Oracle Financial Services Compliance Studio

Release Notes

Release 8.1.2.4.0

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ORACLE
Financial Services

OFS Compliance Studio Release Notes

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Document Control

Table 1 lists the document control of this guide.

Table 1: Document Control

Revision Number	Revision Date	Change Log
8.1.2.4.0	March 2023	Updated the following sections: • New Features in this Release • Known Issues and Limitations in this Release
8.1.2.3.0	January 2023	Updated the following sections: • Capabilities offered by Compliance Studio • New Features in this Release • Known Issues and Limitations in this Release
8.1.2.1.0	September 2022	Updated Model Management & Governance steps in the Capabilities offered by Compliance Studio section. Updated the following sections: • New Features in this Release • Known Issues and Limitations in this Release • Licensing Information Removed the "Oracle Financial Services Analytical Applications Infrastructure" section.
8.1.2.0.0	March 2022	This is crafted for the release of the v8.1.2.0.0 version.

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1 About this Guide

This section provides supporting information for Oracle Financial Services Compliance Studio Release Notes.

Topics:

- Purpose of this Document
- Intended Audience
- Access to Oracle Support
- Related Information Sources

1.1 Purpose of this Document

This document contains release information of Oracle Financial Services Compliance Studio, Release 8.1.2.4.0.

1.2 Intended Audience

This document is intended for users of Oracle Financial Services Compliance Studio, Release 8.1.2.4.0.

1.3 Access to Oracle Support

Oracle customers have access to electronic support through My Oracle Support. 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.

1.4 Related Information Sources

This section identifies additional documents related to OFS Compliance Studio. You can access the below documents online from the Oracle Help Center (OHC) Documentation Library for OFS Compliance Studio Applications Pack Release 8.1.2.4.0:

- Oracle Financial Services Compliance Studio Installation Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio Administration and Configuration Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio User Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio Use Case Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio Architecture Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio API Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio Matching Guide, Release 8.1.2.4.0
- Oracle Financial Services Compliance Studio Data Model Guide, Release 8.1.2.4.0

2 Introduction to OFS Compliance Studio

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

2.1 Capabilities offered by Compliance Studio

- Purpose Built for Fighting Crime
  - Fully defined and sourced Financial Crime Graph Model supporting detection and investigation
  - Provided Accelerators for finding the needles in the haystack.
  - What if Analysis for existing Scenarios
  - Integration with ECM and Investigation Hub to provide meaningful guidance to investigators for rules-based and ML generated alerts
  - Enterprise-ready and compatible with underlying OFSAA framework
  - Works with current and earlier 8.0.x releases of Oracle Financial Crime and Compliance Management Anti Money Laundering (AML), Enterprise Case Management, and Fraud applications.
- Entity Resolution for AML
  - Entity Resolution to enhance monitoring effectiveness and provide a single customer view
  - Linking and Resolution across internal & external data to improve single entity detection
  - Allows for Scenario/Model detection across internal data
  - Multi-attribute enabled with ML boosts for Name/Address models
  - Prebuilt Integrations and easily configurable for Data Sources like ICIJ, etc.
- Analytics of Choice
  - Choose from our proprietary models or bring your own
  - Fully embedded Graph Analytics Engine and Financial Crime Model
  - Embedded with a highly scalable in-memory Graph Analytics Engine (PGX)
  - Industry's most intuitive Graph Query Language to gain rapid insights
- Model Management & Governance
  - End-to-end management from model creation to model deployment.
    - Data Ingestion (Oracle DB, Graph, Hive)
    - Model Development
    - Supports virtually all open source packages, interpreters, etc.
    - Supports non-ML
    - Process in Database or Big Data

  - Model Training
  - Model Performance Evaluation
  - Model Explainability
  - Model Tracking and Audit
  - Approval Mechanisms
  - Model Deployment
  - Scheduling
  - Ongoing Monitoring
- ML Foundation for Financial Crimes
  - Integrated with Oracle Financial Crime Application Data and readily usable across the enterprise financial crime data lake.
  - Pre-engineered features and transformations to address each use case
  - Simplified APIs for each stage of the modeling lifecycle
  - Leverage the power of Graph, Supervised ML, and Unsupervised ML build typology detection models, detect anomalies, and risk score customers or events
  - Event Scoring for false positive prediction and disposition
  - Dashboards and KPIs to measure the impact of ML and generate insights for business users
  - Ongoing Monitoring of Model Performance and Concept Drift
  - Automated Scenario Calibration and Scenario Conversion Utility for Oracle AML Scenarios

2.2 New Features in this Release

The following new features are incorporated in this Release 8.1.2.4.0.

