table `v_owner` column has to be updated or not.
- `v_remarks` column name should be the same as that you have given name in pmf screen **Activity Name**.
- Always provide `v_owner_update` true only when status is as like end mode (Ex: Blocked, Released) else provide as false.
- `v_audit_msg` - Provide the Audit Message (Audit message should be same as `v_sanction_staus_name` value).

## D.3 List of Attributes Passed to Workflow

The following table provides the list of Attributes passed to workflow:

**Table 46: SWIFT Message Types**

| Attributes               | Description  |
|--------------------------|--|
| TF_ACTION                | Action to be performed.  |
| WF_DSNID                 | Infodom value.   |
| WF_MESSAGE_TYPE          | Message Type.  |
| WF_MESSAGE_REFERENCE     | Message Reference.   |
| WF_USER_COMMENT          | System hardcoded comment.  |
| WF_APPLICATION_URL       | Application url hardcoded logic.   |
| TF_LOGIN_USER            | Logged in user.  |
| TF_FUNCCODE              | Logged in user function code.  |
| TF_ASSIGNEE_USER         | Logged in user.  |
| TF_ENABLE_FOUR_EYES_FLAG | Y/N value based on the configuration.  |
| TF_CURRENCY              | Currency of the message.   |
| WF_OUTCOME_ID            | Outcome Id for the action.   |
| TF_AUTORELEASE_FLAG      | Y/N based on the configuration for the message.  |
| TF_AMOUNT                | Amount of the message.   |
| TF_WATCHLIST_TYPE        | Watchlist type of the event with maximum score of the message.   |
| TF_WATCHLIST_SUB_TYPE    | Watchlist sub type of the event with maximum score of the message.   |
| TF_MESSAGE_TYPE          | Message Type of the message.   |
| TF_MSG_CATEGORY          | Message Category of the message.   |
| TF_MSG_PRIORITY          | Message Priority of the message.   |
| TF_JURISDICTION          | Jurisdiction of the message.   |
| TF_BUSINESS_DOMAIN       | Business Domain of the message.  |
| TF_ALERT_TYPE            | Alert Type of the message (1 or 2).  |
| ZP_POOL_ANALYST_FL       | Y/N based on the configuration in setup_rt_params .  |
| ZP_LOGGED_USER_ACTED     | if the logged in user is the same person who performed the previous action then ZP_LOGGED_USER_ACTED = Y else its N. |
| TF_GRP_MSG_ID            | Group Message Id of the message.   |

## D.4 Attribute to Configure the Auto Refresh in Queue Management

The following table provides the list of Attribute to configure the Auto Refresh in Queue Management:

**Table 47: 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. |

## 16 Appendix E: Delta Watch List Configurations

### NOTE

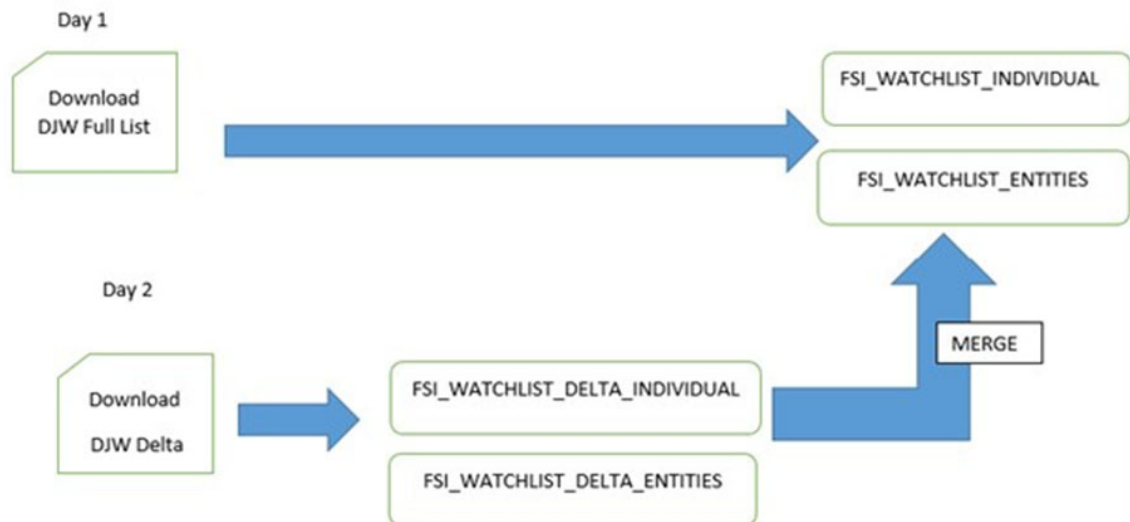
These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

Oracle 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 do not need to download the delta watch list. There are certain cases in which you are required to 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 124: 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.

The following watchlist management jobs are used for the full list and the delta list:

- Analyze Reference Data Quality
- Download, Prepare, Filter, and Export All Lists
- Generate StopPhrases
- The following watchlist management job is used for the full list:
  - Load List data from Stg to Processed table
- The following Transaction Filtering job is used for the full list and the delta list:
  - Main

Before you run the delta watchlist files, ensure that you run the full watchlist files. You can run the delta watch list files if, for example, the delta downloads have failed for multiple days or the filter criteria are changed. You can also run the delta watch list once every week to ensure that the complete data has been processed.

## E.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 `watchlist-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.

### E.1.1 Running the Full Watch list

To run the full watch list, follow these steps:

1. Set the following properties in the `watchlist-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.`
  - `phase.Import1_Full_DB.enabled = Y`
  - `phase.Import2_Full_DB.enabled = Y`

- `phase.Import3_Full_DB.enabled = Y`
- 2. Set the following properties in the `transaction-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 `transaction-screening-batch.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`

## E.1.2 Running the Delta Watch List

To run the delta watch list, set the following properties in the `watchlist-management.properties` file:

- `phase.DJW\ -\ Download.enabled = N.`
- `phase.DJW\ -\ Download\ Delta.enabled = Y.`
- `phase.DJW\ -\ Stage\ reference\ lists.enabled = Y.`
- Set `phase.*.export.*.ind_table_name = FSI_WATCHLIST_DELTA_INDIVIDUAL.`
- Set `phase.*.export.*.entities_table_name = FSI_WATCHLIST_DELTA_ENTITIES.`
- `phase.Import1_Full_DB.enabled = N`
- `phase.Import2_Full_DB.enabled = N`
- `phase.Import3_Full_DB.enabled = N`
- `phase.Import1_Delta_DB.enabled = Y`
- `phase.Import2_Delta_DB.enabled = Y`
- `phase.Import3_Delta_DB.enabled = Y`

## E.1.3 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 `watchlist-management.properties` file:

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

## E.2 Delta Watch List Configurations for the World-Check Watch List

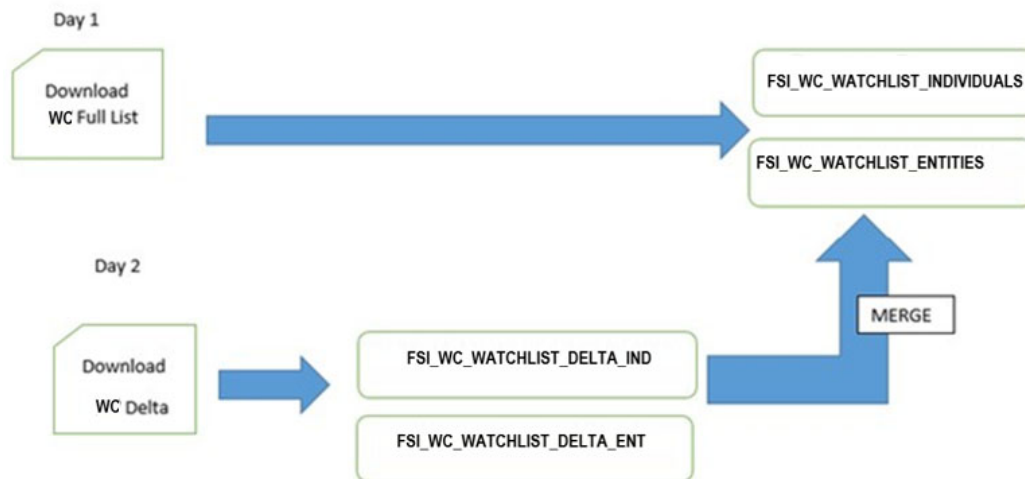
**NOTE** These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

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

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

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

**Figure 125: Flow for Delta Watch List**



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

### E.2.1 Configurations for the Full and Delta Watch Lists

The following configurations must be done for both full and delta watch list updates in the `watchlist-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.
- Set `phase.All\ List\ Entity\ and\ Individual\ reference\ data.enabled = N`.
- Set `phase.All\ List\ Entity\ and\ Individual\ reference\ data\ DB.enabled = Y`.
- Set `phase.DQ-Watchlist\ BIC\ Extraction\ JSON\ Preparation.enabled = N`.
- Set `phase.DQ-Watchlist\ BIC\ Extraction\ JSON\ Preparation\ DB.enabled = Y`.

## E.2.2 Running the Full Watch List

To run the full watch list, follow these steps:

1. Set the following properties in the `watchlist-management - TF.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`
- `phase.Import1_Full_DB.enabled = Y`
- `phase.Import2_Full_DB.enabled = Y`
- `phase.Import3_Full_DB.enabled = Y`

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

### E.2.3 Running the Delta Watch List

To run the delta watch list, follow these steps:

1. Set the following properties in the watchlist-management - TF.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
  - phase.Import1\_Full\_DB.enabled = N
  - phase.Import2\_Full\_DB.enabled = N
  - phase.Import3\_Full\_DB.enabled = N
  - phase.Import1\_Delta\_DB.enabled = Y
  - phase.Import2\_Delta\_DB.enabled = Y
  - phase.Import3\_Delta\_DB.enabled = Y
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

## E.2.4 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 `watchlist-management.properties` file:

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

# 17 Appendix F: Message Categories and Message Types

A user of the Transaction Filtering application can use the following message categories:

- [SWIFT Message Types](#)
- [ISO20022 Message Types](#)
- [Fedwire Message Types](#)
- [US NACHA Message Types](#)

Each message category has different message types defined. The following tables list the message categories and associated message types.

