

Oracle Financial Services Compliance Studio

Release Notes

Release 8.1.2.5.0

December 2023

F48786-01

ORACLE®

Financial Services

OFS Compliance Studio Release Notes

Copyright © 1994, 2023, Oracle and/or its affiliates.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish, or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this is software, software documentation, data (as defined in the Federal Acquisition Regulation), or related documentation that is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, then the following notice is applicable:

U.S. GOVERNMENT END USERS: Oracle programs (including any operating system, integrated software, any programs embedded, installed or activated on delivered hardware, and modifications of such programs) and Oracle computer documentation or other Oracle data delivered to or accessed by U.S. Government end users are "commercial computer software," "commercial computer software documentation," or "limited rights data" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, the use, reproduction, duplication, release, display, disclosure, modification, preparation of derivative works, and/or adaptation of i) Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs), ii) Oracle computer documentation and/or iii) other Oracle data, is subject to the rights and limitations specified in the license contained in the applicable contract. The terms governing the U.S. Government's use of Oracle cloud services are defined by the applicable contract for such services. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software or hardware in dangerous applications.

Oracle®, Java, MySQL, and NetSuite are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

Intel and Intel Inside are trademarks or registered trademarks of Intel Corporation. All SPARC trademarks are used under license and are trademarks or registered trademarks of SPARC International, Inc. AMD, Epyc, and the AMD logo are trademarks or registered trademarks of Advanced Micro Devices. UNIX is a registered trademark of The Open Group.

This software or hardware and documentation may provide access to or information about content, products, and services from third parties. Oracle Corporation and its affiliates are not responsible for

and expressly disclaim all warranties of any kind with respect to third-party content, products, and services unless otherwise set forth in an applicable agreement between you and Oracle. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services, except as set forth in an applicable agreement between you and Oracle.

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=docacc>.

Oracle customers that have purchased support 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.

Document Control

Table 1 lists the document control of this guide:

Table 1: Document Control

Revision Number	Revision Date	Change Log
8.1.2.5.3	November 2023	Added a new bug “36042808” in the Known Issues and Limitations in this Release section.
8.1.2.5.0	July 2023	Updated the following sections: <ul style="list-style-type: none">• New Features in this Release• Known Issues and Limitations in this Release
8.1.2.4.0	March 2023	Updated the following sections: <ul style="list-style-type: none">• New Features in this Release• Known Issues and Limitations in this Release
8.1.2.3.0	January 2023	Updated the following sections: <ul style="list-style-type: none">• 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: <ul style="list-style-type: none">• 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.

Table of Contents

1	About this Guide.....	6
1.1	Purpose of this Document	6
1.2	Intended Audience.....	6
1.3	Access to Oracle Support	6
1.4	Related Information Sources	6
2	Introduction to OFS Compliance Studio	7
2.1	Capabilities offered by Compliance Studio.....	7
2.2	New Features in this Release	8
2.3	Installing the Release.....	11
2.4	Known Issues and Limitations in this Release	11
3	Hardware and Software Tech Stack Details	14
4	Licensing Information	15
5	OFSAA Support	16
6	Send Us Your Comments.....	17

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 8.1.2.5.0.

1.2 Intended Audience

This document is intended for users of Oracle Financial Services Compliance Studio, Release 8.1.2.5.0.

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 8.1.2.5.0:

- Oracle Financial Services Compliance Studio Installation Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio Administration and Configuration Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio User Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio Use Case Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio Architecture Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio API Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio Matching Guide, Release 8.1.2.5.0
- Oracle Financial Services Compliance Studio Data Model Guide, Release 8.1.2.5.0

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
- Graphs
 - Graph Pipeline feature allows you to view the data relationships in a graphical format.
 - Graph Analytics will give Financial Institutions the ability to monitor the data financial institutions effectively. The data is organized as nodes, relationships, and properties (property data is stored on the nodes or relationships). The results of analytics algorithms are stored as transient properties of nodes and edges in the Graph.

2.2 New Features in this Release

The following new features are incorporated in this Release 8.1.2.5.0.

- **Entity Resolution**
 - **Persisting the Global Party ID**

Prior to 8125, new global parties were created by default when new or updated data changed the global party membership. It is now possible to choose to keep the global party ids on one or more records and either to do them automatically or require a user to manually approve (giving the ability to change the system defaulted global party persistence).
 - The new ER pipeline (CSA_8125) has been introduced.
 - When running deltas rather than full loads for Entity Resolution it is now possible to delete parties by entering them in the STG_DELETED_PARTIES_PRE table.

