

Oracle Financial Services Regulatory Reporting for US Federal Reserve - Lombard Risk Integration Pack

Release Notes

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ORACLE
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OFS Regulatory Reporting for US Federal Reserve - Lombard Risk Integration Pack Release Notes

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Document Control

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03	April 02, 2021	Updated: Pre-installation Requirements
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1 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](#)
- [Access to Oracle Support](#)
- [Related Documents](#)

1.1 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 achieving a consistent view of performance, promotes a transparent risk management culture, and provides pervasive intelligence.

Oracle Financial Services Analytical Applications delivers a comprehensive, integrated suite of financial services analytical applications for both banking and insurance domains.

1.2 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).

1.3 Intended Audience

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

1.4 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.

1.5 Related Documents

This section identifies additional documents related to OFS REG REP US FED Application 8.0.9.6.4. You can access Oracle documentation online from the Documentation Library ([OHC](#)).

- [OFS Analytical Applications Technology Matrix](#)

2 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 continue 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 or 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 ID **3222127** - Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack v8.0.9.6.0 One-off Patch Release #4 (8.0.9.6.4).

This chapter includes the following topics:

- [New Features](#)
- [Pre-installation Requirements](#)
- [Applying this One-off Patch Release](#)
- [Bugs Fixed in this Release](#)
- [Known Issues or Limitations in this Release](#)

2.1 New Features

The new feature in this release is the Integration Pack and the Metadata for the new versions of the AgileREPORTER for FED is supported as part of the Q4 USFED Regulatory Changes and also supports bug fixes and enhancements from the previous features.

REPORT	AR_VERSION
FRY-9C	v14
FFIEC-031	v22
FFIEC-041	v22

In this release, the same installer can be used to upgrade from REG REP USFED v80962 to v80964 or from REG REP USFED v80963 to v80964.

For detailed information on the usage of the existing features, see the [OFS Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack User Guide Release 8.0.9.0.0](#).

For more information on the OFS AAI requirements, see the [OFS Advanced Analytical Applications Infrastructure Application Pack 8.0.9.0.0 Readme](#).

2.2 Pre-installation Requirements

The prerequisite software that must be installed are as follows:

- Oracle Financial Services Analytical Application Infrastructure Pack 8.0.9.3.0 (patch ID **31656153**, see the [OFS AAI Installation Guide](#)) should be installed and configured on your machine (OHC Documentation Library).
- Oracle Financial Services Data Foundation Pack 8.0.9.3.1 (patch ID **31931579**, see the [OFS FSDF Release Notes](#)) needs to be installed and configured on your machine (OHC Documentation Library).
- If you are upgrading from version 80962 to 80964, install Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack 8.0.9.6.2 (patch ID **32007847**).
- If you are upgrading from version 80963 to 80964, install Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack 8.0.9.6.3 (patch ID **32041691**).
- AgileREPORTER version **20.4.1-b150**
- AgileREPORTER Templates version **FED v1.24.0-b14_sign**
- Ensure that you have executed the .profile file before you trigger the installation.
- Ensure that the FICServer is up and running before you trigger the installation. For information on restarting the services, see the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).

2.3 Applying this One-off Patch Release

To install this one-off patch release, follow these steps:

1. Download the `32222127_GENERIC.zip` archive file from [My Oracle Support](#) by searching patch ID **32222127** 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 *Stopping Infrastructure Services* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).

NOTE Ensure that the FICSERVER is up and running.

4. Execute `unzip -a <name of the file to be unzipped>`

For example: `unzip -a 32222127_GENERIC.zip`

NOTE The "-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 the `<>/OFS_REG_REP_USFED/conf` directory.
7. Configure the **UPLOAD_MODEL** parameter in the `params.conf` file to determine if Model Upload is required or not using the following parameter values:
 - 0 = If you have already performed Model Upload and want to skip the Model Upload process
 - 1 = If you want to perform Model Upload
8. Navigate to the `<>/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 requires approximately 10 minutes to complete in Oracle Test Labs.