## F.1 SWIFT Message Types

For the SWIFT message category, the message types numbered 1 to 8 are the ready-to-use message types that you can use after you log in. The other message types must be imported manually using the SWIFT migration utility. For information on the steps, see [Running the SWIFT Migration Utility](#).

**Table 48: SWIFT Message Types**

|           |          |           |       |           |       |           |       |
|-----------|----------|-----------|-------|-----------|-------|-----------|-------|
| <b>1</b>  | MT101    | <b>2</b>  | MT103 | <b>3</b>  | MT110 | <b>4</b>  | MT202 |
| <b>5</b>  | MT202COV | <b>6</b>  | MT700 | <b>7</b>  | MT701 | <b>8</b>  | MT707 |
| <b>9</b>  | MT103STP | <b>10</b> | MT105 | <b>11</b> | MT111 | <b>12</b> | MT112 |
| <b>13</b> | MT190    | <b>14</b> | MT191 | <b>15</b> | MT192 | <b>16</b> | MT195 |
| <b>17</b> | MT196    | <b>18</b> | MT198 | <b>19</b> | MT199 | <b>20</b> | MT210 |
| <b>21</b> | MT290    | <b>22</b> | MT291 | <b>23</b> | MT292 | <b>24</b> | MT295 |
| <b>25</b> | MT296    | <b>26</b> | MT298 | <b>27</b> | MT299 | <b>28</b> | MT300 |
| <b>29</b> | MT399    | <b>30</b> | MT400 | <b>31</b> | MT410 | <b>32</b> | MT412 |
| <b>33</b> | MT455    | <b>34</b> | MT490 | <b>35</b> | MT491 | <b>36</b> | MT492 |
| <b>37</b> | MT495    | <b>38</b> | MT496 | <b>39</b> | MT498 | <b>40</b> | MT499 |
| <b>41</b> | MT536    | <b>42</b> | MT590 | <b>43</b> | MT591 | <b>44</b> | MT599 |
| <b>45</b> | MT606    | <b>46</b> | MT607 | <b>47</b> | MT671 | <b>48</b> | MT699 |
| <b>49</b> | MT711    | <b>50</b> | MT720 | <b>51</b> | MT721 | <b>52</b> | MT730 |
| <b>53</b> | MT734    | <b>54</b> | MT742 | <b>55</b> | MT747 | <b>56</b> | MT750 |
| <b>57</b> | MT752    | <b>58</b> | MT754 | <b>59</b> | MT756 | <b>60</b> | MT760 |
| <b>61</b> | MT767    | <b>62</b> | MT768 | <b>63</b> | MT769 | <b>64</b> | MT790 |
| <b>65</b> | MT791    | <b>66</b> | MT795 | <b>67</b> | MT796 | <b>68</b> | MT798 |
| <b>69</b> | MT799    | <b>70</b> | MT802 | <b>71</b> | MT895 | <b>72</b> | MT896 |

**Table 48: SWIFT Message Types**

|            |       |            |       |            |       |            |       |
|------------|-------|------------|-------|------------|-------|------------|-------|
| <b>73</b>  | MT899 | <b>74</b>  | MT910 | <b>75</b>  | MT950 | <b>76</b>  | MT995 |
| <b>77</b>  | MT996 | <b>78</b>  | MT998 | <b>79</b>  | MT999 | <b>80</b>  | MT107 |
| <b>81</b>  | MT204 | <b>82</b>  | MT416 | <b>83</b>  | MT420 | <b>84</b>  | MT430 |
| <b>85</b>  | MT516 | <b>86</b>  | MT526 | <b>87</b>  | MT581 | <b>88</b>  | MT592 |
| <b>89</b>  | MT608 | <b>90</b>  | MT705 | <b>91</b>  | MT710 | <b>92</b>  | MT792 |
| <b>93</b>  | MT801 | <b>94</b>  | MT900 | <b>95</b>  | MT320 | <b>96</b>  | MT604 |
| <b>97</b>  | MT605 | <b>98</b>  | MT732 | <b>99</b>  | MT740 | <b>100</b> | MT940 |
| <b>101</b> | MT942 | <b>102</b> | MT985 | <b>103</b> | MT986 | <b>104</b> | MT890 |
| <b>105</b> | MT895 | <b>106</b> | MT896 | <b>107</b> | MT899 | <b>108</b> | MT900 |
| <b>109</b> | MT910 | <b>110</b> | MT940 | <b>111</b> | MT942 | <b>112</b> | MT950 |
| <b>113</b> | MT985 | <b>114</b> | MT986 | <b>115</b> | MT995 | <b>116</b> | MT996 |
| <b>117</b> | MT998 | <b>118</b> | MT999 | <b>119</b> | MT102 | <b>120</b> | MT104 |
| <b>121</b> | MT200 | <b>122</b> | MT203 | <b>123</b> | MT456 | <b>124</b> | MT708 |
| <b>125</b> | MT321 | <b>126</b> | MT540 | <b>127</b> | MT541 | <b>128</b> | MT542 |
| <b>129</b> | MT543 | <b>130</b> | MT544 | <b>131</b> | MT305 | <b>132</b> | MT396 |
| <b>133</b> | MT568 | <b>134</b> | MT596 | <b>135</b> | MT696 | <b>136</b> | MT304 |
| <b>137</b> | MT350 | <b>138</b> | MT362 | <b>139</b> | MT566 |            |       |

## F.2 ISO20022 Message Types

For the ISO20022 message category, the following message types are the ready-to-use message types that you can use after you log in.

**Table 49: ISO20022 Message Types**

|          |                 |           |                 |          |                 |          |                 |
|----------|-----------------|-----------|-----------------|----------|-----------------|----------|-----------------|
| <b>1</b> | Pain.001.001.08 | <b>2</b>  | Pacs.008.001.07 | <b>3</b> | Pacs.003.001.02 | <b>4</b> | Pacs.008.001.02 |
| <b>5</b> | Pacs.008.001.08 | <b>6</b>  | Pacs.010.001.03 | <b>7</b> | Pain.001.001.09 | <b>8</b> | Pacs.009.001.08 |
| <b>9</b> | Pacs.004.001.09 | <b>10</b> | Camt.050.001.05 |          |                 |          |                 |

## F.3 Fedwire Message Types

For the Fedwire message category, the following message types are the ready-to-use message types that you can use after you log in.

**Table 50: Fedwire Message Types**

|          |           |          |           |          |           |          |           |
|----------|-----------|----------|-----------|----------|-----------|----------|-----------|
| <b>1</b> | FDCTR1000 | <b>2</b> | FDBTR1002 | <b>3</b> | FDCTR1002 | <b>4</b> | FDCTR1008 |
|----------|-----------|----------|-----------|----------|-----------|----------|-----------|

**Table 50: Fedwire Message Types**

|           |           |           |           |           |           |           |           |
|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| <b>5</b>  | FDCTR1600 | <b>6</b>  | FDCTR1602 | <b>7</b>  | FDBTR1600 | <b>8</b>  | FDBTR1000 |
| <b>9</b>  | FDBTR1008 | <b>10</b> | FDBTR1602 | <b>11</b> | FDCTP1000 | <b>12</b> | FDCTP1002 |
| <b>13</b> | FDCTP1008 | <b>14</b> | FDCTP1600 | <b>15</b> | FDCTP1602 | <b>16</b> | FDCKS1600 |
| <b>17</b> | FDCKS1602 | <b>18</b> | FDDEP1600 | <b>19</b> | FDDEP1602 | <b>20</b> | FDFFR1600 |
| <b>21</b> | FDFFR1602 | <b>22</b> | FDFFS1600 | <b>23</b> | FDFFS1602 | <b>24</b> | FDDRC1031 |
| <b>25</b> | FDDRW1032 | <b>26</b> | FDSVC1090 | <b>27</b> | FDDR1631  | <b>28</b> | FDDR1632  |
| <b>29</b> | FDSVC1690 | <b>30</b> | FDSVC1590 | <b>31</b> | FDBTR1500 | <b>32</b> | FDDRC1531 |
| <b>33</b> | FDDR1532  |           |           |           |           |           |           |

## F.4 US NACHA Message Types

For the US NACHA message category, the following message types are the ready-to-use message types that you can use after you log in.

**Table 51: US NACHA Message Types**

|          |     |           |     |           |     |          |     |
|----------|-----|-----------|-----|-----------|-----|----------|-----|
| <b>1</b> | IAT | <b>2</b>  | CTX | <b>3</b>  | BOC | <b>4</b> | RCK |
| <b>5</b> | POP | <b>6</b>  | WEB | <b>7</b>  | CCD | <b>8</b> | TEL |
| <b>9</b> | PPD | <b>10</b> | ARC | <b>11</b> | CIE |          |     |

## 18 Appendix G: Invoking the PMF Workflow from backend

This appendix describes invoking the Process Modeller Framework (PMF) workflow from the backend for the alert.

Table52 provides the PMF workflow invoking parameters.

