

Oracle Financial Services Compliance Studio

Release Notes

Release 8.1.2.6.0

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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
8.1.2.6.0	November 2023	Updated the following sections: <ul style="list-style-type: none">• New Features in this Release• Known Issues and Limitations in this Release
8.1.2.5.0	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	12
3	Hardware and Software Tech Stack Details	15
4	Licensing Information	16
5	OFSAA Support	17
6	Send Us Your Comments.....	18

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 8.1.2.6.0.

1.2 Intended Audience

This document is intended for users of Oracle Financial Services Compliance Studio, Release 8.1.2.6.0.

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 8.1.2.6.0:

- Oracle Financial Services Compliance Studio Installation Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio Administration and Configuration Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio User Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio Use Case Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio Architecture Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio API Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio Matching Guide, Release 8.1.2.6.0
- Oracle Financial Services Compliance Studio Data Model Guide, Release 8.1.2.6.0

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
 - 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 8.1.2.6.0.

- **Entity Resolution**
 - The new ER pipeline (CSA_8126) has been introduced.
 - Users can configure the following parameters in the FCC_ER_CONFIG table:
 - MAX_HISTORY_PARTITIONS: The maximum number of partitions to be retained in the H\$ tables. It helps to optimize the batch turnaround time.
 - F_ER_DS_SUBSEQUENT_BATCH: This parameter is used when executing the data survival job (job 3). It indicates the mode of data survival to be done: batch/real-time.
 - ER_DS_SYSTEM_PENDING_MAX_NO_REC: The maximum number of records for which action can be taken from UI at one time.
 - The User has the provision to choose the persistence of the global party ID for individual action (merge, split, merge, and split).

For example, persist global id for 'merge,' do not persist global id for 'split,' etc.,

- Users can persist the Global Party ID with different actions in the FCC_ER_GUID_PERSIST_CONFIG table.
- Implementation of masking party attributes based on jurisdiction and business domain in the Merge and Split Global Entities UI.
- Enhancement of input parameter validation for Entity Resolution batch.
- **Conda Environment**
 - The virtual environments are deprecated; instead, the python interpreter will point to the conda environment.
- **Interpreter**
 - These fcc-python, fcc-python-ml4aml, and fcc-python-sane interpreters are deprecated; instead, the python interpreter and conda environment are used. If the User wants to configure the python interpreter (fcc-python, fcc-python-ml4aml, and fcc-python-sane) in the v8.1.2.6.0 environment, they can configure it manually.
- **Installer Improvements**
 - The patch maintenance mechanism has been introduced as part of the Compliance Studio 81260 installer.
 - The Compliance Studio build contains preseeded metadata for KYC and Sanctions simulation. For more information, see [KYC](#) and [Sanctions](#) guides.
- **Scenario Conversion Utility**
 - The interface has been simplified with the Batch Type option in the calendar notebook.
 - The following new scenarios are supported:
 - (ML/CU) Structuring: Deposits/Withdrawals of Mixed Monetary Instruments
 - (ML/AC) Anomalies in ATM, Bank Card: Foreign Transactions
 - (ML/CU) Structuring: Avoidance of Reporting Threshold
- **Workspace**
 - Workspace Population: Allow users to select a sub-set of tables for population.
 - Simple Expression Builder can provided for SQL Filters in Workspace Population screen.
 - Add escape-delimiter-character parameter in File Data Store.
 - Data Population filters now support custom and system runtime parameters.
 - Users can now store Workspace Creation templates on the server.
 - Import Archive and Templates now allows users to update Data Source schema without changing the selected database objects.
- **UI/UX Enhancements**
 - Sidebar menu has been replaced with all new Breadcrumb menu.
 - Data Studio menu options moved out from workspaces to global menu.
 - Improved UI messages and logging.
 - Standardized layouts and controls on all the screens.
 - UI/UX improvements in line with the Redwood design.

- **Pipelines**
 - New split UI for Pipeline builder for easier interaction with canvas and node configurations at the same time.
 - New widgets for Feature Engineering, Model Training and Stream Analytics.
 - Ability to create sub-pipeline containers.
 - Users can now stitch already Published Model Pipelines into a composite Pipeline.
 - All kinds of dynamic forms like Data Picker, Sliders, etc. are now supported in Parameter Sets and executions UIs.
 - Automatic cleanup of “dummy node” or non-existence paragraphs in Pipeline.
 - Bulk edit of Parameters Set values is not supported.
 - Support for multi-level approval and escalation.
 - Integration of Model Deployment workflow with Notifications.
 - Users can now choose to have default view of Pipeline or Notebook when Model is opened in Sandbox. This is via a service level configuration.
 - Pipelines: Add Breadcrumbs for Pipeline Details screen.
 - Model Draft - Canvas screen change version to drop-down.
 - Allow API Registry access from Model Pipelines screen.
 - New screen for Deployment Workflow.
 - Option to show "Executed Only" paragraphs in Outputs/Compare of Pipeline Execution History.
 - Option to attach conda and parameter set dependencies from Publish model screen.
 - Pick the previous/incoming paragraph's link type for Paragraphs added in between.
- **Identity Management**
 - JIT sync of username/email Id.
- **Graphs**
 - Support for out-of-the-box graphs analysis notebooks. Additionally, users can now create and manage notebooks for analyzing graphs directly from Graphs details screen.
 - PGX is upgraded to 23.4.2 version.
 - New Pipeline interface.
 - Data pipeline is now available as standalone.
 - Reset Graph metadata utility to reset all the metadata related to a particular graph id.
- **Model Catalog**
 - Model builder now optionally generates model evaluation metrics.
 - Supports scoring of external model.
- **Kafka Support**
 - Automatic discovery and listing of Topic in the registered Kafka clusters.
 - New overview screen to see sample records and other details of a Topic.

