Oracle FCCM Transaction Filtering Cloud Service

Administration Guide

Release 23.9.1

September 2023

F83555-01

Financial Services

Getting Started with OFS Transaction Filtering Cloud Service Administration Guide

Document Control

Table 1: Document Control

Revision Number	Revision Date	Change Log
23.9.1	September 2023	This is created for the version the release.

Contents

1 Introduction

Oracle Financial Services Transaction Filtering is a Sanctions screening system that identifies Individuals, entities, cities, countries, goods, ports, BICs, and Stop keywords that may either be suspicious, restricted, or sanctioned with relation to a financial transaction that is processed through the Transaction Filtering application. The application enables you to integrate with any clearing or payment system, accept messages from the source system, and scans them against different watch lists maintained within the application to identify any suspicious data present within the message. The Transaction Filtering application can scan messages which are in the SWIFT, ISO20022, or Fedwire category.

Financial Institutions are required to comply with regulations from different authorities. Some of them are as follows:

- USA PATRIOT Act
- U.S. Treasury's Office of Foreign Assets Control (OFAC), USA
- Office of the Superintendent of Financial Institutions (OSFI), Canada
- Financial Action Task Force (on Money Laundering) (FATF/GAFI)
- EU Commission
- Country-specific authorities

While the regulations can differ between countries, the spirit of regulatory intervention is uniform, and that is to hold financial institutions responsible and accountable if they have been a party, intentionally or unintentionally, to a criminal or terrorist-related transaction.

Sanctions include the withholding of diplomatic recognition, the boycotting of athletic and cultural events, and the sequestering of the property of citizens of the sanctioned country. However, the forms of sanctions that attract the most attention and are likely to have the greatest impact are composed of various restrictions on international trade, financial flows, or the movement of people.

Transaction Filtering against government-regulated watch lists and internal watch lists is a key compliance requirement for financial institutions across the globe. At the turn of the century, Financial Institutions (FIs) were expected to identify customers who were either sanctioned or who lived in sanctioned countries and identify any transactions which were associated with these customers. FIs are now expected to also identify any suspicious dealings and parties involved in the transaction, and more recently identify information that is deliberately hidden or removed.

The Transaction Filtering application delivers a strong, effective filter that identifies all sanctioned individuals or entities with true positives and exploits all available information (internal and external) to reduce false positives and therefore minimizes the operational impact on FIs.

2 General Configurations

The following sections provide information on how to configure the application, message and screening parameters.

2.1 Configuring the Application Level Parameters

Use the **Application Level Parameter Configuration** tab to configure the parameters for the Transaction Filtering application.

To configure the parameters, follow these steps:

1. Navigate to the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page.
2. Click **Transaction Filtering Administration**. The **Transaction Filtering Administration** page is displayed.
3. Click **Application Level Parameter Configuration** to display the configuration page.
4. In the Retrigger section, enter the value for **Retrigger Time Interval (in minutes)** and **Retry Count.**
5. Click **Save** to save the configuration.

3 Configuring the SWIFT Message Parameters

To configure the message and screening parameters, follow these steps:

1. Navigate to the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page.
2. Click **Transaction Filtering Administration**. The **Transaction Filtering Administration** page is displayed.
3. Click **SWIFT Configuration Admin**. The **Message and Screening Configurations** tab is displayed.

NOTE	The following screens are the same for the Fedwire and SWIFT message parameters.

This tab has the following windows:

- Message and Screening Configurations Window
- <Message Type> Subfield Level Configuration Window
- <Message Type> Screening Configuration Window
- <Message Type> Other Field/Subfield Configuration Window

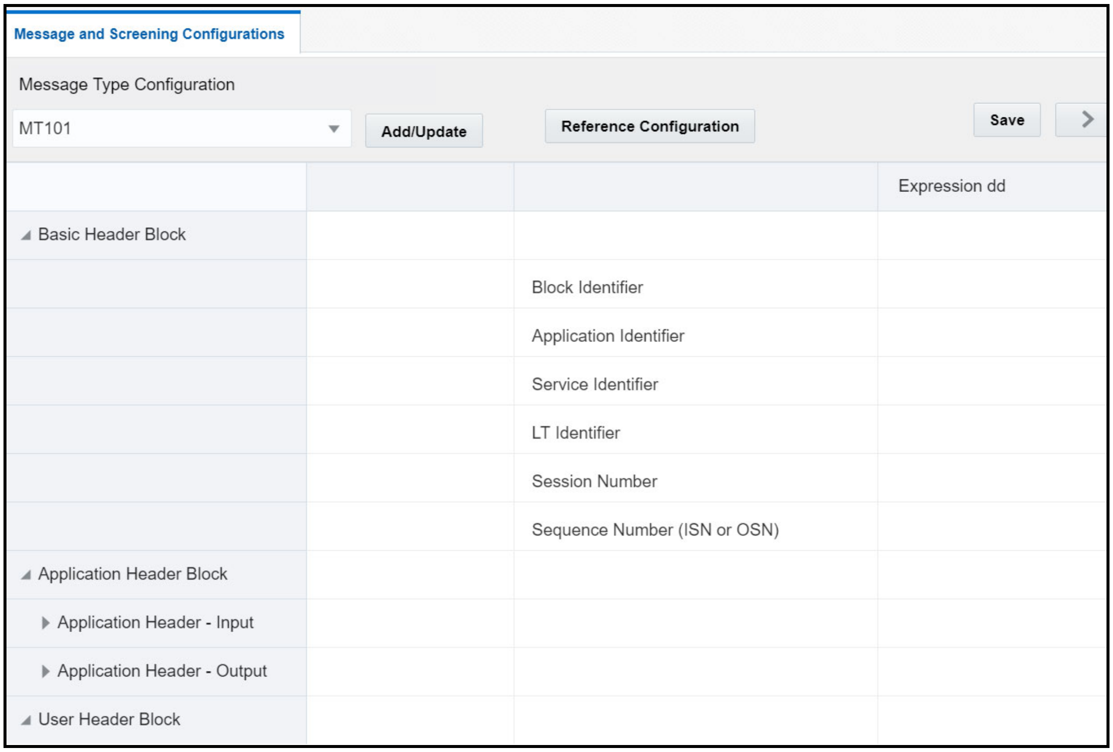
3.1 Message and Screening Configurations Window

This window allows you to edit the status, field names, and expressions of the different JSON parameters in the message.

In the Message Type Configuration field, select the SWIFT message category. All message definitions are SWIFT 2019 compliant.

Each message type has five blocks: Basic Header Block, Application Header Block, User Header Block, Text Block, and Trailer Block.

Figure 1: Message and Screening Configurations Window for SWIFT



In this figure, the first column lists all the SWIFT blocks and a list of fields within each block which follows SWIFT naming standards. In this field, if a part of the sequence has multiple formats, then while uploading the JSON for the message type, update the formats within `[..]` with unique identifiers. The other columns are:

- **Status**: This column mentions whether the field is Mandatory (M) or Optional (O).
- **FieldName**: This column describes the name of the given field as per SWIFT standards.
- **Expression**: This column depicts the field structure in terms of expression. For example, if the field is a data type, then the maximum length of the field is displayed.

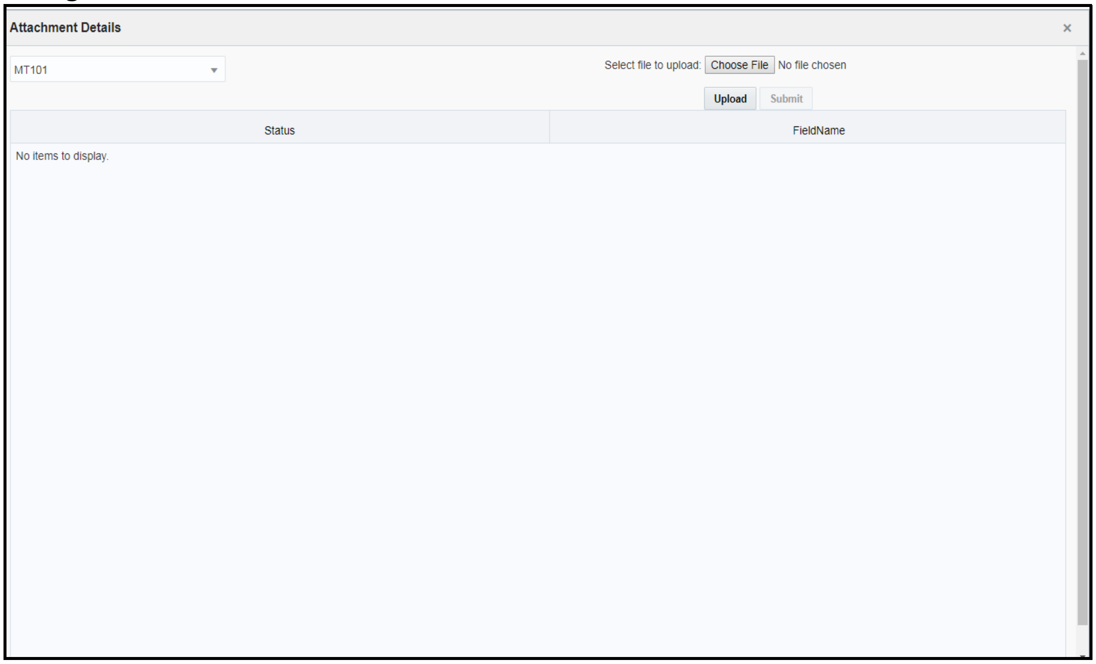
To edit a parameter, click the parameter name. After you make the changes, click **Save**.

3.1.1 Adding or Updating a New Message Type

To add or update an existing message type, follow these steps:

1. Click the **Add/Update** button. The **Attachment Details** window is displayed.
2. Select the type of message that you want to add or update from the drop-down list.

Figure 2: Attachment Details Window



3. To upload an attachment, click **Choose File**. You can upload only one attachment at a time.

> **NOTE** This file must be of the format `.json` or `.txt`.

4. Click **Upload**.
5. Click **Submit**. The message is displayed in the following table as `<Message Type_draft>`.

3.1.2 Configuring the References

To view and change the message reference or transaction reference, click **Reference Configuration**.

