Oracle Financial Crime and Compliance Management Customer Screening Cloud Service

Performing Real-Time Screening

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Contents

Preface

Performing Real-Time Screening introduces information sources that can help you use the Oracle Financial Services Customer Screening Cloud Service application Real-time screening.

Audience

This document is intended for users who are responsible for provisioning and activating Oracle Customer Screening Cloud services or for adding other users who would manage the services, or for users who want to develop Oracle Cloud applications.

Help

Use Help Icon to access help in the application. If you don't see any help icons on your page, click your user image or name in the global header and select Show Help Icons. Not all pages have help icons. You can also access the https://docs.oracle.com/en/ to find guides and videos.

Related Resources

For more information, see these Oracle resources:

- Oracle Public Cloud: http://cloud.oracle.com
- Community: Use https://community.oracle.com/customerconnect/ to get information from experts at Oracle, the partner community, and other users.
- Training: Take courses on Oracle Cloud from https://education.oracle.com/oracle-cloud-learning-subscriptions.

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Oracle is fully committed to diversity and inclusion. Oracle respects and values having a diverse workforce that increases thought leadership and innovation. As part of our initiative to build a more inclusive culture that positively impacts our employees, customers, and partners, we are working to remove insensitive terms from our products and documentation. We are also mindful of the necessity to maintain compatibility with our customers' existing technologies and the need to ensure continuity of service as Oracle's offerings and industry standards evolve. Because of these technical constraints, our effort to remove insensitive terms is ongoing and will take time and external cooperation.

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Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

Comments and Suggestions

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1 Real-Time Screening of Customer Records

Use the Real-time Screening feature to screen individual and entity records. Enter or select the applicable values in the search fields and click Scan. When you screen data in real-time, you can see the details of the screened records. After screening is completed, any alerts generated are shown in the results pane and a case is created in Enterprise Case Management (ECM) if applicable.

Topics:

- Search Fields
- Search Results

1.1 Search Fields

Displays the search fields for Real-time screening of customer records.

You must provide values in the search fields to get search results.

Topics:

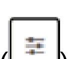
- Individual Search Type
- Entity Search Type

1.1.1 Individual Search Type

When you select **Individual** as the search type, the Jurisdiction, Business Domain, First Name, and Last Name field specific to the individual candidate appear by default. You can perform the Real-Time Screening with and without creating a case by selecting the **Search with case creation** toggle button.

> **Note:**
>
> - You must provide values in all mandatory search fields to get search results. The mandatory fields are marked with an asterisk (*).
> - For Search without case creation, **First Name** and **Last Name** are mandatory fields.
> - For Search with case creation, the **Jurisdiction**, **Business Domain**, **First Name**, and **Last Name** are mandatory fields.
> - Dedicated match rules are available based on the search fields.

To perform the Advanced Search, follow the subsequent steps:

1. Click **Advanced Search** (). The Advanced Search Parameter left pane is displayed.

2. Enter the values in the search fields and click **Apply Filter**. For more information on advanced search fields, see Table 1. Click **Clear** to reset the entries.

   When the mandatory and advanced search parameters are applied, the parameter entries appear in the Additional Search parameters field in the **Real-Time Screening** window. For the **First Name** and **Last Name** fields, the entries are combined and added to the Full Name in the **Additional Search Parameter** field.

   If you want to remove any parameter, click the close button against the parameter in the Additional Search parameters field.

   Note:

   The **First Name** and **Last Name** entries are deleted when you delete the Full Name parameter from the **Additional Search Parameters** field. You must add the full name via Advanced Search to add the Full Name parameter.

