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Financial Services

Regulatory Reporting Solution for US Federal Reserve – Lombard Risk Integration Pack

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Preface

This Preface provides supporting information for the Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack Release Notes and includes the following topics:

- ◆ [Overview of OFSAA](#)
- ◆ [Purpose of This Document](#)
- ◆ [Intended Audience](#)
- ◆ [Documentation Accessibility](#)
- ◆ [Related Documents](#)

Overview of 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.

Purpose of this Document


This document contains release information for Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack (OFS REG REP US FED).

Intended Audience

This document is intended for users of Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack.

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=docacc>.



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.

Related Documents

This section identifies additional documents related to OFS REG REP US FED Application 8.0.5.1.5. You can access Oracle documentation online from the Documentation Library ([OHC](#)).

- ◆ [*Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack Installation Guide Release 8.0.5.1.0*](#)
- ◆ [*Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack User Guide Release 8.0.5.0.0*](#)
- ◆ [*Oracle Financial Services Analytical Applications Technology Matrix*](#)

Introduction to Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack

In terms of regulatory reporting, financial institutions feel increasingly boxed in. On one hand, the number, frequency, and complexity of reports continues to spiral, especially for global financial institutions. At the same time, regulators are strongly encouraging firms to spend more time on analysis and review, such as the U.S. Federal Reserve's guidance that financial institutions spend 80% of the time allocated for regulatory reporting on analytics/reviews and 20% on data compilation. Financial institutions also continue to struggle with data aggregation and quality and, in many cases, the last stages of reporting are often a largely manual process. While facing growing regulatory costs and complexity, financial services organizations are struggling to realize the positive impact of more rigorous reporting requirements. They are compiling significantly more data for reporting purposes, but do not have adequate time and resources to fully analyze and gain new insight from this data – translating to a missed opportunity.

Through Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack (OFS REG REP US FED), Oracle Financial Services and Lombard Risk have collaborated to create a first-to-market solution that addresses these important requirements and helps financial services organizations find a much-welcome silver lining in today's prescriptive regulatory climate.

OFSAA Regulatory Reporting features the OFSAA Data Foundation as well as a reporting portal that integrates Lombard Risk's Reporter Portal for final-mile automation. The solution ensures data integrity and frees firms to focus more time on analyzing and gaining new business insight from their growing stores of data instead of simply preparing data and reports with the sole objective of meeting submission deadlines.

Additionally, multi-jurisdiction institutions, using these integrated tools, are now able to establish a global regulatory report production platform integrated with a single source of truth and full data lineage no matter where they are situated or how many jurisdictions they operate in. The OFSAA Data Foundation has all the detailed granular data which are used to aggregate and populate the Lombard report templates. This enables seamless drill down and lineage from individual template cells to the source systems where the granular data was sourced from. The rules used to derive the aggregated and calculated data are also clearly visible.

OFS Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack is a separately licensed product.

Patch **28303461** - Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack v8.0.5.1.0 One-off Patch Release #5 (8.0.5.1.5) is the Continuous Compliance release for all the regulatory enhancements done since v8.0.5.1.4 release.

This chapter includes the following topics:

- ◆ [New Features](#)
- ◆ [Prerequisites](#)
- ◆ [How to Apply this One-off Patch Release?](#)
- ◆ [Post Installation Steps](#)
- ◆ [Deploying Lombard AgileREPORTER Package Configuration](#)
- ◆ [Known Issues](#)

New Features

This release of OFS REG REP US FED Application is a Continuous Compliance Release. The reports that underwent changes are as follows.

| Report | Description | Form Version | Date Changes Take Effect | Change | OFSAA Impact |
|-----------|---|--------------|--------------------------|--|--|
| FFIEC-031 | Consolidated Reports of Condition and Income for a Bank with Domestic Offices and Foreign Offices | v14 | 30 June 2018 | Report changes cover: <ol style="list-style-type: none"> Form update effective June 2018 Taxonomy update effective June 2018 | Impact for the Report change covered: <ol style="list-style-type: none"> Remapping with available data with data model changes. Integration reflect mapping changes along with related changes in AR and Return version. Integration covers required AR and Return version reflecting taxonomy update. |
| FFIEC-041 | Consolidated Reports of Condition and Income for a Bank with Domestic Offices Only | v14 | 30 June 2018 | Report changes cover: <ol style="list-style-type: none"> Form update effective June 2018 Taxonomy update effective June 2018 | Impact for the Report change covered: <ol style="list-style-type: none"> Remapping with available data with data model changes. Integration reflect mapping changes along with related changes in AR and Return version. Integration covers required AR and Return version reflecting taxonomy update. |
| FFIEC-002 | Report of Assets and Liabilities of U.S. Branches and Agencies of Foreign Banks | v2 | 30 June 2018 | Report changes cover: <ol style="list-style-type: none"> Form update effective June 2018 Taxonomy update effective June 2018 | Impact for the Report change covered: <ol style="list-style-type: none"> Remapping with available data with data model changes. Integration reflect mapping changes along with related changes in AR and Return version. Integration covers required AR and Return version reflecting taxonomy update. |