Reference Configuration tab has the following fields:

- Message Identifier
- Transaction Reference
- Payment Account ID
    - Field
    - Field/Subfield Name

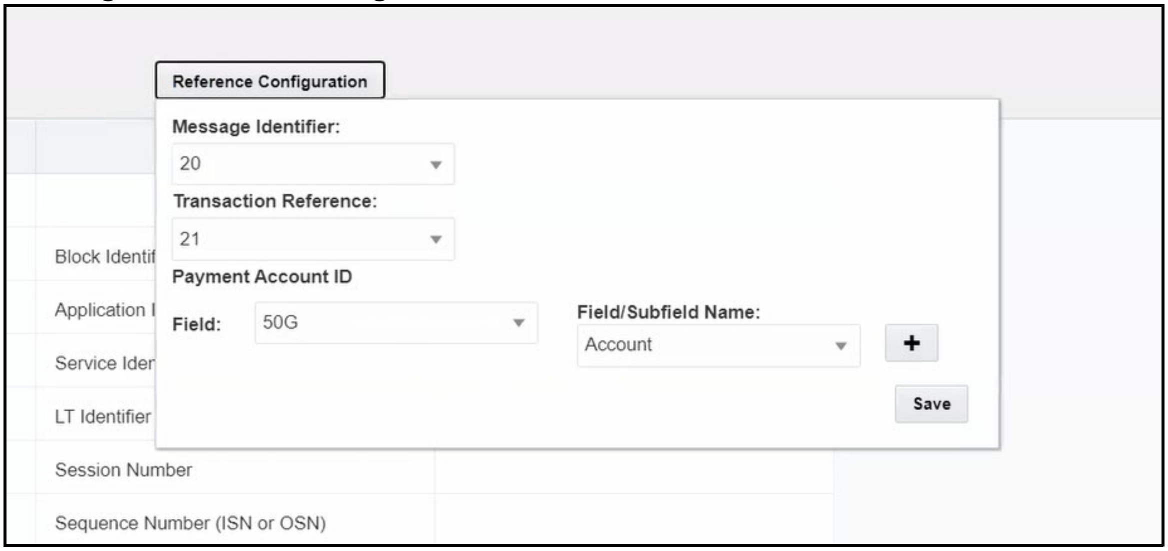
Any message which contains message references or transaction references, or both, must be configured.

For the **Message Reference** field, a unique identifier must be configured at the message level for all message categories.

For the **Transaction Reference** field, a unique identifier must be configured at the transaction level only if applicable for the specific message category.

For the **Payment Account ID** field, a unique identifier can be configured for each message type. You can enter multiple field values for **Payment Account ID** by clicking the plus icon.

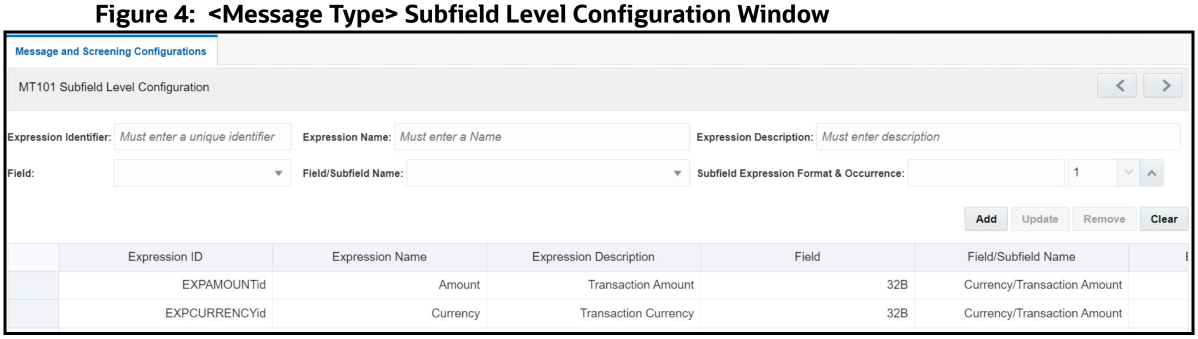
Figure 3: Reference Configuration Window



3.2 <Message Type> Subfield Level Configuration Window

This window allows you to add a subfield to a field in the **Message Type Configuration** Window.

Figure 4: <Message Type> Subfield Level Configuration Window



1. To add a subfield, provide the required values in the fields shown in the window and click **Add** icon. Enter values in the following fields:

Table 1: Fields in the <Message Type> Subfield Level Configuration Window

Fields	Field Description
Expression Identifier	Enter a unique identifier. It must begin with an alpha character and must not contain any spaces. This is a mandatory field.
Expression Name	Enter a name for the expression. The name must be in capital letters. This is a mandatory field.
Expression Description	Enter a description for the Expression. This is a mandatory field.
Field	This field displays a complete list of fields in the drop-down for the given message type. Select the field from this drop-down field to configure the expression.

Table 1: Fields in the <Message Type> Subfield Level Configuration Window

Fields	Field Description
Field/Subfield Name	This field displays the respective field name or subfield options for the field that was previously selected. Select the subfield from the drop-down list.
Subfield Expression Format & Occurrence	This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1.
Add button	To add a subfield, provide the required values in the fields shown above and click **Add** icon.
Update button	To update an existing subfield, click the name of the subfield. After you make the changes, click **Update** icon**.**
Remove button	To remove an existing subfield, click the name of the subfield and click **Remove** icon**.**
Clear button	To clear the data in these fields, click **Clear** icon.

2. To update an existing subfield, click the name of the subfield. After you make the changes, click **Update**.
3. To remove an existing subfield, click the name of the subfield and click **Remove**.
4. To clear the data in these fields, click **Clear**.

You can configure the subfield in two ways:

- By configuring the **subfield level data within the option** expression: Do this if you want to configure specific data within the expression.

  For example, if `field 57` has four options `A, B, C,` and `D` in `MT103` message but you want to configure BIC (Identifier Code) from option `A`:

  ```
  Option A:
  [/1!a][/34x]        (Party Identifier)
  4!a2!a2!c[3!c]      (Identifier Code)
  ```

  You must enter the names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

- By configuring the element level data within the subfield expression: Do this if you want to further configure any data out of the subfield.

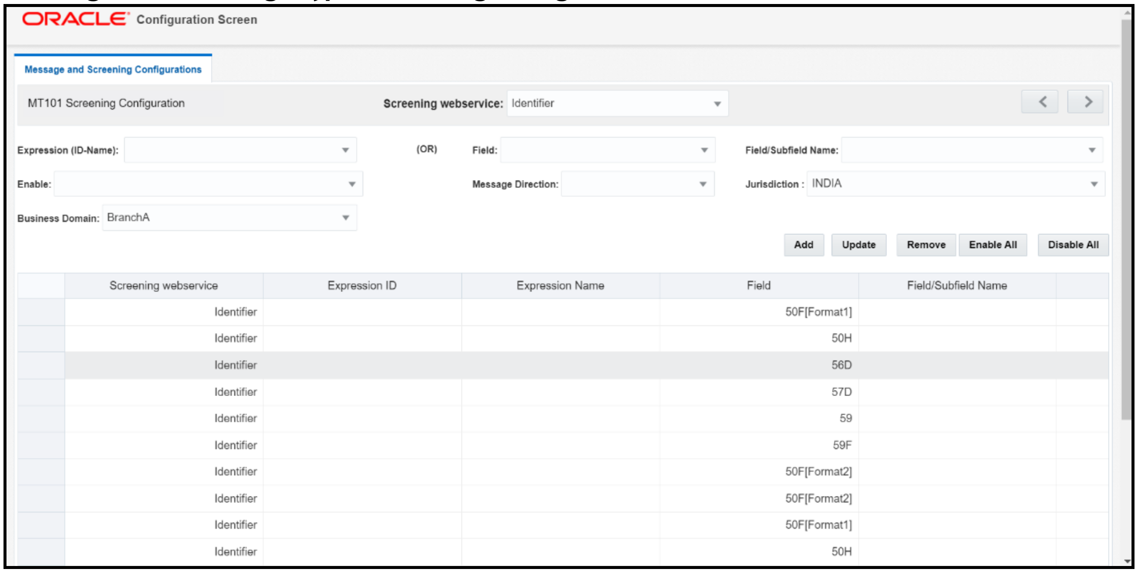
  In this example, if you want to configure the country code for `field 57,` then you can configure `2!a` from Identifier Code expression as a country code by giving unique names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

  ```
  Option A:
  [/1!a][/34x]        (Party Identifier)
  4!a 2!a 2!c[3!c]      (Identifier Code)
  ```

3.3 <Message Type> Screening Configuration Window

This window allows you to add, update, remove, and enable or disable a web service.

Figure 5: <Message Type> Screening Configuration Window



To view a web service, enter values in the following fields:

Table 2: Fields in the <Message Type> Screening Configuration Window

Fields	Field Description
Screening WebService	Select a screening web service from the drop-down list. This field lists all the supported matching web services in the **Transaction Filtering** application. The following web services are available: · Identifier · Country and City · Goods Screening · Name and Address · Narrative or Free Text Information · Port Screening The fields for all web services except Goods Screening are as shown here.
Expression (ID-Name)	Select an expression identifier. When you select an expression identifier, the values are populated in the Field and Field/Subfield Name fields.
Field	Select the field name.
Field/Subfield Name	Select the subfield name. This displays the expression.
Enable	Select **Yes** to enable the web service. Select **No** to disable the web service.
Message Direction	Select **INBOUND(o)** and **OUTBOUND(i)** based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select **inbound**, else select **outbound**. If that field must be screened for both inbound and outbound, then select **ANY**.

Table 2: Fields in the <Message Type> Screening Configuration Window

Fields	Field Description
Jurisdiction	Select **All** to apply the Webservice for all jurisdictions or select the specific jurisdiction to apply the webservice for a specific jurisdiction. Use the `kdd_jrsdcn` table to configure the jurisdiction values. It has the following columns: ● JRSDCN_CD: Values must be unique. ● JRSDCN_NM: Actual jurisdiction name. ● JRSDCN_DSPLY_NM: Jurisdiction name displayed in the Message and Configurations screen. ● JRSDCN_DESC_TX: Optional field to adbusinesd descriptions for the jurisdictions.
Add button	To add a web service, provide the required values in the fields shown above and click **Add** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.
Enable All button	To enable all web services, click **Enable All** icon.
Disable All button	To disable all web services, click **Disable All** icon.

