

Oracle® Financial Services Transaction Filtering Administration Guide



Release 8.1.2.11.0

G50117-01

February 2026

ORACLE®

Copyright © 1994, 2026, 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

1 About This Guide

| | | |
|-----|--------------------------------|---|
| 1.1 | Intended Audience | 1 |
| 1.2 | Access to Oracle Support | 1 |
| 1.3 | How This Guide is Organized | 1 |
| 1.4 | Where to Find More Information | 2 |
| 1.5 | Conventions Used in this Guide | 2 |

2 About Oracle financial Services Transaction Filtering

| | | |
|-----|--------------------------------|---|
| 2.1 | Transaction Filtering Workflow | 2 |
|-----|--------------------------------|---|

3 Getting Started

| | | |
|-------|--|----|
| 3.1 | Accessing the Oracle Financial Services Analytical Applications (OFSAA) Page | 1 |
| 3.2 | Managing the Oracle Financial Services Analytical Applications (OFSAA) Page | 2 |
| 3.2.1 | Transaction Filtering Admin Menu | 2 |
| 3.2.2 | ISO20022 Configuration Admin Menu | 3 |
| 3.2.3 | SWIFT Configuration Admin Menu | 4 |
| 3.2.4 | Process Modeller Menu | 5 |
| 3.2.5 | FEDWIRE Configuration Admin Menu | 6 |
| 3.2.6 | Process Monitor Menu | 7 |
| 3.2.7 | Run Definition Menu | 8 |
| 3.2.8 | List Management Menu | 9 |
| 3.2.9 | Inline Processing Menu | 9 |
| 3.3 | Queue Management | 10 |
| 3.3.1 | List View | 11 |
| 3.3.2 | Grid View | 12 |
| 3.3.3 | Configuring New Priority | 14 |
| 3.3.4 | Archiving a Queue | 16 |
| 3.4 | Troubleshooting Your Display | 17 |
| 3.4.1 | Enabling JavaScript | 17 |
| 3.4.2 | Enabling Cookies | 18 |
| 3.4.3 | Enabling Temporary Internet Files | 18 |
| 3.4.4 | Enabling File Downloads | 18 |

| | | |
|-------|-----------------------------|----|
| 3.4.5 | Setting Printing Options | 18 |
| 3.4.6 | Enabling the Pop-Up Blocker | 19 |
| 3.4.7 | Setting Preferences | 19 |

4 Managing User Administration

| | | |
|-------|---------------------------------|---|
| 4.1 | About User Administration | 1 |
| 4.2 | Managing User Administration | 1 |
| 4.2.1 | Creating and Authorizing a User | 1 |
| 4.2.2 | Mapping Users with User Groups | 1 |

5 General Configurations

| | | |
|---------|---|----|
| 5.1 | Configuring the Application Level Parameters | 1 |
| 5.2 | Configuring the Good Guy Matching Parameters | 3 |
| 5.3 | Configuring the SLA Parameters | 4 |
| 5.4 | Automatic Assignments of Alerts | 6 |
| 5.5 | Configuring the Cut-Off Parameters for Alerts | 8 |
| 5.6 | Wire Stripping Configuration | 11 |
| 5.6.1 | Configuring Business Data Attribute | 13 |
| 5.6.2 | Configuring Wire Stripping Validation for WS Alert Details Screen | 14 |
| 5.7 | Setting the Priority for Messages | 14 |
| 5.8 | Running the Purge Utility | 15 |
| 5.9 | Adding, Editing or Deleting Good Guy Records | 16 |
| 5.9.1 | Adding a Good Guy Record | 16 |
| 5.9.2 | Editing a Good Guy Record | 17 |
| 5.9.3 | Deleting a Good Guy Record | 17 |
| 5.9.4 | Good Guy Attributes | 17 |
| 5.9.4.1 | Managing the Good Guy Attributes | 19 |
| 5.10 | Generating Email for Different Statuses | 21 |
| 5.10.1 | Notification Email | 21 |
| 5.10.2 | Task Email | 21 |
| 5.11 | Configuring Alerts in Multiple Jurisdictions and Business Domains | 22 |
| 5.11.1 | Configuring Jurisdictions and Business Domains | 23 |
| 5.11.2 | Configurations to Automatically Assign Transactions | 25 |
| 5.11.3 | Configurations to Automatically Release Transactions | 25 |
| 5.12 | Version Control | 26 |
| 5.12.1 | Version Control for SWIFT Messages and IPE | 26 |
| 5.12.2 | Version Control for ISO20022 | 26 |
| 5.12.3 | Version Control for EDQ | 26 |
| 5.13 | Running the Migration Utility for SWIFT, Fedwire and ISO20022 | 27 |
| 5.13.1 | Restoring a Previous Message Configuration | 28 |

| | | |
|--------|--|----|
| 5.14 | Running the Migration Utility for ISO20022 | 29 |
| 5.15 | Configuring JMS Correlation ID | 30 |
| 5.16 | Configuring Parallel Processing | 30 |
| 5.17 | Configuring Additional Columns on the Alert List page | 31 |
| 5.18 | Configuring the Parameters for Highlighting the Matched Data | 32 |
| 5.19 | Configuring Select All Option for the Events Table | 33 |
| 5.20 | Configuring Bulk Action Feature for the Alert List | 34 |
| 5.21 | Retrigger Functionality | 34 |
| 5.21.1 | Configuring Data Source in WebLogic Application Server | 34 |
| 5.22 | Multiple wars deployment configuration | 35 |

6 Configuring the SWIFT Message Parameters

| | | |
|-------|---|----|
| 6.1 | Message and Screening Configurations Window | 1 |
| 6.1.1 | Adding or Updating a New Message Type | 3 |
| 6.1.2 | Repeating Sequences | 4 |
| 6.1.3 | Configuring the References | 4 |
| 6.2 | <Message Type> Subfield Level Configuration Window | 6 |
| 6.3 | <Message Type> Screening Configuration Window | 9 |
| 6.3.1 | Enabling or Disabling a Web Service | 13 |
| 6.3.2 | Updating and Removing a Web Service | 14 |
| 6.3.3 | Populating Data for the Trade Goods and Trade Port Web Services | 14 |
| 6.4 | <Message Type> Other Field/Subfield Configuration Window | 14 |

7 Configuring the Fedwire Message Parameters

| | | |
|-------|---|----|
| 7.1 | Message Type Configuration Window | 2 |
| 7.1.1 | Adding or Updating a New Message Type | 3 |
| 7.1.2 | Configuring Message and Transaction References | 3 |
| 7.2 | <Message Type> Subfield Level Configuration Window | 4 |
| 7.3 | <Message Type> Screening Configuration Window | 6 |
| 7.3.1 | Enabling or Disabling a Web Service | 10 |
| 7.3.2 | Updating and Removing a Web Service | 11 |
| 7.3.3 | Populating Data for the Trade Goods and Trade Port Web Services | 11 |
| 7.4 | <Message Type> Other Field/Subfield Configuration Window | 11 |

8 Configurations for ISO20022 Message Parameters

| | | |
|-------|--|----|
| 8.1 | Configuring the ISO20022 Message Parameters | 1 |
| 8.1.1 | SWIFT MX Message Types Configuration | 12 |
| 8.1.2 | Running the ISO20022 Batch | 12 |
| 8.1.3 | External Attributes Screening Configuration for ISO20022 Batch | 17 |

| | | |
|-----------|---|----|
| 8.2 | Audit Queries | 19 |
| 9 | Configurations for the US NACHA Batch Process | |
| 9.1 | Adding New Message Type in NACHA | 3 |
| 10 | Enterprise Data Quality (EDQ) Configurations | |
| 10.1 | Performance Improvement Measures for EDQ | 1 |
| 10.2 | EDQ Configuration Process Flow | 2 |
| 10.2.1 | Importing the Transaction Screening Project | 8 |
| 10.2.2 | Configuring Watch List Management and Transaction Filtering | 8 |
| 10.2.2.1 | Preparing Watch List Data | 9 |
| 10.2.2.2 | Setting Up Private Watch List | 9 |
| 10.2.2.3 | Filtering Watch List Data | 12 |
| 10.2.2.4 | Viewing Reference Data for Web Services | 16 |
| 10.2.2.5 | Extending Prohibition Screening | 19 |
| 11 | Configuring Risk Scoring Rules | |
| 12 | Simulation | |
| 12.1 | TF Process Flow | 1 |
| 12.2 | Integrating With Compliance Studio | 3 |
| 12.2.1 | Workspace Creation Pre-Requisite | 4 |
| 12.2.2 | Workspace Creation Pre-Configuration | 4 |
| 12.2.2.1 | Create Database Schema for the new workspace | 4 |
| 12.2.2.2 | Add the schema to wallet in the Compliance Studio Setup | 5 |
| 12.2.2.3 | Add the infodom in Weblogic Console | 5 |
| 12.2.2.4 | Configure the infodom in tnsnames.ora in Simulation Sanctions Setup | 6 |
| 12.2.2.5 | Display the OFSAA Environment Menu in Compliance Studio UI | 6 |
| 12.2.2.6 | Registering the OFSAA Environment Details | 7 |
| 12.2.2.7 | Procedure to Create PPK File | 10 |
| 12.2.2.8 | Different ways of PPK File Registration | 11 |
| 12.2.2.9 | Configuring the Data Source | 12 |
| 12.2.3 | Workspace Creation | 13 |
| 12.2.3.1 | Configuring Basic Details | 14 |
| 12.2.3.2 | Configuring Workspace Schema | 15 |
| 12.2.3.3 | Configuring Data Sourcing | 16 |
| 12.2.3.4 | Configuring Metadata Sourcing | 16 |
| 12.2.3.5 | Validating Workspace | 17 |

| | | |
|----------|---|----|
| 12.2.3.6 | Displaying Summary | 17 |
| 12.2.4 | Workspace Creation Post-Configuration | 17 |
| 12.2.4.1 | Configuration in Sanctions Application | 18 |
| 12.2.4.2 | Update Files in TFLT WAR Associated with the Workspace | 18 |
| 12.2.4.3 | Importing Workspace Metadata for ML4AML for the created Workspace | 19 |
| 12.2.4.4 | Populate the Work Space | 20 |
| 12.2.4.5 | WebLogic console configuration | 20 |
| 12.3 | Managing a Workspace | 20 |
| 12.4 | Populating the Workspace | 20 |
| 12.5 | Managing Model Pipelines | 23 |
| 12.5.1 | Creating a Model | 24 |
| 12.5.1.1 | Creating Objective (Folders) | 24 |
| 12.5.1.2 | Creating Draft Models Using Seeded Model | 25 |
| 12.5.1.3 | Cloning a Model | 27 |
| 12.6 | Model Pipeline | 27 |
| 12.6.1 | Pipeline | 27 |
| 12.6.2 | Dashboard | 30 |
| 12.6.3 | Notebook | 31 |
| 12.6.4 | Simulations | 31 |
| 12.6.5 | Execution History | 32 |
| 12.6.6 | Compare | 34 |
| 12.7 | Report Extraction | 34 |
| 12.8 | Publishing a Pipeline | 35 |
| 12.9 | Deploying the Model | 36 |
| 12.10 | Audit Trail | 38 |

A Watch Lists

| | | |
|-----|--------------------------------------|-----|
| A.1 | HM Treasury Watch List | A-1 |
| A.2 | OFAC Watch List | A-1 |
| A.3 | EU Watch List | A-1 |
| A.4 | UN Watch List | A-2 |
| A.5 | World-Check Watch List | A-2 |
| A.6 | Dow Jones Watch List | A-3 |
| A.7 | Dow Jones Anti-Corruption Watch List | A-3 |
| A.8 | Private Watch List | A-3 |

B Appendix B: System Audit Logging Information

| | | |
|-----|-----------------------------------|-----|
| B.1 | Activities for System Audit | B-1 |
| B.2 | Steps for System Audit Activities | B-1 |

C Process Modeller Framework (PMF) Configurability

| | | |
|---------|---|-----|
| C.1 | Configuring the Human Task in the PMF Page | C-1 |
| C.1.1 | Mapping the Transaction Statuses and Transaction Outcomes | C-2 |
| C.1.2 | Adding Data Fields for the PMF Status | C-2 |
| C.1.3 | Adding Application Rules for the PMF Status | C-3 |
| C.1.3.1 | Mapping Rule Types to Application Rules | C-3 |
| C.1.3.2 | Mapping User Groups to Application Rules | C-3 |
| C.1.4 | Configurations Required for the Audit Tables | C-3 |
| C.1.5 | Configurations Required for the setup_rt_params Table | C-3 |
| C.1.6 | TIME_ZONE Configurations Required for the dim_ - sanctions_status Table | C-4 |
| C.1.7 | Creating New User Groups | C-5 |
| C.1.8 | Other Configurations | C-5 |

D PMF Configurations for Pool of Analyst

| | | |
|-----|---|-----|
| D.1 | Mapping the dim_sanctions_status Table | D-6 |
| D.2 | Adding Data Fields to the JSON Object | D-6 |
| D.3 | List of Attributes Passed to Workflow | D-7 |
| D.4 | Attribute to Configure the Auto Refresh in Queue Management | D-8 |

E Delta Watch List Configurations

| | | |
|-------|--|-----|
| E.1 | Configurations for the Full and Delta Watch Lists | E-2 |
| E.1.1 | Running the Full Watch list | E-2 |
| E.1.2 | Running the Delta Watch List | E-3 |
| E.1.3 | Merging the Delta Watch List to the Full Watch List | E-4 |
| E.2 | Delta Watch List Configurations for the World-Check Watch List | E-4 |
| E.2.1 | Configurations for the Full and Delta Watch Lists | E-5 |
| E.2.2 | Running the Full Watch List | E-5 |
| E.2.3 | Running the Delta Watch List | E-6 |
| E.2.4 | Merging the Delta Watch List to the Full Watch List | E-7 |

F Message Categories and Message Types

| | | |
|-----|------------------------|-----|
| F.1 | SWIFT Message Types | F-1 |
| F.2 | ISO20022 Message Types | F-2 |
| F.3 | Fedwire Message Types | F-2 |
| F.4 | US NACHA Message Types | F-3 |

G Invoking the PMF Workflow from backend

| | | |
|----------|--|------|
| H | JMS Cluster Environment Creation | |
| H.1 | JMS Server Creation | H-1 |
| H.2 | JMS Module Creation | H-3 |
| H.3 | Sub-Deployment Creation | H-5 |
| H.4 | Distributed Queues Creation | H-6 |
| H.5 | Distributed Topic Creation | H-8 |
| H.6 | Connection Factory Creation | H-10 |
| H.7 | JMS Queue Creation for SWIFT, Fedwire and ISO20022 Message Types | H-12 |
| I | User Group Customization | |
| J | Configurations for the Bearer Token | |
| J.1 | Generate User Password | J-1 |
| J.2 | Change Token Validity | J-3 |
| J.3 | Generate Token | J-4 |
| J.4 | Send Requests | J-5 |
| K | Function Codes for User Groups | |
| L | Setting the ZEPPELIN_INTERPETER_OUT-PUT_LIMIT in Python Interpreter | |
| L.1 | Configuring through the UI | L-1 |
| L.2 | Configuring through the Filesystem | L-3 |
| M | API to Check the Status of EDQ Job | |
| N | API to Check the Sanctions Alert Status | |
| O | ISO Batch Performance Improvement | |
| O.1 | Multiparser | O-1 |
| O.2 | MultiEDQ | O-2 |
| O.3 | MultiFeedback | O-3 |
| O.4 | Message Data Attributes (IPE) for Custom Batches | O-3 |

P NACHA Batch Performance Improvement

| | | |
|-----|-------------|-----|
| P.1 | Multiparser | P-1 |
| P.2 | MultiEDQ | P-2 |

Index

Document Control

This table records the number of revisions or changes done to this document as part of a release.

Table Document Control

| Version Number | Revision Date | Change Log |
|----------------|---------------|---|
| 8.1.2.11.0 | February 2026 | The following XML screening configurations are enabled in the ISO20022/XML Configuration Admin screen: Name and Address Identifier Country and City Narrative or Free Text Information Port Screening Goods Screening in Configuring the ISO20022 Message Parameters section. |
| 8.1.2.10.0 | August 2025 | Added a new Appendix NACHA Batch Performance Improvement . |
| 8.1.2.10.0 | August 2025 | Updated the Unassign functionality in the section Transaction Filtering Workflow. |
| 8.1.2.9.0 | August 2025 | Added a new section 8.1.3 External Attributes Screening Configuration for ISO20022 Batch |
| 8.1.2.9.0 | April 2025 | Added Appendix O: ISO Batch Performance Improvement section. |
| 8.1.2.9.0 | February2025 | Added Appendix N: API to Check the Sanctions Alert Status section. |
| 8.1.2.8.0 | January2025 | <ul style="list-style-type: none"> Updated Send Requests section. A note is removed from the Automatic Assignments of Alerts section. |
| 8.1.2.8.0 | October 2024 | Added Appendix M: API to Check the Status of EDQ Job section. |
| 8.1.2.8.0 | August2024 | <ul style="list-style-type: none"> Removed information regarding the Accuity Watchlist. Automatic refresh of DJW Sanction List Reference |
| 8.1.2.7.0 | February2024 | <ul style="list-style-type: none"> Added Swift Message Configurations widget information in the TF Pipeline Widgets table. Updated Pipeline Canvas figure. |

Table (Cont.) Document Control

| Version Number | Revision Date | Change Log |
|----------------|---------------|--|
| 8.1.2.6.0 | October 2023 | <ul style="list-style-type: none"> Added Simulation chapter. Added Appendix L: Setting the ZEPPELIN_INTERPETER_OUTPUT_LIMIT in PythonInterpreter chapter. Added the new MX message types in ISO20022 Message Types table. |
| 8.1.2.5.0 | June2023 | <ul style="list-style-type: none"> Added Reviewer user role Information. Added Adding New Message Type in NACHA section. Added Appendix K: Function Codes for User Groups section. Updated Configuring the Application Level Parameters section with procedure for enabling and disabling bulk action. Added Configuring Bulk Action Feature for the Alert List section. Added retrigger configuration parameters in Automatic Assignments of Alerts section. Added the new MX message types in ISO20022 Message Types table. Added Retrigger Functionality section. Added JMSQueue Creation for SWIFT, Fedwire and Iso20022 Message Types section. |
| 8.1.2.4.0 | March2023 | <ul style="list-style-type: none"> Updated Configuring the Application Level Parameters section with information about Select All option for the Events Table. Added Wire Stripping Configuration section. Added Configuring Select All Option for the Events Table section. Added SWIFT MX Message Types Configuration section. Added the new MX message types in ISO20022 Message Types table. Added Appendix J: Configurations for the Bearer Token section. |

1

About This Guide

This guide provides comprehensive instructions for system administration and the daily operations and maintenance of Oracle Financial Services Transaction Filtering. The logical architecture provides details of the Transaction Filtering process for a better understanding of the pre-configured application, which allows you to make site-specific enhancements using OFSAAI.

1.1 Intended Audience

This *Administration Guide* is designed for use by the Implementation Consultants and System Administrators. Their roles and responsibilities, as they operate within Oracle Financial Services Transaction Filtering, include the following:

- **Implementation Consultant:** Installs and configures Oracle Financial Services Transaction Filtering at a specific deployment site. The Implementation Consultant also installs and upgrades any additional Oracle Financial Services solution sets and requires access to deployment-specific configuration information (For example, machine names and port numbers).
- **System Administrator:** Configures, maintains, and adjusts the system, and is usually an employee of a specific Oracle customer. The System Administrator maintains user accounts and roles, configures the EDQ, archives data, loads data feeds, and performs post-processing tasks.

1.2 Access to Oracle Support

Oracle customers have access to electronic support through [My Oracle Support \(MOS\)](#). For information, visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info> Or visit <https://www.fcc.gov/consumers/guides/telecommunications-relay-service-trs> if you are hearing-impaired.

1.3 How This Guide is Organized

The *Oracle Financial Services Transaction Filtering Administration Guide* includes the following chapters:

- **About Oracle Financial Services Transaction Filtering** provides a brief overview of the Oracle Financial Services Transaction Filtering application.
- **Getting Started** explains common elements of the interface, includes instructions on how to configure your system, access Transaction Filtering, and exit the application.
- **Managing User Administration** explains the user administration of the Oracle Financial Services (OFS) Transaction Filtering application.
- **General Configurations** describes how to configure the SWIFT (Society for Worldwide Interbank Financial Telecommunication) message and screening parameters, run the migration utility, run the Purge utility, and do Version Control for messages in the Oracle Financial Services Transaction Filtering application.

- **Configuring the SWIFT Message Parameters** describes how to configure the SWIFT message parameters.
- **Configuring the Fedwire Message Parameters** describes how to configure the Fedwire message parameters.
- **Configurations for the ISO20022 Message Parameters** describe how to configure the ISO20022 message parameters and run the ISO20022 batch.
- **Configurations for the US NACHA Batch Process** describes how to configure the US NACHA batch.
- **Enterprise Data Quality (EDQ) Configurations** describes how to configure the EDQ parameters.
- **Configuring Risk Scoring Rules** describes how to configure business rules in the Inline Processing Engine (IPE).
- **Creating a JSON** describes how to create a JavaScript Object Notation (JSON) for SWIFT messages with sequences and SWIFT messages without sequences.
- **Appendix A: Watch Lists** explains the details of each of the pre-configured watch lists that can be used by Oracle Transaction Filtering.
- **Appendix B: System Audit Logging Information** contains information on the logs related to the Debug and Info log files.
- **Appendix C: Process Modeller Framework (PMF) Configurability** describes how to configure the Process Monitor Facility (PMF) workflow.
- **Appendix D: Time Zone Configuration** describes how to set the time zone for a user.
- **Appendix E: Delta Watch List Configurations** describes how to run and download the delta updates.
- **Appendix F: Message Categories and Message Types** shows the different message types available for the SWIFT, Fedwire, ISO 20022, and US NACHA message types.
- **Appendix G: Invoking the PMF Workflow from backend** shows the different message types available for the SWIFT, Fedwire, ISO 20022, and US NACHA message types.
- **Appendix H: JMS Cluster Environment Creation** shows the different message types available for the SWIFT, Fedwire, ISO 20022, and US NACHA message types.

1.4 Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, see the following Transaction Filtering application documents, which can be found on the Oracle Help Center page:

- User Guide
- Installation and Configuration Guide
- Matching Guide
- Reporting Guide

To find additional information about how Oracle Financial Services solves real business problems, see our website at Oracle for Financial Services home page.

1.5 Conventions Used in this Guide

The following table mentions the conventions used in this guide.

Table 1-1 Conventions Used in this Guide

| Conventions | Description |
|--------------------|---|
| <i>Italics</i> | <ul style="list-style-type: none">• Names of books, chapters, and sections as references• Emphasis |
| Bold | <ul style="list-style-type: none">• The object of an action (menu names, field names, options, button names) in a step-by-step procedure• Commands typed at a prompt• User input |
| Monospace | <ul style="list-style-type: none">• Directories and subdirectories• File names and extensions• Process names• Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text. |
| Asterisk | Mandatory fields in User Interface |
| <Variable> | Substitute input value |

2

About Oracle financial Services Transaction Filtering

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, Fedwire, or NACHA category, or any custom format.

The OFS Transaction Filtering application is built using components of the Oracle Financial Services Analytical Applications (OFSAA) product suite. These components are Oracle Enterprise Data Quality (OEDQ) and Inline Processing Engine (IPE).

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.

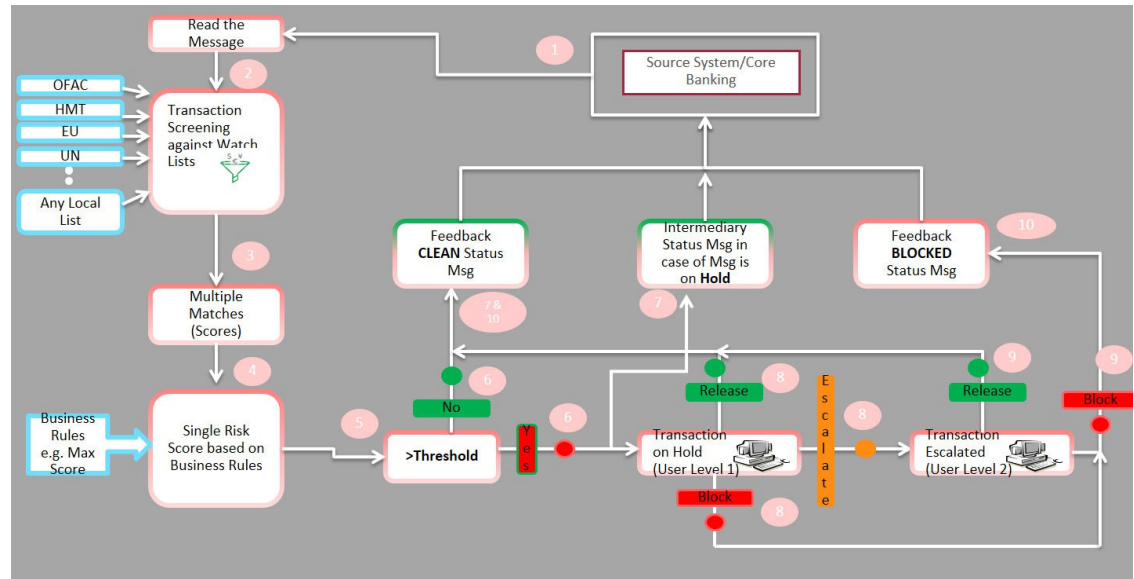
Transaction Filtering against government-regulated watch lists and internal watch lists is a key compliance requirement for financial institutions across the globe. At the turn of the century, Financial Institutions (FIs) were expected to identify customers who were either sanctioned or who lived in 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.