2.4 Post-installation Steps

Perform the following instructions after successful installation of the 8.0.9.6.4 one-off patch:

2.4.1 Upgrading from v80962 to v80964

- See the log file in the `/OFS_REG_REP_USFED/logs` directory to ensure that there are no errors reported.
- Generate the application EAR or WAR file and redeploy the application on the configured Web Application Server. For more information on generating and deploying the EAR or WAR file, see the *Post Installation Configuration* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).
- Restart all the OFSAA services. For more information, see the *Starting Infrastructure Services* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).
- Resave DE for FFIEC-031, FFIEC-041, and FR Y-9C using the following batches:
 - `<INFODOM>_RESAVE_DE_USFED_FFIEC041`
 - `<INFODOM>_RESAVE_DE_USFED_FFIEC031`
 - `<INFODOM>_RESAVE_DE_USFED_FR9C`

Or resave the Derived Entities in a sequence according to the level numbers as mentioned in the following table to reflect the changes.

NOTE

All the DEs at the same level can be resaved in parallel and the resave of all the set of DEs at each level must be completed before starting the next level. The order of resaving execution is from the highest level to the lowest level.

LEVEL NUMBER	DERIVED ENTITY CODE	REPORT LIST
1	DERG1000	Common
0	DEFD1536	FFIEC-031 RC-B, FFIEC-041 RC-B, FR Y-9C HC-B
0	DEFD1810	FFIEC-031 RC-H, FR Y-9C HC-H

- To perform additional steps for secure configuration of drill down from the AgileREPORTER portal, see the *Configuration for Referrer Header Validation* section in the [OFS Analytical Applications Infrastructure Security Guide](#).

- Perform the additional configurations if required as mentioned under the *Additional Configurations* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).

2.4.2 Upgrading from v80963 to v80964

- See the log file in the `/OFS_REG_REP_USFED/logs` directory to ensure that there are no errors reported.
- Generate the application EAR or WAR file and redeploy the application on the configured Web Application Server. For more information on generating and deploying the EAR or WAR file, see the *Post Installation Configuration* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).
- Restart all the OFSAA services. For more information, see the *Starting Infrastructure Services* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).
- To perform additional steps for secure configuration of drill down from the AgileREPORTER portal, see the *Configuration for Referrer Header Validation* section in the [OFS Analytical Applications Infrastructure Security Guide](#).
- Perform the additional configurations if required as mentioned under the *Additional Configurations* section in the [OFS Analytical Applications Infrastructure Installation and Configuration Guide Release 8.0.7.0.0](#).

The Oracle Financial Services Regulatory Reporting for US Federal Reserve is now ready for use. If you encounter any problems during set up, contact OFSAA Support at [My Oracle Support](#).

2.5 Post US FED Run Execution

After the US FED Run execution, follow these steps:

1. For prior date reporting, see the [Prior Date Reporting](#) document.
2. Execute the `<<INFODOM>>_REG_RUNEXE_RESAVE` batch to populate the RUNEXESUMM table if you are not using the FFIEC-002 or FFIEC-002S report.

If you are using the FFIEC-002 or FFIEC-002S report, then execute the

`<Installer Path>/OFS_REG_REP_USFED/Post_Scripts/RUNEXESUMM_VW.sql` file in atomic schema.

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

- a. Run Execution ID is the 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.
3. Execute the REFRESH batches to refresh the Derived Entities.