| Report | Description | Form Version | Date Changes Take Effect | Change | OFSAA Impact |
|------------|--|--------------|--------------------------|--|---|
| FFIEC-002S | Report of Assets and Liabilities of Non-U.S. Branches and Agencies of Foreign (Non-U.S.) Banks | v1 | 30 June 2018 | Report changes cover: <ol style="list-style-type: none"> 1. Form update effective June 2018 2. Taxonomy update effective June 2018 | Impact for the Report change covered: <ol style="list-style-type: none"> 1. Remapping with available data with data model changes. Integration reflect mapping changes along with related changes in AR and Return version. 2. Integration covers required AR and Return version reflecting taxonomy update. |
| FR Y-9C | Consolidated Financial Statements for Holding Companies | v8 | 30 June 2018 | Report changes cover: <ol style="list-style-type: none"> 1. Form update effective June 2018 2. Taxonomy update effective June 2018 3. Transmission update effective June 2018 | Impact for the Report change covered: <ol style="list-style-type: none"> 1. Remapping with available data with data model changes. Integration reflect mapping changes along with related changes in AR and Return version. 2. Integration covers required AR and Return version reflecting taxonomy update. 3. Integration covers required AR and Return version reflecting Transmission updates. |

For detailed information on usage of the existing features, see [Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack User Guide Release 8.0.5.0.0](#) from [OHC](#) Documentation Library.

For more information on the OFS AAI requirements, see [OFS Advanced Analytical Applications Infrastructure Application Pack 8.0.5.1.0 Readme](#) in [OHC](#) Documentation Library.

Prerequisites

The prerequisite software that must be installed for this release are:

1. Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) **8.0.5.1.0** (patch **27094265** plus mandatory consolidated one-off patch **27504805**)
2. Oracle Financial Services Data Foundation (FSDF) **8.0.5.1.0** (patch **27197750**)
3. OFS REG REP US FED 8.0.5.1.4 one-off patch **28214941**
4. AgileREPORTER version **1.15.10-b18**
5. AgileREPORTER US FED Templates version **AR_FED_Package_v1_14_1_2**
6. US FED 8.0.5.1.5 requires additional attributes in the data model. Extend FSDF 8.0.5.1.0 data model with the following attribute. Ensure that the model upload is performed on FSDF 8.0.5.1.0 setup.

| COLUMN_CHANGE_TYPE | PHYSICAL_TABLE_NAME | COLUMN_NAME | LOGICAL_NAME | DATA_TYPE | DOMAIN | NULL_ALLOWED | PK | FK | COLUMN_COMMENTS |
|--------------------|----------------------------|-------------------------|--------------------------------|---------------|-------------------|--------------|----|-----|---|
| Add Column | FCT_COMMON_ACCOUNT_SUMMARY | N_PARTICIPATION_PERCENT | Participation Percentage | NUMBER(15,11) | Percent_Long | YES | NO | NO | Stores the percentage of total participation amount to be participated by the entity. |
| Add Column | FCT_REG_ACCOUNT_SUMMARY | N_ISSUER_PARTY_SKEY | Party Surrogate Key For Issuer | NUMBER(10) | SurrogateKey_Long | YES | NO | YES | Stores the surrogate of party dimension with respect to issuer identifier of the given account. This is a derived column. |

| COLUMN_CHANGE_TYPE | PHYSICAL_TABLE_NAME | COLUMN_NAME | LOGICAL_NAME | DATA_TYPE | DOMAIN | NULL_ALLOWED | PK | FK | COLUMN_COMMENTS |
|--------------------|-------------------------|----------------------------|---|------------|-------------------|--------------|----|-----|---|
| Add Column | FCT_CREDIT_LINE | N_CUSTOMER_PARTY_SKEY | Party Surrogate Key For Customer | NUMBER(10) | SurrogateKey_Long | YES | NO | YES | Stores the surrogate of party dimension with respect to customer reference code of the given account. This is a derived column. |
| Add Column | FCT_MERCHANT_BANKING | N_BRANCH_SKEY | Branch Surrogate Key | NUMBER(10) | SurrogateKey_Long | YES | NO | YES | Stores the surrogate key of the branch. |
| Add Column | FCT_LOANS_SERVICED | N_BRANCH_SKEY | Branch Surrogate Key | NUMBER(10) | SurrogateKey_Long | YES | NO | YES | Stores the surrogate key of the branch. |
| Add Column | FCT_REG_ACCOUNT_SUMMARY | F_READILY_DETER_FAIR_VALUE | Readily Determinable Fair Value Indicator | CHAR(1) | Flag | YES | NO | NO | Stores the indicator to identify if a Readily determinable fair value is available for Security. |

7. Ensure that you have executed **.profile** before you trigger the installation.
8. Ensure that the FIC Server is up and running before you trigger the installation.

How to Apply this One-off Patch Release?