2.1 Transaction Filtering Workflow

The following image describes the Transaction Filtering workflow.

Figure 2-1 Transaction Filtering Workflow



The application first receives a message from the payment system and scans it against the watch lists, then provides a risk score for the message. If no suspicious data is found during screening, then the Transaction Filtering application sends a feedback message with the status CLEAN back to the payment system through the message queue. If suspicious data is found during screening, then the message is sent to an Analyst who investigates it using the Transaction Filtering User Interface.

Feedback is sent to the payment system through a message queue, which indicates that the message is on hold. The Analyst reviews the message, which is the first level of review and decides to release, block, or escalate the message. Based on the decision, the system sends a feedback message, either CLEAN or BLOCKED, to the payment system for the reviewed message.

If the four-eyes workflow is enabled, then the Analyst can additionally Recommend to Release, Recommend to Block, or escalate the message to the Supervisor. If the Analyst escalates the message, then the message is sent to the Supervisor, which is the second level of review. The Supervisor can block or release the message and add comments. For a four-eyes workflow, the Supervisor can Release, Block, or Reject the message. You can view the associated matched data of a message from the Match Summary section. You can also view the risk score details from the Risk Summary section. Both these sections are present in the Investigation User Interface.

The Senior Supervisor can perform Bulk Update (Assign alerts, set alert priority, and change the Due Date Time) and add attachments. Additionally, the Senior Supervisor can also Unassign alerts from the users and the operation is reflected in the Alert Audit History.

Note

As a Senior Supervisor privilege, the senior supervisor can work on a queue only if there is a backlog.

The Reviewer can view and review the messages and the alerts but cannot perform any other actions.

3

Getting Started

This chapter provides step-by-step instructions to log in to the Transaction Filtering System and different features of the Oracle Financial Services Analytical Applications (OFSAA) Application page.

3.1 Accessing the Oracle Financial Services Analytical Applications (OFSAA) Page

Access to the Oracle Financial Services Transaction Filtering application depends on the Internet or Intranet environment. The system administrator provides the intranet address uniform resource locator (URL), User ID, and Password.

① Note

After the first login, you will be prompted to change your password.

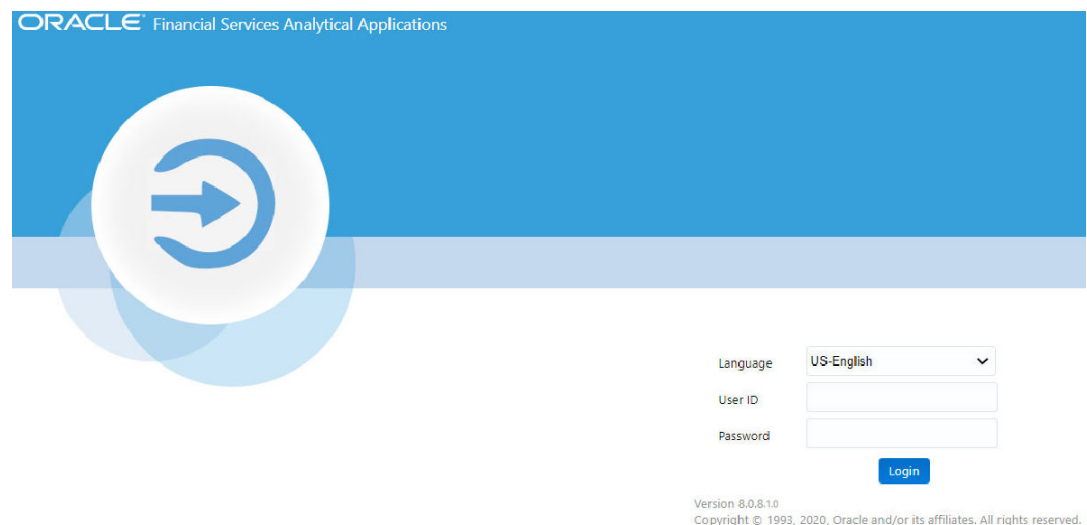
To access the **Oracle Financial Services Analytical Applications** page, follow these steps:

1. Enter the URL into your browser using the following format:

<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/ login.jsp
For example: https://myserver:9080/ofsaaapp/login.jsp

The **Oracle Financial Services Analytical Applications** login page is displayed.

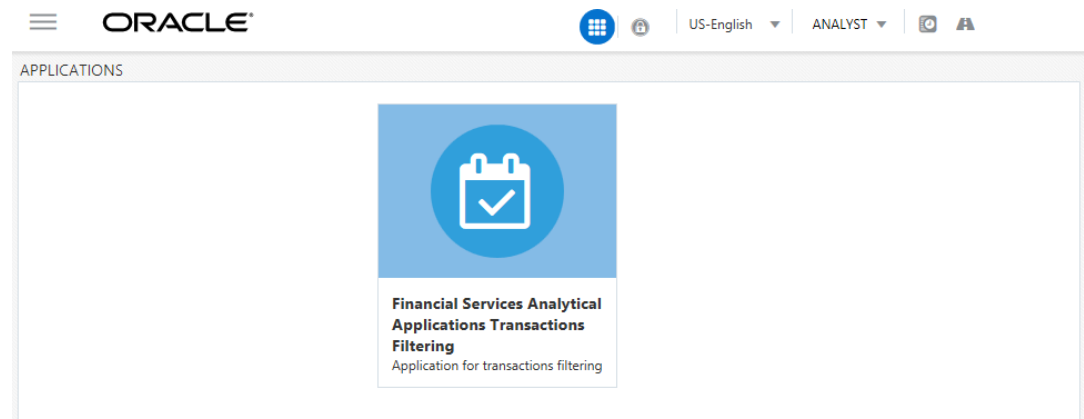
Figure 3-1 Oracle Financial Services Analytical Applications Login Page



2. Select the language from the **Language** drop-down list. This allows you to use the application in the language of your selection.

3. Enter your **User ID** and **Password** in the respective fields.
4. Click **Login**. The **Financial Services Analytical Applications Transactions Filtering** landing page is displayed.

Figure 3-2 Financial Services Analytical Applications Transactions Filtering Landing Page



5. To view the **Financial Services Analytical Applications Transactions Filtering** landing page, click **Calendar**

Figure 3-3 Calendar icon



3.2 Managing the Oracle Financial Services Analytical Applications (OFSA) Page

From the **Oracle Financial Services Analytical Applications** page, you can access the menus for the different message configurations. You can change the default transaction currency from USD to another currency in the **Process Modeller** page and view the **Good Guy Summary** page, which has details related to the records added in the good guy list.

3.2.1 Transaction Filtering Admin Menu

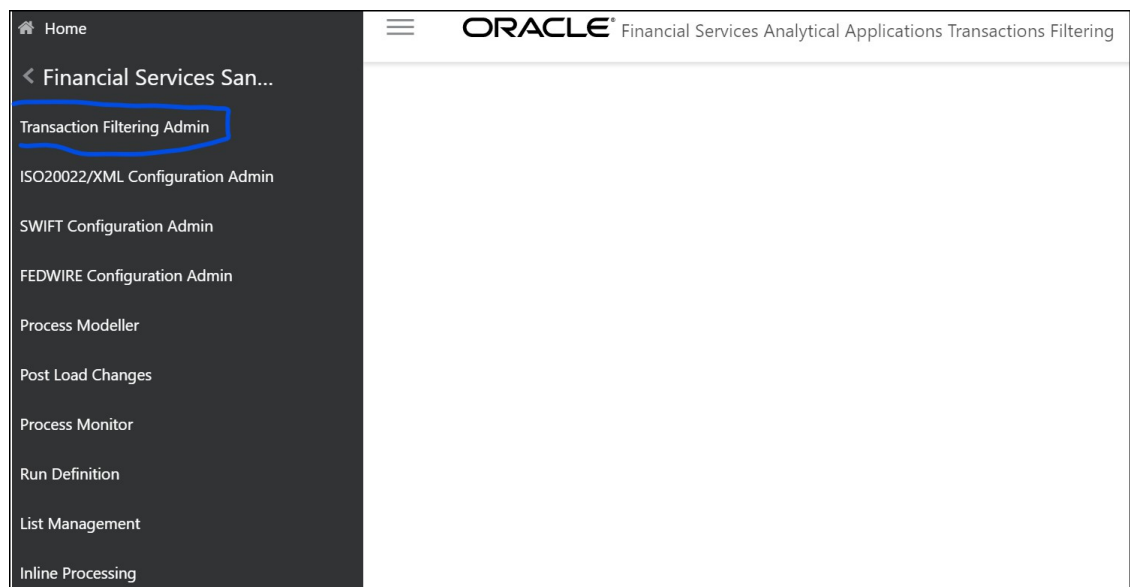
The **Transaction Filtering Admin** menu allows the system administrator to configure the application- level parameters, good guy matching parameters, the cut-off time for messages, and assignment type for a message (manual or automatic). For more information, see [General Configurations](#).

To view the menu, follow these steps:

1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-4 Financial Services Sanctions Pack Menu

2. From the **Navigation List**, click **Transaction Filtering Admin**. The Configuration Screen displays.

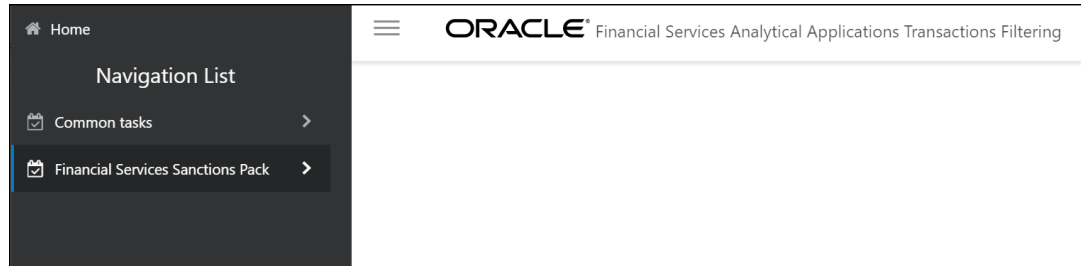
Figure 3-5 Transaction Filtering Admin Sub-menu

3.2.2 ISO20022 Configuration Admin Menu

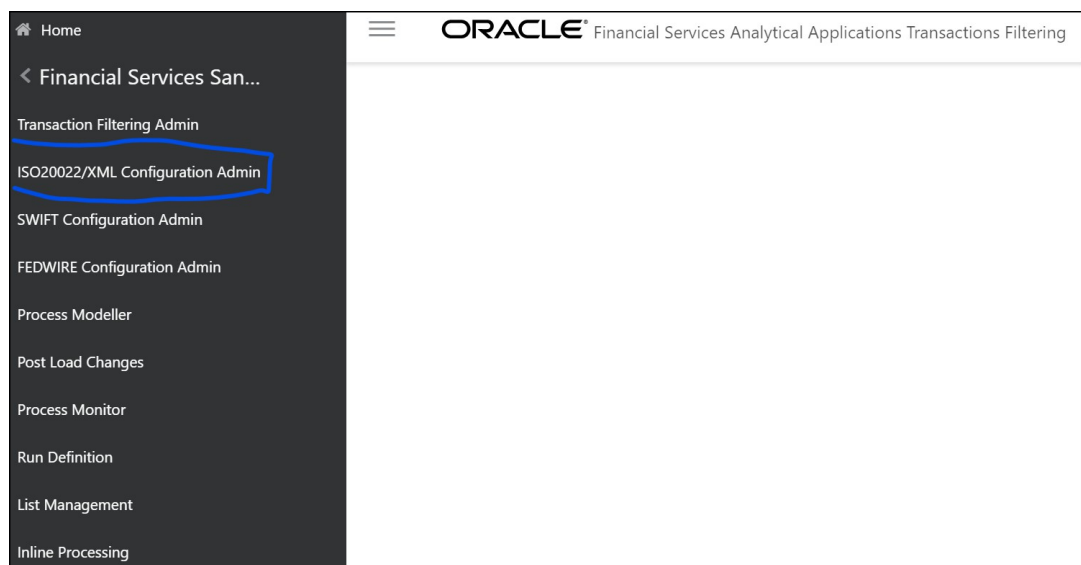
The **ISO20022/XML Configuration Admin** menu allows the system administrator to configure the ISO20022 parser parameters. For more information, see [Configurations for ISO20022 Message Parameters](#).

To view the menu, follow these steps:

1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-6 Financial Services Sanctions Pack Menu

2. Click **ISO20022/XML Configuration Admin**. The Configuration Screen displays.

Figure 3-7 ISO20022/XML Configuration Admin Sub-menu

3.2.3 SWIFT Configuration Admin Menu

The **SWIFT Configuration Admin** menu allows the system administrator to configure the SWIFT parser parameters. For more information, see [General Configurations](#).

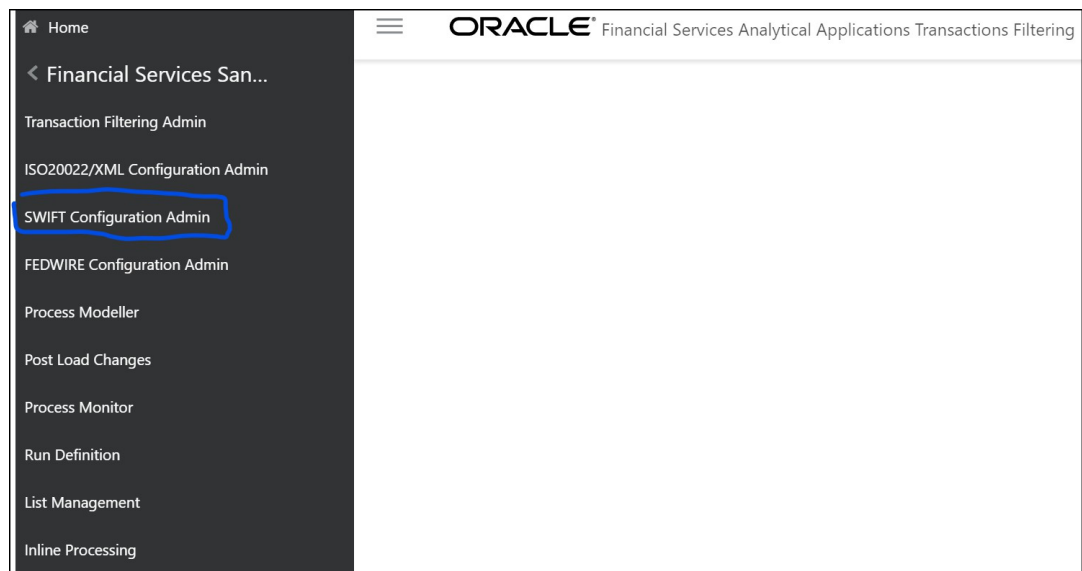
To view the **Configuration Admin** menu, follow these steps:

1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-8 Financial Services Sanctions Pack Menu

2. Click **SWIFT Configuration Admin**. The Configuration Screen displays.

Figure 3-9 SWIFT Configuration Admin Sub-menu



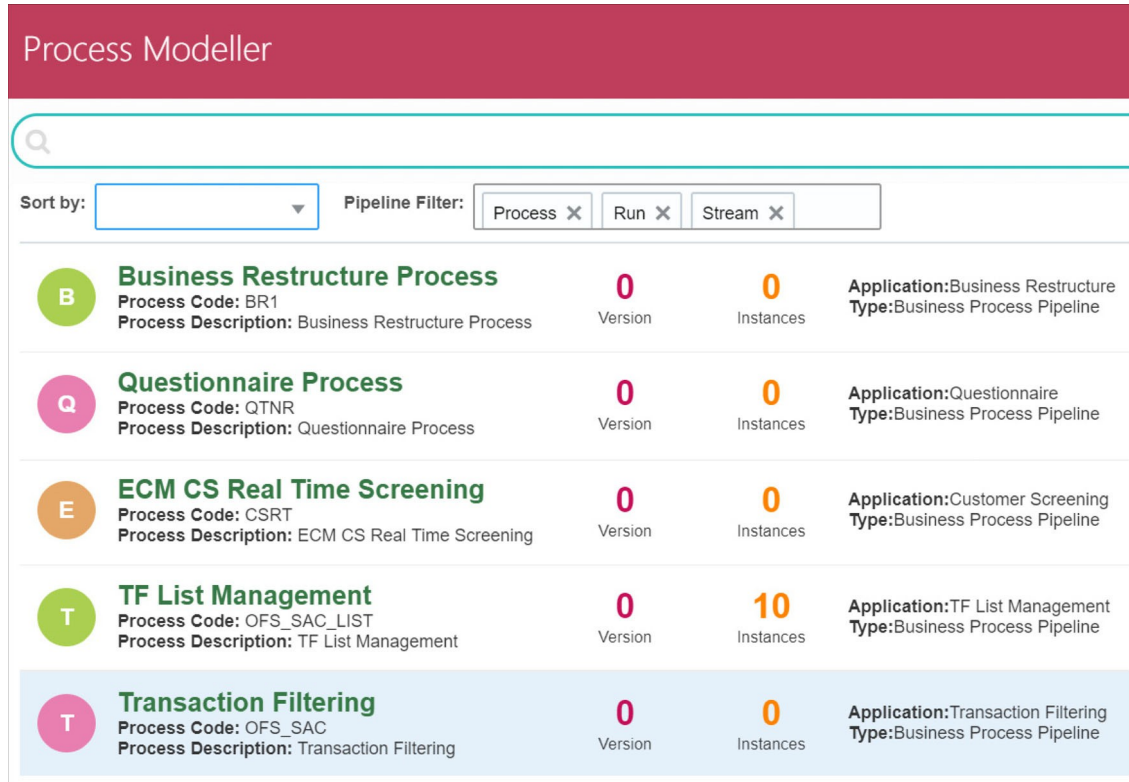
3.2.4 Process Modeller Menu

The **Process Modeller** menu allows the System Administrator to provide the security and operational framework required for the Infrastructure.

You can view the PMF process flow for the standard, four-eyes, and good guy workflows. For more information on the workflows, see the **Transaction Filtering WorkFlows** section in the Oracle Financial Services Transaction Filtering User Guide.

To view the ready-to-use PMF flows, click **Process Modeller**. The **Process Modeller** page is displayed.

Figure 3-10 Process Modeller Page



To expand the window, click **Navigation Menu** .

Figure 3-11 Menu icon



3.2.5 FEDWIRE Configuration Admin Menu

The **FEDWIRE Configuration Admin** menu allows the system administrator to configure the Fedwire parser parameters. For more information, see [General Configurations](#).

To view the **FEDWIRE Configuration Admin** menu, follow these steps:

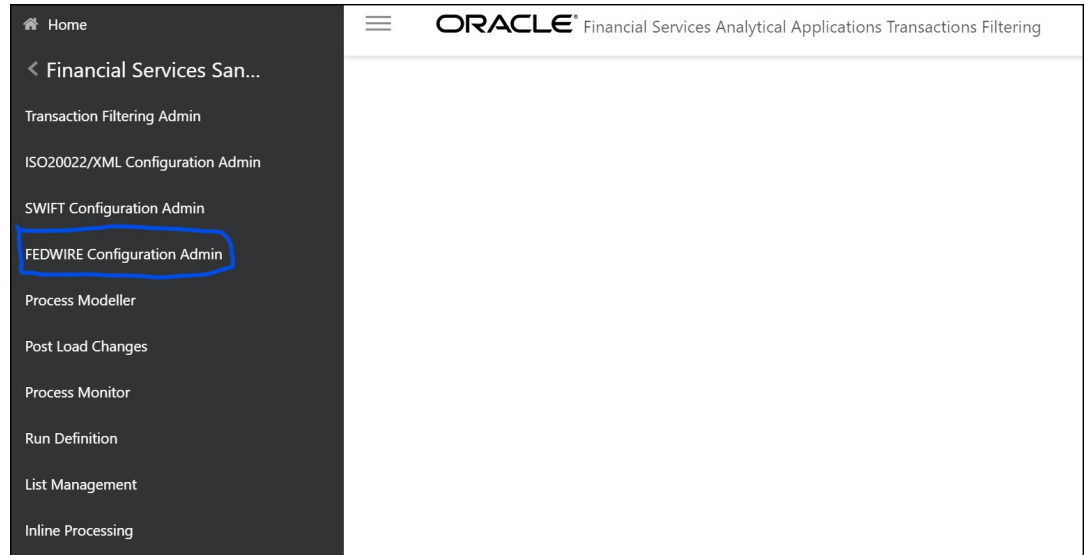
1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-12 Financial Services Sanctions Pack Menu



2. Click **FEDWIRE Configuration Admin**. The **Configuration Screen** is displayed.

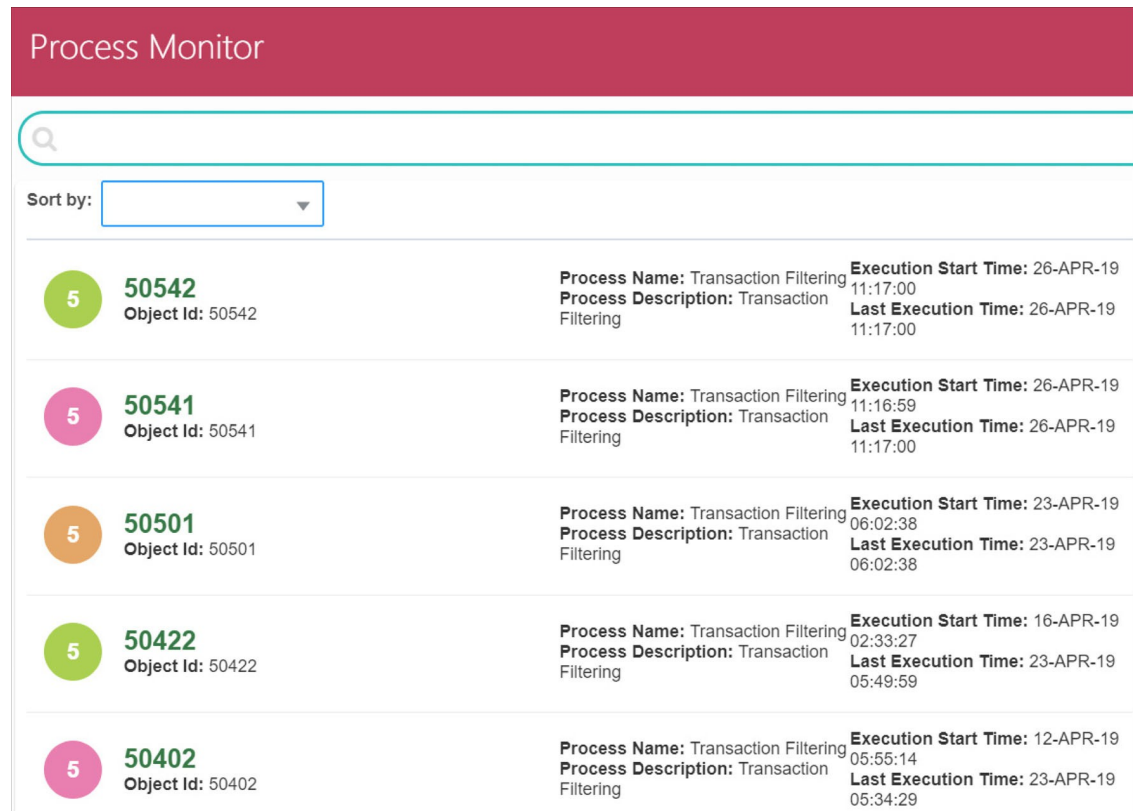
Figure 3-13 FEDWIRE Configuration Admin Sub-menu



3.2.6 Process Monitor Menu

The **Process Monitor** menu allows the System Administrator to configure the workflow for a process. To do this, click **Process Monitor**. The **Process Monitor** page is displayed.

Figure 3-14 Process Monitor Menu Page



To expand the window, click **Navigation Menu**

Figure 3-15 Menu icon



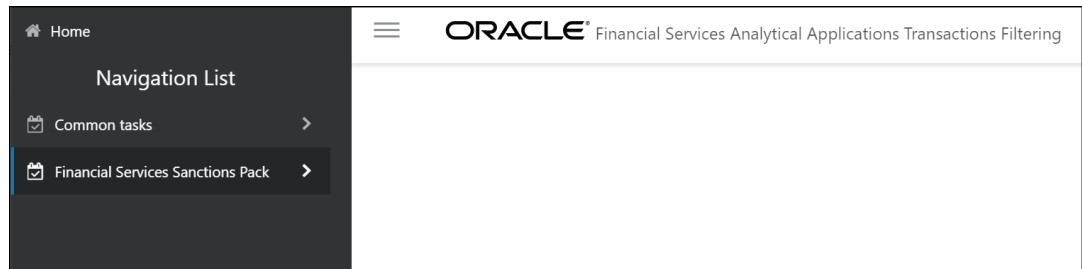
3.2.7 Run Definition Menu

The **Run Definition** menu allows the system administrator to run the batches for the message categories.

To run the batches, follow these steps:

1. Click **Run Definition**. The **Run** page is displayed.
1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-16 Financial Services Sanctions Pack Menu



2. Click **Run Definition**. The **Run** page is displayed.

Figure 3-17 Transaction Filtering Admin Sub-menu



3.2.8 List Management Menu

The **List Management** menu allows the system administrator to view the **Good Guy Summary** page. For more information on the **Good Guy Summary** page, see the **Good Guy Summary** section in the Oracle Financial Services Transaction Filtering User Guide.