The fields you can use to configure the Goods web service are different from the fields you can use to configure the other web services. These fields are as shown:

Figure 6: Fields for Goods Web Services

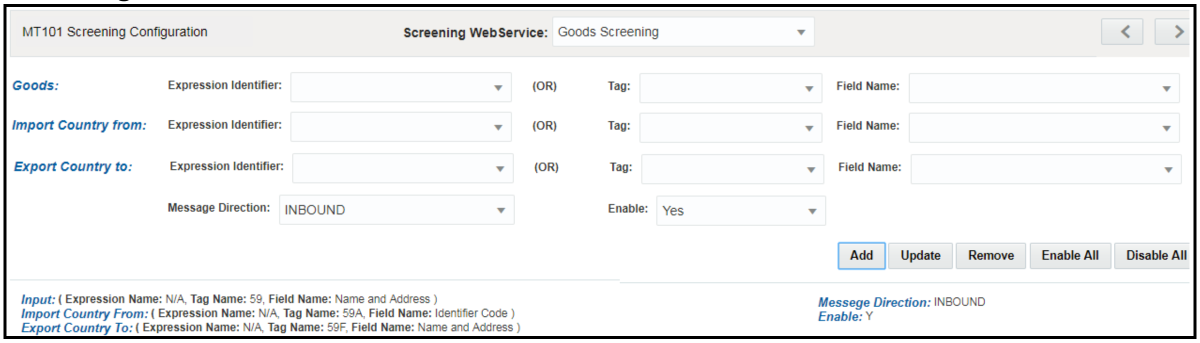


Table 3: Fields in the Goods Web Service Window

Fields	Field Description
Expression Identifier	Select the Expression for the good.
Tag	Select the tag related to the good. Based on the tag selected, the field name is populated.
Field Name	The field name is populated based on the tag selected.
Message Direction	Select **INBOUND(o)** and **OUTBOUND(i)** based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select **inbound**, else select **outbound**. If that field must be screened for both inbound and outbound, then select **ANY**.
Enable	Select **Yes** to enable the message in a direction. Select **No** to disable the message in a direction.
Add button	To add a web service, provide the required values in the fields shown above and click **Add** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.
Enable All button	To enable all web services, click **Enable All** icon.
Disable All button	To disable all web services, click **Disable All** icon.

3.3.1 Enabling or Disabling a Web Service

By default, every web service is enabled. You can change the message configuration by disabling a web service. When you do this, the selected web service is not evaluated.

To enable or disable one or more web services, replace the `[WEBSERVICE_IDS]` placeholder with the corresponding web service ID. The web services and the corresponding IDs are shown here:

Table 4: Web Services in Transaction Filtering

Web Service	Web Service ID
Name and Address	Name and Address
BIC	BIC

Table 4: Web Services in Transaction Filtering

Web Service	Web Service ID
Country and City	Country and City
Narrative or Free Text Information	Narrative or Free Text Information
Port Screening	Port Screening
Goods Screening	Goods Screening

To disable all the web services, replace the `[WEBSERVICE_IDS]` placeholder with 1, 2, 3, 4, 5, 6 in the following command:

```
UPDATE FSI_RT_MATCH_SERVICE SET F_ENABLED = 'N' WHERE N_WEBSERVICE_ID IN
([WEBSERVICE_IDS])
```

To enable all the web services, change **N** to **Y**.

3.3.2 Updating and Removing a Web Service

To update an existing web service, click the name of the web service. The fields are populated with the web service parameters. After you make the changes, click **Update**.

To remove an existing web service, click the name of the web service and click **Remove**.

3.3.3 Populating Data for the Trade Goods and Trade Port Web Services

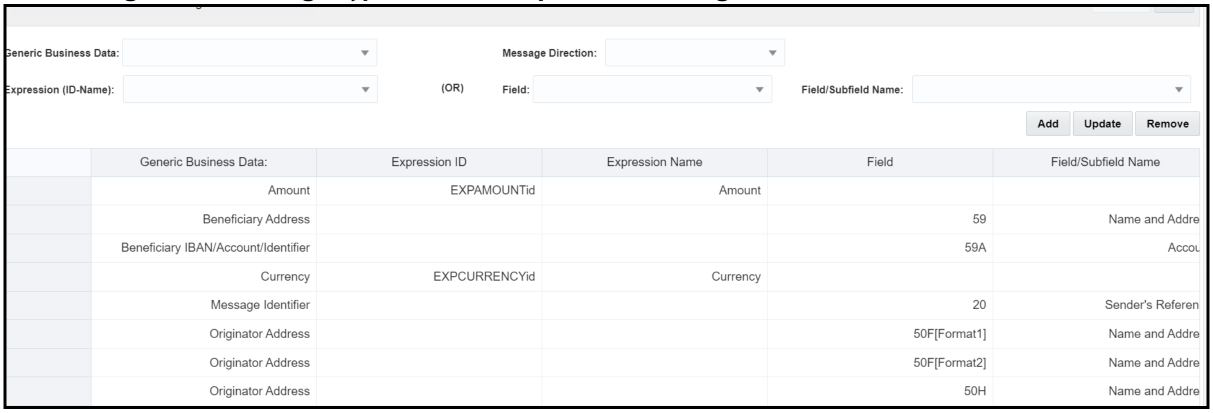
Data for the Trade goods and Trade port web services are taken from a reference table. To populate data for these web services, do this:

1. In the **EDQ Director** menu, go to the **Watch List Management** project.
2. Right-click on the **Reference Data Refresh** job.
3. Click **Run**. Provide a unique run label and run profile.
4. When you run this job, the port and goods reference data are refreshed at the same time.
5. Go to the **Transaction Filtering** project.
6. Right-click on the **MAIN-Shutdown Real-time Screening** job to shut down all web services.
7. Click **Run**.
8. Right-click on the **MAIN** job to restart all web services.
9. Click **Run**.

3.4 <Message Type> Other Field/Subfield Configuration Window

This window allows you to update the other fields which are required for the application. It displays the list of fixed business data/names for the required fields to run the system for any given message type. You can select a business data value to mention the source for a given message type.

Figure 7: <Message Type> Other Field/Subfield Configuration Window



To update the parameter, click the parameter name. The fields are populated with the field parameters. The following fields are displayed in this window:

Table 5: Fields in the <Message Type> Other Field/Subfield Configuration Window

Fields	Field Description
Generic Business Data	This field displays the Business Name of the record that is selected. It is mandatory to configure this field. If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the first tag of the sequence according to the SWIFT standard.
Message Direction	Select **INBOUND(o)** and **OUTBOUND(i)** based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select **inbound**, else select **outbound**. If that field must be screened for both inbound and outbound, then select **ANY**.
Expression (ID-Name)	Select an expression identifier. When you select an expression identifier, the values are populated in the **Field** and **Field/Subfield Name** fields.
Field	Select the field name.
Field/Subfield Name	Select the Subfield Name. This displays the Expression.
Add button	To add a web service, provide the required values in the fields shown above and click **Add** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.

After you make the changes, click **Update**.

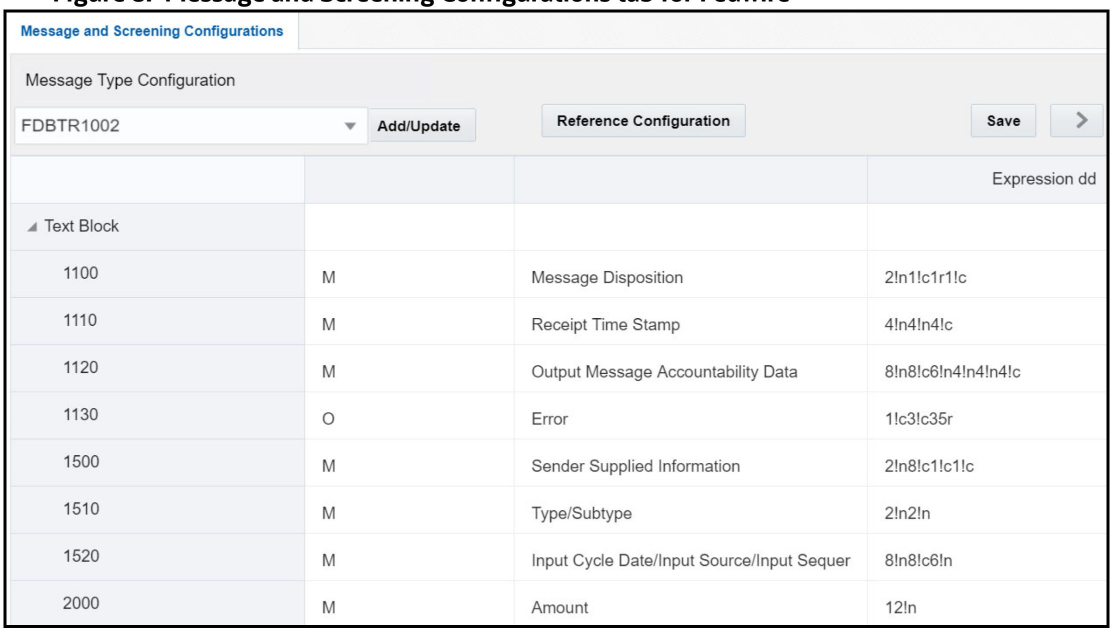
4 Configuring the Fedwire Message Parameters

To configure the message and screening parameters, follow these steps:

1. Navigate to the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page.
2. Click **Transaction Filtering Administration**. The **Transaction Filtering Administration** page is displayed.
3. Click **FED Configuration Admin**. The **Message and Screening Configurations** tab is displayed.

> **NOTE** The following screens are the same for the Fedwire and SWIFT message parameters.