For detailed information on using these features, see the OFS Compliance Studio User Guide and OFS Compliance Studio Administration and Configuration Guide.

- **Graph**

  The Graph Analytics Engine within Compliance Studio now supports two methods for operation:

  - **In-memory**: It collects all the data from the nodes and edge tables and it will be transformed into a graph in the Oracle Graph Analytics Engine(PGX).
  - **Offloaded**: It creates only metadata of the executed PGQL query instead of loading the entire graph into the PGX server. Using the off-loaded graph has the advantage of significantly reducing the hardware needed for PGX.
- **Scenario Conversion Utility**

  The additional scenarios are supported in this release. For more information, see Using Scenario Conversion Utility section in the OFS Compliance Studio User Guide.
- **API Configuration**
  - Support for registering third-party APIs.
  - Ability to map and integrate with Model Pipelines.

- **Health UI**
  - Introduced status messages related to Graphs and PGX server.
  - Service Status: Provides information on the services that are running.
  - Environment: Provides information on the System and Application properties.
  - Log Trace: Provides the logs which will help during analysis and debugging.
- **Object Migration** menu has been introduced.

  Object Migration is the process of migrating or moving objects between environments.

  You may want to migrate objects for several reasons such as managing global deployments on multiple environments or creating multiple environments so that you can separate the development, testing, and production processes.
- **Model Training** menu has been introduced.

  The Model Training page allows you to add and manage the Model Technique, Model Library, and Model Objectives.
- **UI/UX Enhancements**

  Modified UI/UX elements include the Compliance Studio application's menu, button, widget, and theme.
- **New ER pipeline (CSA_8124) has been introduced.**
- **OPenSearch has been supported and ElasticSearch is deprecated in this release.**
- **Updated the supported versions for Java, OpenSearch and Logstash.**

The following new features have been added to Automated Scenario Calibration.

- **Automated Scenario Calibration**
  - Pre-pod Analysis: ASC now supports tuning and initial threshold determination for new scenarios without historical event data.
  - Re-run/update run: Scenarios can be re-executed for just select run dates if it failed for any reason in the first run.

  For information on Automated Scenario Calibration use case, see the OFS Compliance Studio ML4AML Use Case Guide.

2.3 Installing the Release

For detailed instructions on installing the release, see the Oracle Financial Services Compliance Studio Installation Guide.

2.4 Known Issues and Limitations in this Release

Table 2 lists the known issues or limitations in this release.

Table 2: Known Issues or Limitations

Sl. No.	Bug ID	Known Issue or Limitation	Workaround
Graph Pipeline			
1	34555100	Performance bottleneck for "Derived Entity Node" data pipeline with higher volumes.	This will work with low volumes.
2	34555165	Data pipeline UI is not opening from the MMG screen when using the Firefox browser if the self-signed certificate is used.	-
3	34555169	In the pipeline designer pop-up, on the deletion of the dataset, the user gets an error in UI, though the dataset is deleted successfully.	-
4	34968828	CS8123 - The 'Refresh Graph' task throws 'PLUG_IN_TRXN_EDGE_EXCEPTION' error – Intermittent issue.	Restart PGX and rerun the 'Refresh Graph' task.
5	35031234	CS8123 - Manual steps for Importing pipelines while upgrading from 8121 to 8123.	For manual steps, contact My Oracle Support (MOS).
6	Limitation	Graph Pipeline UI: Cloning of Node or Edge data pipeline using **Clone From an Existing Data Pipeline** option does not work if **Node** or **Edge** attributes are not the same as Cloned Data Pipeline.	1. Launch Workspace, Navigate to **Graph Options**. 2. Select the graph pipeline for which you want to create a **Node** or **Edge**. 3. On the **Graph Summary** page, click **Create Node**. The Node Details window is displayed. 4. Under the **Manage Pipeline(s)** group, click **Create** drop-down and select the **Data Pipeline**. The Create Pipeline window is displayed.