**Table 52: 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.   |
| Segment            | This represents the name of the segment. For Sanctions, it will be <b>TFLSEGMENT</b> .  |
| 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 respective 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 l_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;
```



## 19 Appendix H: JMS Cluster Environment Creation

JMS servers act as management containers for the queues and topics in JMS modules that are targeted to them. JMS cluster servers in a domain work together to provide a more scalable and reliable application platform than a single server. A cluster appears to its clients as a single server, but it is a group of servers acting as one.

### 19.1 JMS Server Creation

To create the JMS server and file store, follow these steps:

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** select **Services**, click **JMS Servers** from **Messaging** drop-down, and click **New** in the **JMS Servers** table.

Figure 126: Weblogic Console Page

The screenshot shows the Weblogic Console interface. On the left is the 'Domain Structure' tree with 'JMS Servers' selected under 'Messaging'. The main area is titled 'Summary of JMS Servers' and contains a table with the following data:

| Name        | Persistent Store | Target | Current Target | Health | Scope  | Domain Partitions |
|-------------|------------------|--------|----------------|--------|--------|-------------------|
| JMSServer02 | FileStore02      | mns1   | mns1           |        | Global |                   |
| JMSServer03 | FileStore03      | mns2   | mns2           |        | Global |                   |

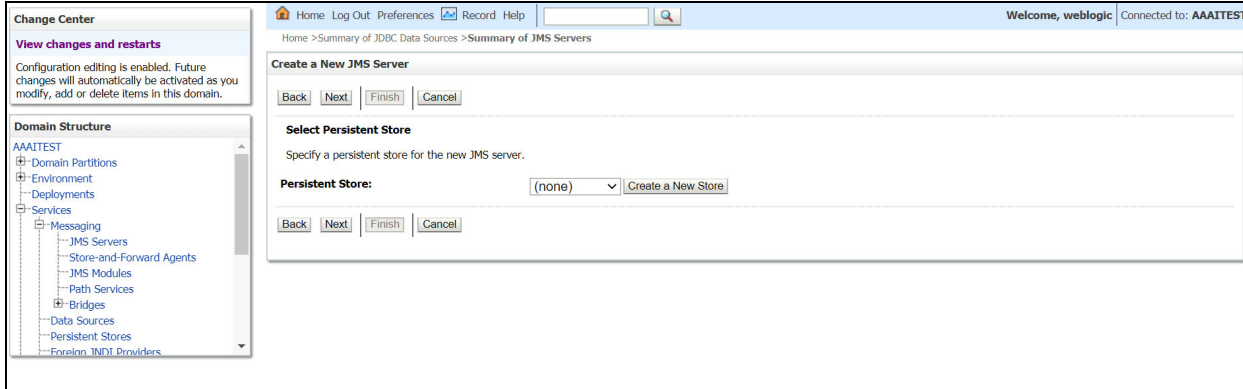
3. In the **JMS Server Properties** page, enter the JMS server name in the **Name** field and click **Next**.

Figure 127: JMS Server Properties Page

The screenshot shows the 'Create a New JMS Server' page. The 'JMS Server Properties' section is active, and the 'Name' field contains 'JMSServer01'. The 'Scope' is set to 'Global'. The page includes navigation buttons: Back, Next, Finish, and Cancel.

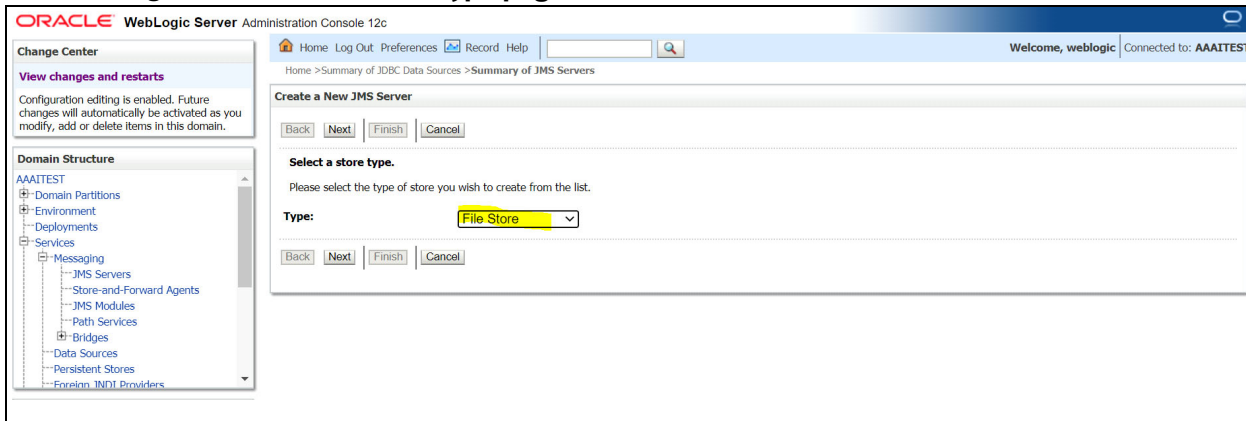
4. In the **Select Persistent Store** page, select **Create a New Store** from **Persistent Store** Field to specify a persistent store for the new JMS server.

Figure 128: Select Persistent Store page



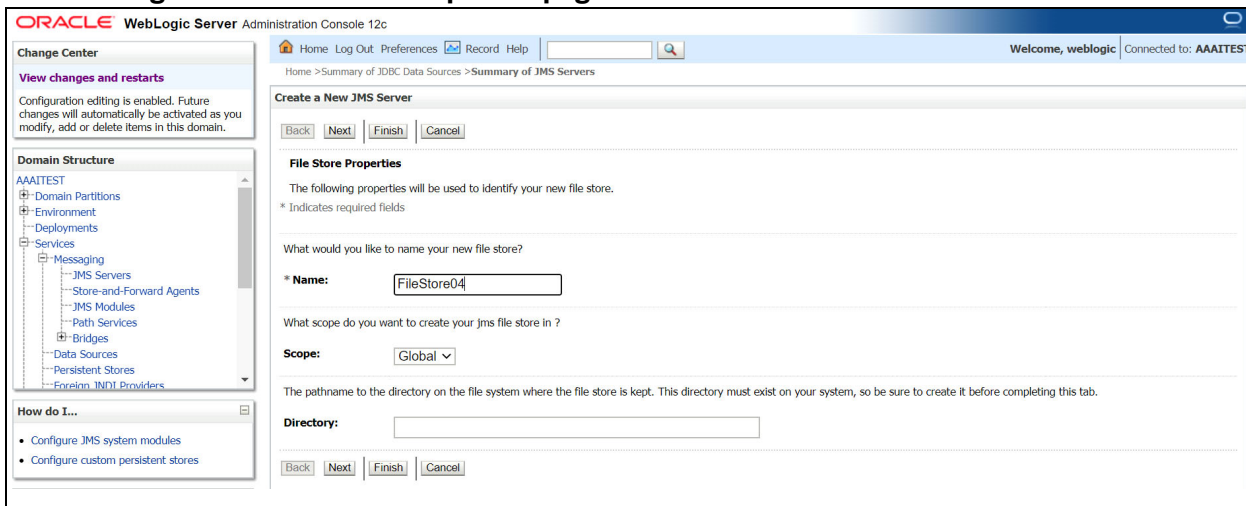
5. In the **Select a store type** page, select **File Store** from **Type** Field and click **Next**.

Figure 129: Select a store type page



6. In the **File Store Properties** page, enter the new file store name in the **Name** field and click **Next**.

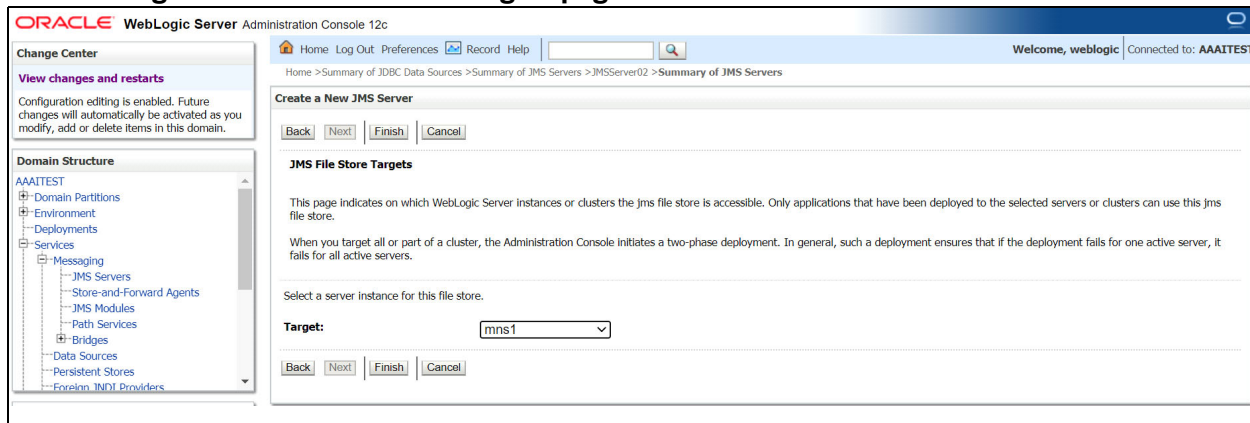
Figure 130: File Store Properties page



- In the **JMS File Store Targets** page, select a target as one of the named server from **Target** Field drop down and Click **Finish**.

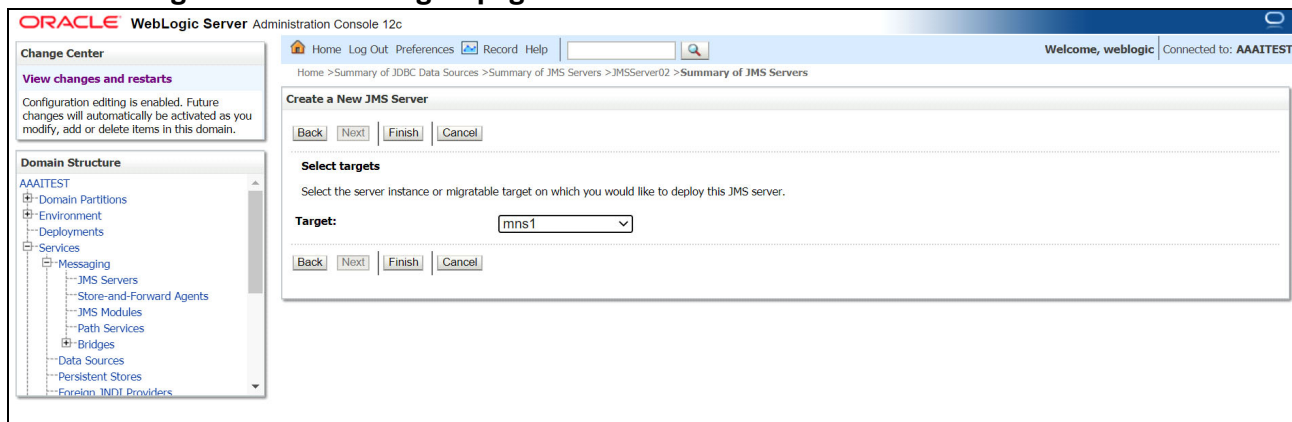
**NOTE**

- Only applications deployed to the selected servers or clusters can use the JMS file store.
- When you target all or part of the cluster, the Administration Console initiates a two-phase deployment. Two-phase deployment ensures that if the deployment fails for one active server, it fails for all active servers.

**Figure 131: JMS File Store Targets page****NOTE**

You will receive a message on successful activation and file store creation.

- Select the same target name from the **JMS File Store Targets** page in the **Target** field drop down in the **Select targets** page and click **Finish** to create the JMS server and its respective file store.

**Figure 132: Select targets page**

## 19.2 JMS Module Creation

JMS system resources are configured and stored as modules similar to standard Java EE modules. Such resources include queues, topics, connection factories, templates, destination keys, quota, distributed queues, distributed topics, and JMS store-and-forward (SAF) parameters. You can administratively configure and manage JMS system modules as global system resources.

