Oracle Financial Services Compliance Regulatory Reporting Applications Pack

Version 8.0.1.0.0

Release Notes

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FINANCIAL SERVICES

DOCUMENT CONTROL

Version Number	Revision Date	Changes Done
1.0	Created: July 2015	Captured Software environment details, new features, fixed issues, limitations and known issues for 8.0.1.0.0 release.
Created by: Snigdha	Reviewed by: Anil/Ravi/Kiran/Satish	Approved by: Anil/Ravi/Satish

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Preface

This Preface provides supporting information for the Oracle Financial Services Compliance Regulatory Reporting (OFS CRR) Application Pack Release Notes.

This preface includes the following topics:

- Purpose of This Document
- Intended Audience
- Related Documents

Purpose of This Document

This document contains release information for the following products:

- Oracle Financial Services Analytical Applications Infrastructure (OFS AAI)
- Oracle Financial Services Compliance Regulatory Reporting (OFS CRR)

Intended Audience

This document is intended for users of Oracle Financial Services Compliance Regulatory Reporting (OFS CRR) Application Pack.

Related Documents

This section identifies additional documents related to Oracle Financial Services Compliance Regulatory Reporting (OFS CRR) Application Pack 8.0.1.0.0. You can access Oracle documentation online from the Documentation Library for OFS CRR 8.0.1.0.0 (OTN).

OFSAA Related Documents

- *Oracle Financial Services Advanced Analytical Applications Infrastructure (OFS AAAI) Application Pack 8.0.1.0.0 Installation and Configuration Guide*

- *Oracle Financial Services Analytical Applications Infrastructure Environment Check Utility Guide*

- *Oracle Financial Services Analytical Applications Infrastructure User Guide*

- *Oracle Financial Services Analytical Applications Infrastructure Administration Guide*

- *Oracle Financial Services Analytical Applications v8.0 Technology Matrix*

OFS CRR Related Documents

- *Oracle Financial Services Compliance Regulatory Reporting Applications Pack Installation Guide*

- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide*

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- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*

- *Oracle Financial Services Compliance Regulatory Reporting User Guides*

- *Oracle Financial Services Compliance Regulatory Reporting Web Service Guide*

1   Introduction

This chapter covers following topics:

- About Oracle Financial Services Analytical Applications (OFSAA)

- Components of Oracle Financial Services Compliance Regulatory Reporting (OFS CRR) Applications Pack

1.1   About Oracle Financial Services Analytical Applications (OFSAA)

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

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

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

1.2   Components of Oracle Financial Services Compliance Regulatory Reporting (OFS CRR) Applications Pack

OFS CRR Application assists financial institutions in information gathering, and generation and filing of SAR reports with regulatory bodies as part of an integrated financial crime and compliance management program.

OFS CRR application provides a single, global regulatory reporting approach to address suspicious activity reporting requirements across different countries and jurisdictions. As part of this coverage, the OFS CRR supports the following:

- Pre-Defined Mapping of business information and investigation information to the applicable jurisdiction-specific regulatory reporting format.

- Different Report Formats for generating a suspicious activity report as mandated by local regulatory bodies. Some examples are PDF, XML, MS Excel, and so on.

- Pre-Configured Controls for supporting guidelines and specifications defined by the local regulatory body. This ensures compliance with SAR reporting mandates and ensures error-free report submission to regulators.

OFS Compliance Regulatory Reporting Applications Pack includes the following applications:

- **Financial Services Analytical Applications Infrastructure**: This application streamlines analysis using a set of tools for data management and security administration and creates a single, consistent, enterprise-wide source of all relevant customer and financial data.

- **Financial Services Compliance Regulatory Reporting**: This application enables financial institutions to meet their regulatory reporting requirements as part of integrated financial crime and compliance management approach and helps reduce compliance costs and manage potential exposures.

2   Oracle Financial Services Analytical Applications Infrastructure

This chapter includes the following topics:

- New Features

- Limitations and Known Issues

- Fixed Issues

2.1   New Features

The following new features are supported in this release:

- **Business Restructure**
  Business Restructuring in corporate management is an act of reorganizing Ownership, Operational or other structures of the company for making it more profitable or better organized for its present needs. Other reasons for restructuring include demerger or a response to major change in the business such as repositioning or buyout.

  A module has been introduced in this release to configure and manage the restructuring process across the organization.

- **Process Orchestration Framework**
  A new module has been introduced to support built-in tooling for orchestration of human, automatic workflow interfaces as well as various OFSAA Processes.

  - Support for visual modeling of the Workflow and Processes

  - Support for registration of Process/Activity/Transition Logic implementation, separated from the modeling process itself

  - Built-in orchestration engine (included within OFSAAI's runtime) for workflow execution (interactive model as opposed to the batch model supported through Rule Run Framework)

  - Representation of the workflow-routing rule logic in Java/PL-SQL/Web-service

  - Process Monitoring Admin Tool to view and control the Execution Process Instances

- **Data Management Tools**

  - Ability to preview Database details while creating Data Sources has been introduced

  - Ability to preview data of the source/target entities has been provided while defining Data Mapping and Data File Mapping

- For Data Mapping, there is no default limit set for Rejection Threshold and the value needs to be set if it is required.

