Licensing Guide Oracle FLEXCUBE Investor Servicing Release 14.4.0.0.0 [July] [2020]





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1. Preface

1.1 Introduction

This document helps you understand the guiding rules for Oracle FLEXCUBE Investor Servicing licensing, the components included in the license and the units that are separately licensed.

This document also provides information on the third party software packaged along with Oracle FLEXCUBE Investor Servicing.

1.2 Audience

This document is intended for the following audience:

- Customers
- Partners

1.3 **Documentation Accessibility**

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at http://www.oracle.com/us/corporate/accessibility/index.html.

1.4 Organization

This manual is organized into the following chapters:

| Chapter | Description | | | |
|-----------|--|--|--|--|
| Chapter 1 | <i>Preface</i> gives information on the intended audience. It also lists the various chapters covered in this license guide. | | | |
| Chapter 2 | Oracle FLEXCUBE Investor Servicing Licensing provides information on Oracle FLEXCUBE Investor Servicing licensing. | | | |
| Chapter 3 | Software Pre-requisites consist of the technology pre-requisites required for Oracle FLEXCUBE Investor Servicing. | | | |
| Chapter 4 | <i>Third Party Licenses</i> provide information on licensing of third party software packaged along with Oracle FLEXCUBE Investor Servicing. | | | |

1.5 Related documents

For more information, refer to the following documents:

- End user license agreement
- Oracle FLEXCUBE Investor Servicing User Manuals



2. Oracle FLEXCUBE Investor Servicing Licensing

2.1 Introduction

This chapter provides information on Oracle FLEXCUBE Investor Servicing licensing. It contains the following sections:

- General licensing rules
- Components included in the license
- Separately licensed pre-requisite products and licensing metric

2.2 General Licensing Rules

Not applicable for Oracle FLEXCUBE Investor Servicing products.

2.3 Components Included in License

Not applicable for Oracle FLEXCUBE Investor Servicing products.

2.4 <u>Separately Licensed Pre-requisite Products & Licensing</u> <u>Metric</u>

The module wise list of separately licensed products and the licensing metric is given below. Kindly refer the Oracle Financial Services Global Price List for latest pricing information/updates.

For other separately licensable software pre-requisites, refer to the section Software Prerequisites.

| Module Description | Separately Licensed Prerequisites | Licensing Metric(s) |
|---|---|--------------------------------------|
| Oracle FLEXCUBE Investor Servicing for Mutual Funds | Oracle FLEXCUBE Development Workbench for Investor Servicing | \$M in Assets Under Management |
| Oracle FLEXCUBE Investor Servicing for Unit Linked Investment and Insurance Products ¹ | Oracle FLEXCUBE Investor Servicing for Mutual Funds | \$M in Assets Under Management |
| Oracle FLEXCUBE Investor Servicing for Hedge Funds ² | Oracle FLEXCUBE Investor Servicing for Mutual Funds | \$M in Assets Under Management |



| Oracle FLEXCUBE Investor Servicing for Pension Funds | Oracle FLEXCUBE Investor Servicing for Mutual Funds | Investment Account | | | |
|--|---|------------------------------|--|--|--|
| Oracle FLEXCUBE Investor Servicing Adapter for Blockchain Mutual Fund Transactions | Oracle FLEXCUBE Investor Servicing for Mutual Funds | 1K Transactions ³ | | | |
| Oracle FLEXCUBE Open Development Tools | | | | | |
| Oracle FLEXCUBE Development Workbench for Investor Servicing | Oracle FLEXCUBE Investor Servicing for Mutual Funds or Oracle FLEXCUBE Investor Servicing for Unit Linked Investment and Insurance Products or Oracle FLEXCUBE Investor Servicing for Hedge Funds | Application User | | | |

¹The license program allows user to manage and administer an asset managed under Unit Linked Investment and Insurance products module in Mutual fund module as well. If any additional assets needs to be managed and administered only in Mutual Fund module, user will require to additionally license Mutual fund module.

²The license program allows user to manage and administer an equivalent amount of asset managed under Hedge Fund module in Mutual fund module as well. If any additional assets needs to be managed and administered only in Mutual Fund module, user will require to additionally license Mutual fund module

³1K Transactions: is defined as one thousand unique transactions processed through the Program during a 12 month period. You may not exceed the licensed number of transactions during a 12 month period unless you acquire additional transaction licenses from Oracle. For the purposes of Oracle FLEXCUBE Investor Servicing Adapter for Block chain Mutual Funds Transactions, 1K Transactions is defined as one thousand unique mutual fund transactions that are processed through the Program. Each query, endorsement or commit of subscription, redemption, switch or transfer irrespective of success or failure of the same is counted as a transaction.