To view the page, follow these steps:

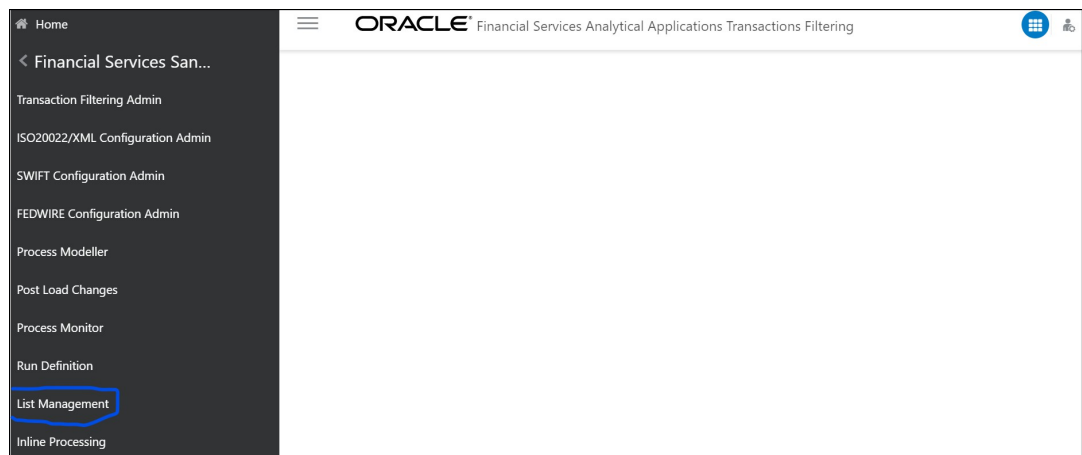
1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-18 Financial Services Sanctions Pack Menu



2. Click **List Management**. The **Good Guy Summary** page is displayed.

Figure 3-19 List Management Sub-menu

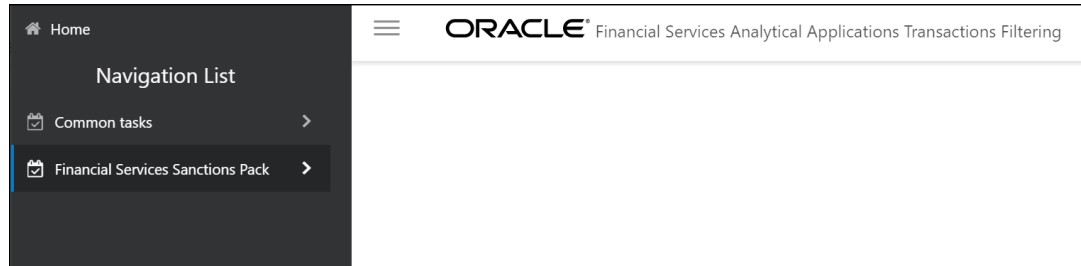


3.2.9 Inline Processing Menu

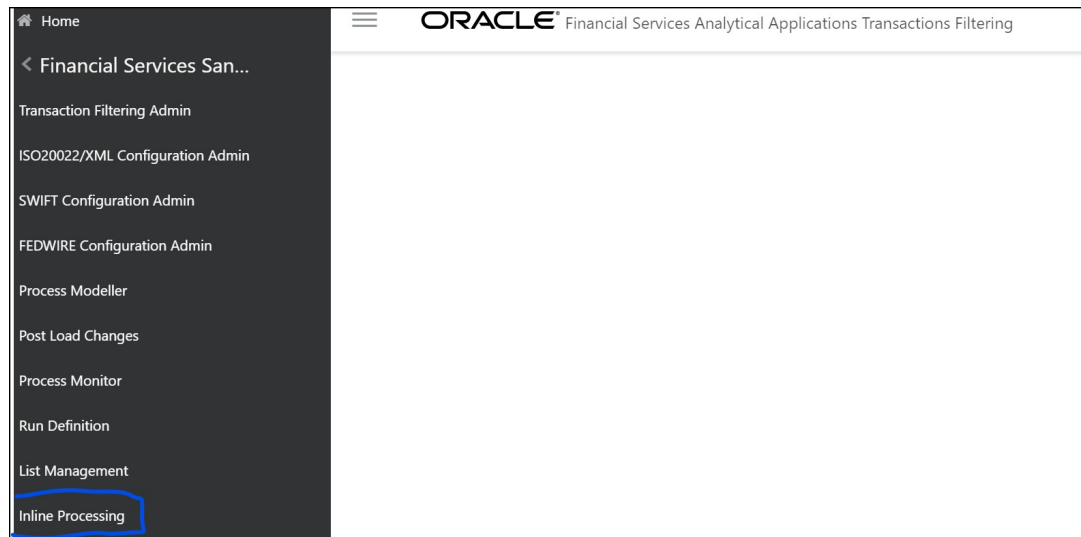
The **Inline Processing** menu allows the System Administrator to view and configure the details related to Inline Processing Engine (IPE). For more information, see [Configuring Risk Scoring Rules](#).

To view the **Inline Processing** page, follow these steps:

1. From the **Navigation List**, click **Financial Services Sanctions Pack**.

Figure 3-20 Financial Services Sanctions Pack Menu

2. Click **Inline Processing**. The **Inline Processing** page is displayed.

Figure 3-21 Inline Processing Sub-menu

3.3 Queue Management

Queue Management is a common dashboard where the following users can see queues related to CS and TF that are created by the Queue Administrator and the system (Out Of Box):

- Reviewer
- Analyst
- Supervisor
- Senior Supervisor
- Queue Administrator

You can view the Queue details in the following formats:

- [List View](#)
- [Grid View](#)

By default, queue details are displayed in the List View. Only queue admin can assign the user groups for the queues in the Grid View.

For more information on Queue Administrator, see the [OFS Sanctions Queue Management User Guide](#).

3.3.1 List View

1. Log in to the application as Reviewer, Analyst, Supervisor, or Senior Supervisor.
2. Select the Financial Services Analytical Applications Transaction Filtering.
3. From the Application Navigation List, select Queue Management.

You can select the **hamburger**

Figure 3-22 hamburger



icon to view the **Queue List** for **All Teams** in List View. By default, queue details are displayed in the List View.

Queue List displays the queues assigned to all user groups and the value. **All Team** is selected in the drop-down list and is disabled. It is displayed as the title for Queue List.

Figure 3-23 Queue List in List View

| All Teams | | | |
|---|---|-------------------------------|---|
| Queue List + Add Queue | | | |
| ALL SAN ALERTS SUPERVISOR GEN DOMAIN | CS Supervisor Access Group | 09/14/2021 02:16:27 by QADMN | ✎ 🗑️ 👤 |
| All SAN Alerts GEN DOMAIN ANALYST | CS Analyst Access Group | 09/14/2021 01:26:59 by SYSTEM | ✎ 🗑️ 👤 |
| ALL SAN ALERTS SUPERVISOR CWS DOMAIN | CS Supervisor Access Group | 09/14/2021 02:23:17 by QADMN | ✎ 🗑️ 👤 |
| RT GEN DOMAIN ANALYST | CS Analyst Access Group | 09/14/2021 08:06:12 by QADMN | ✎ 🗑️ 👤 |
| RT CWS SUPERVISOR | CS Senior Supervisor Access Group, CS Supervisor Access Group | 09/14/2021 08:07:54 by QADMN | ✎ 🗑️ 👤 |

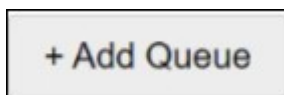
The following details are displayed in the List View for **All Teams**:

- – Queue Name
- User Group names (that are assigned by the Queue Administrator)
- Date Time Created By (For example, 09/09/2021 14:06:39 by QADMIN/SYSTEM)
- Queue Action

You can view ten queues in Queue List and use the navigation to view the next set of queues. You can perform the following actions on each queue:

☐ **+Add Queue:** Click

Figure 3-24 +Add Queue



button top-right in the Queue List to add a new queue. (only for Queue Admin.)

- – **Delete:** Click the Ellipsis menu and then select Delete and click **Yes** to delete the queue.
- **Edit:** Click the Ellipsis menu and then select Edit to edit the queue details and click **Finish**.
- **Open:** Click the Ellipsis menu and then select Open to open the queue to see its details.
- **Assign:** Click the Ellipsis menu and then select Assign to assign the queue to Groups. (only for Queue Admin)
 - * Select the **Groups** to assign the queue.
 - * Click **Assign**.

You can change the order of queues are as follows:

- – According to your requirement, you can select the Queue to change the order, drag and drop in the list.
- Perform the following steps:
 - * Select the Queue and right-click. The menu options are displayed as **Cut**, **Paste Before**, and

Paste After. The only **Cut** is enabled.

- – Select **Cut**.
- Locate the cursor wherever it needs to be added and right-click. The menu options are **Cut**, **Paste Before**, and **Paste After**. Only **Paste Before** and **Paste After** are enabled.
- Select the **Paste Before** or **Paste After** to place the Queue.

Note

If the User Group is selected as the **All Teams** in the **Select Teams** menu, then the Queue Admin cannot sort the priority of the Queues.

3.3.2 Grid View

You can select the **thumbview**

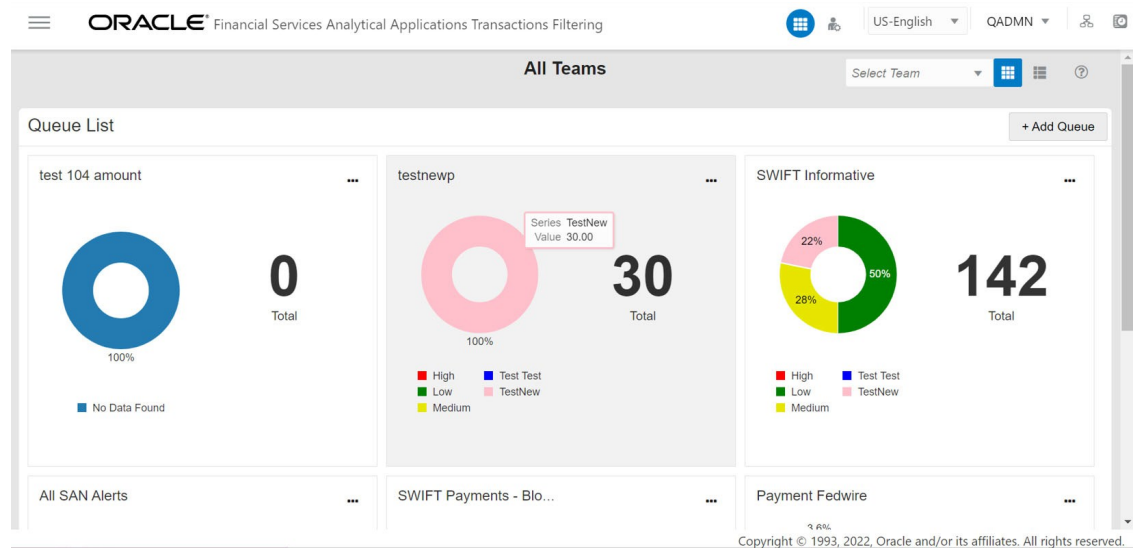
Figure 3-25 Grid View icon



icon to view the **Queue List** for **All Teams** in Grid View.

Queue List displays the queues assigned to all user groups and the value. **All Team** is selected in the drop-down list and is disabled. It is displayed as the title for Queue List.

Figure 3-26 Queue List in Grid View



Note

Only Reviewer/Analyst/Supervisor/Senior Supervisor can view the number of alerts details in each Queue.

The Queue List appears in doughnut charts displays each cell's data as a slice of a doughnut. A pie chart data visualization uses a single circle divided into "slices," each slice representing a numerical proportion of the whole circle's value. Hover over the slices to see the details of the **Series** and the **Value** of the queue.

By default, the color-coding displayed for three priorities of the alerts and the **Total** numeric value indicates the number of alerts in that Queue.

The following are the default priorities in the application:

- High
- Medium
- Low

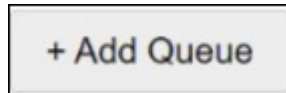
An admin can configure any number of priorities and color code that needs to be displayed on the Queue Management Dashboard against each of the priority based on their requirement in the backend based on the match score, screening type, event type, jurisdiction and business domain.

The Queue Management dashboard displays all the priorities defined by the admin and the number of alerts meeting the priority condition. If there are alerts which doesn't fall under any priority criteria are displayed as **No Priority Set**.

To configure the priorities and color code see [Configuring New Priority](#) section. Priority configuration for all the alerts to be defined before transaction filtering.

You can view six queues in Queue List and use the navigation to view the next set of queues. You can perform the following actions on each queue:

☐ **+Add Queue:** Click

Figure 3-27 Add Queue icon

button top-right in the Queue List to add a new queue. (only for Queue Admin.)

- **Delete:** Click the Ellipsis menu and then select Delete and click **Yes** to delete the queue.
- **Edit:** Click the Ellipsis menu and then select Edit to edit the queue details and click **Finish**.
- **Open:** Click the Ellipsis menu and then select Open to open the queue to see its details.
- **Assign:** Click the Ellipsis menu and then select Assign to assign the queue to Groups. (only for Queue Admin)
 - Select the **Groups** to assign the queue.
 - Click **Assign**.

3.3.3 Configuring New Priority

To configure the priority and color code for the alerts, follow the below steps:

1. Access the Atomic Schema and access the DIM_ALERT_PRIORITY_TYPE table.
2. Insert the parameter to the following columns:
 - N_PRIORITY_CONF_ID
 - V_PRIORITY_CODE
 - V_ALERT_PRIORITY_NAME
 - V_ALERT_PRIORITY_DESC
 - V_REMARKS
 - D_START_DATE
 - D_END_DATE
 - F_LATEST_IDENTIFIER
 - V_ALERT_PRIORITY_DSPLY_COLR

Figure 3-28 DIM_ALERT_PRIORITY_TYPE Table

The screenshot shows a SQL Developer interface with a query window and a results window. The query window contains the following SQL code:

```

1 select * from dim_alert_priority_type;
2
3 Insert into DIM_ALERT_PRIORITY_TYPE (N_PRIORITY_CONF_ID,V_PRIORITY_CODE,
4 V_ALERT_PRIORITY_NAME,V_ALERT_PRIORITY_DESC,V_REMARKS,D_START_DATE,D_END_DATE,
5 F_LATEST_IDENTIFIER,V_ALERT_PRIORITY_DSPLY_COLR)
6 values ('6','6','Very Low','Very Low','Very Low',to_date('19-AUG-19','DD-MON-RR'),
7 to_date('19-AUG-19','DD-MON-RR'),'Y','purple');
8

```

The results window shows the following data:

| N_PRIORITY_CONF_ID | V_PRIORITY_CODE | V_ALERT_PRIORITY_NAME | V_ALERT_PRIORITY_DESC | V_REMARKS | D_START_DATE | D_END_DATE | F_LATEST_IDENTIFIER | V_ALERT_PRIORITY_DSPLY_COLR |
|--------------------|-----------------|-----------------------|-----------------------|-----------|--------------|------------|---------------------|-----------------------------|
| 5 | 5 | Test | Test | Test | 19-AUG-19 | 19-AUG-19 | Y | blue |
| 4 | 4 | Anv | Anv | Anv | 19-AUG-19 | 19-AUG-19 | Y | (null) |
| 3 | 3 | High | High | High | 19-AUG-19 | 19-AUG-19 | Y | red |
| 2 | 2 | Medium | Medium | Medium | 19-AUG-19 | 19-AUG-19 | Y | #e6e600 |
| 1 | 1 | Low | Low | Low | 19-AUG-19 | 19-AUG-19 | Y | green |
| 6 | 6 | Very Low | Very Low | Very Low | 19-AUG-19 | 19-AUG-19 | Y | purple |

3. Access the DIM_ALERT_PRIORITY_TYPE_TL table.
4. Insert the parameter to the following columns:
 - N_PRIORITY_CONF_ID
 - V_LOCALE_CODE
 - V_PRIORITY_CODE
 - V_ALERT_PRIORITY_NAME

Note

The DIM_ALERT_PRIORITY_TYPE table and DIM_ALERT_PRIORITY_TYPE_TL table must have same parameter value entry

Figure 3-29 DIM_ALERT_PRIORITY_TYPE_TL Table

The screenshot shows a SQL Developer interface with a query window and a results window. The query window contains the following SQL code:

```

1 select * from dim_alert_priority_type_tl;
2
3 Insert into DIM_ALERT_PRIORITY_TYPE_TL (N_PRIORITY_CONF_ID,V_LOCALE_CODE,V_PRIORITY_CODE,
4 V_ALERT_PRIORITY_NAME) values ('6','en_US','6','Very Low');
5
6
7
8

```

The results window shows the following data:

| N_PRIORITY_CONF_ID | V_LOCALE_CODE | V_PRIORITY_CODE | V_ALERT_PRIORITY_NAME |
|--------------------|---------------|-----------------|-----------------------|
| 5 | en_US | 5 | Test |
| 1 | en_US | 1 | Low |
| 2 | en_US | 2 | Medium |
| 3 | en_US | 3 | High |
| 4 | en_US | 4 | Anv |
| 6 | en_US | 6 | Very Low |

3.3.4 Archiving a Queue

To archive the inactive queues, follow these steps:

1. Log on to the Customer Screening application.
2. Click **Common Tasks**, then click **Rule Run Framework**, and then click **Process**. The **Process** page appears.
3. Search for Queue in the **Code** field and select Queue Archive.

Figure 3-30 Process Page

| Code | Name | Folder | Version | Active |
|-------------------------------------|--------------|------------|---------|--------|
| <input checked="" type="checkbox"/> | QueueArchive | TFLSEGMENT | 0 | Yes |

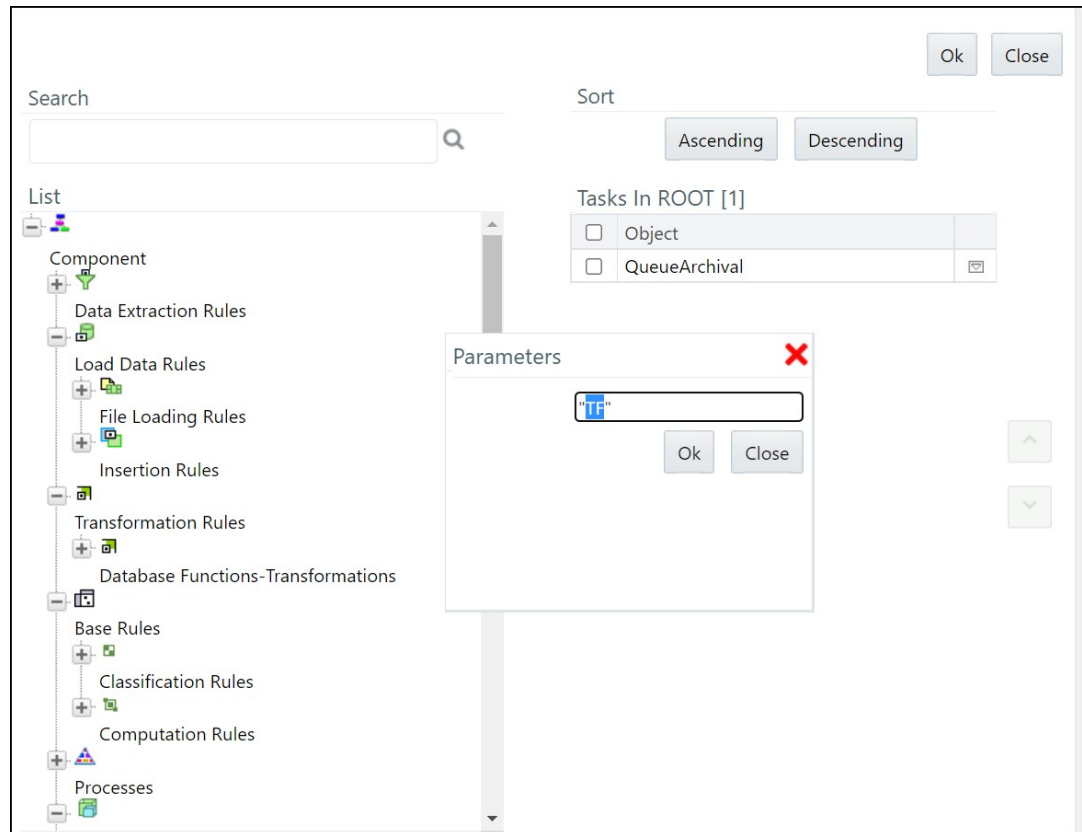
4. Click **Edit**. The **Process** page opens in Edit mode.

Figure 3-31 Process Definition (Edit Mode)

| Object | Precedence | Type | Parameter | Executable |
|-------------------------------------|---------------|---------------------|-----------|------------|
| <input checked="" type="checkbox"/> | QueueArchival | Data Transformation | "CS" | |

5. Select the QueueArchival object and then select **Component**.
6. In the **Parameters** window, select the QueueArchival task and then click **drop-down list**. By default the parameter value will be selected as "TF".

Figure 3-32 Component Selector Window



7. Click **OK** to close the **Parameters** window.
8. Click **OK**.
9. Click **Save**.

A confirmation message appears, click **Yes** to save the definition as a new version. A successful message appears, click **Close**.

3.4 Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Transaction Filtering or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for setting your Web display options for OFSAA applications.

3.4.1 Enabling JavaScript

This section describes how to enable JavaScript. To enable JavaScript, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Security** tab and then click **Local Intranet**.
4. Click **Custom Level**. The **Security Settings** dialog box is displayed.
5. In the **Settings** list and under the **Scripting** setting, select **all options**.

6. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

3.4.2 Enabling Cookies

Cookies must be enabled. If you have problems troubleshooting your display, contact your System Administrator.

3.4.3 Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page.

To adjust your Temporary Internet File settings, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. On the **General** tab, click **Settings**. The **Settings** dialog box is displayed.
4. Click **Every visit to the page**.
5. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

3.4.4 Enabling File Downloads

This section describes how to enable file downloads. To enable file downloads, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Security** tab and then click **Local Intranet**.
4. Click **Custom Level**. The **Security Settings** dialog box is displayed.
5. Under the **Downloads** section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

3.4.5 Setting Printing Options

This section explains how to enable printing background colors and images. To enable this option, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Advanced** tab. In the **Settings** list.
4. Under the **Printing** setting, click **Print background colors and images**.
5. Click **OK** to exit the **Internet Options** dialog box.

Note

For best display results, use the default font settings in your browser.

3.4.6 Enabling the Pop-Up Blocker

You may have trouble running the Oracle Financial Services Transaction Filtering application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the **Allowed Sites** in the Pop-up Blocker Settings in the **IE Internet Options** menu.

To enable the Pop-up Blocker, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Privacy** tab. In the **Pop-up Blocker** setting, select **Turn on Pop-up Blocker**. The Settings are enabled.
4. Click **Settings** to open the **Pop-up Blocker Settings** dialog box.
5. In the **Pop-up Blocker Settings** dialog box, enter the URL of the application in the text area.
6. Click **Add**. The URL appears in the **Allowed Sites** list.
7. Click **Close**, then click **Apply** to save the settings.
8. Click **OK** to exit the **Internet Options** dialog box.

3.4.7 Setting Preferences

Use the Preferences section to enable you to set your OFSAA home page. To access this section, follow these steps:

1. In the **Financial Services Analytical Applications Transactions Filtering** landing page, select **Preferences** from the user name drop-down list. The **Preferences** page is displayed.

Figure 3-33 Preferences Page

Preferences
 Home Page

| Property Name | Property Value |
|------------------|------------------|
| Set My Home Page | Default Screen ▼ |
| Date Format | -- Select -- ▼ |

Save Cancel

2. In the **Financial Services Analytical Applications Transactions Filtering** landing page, select **Preferences** from the user name drop-down list. The **Preferences** page is displayed.

Figure 3-34 Preferences Page

Preferences
 Home Page

| Property Name | Property Value |
|------------------|------------------|
| Set My Home Page | Default Screen ▼ |
| Date Format | -- Select -- ▼ |

Save Cancel

3. In the **Set My Home Page** drop-down list, select the window that you want to view when you log in.

When a new application is installed, the related window for that application is found in the drop- down list.
4. In the **Date Format** drop-down list, select the date format that you want to see. The options available are dd/MM/yyyy or M/dd/yyyy.
5. Click **Save** to save your preferences.

4

Managing User Administration

This chapter provides instructions for performing the user administration of Oracle Financial Services (OFS) Transaction Filtering.

4.1 About User Administration

User administration involves creating and managing users and providing access rights based on their roles. This section discusses the following:

- Administrator permissions
- Creating roles and granting and authorizing a user

4.2 Managing User Administration

The following sections provide information on how to create and authorize a user and map the users to user groups in the Transaction Filtering application.

Table 4-1 User Administration

| Action | Description |
|--|---|
| Creating and Authorizing a User | Create a user. This involves providing a user name, user designation, and the dates between which the user is active in the system. |
| Mapping a User with a User Group | Map a user to a user group. This enables the user to have certain privileges that the mapped user group has. |

4.2.1 Creating and Authorizing a User

The sysadmn user creates a user and the sysauth user authorizes a user in the Transaction Filtering application. For more information on creating and authorizing a user, see the Oracle Financial Services Analytical Applications Infrastructure User Guide.

