Oracle Financial Services CRR Application Pack

Release Notes

Release 8.1.2.0.0

March 2022

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OFS CRR Application Pack Release Notes

Document Control

Version Number	Revision Date	Change Log
1.0	March 2022	This is the first version of the 8.1.2.0.0 release.

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1   Preface

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

Topics:

- Purpose of This Document
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1.1   Purpose of This Document

This document contains release information for the following products:

- OFS CRR goAML Application
- OFS CRR Canadian STR Application
- OFS CRR Indian STR Application
- OFS CRR United State SAR Application

1.2   Intended Audience

This document is intended for users of the Oracle Financial Services OFS CRR Application Pack.

1.3   Related Documents

This section identifies additional documents related to OFS CRR Application Pack. You can access the following documents from the Oracle Help Center:

- Installation Guide
- Administration Guides
- User Guides
- Web Service Guide
- Data Model Guide

1.4   Documentation Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at

http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docac

2 Introduction

OFS CRR Application assists financial institutions in information gathering, generation, and filing of SAR or STR 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 application 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. For example, 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 or STR 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, security administration, and creates a single, consistent, enterprise-wide source of all relevant customer and financial data.

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

3   Oracle Financial Services CRR Application Pack

This chapter describes the new features, bugs addressed, and known issues in this release of the OFS CRR Application Pack.

Topics:

- New Features
- Installing this Application Pack
- Bugs Fixed in This Release
- Limitations and Known Issues

3.1   New Features

- OFS CRR Application pack supports upgrade from 8.0.4.0.0 to 8.1.2.0.0.

- **Securelane Transfer Mode Configuration**

  A Securelane Transfer Mode is a mechanism to transfer E-Files automatically or manually to FinCEN's BSA E-Filing system after an E-File is generated in the OFS CRR US SAR application. If you select Automatic mode, E-Files are transferred to the designated directory. If you select Manual mode, then you must run the batches to transfer E-Files to the designated directory.

  FinCEN's BSA E-Filing system retrieves those submitted E-Files from the designated directory and sends a confirmation message XML. After running the Acknowledgement batch, a list of acknowledgements is displayed in the Acknowledgement tab of the OFS CRR US SAR application UI.

- **XSD Validation Details tab in Report Details**

  The XSD Validation Details tab allows to validate report formats/details against the XSD (XML Schema Definition) files. If there are any errors related to XSD, those errors will be listed in the XSD Validation Details tab. This feature helps avoid E-Files being rejected from the FinCEN E-File System due to errors during submission.

  This allows Analysts to validate each detail before they request SAR approval, and helps Super Users or Supervisor users validate errors and approve the report. If there are any errors related to XSD, it will not allow them to approve the report until the errors are rectified.

- **Acknowledgement tab in E-File Regulatory Reports**

  An Acknowledgement is a receipt generated by the FinCEN E-File System when you submit an E-File. After submitting an E-File, the FinCEN E-File System sends an acknowledgement. The acknowledgement file contains a BSA Identifier and corresponding acknowledgement errors associated with each SAR element received via automatic or manual submission.

  This feature helps filter acknowledgement receipts processed by the FinCEN E-File System for further verifications in the Acknowledgement tab of the OFS CRR US SAR application.

3.2   Installing this Application Pack

For detailed instructions on installing the OFS CRR Application, see the [Installation Guide](#).

3.3   Bugs Fixed in this Release

The following table provides the list of bugs fixed in this release.

S.No	Bug ID	Description
1	33885754	After an E-File batch is executed, the E-File is generated without a *.xml* extension.
2	33865320	An E-File is generated even after entering the wrong organization name. For example, null or space as the organization name.
3	33923416	goAML Application- Report Indicator tag and values are not populating in an E-File.
4	33885996	After saving values of password fields for an E-File, the acknowledgement, message, and archive fields are blank in Configure Securelane parameters UI.
5	33881132	Incorrect BSA_XML_2.0.xsd file was packaged in installer under location <Contextname>ftpshare/Miscellaneous/xsd/ussar/BSA_XML_2.0.xsd
6	33881120	XSD Validation: The incorrect values entered in the report details are not captured in the XSD Validation tab, and the Approve action is working.
7	33880747	XSD validation is not working due to the wrong location of the Miscellaneous folder.
8	33874902	An acknowledgement is generated against an E-File and it is archived even after the Acknowledgement batch failed.
9	33870221	When you provide a password for Securelane Transfer Mode parameters and save it, then you are not able to set it back to NULL again.
10	33865573	When you provide incorrect Securelane Transfer Mode details and execute Message and Acknowledgement batches then you can find a successfully completed batch status with no error in the *fct_batch_dtls* table.
11	33865546	When you do not provide server details such as hostname, username, and password, the E-File transfer action performs the following activities: • E-File is transferred to a remote server location as a path exists on a web domain server. • Failure alert is displayed on the UI screen. • Securelane Transfer Mode details are not updated against the respective E-File. • Securelane Transfer Mode batch is failed with the *"Requires hostname/credentials details"* error message.
12	33865402	When you do not update any parameters in Configure Securlane Parameter page and take Save action, the "Update Operation Successful" alert is generated instead of the "Nothing To Save" alert.
13	33865372	Alert messages and audit entries in the CRR application – the first letter of every word must be Upper case (capital letter) but there are discrepancies in every word used in the messages.
14	33864909	When a message XML is uploaded against an E-File, then you cannot upload it again. However, the message file is archived and overwriting the original message file.