- Data Sources creation has been modified to pick up the connection details created from the Database Details screen.

- **Data Quality Framework**

  - Data Quality rules can be defined on Data Management Sources.

  - Data Quality checks can be performed based on Unique Identifier Columns other than Primary Key columns.

  - In the Data Quality Reports, the Primary Key columns or Unique Identifier Columns are displayed.

- **Mapper**

  - Copy feature of Mapper definitions is introduced.

  - While defining a Mapper, an option to create Database View has been provided.

- **Business Metadata Management**

  - Ability to preview the query and the data from the Dataset definition is introduced.

- **Object Migration**

  - Command Line Migration now supports Security Management System (SMS) objects such as Users, Usergroups, Functions, Roles, and Profiles along with the mappings.

  - The Object Migration Command Line Utility (offline option) supports wildcard (*) feature.

- **Run Rule Framework**

  - The **Use Descendants** option for a Parent Child hierarchy has been provided to apply self/ descendants to a Run/Process condition implicitly.

  - The Process engine has been enhanced to support "Select Insert" and "Partition Swap" query along with the "Merge" query.

  - The Rule engine has been enhanced to support "Select Insert" and "Partition Swap" query along with the "Merge" query.

- **Model Upload**

  A command line utility has been introduced to perform Object Registration independently for an Information Domain where model upload is done successfully.

- **DEFQ**

  From the Excel Entity Mappings and Excel Upload screen, you can download the Excel template which is used in the mapping.

- System Configuration and Identity Management

  - Create New Application feature has been introduced, which enables to create an Application using the standard platform frameworks.

  - The Database details screen has been enhanced to support for heterogeneous database.

  - Users can be created with an option to authenticate through SMS even when LDAP or SSO authentication is enabled.

  - SSO authentication using SAML v2 is introduced. This release supports only 1-way SAML authentication.

  - User Provisioning API is provided so that User Objects can be provisioned in OFSAAI using web service call.

  - An option to reinstate the deleted users has been introduced.

- **Metadata Browser**

  - Data Mapping along with User Defined Properties (UDPs) can be exported to Excel.

  - An option to display Data Mapping with the selected UDPs is provided.

  - The following objects are supported:

    - Data Sources

    - Data Source Entity

- **Link Analysis**

  - Single click option has been provided for Nodes.

  - If multiple links (different types) are shared between two nodes, then the link is considered as complex link instead of duplicate link.

  - Link Analysis graph has been enhanced to display with scroll bars for large graphs. Additionally, when a graph is zoomed out, the scroll bars will be displayed.

2.2   Limitations and Known Issues

The following table lists the Limitations and Known Issues:

Component	Sub Component	Bug No	Subject
Administration	-	21423196	OFSAAI does not allow to enter the special characters such as '~!@#$%^&*()_+' in SFTP / FTP details screen
Data Entry Forms and Queries	Excel Upload	21354370	The Description of an Excel-Entity mapping definition is not getting updated in edit mode.
Model Upload		21207454	Model upload summary grid does not display the status of Object Registration process.
Rules Framework	Rule Execution Engine	21335353	Execution log does not provide detailed steps of execution if Execution mode is set as SELECT or PARTITION SWAP at Rule/Process/Run Level.
System Configuration	Database Details	21341795	No field restriction is given for the Name field in the Database details. Validation is done only after user clicks Save.
Unified Metadata Manager	Business Metadata Management	21205832	When a multi level hierarchy is used and the same hierarchy is repeated in more than one level, Pushdown operation is failing.
	Data Quality Group	21297551	Data Quality Group Summary grid does not display whether the DQ group is defined on Data Source or Infodom.
	Data Quality Definition	21421824	Java script error occurs when user clicks the online help icon from DQ Rule Summary page.
		21297543	Data Quality Rule Summary grid does not display whether the DQ Rule is defined on Data Source or Infodom.
		21216533	If you are defining Data Quality check on

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			a Data Management Source, only quality check will be done; data correction will not be done since it is an external source. The UI does not restrict to perform any assignments on such DQ rules.
	Import Business Model	21422610	Model Upload log file provides incorrect information about indices.
	Metadata Archive Restore	21178745	From the Object Migration> Restore Metadata, when you click Browse to select the DMP file, the folders are not displayed.
	Technical Metadata Management	21229361	Table Logical name is empty for Data File Mapping screen.
		21201150	Show Details/Data Preview should be available under selected Members tree.
Forms Framework	Forms Manager	21221027	Forms Manager application expects IE 11 Compatibility Mode setting from every client browser.