Perform the following instructions to download, extract and install this one-off patch:

1. Download the **28303461_GENERIC.zip** archive file from <https://support.oracle.com/> by searching patch **28303461** under the Patches & Updates tab.
2. Copy the archive file to your OFSAA server in Binary mode.
3. Shut down all the OFSAAI Services. For more information, see the Start/Stop Infrastructure Services section in [Oracle Financial Services Advanced Analytical Applications Infrastructure Pack Installation Guide – Release 8.0.5.0.0](#).

NOTE: Ensure that the FICSERVER is up and running.

4. Execute `unzip -a <name of the file to be unzipped>`
For example: `unzip -a 28303461_GENERIC.zip`

NOTE: The above "-a" option is mandatory to unzip the patch.
If you notice an error message "unzip: not found [No such file or directory]", contact your UNIX administrator to resolve this issue.

5. Execute `chmod -R 755 OFS_REG_REP_USFED`
6. Navigate to `<>/OFS_REG_REP_USFED/conf` directory.
7. Configure **UPLOAD_MODEL** parameter in the `params.conf` file to determine if Model Upload is required or not:
0 = If you have already performed Model Upload and want to skip Model Upload process
1 = If you want to perform Model Upload
8. Navigate to `<>/OFS_REG_REP_USFED/bin` directory and execute `./install.sh`
9. The installation progress can be viewed by periodically refreshing the log file under the `<>/OFS_REG_REP_USFED/logs` directory.
10. After installation is completed, verify the log file for any Errors or Warnings. Contact [My Oracle Support](#) in case of any issues.

NOTE: This patch installation has taken approximately 10 minutes to complete in Oracle Test Labs.

Post Installation Steps

The post-installation steps required for this release are:

1. Refer to the log file in the `/OFS_REG_REP_USFED/logs` directory to ensure that there are no errors reported.
2. Generate the application EAR / WAR file and redeploy the application on the configured Web Application Server. For more information on generating and deploying EAR / WAR file, refer to the Post Installation Configuration section in [Oracle Financial Services Advanced Analytical Applications Infrastructure Pack Installation Guide – Release 8.0.5.0.0](#).

3. Restart all the OFSAA services. For more information, see the Start/Stop Infrastructure Services section in [Oracle Financial Services Advanced Analytical Applications Infrastructure Pack Installation Guide – Release 8.0.5.0.0](#).
4. Resave the following Hierarchy from Metadata Resave UI:
 - ◆ **HIRRGR01 - RL - Reg Bands Code Hier**
5. Execute the following batches to Re-save the Derived Entities:
 - ◆ **<INFODOM>_USFED_FFIEC031_RESAVEDE**
 - ◆ **<INFODOM>_USFED_FFIEC041_RESAVEDE**
 - ◆ **<INFODOM>_USFED_FRY9C_RESAVEDE**
 - ◆ **<INFODOM>_USFED_FFIEC002_RESAVEDE**
 - ◆ **<INFODOM>_USFED_FFIEC002S_RESAVEDE**

Post US FED Run Execution

Perform the following instructions after US FED Run Execution:

1. For prior date reporting, please see the [Prior Date Reporting](#) document.
2. Execute **<<INFODOM>>_USFED_RUNEXE_RESAVE** batch to populate RUNEXESUMM table.

Lombard AgileREPORTER would display additional filters of Run Execution ID and Run Status during report retrieval based on RUNEXESUMM table.

- a. Run Execution ID is Run Execution Identifier concatenated with Run Description.
- b. Run Status shows the status of US FED Run Execution.
- c. Define the entities as SOLO or CONSOLIDATED in Lombard AgileREPORTER before retrieving returns.

Deploying Config Package

This section describes the steps to deploy the config package after saving the derived entities:

1. To deploy the product configuration on Lombard AgileREPORTER using the package **OFSAA_REG_REP_USFED_80510.zip** bundled inside **Config_Package** folder of installer:

- a. Navigate to **<LombardAgileREPORTER>/bin** under the installed location
- b. Add a new configuration with the following command:

```
./config.sh -a <Config_Package Full Path>
```

For example:

```
./config.sh -a /scratch/kit/805/OFS_AGILE_RP_USFED/  
Config_Package/OFSAA_REG_REP_USFED_80510.zip
```

- c. Update the Alias with the following command:

```
./config.sh -ea OFSAA_REG_REP_USFED_80515 -iv 8.0.5.1.5 -alias "OFSAA  
FED DATA SOURCE" -aif /scratch/agile/bin/aliasinfo.properties
```

If you encounter any problems during deployment, contact OFSAA Support at [Oracle Support](#).



Known Issues / Limitations

There are no known issues or limitations in this release.

Hardware/Software Tech Stack Details

The hardware/software combinations required for OFS REG REP US FED 8.0.5.1.5 are available at the [OHC Tech Stack](#).

Licensing Information

For details on the third party software tool used, see *OFSAA Licensing Information User Manual Release 8.0.5.0.0* available in the [OHC Documentation Library](#).



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