3. Click **Search** to view the search results.
4. Click **Reset** to clear the search fields.

Table 1-1 Search Fields for Individual Records

Record Name	Description
Source Request ID	Enter the unique ID for the individual. **Note**: The Source Request ID is used suppress the Batch alert for a customer who has a Real-time Screening alert.
Applicant ID	Enter the individual's applicant ID number. You can provide alphanumeric characters.
Jurisdiction *	Select the individual's jurisdiction.
Business Domain *	Select the individual's business domain.
First Name *	Enter the individual's first name.
Middle Name	Enter the individual's middle name.
Last Name *	Enter the individual's last name.
Title	Enter the honorific used to address the individual.
Full Name	Enter the individual's full name.
Alias	Enter the alias used by the individual.
Date Of Birth	Enter or select the individual's date of birth. To enter the date, click inside the field. The date must be in the format **MM/DD/YY**. To select the date, click **Calender** ( ) and select the date from the date picker.
SSN/TIN	Enter the individual's Social Security Number (SSN) or Tax Identification Number (TIN).
Gender	Select the drop-down list and then select the individual's gender.

Table 1-1 (Cont.) Search Fields for Individual Records

Record Name	Description
Primary Citizenship	Select the drop-down list and then select the country where the individual has primary citizenship. Primary citizenship is typically related to the individual's country of birth.
Secondary Citizenship	Select the drop-down list and then select the country where the individual is a naturalized citizen or has legal citizenship, if applicable.
Country Of Birth	Select the drop-down list and select the country where the individual was born.
Country Of Residence	Select the drop-down list and then select the country where the individual resides.
Existing Internal ID	Select the individual's internal ID. This is a unique identification number used by the individual.
Address pane	Select **Expand** ( ) to expand the Address pane and view the fields.
Street Line 1	Enter the individual's residential address.
City	Enter the city in which the individual resides.
State	Enter the state in which the individual resides.
Country	Select the drop-down list and then select the country where the individual resides.
Postal Code	Enter the postal code of the city where the individual resides.
Identification Document pane	Select **Expand** ( ) to expand the Identification Document pane to view the fields.
Document Type	Enter the document provided to verify the individual's identity.
Document Number	Enter the document number of the document type provided by the individual.
Issuing Country	Select the drop-down list and select the country where the document used to verify the individual's identity is issued.
Year of Birth	Enter the year of birth in the format **YYYY**. When the Date of Birth is provided, the Year of Birth is automatically populated. In that case, the Year of Birth field is not editable. When the Year of Birth is provided without providing the date of birth, then the Year of Birth field is editable.

1.1.2 Entity Search Type

When you select Entity as the search type, the Jurisdiction, Business Domain, and Organization Name fields specific to the Entity appear by default. You can perform the Real-Time Screening with and without creating a case by selecting the Search with case creation toggle button.

Note:

- You must provide values in all mandatory search fields to get search results. The mandatory fields are marked with an asterisk (*).
- For Search without case creation, **Organization Name** is a mandatory field.
- For Search with case creation, the **Jurisdiction**, **Business Domain**, and **Organization Name** are mandatory fields.

To perform the Advanced Search, follow the subsequent steps:

1. Click **Advanced Search** ( ). The Advanced Search Parameter left pane is displayed.
2. Enter the values in the search fields and click **Apply Filter**. For more information on advanced search fields, see Table 1. Click **Clear** to reset the entries.
3. Click **Search** to view the search results.
4. Click **Reset** to clear the search fields.

Table 1-2 Search Fields for Entity Records

Record Name	Description
Source Request ID	Enter the unique ID for the entity. **Note**: The Source Request ID is used suppress the Batch alert for a customer who has a Real-time Screening alert.
Applicant ID	Enter the entity's applicant ID number. You can provide alphanumeric characters.
Jurisdiction *	Select the entity's jurisdiction.
Business Domain *	Select the entity's business domain.
Organization Name *	Enter the entity's name.
SSN/TIN	Enter the entity's Social Security Number (SSN) or Tax Identification Number (TIN).
Country Of Incorporation	Select the drop-down list and then select the country in which the entity is registered.
Country Of Taxation	Select the drop-down list and select the country where the entity is located.
Existing Internal ID	Select the entity's internal ID. This is a unique identification number used by the entity.
Address pane	Select **Expand** ( ) to expand the Address pane and view the fields.
Street Line 1	Enter the entity's residential address.
City	Enter the city in which the entity's resides.
State	Enter the state in which the entity resides.
Country	Select the drop-down list and then select the country where the entity resides.