4.2.2 Mapping Users with User Groups

This section explains how to map Users with User Groups. The user has access to privileges as per the role. The sysadm user maps a user to a user group in the Transaction Filtering application.

Table 4-2 User Group-Role Mapping

| Role | Group Name | User Group Code |
|---------------|---|---------------------|
| Administrator | Transaction Filtering Administrator Group | TFLTADMINISTATORGRP |
| Reviewer | Transaction Filtering Reviewer Group | TFLTREVIEWERGRP |
| Analyst | Transaction Filtering Analyst Group | TFLTANALYSTGRP |

Table 4-2 (Cont.) User Group-Role Mapping

| Role | Group Name | User Group Code |
|------------|---|-------------------|
| Supervisor | Transaction Filtering Supervisor Access Group | TFLTSUPERVISORGRP |

Table 4-3 User Group-Role Mapping

| Role | Group Name | User Group Code |
|-------------------|---|---------------------|
| Senior Supervisor | Transaction Filtering Senior Supervisor Group | TFSNRRSUPERVISORGRP |
| Audit | Transaction Filtering Audit Group | TFAUDITGRP |

For each role, you can configure the time zones that apply to them. For information on the time zone values, see Time Zone Configuration.

5

General Configurations

The following sections provide information on how to configure the application and message and screening parameters, configure the transaction workflow to accommodate the four-eyes principle and the good guy component, define the cut-off time for the message workflow (including investigations), set a priority for a message category, define the assignment type for messages (manual or automatic), define the SLAs and cut-off times for alerts, run the purge and migration utilities, add a good guy record, view the different emails generated based on the transaction status, segregate the alerts based on jurisdictions and business domains, and do version control for SWIFT messages, ISO20022 messages, and IPE.

5.1 Configuring the Application Level Parameters

Use the Application Level Parameter Configuration tab to configure the parameters for the Transaction Filtering application, such as enabling or disabling the four-eyes workflow, define the parameters that must be matched during the good guy workflow, enabling and disabling bulk action and select all option, define the cut-off time required to complete the entire transaction workflow, and assign messages manually or automatically.

To configure the parameters, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin**. The **Application Level Parameter Configuration** is displayed.

Figure 5-1 Application Level Parameter Configuration Tab

The screenshot shows the Oracle Configuration Screen for the Application Level Parameter Configuration tab. The interface includes several sections with configuration options:

- Audit:** Debug: Yes No
- 4 Eyes:** Enable: Yes No
- Select All option for the Events Table:** Enable: Yes No
- Bulk Action:** Enable: Yes No
- EDQ:** EDQ URL: http://100.76.150.110:8001; EDQ user name: dmadmin; EDQ password: dmadmin123; EDQ webservice status username: Username; EDQ webservice status password: Password

3. In the **Audit** section, select **Yes** to view the Debug details or select **No** to view the Info details.

If you select **Yes**, then all the steps are logged in the system irrespective of the value in the **Status** column. If you select **No**, then only those steps for which the value is **Y** in the **Status** column are logged in the system.

Note

For more information on the values in the Status column, see System Audit Logging Information.

4. In the **4 Eyes** section, select **Yes** to enable the four-eyes workflow and select **No** to disable the four-eyes workflow.

Note

If the 4 Eyes workflow is enabled, then the new alert data should be posted to the UI to view the new options which are Message Statuses, Blocked Recommended and Released Recommended.

5. In the **Select All option for the Events Table** section select **Yes** to enable **Select All** option and select **No** to disable **Select All** option in Alert list details Event tab. For more information on alert details and event table, see Oracle Financial Services Transaction Filtering User Guide.
6. In the **Bulk Action** section select **Yes** to enable Bulk Action option and select **No** to disable the Bulk Action option in the Alert list page.
7. In the **EDQ** section, provide the following values:
 - **EDQ URL** in the following format:
<http>: <Hostname of the server in which EDQ is installed>: Port Number
 - **EDQ user name**: The default username is displayed. You can update the username if required.
 - **EDQ password**: The default password is displayed. You can update the password if required.
 - **EDQ webservice status username**
 - **EDQ webservice status password**
8. In the **ECM L2 Analysis** section, select **Yes** to enable and then provide the following values:
 - **ECM L2 Case Creation URL** in the following format:
<http>: <Hostname of the server in which ECM is installed>: <Port Number>/<Context>
 - **ECM Case Creation user name**: Enter the ECM username.
 - **ECM Case Creation password**: Enter the ECM password.
9. In the **FEEDBACK** section, enter the URL where we need to post messages for HOLD, RELEASE, CLEAN, BLOCK in the feedback queue in the **FEEDBACK URL** field.
10. Custom feedback configuration can be done in the tables for HOLD, CLEAN and AUTORELEASE status.

We introduced the new table and created the new Post processing actions similar as from IPE screen from admin UI to the table. (FCC_TF_PP_ACTIONS).

The table contains the post processing action code, code attributes, Query and text message. These configurations are editable like how we can in admin UI screen.

After installing this patch the post processing actions from the new table will be considered for message posting.

Once the message is processed, whether the Feedback is sent or not will be recorded in the table. (FCC_TF_RAW_FEEDBACK).

This table contains group message id, feedback sent or not along with post processing action code.

This table is useful in re-triggering the messages to send the feedback successfully for those feedback which are not sent.

11. Table contains the post processing action code, code attributes , Query and text message.
12. In the UI section, provide the time period after which the system refreshes the notification (false positive) count in the Transaction Filtering window.

Note

- The time period is in milliseconds.
- The notification count is reset to zero every day at midnight.

13. Click **Save**. The following confirmation message is displayed: **Records Updated Successfully**.

5.2 Configuring the Good Guy Matching Parameters

The parameters shown here are applicable only when the good guy workflow is enabled. The Transaction Filtering application checks if there is a match or not for every parameter which is enabled, and if there is a match, the record is added to the good guy list. For more information on the good guy workflow, see the **Managing Transaction Filtering** chapter in the Oracle Financial Services Transaction Filtering User Guide.

To enable or disable the good guy parameters, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Good Guy Matching Configuration** tab.

Figure 5-2 Good Guy Matching Configuration Tab

Configuration Screen

Application Level Parameter Configuration **Good guy matching configuration** SLA Configuration Auto Assignment Configuration Cut-Off Configuration

Good guy matching configuration:

Payment Entity Full Name : Yes No

Watchlist Record Name : Yes No

Payment Entity Jurisdiction : Yes No

Watchlist Name : Yes No

Watchlist Record ID : Yes No

Payment Account ID : Yes No

Watchlist Last Update Date : Yes No

Save

- **Payment Entity Full Name:** The payment entity full name must be matched, so it is mandatory to set the value in the **Payment Entity Full Name** to **Yes**. If you do not set it to **Yes**, an error message, “**The Payment Entity Full Name should be set as Yes mandatorily.**” is displayed.

5.3 Configuring the SLA Parameters

Banks or FIs want to settle payments within a specified time. To achieve this, related alerts should be closed well within this specified time. The cut-off time is the defined duration by when the alert has to be closed. This is the time from when the Analyst starts working on the alert till the time the alert is closed. The SLA is defined as the time from when the alert is created or reopened to when the Payment is made. The Cut-off time will be well within the SLA. You must define the cut-off time and SLA.

Use the **SLA Configuration** window to define an SLA for a combination of message category, message type, currency, jurisdiction, business domain, message direction, transaction amount range, and message priority.

Note

The SLA time must be defined in HH:MM:SS format.

You can set an automatic action to be taken by the system if the alert is not investigated within the defined SLA using the **Auto Action Parameter** field (this is an optional step). For example, if you select **Escalate**, then the alert is escalated to the Supervisor after the SLA time is passed. You can also set a notification to be sent for overdue alerts as soon as the cut-off time is passed for an alert to any user role, for example, to a supervisor. For more information, see the [Generating Email for Different Statuses](#) section.

To set the SLA time, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **SLA Configuration** tab.

Figure 5-3 SLA Configuration Tab

| Message Category | Message Type | Jurisdiction | Business Domain | Currency | From Amount | To Amount | Priority | SLA Time | Message Direction | Auto Action Parameter | Enable |
|------------------|--------------|--------------|-----------------|----------|-------------|-----------|----------|----------|-------------------|-----------------------|--------|
| Swift | Any | Any | Any | | | | Any | 00:01:02 | ANY | Escalate | Y |
| Swift | Any | Any | Any | | | | Any | 00:01:02 | ANY | Escalate | Y |
| FEDWIRE | Any | Any | Any | | | | Any | 00:01:02 | ANY | None | Y |
| Any | Any | Any | Any | | | | Any | 00:01:02 | ANY | None | Y |

3. Enter the SLA time in HH:MM:SS format.
4. Select an automatic action for an alert that is overdue. You can do one of the following:
 - Recommend to block the transaction
 - Block the transaction
 - Recommend to release the transaction
 - Release the transaction
 - Escalate the transaction
5. Select **Yes** to enable a specific combination, else select **No**.
6. To create a combination, use the following conditions. This is an optional step.
 - **Message Category:** Select the message category used for the transaction. You can also select **Any** to indicate that regardless of the message category, the SLA time is enabled for the combination. If you select **Any**, you cannot select a message type.
 - **Message Types:** Select a message type for the message category. You can also select **All** to indicate that the SLA time is enabled for all message types.
 - **Currency:** Enter the ISO currency code of the currency used for the transaction.
 - **Jurisdiction:** Select the jurisdiction/geography if the defined SLA time must apply to only this jurisdiction. You can also select **All** to select all jurisdictions/geographies.
 - **Business Domain:** Select the business domain if the defined SLA time must apply to only this business domain. You can also select **All** to select all business domains.
 - **Message Direction:** Select INBOUND for transactions that are coming into your account and select OUTBOUND for transactions that are going out of your account. You can also select **Any** to select any message direction.
 - **Amount:** Select the amount range used in the transaction.
 - **Priority:** Set a specific alert priority or select **Any** to indicate that the alert can have any priority.

Table 5-1 General Actions

| To... | Do this... |
|------------------------|---|
| Add a configuration | Click Add . The values appear in a tabular format. |
| Update a configuration | Select the configuration you want to update, update the value of one or more fields, and click Update . The updated value is displayed in the table. |

Table 5-1 (Cont.) General Actions

| To... | Do this... |
|---|---|
| Remove a configuration | Select the configuration you want to remove and click Remove . The selected configuration is removed from the table. |
| Clear the values of some of the fields in a configuration | Click Clear . You can only clear the values of the Cut-Off Time, Currency, and Amount fields. |
| Enable all configurations | Click Enable All . |
| Disable all configurations | Click Disable All . |

5.4 Automatic Assignments of Alerts

The Transaction Filtering application provides two options for assigning alerts:

Manual assignment

Analyst users can view a list of alerts relevant to the jurisdictions and business domains to which they have access. Access rights are mapped and controlled using the `domain_jur_grp_map` table.

Alerts displayed to each analyst include:

- Alerts currently assigned to the analyst.
- Alerts not yet assigned but within the user's access scope.

When an analyst opens a specific alert from the Alert List in the system UI, the alert is assigned to that analyst.

If an assigned analyst is unavailable (e.g., on leave), Senior Supervisor users have additional privileges to manage alert assignments.

Senior Supervisors can:

- Reassign alerts to another eligible analyst.
- Unassign alerts, making them available for reassignment.

For more information on the Investigation User Interface, see the **Managing Transaction Filtering** chapter in the [Oracle Financial Services Transaction Filtering User Guide](#).

Automatic assignment

In auto assignment, the allocation of alerts is handled automatically by the system at the time the message is posted, not through the user interface. Assignment logic is determined by pre-defined configuration parameters which are explained below. You can use two options: load balancing or load balancing along with specific criteria, to assign the alert

Note

You cannot change the mode of assignment from automatic to manual for an alert that is already assigned. You can only select a mode of assignment for new alerts.

To configure an alert to be assigned manually or automatically, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Auto Assignment Configuration** tab.
3. Select **Manual** to manually assign an alert to the selected user.
4. Select **Automatic** to auto-assign the alert to the selected role.

If you select **Automatic**, you can choose between **Based On Load Balancing** to select a user role or **Custom Criteria With Combination Of Load Balancing** to select a user role along with the following conditions.

If you select **Based On Load Balancing**, all users who belong to the role are assigned the alert and the maximum capacity for each user role must be defined.

Figure 5-4 Auto Assignment Configuration Tab with Based on Load Balancing Selection

The screenshot shows the 'Auto Assignment Configuration' interface. The 'Alert Assignment Option' is set to 'Automatic'. Under 'Automatic Configuration', 'Based On Load Balancing' is selected. The configuration includes the following fields:

- User Role: TFLTANYST
- User Id: TFANALYST
- Jurisdiction: Any
- Business Domain: Any
- Max Capacity: Enter Capacity
- Enable: Yes

Below the form is a table with the following data:

| User Role | User Id | Max Capacity | Jurisdiction | Business Domain | Enable |
|-----------|-----------|--------------|--------------|-----------------|--------|
| TFLTANYST | TFANALYST | 2 | All | All | Y |

If you select **Custom Criteria With Combination Of Load Balancing**, you can select a user role and a specific combination of conditions. The system then applies load balancing along with these conditions, while also applying the maximum capacity defined for the users.

Figure 33: Auto Assignment Configuration Tab Custom Criteria with Combination of Load Balancing

Figure 5-5 Auto Assignment Configuration Tab Custom Criteria with Combination of Load Balancing

The screenshot shows the 'Auto Assignment Configuration' interface. The 'Alert Assignment Option' is set to 'Automatic'. Under 'Automatic Configuration', 'Custom Criteria With Combination Of Load Balancing' is selected. The configuration includes the following fields:

- User Role: TFLTANYST
- User Id: TFANALYST
- Jurisdiction: Any
- Business Domain: Any
- Max Capacity: Enter Capacity
- Enable: Yes
- Message Category: FEDWIRE
- Message Type: Any
- Match Score: From Match Score, To Match Score
- Priority: Any
- Currency: Enter an ISO currency
- Amount: From Amount, To Amount

Below the form is a table with the following data:

| User Role | User Id | Max Capacity | Jurisdiction | Business Domain | Enable | Message Category | Message Type | From Match Score | To Match Score | Currency | Priority | From Amount | To Amount |
|-----------|-----------|--------------|--------------|-----------------|--------|------------------|--------------|------------------|----------------|----------|----------|-------------|-----------|
| TFLTANYST | TFANALYST | 2 | All | All | Y | Any | Any | 10 | 110 | | Any | 10 | 2000 |

The following conditions must be defined:

- **User Role:** Select the role to whom you want to automatically assign alerts. When you select the role, all users who belong to that role are displayed in the *User ID* field. You can assign an alert to any user except the Admin user.
- **User ID:** Select the user to whom you want to automatically assign alerts.
- **Jurisdiction:** Select the jurisdiction applicable to the combination, or select **All** to indicate that for all jurisdictions, the alert auto-assignment is enabled for the combination.
- **Business Domain:** Select the business domain applicable to the combination or select **All**.
- **Max Capacity:** Select the maximum number of alerts that can be investigated by the selected user.
- **Enable Flag:** Select **Yes** to enable the combination.

The following additional fields can be used to create a combination when you select **Custom Criteria With Combination Of Load Balancing**:

- **Message Category:** Select the message category used for the combination or select **Any** to indicate that regardless of the message category, the alert auto-assignment is enabled for the combination.
- **Message Types:** Select a message type for the message category or select **None**.
- **Match Score:** Select the match score range. If the match score is between this range, then the alert is assigned to the selected user based on the configuration.
- **Priority:** Set the message priority or select **Any**.
- **Currency:** Enter the ISO currency code of the currency used during the transaction.
- **Amount:** Select the amount range used in the transaction.

After you select the values in the required fields, you can do the following:

Table 6:

Table 5-2 General Actions

| To... | Do this... |
|---|---|
| Add a configuration | Click Add . The values appear in a tabular format. |
| Update a configuration | Select the configuration you want to update, update the value of one or more fields, and click Update . The updated value is displayed in the table. |
| Remove a configuration | Select the configuration you want to remove and click Remove . The selected configuration is removed from the table. |
| Clear the values of some of the fields in a configuration | Click Clear . You can only clear the values of the Currency and Amount fields. |
| Enable all configurations | Click Enable All . |
| Disable all configurations | Click Disable All . |

5.5 Configuring the Cut-Off Parameters for Alerts

Banks or FIs want to settle payments within a specified time. To achieve this, related alerts should be closed well within this specified time. The cut-off time is the defined duration by when the alert has to

be closed. This is the time from when the Analyst starts working on the alert till the time the alert is closed. The SLA is defined as the time from when the alert is created or reopened to when the Payment is made. The Cut-off time will be well within the SLA. You must define the cut-off time and SLA.

Use the **Cut-Off Configuration** window to set a cut-off time for the investigator to complete the alert investigation. You can either set a single cut-off time for all alerts or set different cut-off times for each alert based on multiple conditions such as message category, message type, jurisdiction, business domain, currency, amount range, message priority, and message direction.

Note

The cut-off time must be defined in HH:MM:SS format and will be based on your locale.

To set a single cut-off time for all alerts, define the cut-off time in the **Cut-Off Time** field and then select **Any** in the condition fields which have drop-down values. Do not enter a value in the **Currency** and **Amount** fields.

To set different cut-off times based on specific values, define the cut-off time in the **Cut-Off Time** field and then select one or more values in the condition fields. Here, you can enter a value in the **Currency** and **Amount** fields. For more information, see step 6.

Note

If you set different cut-off times, ensure that you define the conditions in such a way that the cut-off time defined for a specific set of conditions does not overwrite the cut-off time defined for another set of conditions.

When the cut-off time is set for an alert, the alert displays the time in *green* in the Investigation User Interface until the cut-off time is passed. After the cut-off time is passed, that is, the alert becomes overdue and is not investigated within the defined cut-off time, then the alert displays the time in *red* in the Investigation User Interface. For information on the Investigation User Interface, see the Oracle Financial Services Transaction Filtering User Guide.

You can set an automatic action to be taken by the system if the alert is not investigated within the defined SLA using the **Auto Action Parameter** field (this is an optional step). For example, if you select **Escalate**, then the alert is escalated to the Supervisor after the cut-off time is passed. You can also set a notification to be sent for overdue alerts as soon as the cut-off time is passed for an alert to any user role, for example, to a supervisor. For more information, see the [Generating Email for Different Statuses](#) section.

To set the cut-off time, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin** and then click the **Cut-Off Configuration** tab.

Figure 5-6 Cut-Off Configuration Tab

| Message Category | Message Type | Jurisdiction | Business Domain | Currency | From Amount | To Amount | Priority | Cut-Off Time | Timezone | Message Direction | Enable |
|------------------|--------------|--------------|-----------------|----------|-------------|-----------|----------|--------------|----------|-------------------|--------|
| Swift | MT695 | Any | Any | | | | Any | 00:00:01 | | OUTBOUND | Y |

3. Enter the cut-off time in HH:MM:SS format. This is the time period by when the alert must be closed by the investigator.
4. Enter the locale. The cut-off time is displayed based on your selection.
5. Select **Yes** to enable a specific combination, else select **No**.
6. To create a combination, use the following conditions. This is an optional step.
 - **Message Category:** Select the message category used for the transaction. You can also select **Any** to indicate that regardless of the message category, the cut-off time is enabled for the combination. If you select **Any**, you cannot select a message type.
 - **Message Types:** Select a message type for the message category. You can also select **All** to indicate that the cut-off time is enabled for all message types.
 - **Jurisdiction:** Select the jurisdiction/geography if the defined cut-off time must apply to only this jurisdiction. You can also select **All** to select all jurisdictions/geographies.
 - **Business Domain:** Select the business domain if the defined cut-off time must apply to only this business domain. You can also select **All** to select all business domains.
 - **Currency:** Enter the ISO currency code of the currency used for the transaction.
 - **Amount:** Select the amount range used in the transaction.
 - **Priority:** Set a specific alert priority or select **Any** to indicate that the alert can have any priority.
 - **Message Direction:** Select INBOUND for transactions that are coming into your account and select OUTBOUND for transactions that are going out of your account. You can also select **Any** to select any message direction.

After you select the values in the required fields, you can do the following:

Table 5-3 General Actions

| To... | Do this... |
|---|---|
| Add a configuration | Click Add . The values appear in a tabular format. |
| Update a configuration | Select the configuration you want to update, update the value of one or more fields, and click Update . The updated value is displayed in the table. |
| Remove a configuration | Select the configuration you want to remove and click Remove . The selected configuration is removed from the table. |
| Clear the values of some of the fields in a configuration | Click Clear . You can only clear the values of the Cut-Off Time, Currency, and Amount fields. |
| Enable all configurations | Click Enable All . |
| Disable all configurations | Click Disable All . |

5.6 Wire Stripping Configuration

Wire Stripping is a deliberate and illegal practice of removing, tampering, or altering the payment information from wire transfers, so that the identity of potentially sanctioned countries, entities, or individuals is hidden. Wire Stripping practice involves the following methods:

- A financial institution deleting information from the wire transfer message
- Inserting false information in the wire transfer message
- Requesting that the transferring institution delete or falsify an incoming transfer message

For example,

If the sanctioned country A needs to purchase goods from the country B, the transaction originates with the business in sanctioned country A sending funds to an intermediary bank in Country C. Banks from Country C then transfers funds to Country B.

When the bank from Country C transfers the money to the bank in Country B, the details are stripped, i.e., the wire details are removed during the fund transfer to the bank in Country B to avoid OFAC filter detection. The bank from Country B then forwards the currency to the Country B-based goods supplier, and the materials are supplied at the intermediary location (Country C). The intermediary bank (Country C) may remove evidence of any nexus with the sanctioned country (Country A) from within the Society for Worldwide Interbank Financial Telecommunications (SWIFT) messages, inserting false details or returning it to the customer to resubmit.

The Financial Institutions (FIs) may conceal or remove true originators from the transactions to avoid the sanctions-monitoring programs put in place by those institutions. The FI may weed out, tamper, or even alter the payment details of the transfer. In some instances, some FIs even go a step further and advise originating banks in the sanctioned countries on how to format their transfers to allow the transactions to avoid detection entirely.

As a result of the wire stripping activities, the institutions are subjected to substantial regulatory fines and reputation damage.

To detect potential wire-stripping activity, a FI needs to focus on comparing previously submitted and rejected payments. In many cases, payments are linked to other payments, and discrepancies between these payment pairs may indicate that wire stripping has occurred. A possible detection method for this situation is to compare certain key fields of these payment pairs. This method will require FIs to maintain and leverage historical profiles of payment messages that were blocked or rejected.

TF will generate a suspected wire stripping alert using methodology built into the product and harnessing the power of EDQ.

When a message is blocked or rejected by the sanctions team, the transaction is stored in the database of blocked transactions (the property of the transaction is configurable) with a unique identifier code or Fingerprint assigned. Using the Fingerprint, identical wire transfers are identified with variable attributes and a look back period.

The fingerprint is calculated on items such as currency, amount, ordering customer, beneficiary bank or other beneficiary information. Fingerprint contains a combination of multiple fields to compare. You can create multiple rules in Transaction Filtering Admin which will create multiple fingerprints.

To configure the Fingerprint attributes for the Wire Stripping, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **Transaction Filtering Admin**. The Configuration screen is displayed.
3. Click **Wire Stripping Configuration** tab.

Figure 5-7 Wire Stripping Configuration Tab

4. In the **Wire Stripping configuration** section, select **Yes** if wire stripping is required or select **No** if wire stripping is not required. By default **No** is selected.
If you select **Yes**, message category section and Fingerprint sections are enabled.
5. Select **Yes** adjacent to Message Category (Swift, ISO20022 and FEDWIRE) and click **Save** to add the message category to the fingerprint list. You can add multiple message category to the fingerprint.
6. In the Fingerprint section, to display the fingerprint list table select the message category from the **Message Category** drop-down list and message type from the **Message Type** drop-down list.
The Fingerprint list table displays the results for the combination of message category and message type that you selected.

To add new fingerprint to the Fingerprint list table click **Add**. The Add Fingerprint Screen is displayed.

For information on available message types, see [Appendix F: Message Categories and Message Types](#).

To add new fingerprint to the Fingerprint list table using the Add Fingerprint Screen, follow the subsequent steps:

- a. Enter the parameter value for the following fields:

Note

The following fields are mandatory.

- **Fingerprint Details**
 - **Fingerprint Name:** You can enter the desired fingerprint name.

- **Enable:** Select Yes or No to enable or disable the fingerprint. By default, the value is Y.
 - **Jurisdiction:** Select a jurisdiction name from the drop-down list.
 - **Business Domain:** Select a Business Domain name from the drop-down list.
 - **Look back Period (days):** Enter the time period in days. The lookback period (days) is the time limit the WS alert generator uses to consider the previous alerts for comparison.
 - **Attribute Details**
 - **Business Data:** Select the Business Data parameter from the drop-down list.
 - **Condition Type:** Select the matching condition type as Exact, Contains, or Percentage Range.
 - a. Select the field combinations and click **Add** to add the new fingerprint to the Fingerprint Attribute Table.
You can add multiple Fingerprint attribute by repeating the above steps with different combination.
 - b. To edit a fingerprint attribute in the table follow the below steps:
 - i. Select the attribute from the Fingerprint Attribute table.
 - ii. Edit the Fingerprint details and Attribute details in the Add Fingerprint screen.
 - iii. Click **Update**.
 - c. To Remove the fingerprint attribute from the table, select the attribute row and click **Remove**. Click **OK** to confirm.
 - d. Click **Cancel** to reset the Fingerprint attribute table.
 - e. Click **Save** to add the Fingerprint with selected Fingerprint attributes for the message type selected in Step 6 in **Fingerprints** section. You can add multiple Fingerprint for the message type with different attribute combinations.
7. The following buttons are enabled when a fingerprint is added/available in the Fingerprint list table:
- **Update:** To update the selected Fingerprint.
 - **Remove:** To delete the selected Fingerprint.
 - **Enable All:** To enable all the Fingerprints in the table.
 - **Disable All:** To Disable all the Fingerprints in the table.