3. Software Prerequisites

Following are the separately licensable software prerequisites for Oracle FLEXCUBE Investor Servicing Products.

3.1 Software Prerequisites

| Tech Sta | ick – Oracle | | | | |
|-----------------------|----------------------------|---|---|---|--|
| Component | Deployment option | Machine | Operating System | Software | Version Number |
| | | | Oracle | Oracle Fusion Middleware Infrastructure | 12.2.1.4.0 |
| | | Application | Enterprise Linux Server 7.6 (x86 64 | Java HotSpot(TM) JDK (with WebLogic Application Server) | JDK 1.8 Update 241 |
| | | Server | Bit) | Open Symphony Quartz | 2.3.2 |
| | | Database | Oracle Enterprise Linux Server 7.6 (x86 64 | Oracle RDBMS | |
| | | Server | Bit) | Enterprise Edition Oracle WebLogic | |
| Oracle FLEXCUBE | | | Oracle Enterprise Linux Server | Server Oracle WebCenter Content Imaging | |
| Investor Servicing | UI-Host and Centralized | Document Management | 7.6 (x86 64 Bit) | Java HotSpot(TM) JDK (with WebLogic | |
| | | System Reporting | | Application Server) Oracle Analytics | • |
| | | Server Oracle FLEXCUBE Information Server – | Oracle Enterprise Linux Server 7.6 (x86 64 Bit) | Server Java HotSpot(TM) JDK (with WebLogic | 19.6.0.0.0 12.2.1.4.0 12.2.1.4.0 JDK 1.8 Update 241 5.5.0 JDK 1.8 Update 241 Microsoft Internet Explorer Release (11.*) Mozilla Firefox - Version 66.* Google Chrome - |
| | | Analytics | - | Application Server) | - |
| | | | | Internet Explorer | Explorer Release (11.*) |
| | | | | Mozilla Firefox | |
| | | | | Google Chrome | Google Chrome - Version 73.* |
| | | Client Machines | #Supported Browsers | Safari | Apple Safari - Version 12.*,11* |
| | | | | Microsoft Edge | MS Edge: 44.* |



| 1 | | | 1 | | |
|--------------------------|---------------|-----------------------|----------------------------|---------------------------------------|------------------|
| | | | | JDK | JDK 8 Update 241 |
| | | | | Oracle WebLogic | |
| | | | | Server | 12.2.1.4.0 |
| | | | | RCU Utility | |
| | | | Oracle | (Windows) | 12.2.1.4.0 |
| | | Single Sign | Enterprise | Oracle Internet | |
| | | On Server | Linux | Directory | 12.2.1.4.0 |
| | | | Server 7.6 (x86 64 Bit) | Oracle SOA | 12.2.1.4.0 |
| | | | | Oracle Identity and | |
| | | | | Access | |
| | | | | Management | 12.2.1.4.0 |
| | | | | OID Connector | 12.2.1.4.0 |
| Oracle | | | | Oracle WebLogic | |
| FLEXCUBE | | | | Server | 12.2.1.4.0 |
| Investor | | | | | |
| Servicing | UI-Host and | | Oracle | | |
| BPEL/BPMN | Centralized | | Enterprise | | |
| Processes | | Annlingtion | Linux | | |
| and Process Framework | | Application Server | Server 7.6 | Oracle SOA Suite, Oracle BPM Suite | 12.2.1.4.0 |
| Framework | Web | Server | (x86 64 Bit) | | 12.2.1.4.0 |
| | services | | | | |
| | (incoming) | | | | |
| Oracle | HTTP | | | | |
| FLEXCUBE | Servlet | | | | |
| Investor | (incoming) | | | | |
| Servicing | EJB | | | | |
| Integration | (incoming) | | Oracle | | |
| Gateway | MDB | | Enterprise | | |
| | (incoming) | | Linux | | |
| | Notifications | Integration | Server 7.6 | Oracle WebLogic | |
| | (outgoing) | Server | (x86 64 Bit) | Server | 12.2.1.4.0 |
| Oracle | | | Oracle | | |
| FLEXCUBE | | Machine | Enterprise | | |
| Investor | Manual | Learning | Linux | Oracle Machine | 1.5.1 |
| Servicing | Deployment | Server | Server 7.6 | Learning for R | |
| Machine | | | (x86 64 Bit) | | |
| Learning | | | | | |

[#] Browser support is no longer based on Operating Systems but strictly tied to the browser themselves, no matter which Operating Systems they are installed on. Current release is certified on client workstations with Windows 10 and Mac OS X.