Table 1-2 (Cont.) Search Fields for Entity Records

Record Name	Description
Postal Code	Enter the postal code of the city where the entity resides.
Identification Document pane	Select **Expand** ( ) to expand the Identification Document pane to view the fields.
Document Type	Enter the document provided to verify the entity identity.
Document Number	Enter the document number of the document type provided by the entity.
Issuing Country	Select the drop-down list and select the country where the document used to verify the entity identity is issued.

1.2 Search Results

Displays the search results for Real-time screening of customer records.

Topics:

- Search Result for Individual Search Type
- Search Result for Entity Search Type

1.2.1 Search Result for Individual Search Type

After you click Search, if the name matches one or more watchlist records then an event is generated. The following information are displayed in the search result:

- Matching Summary Table
- Match Results Table

> **Note:**
>
> Real-Time screening cannot be done for the 314a watchlist type.

The following results are displayed in the Matching Summary table when data for an Individual is scanned:

- Type: The Watchlist types
- Highest Matched Score: The highest matching score of each watchlist type
- Total Number of Matches: Total number of matches available for each watchlist type

The following results are displayed in the Match Results table when data for an individual is scanned:

- Watchlist Type
- Watchlist Skey
- Event Score

- Match Description
- Matched Column
- Matched Value
- Match Score

Click on the export icon to export the Matching Summary and Match Results in PDF format. For Additional Watchlist details, click on the Watchlist Skey ID. A pop up with additional details for the watchlist is displayed. Click **Export** icon on the Watchlist Details page to export the watchlist details in PDF format.

Match results are paginated if multiple watchlist types are available. Click **Case Internal ID** to navigate to the Case Investigation page, where you can find the Case Information details. For more information about the Case Investigation, see Using Oracle FCCM Investigation Hub Cloud Service.

You can apply filter to the Match Results. To filter the match results, follow the subsequent steps:

1. Click **Add Filters**. Add filter pop-up is displayed.
2. Enter the values for the match result parameters.
3. Click **Apply** Filter to filter the match result.
4. Click **Reset** to reset the filters.

   For the default Match Result view click **Clear Filers**.

> **Note:**
>
> If you apply multiple filter parameter values, the results are displayed to satisfy all the selected parameters.

1.2.2 Search Result for Entity Search Type

After you click **Search**, if the name matches one or more watchlist records then an event is generated. The following information are displayed in the search result:

- Matching Summary Table
- Match Results Table

The following results are displayed in the Matching Summary table when data for an Individual is scanned:

- Type: The Watchlist types
- Highest Matched Score: The highest matching score of each watchlist type
- Total Number of Matches: Total number of matches available for each watchlist type

The following results are displayed in the Match Results table when data for an individual is scanned:

- Watchlist Type
- Watchlist Skey

- Event Score
- Match Description
- Matched Column
- Matched Value
- Match Score

Click on the export icon to export the Matching Summary and Match Results in PDF format. For Additional Watchlist details, click on the Watchlist Skey ID. A pop up with additional details for the watchlist is displayed. Click **Export** icon on the Watchlist Details page to export the watchlist details in PDF format.

Match results are paginated if multiple watchlist types are available. Click **Case Internal ID** to navigate to the Case Investigation page, where you can find the Case Information details. For more information about the Case Investigation, see Using Oracle FCCM Investigation Hub Cloud Service.

You can apply filter to the Match Results. To filter the match results, follow the subsequent steps:

1. Click **Add Filters**. Add filter pop-up is displayed.
2. Enter the values for the match result parameters.
3. Click **Apply** Filter to filter the match result.
4. Click **Reset** to reset the filters.

   For the default Match Result view click **Clear Filers**.

> **Note:**
>
> If you apply multiple filter parameter values, the results are displayed to satisfy all the selected parameters.