- **Datasets**
 - New overview screen to see features, profile metrics and sample records at a glance.
 - New data visualization and feature maintenance screen.
 - Now allows users to download sample records of dataset in CSV format file.
 - Create New Feature option now allows users to import any custom python library.
 - One-click Data Drift configuration by pre-filling all necessary fields.
 - Support of attaching Conda environment during Dataset creation.
 - Allows users to update Data elements with different Data source and its database objects.
- **Data Studio**
 - Data Studio has been upgraded to 23.4.2 version.
- **General**
 - Automated Sample Workspace Provisioning for Sample Application.

For detailed information on using the above 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**.

Automated Scenario Calibration has been enhanced in the following ways:

- **Simplifying Navigation and User Experience**
 - The folder structure has been updated to simplify navigation and user experience.
 - The Admin notebook has been modified to simplify Admin tasks
- **Improvements to scenario execution**
 - Scenario executions are now based on JOB IDs and support scenarios with single and multiple jobs.
- **Support for Jurisdiction Level User Access Control**
 - ASC now allows you to restrict user access to specific jurisdictions using Oracle DB's Virtual Private Database functionality.

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 and limitations in this release.

Table 2: Known Issues and Limitations

S.No	Bug ID	Known Issues and Limitations	Workaround
Graph Pipeline			
1	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.
2	35564509	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.
3	35930925	Data pipeline - If a field mapping contains an expression, the user is not able to view the expression once it is saved. There was also an edit option earlier which is not available now.	-
4	35953859	Graph Pipelines - Unable to fetch Match Rule and Refresh Graph runtime parameters in schedule configurations UI	-
Entity Resolution			
5	33869985	Unique Constraint Error for STG_CUSTOMER_IDENTIFCTN_DOC table while executing the Data Survival job.	-
6	33429546	Name and address transliteration is not happening for both source and target while matching.	-
Notebook Server and Interpreters			
7	34555103	Interpreters - python interpreter execution is stuck if the internal Code takes very long to run. For example, Code results in infinite loops.	Restart Compliance Studio.
8	34555134	Deployment - interpreter - python interpreter log file size keeps increasing more than one terabyte (TB) and occupies the server hard disk space.	User has to delete manually.
9	35949460	8125 -> 8126 - Upgrade Testing - User is not able to execute the notebook without re-initialization	Manual re-initialization to be done.
10	35947392	Notebooks - User is not able to execute the notebooks after selecting the virtual environment immediately after selecting the default 81260 conda environment	User has to wait for a message "Invalidated session and Re-initialized session" before execution of a notebook.
Investigation Hub			

Table 2: Known Issues and Limitations

S.No	Bug ID	Known Issues and Limitations	Workaround
11	32895388	“export to pdf” paragraph gives insufficient information about the SI notebook.	-
ML4AML			
12	35974906	The unsupervised scoring notebook fails due to incorrect paragraph links in the notebook pipeline window.	<p>To resolve this issue, follow these steps:</p> <ol style="list-style-type: none"> 1. Navigate to the Unsupervised ML User Notebook. 2. On the Settings drop-down list, select Auto-align. 3. Click Action icon next to the View Results and select Delete Node. 4. Deploy the model. <p>For more information, see Model Deployment and Scoring section in the OFS Compliance Studio ML4AML Use Case Guide.</p>
13	35872579	Scenario execution fails because the default python environment is attached to the notebook.	<p>To avoid this error, follow these steps:</p> <ol style="list-style-type: none"> 1. User has to navigate to the newly imported AML scenario notebook. 2. Attach the proper Python Runtime environment with the session. The recommended value for the Python Runtime environment is default_8.1.2.6.0. <p>For more information, see Trigger Scenario Execution section in the OFS Compliance Studio ML4AML Use Case Guide.</p>
14	35943957	Dynamic forms: checkbox selection and alignment are not working properly	<p>To resolve this issue, follow these steps:</p> <ol style="list-style-type: none"> 1. If the notebook uses widgets, then you need to Re-initialize the notebook. 2. If the issue persists, you must clone the paragraph before using the widgets.
15	35975479	Supervised monthly model monitoring drift notebook is not working	-

Table 2: Known Issues and Limitations

S.No	Bug ID	Known Issues and Limitations	Workaround
Deployment			
16	34555140	Installer – Reinstall is not updating the SSO token.	user must manually update the table “NEXTGENEMF_CONFIG ” in Compliance Studio schema.
User Activity			
17	34555151	Compliance Studio – A user with a DSUSER role should not see the Data Studio options.	-
18	35953842	Data studio's dynamic forms “Dropdown” gives error	Invalidate the session and execute the notebook again.
Scenario Conversion Utility			
19	35943957	Scenario Conversion Utility - The Events are not getting generated for these (ML/AC) Networks of Accounts, Entities, and Customers, (ML/AC) Escalation in Inactive Account scenarios.	-

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.

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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.

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- 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.