Figure 8: Message and Screening Configurations tab for Fedwire



This tab has the following windows:

- Message Type Configuration Window
- <Message Type> Subfield Level Configuration Window
- <Message Type> Screening Configuration Window
- <Message Type> Other Field/Subfield Configuration Window

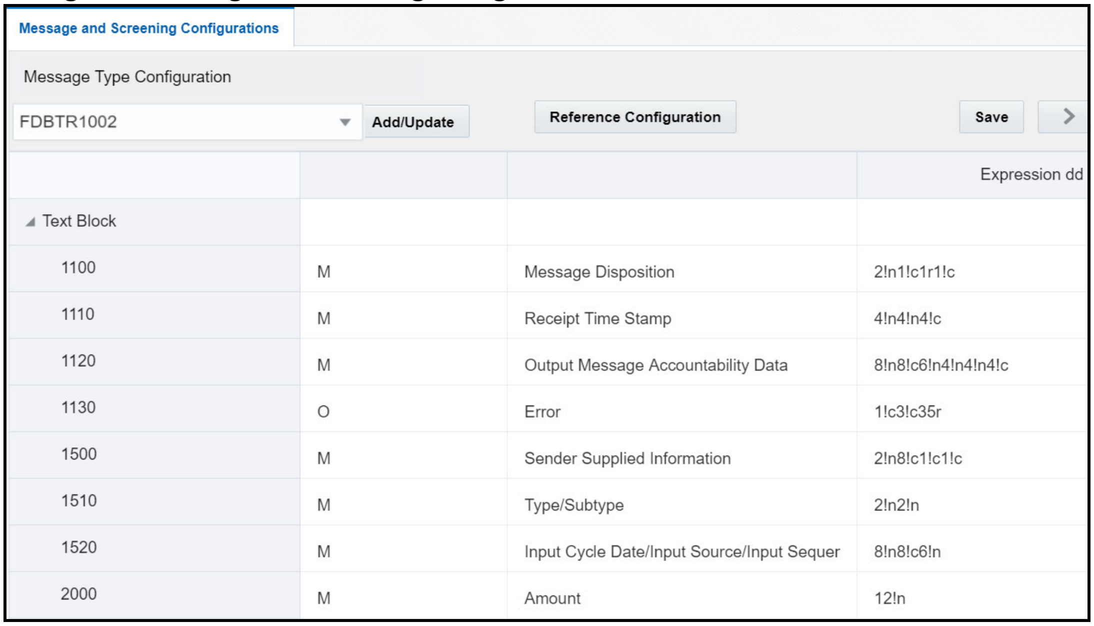
4.1 Message Type Configuration Window

This window allows you to edit the status, field names, and expressions of the different JSON parameters in the message.

In the **Message Type Configuration** field, select the Fedwire message category.

Each message type has a Text Block. The fields in the Text Block may change depending on the message type.

Figure 9: Message and Screening Configurations tab for Fedwire



In this figure, the first column lists all the message identifiers for the Fedwire message category. The other columns are:

- **Status**: This column mentions whether the field is Mandatory (**M**) or Optional (**O**).
- **FieldName**: This column describes the name of the given field as per Fedwire standards.
- **Expression**: This column depicts the field structure in terms of expression. For example, if the field is a data type, then the maximum length of the field is displayed.

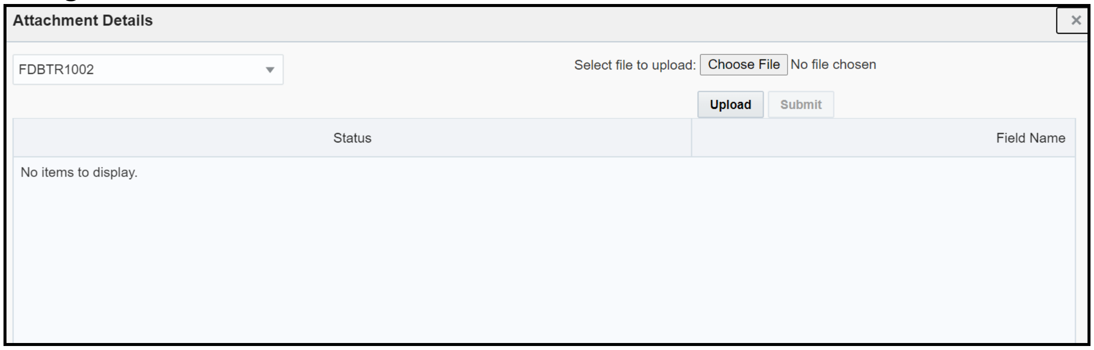
To edit a parameter, click the parameter name. After you make the changes, click **Save**.

4.1.1 Adding or Updating a New Message Type

To add or update an existing message type, follow these steps:

1. Click **Add/Update**. The **Attachment Details** window is displayed.
2. Select the type of message that you want to add or update from the drop-down list.

Figure 10: Attachment Details Window



3. To upload an attachment, click **Choose File** icon. You can upload only one attachment at a time.

> **NOTE** This file must be of the format `.json` or `.txt`.

4. Click **Upload**.
5. Click **Submit**. The message is displayed in the following table as <Message Type_draft>.

4.1.2 Configuring Message and Transaction References

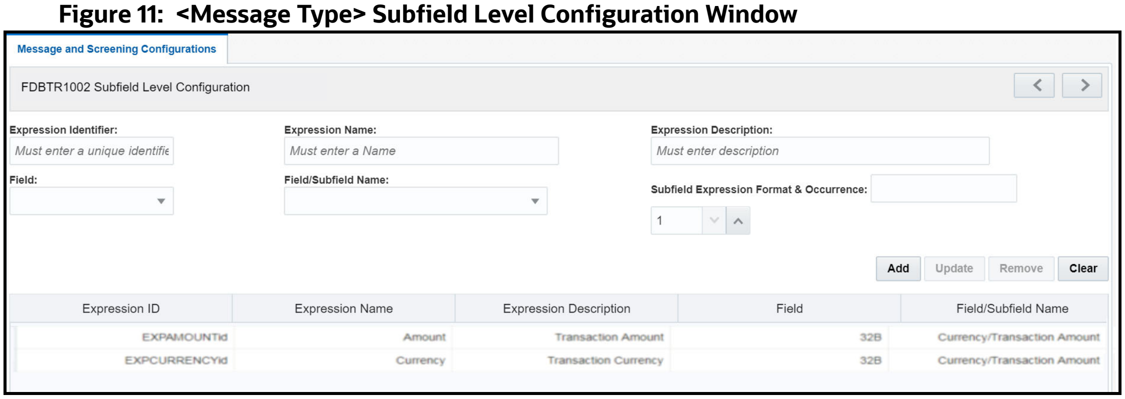
Any message which contains message references or transaction references, or both, must be configured. To view and change the message reference or transaction reference, click **Reference Configuration**.

For the **Message Reference** field, a unique identifier must be configured at the message level for all message categories. For the Transaction Reference field, a unique identifier must be configured at the transaction level only if applicable for the specific message category.

4.2 <Message Type> Subfield Level Configuration Window

This window allows you to add a subfield to a field in the **Message Type Configuration** Window.

Figure 11: <Message Type> Subfield Level Configuration Window



1. To add a subfield, provide the required values in the fields shown in the window and click **Add** icon. Enter values in the following fields:

Table 6: Fields in the <Message Type> Subfield Level Configuration Window

Fields	Field Description
Expression Identifier	Enter a unique identifier. It must begin with an alpha character and must not contain any spaces. This is a mandatory field.
Expression Name	Enter a name for the expression. The name must be in capital letters. This is a mandatory field.
Expression Description	Enter a description for the Expression. This is a mandatory field.
Field	This field displays a complete list of fields in the drop-down for the given message type. Select the field from this drop-down field to configure the expression.
Field/Subfield Name	This field displays the respective field name or subfield options for the field that was previously selected. Select the subfield from the drop-down list.
Subfield Expression Format & Occurrence	This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1.
Add button	To add a subfield, provide the required values in the fields shown above and click **Add** icon.
Update button	To update an existing subfield, click the name of the subfield. After you make the changes, click **Update** icon.
Remove button	To remove an existing subfield, click the name of the subfield and click **Remove** icon.
Clear button	To clear the data in these fields, click **Clear** icon.

You can configure the subfield in two ways:

- By configuring the **subfield level data within the option** expression: Do this if you want to configure specific data within the expression.

  For example, if `1100` has four options `A, B, C,` and `D` in the `FDBTR1002` message but you want to configure BIC (Identifier Code) from option `A`:

  ```
  Option A:
  [/1!a][/34x]        (Party Identifier)
  4!a2!a2!c[3!c]      (Identifier Code)
  ```

  You must enter the names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

- By configuring the element level data within the subfield expression: Do this if you want to further configure any data out of the subfield.

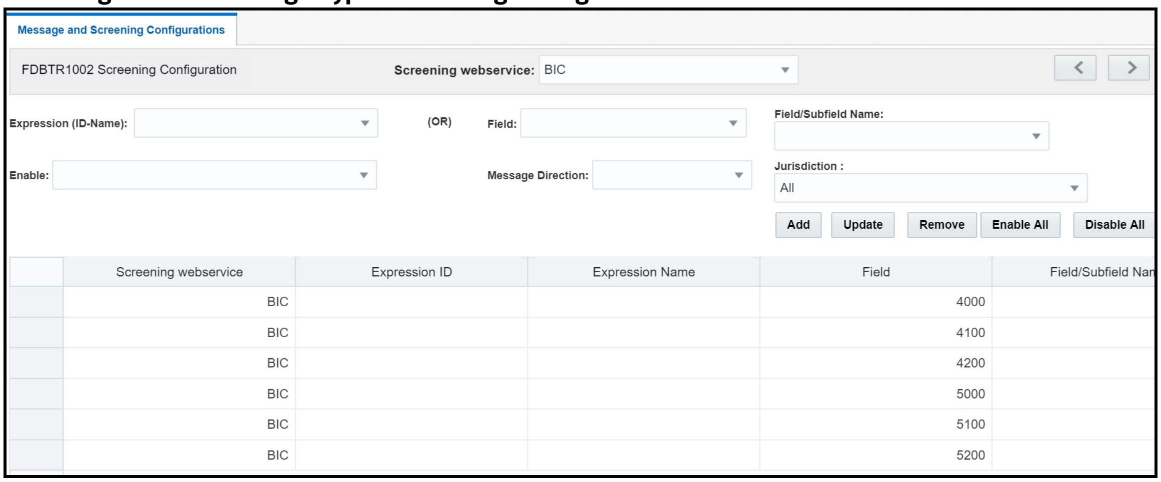
  1.In this example, if you want to configure the country code for `field 57,` then you can configure `2!a` from Identifier Code expression as a country code by giving unique names in the **Subfield Expression Identifier**, **Subfield Name**, and **Subfield Description** fields.

```
Option A:
[/1!a][/34x]         (Party Identifier)
4!a 2!a 2!c[3!c]      (Identifier Code)
```

4.1 <Message Type> Screening Configuration Window

This window allows you to add, update, remove, and enable or disable a web service.