2.3 Fixed Issues

The following table lists the fixed issues:

Component	Sub Component	Bug No	Subject
Unified Metadata Manager	Metadata Browser	21237919	COLUMN NAME ON WHICH MEASURE BUILT IS MISSING IN METADATA BROWSER
		20873646	FORMAT OF PDF DOWNLOADED FROM MDB SCREEN IS NOT PROPER
	Data Quality Definition	19986171	QUERY VALIDATION FAILING WHEN CLICKED ON GENERATE QUERY FOR CUSTOM CHECK
	Technical Metadata Management	19435376	REMOVE RLT FROM MAPPING SCREEN FOR FILE EXTRACTS (SysDate and Constant value are supported)
		19429082	IF TABLE LOGICAL NAME IS EMPTY THE UI APPENDS NULL TO IT WHEN U REOPEN ENTITIES
Data Entry Forms and Queries	Forms Designer	19786363	'SELECT LIST' DOES NOT WORK IN 'INEDIT OR ADD' IN DEFQ FOR FOREIGN KEY COLUMN
	Data Entry	21339254	NUMBER FORMAT CAUSE EDIT TO FAIL WITH SPECIAL CHARACTER NOT ALLOWED ALERT
		19928860	FILTERS NOT WORKING PROPERLY ON DEFI WHEN EXPORT SELECTED
		19684150	DATA ENTRY SCREEN ALLOWS TO ENTER SPECIAL CHARACTERS IN TABLES USING COPY/PASTE
		20753155	FILTER CONDITION IS MISSING WHEN EXPORTING DATA FROM ENTRY FORM INTO CSV FILE
		17568615	CLICKING ON GRID VIEW & THEN COPY IS SHIFTING TO THE RIGHT BY ONE COLUMN.
	-	19635160	INVALID INPUT FOUND FOR PARAMETER TABLE NAME" ERROR ON CLICKING COLUMN HEADER
		19634971	SEARCH FUNCTIONALITY NOT WORKING WHEN CREATED A FORM WITH TWO TABLE
Dimension Management		18876170	REV_HIER_FLATTENED USE & AS DELIMITER CAUSING BATCH HIERARCHY LOAD OVERLOAD
Operations		19824312	TIMESTAMP(DATE & TIME) REQUIRED IN ICCSERVER LOG
	Batch Execution	20605588	BATCH EXECUTION SHOULD THROW PROPER ALERT IF ICCSERVER IS

			DOWN
Forms Framework	Forms Manager	20626675	MASKING ISSUES IN FORMS FRAMEWORK
		20753413	FORM DATASET ENTITIES DOES NOT ALLOW CONFIGURATION OF MORE THAN 4000 CHARACTERS
Metadata such as T2T, F2T, and so on		20802601	MESSAGESERVER SHOULD SHOW PROPER LOG IF PASSWORD ABOUT TO EXPIRE
		19689752	F2T LOAD SUCCESSFUL BUT RECEIVED [6601] COULD NOT READ HEADER FILE
	F2T Issues	21103110	UNABLE TO F2T WHEN SOURCE IS DEFINED ON A REMOTE SERVER
Preferences	Global	21345344	GLOBAL PREFERENCES: FUNCTIONAL CURRENCY AND SIGNAGE BLANK
Rules Framework	Manage Run Execution	20760953	WHEN ATTEMPTING TO LAUNCH 2 RRF BATCHES IN PARALLEL ORA-00001 IS RECEIVED
		21105097	BACKWARD COMPATIBILITY MISSING FOR WSMRE UTILITY
		17585185	GETTING WEBSERVICEEXCEPTION WHILE EXECUTING WSMRESTARTUP.SH
	Rule Execution Engine	20228822	CHANGE OF MERGE WITH PARTITION SWAP
		19610888	MERGE ARE NOT TAKE ADVANTAGE OF PARTITION LOGIC IN CASE QRY_OPT_USE_ROWID=Y
Link Analysis	-	21176553	NETWORK VISUALIZATION GRAPH IS NOT LOADING (DISPLAYING), ITS THROWING JSP ERROR.
		20754376	LINK ANALYSIS AFTER LOADING THE GRAPH ACKNOWLEDGMENT IS REQUIRED
Install and Upgrade Issues	-	21220708	MEDIA PACK INSTALLERS ARE NOT VALIDATING ORACLE DATABASE VERSION PRE-REQUISITES
		21168440	PRE-CHECK UTILITY SHOULD VALIDATE THE EXISTENCE OF EN_US.UTF-8 LOCALE
		21052420	SCHEMA CREATOR UTILITY VALIDATION FAILS IF ORACLE SERVER IS ON A WINDOWS MACHINE
		20952939	PORTC.JAR DOES NOT CHANGE PORT TO 443

3   Oracle Financial Services Compliance Regulatory Reporting

3.1   New Features

This release includes the Philippines Suspicious Transaction Report.

4   Hardware/Software Tech Stack Details

The hardware/software combinations required for OFS CRR 8.0.1.0.0 are available at OTN Tech Stack.

5   Information of third party software tools used

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Oracle Financial Services Compliance Regulatory Reporting Applications Pack

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