To Create the JMS Module, follow these steps:

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** Select **Services**, click **JMS Modules** from **Messaging** drop-down, and Click **New** in the **JMS Modules** table.

**Figure 133: Weblogic Console Page**

The screenshot shows the WebLogic Console Administration Console 12c interface. The breadcrumb trail is: Home > Summary of JDBC Data Sources > Summary of JMS Servers > JMS Server02 > Summary of JMS Servers > JMS Server01 > Summary of JMS Servers > Summary of JMS Modules. The page title is "Summary of JMS Modules".

The "Domain Structure" tree on the left shows the following hierarchy: AAAITEST > Domain Partitions > Environment > Deployments > Services > Messaging > JMS Servers > Store-and-Forward Agents > **JMS Modules** (highlighted in yellow).

The main content area contains the following text:

JMS system resources are configured and stored as modules similar to standard Java EE modules. Such resources include queues, topics, connection factories, templates, destination keys, quota, distributed queues, distributed topics, foreign servers, and JMS store-and-forward (SAF) parameters. You can administratively configure and manage JMS system modules as global system resources.

This page summarizes the JMS system modules that have been created for this domain.

Below the text is a table titled "JMS Modules" with the following columns: Name, Type, Scope, and Domain Partitions. The table contains one entry:

| Name | Type              | Scope  | Domain Partitions |
|------|-------------------|--------|-------------------|
| RTI  | JMSSystemResource | Global |                   |

Navigation buttons "New" and "Delete" are present above and below the table. The table also shows "Showing 1 to 1 of 1 Previous | Next" on both sides.

3. In the **Create JMS System Module** page, enter the JMS Module name as RTI in the **Name** field and click **Next**.

**Figure 134: Create JMS System Module Page**

The screenshot shows the "Create JMS System Module" page in the WebLogic Console. The breadcrumb trail is: Home > Summary of JDBC Data Sources > Summary of JMS Servers > JMS Server02 > Summary of JMS Servers > JMS Server01 > Summary of JMS Servers > Summary of JMS Modules.

The page contains the following sections:

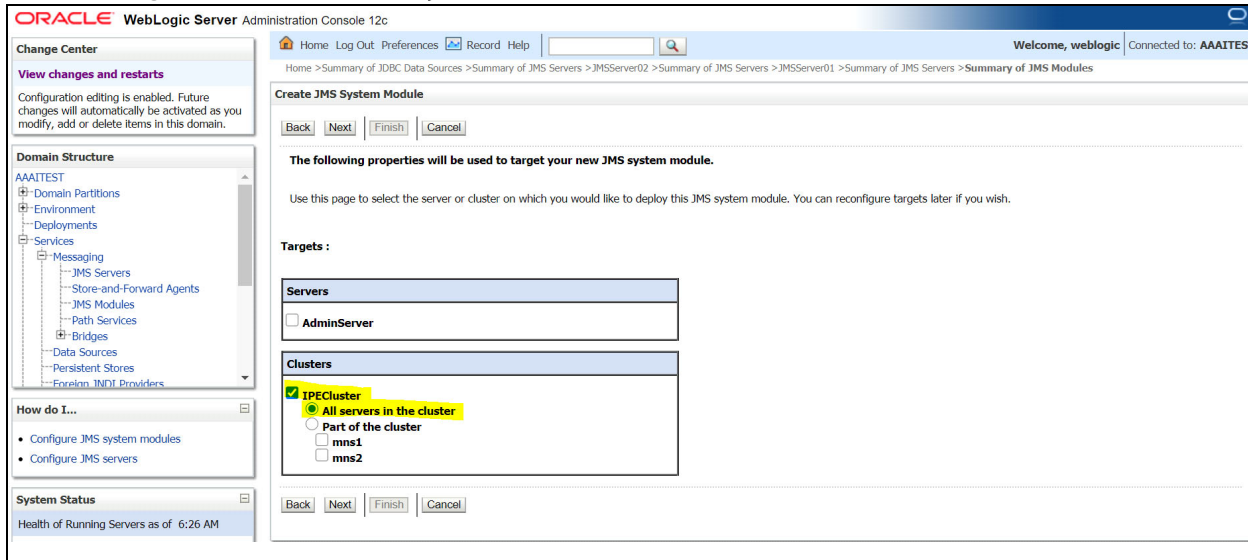
- Navigation:** Back, Next, Finish, Cancel buttons.
- The following properties will be used to identify your new module.**
- Description:** JMS system resources are configured and stored as modules similar to standard Java EE modules. Such resources include queues, topics, connection factories, templates, destination keys, quota, distributed queues, distributed topics, foreign servers, and JMS store-and-forward (SAF) parameters. You can administratively configure and manage JMS system modules as global system resources.
- \* Indicates required fields**
- What would you like to name your System Module?**
  - \* Name:** RTITest
- Would you like this new JMS System Module to be restricted to a specific resource group template or resource group ?**
  - Scope:** Global
- What would you like to name the descriptor file name? If you do not provide a name, a default will be assigned.**
  - Descriptor File Name:** (empty field)
- Where would you like to place the descriptor for this System Module, relative to the Jms configuration sub-directory of your domain?**
  - Location In Domain:** (empty field)
- Navigation:** Back, Next, Finish, Cancel buttons.

The "Domain Structure" tree on the left is the same as in Figure 133, with "JMS Modules" highlighted.

- Select Servers or Clusters on which you deploy the JMS system module from the **Targets** Field. The cluster name that was created in step 6.1.8 will be listed under **IPECluster**.