| Tech Stack – IBW | | | | | |
|---|--|--|---|---|-----------------------|
| Component | Deployment option | Machine | Operating System | Software | Version Number |
| | | Application Server | Oracle Enterprise Linux Server 7.6 (x86 64 Bit) | IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64) | 9.0.5.1 |
| | | | | IBM WebSphere MQ Server | 9.1.0.0 |
| | | | 7.0 (X00 04 Dit) | Open Symphony Quartz | |
| Oracle FLEXCUBE | UI-Host and | Database Server | Oracle Enterprise Linux Server 7.6 (x86 64 Bit) | Oracle RDBMS Enterprise Edition | 19.6.0.0.0 |
| Investor | Centralized | | | Internet Explorer | |
| | | Client Machines | [#] Supported Browsers | Mozilla Firefox | |
| | | | | Google Chrome | |
| | | | | Microsoft Edge | Microsoft Edge (44.*) |
| | | | | Safari | |
| | Web services (incoming) | Integration Server | Oracle Enterprise Linux Server 7.6 (x86 64 Bit) | IBM WebSphere | |
| | HTTP Servlet (incoming) | | | Application Server with inbuilt JVM (IBM JDK 1.8 64) | 9.0.5.1 |
| | EJB (incoming) | | | 3DIC 1.0_04) | |
| Oracle FLEXCUBE Investor Servicing | MDB (incoming) | Integration Enterprise with inbuilt JVM (IB Server Linux Server JDK 1.8_64) | Enterprise | Application Server with inbuilt JVM (IBM JDK 1.8_64) | 9.0.5.1 |
| Integration Gateway | | | IBM WebSphere MQ Server | 9.1.0.0 | |
| | Notifications Integration (outgoing) Server | Oracle Enterprise Linux Server | IBM WebSphere Application Server with inbuilt JVM (IBM JDK 1.8_64) | | |
| | | | 7.6 (x86 64 Bit) | IBM WebSphere MQ Server | 9.1.0.0 |

Tech Stack – IBM

Browser support is no longer based on Operating Systems but strictly tied to the browser themselves, no matter which Operating Systems they are installed on. Current release is certified on client workstations with Windows 10 and Mac OS X.



3.2 Module-wise Software Prerequisites

| Product Name | Product Version | Requirements |
|---|-----------------|--|
| Oracle Fusion Middleware Infrastructure | 12.2.1.4.0 | Optional - Oracle FLEXCUBE Investor Servicing and Oracle FLEXCUBE Investor Servicing Integration Gateway supports both WebLogic (Fusion Middleware) and WebSphere. |
| Oracle RDBMS Enterprise Edition | 19.6.0.0.0 | Standard requirement |
| Oracle WebCenter Content Imaging | 12.2.1.4.0 | Optional – Kindly refer Section 3.1 for requisite component |
| Oracle SOA Suite | 12.2.1.4.0 | Optional – Kindly refer Section 3.1 for requisite component |
| Oracle Analytics Server | 5.5.0 | Optional – Kindly refer Section 3.1 for requisite component |
| Oracle Identity and Access Management | 12.2.1.4.0 | Optional – Only if SSO is required |
| Oracle Identity Management | 12.2.1.4.0 | Optional – Only if SSO is required |
| IBM WebSphere Server | 9.0.5.1 | Optional - Oracle FLEXCUBE Investor Servicing and Oracle FLEXCUBE Investor Servicing Integration Gateway supports both WebLogic (Fusion Middleware) and WebSphere. |
| IBM WebSphere MQ Server | 9.1.0.0 | Optional – Required for Oracle FLEXCUBE Investor Servicing and Oracle FLEXCUBE Investor Servicing Integration Gateway on WebSphere |



4. Third Party Licenses

4.1 Introduction

This chapter provides information on licensing of third party software that are packaged with Oracle FLEXCUBE Investor Servicing. It contains the following sections:

- Apache License
- MIT License
- Third Party Libraries

4.2 Apache License

4.2.1 Ant 1.10.7

Apache Ant

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The <sync> task is based on code Copyright (c) 2002, Landmark

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/*

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Other developers who have contributed code are:

* Brian Langel



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Java ClassMate library was originally written by Tatu Saloranta (tatu.saloranta@iki.fi)

Other developers who have contributed code are:

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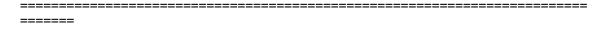
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4.2.17 Ziplet 2.4.1

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4.2.18 Swagger 1.6.0

Swagger

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4.2.19 Quartz 2.3.2

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4.2.20 Closure Compiler 20200112

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4.2.21 Simple Logging Facade for Java (SLF4J) 1.7.29

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