Table 2: Known Issues or Limitations

			While creating the Data Pipeline using the **Clone From an Existing Data Pipeline** option, ensure that the number of attributes and the attribute names for Node or Edge used in **Graph Definition** must be the same as cloned **Data Pipeline** attributes.
7	35042366	CS8124 - Graph Pipeline - Unable to save a dataset while creating a new data pipeline for the first time while building a new Custom Graph.	You need to restart Compliance Studio again after the installation before proceed with build a new custom graph.
Entity Resolution			
8	34555125	Full Load - Delete Scenario - Pending Manual Action - user cannot see a temporary global party ID if a customer is deleted on Day 2 and the manual action is still waiting for approval.	-
9	34555129	Unique constraint error in er data survival job when multiple merge and ds rulesets are enabled.	-
10	33869985	Unique Constraint Error for **STG_CUSTOMER_IDENTIFCTN_DOC** table while executing the Data Survival job.	-
11	33924005	Delta Load - After updating the customer data, matching between customers includes the old set of updated customer data as well.	-
12	35020508	Manual Decisioning UI + Merge & Split UI: Search functionality is impacted due to multiple spaces in the data.	You can search with a name with single token. If you want to search with first, middle and last name then you need to try searching by appending 2 or 3 spaces between the first, middle and last name.
13	34555136	Split and Merge UI screen: The user is unable to split the global ID all at once if it has more than 1000 entities.	-
14	33429546	Name and address transliteration is not happening for both source and target while matching.	-

Table 2: Known Issues or Limitations

15	32895430	Manual Decision notebook is locked in OOB Compliance Studio. By default, it should be unlocked.	How to unlock, see the **Unlock the Notebook** section in the OFS Compliance Studio Administration and Configuration Guide.
16	35106583	Manual Decision UI- Graph - Text is not visible for Manual expand in the Graph section	Do not maximize the graph screen.
17	35150575	Entity Resolution - Delete action is not working in full load mode when both source and target customers are deleted from pre-staging tables	-
Notebook Server and Interpreters			
18	33870011	In the Tasks, sorting order does not work for the Paragraph and Interpreter columns.	-
19	34555103	Interpreters - python interpreter execution is stuck if the internal Code takes very long to run. For example, Code results in infinite loops.	-
20	34555134	Deployment - interpreter - python interpreter log file size keeps increasing more than one terabyte (TB) and occupies the server hard disk space.	-
Investigation Hub			
21	32895388	“export to pdf” paragraph gives insufficient information about the SI notebook.	-
Automated Scenario Calibration			
22	34940518	Multi Match Error in ASC Investigated Entities.	-
Legacy ETL			
23	34555120	Manual Decision UI - Legacy ETL -manually approved edges are not inserted into training data tables.	-
24	33870003	PGX memory limit is not working for PGX Roles.	You must execute the Redaction job twice.
Deployment			
25	34555140	Installer – Reinstall is not updating the SSO token.	user must manually update the table “NEXTGENEMF_CONFIG ” in Compliance Studio schema.
User Activity			
26	34555151	Compliance Studio – A user with a DSUSER role should not see the Data Studio options.	-
ML Incremental training			

Table 2: Known Issues or Limitations

27	33869980	Wrong success message for failed batch "`import_training_models.sh`".	-
28	33429584	Incremental training batch – the ability to delete the training view is currently hard coded in the .sh file, which will always delete the training view.	-

3 Hardware and Software Tech Stack Details

For more details on the hardware and software combinations, see Oracle Financial Services Analytical Applications 8.1.2.0.0 Technology Matrix available in the OHC Tech Stack.

4 Licensing Information

For details on the third-party software tool used, see the *OFSAA Licensing Information User Manual Release 8.1.2.0.0* available in the Licensing Information User Manuals.

5 OFSAA Support

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

Send Us Your Comments

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

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

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

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