**NOTE** You can configure the targets later if required.

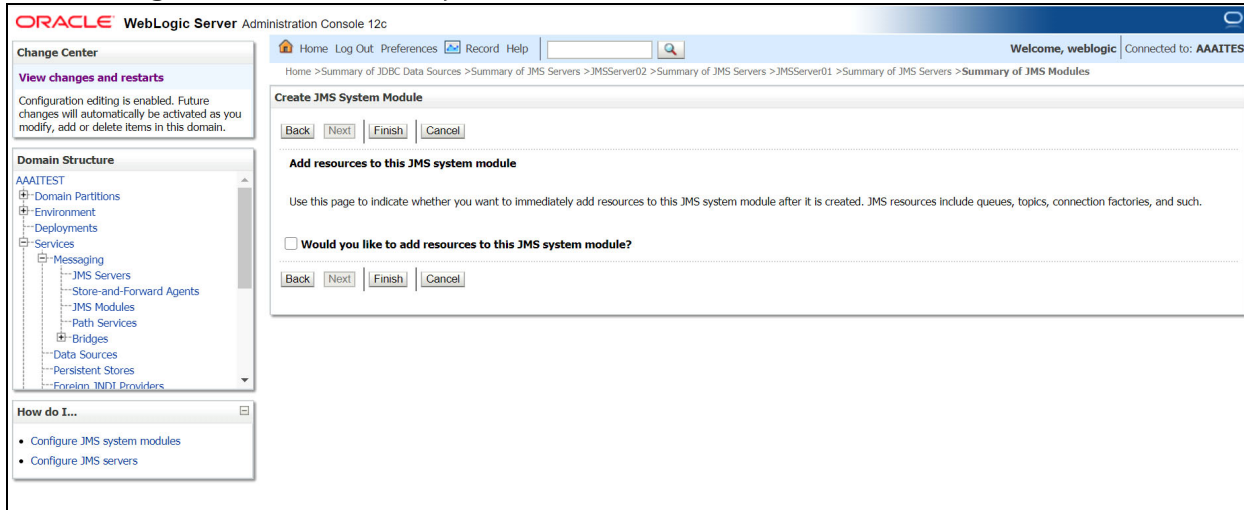
**Figure 135: Create JMS System Module**



- To add resources to the JMS system module and to create JMS modules check the box in the **Create JMS System Module** page and click **Finish**.

**NOTE** You will receive message on successful creation of the JWS module.

Figure 136: Create JMS System Module



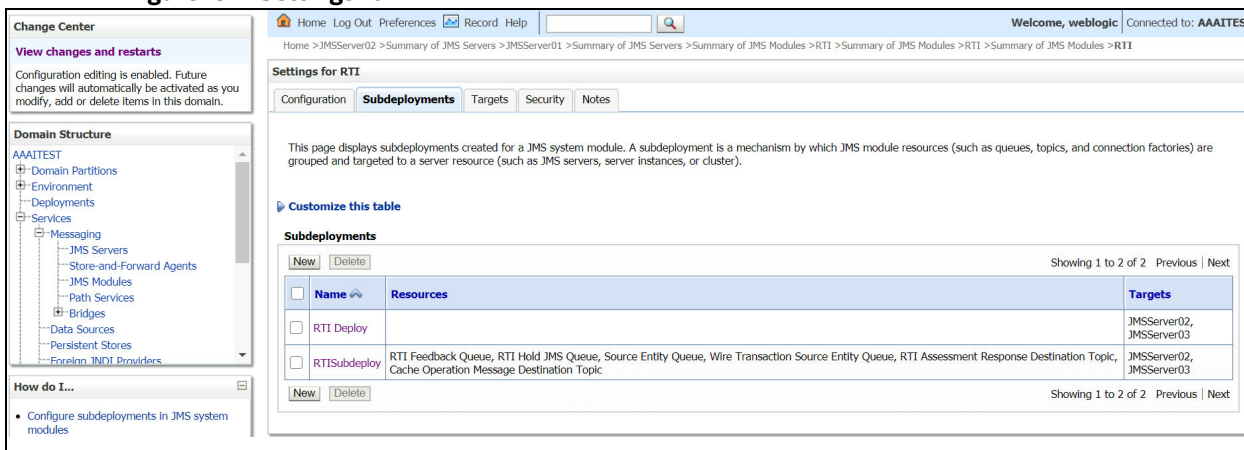
## 19.3 Sub-Deployment Creation

A sub-deployment is a mechanism by which JMS module resources such as queues, topics, and connection factories are grouped and targeted to a server resource such as JMS servers, server instances or cluster.

To create the Sub-Deployment follow these steps:

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Select **subdeployments** from the tabs.
5. Enter the sub-deployment name as **RTI Deploy** in **subdeployment** table and click **Next**.

Figure 137: Settings for RTI

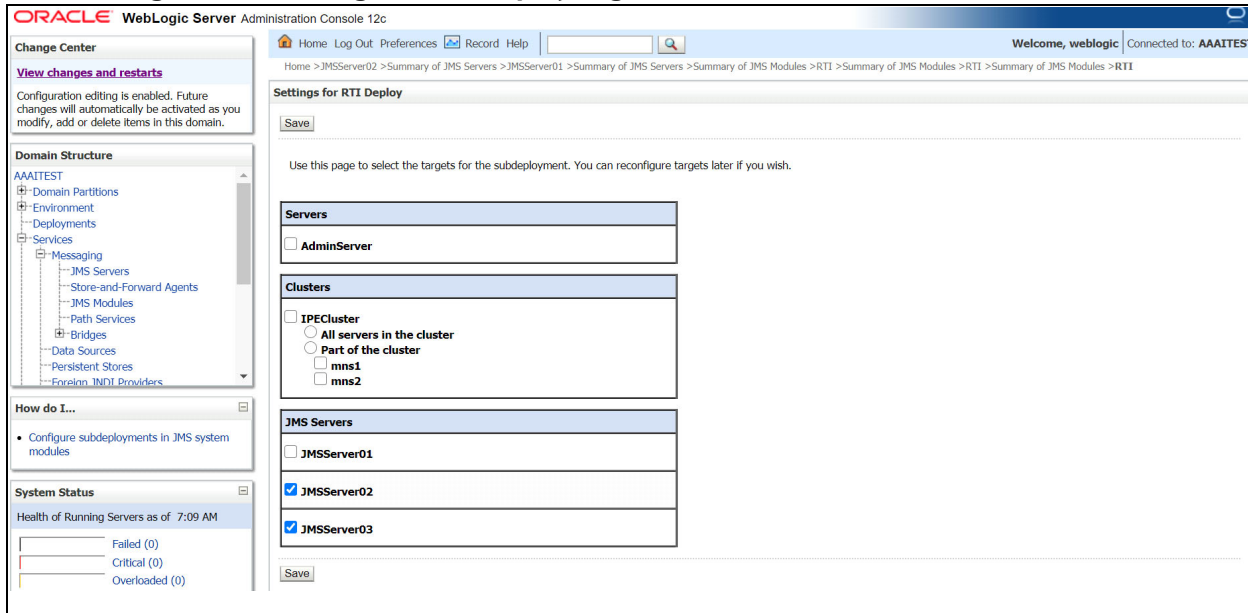




6. Select the JMS servers created previously from the **JMS Servers** list from the **Settings for RTI Deploy** page and click **Save**. The **RTI** sub-deployment is created.

**NOTE** You can configure the targets later if required.

**Figure 138: Settings for RTI Deploy Page**



## 19.4 Distributed Queues Creation

Depending on the type of resources selected you are prompted to enter the basic information for creating the resources. For target resources like stand-alone queues and topics, connection factories, distributed queues and topics, foreign servers, and JMS SAF destinations you can proceed to target pages for selecting appropriate server targets. You can associate target resources with sub-deployments, which is an advanced mechanism for grouping JMS module resources and the members to server resources. To create the Distribute Queues, follow these steps:

**NOTE** Queues must be created as per the [IPE Configuration](#) guide with the same naming convention. See [Chapter 19.7](#) for information about JMS Queue creation for SWIFT, Fedwire and ISO20022 Message types.

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Distribute Queue** from **Create a New a JMS System Module Resource** page.

Figure 139: Create a New JMS System Module Resource page

**ORACLE WebLogic Server Administration Console 12c**

Home Log Out Preferences Record Help

Welcome, weblogic Connected to: AAAITEST

Home > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI

### Create a New JMS System Module Resource

Back Next Finish Cancel

**Choose the type of resource you want to create.**

Use these pages to create resources in a JMS system module, such as queues, topics, templates, and connection factories.

Depending on the type of resource you select, you are prompted to enter basic information for creating the resource. For targetable resources, like stand-alone queues and topics, connection factories, distributed queues and topics, foreign servers, and JMS SAF destinations, you can also proceed to targeting pages for selecting appropriate server targets. You can also associate targetable resources with subdeployments, which is an advanced mechanism for grouping JMS module resources and the members to server resources.

- Connection Factory** Defines a set of connection configuration parameters that are used to create connections for JMS clients. [More Info...](#)
- Queue** Defines a point-to-point destination type, which are used for asynchronous peer communications. A message delivered to a queue is distributed to only one consumer. [More Info...](#)
- Topic** Defines a publish/subscribe destination type, which are used for asynchronous peer communications. A message delivered to a topic is distributed to all topic consumers. [More Info...](#)
