

Oracle® Financial Services

Compliance Studio Release Notes



Release 8.1.2.9.0

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Document Control

The following table lists document control of this guide.

Table Document Control

| Version Number | Revision Date | Change Log |
|----------------|---------------|---|
| 8.1.2.9.2 | July 2025 | Added bugs 38174062, 38173989, 38173417, and 38171370 to the Known Issues and Limitations section. |
| 8.1.2.9.0 | April 2025 | Updated the following sections: <ul style="list-style-type: none">• New Features in This Release• Known Issues and Limitations |

Preface

This section provides information on the Oracle Financial Services (OFS) Compliance Studio Release Notes.

Audience

This document is intended for users of OFS Compliance Studio, Release 8.1.2.9.0.

Related Documents

This section identifies additional resources to the OFS Compliance Studio. You can access additional documents from the [Oracle Help Center](#).

Documentation Accessibility

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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. |

| Convention | Meaning |
|---------------|--|
| <i>italic</i> | 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. |

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Introduction

OFS Compliance Studio is an advanced analytics application that supercharges anti-financial crime programs for better customer due diligence, transaction monitoring, and investigations by leveraging the latest innovations in artificial intelligence, open-source technologies, and data management. It combines Oracle's Parallel Graph Analytics (PGX), Machine Learning for AML, Entity Resolution, Model Management and Governance, notebook-based code development and enables Contextual Investigations in one platform with complete and robust Model Management and Governance functionality.

1.1 Capabilities Offered by Compliance Studio

Compliance Studio has inbuilt advanced analytics for fighting financial crime on a robust platform that also allows for management and governance of user defined models and close integration with the Oracle Financial Services Crime and Compliance Management suite of applications.

- **Specific Use Cases for Financial Crime**
 - Behavioral ML models and Custom rules-based scenario frameworks for identifying suspicious patterns of behaviour and generating alerts for review
 - Sanctions and AML Event Scoring for false positive prediction and disposition
 - Automated Scenario Calibration and Scenario Conversion Utility for Oracle AML Scenarios
 - Customer Risk Scoring
 - Customer Segmentation and Anomaly Detection
 - Typology Detection
- **The following specific use cases are supported by the ML Foundation for Financial Crimes**
 - Integrated with Oracle Financial Crime Application Data and readily usable across the enterprise financial crime data lake
 - Pre-engineered features and transformations to address each use case
 - Simplified APIs for each stage of the modeling lifecycle
 - Leverage the power of Graph, Supervised ML, and Unsupervised ML to build typology detection models, detect anomalies, and risk score customers or events
 - Ongoing Monitoring of Model Performance and Concept Drift
- **Entity Resolution for Detection and Investigations**
 - Entity Resolution to enhance monitoring effectiveness and provide a single customer view
 - Linking and Resolution across internal and external data to improve single entity detection and enhance investigations
 - Allows for Scenario/Model detection across internal data
 - Multi-attribute enabled with ML boosts for Name/Address models

- Prebuilt Integrations and easily configurable for Data Sources like ICIJ, Safari, etc
- **Graphs**
 - Graph Pipeline feature allows you to view the data relationships in a graphical format.
 - Graph Analytics will give Financial Institutions the ability to monitor the data financial institutions effectively. The data is organized as nodes, relationships, and properties (property data is stored on the nodes or relationships). The results of analytics algorithms are stored as transient properties of nodes and edges in the Graph.
- **Model Management and Governance**
 - End-to-end management from model creation to model deployment
 - * Data Ingestion (Oracle DB, Graph, Hive)
 - * Model Development
 - * Supports virtually all open source packages, interpreters, etc.
 - * Process in Database or Big Data
 - * Model Training
 - * Model Performance Evaluation
 - * Model Explainability
 - * Model Tracking and Audit
 - * Approval Mechanisms
 - * Model Deployment
 - * Scheduling
 - * Ongoing Monitoring
 - * Analytics of Choice
 - * Choose from our proprietary models or bring your own
 - * Fully embedded Graph Analytics Engine and Financial Crime Model
 - * Embedded with a highly scalable in-memory Graph Analytics Engine (PGX)
 - * Industry's most intuitive Graph Query Language to gain rapid insights
- **Analytics of Choice**
 - Choose from our proprietary models or bring your own
 - Fully embedded Graph Analytics Engine and Financial Crime Model
 - Embedded with a highly scalable in-memory Graph Analytics Engine (PGX)
 - Industry's most intuitive Graph Query Language to gain rapid insights
- **Integrated with Oracle Financial Crime and Compliance Applications**
 - Fully defined and sourced Financial Crime Graph Model supporting detection and investigation
 - Integration with ECM and Investigation Toolkit to provide meaningful guidance to investigators for rules-based and ML-generated alerts
 - Enterprise-ready and compatible with the underlying OFSAA framework
 - Works with earlier 8.0.x releases of Oracle Financial Crime and Compliance Management Anti Money Laundering (AML), Enterprise Case Management, and Fraud applications

1.2 New Features in This Release

The following new features are incorporated in this release CS 8.1.2.9.0.