Figure 12: <Message Type> Screening Configuration Window



To view a web service, enter values in the following fields:

Table 7: Fields in the <Message Type> Screening Configuration Window

Fields	Field Description
Screening WebService	Select a screening web service from the drop-down list. This field lists all the supported matching web services in the **Transaction Filtering** application. The following web services are available: • BIC • Country and City • Goods Screening • Name and Address • Narrative or Free Text Information • Port Screening The fields for all web services except Goods Screening are as shown here. For information on the fields for Goods Screening, see .
Expression (ID-Name)	Select an expression identifier. When you select an expression identifier, the values are populated in the **Field** and **Field/Subfield Name** fields.
Field	Select the field name.
Field/Subfield Name	Select the subfield name. This displays the expression.
Enable	Select **Yes** to enable the web service. Select **No** to disable the web service.

Table 7: Fields in the <Message Type> Screening Configuration Window

Fields	Field Description
Message Direction	Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select **inbound**, else select **outbound**. If that field must be screened for both inbound and outbound, then select **ANY**.
Jurisdiction	Select **All** to apply the Webservice for all jurisdictions or select the specific jurisdiction to apply the webservice for a specific jurisdiction. Use the `kdd_jrsdcn` table to configure the jurisdiction values. It has the following columns: • JRSDCN_CD: Values must be unique. • JRSDCN_NM: Actual jurisdiction name. • JRSDCN_DSPLY_NM: Jurisdiction name displayed in the Message and Configurations screen. • JRSDCN_DESC_TX: Optional field to add descriptions for the jurisdictions.
Add button	To add a web service, provide the required values in the fields shown above and click **Add** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.
Enable All button	To enable all web services, click **Enable All** icon.
Disable All button	To disable all web services, click **Disable All** icon.

The fields you can use to configure the Goods web service are different from the fields you can use to configure the other web services. These fields are as shown:

Figure 13: Fields for Goods Web Services

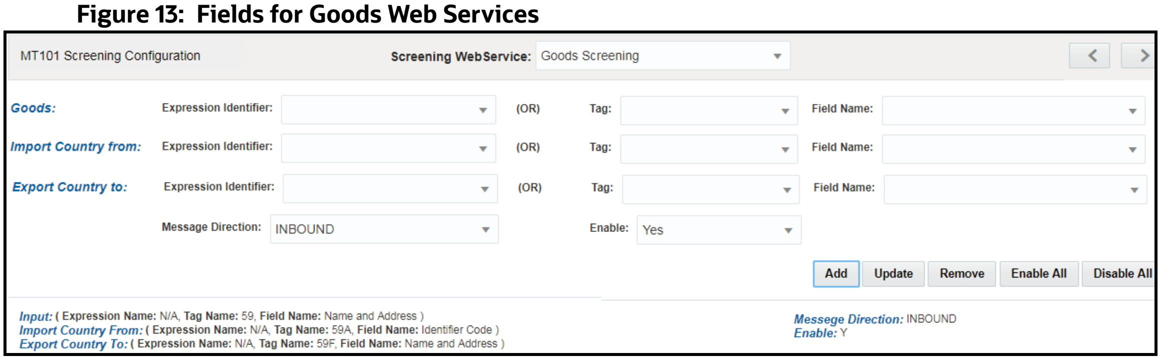


Table 8: Fields in the Goods Web Service Window

Fields	Field Description
Expression Identifier	Select the Expression for the good.
Tag	Select the tag related to the good. Based on the tag selected, the field name is populated.
Field Name	The field name is populated based on the tag selected.
Message Direction	Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select **inbound**, else select **outbound**. If that field must be screened for both inbound and outbound, then select **ANY**.
Enable	Select **Yes** to enable the message in a direction. Select **No** to disable the message in a direction.
Add button	To add a web service, provide the required values in the fields shown above and click **Ad** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.
Enable All button	To enable all web services, click **Enable All** icon.
Disable All button	To disable all web services, click **Disable All** icon.

4.1.1 Enabling or Disabling a Web Service

By default, every web service is enabled. You can change the message configuration by disabling a web service. When you do this, the selected web service is not evaluated.

To enable or disable one or more web services, replace the `[WEBSERVICE_IDS]` placeholder with the corresponding web service ID. The web services and the corresponding IDs are shown here:

Table 9: Web Services used in Transaction Filtering

Web Service	Web Service ID
Name and Address	Name and Address
BIC	BIC
Country and City	Country and City
Narrative or Free Text Information	Narrative or Free Text Information
Port Screening	Port Screening
Goods Screening	Goods Screening

4.1.2 Updating and Removing a Web Service

To update an existing web service, click the name of the web service. The fields are populated with the web service parameters. After you make the changes, click **Update**.

To remove an existing web service, click the name of the web service and click **Remove**.

4.1.3 Populating Data for the Trade Goods and Trade Port Web Services

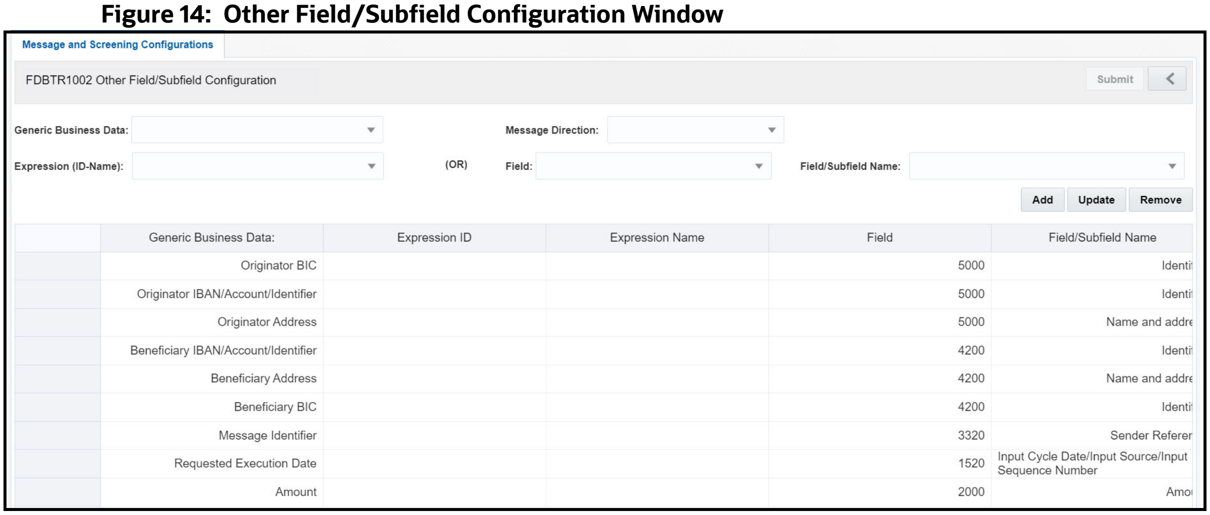
Data for the Trade goods and Trade port web services are taken from a reference table. To populate data for these web services, do this:

1. In the **EDQ Director** menu, go to the **Watch List Management** project.
2. Right-click on the **Reference Data Refresh** job.
3. Click **Run**. Provide a unique run label and run profile.
4. When you run this job, the port and goods reference data are refreshed at the same time.
5. Go to the **Transaction Filtering** project.
6. Right-click on the **MAIN-Shutdown Real-time Screening** job to shut down all web services.
7. Click **Run**.
8. Right-click on the **MAIN** job to restart all web services.
9. Click **Run**.

4.2 <Message Type> Other Field/Subfield Configuration Window

This window allows you to update the other fields which you can configure in the application. It displays the list of fixed business data/names for the required fields to run the system for any given message type. You can select a business data value to mention the source for a given message type.

Figure 14: Other Field/Subfield Configuration Window



To update the parameter, click the parameter name. The fields are populated with the field parameters. The following fields are displayed in this window:

Table 10: Fields in the <Message Type> Other Field/Subfield Configuration Window

Fields	Field Description
Generic Business Data	This field displays the business name of the record that is selected. It is mandatory to configure this field. If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the first tag of the sequence according to the Fedwire standard.
Message Direction	Select INBOUND(o) and OUTBOUND(i) based on the screening requirement from the drop-down list. If a field must be screened only for incoming messages, select inbound, else select outbound. If that field must be screened for both inbound and outbound, then select ANY.
Expression (ID-Name)	Select an expression identifier. When you select an expression identifier, the values are populated in the Field and Field/Subfield Name fields.
Field	Select the field name.
Field/Subfield Name	Select the Subfield Name. This displays the Expression.
Add button	To add a web service, provide the required values in the fields shown above and click **Add** icon.
Update button	To update a web service, select the web service that you want to update and click **Update** icon.
Remove button	To remove a web service, select the web service that you want to remove and click **Remove** icon.

After you make the changes, click **Update**.

5 Configurations for ISO20022 Message Parameters

This chapter explains how to configure the parameters for the ISO20022 message category. The **Configuration** window allows you to view the elements associated with an `XSD` file after you upload the file. The elements are displayed in a tree structure. You must provide the transaction `XPath` before submitting the file. After the file is submitted, you can view the elements associated with a specific web service and define the `XPath` priority. This `XSD` file can be downloaded again. The **Run** page has information on the different tasks associated with the ISO20022 batch.

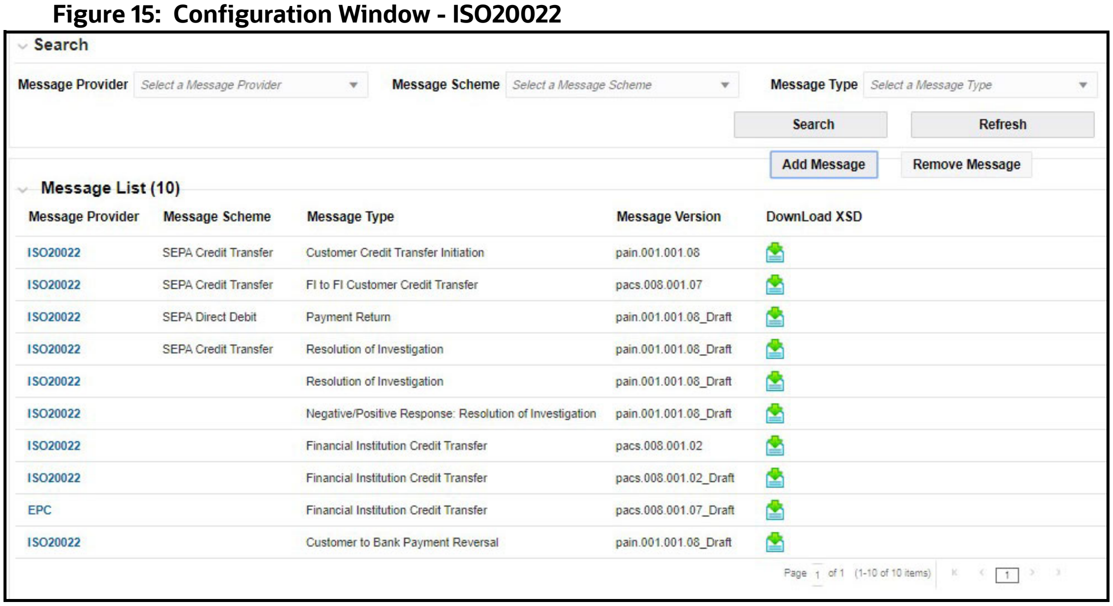
> **NOTE** The `XPath` of an element is the logical structure or hierarchy of the element within the `XSD` file.