- Distributed Queue** Defines a set of queues that are distributed on multiple JMS servers, but which are accessible as a single, logical queue to JMS clients. [More Info...](#)
- Distributed Topic** Defines a set of topics that are distributed on multiple JMS servers, but which are accessible as a single, logical topic to JMS clients. [More Info...](#)
- Foreign Server** Defines foreign messaging providers or remote WebLogic Server instances that are not part of the current domain. [More Info...](#)
- Quota** Controls the allotment of system resources available to destinations. [More](#)

5. Enter the name and JNDI name in **Name** and **JNDI Name** Fields respectively as per the **IP Configuration** guide and click **Next**.

Figure 140: JMS Distributed Destination Properties page

**ORACLE WebLogic Server Administration Console 12c**

Home Log Out Preferences Record Help

Welcome, weblogic Connected to: AAAITEST

Home > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI > Summary of JMS Modules > RTI

### Create a New JMS System Module Resource

Back Next Finish Cancel

**JMS Distributed Destination Properties**

The following properties will be used to identify your new Distributed Queue. The current module is RTI

\* Indicates required fields

What would you like to name your new destination?

\* **Name:** DistributedQueue01

What JNDI Name would you like to use to look up your new destination?

**JNDI Name:** jms/feedbackQueue

Queue members may be either created uniformly from a common configuration, or created and weighted individually to fine tune performance. How would you like to create queue members?

**Destination Type:** Uniform

Templates provide an efficient means of defining multiple destinations with similar configuration values. Would you like to use a template for this destination?

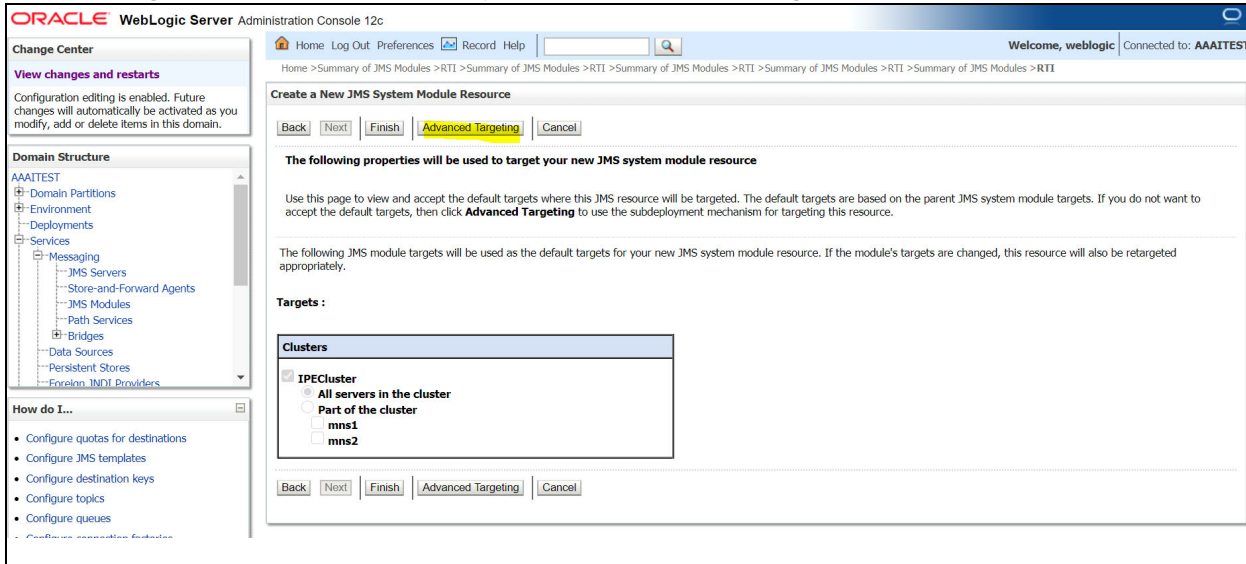
**Template:** None

Back Next Finish Cancel

6. Select **Advanced Targeting**.



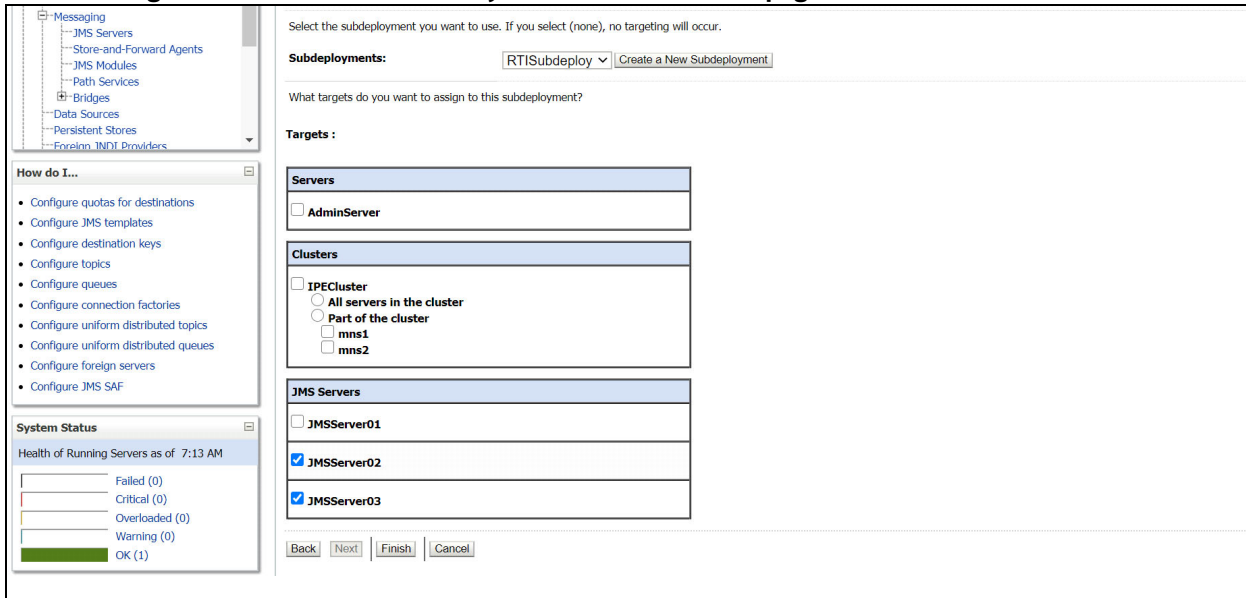
Figure 141: Create a New JMS System Module Resource page



7. Select **RTISubdeploy** from the **subdeployment** field drop down list and select the JMS servers created. Click **Finish**. The distributed queue is successfully created.

**NOTE** You will receive message on successful creation of the JWS distributed queue.

Figure 142: Create a New JMS System Module Resource page



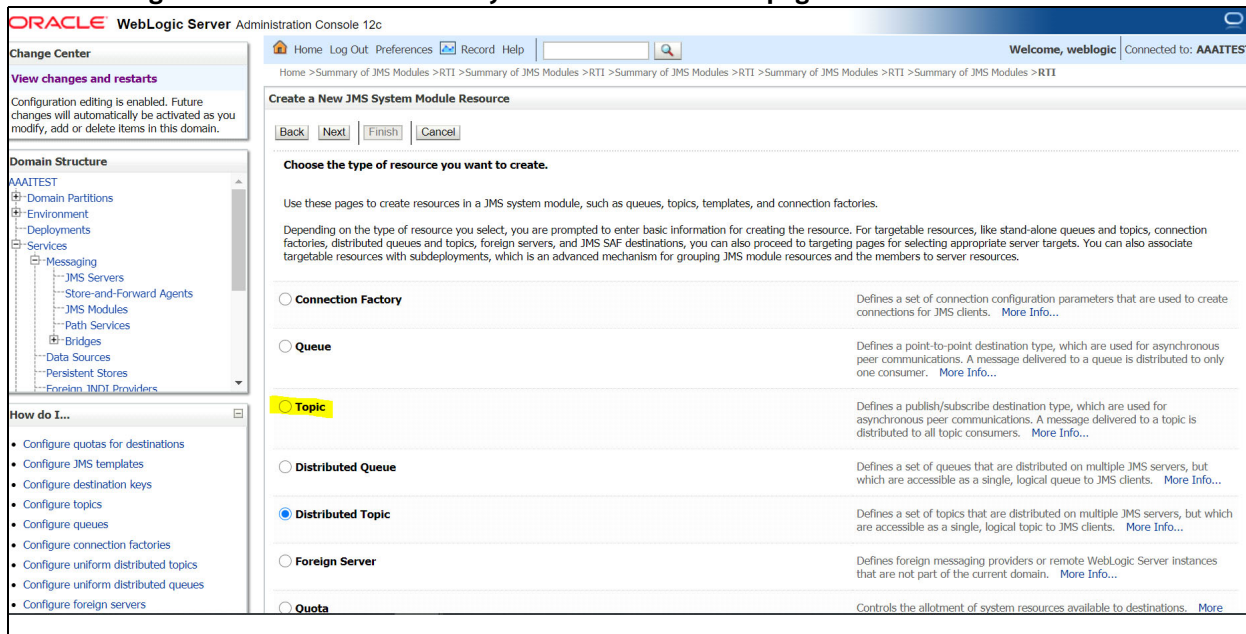
## 19.5 Distributed Topic Creation

To create the Distribute Topic, follow these steps:

**NOTE** Topics must be created as per the [IPE Configuration](#) guide with the same naming convention.

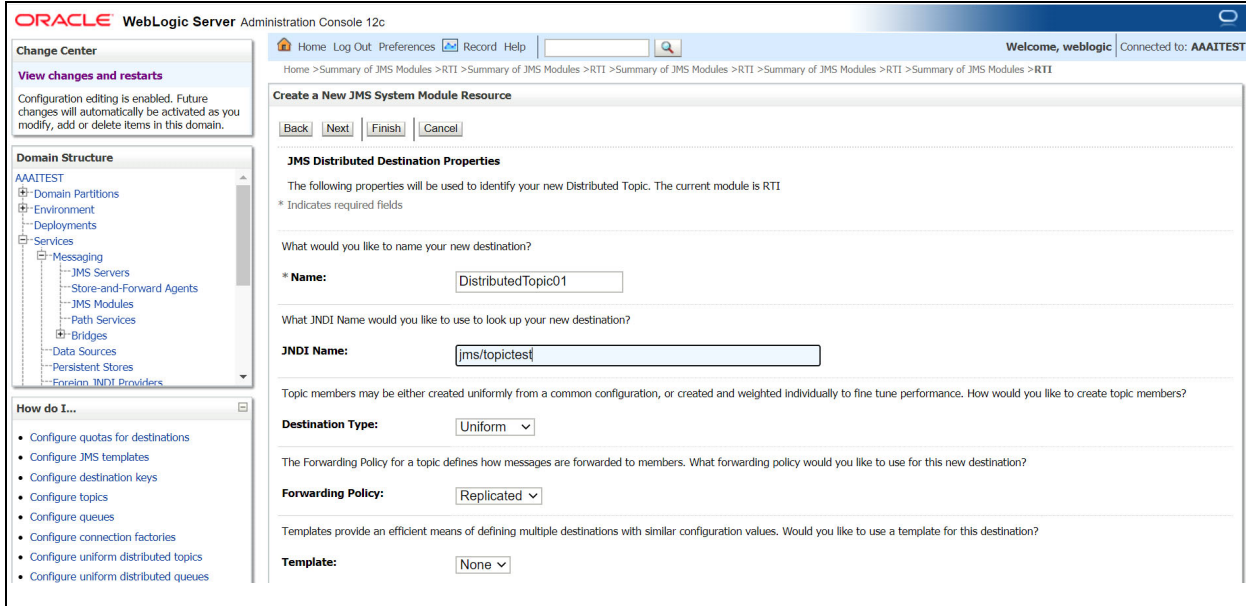
1. Log in to **Weblogic Console**.
2. From **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Distribute Topic** from **Create a New a JMS System Module Resource** page.

**Figure 143: Create a New JMS System Module Resource page**



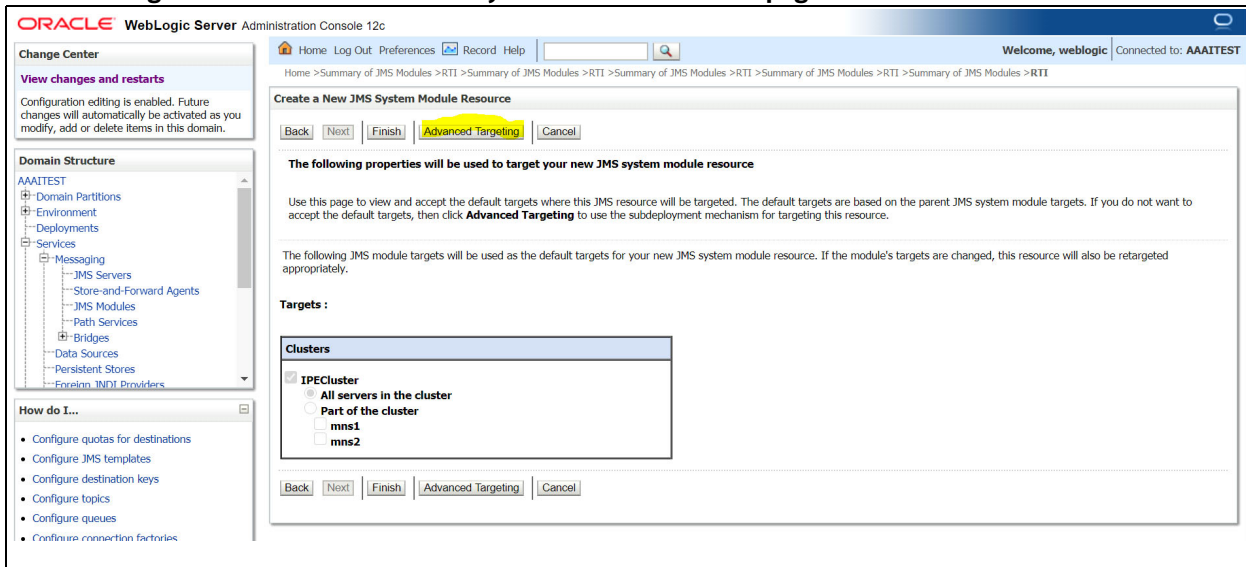
5. Enter the name and JDNI name in **Name** and **JNDI Name** Fields respectively as per the IPE configuration guide and click **Next**.

Figure 144: JMS Distributed Destination Properties page



6. Select **Advanced Targeting**.

Figure 145: Create a New JMS System Module Resource page



7. Select **RTISubdeploy** from the **subdeployment** field drop down list and select the JMS servers created. Click **Finish**. The distributed topic is successfully created.

**NOTE**

You will receive message on successful creation of the JWS distributed topic.

Figure 146: Create a New JMS System Module Resource page

**Subdeployments:** RTISubdeploy

What targets do you want to assign to this subdeployment?

**Targets :**

**Servers**

AdminServer

**Clusters**

IPECluster

All servers in the cluster

Part of the cluster

mns1

mns2

**JMS Servers**

JMSServer01

JMSServer02

JMSServer03

**How do I...**

- Configure quotas for destinations
- Configure JMS templates
- Configure destination keys
- Configure topics
