

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

**Release Notes**

**Release 8.0.9.8.1**

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**ORACLE**  
Financial Services

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

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# Document Control

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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 8.0.9.8.1. 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 from where the granular data was sourced. 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 **32752111** - Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack v8.0.9.8.0 One-off Patch Release #1 (8.0.9.8.1).

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 that is supported as part of the Q1 2021 USFED Regulatory Changes.

REPORT	AR_VERSION
FRY-9C	v15
FFIEC-031	v23
FFIEC-041	v23

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 detailed 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 Applications Infrastructure (OFSAAI) 8.0.9.0.0 (patch **30330054**) plus other prerequisite OFSAAI patches (see **Section 2.1 Pre-installation Requirements** of [OFS AAI Installation Guide](#)) needs to be installed and configured in your Machine ([OHC Documentation Library](#)).
- Oracle Financial Services Data Foundation (OFSDf) 8.0.9.4.0 (patch **32107412**), 8.0.9.4.1 (patch **32310622**) plus other prerequisite OFSDf patches (see **Section 2.1 Pre-installation Requirements** of [OFSDf Installation Guide](#)) needs to be installed and configured in your Machine ([OHC Documentation Library](#)).
- Oracle Financial Services Regulatory Reporting for US Federal Reserve – Lombard Risk Integration Pack 8.0.9.8.0 (patch **32566533**).
- AgileREPORTER version **21.1.2-b213**.
- AgileREPORTER Templates version **FED v1.25.1**.
- 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 Release 8.0.2.0.0 Installation Guide](#).

## 2.3 Applying this One-off Patch Release

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



1. Download the `32752111_GENERIC.zip` archive file from [My Oracle Support](#) by searching patch ID **32752111** 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 32752111_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 the 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 perform the 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 the 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 8.0.9.8.1 one-off patch:

- 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 the Derived Entity for T2T, FFIEC-031, FFIEC-041, FFIEC-009, and FR Y-9C using the following batches:
    - <INFODOM>\_BATCH\_RESERVE\_BASE\_DE\_FRAS\_T2T
    - <INFODOM>\_RESAVE\_DE\_USFED\_FFIEC031
    - <INFODOM>\_RESAVE\_DE\_USFED\_FFIEC041
    - <INFODOM>\_RESAVE\_DE\_USFED\_FFIEC009
    - <INFODOM>\_RESAVE\_DE\_USFED\_FRY9C
- 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
4	DERG0300	Common
3	DERG0110	Common
2	DERG0111	Common
1	DERG5001	Common
1	DERG5002	Common
1	DERG5003	Common
1	DERGV081	Common

LEVEL NUMBER	DERIVED ENTITY CODE	REPORT LIST
1	DERGV082	Common
0	DEFD1536	FFIEC-031 HC-B,
0	DEFD1538	FRY9C/FFIEC031/FFIEC041- HCB/RCB
0	DEFD1608	FRY9C/FFIEC031/FFIEC041- HCC/RCC
0	DEFD1750	FRY9C/FFIEC031/FFIEC041- HCD/RCD
0	DEFD1830	FRY9C/FFIEC031/FFIEC041- HIB/RIB
0	DEFD1902	FRY9C/FFIEC031/FFIEC041- HCS/RCS
0	DEFD1910	FFIEC031/FFIEC041- RCO
0	DEFD1912	FFIEC031/FFIEC041- RCO
0	DEFD1916	FFIEC031/FFIEC041- RCO
0	DEFD3101	FFIEC009- C-Part-I / Part-II / D / L / O
0	DEFD3112	FFIEC009- L
0	DEFD3121	FFIEC009- O
0	DERGV083	Common

- 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 displays 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:

1. To deploy the product configuration on Lombard AgileREPORTER using the package OFSAA\_REG\_REP\_USFED\_80980.zip bundled inside the Config\_Package 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/80980/OFS_REG_REP_USFED/Config_Package/OFSAA_REG_REP_USFED_80980.zip
```

2. Update the Alias with the following command:

```
./config.sh -ea OFSAA_REG_REP_USFED_80980 -iv 8.0.9.8.0 -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 8.0.9.8.1 Release are as follows:

Bug Number	Bug Description	Change Comments
32517332	ERL-7183 - HC-B,HC-D - COUNTRY CODE FILTER FOR GSE/GOA MDRMS	Configured the <b>Party Incorporation Country</b> and <b>Party Domicile Country</b> filters according to mapping instructions.
32469199	ERL-7152 - FFIEC009 - BUSINESS PROCESSOR BPDF3101 ISSUES	Modified the Business Processor BPDF3101 to handle the null condition, and added additional groups to handle the non-local currency conditions for rep lines CL06 to CL10.
32469375	ERL-7161 - RLU5_FRAS_REG_INSTR_CLASS_04 ASSIGNING INSTRUMENT CLASS TPS	Removed the Reg instrument class code TPS from the rule RLU5_FRAS_REG_INSTR_CLASS_04 to avoid rule member override.
32543723	USAGE OF DIM_GEOGRAPHY.F_INSURED_BRANCH FFIEC-031/041(RC-O)	Removed the <b>Insured Branch</b> filter from the configuration.
32684439	FFIEC-031: RC-O REPORTING OVERPAYMENTS ISSUE	Configured an additional path to handle the over payment issue.
32673706	RC-S/HC-S LINEAGE M.2. PARTICIPATIONS FOR 1-4 FAMILY RESIDENTIAL MORTGAGES SERVICED	Updated the configuration for Schedule -S for SBT issues.
32684983	CONTINUOUS COMPLIANCE FOR Q1-2021	Configured the 2021 Q1 Regulatory Changes.
32451533	RC-O - CONSOLIDATED SBT ISSUES	Updated the configuration for the consolidated issues raised as part of SBT schedule-O.
32453036	ERL-7130 : FFIEC009, CELL C921 - ISSUE RELATED TO REPORTING REMAINING MATURITY	Updated the remaining maturity for an account in the Fund Lend to use FR Y-9C Maturity Banding conditions such as Interest Type, Float to Fixed Flag and Reprice Dates.
32478445	USAGE OF STG_INVESTMENTS.F_CALL_OPTION_EXER_LIKELY_FLAG	Updated the logic for the Derived Entity DEFD1538 to select the previous MIS date for asset sold date.
32901497	FFIEC 031 - RC-O - SBT ISSUE	Configured an additional member code for the brokered deposits filter.
32858495	FFIEC-009 C PART 1 REPORTING OF CONTRA ACCOUNTS	Updated the dataset DSFD3101 to source ADJUSTMENT_TYPE column from the Account Dimension.
32877551	RC-S/HC-S: JOIN IN DEFD1902 IS JOINING RUN SKEY WITH MIS DATE	Corrected the Dataset DSFD1902 to join FCT_CREDIT_PARTCPN_DETAILS with DERG1400 based on MIS date , Run Skey and Account.

Bug Number	Bug Description	Change Comments
32904944	DUPLICATE COLUMN IN THE DE: DEFD5230, DEFD5232, DEFD5240, DEFD5231	Corrected the duplicate metadata values in master tables for the following Derived Entities: DEFD5230, DEFD5232, DEFD5240, DEFD5231.

## 2.8 Known Issues or Limitations in this Release

The Known Issues or Limitations in this release are:

1. The Repline rule used in the Schedule V will be rectified in the future release to include **'ring fencing'** as an encumbrance reason and to use the balance sheet category instead of GL type to check if an instrument is an asset.
2. As part of Inter-Intra series analysis, there are gaps identified for few MDRMs between FFIEC-031 and FFIEC-041. Therefore, the impacted schedules are FFEIC-041 (RC-Q and RC-O) and it will be enhanced in the future release.

### **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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