5.1 Configuring the ISO20022 Message Parameters

To configure the ISO20022 message parameters, follow these steps:

1. Navigate to the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page.
2. Click **Transaction Filtering Administration**. The **Transaction Filtering Administration** page is displayed.
1. Click **ISO Configuration Admin**. The **Configuration** window is displayed.

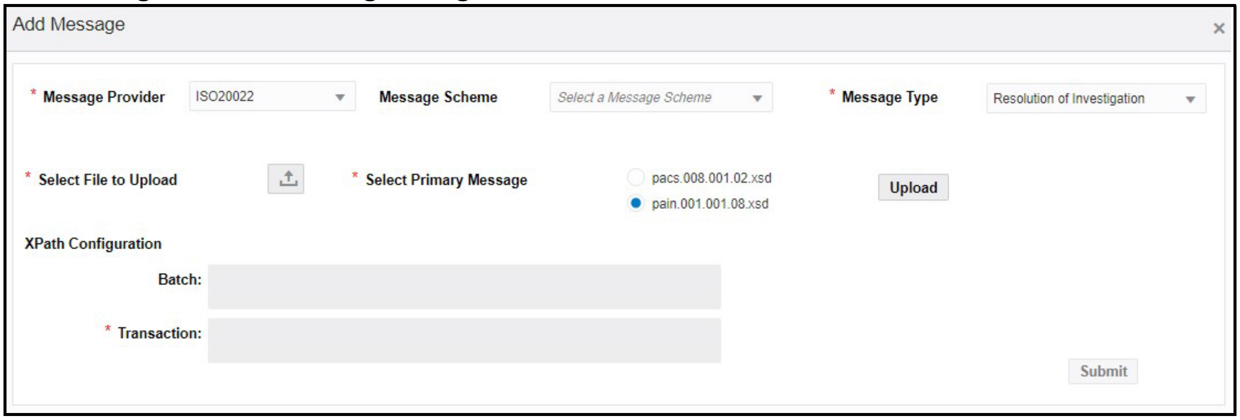
Figure 15: Configuration Window - ISO20022



The Message List displays the `XSD` files associated with each message provider /scheme/message type combination. Click the link in the **Message Provider** column to view the transaction `XPaths` for the message for every screening type. You can download the `XSD` for a message by clicking **Download** in the **Download XSD** column. The `XSD` is downloaded as a zip folder; unzip the folder to view the `XSD` files.

2. To upload a new XSD file, click **Add Message**. An **Attachment Details** dialog box opens.

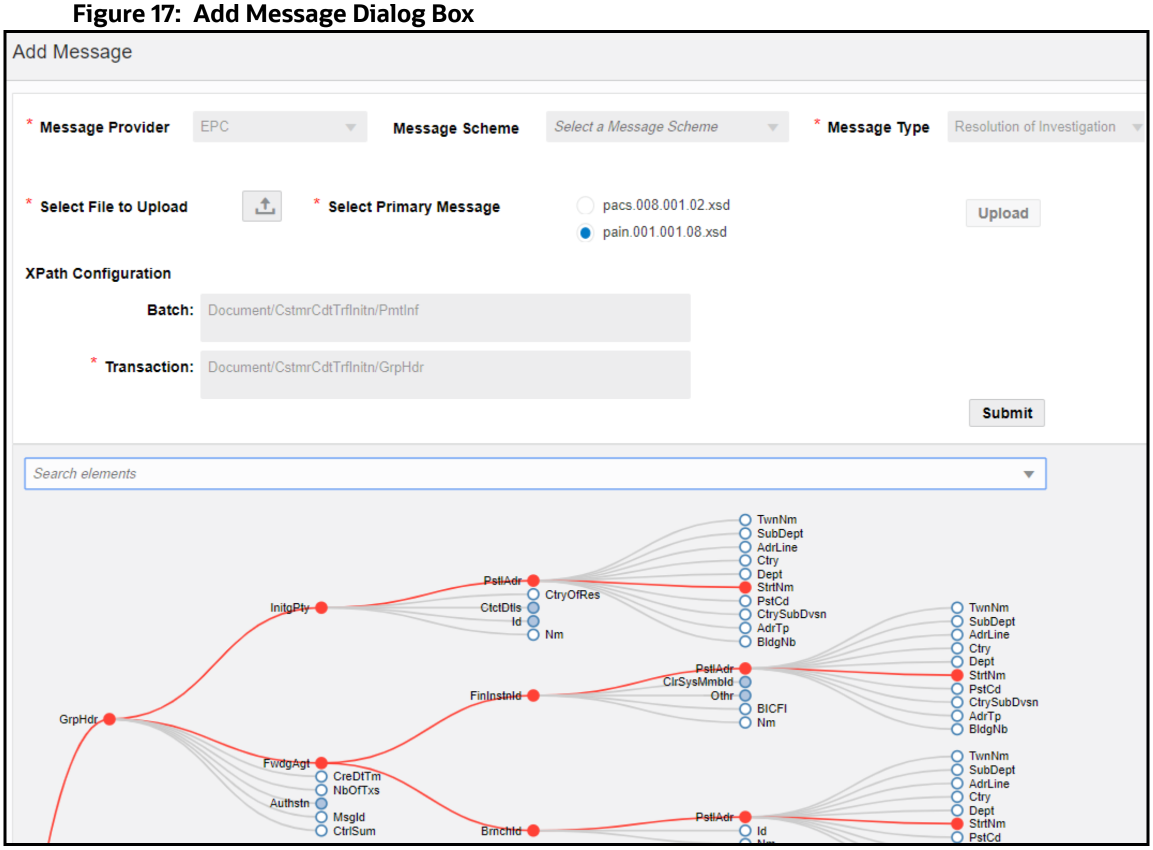
Figure 16: Add Message Dialog Box



3. Select the message provider and message type for the web service. If required, you can also select the message scheme. If you select a message scheme, then the message types change depending on the selected combination of the message provider and message scheme.

4. To upload the parent XSD file and one or more child XSD files, click **Upload** and select the `XSD` file from your local drive. After you select the file and click **Open**, the `XSD` file name appears next to the Upload button. Select the radio button next to the primary file name and click **Upload**. A confirmation message appears, “**File uploaded successfully**.” The basic elements related to the uploaded file appear in a tree view.

Figure 17: Add Message Dialog Box



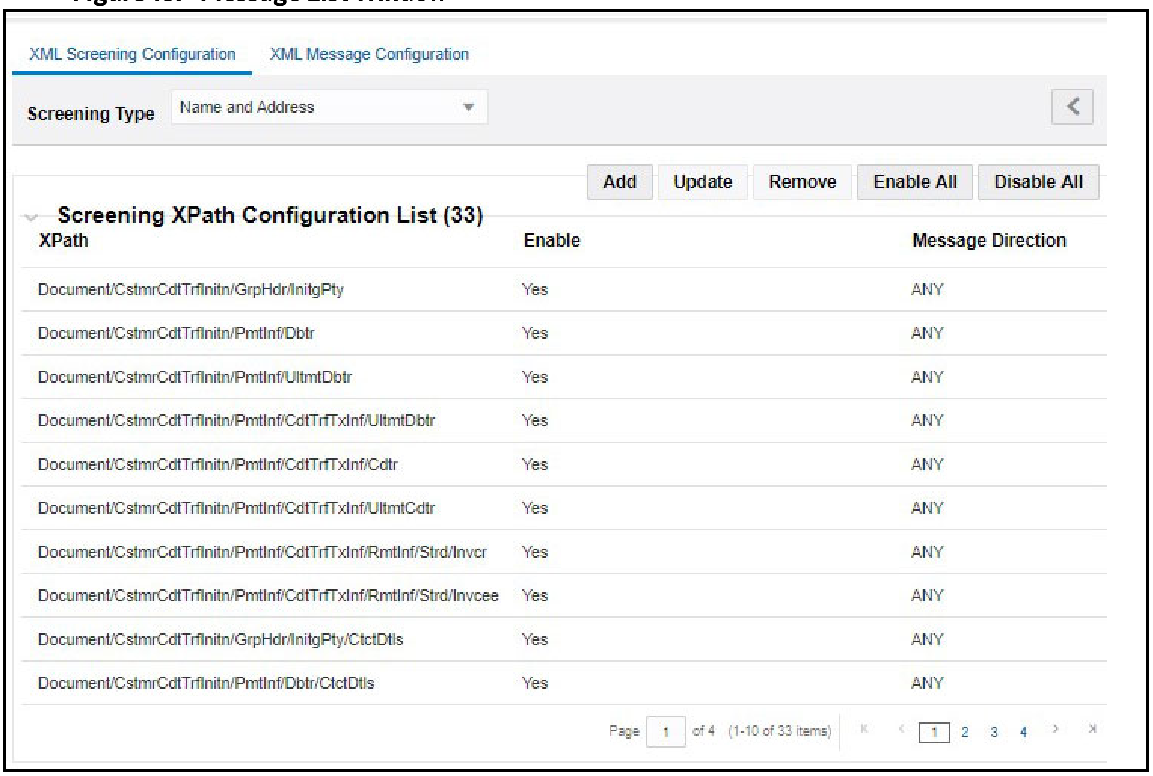
If you want to see the `XPath` of an element, select the element from the drop-down field. In the example window, the `XPath` for the `StrNm` element is highlighted in red.