- Configure queues
- Configure connection factories
- Configure uniform distributed topics
- Configure uniform distributed queues
- Configure foreign servers
- Configure JMS SAF

**System Status**

Health of Running Servers as of 7:19 AM

Failed (0)

Critical (0)

Overloaded (0)

## 19.6 Connection Factory Creation

To create the Connection Factory, follow these steps:

**NOTE** Connections must be created as per the [IPE Configuration](#) guide with the same naming convention.

1. Log in to **Weblogic Console**.
2. From **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Connection Factory** from **Create a New a JMS System Module Resource** page.

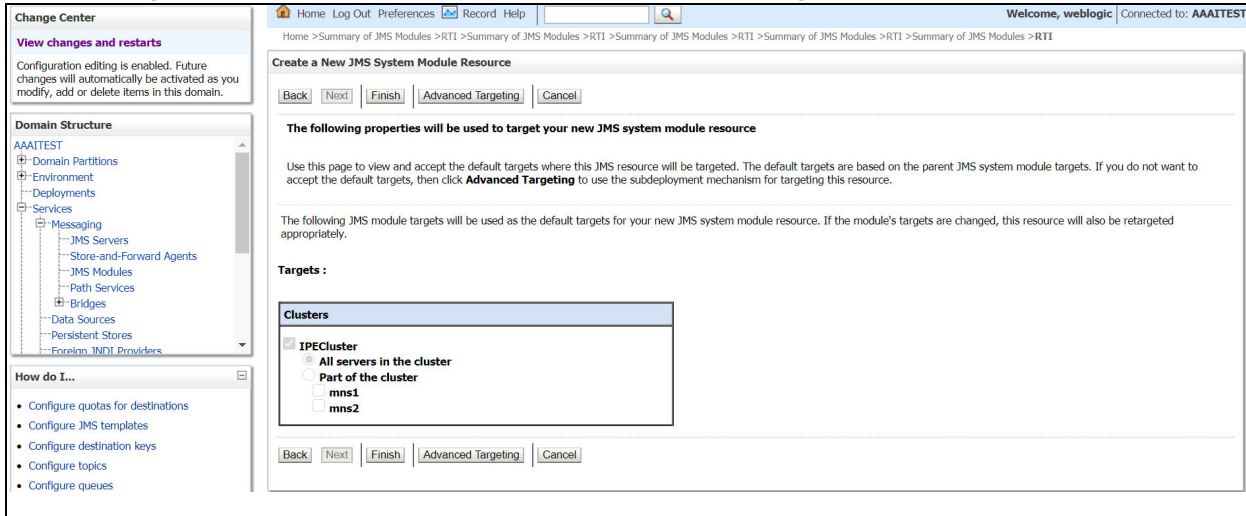
Figure 147: Create a New JMS System Module Resource page

5. Enter the name and JNDI name in **Name** and **JNDI Name** Fields respectively as per the **IPE Configuration** guide and click **Next**.

Figure 148: Connection Factory Properties page

6. Select **Advanced Targeting**.

Figure 149: Create a New JMS System Module Resource page



7. Select the JMS Servers created and Click **Finish**. The Connection Factory is successfully created.

**NOTE** You will receive message on successful creation of the JWS Connection Factory.

## 19.7 JMS Queue Creation for SWIFT, Fedwire and ISO20022 Message Types

The JMS Queues for Fedwire and ISO20022 are created similar to JMS Queue for SWIFT. For more information about JMS Queue creation, see the [IPE Configuration](#) guide.

[Table 53](#) provides the information about the JMS queues for SWIFT, Fedwire and ISO20022 message types.

Table 53: WebLogic JMS Queues - Field Value

| Message Type | Queue Name                   | Fields                                    |   |  |
|--------------|------------------------------|---|---|--|
|              |                              | Name                                      | JNDI name   | Subdeployment                            |
| SWIFT        | RTI Source Entity Queue      | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceEntityQueue      | Select the Subdeployment as RTISubDeploy |
| FedWire      | RTI Source Fed Entity Queue  | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceFedEntity-Queue  | Select the Subdeployment as RTISubDeploy |
| ISO20022     | RTI Source Sepa Entity Queue | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceSepaEntity-Queue | Select the Subdeployment as RTISubDeploy |

## 20 **Appendix I: User Group Customization**

When a new user group for Transaction Filtering 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_TF`.



## 21 Appendix J: Configurations for the Bearer Token

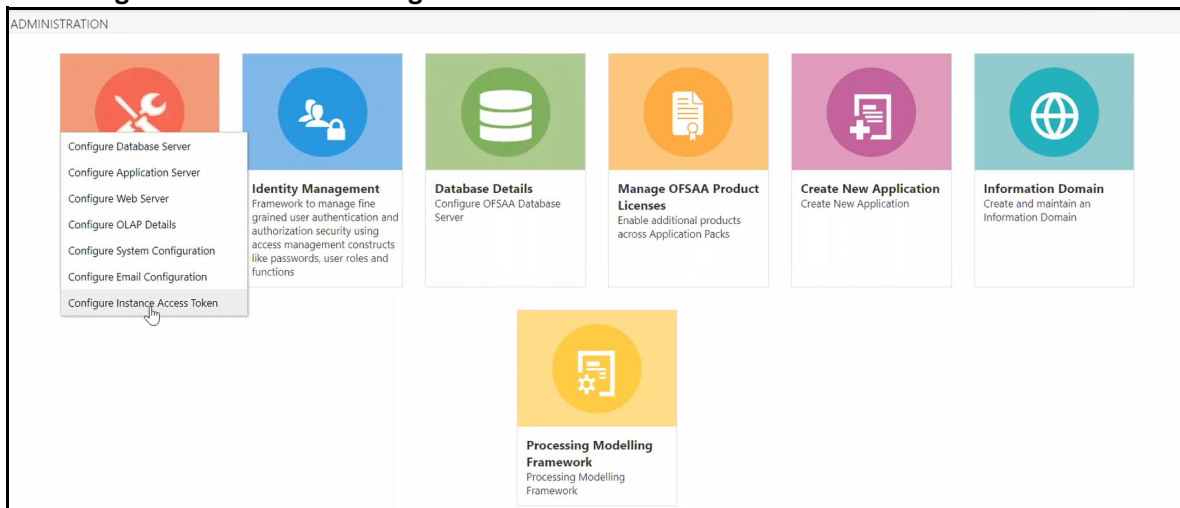
- The following section takes you through the process of generating a token and using it to get the individual or entity JSON, depending on the API request. A token is used to authorize the request.
- You can begin by generating a password for the user who sends the request. After the password is generated, 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](#).

### 21.1 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 Instance Access Token**. The **Configure Instance Access Token** window is displayed.

Figure 1: Administration Page



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



**Figure 2: Configure Setup Access Token**

Configure Instance Access Token

Instance Name  Reset Search

Configure Instance Access Token

+ Add

| Instance Name | Instance Access Token                |
|---------------|--------------------------------------|
| TFLT          | 97b69571-55d3-4b9b-a673-84d4ff1b5305 |

Page 1 (1 of 1 items) < 1 >

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

**Figure 3: Generate Token Button**

Configure Instance Access Token


\* Instance Name  Generate Token Close

Instance Access Token Details

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