The selected attribute combinations of Fingerprint for the message type will be considered to compare the posted message with the previously blocked alerts within the look-back period.

If the current posted message matches with previously compared alerts, a risk score will be generated using the assessment in the IPE. For Wire Stripping Fingerprint Evaluation, a risk score of 100 is preconfigured to create an alert for all matched messages.

For more information on configuring the Wire Stripping Fingerprint risk score, see [Configuring Risk Scoring Rules](#). For more information on alert list, see Oracle Financial Services Transaction Filtering User Guide.

5.6.1 Configuring Business Data Attribute

You can configure the business data for the fingerprint for SWIFT, Fedwire, and ISO20022 message categories. To configure the business data attribute follow the subsequent steps:

- To configure the business data attribute for SWIFT or Fedwire message category, follow the below steps:
 1. Access the Atomic Schema and access the DIM_SANCTIONS_FIELD_DESC table.
 2. Insert the parameters in the columns. For more information See Data Model Reference Guide.
 3. To enable a particular business data attribute in the Fingerprint, add **Y** for the selected business data in the F_ENABLE_FOR_FINGER_PRINT column.

To configure the business data attribute for ISO20022 message category, follow the below steps:

1. Access the Atomic Schema and access the DIM_TF_XML_MSG_TAG_FLD table.
 2. Insert the parameters in the columns. For more information See [Data Model Reference Guide](#) .
 3. To enable the business data attribute in the Fingerprint, add **Y** for the business data in the F_ENABLE_FOR_FINGER_PRINT column.
1. After configuring and executing the above step, you must add required conditions for the business data. To add conditions business data follow the below steps:
 - a. Access the Atomic Schema and access the FCC_TF_WS_BUS_FLD_COND_MAP table.
 - b. Enter the input value for the following columns:
 - N_BUSINESS_FLD_ID: For the business field ID, refer N_MSG_TAG_FLD_ID column from DIM_TF_XML_MSG_TAG_FLD table for ISO20022 and N_SANCTION_DESC_CODE column from DIM_SANCTIONS_FIELD_DESC table for SWIFT/Fedwire.
 - N_MSG_CATEG_CODE: For the message category type, refer N_MSG_CATEG_CODE column from DIM_MESSAGE_CATEGORY table.
 - N_CONDITION_ID: For the conditions required for the new business data, refer N_CONDITION_ID column from FCC_TF_WS_FINGER_PRINT_COND table.

5.6.2 Configuring Wire Stripping Validation for WS Alert Details Screen

You can enable or disable Wire Stripping Validation for WS Alert in Alert Details Screen. To configure the Wire Stripping Validation, follow the subsequent steps:

1. Access the Atomic Schema and access the SETUP_RT_PARAMS table.
2. To disable the Wire Stripping Validation, set the V_ATTRIBUTE_VALUE2 to **N** for V_PARAM_NAME= 'WIRESTRIPPING_FINGERPRINT_CONF' parameter.

To enable the Wire Stripping Validation, set the V_ATTRIBUTE_VALUE2 to **Y** for V_PARAM_NAME= 'WIRESTRIPPING_FINGERPRINT_CONF' parameter.

5.7 Setting the Priority for Messages

You can set the priority for a specific message category as **High**, **Medium**, and **Low** based on certain criteria such as the message jurisdiction, message type, and amount. The seeded message categories are **High**, **Medium**, and **Low**. To add other priority types, add the required priority type in the DIM_ALERT_PRIORITY_TYPE table.

Note

The ready-to-use application extracts some of the key fields of the message into the FSI_RT_MSG_TAG table.

If you want to use any field to define the priority, write an SQL query in the V_ATTRIBUTE_VALUE1

column of the SETUP_RT_PARAMS table. At the end of the query, add the following *where* clause:

```
where t.n_grp_msg_id = [GRP_MSG_ID] and rownum = 1
```

To define the priority for a message category, follow these steps:

1. Run the following query to view the SETUP_RT_PARAMS table:

```
select * from SETUP_RT_PARAMS;
```
2. Search for the MESSAGE_PRIORITY value in the V_PARAM_NAME column.
3. In the V_ATTRIBUTE_VALUE1 column, write the query or function to define the priority. You can write functions or queries based on your criteria.

5.8 Running the Purge Utility

Use the purge utility to maintain all data such as alerts, transactions, and reference data for a specific archival period for all involved jurisdictions. The archival period can be configured by users who have the required permissions under each legal entity policy or local data protection requirements.

Note

The archival period can be configured by users who have the required permissions under each legal entity policy or local data protection requirements. The archival period also applicable for the AdminGuide_Transaction Filtering_8.0. 7.0.0 and AdminGuide_Transaction Filtering_8.1.1.0.0. For more information, see [Sanctions Application Pack](#).

To run the purge utility, follow these steps:

1. Go to the purgeTF.sh file in the <installed area>/ficdb/bin/ directory and replace the ##Infodom## placeholder with the name of your Infodom.
2. Run the purge utility from the <installed area>/ficdb/bin/ directory using the following command:

```
./purgeTF.sh <from date in mm/dd/yyyy> <to date in mm/dd/yyyy> S/H
```

S stands for soft delete and H stands for hard delete.
For example,

```
./purgeTF.sh 11/11/2019 11/12/2019 S
```
3. Verify the purge logs in the following directory:
<installed area>/ficdb/log/TFpurge/ path

5.9 Adding, Editing or Deleting Good Guy Records

You can add, edit or delete a Good Guy record from the **Good Guy List Details** page.

5.9.1 Adding a Good Guy Record

Apart from adding a good guy record using the process mentioned in the **Good Guy/White List Matching** section in the Oracle Financial Services Transaction Filtering User Guide, you can also manually add a record to the FCC_WHITELIST table, for example, if the record is a trusted customer.

To add a record, follow these steps:


1. Click **List Management** on the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. In the **Good Guy Summary** section, click **Add** . A pop-up window is displayed.

Figure 5-8 Good Guy Summary Pop-up Window

| | | Match criteria for this record: |
|---|---------------------------------|---|
| Payment Entity Full Name * | <input type="text"/> | <input checked="" type="radio"/> Yes |
| Payment Entity Jurisdiction | EMEA <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Payment Account ID | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Record Name | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Name | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Record ID | <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Watchlist Last Update Date | 06/21/2022 <input type="text"/> | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Expiration Date * | 06/21/2022 <input type="text"/> | |
| <input type="button" value="Save"/> <input type="button" value="Cancel"/> | | |

3. Enter the required details.
4. Click **Save**.

5.9.2 Editing a Good Guy Record

After you add a record, you can change the jurisdiction or expiry date of the record by editing the record.

To edit the good guy record, follow these steps:

1. In the **Good Guy Summary** section, click **Actions**.
2. From the drop-down list, click **Edit**.
3. Make the necessary changes to the record.
4. Enter your reasons for editing the record.
5. Click **Save**.

Updating the Status of an Expired Alert

If the Supervisor has not worked on the alert and it is past the expiry date, you must move it to the expiry status. To do this, run the Good Guy Expiry Check batch in the Run page.

5.9.3 Deleting a Good Guy Record

You can delete a record, for example, if the record was added in error or the record must no longer be in the Good Guy table.

To delete the good guy record, follow these steps:

1. In the **Good Guy Summary** section, click **Actions**.
2. From the drop-down list, click **Delete**.
3. Enter your reasons for deleting the record.
4. Click **Save**.

The following columns in the FCC_WHITELIST table are used for matching. This match can be against a single column or column combinations:

- – **V_ORIGIN**: This column contains the watch list name.
- – **V_WHITE_ENTITY_NAME**: This column contains the watch list record name.
- – **V_WHITE_NAME**: This column contains the input message name.
- – **V_IDENTIFIER_CODE**: This column contains the ID of the party name present in the V_WHITE_NAME column and comes from the input message.
- – **N_RECORD_ID**: This column contains the watch list record ID.
- **V_JURISDICTION**: This column contains the watch list jurisdiction.
- – **D_EXPIRE_ON**: This column contains the date after which the record is no longer checked against the records in the FCC_WHITELIST table.

5.9.4 Good Guy Attributes

The system will generate a hash code to capture the current state of attributes on the WL side based on EDQ configuration.

When a name event/match is taking place, and the **Last Updated Date** with fingerprinting option is selected as **Yes**.

If there is no change to the **Last Updated Date** field, then this is considered positive for good guy (match will be considered good guy if all other conditions are met).

If there is a change to the **Last Updated Date** field, then the hashcode will be compared. If they are identical, then this is considered positive for a good guy (match will be considered good guy if all other conditions are met).

The following fields are used for hashcode calculation:

1. WL - entities - prepared data:
 - dnListKey (e.g. "DJW")
 - dnListSubKey (e.g. "DJW-SAN" or "DJW-EDD")
 - dnListRecordType (e.g. "SAN" or "EDD")
 - dnListRecordId (e.g. "1044689")
 - dnOriginalEntityName
 - dnEntityName
 - dnPrimaryName
 - dnOriginalScriptName
 - dnAddress
 - dnCity
 - dnState
 - dnAddressCountryCode
 - dnAddressCountry
 - dnAllCountries
 - dnAllCountryCodes (e.g. "RU")
2. WL - individuals - prepared data
 - dnListKey (e.g. "DJW")
 - dnListSubKey (e.g. "DJW-SAN" or "DJW-EDD")
 - dnListRecordType (e.g. "SAN" or "EDD")
 - dnListRecordId (e.g. "1044689")
 - dnOriginalFullName
 - dnOriginalGivenNames
 - dnOriginalFamilyName
 - dnFullName
 - dnGivenNames
 - dnFamilyName
 - dnPrimaryName
 - dnOriginalScriptName
 - dnAddress
 - dnCity
 - dnState

- dnAddressCountryCode
 - dnAddressCountry
 - dnAllCountries
 - dnAllCountryCodes (e.g. "RU")
- The fields used for hash code calculation should be configurable by consulting as global configuration (1 set of fields).
 - This configuration cannot be changed per list type.
 - This is expected to be a 1-time activity that will happen during implementation.

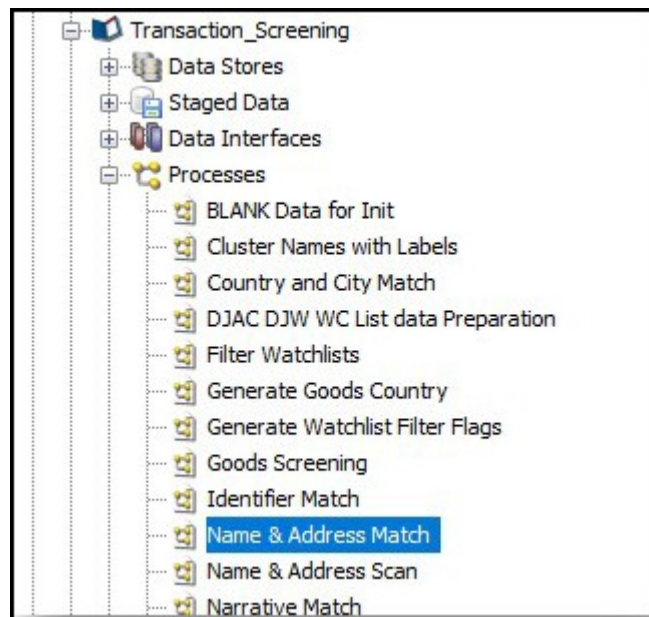
This functionality is expected to work for all types of lists - 3rd party lists and internal lists. This means an analyst should be able to mark a good guy based on an internal list match.

5.9.4.1 Managing the Good Guy Attributes

To change the Good Guy Attributes, follow these steps:

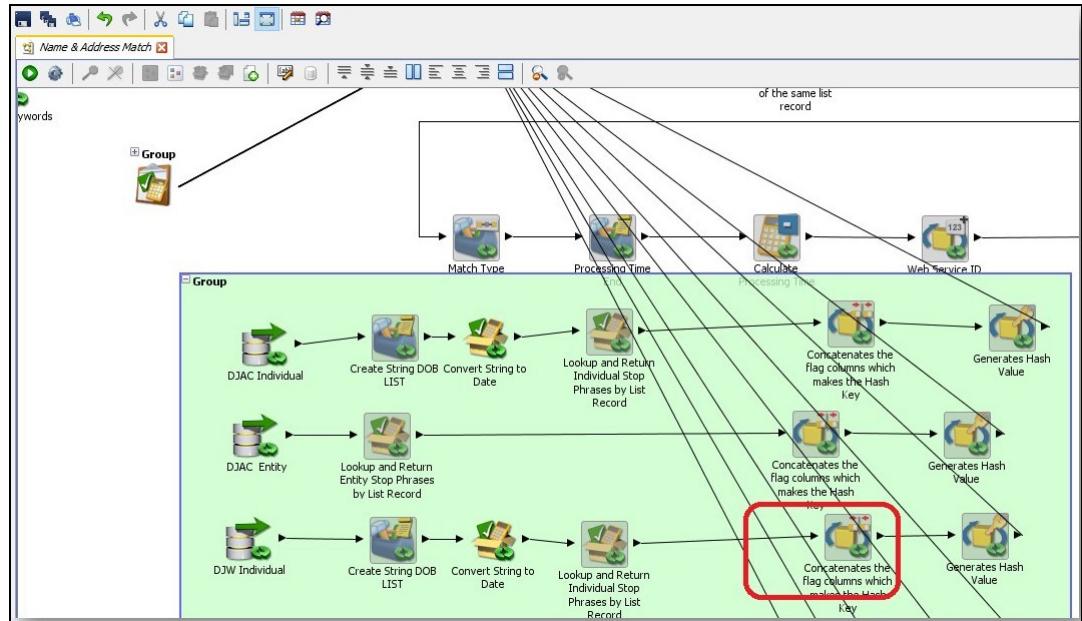
1. From the EDQ URL, open the Director and the Transaction_Screening Project.

Figure 5-9 Transaction Screening Project



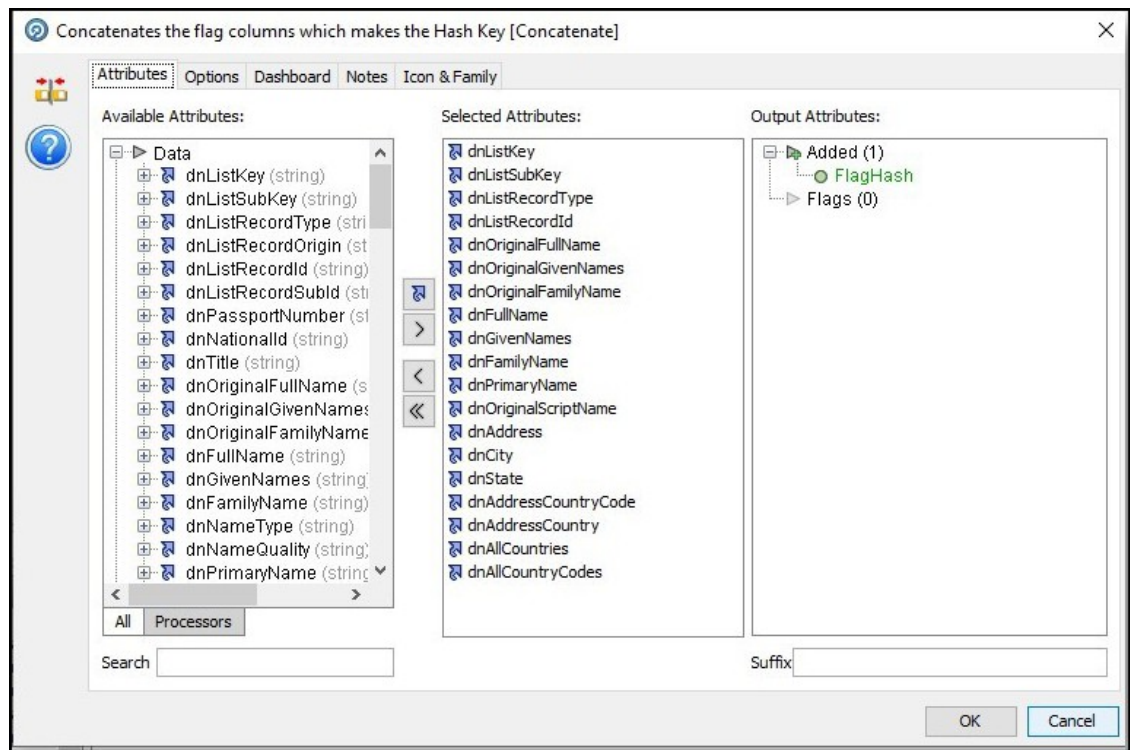
2. From Processes, open the **Name & Address Match**.

Figure 5-10 Name and Address Match



3. Expand the group and double click “Concatenates the flag columns which makes the Hash Key”.
4. You can map and unmap required set of attributes to make the hash key.

Figure 5-11 Attributes for Concatenates the flag columns which makes the Hash Key



5.10 Generating Email for Different Statuses

An email is generated for a transaction depending on its status. The following types of emails are generated:

- [Notification Email](#)
- [Task Email](#)

5.10.1 Notification Email

A notification email is generated for Blocked and Released transactions and the template is as follows:

Subject: Notification-<id>-Issue Identified - New issue assigned to you

```
Hi TFSUPERVISOR,  
This is to inform you that a Notification is generated for you in your inbox  
for  
Notification ID: <id> Transaction Type: <Message Type>  
Message Reference: <Message Reference> Status: <Blocked/Released>  
User Comments: <User comments> Received On: 2017-07-25 12:03:19.0  
Please access the below link to logon to Transaction Filtering System.  
<Application URL>  
Regards,  
Admin
```

A notification email is generated for nearing cut-off/nearing SLA to supervisor and the template is as

follows. Two different emails are sent for cut-off and SLA.

Subject: Notification-<id>-Issue Identified - New issue assigned to you

```
Hi TFSUPERVISOR/TFANALYST,  
This is to inform you that a Notification is generated for you in your inbox  
for  
Notification ID : <id>  
Message Category: <Message Category> Transaction Type : <Message Type>  
Message Reference: <Message Reference> Batch Reference: <Batch Reference>  
Transaction Reference: <Transaction Reference>  
Status : <HOLD/ASSIGNED/ESCALATED/BLOCK RECOMMENDED/RELEASE RECOMMENDED >  
User Comments: <User comments>  
Received On : <2017-07-25 12:03:19.0>  
Please access the below link to logon to Transaction Filtering System  
<Application URL>  
Regards,  
Admin
```

5.10.2 Task Email

A task email is generated for Hold and Escalated transactions and the template is as follows:

Subject: Taskid-<id>-Issue Identified - New issue assigned to you

Hi TFSUPERVISOR/TFANALYST,
This is to inform you that a Notification is generated for you in your inbox
for
Task ID: <id>
Transaction Type: <Message Type> Message Reference: <Message Reference>
Status: <Hold/Escalated>
User Comments: <User comments> applicable to escalated only Received On:
2017-07-25 12:03:19.0
Please access the below link to logon to Transaction Filtering System.
<Application URL>
Regards, Admin

A task email is generated for nearing cut-off/nearing SLA to supervisor and the template is as follows.

Two different emails are sent for cut-off and SLA.

Subject: Taskid-<id>-Issue Identified - New issue assigned to you

Hi TFSUPERVISOR/TFANALYST,
This is to inform you that a Notification has been generated for you in your
inbox for
Task ID : <id>
Message Category: <Message Category> Transaction Type : <Message Type>
Message Reference: <Message Reference> Batch Reference: <Batch Reference>
Transaction Reference: <Transaction Reference>
Status : <Overdue Cut-off/ Overdue SLA> Note: not sure exact status name so
use exact status which are used for cut-off overdue and SLA overdue.
User Comments: <User comments> applicable to escalated only Received On :
2017-07-25 12:03:19.0
Please access the below link to logon to Transaction Filtering System.
<Application URL>
Regards,
Admin

5.11 Configuring Alerts in Multiple Jurisdictions and Business Domains

Alerts are segregated based on jurisdiction and business unit or line of business. You can also configure the alerts that are assigned to the users in the tfanalytgroup and tfsupervisorgrp groups.

Jurisdictions are used to limit user access to data in the database. The user must load all jurisdictions and associate user groups to jurisdictions in the tables as specified in [Configuring Jurisdictions and Business Domains](#). User groups can be associated with one or more jurisdictions.

Note

All jurisdictions in the system reside in the FCC_SWIFT_JSRDSN_MAP table.

In the Investigation User interface system, users can view only data or alerts associated with jurisdictions to which they have access. You can use jurisdiction to divide data in the database. For example:

- **Geographical:** Division of data based on geographical boundaries, such as countries, states, and so on.
- **Organizational:** Division of data based on different legal entities that compose the client's business.
- **Other:** Combination of geographic and organizational definitions. Also, it can be customized.

The definition of jurisdiction varies from between users. For example, a user can refer to a branch BIC as jurisdiction and another user can refer to a customer ID as jurisdiction.

Business domains are used to limit data access. Although the purpose is like jurisdiction, they have a different objective. The business domain is used to identify records of different business types such as Private Client versus Retail customer, or to provide more granular restrictions to data such as employee data.

If a user has access to any of the business domains that are on a business record, the user can view that record.

Note

All business domains in the system reside in the FCC_SWIFT_BUS_DMN_MAP table.

5.11.1 Configuring Jurisdictions and Business Domains

The default Sanctions groups are tfanalytgroup and tfsupervisorgrp. According to the ready-to-use product, these groups get all alerts and notifications for all jurisdictions and business domains. To configure the alerts, follow these steps:

1. Load all the jurisdictions. To do this, run the query `SELECT * FROM FCC_SWIFT_JSRDSN_MAP`

and load the jurisdictions in the V_JRSDCN_CD column in the FCC_SWIFT_JSRDSN_MAP table. The following columns are provided to populate any additional information:

Table 5-4 Columns used to provide additional information for Jurisdictions

| Column | Data Type and Length |
|-------------------------|----------------------|
| V_EXTRACTED_SWIFT_FIELD | VARCHAR2(100 CHAR) |
| V_JRSDCN_CD | VARCHAR2(40 CHAR) |
| V_CUST_COLUMN_1 | VARCHAR2(4000 CHAR) |
| V_CUST_COLUMN_2 | VARCHAR2(4000 CHAR) |
| V_CUST_COLUMN_3 | VARCHAR2(4000 CHAR) |

Table 5-4 (Cont.) Columns used to provide additional information for Jurisdictions

| Column | Data Type and Length |
|-----------------|----------------------|
| V_CUST_COLUMN_4 | VARCHAR2(4000 CHAR) |

Table 8:

Table 5-5 Columns used to provide additional information for Jurisdictions

| Column | Data Type and Length |
|-----------------|----------------------|
| N_CUST_COLUMN_1 | NUMBER(20) |
| N_CUST_COLUMN_2 | NUMBER(20) |
| N_CUST_COLUMN_3 | NUMBER(20) |
| N_CUST_COLUMN_4 | NUMBER(20) |

2. Load all the business domains in the V_BUS_DMN_CD column in the FCC_SWIFT_BUS_DMN_MAP table.

The following columns are provided to populate any additional information:

Table 9:

Table 5-6 Columns used to provide additional information for Business Domains

| Column | Data Type and Length |
|-------------------------|----------------------|
| V_EXTRACTED_SWIFT_FIELD | VARCHAR2(100 CHAR) |
| V_JRSDCN_CD | VARCHAR2(40 CHAR) |
| V_CUST_COLUMN_1 | VARCHAR2(4000 CHAR) |
| V_CUST_COLUMN_2 | VARCHAR2(4000 CHAR) |
| V_CUST_COLUMN_3 | VARCHAR2(4000 CHAR) |
| V_CUST_COLUMN_4 | VARCHAR2(4000 CHAR) |
| N_CUST_COLUMN_1 | NUMBER(20) |
| N_CUST_COLUMN_2 | NUMBER(20) |
| N_CUST_COLUMN_3 | NUMBER(20) |
| N_CUST_COLUMN_4 | NUMBER(20) |

3. Map user groups to the appropriate jurisdiction and business domain. To do this, run the query `SELECT * FROM DOMAIN_JUR_GRP_MAP` and do the mapping in the `DOMAIN_JUR_GRP_MAP` table and map with the additional columns `STATUS_CD`, `ALERT_TYPE_CD`.

Note

- Refer `N_SANCTION_STATUS_CODE` column from `DIM_SANCTIONS_STATUS` table for list of Status codes.
- Refer `N_ALERT_TYPE_CODE` column from `DIM_SANC_TF_ALERT_TYPE` table for list of alert types.

If multiple jurisdictions are mapped to a single user group, create as many rows as the number of jurisdictions and add the new jurisdiction in each row for the same user group.

If multiple business domains exist for the same user group and same jurisdiction, create as many rows as the number of business domains and add the new business domain in each row for the same user group and jurisdiction.