2.6 Deploying Config Package

After saving the derived entities, follow these steps to deploy the config package:

2.6.1 To upgrade from version 80962 to version 80964:

1. To deploy the product configuration on Lombard AgileREPORTER using the package OFSAA_REG_REP_USFED_80960.zip bundled inside the Config_Package_80962_80964 directory of the installer:

- a. Navigate to the <LombardAgileREPORTER>/bin directory 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/80964/OFS_REG_REP_USFED/Config_Package_80962_80964/  
OFSAA_REG_REP_USFED_80960.zip
```

2. Update the Alias with the following command:

```
./config.sh -ea OFSAA_REG_REP_USFED_80960 -iv 8.0.9.6.0 -alias "OFSAA  
FED DATA SOURCE" -aif <LombardAgileREPORTER>/bin/aliasinfo.properties
```

2.6.2 To upgrade from the version 80963 to version 80964:

1. To deploy the product configuration on Lombard AgileREPORTER using the package OFSAA_REG_REP_USFED_80960.zip bundled inside the Config_Package_80963_80964 directory of the installer:

- a. Navigate to the <LombardAgileREPORTER>/bin directory 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/80964/OFS_REG_REP_USFED/Config_Package_80963_80964/  
OFSAA_REG_REP_USFED_80960.zip
```

2. Update the Alias with the following command:

```
./config.sh -ea OFSAA_REG_REP_USFED_80960 -iv 8.0.9.6.0 -alias "OFSAA  
FED DATA SOURCE" -aif <LombardAgileREPORTER>/bin/aliasinfo.properties
```

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

2.7 Bugs Fixed in this Release

The fixed, enhanced, or modified bugs as part of OFS REG REP US FED Release 8.0.9.6.4 are as follows.

Bug Number	Bug Description	Change Comments
31977713	Logic Change for BPRG1012 and BPRG1014 in RRS 80950 and above	Updated the Regulatory Assets EOP Balance to support the negative balance scenarios.
32041276	RC-E: RLU5_FRAS_REG_DEP_TYPE_04 IS DROPPING CONTRACTS WHERE CONTRACTUAL_MATURITY_TERM =7	Moved the CONTRACTUAL_MATURITY_TERM equal to 7 condition from RLU5_FRAS_REG_DEP_TYPE_03 to RLU5_FRAS_REG_DEP_TYPE_04.
32075221	RC-E: REPORTING ASSETS BASED ON ACCOUNT TYPE CODE	Removed the Account type filter for Non-deposit related cell groups for RCE.
32089754	CONSOLIDATED ISSUES ON MATURITY/REPRICING REPORTING	Updated the configuration for RCC Line Items A571, A573, A574, A575 for Excluding Cards and Excluding CONLOANOTHREVCPLNS that are excluded from reporting on A247 and HC-H MDRM BHCK3197.
32089811	FACT MANAGEMENT REPORTING RRS 8096 REP LINE ISSUES	Added an additional Repline 9110001070 to the following MDRMs: BHCK1752, RCFD172 and RCON1752.
32302310	USFED Q4 2020 REG CHANGES	Updated the configuration for all the MDRMs that had Q4 Regulatory changes for the reports FRY-9C, FFIEC-031 and FFIEC -041.

2.8 Known Issues or Limitations in this Release

The known issue or limitation in this release is that there are four datasets with an incorrect column reference in its filter expression. The four datasets are DSDF1034, DSDF1035, DSDF1036 and DSDF1037 with the following dataset filter expression present in the configuration

```
COALESCE (DIM_STANDARD_PRODUCT_TYPE.V_STANDARD_PRODUCT_TYPE_DESC, 'MSG') NOT IN ('OTHEQTY')
```

instead of

```
COALESCE (DIM_STANDARD_PRODUCT_TYPE.V_STANDARD_PRODUCT_TYPE_CODE, 'MSG') NOT IN ('OTHEQTY') .
```

The same can be updated using Business Metadata Management User Interface for Datasets.

3 Hardware or Software Technology Stack Details

The hardware or software combinations required for OFS REG REP US FED 8.0.9.0.0 are available at [OFS Analytical Applications Technology Matrix](#).

4 Licensing Information

For details on the third party software tool used, click this link: [OFSAA Licensing Information User Manual Release 8.0.9.0.0](#) and select 8.0.9.0.0 from the drop-down list.

OFSAA Support

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

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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?

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