S.No	Bug ID	Description
15	33864407	E-File names are populating with XML extension and *fct_E-File* table in the application UI. Ideally, the E-File name must not be populated with an XML extension.
16	33864396	When an E-File is generated, the entire content of the E-File is captured in the *nohup* logs. This is critical information and must not be populated in logs.
17	33863850	The Securlane Transfer Mode parameters descriptions, which explain the usage of each parameter are not clear.
18	33863700	The Mode of Submission and Enable Securelane File transfer fields are not set by default. In the installer, the Mode of Submission must be populated as "M" for manual mode.
19	33839536	There are no error messages for the failure of Message batches.
20	33830003	Canadian STR application - audit entries are not populating.
21	33829716	US SAR application - Acknowledgement details are not displayed in the Acknowledgement tab.
22	33829189	US SAR application - On the Subject Information tab, when you select the TIN unknown checkbox, an undefined alert encounters.
23	33828124	US SAR Application - The document upload is failing.
24	33827923	Audit entries are not populating for E-File reports after the batch execution.
25	33823874	When an E-File is generated with incorrect details in the Securlane Transfer Mode parameters, the *Key not found* error is displayed.
26	33823841	US SAR Application – Report approve action is not working.
	33819550	Securelane Transfer Mode - In parameters, if you select Mode of Submission as 'S' then the Reject button should not display in the E-File tab.
27	33822851	Securelane Transfer Mode – The Acknowledgement batch is not working.
28	33818927	US SAR Application - When you try to generate an E-File from multiple approved reports, the XML has details of only one report whereas it must have details of all reports.
29	33805606	A warning message - "Changes you made may not be saved" is displayed even though there are no updates to the page.
30	33805558	Securelane Transfer Mode - When you create a new batch and enter comments in the Comments box and save it, but those comments are not saved.
31	33803837	Securelane Transfer Mode – Displaying incomplete names of parameters. For example, instead of Acknowledgement Directory Path, it is displaying Acknowledgement Directory pa.
32	33798935	US SAR Application –In the Phone Details grid, when you enter phone details in the dialog and click Save, those phone details disappear.
33	33798647	Securelane Transfer Mode- After entering details in Securelane transfer for Template type, the Save button is not working.
34	33798609	goAML STR Application -Transaction Information, Involved Account Details, Involved Entities Details, and Involved Person Details are not loading.
35	33739388	IN STR and goAML Application - E-Files are not generating.
36	33725277	January CPU - Validate January CPU for CRR 8.0.6.0.0, 8.0.7.0.0, 8.0.8.0.0, 8.1.1.0.0, and 8.1.1.1.0.

S.No	Bug ID	Description
37	33550378	US SAR Application- The user is not able to reject multiple reports from the Approved Report tab.
38	33550367	US SAR Application – There is no column to indicate an attachment on the Report List page.
39	33524337	goAML Application - Director level is not validating without Address/Phone/Identification for an Internal Account in the Involved Account tab.
40	33331517	CA STR Application – In Report Information tab, Date of Transaction, Details of Funds Involved in Initiating the Transaction, Amount of Transaction, Account Currency, How was Transaction Conducted in Transaction and Amount of Disposition, Disposition Currency, and Disposition of Funds in Disposition fields are not mandatory.
41	30856502	CA STR Application – In the Report Information tab, Disposition of Funds, Amount of Disposition, and Disposition Currency Code fields in the Disposition Details section are not mandatory.

3.4   Limitations and Known Issues

In this release, Secure Data Transfer Mode (SDTM) is referred as Securelane Transfer Mode Configuration.

4   Oracle Financial Services Analytical Applications Infrastructure

See the Oracle Financial Services Advanced Analytical Applications Infrastructure Application Pack Release Notes for the details on the New Features, List of Bugs Fixed, and Known Issues and Limitations.

5   Hardware and Software Tech Stack Details

The hardware and software combinations required for OFS AAAI 8.1.2.0.0 are available in the OHC Tech Stack.

6   Licensing Information

For details on the third party software tool used, see the Financial Crime and Compliance Management Licensing Information 8.1.2.0.0.

OFSAA Support

Raise a Service Request (SR) in <u>My Oracle Support (MOS)</u> for queries related to the OFSAA applications.

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- Did you find any errors?

- Is the information clearly presented?

- Do you need more information? If so, where?

- Are the examples correct? Do you need more examples?

- What features did you like most about this manual?

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

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