- Put the appropriate SQL query in the Message_jurisdiction and Message_Business_Domain rows to derive the jurisdiction and business domain respectively in the Setup_Rt_Params table.

This step is required to define the source of jurisdiction and business domain from the message or an external source.

The definition and source of jurisdiction and business domain are different for each customer. In this way, the Transaction Filtering application gives the flexibility to the user to pick any attribute of the message to define the jurisdiction and business domain. For example, jurisdiction can be the BIC present in block 1/block 2 of the SWIFT message or the branch ID present in the SWIFT GPI header.

The ready-to-use application can extract some of the key fields of the message, which are available in the fsi_rt_al_msg_tag table. If the customer wants to use any field as a jurisdiction or business domain from this table, then an SQL query must be written in the Setup_Rt_Param table to extract the respective column.

When a message is posted, the system updates the jurisdiction and business domains extracted in step 4 in the FSI_RT_RAW_DATA and FSI_RT_ALERTS tables.

5.11.2 Configurations to Automatically Assign Transactions

In the setup_rt_params table, set the V_ATTRIBUTE_VALUE1 value for HOST_NAME, PORT and SANC_CONTEXT_NAME corresponding to the N_PARAM_IDENTIFIER value as 55 and the V_PARAM_NAME value as XML_WEB_SERVICE_BASE_URL. It is in the following format:

```
http://###HOST_NAME###:###PORT###/###SANC_CONTEXT_NAME###/SanctionsService
```

Example:

<http://whf00bls:8930/SAN807SEPA/SanctionsService>

5.11.3 Configurations to Automatically Release Transactions

To configure a transaction for the *Auto Release* status, run the following query:

```
select * from fsi_rt_auto_release;
```

By default, the configuration is empty, which means that no transactions can be auto released. You can set the following values in the fsi_rt_auto_release table:

- Message category in the V_MSG_CATEGORY column. For example, a message category of 1 is mapped to the SWIFT message type by default. To see all default values, run the following query:

```
select * from dim_message_category;
```

- Message type in the N_SWIFT_MSG_ID column. For example, a message type of 1 is mapped to the MT101 message type by default. To see all default values, run the following query:

```
select * from dim_sanctions_swift;
```

- Jurisdiction in the V_JURISDICTION column.
- Business Domain in the V_BUSINESS_DOMAIN column.
- To see the default values for jurisdiction and business domain, run the following query:

```
select v_attribute_value1 from setup_rt_params where V_PARAM_NAME in ('MESSAGE_JURISDICTION','MESSAGE_BUSINESS_DOMAIN')
```
- To enable the configuration, set the **F_ENABLED** column to **Y**.

5.12 Version Control

Version control for SWIFT messages, IPE, and ISO20022 is accomplished using the Import/export feature in Transaction Filtering. Say a file has been moved from one environment to another environment. Later, the file is updated. The import/export utility will create 2 separate files for each configuration. You can import both the files into the application and use a text file comparator such as *beyond compare* or a version control tool such as *SVN* to view the differences between the exported files.

Version control for EDQ follows a different process. EDQ has an inbuilt version control feature available, so you will just need to compare the .dxi files to view the differences.

5.12.1 Version Control for SWIFT Messages and IPE

The steps involved for SWIFT messages and IPE are the same. These steps are explained here:

1. Export the new file using the and save it in your local drive.
2. Import the file into the Transaction Filtering application.

You can now compare this file with another file. Ensure that you place these files in separate folders.

5.12.2 Version Control for ISO20022

The steps involved for ISO20022 are explained here:

1. Export the new file and save it in your local drive.
2. Import the file into the Transaction Filtering application.
3. You can now compare this file with another file. Ensure that you place these files in separate folders.

If you want to restore the current version to a previous version of the file, you can delete data from all the tables, import a previously exported file that has the date you want to restore into the application, and restart the webserver. This restores the configuration of the previous version.

5.12.3 Version Control for EDQ

To use the version control feature available within EDQ, follow these steps:

1. In the EDQ application, copy the two different versions of the .dxi files into the **EDQ Director** menu.
2. Click **View** and select **Configuration Analysis** in the **EDQ Director** menu.

3. In the pop-up which appears, select the versions that you want to compare.
4. Click **Configuration**.
5. In the pop-up which appears, select the differences only and click **OK**.
6. In the same window, select **Start Comparison**. This gives all changes between the two files. For more information, see Oracle Enterprise Data Quality Documentation.

5.13 Running the Migration Utility for SWIFT, Fedwire and ISO20022

Use this migration utility to import and export the SWIFT and Fedwire message configurations. For information on configuring the SWIFT message parameters, see [Configuring the SWIFT Message Parameters](#). For information on configuring the Fedwire message parameters, see [Configuring the Fedwire Message Parameters](#).

The message types provided in this utility are available in the TF_Swift_Migration_Utility/output/MSG_TYPES directory.

To export the configurations, follow these steps:

1. Navigate to the TF_Swift_Migration_Utility/config or TF_Swift_Migration_Utility/TF_Swift_Migration_Utility/config directory. For more information on configuring the migration utility see the readme.txt file within the folder.
2. Open the Dynamic.properties file and update the placeholders as shown:

Table 5-7 Configurations required in the Dynamic.properties file when running the export file

| Placeholder | Update with... |
|------------------|--|
| ##jdbcurl## | Your JDBC URL. |
| ##username## | The Atomic Schema user name using which you want to execute the files. |
| ##password## | The Atomic Schema password for the user name. |
| ##infodom## | Your Infodom name. |
| ##SWIFT_MSG_ID## | Your SWIFT ID. This is available in the n_sanction_swift_msg_id column in the dim_sanctions_swift_details table. If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the TF_Swift_Migration_Utility/bin directory and run the export.sh SWIFTMSGEXPORT MSG_TYPES command.

MSG_TYPES is the folder name of the folder to which you can export the configurations. Before you perform the export, change the folder name. For example, Exported.

WARNING

Do not change the folder name to MSG_TYPES. This will overwrite the ready-to-use message types provided with the utility.

To import the configurations, follow these steps:

1. Navigate to the FIC_HOME/Transaction_Processing/TF_Swift_Migration_Utility/ config directory.

- Open the SWIFT_MSG_TYPES.txt file and add the message types that you want to import to the Exported folder mentioned in the export configuration steps.
- Open the Dynamic.properties file and update the placeholders as shown:

Table 11:**Table 5-8 Configurations required in the Dynamic.properties file when running the import file**

| Placeholder | Update with... |
|--------------|--|
| ##jdbcurl## | Your JDBC URL. |
| ##username## | The Atomic Schema user name using which you want to execute the files. |
| ##password## | The Atomic Schema password for the user name. |

- Navigate to the TF_Swift_Migration_Utility/bin directory and run the import.sh SWIFTMSGIMPORT MSG_TYPES command.

MSG_TYPES is the folder name of the folder from where you can import the configurations. Before you perform the import, change the folder name. For example, Imported.

WARNING

Do not change the folder name to MSG_TYPES. This will overwrite the ready-to-use message types provided with the utility.

After you complete the export and import steps, restart the web server. To verify if the message types have been successfully imported or not, check if the message types are available in the Message Type Configuration field in the Message and Screening Configurations Window.

5.13.1 Restoring a Previous Message Configuration

To restore a configuration, you must first export and then import the configuration from that environment, and then restart the webserver. This restores the configuration of the previous version.

Follow these steps to restore the configuration:

- Export the message configuration from the environment.

Note

Ensure that you save the configuration.

- To restore the previous version, Import the saved configuration.

When you import a message configuration, and the message already exists in the system, then the value of the F_LATEST_IDENTIFIER column is updated to Y in the FSI_RT_SWIFT_CONF_DTLS and DIM_SANCTIONS_SWIFT_DETAILS tables.

The audit history is captured in the FSI_RT_SWIFT_CONF_DTLS_HIST table in the V_HIST_DESC column and will have the following remark: Configuration Updated Through Migration Utility.

5.14 Running the Migration Utility for ISO20022

Use this migration utility to import and export the ISO20022 message configurations from one environment to another, for example, from the development server to UAT, and subsequently to production. For information on configuring the ISO20022 message parameters, see [Configurations for ISO20022 Message Parameters](#).

To use the utility, first export the configuration from the source environment and then import the file to the destination environment. To export the configuration, follow these steps:

1. Navigate to the \$FIC_HOME/Transaction_Processing/TF_Config_Migration_Util-ity/config directory.
2. Open the Dynamic.properties file and update the placeholders as shown:

Table 5-9 Configurations required in the Dynamic.properties file when running the export file

| Placeholder | Update with... |
|-------------------|--|
| ##jdbcurl## | Your JDBC URL. |
| ##username## | The Atomic Schema user name using which you want to execute the files. |
| ##password## | The Atomic Schema password for the user name. |
| ##infodom## | Your Infodom name. |
| ##N_XSD_CONF_ID## | Your ISO20022 ID. This is available in the n_xsd_conf_id column in the fcc_tf_xml_xsd_conf table. If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the TF_Config_Migration_UTILITY/bin directory and run the required command.
./export.sh SEPA

To import the configuration, follow these steps:

1. Navigate to the TF_Config_Migration_UTILITY/config directory.
2. Open the Dynamic.properties file and update the placeholders as shown:

Table 5-10 Configurations required in the Dynamic.properties file when running the import file

| Placeholder | Update with... |
|-------------------|--|
| ##jdbcurl## | Your JDBC URL. |
| ##user-name## | The Atomic Schema user name using which you want to execute the files. |
| ##password## | The Atomic Schema password for the user name. |
| ##infodom## | Your Infodom name. |
| ##N_XSD_CONF_ID## | Your ISO20022 ID. This is available in the n_xsd_conf_id column in the fcc_tf_xml_xsd_conf table. If you are providing multiple IDs, add the IDs separated by commas. For example, 1,2,3,4. |

3. Navigate to the TF_Config_Migration_UTILITY/bin directory and run the required command.

```
./ import.sh SEPA.
```

5.15 Configuring JMS Correlation ID

JMS message has two properties (column) called Correlation ID and Message Identifier. To set the Correlation ID, use the following sample code:

```
See Code for Adaptor for SWIFT section in the Technical Integration Guide. SourceEntity
srcEntity = new SourceEntity(busName); // already there srcEntity.setCorrelationID("12345"); //
corrid to be set (Optional)
```

Both initial and final feedback are set with same correlation ID while sending response to output queue.

Figure 5-12 JMS Message Output Queue

The screenshot shows the Oracle Enterprise Manager console for JMS Messages. On the left, a tree view shows the navigation path: Environment > Deployments > Services > Messaging. Below the tree are sections for 'How do I...' (Manage queue messages, Manage distributed queue messages, Manage topic durable subscribers) and 'System Status' (Health of Running Servers as of 8:54 PM, Failed (0), Critical (0)). The main area is titled 'JMS Messages (Filtered - More Columns Exist)' and contains a table with the following data:

| ID | CorrId | Time Stamp |
|--------------------------|--------|------------------------------|
| <130801.1620746366209.0> | 1stWar | Tue May 11 20:49:26 IST 2021 |
| <130801.1620746443639.0> | 1stWar | Tue May 11 20:50:43 IST 2021 |
| <130801.1620746449211.0> | 1stWar | Tue May 11 20:50:49 IST 2021 |

5.16 Configuring Parallel Processing

To enable parallel calling of EDQ web services, the following are the new configuration parameters introduced:

Setup_rt_params table:

- **ENABLE_PARALLEL_WS_CALL** - This Parameter is to indicate if a calling of EDQ Webservices from parser should be parallel or sequential. If the value is set to Y, it will be parallel. If the value is set to N, it will be sequential.
- **ENABLE_PARALLEL_WS_TAGS_CALL** - This Parameter is to indicate if a calling of EDQ Web- services tags from the parser should be parallel or sequential. If the value is set to Y, it will be parallel. If the value is set to N, it will be sequential. By default OOB, both the parameters will be set to N.

static.properties file:

The following are the new parameters introduced in the static.properties file under

<DeployedContext>/TFLT.ear/TFLT.war/conf:

- – `tf.edq.webservices.maxthread.count=6` - This Parameter is used to indicate EDQ Webservices thread count. This creates a thread pool with 6 threads executing the tasks.
- `tf.edq.webservices.tags.maxthread.count=5` - This Parameter is used to indicate EDQ Webservices tags thread count. This creates a thread pool with 5 threads executing the tasks. By default OOB thread count for both parameters is set to 6 and 5, respectively.

5.17 Configuring Additional Columns on the Alert List page

This configuration allows you to add additional column(s) on the Alert Search and List page and view additional information. It also provides the ability to execute the customized query to fetch the data in the columns against each Alert ID and shows the new columns in the Columns drop-down list while saving the view. To add a column on the Search and List page and filters, follow these steps :

1. Add an entry in this table "FCC_SANC_LIST_PAGE_CONFIG" to configure a new value in the column drop-down section for `FSI_RT_ALERTS`

See [FCC_SANC_LIST_PAGE_CONFIG.xlsx](#) file for sample entries for Case ID and BIC Code Key

Note

Add an entry only for the `DEFAULT` view.

"TABLE_NAME" column must have ' `FSI_RT_ALERTS`' value

"COLUMN_NAME" column must have alias column name value in the parent table like `caseId`, `bicCodeKey` and so on.

2. Add an entry in this table "FCC_SAN_LIST_CONFIG" to configure a new value in the filter search section for `TF_LIST_FILTER`.

See [fcc_san_list_config.xlsx](#) file with sample entries for Case ID and BIC Code Key.

3. Add an entry in this table "FCC_SAN_LIST_CONFIG_TL" to configure a new value in the filter search section.

See [fcc_san_list_config_tl.xlsx](#) file for sample entries for Case ID and BIC Code Key.

Note

`N_CONFIG_ID` column value in this table must match with `N_CONFIG_ID` value in "fcc_san_list_config" table.

4. Update "v_query" column in table "FCC_SANC_LIST_PAGE_QUERY_CONF" where "V_QUERY_IDENTIFIER" column value is ' `TF_ALERTLIST_GRID`', with the new column details in select query to get the data for new column.
5. Update "v_query" column in table "FCC_SANC_LIST_PAGE_QUERY_CONF" where "V_QUERY_IDENTIFIER" column value is ' `TF_ALERTLIST_GRID_FROM_QUEUE`', with the new column details in select query to get the data for new column.


```

V_ATTRIBUTE_VALUE2, ' ' V_ATTRIBUTE_NAME3, ' ' V_ATTRIBUTE_VALUE3, ' '
V_ATTRIBUTE_NAME4, ' ' V_ATTRIBUTE_VALUE4, 'List of BIC codes to be used to
highlight 2 digit county code within the matches.' V_ATTRIBUTE1_DESCRIPTION,
' ' V_ATTRIBUTE2_DESCRIPTION, ' ' V_ATTRIBUTE3_DESCRIPTION, ' '
V_ATTRIBUTE4_DESCRIPTION, ' ' V_PARAM_DESC, ' ' V_ATTRIBUTE_NAME5, ' '
V_ATTRIBUTE5_DESCRIPTION, ' ' V_ATTRIBUTE_VALUE5 FROM DUAL) S
ON ( T.N_PARAM_IDENTIFIER = S.N_PARAM_IDENTIFIER )
WHEN MATCHED THEN UPDATE SET T.V_PARAM_NAME = S.V_PARAM_NAME, T.V_CREATED_BY
= S.V_CREATED_BY, T.D_CREATED_DATE = S.D_CREATED_DATE, T.V_MODIFIED_BY =
S.V_MODIFIED_BY, T.V_ATTRIBUTE_NAME1 = S.V_ATTRIBUTE_NAME1, T.D_MODIFIED_DATE
= S.D_MODIFIED_DATE, T.V_ATTRIBUTE_VALUE1 = S.V_ATTRIBUTE_VALUE1,
T.V_ATTRIBUTE_NAME2 = S.V_ATTRIBUTE_NAME2, T.V_ATTRIBUTE_VALUE2 =
S.V_ATTRIBUTE_VALUE2, T.V_ATTRIBUTE_NAME3 = S.V_ATTRIBUTE_NAME3,
T.V_ATTRIBUTE_VALUE3 = S.V_ATTRIBUTE_VALUE3, T.V_ATTRIBUTE_NAME4 =
S.V_ATTRIBUTE_NAME4, T.V_ATTRIBUTE_VALUE4 = S.V_ATTRIBUTE_VALUE4,
T.V_ATTRIBUTE1_DESCRIPTION = S.V_ATTRIBUTE1_DESCRIPTION,
T.V_ATTRIBUTE2_DESCRIPTION = S.V_ATTRIBUTE2_DESCRIPTION,
T.V_ATTRIBUTE3_DESCRIPTION = S.V_ATTRIBUTE3_DESCRIPTION,
T.V_ATTRIBUTE4_DESCRIPTION = S.V_ATTRIBUTE4_DESCRIPTION, T.V_PARAM_DESC =
S.V_PARAM_DESC, T.V_ATTRIBUTE_NAME5 = S.V_ATTRIBUTE_NAME5,
T.V_ATTRIBUTE5_DESCRIPTION = S.V_ATTRIBUTE5_DESCRIPTION, T.V_ATTRIBUTE_VALUE5
= S.V_ATTRIBUTE_VALUE5
WHEN NOT MATCHED THEN INSERT
(N_PARAM_IDENTIFIER,V_PARAM_NAME,V_CREATED_BY,D_CREATED_DATE,V_MODIFIED_BY,V
_ATTRIBUTE_NAME1,D_MODIFIED_DATE,V_ATTRIBUTE_VALUE1,V_ATTRIBUTE_NAME2,V_ATTR
IBUTE_VALUE2,V_ATTRIBUTE_NAME3,V_ATTRIBUTE_VALUE3,V_ATTRIBUTE_NAME4,V_ATTRIB
UTE_VALUE4,V_ATTRIBUTE1_DESCRIPTION,V_ATTRIBUTE2_DESCRIPTION,V_ATTRIBUTE3_DE
SCRIPTION,V_ATTRIBUTE4_DESCRIPTION,V_PARAM_DESC,V_ATTRIBUTE_NAME5,V_ATTRIBUT
E5_DESCRIPTION,V_ATTRIBUTE_VALUE5)
VALUES
(S.N_PARAM_IDENTIFIER,S.V_PARAM_NAME,S.V_CREATED_BY,S.D_CREATED_DATE,S.V_MOD
IFIED_BY,S.V_ATTRIBUTE_NAME1,S.D_MODIFIED_DATE,S.V_ATTRIBUTE_VALUE1,S.V_ATTR
IBUTE_NAME2,S.V_ATTRIBUTE_VALUE2,S.V_ATTRIBUTE_NAME3,S.V_ATTRIBUTE_VALUE3,S.
V_ATTRIBUTE_NAME4,S.V_ATTRIBUTE_VALUE4,S.V_ATTRIBUTE1_DESCRIPTION,S.V_ATTRIB
UTE2_DESCRIPTION,S.V_ATTRIBUTE3_DESCRIPTION,S.V_ATTRIBUTE4_DESCRIPTION,S.V_P
ARAM_DESC,S.V_ATTRIBUTE_NAME5,S.V_ATTRIBUTE5_DESCRIPTION,S.V_ATTRIBUTE_VALUE
5)

/

```

5.19 Configuring Select All Option for the Events Table

This configuration allows you to enable and disable **Select All** option feature for the events table in alerts details page. For more information on alert details and event table, see Oracle Financial Services Transaction Filtering User Guide.

To configure Select All check box for the event table, follow the below steps:

1. Access the Atomic Schema and access the SETUP_RT_PARAMS table.
2. For the TF_SELECT_ALL_EVENTS_FLAG parameter enter the V_ATTRIBUTE_VALUE1 value as **Y** to enable the **Select All** check box in the event table for the match summary. Enter N to disable the **Select All** check box.

5.20 Configuring Bulk Action Feature for the Alert List

This configuration allows you to enable and disable **Bulk Action** feature in the alerts list page. For more information on alert list page, see Oracle Financial Services Transaction Filtering User Guide.

To configure bulk action feature in the alert list page, follow the below steps:

1. Access the Atomic Schema and access the SETUP_RT_PARAMS table.
2. For the ENABLE_BULK_ACTION_FLAG parameter enter the V_ATTRIBUTE_VALUE1 value as **Y** to enable the **Bulk Action** feature in the alert list page. Enter **N** to disable the **Bulk Action** feature.

5.21 Retrigger Functionality

While posting the SWIFT/Fedwire/ISO20022 messages, if any of the EDQ web service pointing to the application is down, messages will be retriggered once all the required web services are up.

The Retrigger configuration parameters are:

- RETRIGGER_INTERVAL_MINS parameter in the setup_rt_params table under atomic schema. By default, V_ATTRIBUTE_VALUE1 value is set to 30 min which are customizable and can be changed (increased/decreased) as per user requirement.
- RETRIGGER_MAX_RETRIES parameter in the setup_rt_params table under atomic schema. By default, V_ATTRIBUTE_VALUE1 value is set to 5, which is customizable and can be changed (increased/decreased) as per user requirement. Once the max value is reached per message, the retrigger loop will be terminated, and the V_RETRY_STATUS_CD parameter is updated to T for the particular message in FSI_RT_RAW_DATA table.

5.21.1 Configuring Data Source in WebLogic Application Server

If the ENABLE_PARALLEL_WS_CALL and ENABLE_PARALLEL_WS_TAGS_CALL parameter values are **Y** in the SETUP_RT_PARAMS table, it is recommended to perform the following configuration in Weblogic Application Server to avoid retrigger failure.

1. Open WebLogic Application Server. For more information, see [Oracle Financial ServicesSanctions Pack Installation and Configuration Guide](#).
2. From the LHS menu (Domain Structure), click Services **Data Sources**. The Summary of JDBC Data Sources window is displayed.
3. Select **SANCINFO** from the **Data Sources** table. The Settings for SANCINFO window is displayed.
4. Select the **Connection Pool** tab.
5. Click **Advanced**. The Advanced informations are displayed.
6. Click and select the **Test Connections On Reserve** Check box and enter the value as **SQL IS VALID** in Test Table Name.
7. Click **Save**.

5.22 Multiple wars deployment configuration

We introduced a new parameter named `node.id` in `static.properties` file.

It has to be changed based on the EAR file.

For example, if you have multiple EARs like TFLT, TFLT1, TFLT2, make sure `node.id` value should be same and unique as the EAR name.

It helps in finding which messages are processed through which EAR and the same helps in re-triggering them properly.

6

Configuring the SWIFT Message Parameters

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

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. 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](#)

6.1 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.

The following message types, MTC11, MTC22, MTC33, and MTC44, have been introduced for creating custom message categories, and they support UTF-8 characters. To add custom message categories, use the `dim_sanc_swift_msg_details` table. The new format must contain *MTC* and must be followed by a two-digit number.

You can also add a single line or multiple lines for Chinese characters. To add a single line, use 100k for the expression in the configuration JSON. To add multiple lines, use 100*100k for the expression in the configuration JSON.

Figure 6-1 Sample format for MTC11/MTC22/MTC33/MTC44 SWIFT message type

```

{1:F01SIIBSYDA9998525820}
{2:OC11540170801FSBKDZALAXX1237
0781261708020718N}{4:
:20:OAC44591555/5465
:11A:参考阿斯塔
:12:Osama Bin laden
Pakistan
:13:你好
:14:印度|
:15:数据
数据
数据
:16:test data
-}{5:{MAC:44544500}
{CHK:3E59F535C1E9}{PDE:}{PDE:}
{DLM:}}{S:{SAC:}{COP:S}}

```

In this example, C11 can be either 11 or 11A and not 111. So, the tag can either start with two numbers or two numbers and one alphabet. The value in the 11A tag represents 100k in the JSON expression, and the value in the 15 tag represents 100*100k in the JSON expression.

A sample JSON is shown:

```

{
  "attr": {
    "id": "t4:2:2",
    "field": "12",
    "status": "M",
    "fieldName": "Entity Type", "expression": "100k", "regex": "",
    "editable": "Y"
  }
},
{
  "attr": {
    "id": "t4:2:3",
    "field": "13",
    "status": "M",
    "fieldName": "Entity Relationship",
    "expression": "100*100k", "regex": "",
    "editable": "Y"
  }
}

```

```

}
},

```

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

Figure 6-2 Message and Screening Configurations Window for SWIFT

| | | | Expression dd |
|-------------------------------|--|------------------------------|---------------|
| ▲ Basic Header Block | | | |
| | | Block Identifier | |
| | | Application Identifier | |
| | | Service Identifier | |
| | | LT Identifier | |
| | | Session Number | |
| | | Sequence Number (ISN or OSN) | |
| ▲ Application Header Block | | | |
| ▶ Application Header - Input | | | |
| ▶ Application Header - Output | | | |
| ▲ User Header Block | | | |

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**.

6.1.1 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 6-3 Attachment Details Window

The screenshot shows a SQL query window with the following query: `select * from FSI_RT_SWIFT_CONF_ACCT_DTLS;`

| | N_SWIFT_MSG_ID | N_PRIORITY_ID | V_PAYMENT_ACCT_ID | V_PAYMENT_ACCT_SUB_FIELD |
|----|----------------|---------------|-------------------|--------------------------|
| 1 | 50105 | 1 | 50A | Account |
| 2 | 50105 | 2 | 50K | Account |
| 3 | 50107 | 1 | 50A(Sequence A) | Account |
| 4 | 50107 | 2 | 50K(Sequence A) | Account |
| 5 | 50115 | 1 | 50A(Sequence B) | (Account) |
| 6 | 50115 | 2 | 50K(Sequence B) | (Account) |
| 7 | 50101 | 1 | 50G | Account |
| 8 | 50113 | 1 | 50A(Sequence B) | (Account) |
| 9 | 50113 | 2 | 50K(Sequence B) | (Account) |
| 10 | 50103 | 1 | 50A(Sequence A) | Account |
| 11 | 50103 | 2 | 50K(Sequence A) | Account |
| 12 | 50109 | 1 | 50A(Sequence A) | Account |
| 13 | 50109 | 2 | 50K(Sequence A) | Account |
| 14 | 50111 | 1 | 50A | Account |

The status bar at the bottom indicates: 0:01 tf812ut_atom@(DESCRIPTION = (AC [3:23:01 PM] 14 rows selected in 1.298 seconds (more...))