To choose the `Batch XPath` or the `Transaction XPath` of the element, right-click any element node in the Tree view and click **Batch** or **Transaction** respectively. The values appear in the tree view. It is mandatory to select the **Transaction XPath Configuration** before you submit the uploaded files.

NOTE	To view the child elements for a parent element, mouse over the parent element and click the parent element in the Tree view. If **Zero** is displayed beside the element name, it means that there are no more child elements you can drill down to.

5. Click **Submit**. The ISO20022 parameter name appears in the **Message List** section with **_Draft** attached to the parameter name.
6. Navigate to **ISO20022/XML Configuration Admin** in the Admin UI. To complete the configuration, click the message provider link. The **XML Screening Configuration** tab is displayed.

Figure 18: Message List Window



In this tab, you can view the details of the element `XPaths` available for the selected web service. You can also perform the following actions:

Table 11: Other Actions

To...	Do this...
Add a web service configuration	Click **Add**. The **Add a web service configuration** fields is displayed. Select the message direction and enable or disable the web service and click **Save**. Clicking **Clear** clears any values selected. If you click **Cancel**, the fields disappear. In the Tree view, right-click any element node and click the element to view the element's `XPath`. The fields appear in the **Screening XPath Configuration List** section.
Update a web service configuration	Select the configuration you want to update and click **Update**. The fields shown in the previous row appear. Make the required changes and click **Save**. The updated values are displayed in the **Screening XPath Configuration List** section.
Remove a web service configuration	Select the configuration you want to remove and click **Remove**. The selected configuration is removed from the **Screening XPath Configuration List** section.
Enable all web service configurations	Click **Enable All**.
Disable all web service configurations	Click **Disable All**.

7. Navigate to **ISO20022/XML Configuration Admin** in the Admin UI and click the message provider link. To add the screening configuration of External Attribute, select the Attributes under the **Screening External Attribute Configuration** list. The **Screening External Attribute Configuration** list is displayed.

   In this tab, you can view the details of the attribute name, enable status, and message direction details.

Table 12 describes how to take additional actions.

Table 12: Other Actions

To...	Do this...
Add an external attribute configuration	Click **Add**. The **Add an External Attribute configuration** fields is displayed: Select the message direction and enable or disable the web service and click **Save**. Clicking **Clear** clears any values selected. If you click **Cancel**, the fields disappear.
Update a web service configuration	Select the configuration you want to update and click **Update**. The fields shown in the previous row appear. Make the required changes and click **Save**. The updated values are displayed in the **Screening External Attribute Configuration List** section.
Remove a web service configuration	Select the configuration you want to remove and click **Remove**. The selected configuration is removed from the **Screening External Attribute Configuration List** section.
Enable all web service configurations	Click **Enable All**.

Table 12: Other Actions

To...	Do this...
Disable all web service configurations	Click **Disable All**.

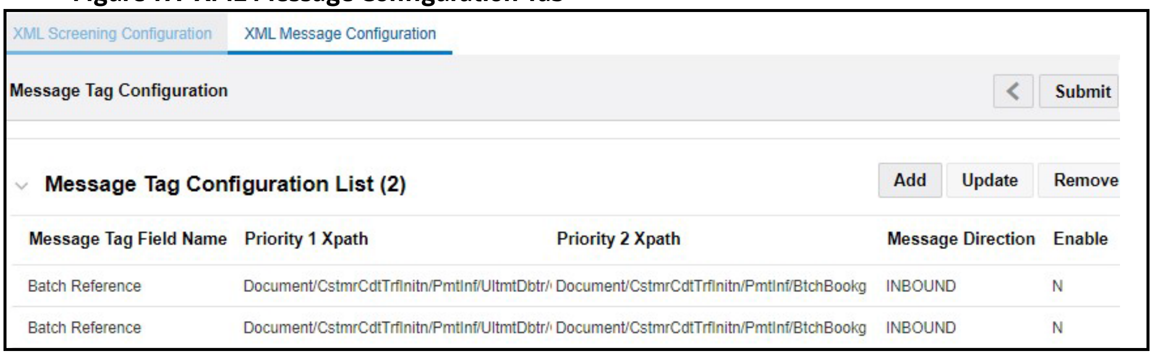
1. After configuring the External Attributes, give the following attribute names (Same attribute names which are populated in the above tables) in message posting jsp.

Example: SanctionsPost.jsp

```
String AdditionalAttribute1 = request.getParameter("AdditionalAttribute1");
  String AdditionalAttribute2 = request.getParameter("AdditionalAttribute2");
  String AdditionalAttribute3 = request.getParameter("AdditionalAttribute3");
  String AdditionalAttribute4 = request.getParameter("AdditionalAttribute4");
  String AdditionalAttribute5 = request.getParameter("AdditionalAttribute5");
```

2. To view the message tag configurations for a field, click the **XML Message Configuration** tab.

Figure 19: XML Message Configuration Tab



You can also perform the following actions:

Table 13: Other Actions

To...	Do this...
Add a message configuration	Click **Add**. The **Add a message configuration** fields is displayed. Select the business data value, message direction, enable or disable the value, choose the **Priority 1 XPath** and **Priority 2 XPath,** and click **Save**. Clicking **Clear** clears any values selected. If you click **Cancel**, the fields disappear. In the Tree view, right-click any element node and click the element to view it's `XPath`. The fields appear in the **Message Tag Configuration List** section.
Update a message configuration	Select the configuration you want to update and click **Update**. The fields shown in the previous row appear. Make the required changes and click **Save**. The updated values are displayed in the **Message Tag Configuration List** section.
Remove a message configuration	Select the configuration you want to remove and click **Remove**. The selected configuration is removed from the **Message Tag Configuration List** section.

3. Click **Submit**. The ISO20022 parameter name is updated in the **Message List** without **_Draft**.

5.1.1 Running the ISO20022 Batch

The ISO20022 messages are processed using batches. So, you must first create the following folders before you run the ISO20022 batch:

1. Create a folder for the MIS date with the folder name as `##FIC_MIS_DATE##` (the date on which we run the ISO20022 batch) in the following directory structure:

   `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML`

   For example, `/scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/20200214`.

   `20200214` is the MIS Date folder.

2. Create two folders called `OUTBOUND` and `INBOUND` inside the MIS Date folder and create a folder called `INPUT` inside both the folders.

NOTE	All the ISO20022 XMLs must be either kept inside the `INPUT` folder inside the `OUTBOUND` folder or the `INPUT` folder inside the `INBOUND` folder based on the direction of the message XML. The ISO20022 batch takes these XMLs as input when it is run.

   The directory structures for `OUTBOUND` and `INBOUND` are as follows:

   `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUTBOUND/INPUT`

   `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/INPUT`

   For example,

   - `/scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/20200214/OUTBOUND/INPUT`
   - `/scratch/fccmappchef/SANC807/ftpshare/SANCINFO/STAGE/SEPA/inputXML/20200214/INBOUND/INPUT`

After you run the ISO20022 batch, the following actions are performed:

- The `VAL_ERROR`, `PRCSNG_ERROR`, `PROCESSED`, and `FEEDBACK` folders are created as part of the batch processing.
- If any message XML fails during validation, then it is moved to the `VAL_ERROR` folder. The directory structures for `OUTBOUND` and `INBOUND` are as follows:

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUTBOUND/VAL_ERROR`

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/VAL_ERROR`

- If any message XML fails during the parsing process after validation, then it is moved to the `PRCSNG_ERROR` folder. The folder structures for `OUTBOUND` and `INBOUND` are as follows:

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUTBOUND/PRCSNG_ERROR`

`##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/PRCSNG_ERROR`

- If any message XML is successfully processed, then it is moved to the `PROCESSED` folder. The directory structures for `OUTBOUND` and `INBOUND` are as follows:

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUTBOUND/VAL_ERROR`

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/VAL_ERROR`

- After the batch is run successfully, a `##FILE_NAME##_feedback.xml` file is created for each file that is processed. The feedback is created inside the `FEEDBACK` folder. The directory structures for `OUTBOUND` and `INBOUND` are as follows:

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/OUTBOUND/FEEDBACK`

  `##FTPSHARE_PATH##/SANCINFO/STAGE/SEPA/inputXML/##FIC_MIS_DATE##/INBOUND/FEEDBACK`

- The logs of the batch are available in the following path:

  `##FIC_DB_HOME##/log/TF_XML`

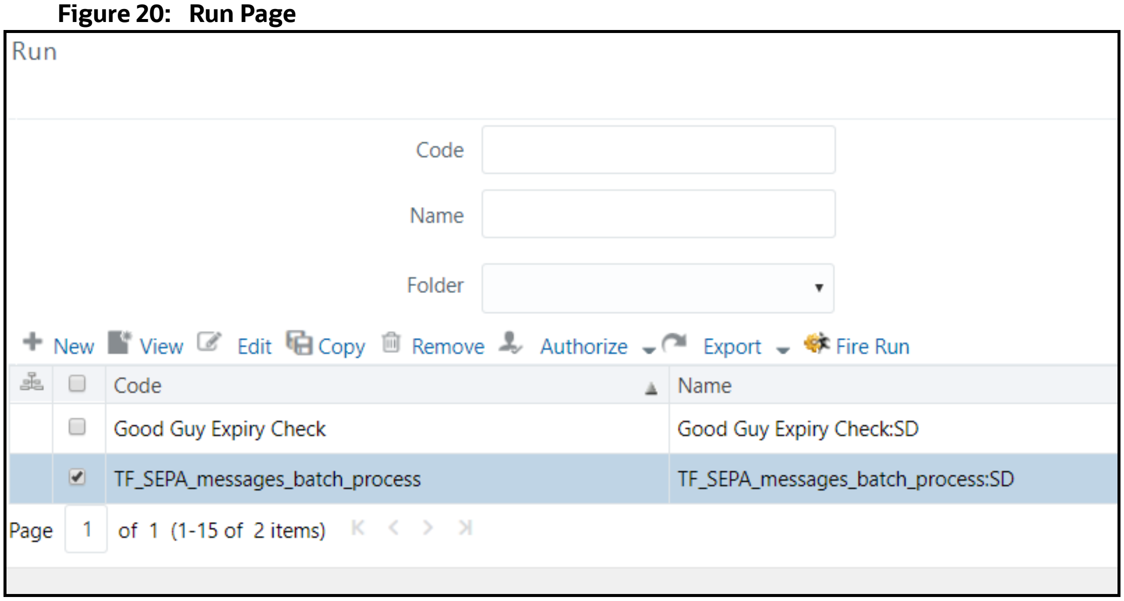
  For example, `/scratch/fccmappchef/SANC807/SANC807/ficdb/log/TF_XML`

> **NOTE** When we take an action (RELEASE/BLOCK) on an alert from the Investigation User Interface, a feedback XML is recreated for the corresponding file with the name `##FILE_NAME##_feedback.xml` and the name of the previous file with the same name becomes `##FILE_NAME##_feedback_1.xml` inside the `FEEDBACK` folder. So, the `##FILE_NAME##_feedback.xml` is always the latest feedback file for a corresponding message XML.