- Where the deleted flag is in past for address data it is removed as part of the entity resolution process.
- It is possible to run ER without matching when a bulk update to non-matching attributes is required. For more information, contact [My Oracle Support \(MOS\)](#).
- **Refinement in Entity Resolution**
 - The Data Survival job is enhanced to handle grouped and non-grouped entities in two processing paths for better memory utilization and improved turnaround time.
 - Optimization in memory is achieved by processing grouped entities in batches for Data Survival job.
 - The intermediate processing data is found to be essential and crucial for troubleshooting any unexpected failures of the batch. Hence, batch processing is enhanced to retain this data rather than clearing it up immediately after the execution. This data is cleaned-up at the beginning of the subsequent day's batch execution.
- Updated command, Cleanup steps and added new parameters such as Execution Mode, Current Runkey, and Run_Type for the following ER jobs:
 - ER_Create_And_Load_Data_Into_Index.sh
 - ER_Run_Bulk_Similarity_Job.sh
 - ER_Run_Data_Survival_Engine.sh
 - ER_Run_Full_Data_Output.sh
 - Wrapper_Run_ER.sh
- **Scenario Conversion Utility**
 - The additional jars from BD installation are added to the Calendar Notebook.
 - The folder structure is simplified for executing the SQL scripts.
- **The support for Legacy ETL is deprecated in the release.**
- **Workspace**
 - Tool tips added in Workspace Code name, Datasource name, Hive details, Test Connection, Wallet Alias, and Table owner.
 - Support to an Audit trail of start and stop of mmg-ui and mmg-service.
 - Global Audit trail has been added.
 - Workspace Delete now additionally purges underlying objects such as Datasets and Scheduler service.
 - Execution History option has been added in the View Workspace.
 - Test Connection has been now enabled in View Workspace.
- **Model Pipelines**
 - Introduced Spectra Pack diagram builder for Pipeline Canvas and Execution History. This is a replacement for the old canvas. Unlike the previous design where each node is placed on X and Y coordinates, the Spectra Pack diagram is based on row and column positioning.
 - Added new tasks to support Kafka in the Pipeline Canvas screen.
 - Improvements on Session Management.
 - Node details display Studio Paragraph in an inline frame (iframe).

- Support to select an interpreter while adding Paragraphs in the Model Pipelines.
- Improved Re-order Action links or icons and Script template has been added in the Action icon drop-down.
- Introduced Conditional Nodes in Pipeline Canvas. The Conditional node is used to determine which node will be executed next, based on a given condition, and are alternative to conditional links. Currently, only the If node, which will have true/false links is implemented.
- **Scheduler Service**
 - Support for email notification.
 - Introduced Scheduler Include Jobs.
 - Pause option for Schedules has been introduced.
- **Dataset**
 - Hive Schema Table Fetching.
 - Audit trail for Datasets has been introduced.
 - Support to select mmg python oracle connection module from cx-Oracle to oracledb.
 - Widgets such as Feature selection, and Feature Importance has been introduced.
 - Data Lineage feature has been introduced.
 - Enhancements to Data Profiler.
 - UI/UX improvements.
- **Support for CONDA**
 - UI for registering and provisioning CONDA environments from CS.
 - Execution of models through registered CONDA environments which are attached to the Workspaces.
 - Promoting Models with runtime python as CONDA environment python.

For detailed information on using these features, see the [OFS Compliance Studio User Guide](#) and [OFS Compliance Studio Administration and Configuration Guide](#).

The following new features have been added to **ML4AML**.

- **Impact Analysis for ASC**
 - Users can carry out impact analysis at a transaction level or a focal entity level. Users can compare and contrast between threshold sets by evaluating transactions and focal entities that were alerted.
- **Performance Improvements for ASC**
 - Enhancements have been made to improve the performance of ASC for both Pre-Prod and Post-Prod Analysis.
- **Enhanced Explanations for Anomalies**
 - Explanations for Anomalies have been enhanced with the inclusion of Observed values and a range of Expected Values for each feature.

For more information about ML4AML features, 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.	Use Chrome or Edge browser for making these changes.
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	35042366	CS8125 - 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.
5	35564509	CS8125 - ECM Graph - When a graph pipeline task fails and user "restarts" the run, the failed tasks throw "invalid table name" error.	User needs to schedule a new batch with all the failed tasks and reexecute.
6	35467064	CS8125 -Full load - Deleted records are marked as "split" for global ids containing customers and are still available in the system.	-
Entity Resolution			
7	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.	-
8	34555129	Unique constraint error in er data survival job when multiple merge and ds rulesets are enabled.	-
9	33869985	Unique Constraint Error for STG_CUSTOMER_IDENTIFCTN_DOC table while executing the Data Survival job.	-
10	33924005	Delta Load - After updating the customer data, matching between customers includes the old set of updated customer data as well.	-

Table 2: Known Issues or Limitations

11	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.
12	33429546	Name and address transliteration is not happening for both source and target while matching.	-
13	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 .
14	35106583	Manual Decision UI - Graph - Text is not visible for Manual expand in the Graph section	Do not maximize the graph screen.
15	35150575	Entity Resolution - Delete action is not working in full load mode when both source and target customers are deleted from pre-staging tables	-
16	35666993	The updated address does not survive on the next day in the final output table.	-
17	36042808	The Override Global Party (Reset to Source) option available in the Merge and Split Global Entities screen is not functional.	Upgrade to v8.1.2.6.0
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.	-
Deployment			

Table 2: Known Issues or Limitations

23	34555140	Installer – Reinstall is not updating the SSO token.	User must manually update the table “NEXTGENEMF_CONFIG” in Compliance Studio schema.
User Activity			
24	34555151	Compliance Studio – A user with a DSUSER role should not see the Data Studio options.	-
ML Incremental training			
25	33869980	Wrong success message for failed batch "import_training_models.sh".	-
26	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.