- 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.

- Click **Upload**.
- Click **Submit**. The message is displayed in the following table as <Message Type_draft>. For more information on the JSON format, see Structure of a JSON.

6.1.2 Repeating Sequences

If the SWIFT message contains sequences and the same tag repeats in both the sequences and the subsequences, then you must set the V_REPEAT_TYPE column to Y in the dim_sanc_swift_msg_details table before you upload a new message type. If a SWIFT message has already been uploaded, then after you set the V_REPEAT_TYPE column to Y in the dim_sanc_swift_msg_details table, you can click the **Save** button in the Message Type Configuration.

6.1.3 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

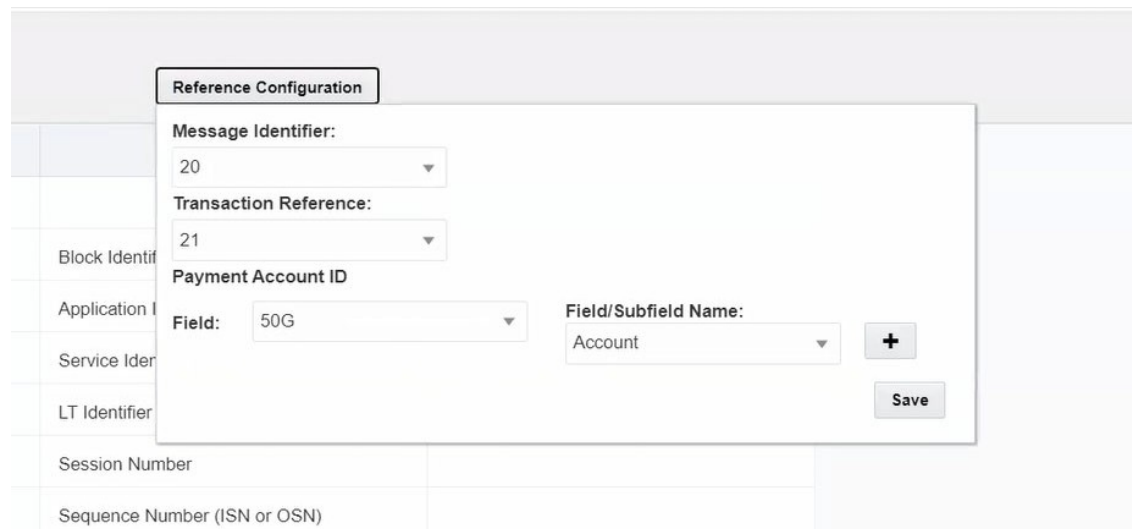
Any message which contains message references or transaction references, or both, must be configured.

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 6-4 Reference Configuration Window



The screenshot shows a 'Reference Configuration' dialog box overlaid on a table. The dialog box contains the following fields and controls:

- Message Identifier:** A dropdown menu with the value '20' selected.
- Transaction Reference:** A dropdown menu with the value '21' selected.
- Payment Account ID:** A section containing:
 - Field:** A dropdown menu with the value '50G' selected.
 - Field/Subfield Name:** A dropdown menu with the value 'Account' selected.
 - A plus sign (+) button to the right of the 'Field/Subfield Name' dropdown.
 - A 'Save' button at the bottom right of the dialog.

The background table has the following visible rows and columns:

| Block Identifier | Application Identifier | Service Identifier | LT Identifier | Session Number | Sequence Number (ISN or OSN) |
|------------------|------------------------|--------------------|---------------|----------------|------------------------------|
| | | | | | |

Newly added entries for the Payment account ID are stored in the FSI_RT_SWIFT_CONF_ACCT_DTLS table.

Figure 6-5 FSI_RT_SWIFT_CONF_ACCT_DTLS Table

```
select * from FSI_RT_SWIFT_CONF_ACCT_DTLS;
```

| | N_SWIFT_MSG_ID | N_PRIORITY_ID | V_PAYMENT_ACCT_ID | V_PAYMENT_ACCT_SUB_FIELD |
|----|----------------|---------------|-------------------|--------------------------|
| 1 | 50105 | 1 | 50A | Account |
| 2 | 50105 | 2 | 50K | Account |
| 3 | 50107 | 1 | 50A(Sequence A) | Account |
| 4 | 50107 | 2 | 50K(Sequence A) | Account |
| 5 | 50115 | 1 | 50A(Sequence B) | (Account) |
| 6 | 50115 | 2 | 50K(Sequence B) | (Account) |
| 7 | 50101 | 1 | 50G | Account |
| 8 | 50113 | 1 | 50A(Sequence B) | (Account) |
| 9 | 50113 | 2 | 50K(Sequence B) | (Account) |
| 10 | 50103 | 1 | 50A(Sequence A) | Account |
| 11 | 50103 | 2 | 50K(Sequence A) | Account |
| 12 | 50109 | 1 | 50A(Sequence A) | Account |
| 13 | 50109 | 2 | 50K(Sequence A) | Account |
| 14 | 50111 | 1 | 50A | Account |

0:01 tf812ut_atom@(DESCRIPTION = (AE [3:23:01 PM] 14 rows selected in 1.298 seconds (more...))

6.2 <Message Type> Subfield Level Configuration Window

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

Figure 6-6 <Message Type> Subfield Level Configuration Window

Message and Screening Configurations

MT101 Subfield Level Configuration

Expression Identifier: *Must enter a unique identifier* Expression Name: *Must enter a Name* Expression Description: *Must enter description*

Field: Field/Subfield Name: Subfield Expression Format & Occurrence: 1

| Expression ID | Expression Name | Expression Description | Field | Field/Subfield Name |
|---------------|-----------------|------------------------|-------|-----------------------------|
| EXPAMOUNTid | Amount | Transaction Amount | 32B | Currency/Transaction Amount |
| EXPCURRENCYid | Currency | Transaction Currency | 32B | Currency/Transaction Amount |

- To add a subfield, provide the required values in the fields shown in the window and click **Add**

Figure 6-7 Add



Enter values in the following fields:

Table 6-1 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. |
| 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. |

Table 6-2 Fields in the <Message Type> Subfield Level Configuration Window

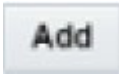

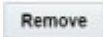

| Fields | Field Description |
|---|--|
| Subfield Expression Format & Occurrence | This field is populated when the Field is selected. Select an expression as it as or an element from that expression. You can also enter the number of occurrences for the expression within that message. By default, it is always 1. |
| Add button | To add a subfield, provide the required values in the fields shown above and click Add Figure 6-8 Add  |
| Update button | To update an existing subfield, click the name of the subfield. After you make the changes, click Update Figure 6-9 Update  |

Table 6-2 (Cont.) Fields in the <Message Type> Subfield Level Configuration Window

| Fields | Field Description |
|---------------|--|
| Remove button | To remove an existing subfield, click the name of the subfield and click Remove Figure 6-10 Remove  |
| Clear button | To clear the data in these fields, click Clear Figure 6-11 Clear  |

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.

- 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 **Sub- field 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.

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

6.3 <Message Type> Screening Configuration Window

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

Figure 6-12 <Message Type> Screening Configuration Window

| Screening webservice | Expression ID | Expression Name | Field | Field/Subfield Name |
|----------------------|---------------|-----------------|--------------|---------------------|
| Identifier | | | 50F[Format1] | |
| Identifier | | | 50H | |
| Identifier | | | 58D | |
| Identifier | | | 57D | |
| Identifier | | | 59 | |
| Identifier | | | 59F | |
| Identifier | | | 50F[Format2] | |
| Identifier | | | 50F[Format2] | |
| Identifier | | | 50F[Format1] | |
| Identifier | | | 50H | |

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

Table 6-3 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: <ul style="list-style-type: none"> 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. For information on the fields for Goods Screening, see Fields for Goods Web Services . |
| 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 6-3 (Cont.) 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 . |

Table 6-4 Fields in the <Message Type> Screening Configuration Window



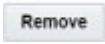

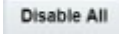
| Fields | Field Description |
|---------------|--|
| Jurisdiction | Select All to apply the Webservice for all jurisdictions or select the specific jurisdiction to apply the webservice for a specific jurisdiction. Use the kdd_jrsdcn table to configure the jurisdiction values. It has the following columns: <ul style="list-style-type: none"> • 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 Figure 6-13 Add  |
| Update button | To update a web service, select the web service that you want to update and click Update Figure 6-14 Update  |

Table 6-4 (Cont.) Fields in the <Message Type> Screening Configuration Window

| Fields | Field Description |
|--------------------|---|
| Remove button | To remove a web service, select the web service that you want to remove and click Remove Figure 6-15 Remove  |
| Enable All button | To enable all web services, click Enable All Figure 6-16 Enable All  |
| Disable All button | To disable all web services, click Disable All Figure 6-17 Disable All  |

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 6-18 Fields for Goods Web Services

MT101 Screening Configuration Screening WebService: Goods Screening

Goods: Expression Identifier: (OR) Tag: Field Name:

Import Country from: Expression Identifier: (OR) Tag: Field Name:

Export Country to: Expression Identifier: (OR) Tag: Field Name:

Message Direction: Enable:

Input: (Expression Name: N/A, Tag Name: 59, Field Name: Name and Address)
 Import Country From: (Expression Name: N/A, Tag Name: 59A, Field Name: Identifier Code)
 Export Country To: (Expression Name: N/A, Tag Name: 59F, Field Name: Name and Address)

Messege Direction: INBOUND
 Enable: Y

Table 6-5 Fields in the Goods Web Service Window

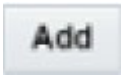

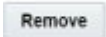
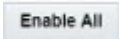
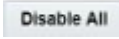
| Fields | Field Description |
|-----------------------|--|
| Expression Identifier | Select the Expression for the good. |
| Tag | Select the tag related to the good. Based on the tag selected, the field name is populated. |
| Field Name | The field name is populated based on the tag selected. |
| Message Direction | Select INBOUND(o) and OUTBOUND(j) 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 Figure 6-19 Add  . |
| Update button | To update a web service, select the web service that you want to update and click Update Figure 6-20 Update  . |
| Remove button | To remove a web service, select the web service that you want to remove and click Remove Figure 6-21 Remove  . |

Table 6-5 (Cont.) Fields in the Goods Web Service Window

| Fields | Field Description |
|--------------------|--|
| Enable All button | To enable all web services, click Enable All Figure 6-22 Enable All  |
| Disable All button | To disable all web services, click Disable All Figure 6-23 Disable All  |

6.3.1 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 6-6 Web Services 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 |

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**.

6.3.2 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**.

6.3.3 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**.

6.4 <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 6-24 <Message Type> Other Field/Subfield Configuration Window

| Generic Business Data: | Expression ID | Expression Name | Field | Field/Subfield Name |
|-------------------------------------|---------------|-----------------|--------------|---------------------|
| Amount | EXPAMOUNTid | Amount | | |
| Beneficiary Address | | | 59 | Name and Adresse |
| Beneficiary IBAN/Account/Identifier | | | 59A | Account |
| Currency | EXPCURRENCYid | Currency | | |
| Message Identifier | | | 20 | Sender's Reference |
| Originator Address | | | 50F[Format1] | Name and Adresse |
| Originator Address | | | 50F[Format2] | Name and Adresse |
| Originator Address | | | 50H | Name and Adresse |

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 6-7 Fields in the <Message Type> Other Field/Subfield Configuration Window

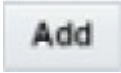

| Fields | Field Description |
|-----------------------|--|
| Generic Business Data | This field displays the Business Name of the record that is selected. It is mandatory to configure this field. If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the 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 Figure 6-25 Add  . |
| Update button | To update a web service, select the web service that you want to update and click Update Figure 6-26 Update  . |

Table 6-8 Fields in the <Message Type> Other Field/Subfield Configuration Window

| Fields | Field Description |
|---------------|---|
| Remove button | <p data-bbox="699 310 1390 369">To remove a web service, select the web service that you want to remove and click Remove</p> <p data-bbox="699 436 976 470">Figure 6-27 Remove</p>  <p data-bbox="699 506 803 548">The image shows a rectangular button with the word 'Remove' centered inside it. The button has a light gray background and a thin border.</p> |

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

7

Configuring the Fedwire Message Parameters

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

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page.
2. Click **FEDWIRE 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 7-1 Message and Screening Configurations tab for Fedwire

| | | | Expression dd |
|----------------------------|-----------|--|-------------------------|
| Message Type Configuration | FDBTR1002 | Add/Update | Reference Configuration |
| Save | > | | |
| Text Block | | | |
| 1100 | M | Message Disposition | 2!n1!c1r1!c |
| 1110 | M | Receipt Time Stamp | 4!n4!n4!c |
| 1120 | M | Output Message Accountability Data | 8!n8!c6!n4!n4!n4!c |
| 1130 | O | Error | 1!c3!c35r |
| 1500 | M | Sender Supplied Information | 2!n8!c1!c1!c |
| 1510 | M | Type/Subtype | 2!n2!n |
| 1520 | M | Input Cycle Date/Input Source/Input Sequer | 8!n8!c6!n |
| 2000 | M | Amount | 12!n |

Note

The text block tag 8200 (Unstructured Addenda Structure) is added as an optional tag to FDBTR and FDCTP message types for the release 8.1.2.2.

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](#)

7.1 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.

The following image shows a sample Fedwire message:

Figure 7-2 Sample Fedwire Message

```
{1100}02P 7{1110}03082108FT01{1120}20060309B6B0072D00000103082108FT01{1500}30QWERTYUIPP{1510}1002{1520}20200317CTRFULLC000156{2000}000001234567{3100}123456789IRAN
DEVOTIONAL*(3320)PE1030800065862{3400}123456789IRHS IVORY COASTS SOMALIA*(3500)PREMSGIDENTIFIER{3600}BTR{4000}BSIBSYDA*SYRIA INTERNATIONAL ISLAMIC BANK
****{4100}D121149*MELLI BANKAS*Paris*FRANCE**{4200}D1234456656*MELLI BANKAS*Paris*FRANCE**{4320}TERRORIST{5000}D123456789*Wells Fargo Bank Texas National*Association 109 North San
Saba*San Antonio Texas 78207**{5100}BBOFAUS3N*COOPER&PRICE MANAGEMENT MANULIFE *PLAZA ROOM 1202-05 12TH FLOOR*THE HK,HONG
KONG**{5200}CCHIPSParticipant*Name*Address1*Address2*Address3*{6000}YOUR INVOICE OFF-0506-7450****{6100}ROUTING NO
026005322****{6200}Terrorist*****{6210}LTRLETTERDETAILS*****{6300}YOUR INVOICE OFF-0506-7450*****{6310}LTRQWERTYUIOP*****{6400}L/C NO.CR2016/151479 YR.
REF*RCL/FBDL/151479*****{6410}LTRLETTERDETAILS*****{6420}CHECK123456*{6500}CHECK123456*****
```

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

Figure 7-3 Message and Screening Configurations tab for Fedwire

| Message and Screening Configurations | | | |
|--------------------------------------|------------|--|--------------------|
| Message Type Configuration | | | |
| FDBTR1002 | Add/Update | Reference Configuration | Save > |
| | | | Expression dd |
| ▲ Text Block | | | |
| 1100 | M | Message Disposition | 2!n1!c1r1!c |
| 1110 | M | Receipt Time Stamp | 4!n4!n4!c |
| 1120 | M | Output Message Accountability Data | 8!n8!c6!n4!n4!n4!c |
| 1130 | O | Error | 1!c3!c35r |
| 1500 | M | Sender Supplied Information | 2!n8!c1!c1!c |
| 1510 | M | Type/Subtype | 2!n2!n |
| 1520 | M | Input Cycle Date/Input Source/Input Sequer | 8!n8!c6!n |
| 2000 | M | Amount | 12!n |

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**.

7.1.1 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 7-4 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>. For information on the JSON structure, see Structure of a JSON.

7.1.2 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**.

Figure 7-5 Reference Configuration Window

Message Identifier:

Save

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.

7.2 <Message Type> Subfield Level Configuration Window

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

Figure 7-6 <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**

Figure 7-7 Add





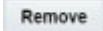

. Enter values in the following fields:

Table 19:

Table 7-1 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. |
| 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. |

Table 7-1 (Cont.) Fields in the <Message Type> Subfield Level Configuration Window

| Fields | Field Description |
|---|--|
| 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 Figure 7-8 Add  . |
| Update button | To update an existing subfield, click the name of the subfield. After you make the changes, click Update Figure 7-9 Update  . |
| Remove button | To remove an existing subfield, click the name of the subfield and click Remove Figure 7-10 Remove  . |
| Clear button | To clear the data in these fields, click Clear . Figure 7-11 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 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.
- a. 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 **Sub- field 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)

7.3 <Message Type> Screening Configuration Window

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

Figure 7-12 Screening Configuration Window

The screenshot shows the 'Message and Screening Configurations' window. At the top, it displays 'FDBTR1002 Screening Configuration' and 'Screening webservice: BIC'. Below this are several input fields: 'Expression (ID-Name):', '(OR)', 'Field:', 'Field/Subfield Name:', 'Enable:', 'Message Direction:', and 'Jurisdiction:'. There are also buttons for 'Add', 'Update', 'Remove', 'Enable All', and 'Disable All'. At the bottom, there is a table with the following data:

| Screening webservice | Expression ID | Expression Name | Field | Field/Subfield Name |
|----------------------|---------------|-----------------|-------|---------------------|
| BIC | | | 4000 | |
| BIC | | | 4100 | |
| BIC | | | 4200 | |
| BIC | | | 5000 | |
| BIC | | | 5100 | |
| BIC | | | 5200 | |

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

Table 7-2 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: <ul style="list-style-type: none"> • 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. |
| 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: <ul style="list-style-type: none"> • 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 <p>Figure 7-13 Add</p>  |

Table 7-2 (Cont.) Fields in the <Message Type> Screening Configuration Window


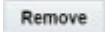

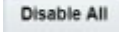
| Fields | Field Description |
|---------------|---|
| Update button | To update a web service, select the web service that you want to update and click Update Figure 7-14 Update  |
| Remove button | To remove a web service, select the web service that you want to remove and click Remove Figure 7-15 Remove  |

Table 7-3 Fields in the <Message Type> Screening Configuration Window

| Fields | Field Description |
|--------------------|--|
| Enable All button | To enable all web services, click Enable All Figure 7-16 Enable All  |
| Disable All button | To disable all web services, click Disable All Figure 7-17 Disable All  |

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 7-18 Fields for Goods Web Services

MT101 Screening Configuration Screening WebService: Goods Screening

Goods: Expression Identifier: [] (OR) Tag: [] Field Name: []

Import Country from: Expression Identifier: [] (OR) Tag: [] Field Name: []

Export Country to: Expression Identifier: [] (OR) Tag: [] Field Name: []

Message Direction: INBOUND Enable: Yes

[Add] [Update] [Remove] [Enable All] [Disable All]

Input: (Expression Name: N/A, Tag Name: 59, Field Name: Name and Address)
 Import Country From: (Expression Name: N/A, Tag Name: 59A, Field Name: Identifier Code)
 Export Country To: (Expression Name: N/A, Tag Name: 59F, Field Name: Name and Address)

Message Direction: INBOUND
 Enable: Y

Table 7-4 Fields in the Goods Web Service Window



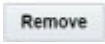


| Fields | Field Description |
|-----------------------|--|
| Expression Identifier | Select the Expression for the good. |
| Tag | Select the tag related to the good. Based on the tag selected, the field name is populated. |
| Field Name | The field name is populated based on the tag selected. |
| Message 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 Figure 7-19 Add  |
| Update button | To update a web service, select the web service that you want to update and click Update Figure 7-20 Update  |

Table 7-4 (Cont.) Fields in the Goods Web Service Window

| Fields | Field Description |
|--------------------|---|
| Remove button | To remove a web service, select the web service that you want to remove and click Remove Figure 7-21 Remove  |
| Enable All button | To enable all web services, click Enable All Figure 7-22 Enable All  |
| Disable All button | To disable all web services, click Disable All Figure 7-23 Disable All  |

7.3.1 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 22:**Table 7-5 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 |

Table 7-5 (Cont.) Web Services used in Transaction Filtering

| Web Service | Web Service ID |
|-----------------|-----------------|
| 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**.

7.3.2 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**.

7.3.3 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**.

7.4 <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 7-24 Other Field/Subfield Configuration Window

| Generic Business Data: | Expression ID | Expression Name | Field | Field/Subfield Name |
|-------------------------------------|---------------|-----------------|-------|---|
| Originator BIC | | | 5000 | Identifi |
| Originator IBAN/Account/Identifier | | | 5000 | Identifi |
| Originator Address | | | 5000 | Name and addre |
| Beneficiary IBAN/Account/Identifier | | | 4200 | Identifi |
| Beneficiary Address | | | 4200 | Name and addre |
| Beneficiary BIC | | | 4200 | Identifi |
| Message Identifier | | | 3320 | Sender Referer |
| Requested Execution Date | | | 1520 | Input Cycle Date/Input Source/Input Sequence Number |
| Amount | | | 2000 | Amo |

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 23:

Table 7-6 Fields in the <Message Type> Other Field/Subfield Configuration Window



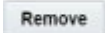
| Fields | Field Description |
|-----------------------|--|
| Generic Business Data | This field displays the business name of the record that is selected. It is mandatory to configure this field. If the message contains one or more of the B, C, D, or E sequences, you must configure the field with the 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 Figure 7-25 Add  |

Table 7-6 (Cont.) Fields in the <Message Type> Other Field/Subfield Configuration Window

| Fields | Field Description |
|---------------|--|
| Update button | To update a web service, select the web service that you want to update and click Update Figure 7-26 Update  . |
| Remove button | To remove a web service, select the web service that you want to remove and click Remove Figure 7-27 Remove  . |

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

8

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

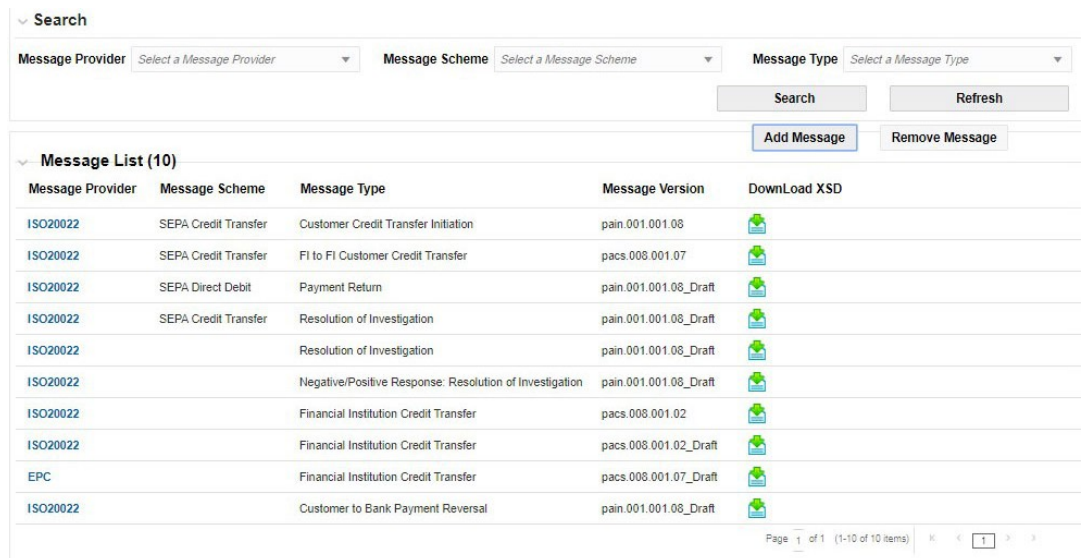
The XPath of an element is the logical structure or hierarchy of the element within the XSD file.











8.1 Configuring the ISO20022 Message Parameters

To configure the ISO20022 message parameters, follow these steps:

1. On the **Financial Services Analytical Applications Transactions Filtering** landing page, click **ISO20022/XML Configuration Admin**. The **Configuration** window is displayed.

Figure 8-1 Configuration Window - ISO20022



| Message Provider | Message Scheme | Message Type | Message Version | Download XSD |
|------------------|----------------------|---|-----------------------|---|
| ISO20022 | SEPA Credit Transfer | Customer Credit Transfer Initiation | pain.001.001.08 |  |
| ISO20022 | SEPA Credit Transfer | FI to FI Customer Credit Transfer | pacs.008.001.07 |  |
| ISO20022 | SEPA Direct Debit | Payment Return | pain.001.001.08_Draft |  |
| ISO20022 | SEPA Credit Transfer | Resolution of Investigation | pain.001.001.08_Draft |  |
| ISO20022 | | Resolution of Investigation | pain.001.001.08_Draft |  |
| ISO20022 | | Negative/Positive Response: Resolution of Investigation | pain.001.001.08_Draft |  |
| ISO20022 | | Financial Institution Credit Transfer | pacs.008.001.02 |  |
| ISO20022 | | Financial Institution Credit Transfer | pacs.008.001.02_Draft |  |
| EPC | | Financial Institution Credit Transfer | pacs.008.001.07_Draft |  |
| ISO20022 | | Customer to Bank Payment Reversal | pain.001.001.08_Draft |  |

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

Figure 8-2 Download Icon



clicking **Download** in the **Download XSD** column. The XSD is downloaded as a zip folder; unzip the folder to view the XSD files.