To run the batch, follow these steps:

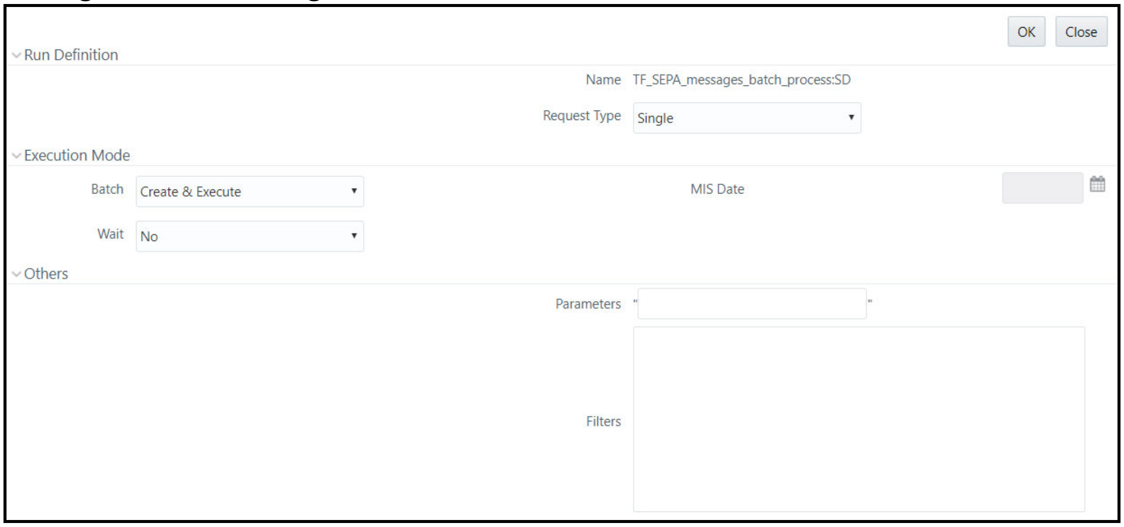
1. Navigate to the **Run** page.

Figure 20: Run Page



2. Select the `TF_SEPA_messages_batch_process` batch and click **Fire Run**. The **Fire Run** page is displayed.

Figure 21: Fire Run Page



3. Select **Single** as the **Request Type**.
4. Select **Create & Execute** in the **Batch** field. The **MIS Date** field is displayed.
5. Select the date on which you want to execute the run. This date must be the same as the folder you create before you run the ISO20022 batch. In the example shown, since the **MIS Date** folder name is `20190913`, the date you must select is `09/13/2019`.
6. Click **OK**.

   A message "**Batch execution is in progress**" is displayed. Click **Close** to go back to the **Run** page. After the batch is executed, you can view the batch details on the **Batch Monitor** page.

   To access the **Batch Monitor** page, click **Operations**, and then click **Batch Monitor**. The **Batch Monitor** page has details of all batches. The batch you have executed is the last in the **Batch Details** list. To run the batch, follow these steps:

   - Select the **Batch** and the **MIS Date**. After you select the **MIS Date**, the batch ID appears in the **Batch Run ID** field.
   - Select the batch ID.
   - Click **Start Monitoring**. The task details associated with the batch appears in the **Task Details** section. You can also view and export the event logs for the batch in the **Event Log** section.

NOTE	If the batch run fails, you must restart the batch. In this case, the batch run ID changes.

The task details are as follows:

Table 14: Task Details

Task ID	Task Name	Task Description
Task1	TF_CallXMLParser	Parses the XML data into the pre-processing tables.
Task2	TF_CallXMLEDQ	Calls EDQ data to check if there are any matches.
Task3	Message Data Attributes	NA
Task4	TF_CallXMLRTIPopulation	Moves data from the ISO20022 configuration tables to the SWIFT configuration tables to generate OBI reports.
Task5	TF_CallXMLAlertGeneration	Creates alerts and loads data into the alert tables.
Task6	TF_CallXMLImmediateFeedbackCreation	Populates the feedback table.
Task7	TF_CallXMLImmediateFeedbackFileGeneration	Generates the feedback in an XML format in the `INBOUND/feedback` directory for the date on which the run is triggered.
Task8	TF_CallXMLHighlight	Populates the highlighted column in the `fsi_rt_al_raw_data` table.
Task9	TF_CallUpdateAdditionalMsgDtls	Populates the post-processing alert table with the additional details provided for the alert.
Task10	TF_CallXMLStructuredSepa	Populates the data in the Structured Message tab in the Investigation User Interface.

6 Appendix: Message Categories and Message Types

A user of the Transaction Filtering application can use the following message categories:

- SWIFT Message Types
- ISO20022 Message Types
- Fedwire Message Types

Each message category has different message types defined. The following tables list the message categories and associated message types.

6.1 SWIFT Message Types

For the SWIFT message category, the message types numbered 1 to 8 are the ready-to-use message types that you can use after you log in. The other message types must be imported manually using the SWIFT migration utility.

Table 15: SWIFT Message Types

1	MT101	**2**	MT103	**3**	MT110	**4**	MT202
5	MT202COV	**6**	MT700	**7**	MT701	**8**	MT707
9	MT103STP	**10**	MT105	**11**	MT111	**12**	MT112
13	MT190	**14**	MT191	**15**	MT192	**16**	MT195
17	MT196	**18**	MT198	**19**	MT199	**20**	MT210
21	MT290	**22**	MT291	**23**	MT292	**24**	MT295
25	MT296	**26**	MT298	**27**	MT299	**28**	MT300
29	MT399	**30**	MT400	**31**	MT410	**32**	MT412
33	MT455	**34**	MT490	**35**	MT491	**36**	MT492
37	MT495	**38**	MT496	**39**	MT498	**40**	MT499
41	MT536	**42**	MT590	**43**	MT591	**44**	MT599
45	MT606	**46**	MT607	**47**	MT671	**48**	MT699
49	MT711	**50**	MT720	**51**	MT721	**52**	MT730
53	MT734	**54**	MT742	**55**	MT747	**56**	MT750
57	MT752	**58**	MT754	**59**	MT756	**60**	MT760
61	MT767	**62**	MT768	**63**	MT769	**64**	MT790
65	MT791	**66**	MT795	**67**	MT796	**68**	MT798
69	MT799	**70**	MT802	**71**	MT895	**72**	MT896
73	MT899	**74**	MT910	**75**	MT950	**76**	MT995
77	MT996	**78**	MT998	**79**	MT999	**80**	MT107

Table 15: SWIFT Message Types

81	MT204	**82**	MT416	**83**	MT420	**84**	MT430
85	MT516	**86**	MT526	**87**	MT581	**88**	MT592
89	MT608	**90**	MT705	**91**	MT710	**92**	MT792
93	MT801	**94**	MT900	**95**	MT320	**96**	MT604
97	MT605	**98**	MT732	**99**	MT740	**100**	MT940
101	MT942	**102**	MT985	**103**	MT986	**104**	MT890
105	MT895	**106**	MT896	**107**	MT899	**108**	MT900
109	MT910	**110**	MT940	**111**	MT942	**112**	MT950
113	MT985	**114**	MT986	**115**	MT995	**116**	MT996
117	MT998	**118**	MT999	**119**	MT102	**120**	MT104
121	MT200	**122**	MT203	**123**	MT456	**124**	MT708
125	MT321	**126**	MT540	**127**	MT541	**128**	MT542
129	MT543	**130**	MT544	**131**	MT305	**132**	MT396
133	MT568	**134**	MT596	**135**	MT696	***136***	MT304
137	MT350	**138**	MT362	**139**	MT566	**140**	MT765

6.2 ISO20022 Message Types

For the ISO20022 message category, the following message types are the ready-to-use message types that you can use after you log in.

Table 16: ISO20022 Message Types

1	Pain.001.001.08	**2**	Pacs.008.001.07	**3**	Pacs.003.001.02	**4**	Pacs.008.001.02
5	Pacs.008.001.08	**6**	Pacs.010.001.03	**7**	Pain.001.001.09	**8**	Pacs.009.001.08
9	Pacs.004.001.09	**10**	Camt.050.001.05	**11**	camt.026.001.09	**12**	camt.027.001.09
13	camt.028.001.11	**14**	camt.029.001.11	**15**	camt.031.001.06	**16**	camt.032.001.04
17	camt.033.001.06	**18**	camt.038.001.04	**19**	camt.052.001.08	**20**	camt.052.001.10
21	camt.053.001.08	**22**	camt.053.001.10	**23**	camt.054.001.08	**24**	camt.054.001.09
25	camt.054.001.10	**26**	camt.056.001.10	**27**	camt.060.001.05	**28**	camt.060.001.06
29	camt.087.001.08	**30**	pacs.002.001.12	**31**	pacs.003.001.10	**32**	pacs.004.001.12
33	pacs.008.001.11	**34**	pacs.009.001.10	**35**	pacs.010.001.05	**36**	pacs.028.001.05

6.3 Fedwire Message Types

For the Fedwire message category, the following message types are the ready-to-use message types that you can use after you log in.

Table 17: Fedwire Message Types

1	FDCTR1000	**2**	FDBTR1002	**3**	FDCTR1002	**4**	FDCTR1008
5	FDCTR1600	**6**	FDCTR1602	**7**	FDBTR1600	**8**	FDBTR1000
9	FDBTR1008	**10**	FDBTR1602	**11**	FDCTP1000	**12**	FDCTP1002
13	FDCTP1008	**14**	FDCTP1600	**15**	FDCTP1602	**16**	FDCKS1600
17	FDCKS1602	**18**	FDDEP1600	**19**	FDDEP1602	**20**	FDFFR1600
21	FDFFR1602	**22**	FDFFS1600	**23**	FDFFS1602	**24**	

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