Patch Installer

In the CS 8.1.2.9.0 Maintenance Level (ML) release, users can follow Patch installer approach instead of a full installer. This method helps to save time by only transferring and applying the necessary changes, avoiding the need to install the entire software package.

Ensure the following before applying CS 8.1.2.9.0:

- Install CS 8.1.2.8.0.
(OR)
- If you have applied any intermediate patches on top of CS 8.1.2.8.0, ensure that you apply all patches up to the latest 8.1.2.8.x version.
For more information about how to apply this patch, see the [OFS Compliance Studio Installation Guide](#).

Entity Resolution

- The new ER pipeline (**CSA_8129**) has been introduced.
- Users should populate the stg_party_type_master table with the FIC_MIS_DATE before executing any ER jobs.
- The execution status of the ER_Run_Data_Survival_Engine.sh job has been improved. If the ER job is already triggered and is currently running, users can do the following:
 - Wait for the job to complete.
(OR)
 - If you suspect the job is stuck due to reasons such as environment issues, database problems, etc., you should terminate the running instance and trigger a new run with RUN_TYPE set to “RERUN”.
- Log files for the ER_Create_And_Load_Data_Into_Index.sh job have been improved when processing high-volume data for ER batches and loading data into Elastic search/ OpenSearch.

Graph

- Compliance Studio 8.1.2.9.0 includes required changes to support the new Investigation Flow notebook in Investigation Toolkit 8.1.2.9.0.
- Compliance Studio supports connection pooling configuration from any external schema.
- Compliance Studio allows Quantifind integration with the Investigation Toolkit.

Common for Both Entity Resolution and Graph

The OpenSearch version has been upgraded from 2.3.0 to 2.18.0.

Interpreter

- Users can configure R (ore) interpreter in the Compliance Studio. For configuration, see the [OFS Compliance Studio Administration and Configuration Guide](#).
- The FCC interpreters (fcc-python, fcc-python-ml4aml, and fcc-python-sane) are deprecated. Users with custom notebooks created using these FCC interpreters should migrate to the corresponding eligible Python interpreter to ensure continued functionality.

Custom Scenario is available in Compliance Studio

The Custom Scenario feature allows you to develop and deploy tailored models or scenarios to monitor transactions for suspicious activity. It provides a rich set of pre-engineered features to support the development of such custom scenarios. Events generated by these models can be easily ingested into downstream case management systems for review.

ML4AML

- Auto Close and Escalate using Machine Learning Customer Screening
 - The Customer Screening solution (Zipper Alerts Management UI) has been integrated with Machine Learning (ML), allowing financial institutions to streamline their compliance workflows, improve productivity, and maintain robust defenses against financial crimes. The ML models aid the compliance users in adjudication of matches, reducing false positives, and enabling more efficient identification of potential risks.
- Bulk Threshold Uploads in Automated Scenario Calibration
 - Using the Bulk Upload feature, users can create a Threshold Set for the respective scenario, which will be used to execute scenarios in the Scenario Execution Notebook for analysis.
- Enhancements in Behavioral Model
 - Additional Red Flag features and Base features will allow users to create a wider set of ML models for Transaction Monitoring.

1.3 Installing the Release

For detailed instructions on installing the release, see the [OFS Compliance Studio Installation Guide](#).

1.4 Known Issues and Limitations

The following tables lists the Known Issues and Limitations in this release.

Table 1-1 Graph

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|---|
| 1 | 35564509 | ECM Graph - When a graph pipeline task fails and user "restarts" the run, the failed tasks throw "invalid table name" error. | User needs to schedule a new batch with all the failed tasks and re-execute |
| 2 | 36381673 | Event Pipeline fails when the same EVENT_CD comes from different DATA_ORIGIN. | NA |
| 3 | 35953859 | Unable to fetch Match Rule and Refresh Graph runtime parameters in schedule configurations UI. | NA |

Table 1-1 (Cont.) Graph

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|--|
| 4 | 36993405 | Job Monitor UI shows the Match rule job as failure even though the batch is in progress in the backend. | NA |
| 5 | 36779972 | Customer to External Entity similarity edges are not visible in graph. Approve action from Manual Decision UI does not work. | NA |
| 6 | 36977898 | Unable to create edges between widgets inside Graph Definition UI. | Drag and drop the widget towards the right hand side of the UI and then create the edge |
| 7 | 36997965 | Refresh Graph fails when Quantifind is enabled with a fresh installation. | <p>To avoid this error, follow these steps:</p> <ol style="list-style-type: none"> 1. Navigate to <code><COMPLIANCE_STUDIO_INSTALLATION_PATH>/bin</code> directory. 2. Open config.sh file and update <code>NO_PROXY</code> value as <code>"*\$(hostname -d) localhost\$(hostname -i) 127.0.0.1 0.0.0.0"</code> 3. Restart Compliance Studio |

**Note:**

It is Beta functionality with Matching Mechanism as Oracle Text (OT).

