

Oracle® Financial Services

Investigation Toolkit Release Notes



Release 8.1.2.9.0

G30154-02

May 2025

ORACLE®

Copyright © 1994, 2025, Oracle and/or its affiliates.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish, or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this is software, software documentation, data (as defined in the Federal Acquisition Regulation), or related documentation that is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, then the following notice is applicable:

U.S. GOVERNMENT END USERS: Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs) and Oracle computer documentation or other Oracle data delivered to or accessed by U.S. Government end users are "commercial computer software," "commercial computer software documentation," or "limited rights data" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, the use, reproduction, duplication, release, display, disclosure, modification, preparation of derivative works, and/or adaptation of i) Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs), ii) Oracle computer documentation and/or iii) other Oracle data, is subject to the rights and limitations specified in the license contained in the applicable contract. The terms governing the U.S. Government's use of Oracle cloud services are defined by the applicable contract for such services. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software or hardware in dangerous applications.

Oracle®, Java, MySQL, and NetSuite are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

Intel and Intel Inside are trademarks or registered trademarks of Intel Corporation. All SPARC trademarks are used under license and are trademarks or registered trademarks of SPARC International, Inc. AMD, Epyc, and the AMD logo are trademarks or registered trademarks of Advanced Micro Devices. UNIX is a registered trademark of The Open Group.

This software or hardware and documentation may provide access to or information about content, products, and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third-party content, products, and services unless otherwise set forth in an applicable agreement between you and Oracle. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services, except as set forth in an applicable agreement between you and Oracle.

Contents

Preface

Audience	v
Related Resources	v
Documentation Accessibility	v
Diversity and Inclusion	v
Conventions	v
Comments and Suggestions	vi

1 Overview

2 Release Information

2.1	New Features in this Release	2-1
2.2	Installing the Investigation Toolkit	2-1
2.3	Known Issues and Limitations in this Release	2-2

3 Hardware and Software Tech Stack Details

4 Licensing Information

Document Control

The following table lists document control of this guide.

Table Document Control

Version Number	Revision Date	Change Log
8.1.2.9.0	April 2025	Updated new feature and known issues.

Preface

This section provides information of the Oracle Financial Services (OFS) Investigation Toolkit Release Notes.

Audience

This document is intended for users of OFS Investigation Toolkit, Release 8.1.2.9.0.

Related Resources

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

Documentation Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docacc>.

Access to Oracle Support

Oracle customer access to and use of Oracle support services will be pursuant to the terms and conditions specified in their Oracle order for the applicable services.

Diversity and Inclusion

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.

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.

Comments and Suggestions

Please give us feedback about Oracle Applications Help and guides! You can send an e-mail to: <https://support.oracle.com/portal/>.

1

Overview

OFS Investigation Toolkit accelerates investigations by bringing relevant information sources together (including external API calls to sources such as Quantifind), and preventing the need for the manual collation of information from disparate sources (where data is not available in OFS Enterprise Case Management). OFS Investigation Toolkit automatically generates case narratives and insights, highlights risk factors, and red flags that are meaningful to the investigation, and recommends actions based on the scoring algorithms as required.

Investigation Toolkit comes with a selection of notebook templates for customers to adapt for their own Investigative needs. Multiple types of notebooks or configurations of the same notebook can be configured and are permission driven.

The Notebook templates available are:

- Investigation Flow Template - Focused on case information, configurable narratives and highlighting of case risk factors. It follows the flow of a typical investigation.
- ECM Integration L1 Template - Primarily for users who would heavily leverage the graph in their Case Investigations, expanding beyond the boundaries of the original case.
- Special Investigation Template - Like the L1 Template but the starting point would be an entity name search rather than a case id.
- Case Narrative Template - Simple template which does not include a graph but is focused on providing a case summary as a narrative.

The L1 and Special Investigations Notebooks are built on the Financial Crime Graph Model Schema which is configurable within OFS Compliance Studio and optionally provides the capability for matching to third-party sources of data like ICIJ and well as linking internal similar internal parties.

Key Features

Investigation Toolkit includes the following key features:

- Pre-built notebooks for case investigation and special investigation
- Configurable red flags and risk factors to highlight key areas for investigation
- Case summary in narrative format and case recommendation
- Exploration of the financial crimes global-graph using an interactive and visual Graph Explorer tool
- Integrates fully with FCDM (data can be loaded directly from Behavior Detection (AML) or ECM instance) and ICIJ data sources. It can be enhanced to support other data sources such as watchlist and company hierarchy data
- Built on OFS Compliance Studio, which includes a highly scalable in-memory Oracle Graph Analytics Engine (PGX), AI, and machine learning
- Integrated with Quantifind API for additional information on case entities

2

Release Information

This topic describes the new features and known issues in this release of OFS Investigation Toolkit.

2.1 New Features in this Release

In the 8.1.2.9.0 release of Investigation Toolkit, a new Investigation Flow Template Notebook has been introduced which is focused on providing pre-defined narrative sections, highlighting of risk factors and summarizing transaction data. It has a reusable, structured framework that guides compliance analysts through the end-to-end investigation process. It standardizes data analysis, documentation, and reporting, ensuring consistency, auditability, and efficiency across different types of compliance investigations. It also contains a graphical view of the case data.

The Investigation Flow Template Notebook has the following key features:

- SQL framework for pulling case data into notebook
- Ability to configure entity risk factors
- Configurable narrative paragraphs at each stage of the investigation
- Ability to override values and enter review comments and remarks
- Final narrative paragraph consolidating the interim narratives, overrides and comments
- Support for restricted words
- PDF generation with ability to support separate style from narrative for printing
- Ability to refresh case notebook for real-time changes such as case merging
- Audit and narrative synchronization with ECM



Note:

As a prerequisite ensure that you install the following patches of Compliance Studio before installing Investigation Toolkit:

- Apply patch **37649413** (8.1.2.9.0)
- Apply patch **37865671** (8.1.2.9.1)

2.2 Installing the Investigation Toolkit

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

2.3 Known Issues and Limitations in this Release

The following table lists the known issues and its limitations in this release.

Table 2-1 ECM Integration L1 and Special Investigation Notebooks

S.No	Bug ID	Known Issues and Limitations	Workaround
1	32895388	<p>USER ACTIVITY – Export To PDF</p> <p>Exported PDF will not have complete information about the notebook details for the following notebooks:</p> <ul style="list-style-type: none">• Special Investigation (SI)• ECM Integration L1 <p>For example, when you export the SI notebook as PDF, the Graph Result of the Entity Search details will be missing in the exported PDF.</p>	-
2	36104249	<p>The user is not getting exact matches in the Initial Screening Results paragraph when SEARCH_TYPE is exact and it gives fuzzy matches.</p>	-
3	36169756	<p>User encounters null pointer exception in the Initial Screening Results paragraph, when user is searching with Name/Tax id/Address for non-case entities in case of re-run.</p>	Re-run the Initial Screening Results Paragraph.
4	36081975	<p>The fields such as Address, Phone number, City, Email ID, and Country are repeated multiple times in the Customer/Account graph property.</p>	-

Table 2-2 Investigation Flow Notebook

S.No	Bug ID	Known Issues and Limitations	Workaround
5	37889129	There are inconsistencies in the Consolidated and Raw Transactions sections - % Total amount does not sum to 100, and the transaction counts based on slider input values are incorrect.	-
6	37883868	MI and Wire transactions between the External Entity and the Account, in both directions, are not reflected in the case graph.	Contact My Oracle Support for the revised query.
7	37893474	Overridden values are not being restored after the notebook session is invalidated.	-

3

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](#).

4

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](#).