Figure 4: Setup Access Token Details

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

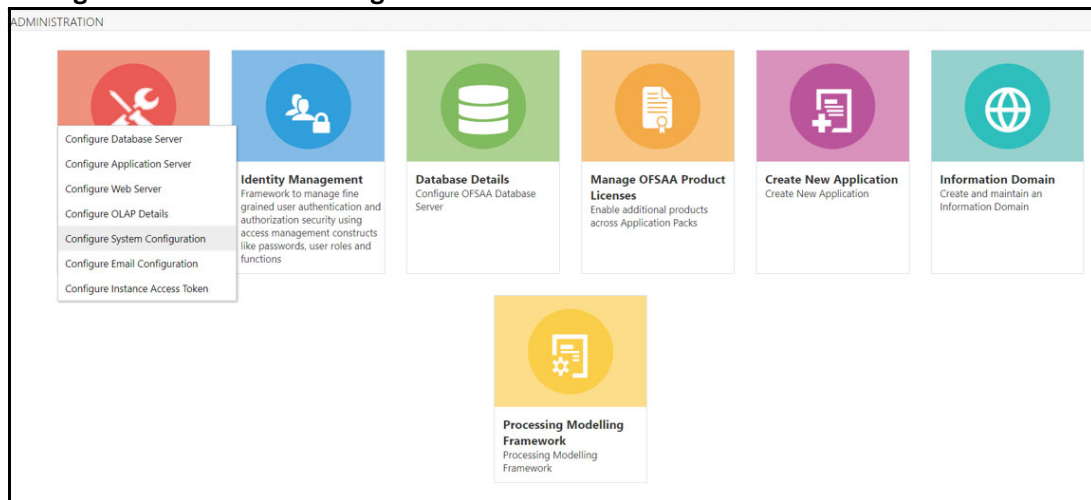
6. Click **Close**  and log out as the system administrator.

## 21.2 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 5: Administration Page



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

Figure 6: Configuration window with the API token validity in seconds field shown

The screenshot shows a configuration window titled "Configuration" with a "Save" and "Cancel" button in the top right. Under "Environment Details", it shows "Database - ORACLE" and "Server - Unix". There are four tabs: "General Details", "Guest Login", "Optimization", and "Others". The "General Details" tab is active, showing several fields: "Number of invalid logins" (10), "Path for Application Packaging" (empty), "Session Timeout Value(in minute)" (50), "Link based token validity in minutes" (60), and "API token validity in seconds" (3600). Below these are three checkboxes: "Enable batch operation notification" (checked), "Enable batch owner notification only" (unchecked), and "Security Question Enable" (unchecked).

4. Click **Save**.

## 21.3 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 [REST APIs for Oracle Database](#).

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 7: Request

The screenshot shows the Postman client interface. The request type is set to "GET" and the URL is "http://fsgbu-mum-239.snbonprshared1.gbucdsint02bom.oraclevcn.com:7001/SANC812/rest-api/auth/v1/token". The "Authorization" tab is selected, showing "Basic Auth" as the type. The "Username" field contains "TFLT" and the "Password" field is masked with dots. A "Show Password" checkbox is at the bottom right. A warning message at the top says: "Heads up! These parameters hold sensitive data. To keep this data secure while working in a collaborative environment, we recommend using variables. [variables](#)".

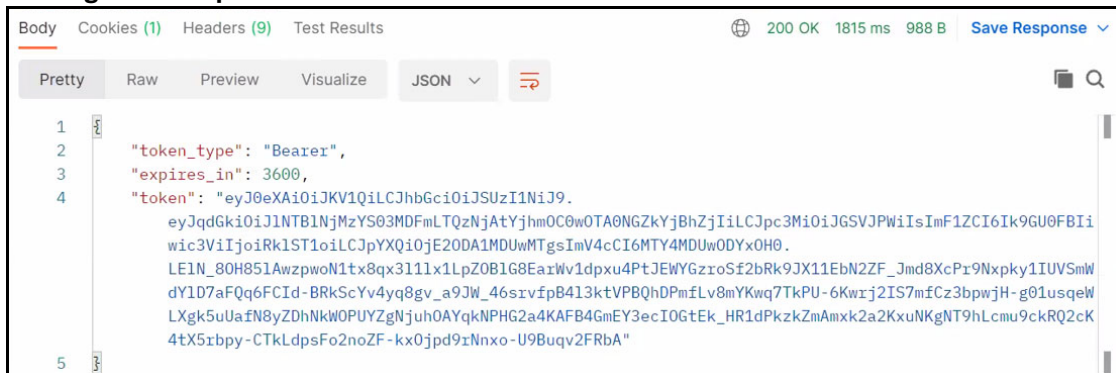
3. Select the **Authorization** menu and then select the **TYPE** as **Basic Auth**.

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 8: Response**



## 21.4 Send Requests

1. Do the following configuration before sending the request using the **POST** request feature.
  - a. Go to the path  
##DOMIAN\_HOME##/applications/##context.ear##/##context.war##/conf
  - b. Open the `RestAPIConf.properties` file.
  - c. Add the `hostname` and `port` values inside the `RestAPIConf.properties` file  
For Example:  
hostname=fsgbu-mum-239.snbomprshared1.gbucdsint02bom.oraclevcn.com  
port=7001
2. Requests are sent using the **POST** request feature. Use the token generated to authorize the request and pass the JSON in the correct format.

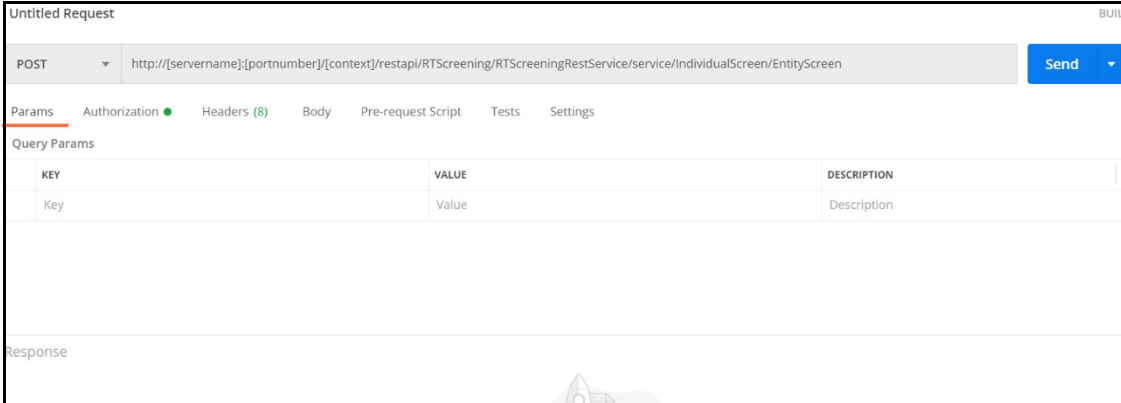
### NOTE

- 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 [REST APIs for Oracle Database](#).

3. In the Postman client, select the request type as **POST** and enter the request URL in the following format:
  - For **SWIFT**: ##APP\_URL##/rest-api/TFService/message/postMessage-ToQueue?queueName=sourceEntityQueue&msgCheckFlag=N
  - For **ISO20022**: ##APP\_URL##/rest-api/TFService/message/postMessage-ToQueue?queueName=sourceSepaEntityQueue&businessName=RT SEPA Message Attributes&domain=SR&msgCheckFlag=N&externalData=Message Direction:OUTBOUND

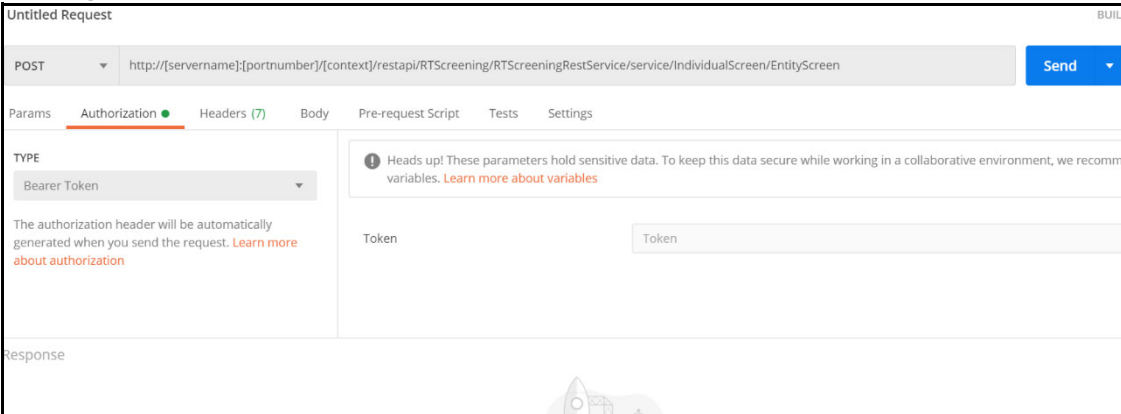
- For Fedwire: ##APP\_URL##/rest-api/TFService/message/postMessageToQueue?queueName=sourceFedEntityQueue&msgCheckFlag=N

**Figure 9: Request**



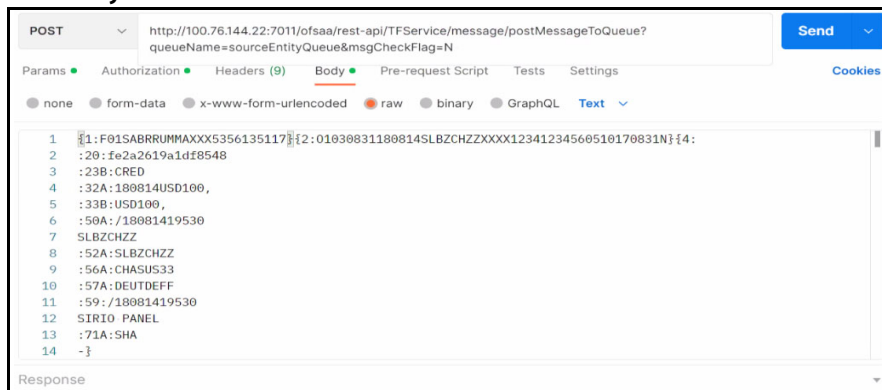
4. In the **Authorization** menu, select the **TYPE** as **Bearer Token**.

**Figure 10: Authorization**



5. Paste the token generated in the **Token** field.
6. Select **Body** tab and select **raw**.
7. Insert the message in the text field.
8. Click **Send**.

**Figure 11: Body Tab**



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