Table 1-2 Entity Resolution

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|------------|
| 8 | 33429546 | Name and address transliteration is not happening for both source and target while matching. | NA |

Table 1-2 (Cont.) Entity Resolution

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|------------------------------------|
| 9 | 36376217 | ER Job 1 fails with deadlock error Intermittently when the Delta Computed is set to False. | Re-run the Entity Resolution Job 1 |
| 10 | 36336726 | Transliteration does not work for Chinese and Korean languages. | NA |

Table 1-3 Notebook Server and Interpreters

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|--|
| 11 | 36376426 | The "Data Studio Options" menu is not visible for a particular user if the "IDENTITY ADMIN" and "IDENTITY AUTH" groups are not assigned. | Add "IDENTITY ADMIN" and "IDENTITY AUTH" groups for the user, which should show Data Studio options. |

Table 1-4 ML4AML Use Case

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|--|
| 12 | 35872579 | Scenario execution fails because the default python environment is attached to the notebook. | To avoid this issue, follow these steps: <ol style="list-style-type: none"> 1. User has to navigate to the newly imported AML scenario notebook. 2. Attach the proper Python Runtime environment with the session. The recommended value for the Python Runtime environment is default_<version>. For more information, see Trigger Scenario Execution section in the OFS Compliance Studio Use Case Guide. |

Table 1-4 (Cont.) ML4AML Use Case

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|--|
| 13 | 36373103 | Failure in model fit for a model when parameters "feature_include", and "feature_must_include" are not None and control parameter "find_linear_combos = True". | To work, set parameter "find_linear_combos" = False. |
| 14 | 37808107 | Anomaly Scoring with PCAREC Technique is failing for KM, AGNES, and DBSCAN. | NA |
| 15 | 37814999 | Unsupervised Model - Getting an error while executing the DBSCAN deviation scoring logic with LDCAF and CBLOF technique. | NA |
| 16 | 38174062 | SM - Annual Model Monitoring: BTL Conversion Rate plot is displayed even when there are no valid records. | NA |
| 17 | 38173989 | SM - Annual Model Monitoring: Monthly Scenario Alert Summary is not being displayed. | NA |
| 18 | 38173417 | SM - Monthly Model Monitoring: Margin Density Paragraph's dataframe is None. | NA |

Table 1-5 User Activity

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|--|
| 19 | 35953842 | Data studio's dynamic forms "Drop down" gives error | Invalidate the session and execute the notebook again. |
| 20 | 36975766 | User Login - support of user id that contains space and comma. | In IDCS configuration, SSO Attribute "username" should be the "lastname" |
| 21 | 37008227 | Schema Creation Fails - Cannot Reuse the Same Name. | Create workspace with new name |

Table 1-5 (Cont.) User Activity

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|---|---|
| 22 | 36997284 | Meta Service is failing after restarting the Compliance Studio. | To resolve this issue, follow these steps: <ol style="list-style-type: none">1. Navigate to <OFS_COMPLIANCE_STUDIO_INSTALLATION_PATH>/ deployed/ficdb/ Utilities/ LiquibaseCleanup directory.2. In Studio Schema, execute the metaservice_database_hangelog_cleanup.sql script.3. Restart Compliance Studio |

Table 1-5 (Cont.) User Activity

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|---|--|
| 23 | 38171370 | The authZType parameter is not being replaced in the application.yml file, and direct login to Data Studio is also not working. | <p>To resolve this issue, follow these steps:</p> <ol style="list-style-type: none">1. Navigate to the <COMPLIANCE_STUDIO_INSTALLATION_PATH>/deployed/mmg-home/mmg-studio/conf directory.2. Open the application.yml file.3. Under the saml configuration section, add the following line. authZType: "<SAML/AAI>" <p>Note:</p> <ul style="list-style-type: none">• If Data Studio retrieve mapped groups from AAI, set authZType to AAI.• If Data Studio retrieve mapped groups from IDCS, set authZType to SAML. <ol style="list-style-type: none">4. Navigate to the <COMPLIANCE_STUDIO_INSTALLATION_PATH>/mmg-home/mmg-studio/conf directory5. Open the application.yml file and repeat the same change made in the Step 3. |

Table 1-6 Investigation Toolkit

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|---|------------|
| 24 | 37876400 | The case merge utility does not update the metadata tables during a "concat" operation. | NA |

Table 1-7 Scenario Conversion Utility

| S.No | Bug ID | Known Issues and Limitations | Workaround |
|------|----------|--|------------|
| 25 | 35943957 | Scenario Conversion Utility - The Events are not getting generated for these(ML/AC) Networks of Accounts, Entities, and Customers, (ML/AC) Escalation in Inactive Account scenarios. | NA |

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Hardware and Software Tech Stack Details

For more details on the hardware and software combinations, see Oracle Financial Services Analytical Applications 8.1.2.0.0 Technology Matrix available in the [OHC Tech Stack](#).

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Licensing Information

Licensing Information For details on the third-party software tool used, see the *OFSAA Licensing Information User Manual Release 8.1.2.0.0* available in the [Licensing Information User Manuals](#).