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

Figure 8-3 Add Message Dialog Box

- 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.

Note

The message provider, message scheme, and message type values are mapped in the `fcc_tf_xml_pro_sch_msg_map` table.

- To upload the parent XSD file and one or more child XSD files, click **Upload**

Figure 8-4 Upload Icon



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 8-5 Add Message Dialog Box

The screenshot shows the 'Add Message' dialog box with the following sections:

- Message Provider:** EPC
- Message Scheme:** Select a Message Scheme
- Message Type:** Resolution of Investigation
- Select File to Upload:** Upload button
- Select Primary Message:** Radio buttons for 'pacs.008.001.02.xsd' and 'pain.001.001.08.xsd' (selected), with an Upload button.
- XPath Configuration:**
 - Batch:** Document/CstmrCdtTrfIntr/PmtInf
 - Transaction:** Document/CstmrCdtTrfIntr/GrpHdr
- Submit:** Submit button
- Search elements:** Search bar above a tree view.
- Tree View:** A hierarchical tree of XML elements. The 'StrNm' element under 'PmtInf' is highlighted in red, indicating its XPath is selected.

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**

Figure 8-6 Zero Icon



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.

Figure 8-7 Message List Window

| Message Provider | Message Scheme | Message Type | Message Version |
|------------------|----------------------|-------------------------------------|-----------------------|
| ISO20022 | SEPA Credit Transfer | Customer Credit Transfer Initiation | pain.001.001.08 |
| ISO20022 | SEPA Credit Transfer | FI to FI Customer Credit Transfer | pacs.008.001.07 |
| ISO20022 | SEPA Direct Debit | Payment Return | pain.001.001.08_Draft |

- 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 8-8 XML Screening Configuration

| Screening Type | | |
|---|--------|-------------------|
| Name and Address | | |
| <input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Remove"/> <input type="button" value="Enable All"/> <input type="button" value="Disable All"/> | | |
| Screening XPath Configuration List (33) | | |
| XPath | Enable | Message Direction |
| Document/CstmrCdtTrfInitn/GrpHdr/InitgPty | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/Dbtr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/UltmtDbtr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/CdtTrfTxInf/UltmtDbtr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/CdtTrfTxInf/Cdtr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/CdtTrfTxInf/UltmtCdtr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/CdtTrfTxInf/RmtInf/Strd/Invcr | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/CdtTrfTxInf/RmtInf/Strd/Invcee | Yes | ANY |
| Document/CstmrCdtTrfInitn/GrpHdr/InitgPty/CtctDtls | Yes | ANY |
| Document/CstmrCdtTrfInitn/PmtInf/Dbtr/CtctDtls | Yes | ANY |
| Page 1 of 4 (1-10 of 33 items) < 1 2 3 4 > X | | |

In this tab, you can view the available element XPaths for the selected web service. The ISO20022/XML Configuration Admin screen enables the following XML screening configurations:

- Name and Address
- Identifier
- Country and City
- Narrative or Free Text Information
- Port Screening
- Goods Screening

You can select a screening type from the Screening Type drop-down and configure the related screening XPath as required.

You can also perform the following actions:

Table 24:

Table 8-1 Other Actions

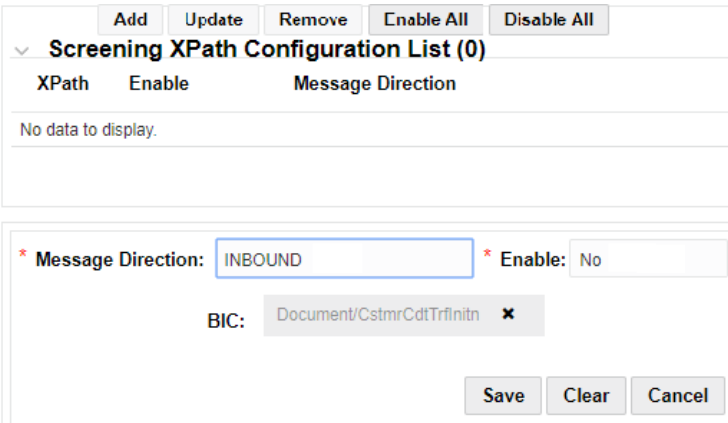
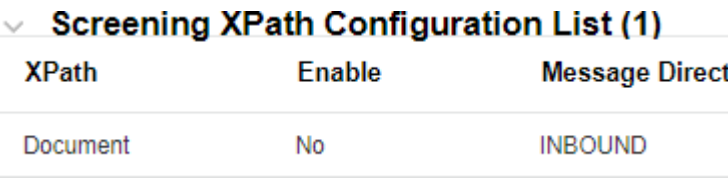
| To... | Do this... |
|---|--|
| <p>Add a web service configuration</p> | <p>Click Add. The following fields appear:</p> <p>Figure 8-9 Add a web service configuration</p>  <p>Select the message direction and enable or disable the web service and click Save. Clicking Clear clears any values selected. If you click Cancel, the fields disappear.</p> <p>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.</p> <p>Figure 8-10 Add a web service configuration - tree view</p>  |
| <p>Update a web service configuration</p> | <p>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.</p> |

Table 8-1 (Cont.) Other Actions

| To... | Do this... |
|--|---|
| 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 . |

- 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.

Figure 8-11 External Attribute List Window

| Attribute | Enable | Message Direction |
|----------------------|--------|-------------------|
| AdditionalAttribute3 | N | INBOUND |
| AdditionalAttribute5 | N | INBOUND |

In this tab, you can view the details of the attribute name, enable status, and message direction details. You can also perform the following actions:

Note

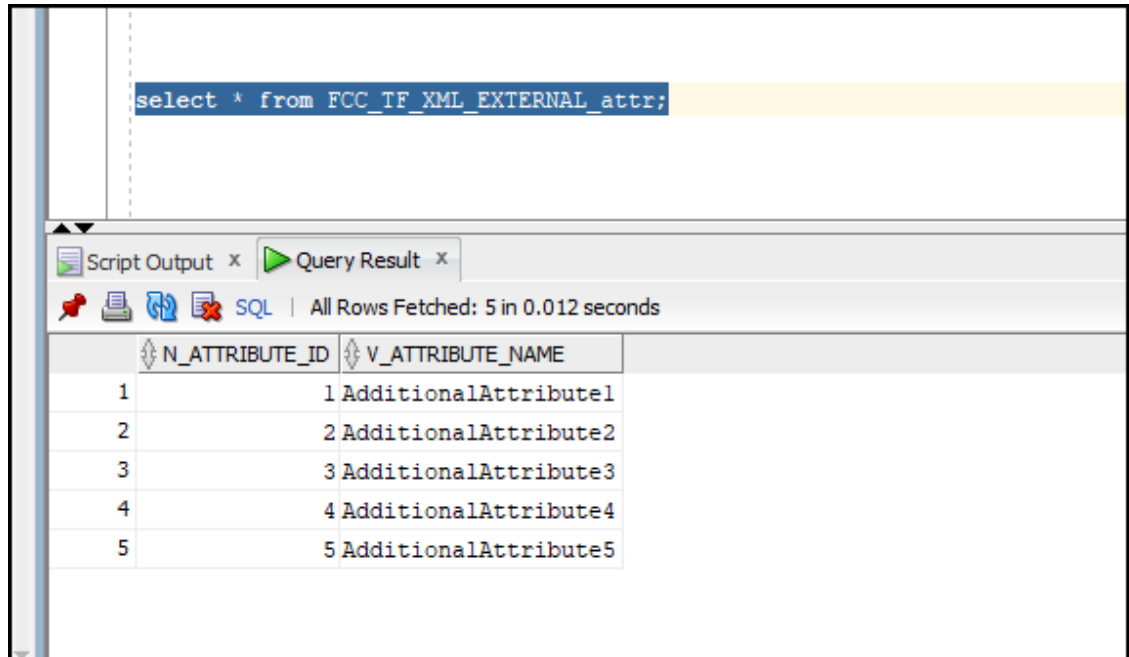
The **Add** button will only appear when the user configures the `FCC_TF_XML_EXTERNAL_ATTR` and `FCC_TF_XML_EXTERNAL_ATTR_MLS` tables. Refer the following examples.

Example: 1

To configure `FCC_TF_XML_EXTERNAL_ATTR` table, run the following query similar way in your atomic schema:

```
REM INSERTING into FCC_TF_XML_EXTERNAL_attr SET DEFINE OFF;
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(1,'AdditionalAttribute1');
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(2,'AdditionalAttribute2');
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(3,'AdditionalAttribute3');
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(4,'AdditionalAttribute4');
Insert into FCC_TF_XML_EXTERNAL_attr (N_ID,V_ATTRIBUTE_NAME) values
(5,'AdditionalAttribute5');
```


Figure 8-12 Example 1



The screenshot shows a SQL Developer window with a query editor at the top containing the text: `select * from FCC_TF_XML_EXTERNAL_attr;`. Below the editor, the 'Query Result' tab is active, displaying a table with two columns: `N_ATTRIBUTE_ID` and `V_ATTRIBUTE_NAME`. The table contains five rows of data.

| N_ATTRIBUTE_ID | V_ATTRIBUTE_NAME |
|----------------|------------------------|
| 1 | 1 AdditionalAttribute1 |
| 2 | 2 AdditionalAttribute2 |
| 3 | 3 AdditionalAttribute3 |
| 4 | 4 AdditionalAttribute4 |
| 5 | 5 AdditionalAttribute5 |

Example: 2

To configure `FCC_TF_XML_EXTERNAL_ATTR_MLS` table, run the following query similar way in your atomic schema:

```
REM INSERTING into FCC_TF_XML_EXTERNAL_attr_MLS SET DEFINE OFF;
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(1,'AdditionalAttribute1','en_US');
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(2,'AdditionalAttribute2','en_US');
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(3,'AdditionalAttribute3','en_US');
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(4,'AdditionalAttribute4','en_US');
Insert into FCC_TF_XML_EXTERNAL_attr_MLS
(N_ID,V_ATTRIBUTE_NAME,V_LOCALE_CODE) values
(5,'AdditionalAttribute5','en_US');
```

Figure 8-13 Example 2

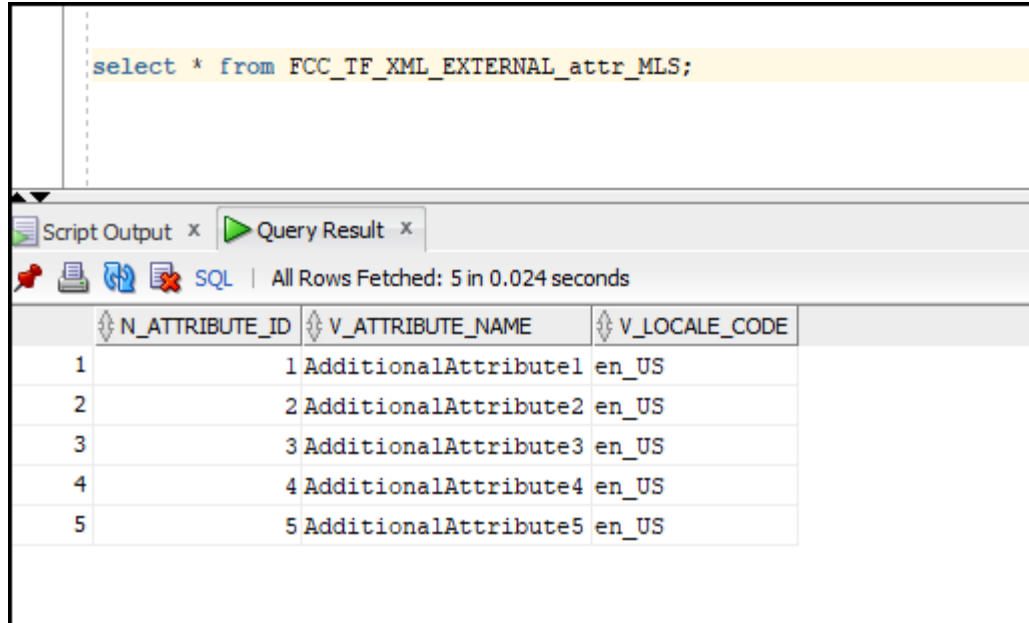


Table 25:

Table 8-2 Other Actions

| To... | Do this... |
|---|--|
| Add an external attribute configuration | <p>Click Add. The following fields appear:</p> <p>Figure 8-14 Add an External Attribute configuration</p> <p>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.</p> |
| Update a web service configuration | <p>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.</p> |
| Remove a web service configuration | <p>Select the configuration you want to remove and click Remove. The selected configuration is removed from the Screening External Attribute Configuration List section.</p> |
| Enable all web service configurations | <p>Click Enable All.</p> |

Table 8-2 (Cont.) Other Actions

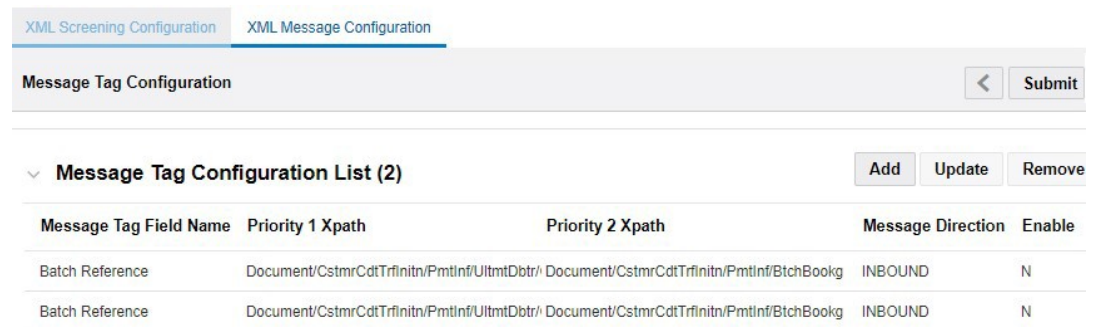
| | |
|--|----------------------------|
| Disable all web service configurations | Click Disable All . |
|--|----------------------------|

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 8-15 XML Message Configuration Tab



You can also perform the following actions:

Table 8-3 Other Actions

| To... | Do this... |
|-------|------------|
|-------|------------|

Table 8-3 (Cont.) Other Actions

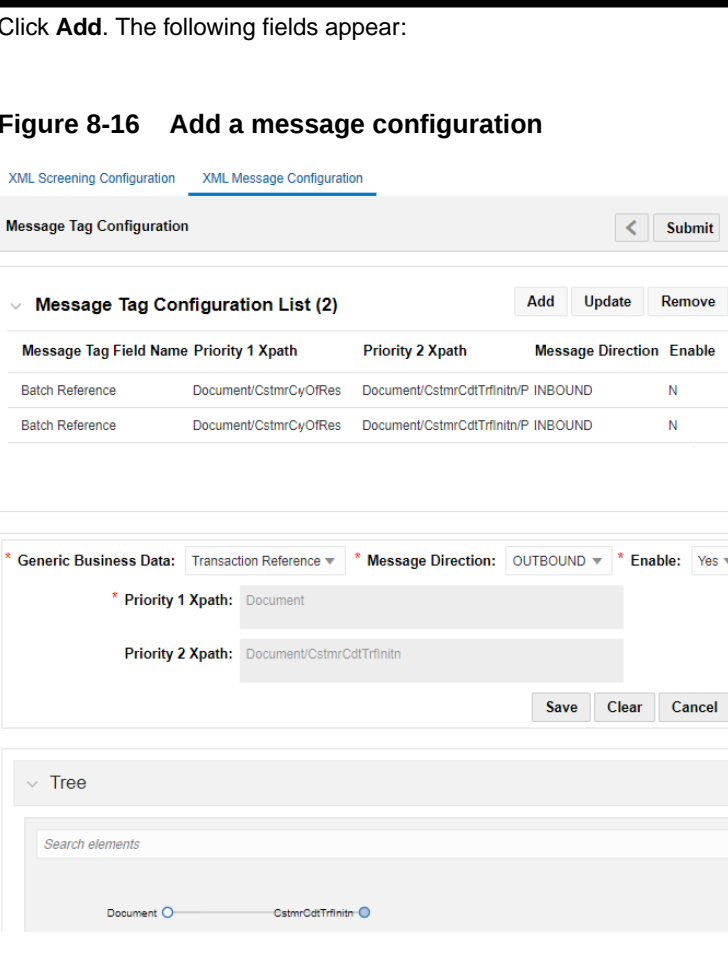
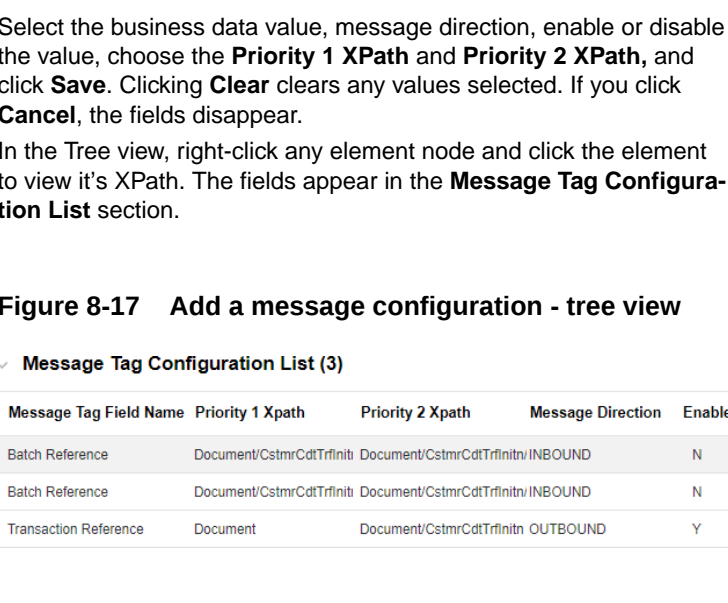
| <p>Add a message configuration</p> | <p>Click Add. The following fields appear:</p> <p>Figure 8-16 Add a message configuration</p>  <p>Select the business data value, message direction, enable or disable the value, choose the Priority 1 XPath and Priority 2 XPath, and click Save. Clicking Clear clears any values selected. If you click Cancel, the fields disappear.</p> <p>In the Tree view, right-click any element node and click the element to view its XPath. The fields appear in the Message Tag Configuration List section.</p> <p>Figure 8-17 Add a message configuration - tree view</p>  <table border="1" data-bbox="738 1585 1461 1795"> <thead> <tr> <th>Message Tag Field Name</th> <th>Priority 1 Xpath</th> <th>Priority 2 Xpath</th> <th>Message Direction</th> <th>Enable</th> </tr> </thead> <tbody> <tr> <td>Batch Reference</td> <td>Document/CstmrCdtTrfinitn</td> <td>Document/CstmrCdtTrfinitn/P</td> <td>INBOUND</td> <td>N</td> </tr> <tr> <td>Batch Reference</td> <td>Document/CstmrCdtTrfinitn</td> <td>Document/CstmrCdtTrfinitn/P</td> <td>INBOUND</td> <td>N</td> </tr> <tr> <td>Transaction Reference</td> <td>Document</td> <td>Document/CstmrCdtTrfinitn</td> <td>OUTBOUND</td> <td>Y</td> </tr> </tbody> </table> | Message Tag Field Name | Priority 1 Xpath | Priority 2 Xpath | Message Direction | Enable | Batch Reference | Document/CstmrCdtTrfinitn | Document/CstmrCdtTrfinitn/P | INBOUND | N | Batch Reference | Document/CstmrCdtTrfinitn | Document/CstmrCdtTrfinitn/P | INBOUND | N | Transaction Reference | Document | Document/CstmrCdtTrfinitn | OUTBOUND | Y |
|---------------------------------------|--|-----------------------------|-------------------|------------------|-------------------|--------|-----------------|---------------------------|-----------------------------|---------|---|-----------------|---------------------------|-----------------------------|---------|---|-----------------------|----------|---------------------------|----------|---|
| Message Tag Field Name | Priority 1 Xpath | Priority 2 Xpath | Message Direction | Enable | | | | | | | | | | | | | | | | | |
| Batch Reference | Document/CstmrCdtTrfinitn | Document/CstmrCdtTrfinitn/P | INBOUND | N | | | | | | | | | | | | | | | | | |
| Batch Reference | Document/CstmrCdtTrfinitn | Document/CstmrCdtTrfinitn/P | INBOUND | N | | | | | | | | | | | | | | | | | |
| Transaction Reference | Document | Document/CstmrCdtTrfinitn | OUTBOUND | Y | | | | | | | | | | | | | | | | | |
| <p>Update a message configuration</p> | <p>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.</p> | | | | | | | | | | | | | | | | | | | | |

Table 8-3 (Cont.) Other Actions

| | |
|--------------------------------|---|
| 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. |
|--------------------------------|---|

Note

The ready-to-use business data values are available in the DIM_TF_XML_MSG_TAG_FLD column. You can add a new value in this column.

- Click **Submit**. The ISO20022 parameter name is updated in the **Message List** without **Draft**.

Figure 8-18 Message List Window

| Message List (10) | | | |
|-------------------|----------------------|-------------------------------------|-----------------|
| Message Provider | Message Scheme | Message Type | Message Version |
| ISO20022 | SEPA Credit Transfer | Customer Credit Transfer Initiation | pain.001.001.08 |
| ISO20022 | SEPA Credit Transfer | FI to FI Customer Credit Transfer | pacs.008.001.07 |
| ISO20022 | SEPA Direct Debit | Payment Return | pain.001.001.08 |

Note

If an earlier configuration exists with the same message version, then this configuration is disabled, and the new configuration is enabled.

8.1.1 SWIFT MX Message Types Configuration

The SWIFT MX is a XML message definition used on the SWIFT network. Majority of the MX messages are ISO 20022 messages. TF will not support mix of different message types in single file. One MX message will have one type of message.

For more information on configuration of XML message parameter, see [Configuring the ISO20022 Message Parameters](#). For SWIFT MX message types see [ISO20022 Message Types](#) table.

8.1.2 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:

- 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##/OUT- BOUND/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##/OUT- BOUND/  
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##/OUT- BOUND/  
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##/OUT- BOUND/  
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##/OUT- BOUND/  
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/fccmapchef/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:

- Navigate to the **Run** page. For more information, see the Run Definition Menu.

Figure 8-19 Run Page

Run

Code

Name

Folder

+ New View Edit Copy Remove Authorize Export Fire Run

| <input type="checkbox"/> | Code | Name |
|-------------------------------------|--------------------------------|-----------------------------------|
| <input type="checkbox"/> | Good Guy Expiry Check | Good Guy Expiry Check:SD |
| <input checked="" type="checkbox"/> | TF_SEPA_messages_batch_process | TF_SEPA_messages_batch_process:SD |

Page 1 of 1 (1-15 of 2 items) < > X

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

Figure 8-20 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.

Figure 8-21 Batch Monitor Page

- 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.

Figure 8-22 Tasks in the Batch Monitor Page

Batch Run Details | Start Monitoring | Stop Monitoring | Reset

Information Date: 20190913 | Monitor Refresh Rate (seconds): 5

Batch Run ID: SAN807SEPA_1581686640714_20190913_1

Batch Status: Successful

| Task ID | Task Description | Metadata Value | Component ID | Task Status | Task Log |
|---------|---|--------------------------------|-------------------|--------------------|--------------------------|
| Task1 | TF_CallXMLParser | TF_CallXMLParser | TRANSFORM DATA | [13314] Successful | View Log |
| Task2 | TF_CallXMLEDQ | TF_CallXMLEDQ | TRANSFORM DATA | [13314] Successful | View Log |
| Task3 | Message Data Attributes | 1593:SAN807SEPA-OFS_TFLT | INLINE PROCESSING | [13314] Successful | View Log |
| Task4 | TF_CallXMLRTIPopulation | TF_CallXMLRTIPopulation | TRANSFORM DATA | [13314] Successful | View Log |
| Task5 | TF_CallXMLAlertGeneration | TF_CallXMLAlertGeneration | TRANSFORM DATA | [13314] Successful | View Log |
| Task6 | TF_CallXMLImmediateFeedbackCreation | TF_CallXMLImmFdbkCr | TRANSFORM DATA | [13314] Successful | View Log |
| Task7 | TF_CallXMLImmediateFeedbackFileGeneration | TF_CallXMLImmFdbkFiGeneratn | TRANSFORM DATA | [13314] Successful | View Log |
| Task8 | TF_CallXMLHighlight | TF_CallXMLHighlight | TRANSFORM DATA | [13314] Successful | View Log |
| Task9 | TF_CallUpdateAdditionalMsgDtls | TF_CallUpdateAdditionalMsgDtls | TRANSFORM DATA | [13314] Successful | View Log |
| Task10 | TF_CallXMLStructuredSepa | TF_CallXMLStructuredSepa | TRANSFORM DATA | [13314] Successful | View Log |

Event Log

| Message ID | Description | Severity | Time |
|------------|---------------------------------|----------|---------------------|
| 1081 | [1707] Batch started by TFADMIN | INFORM | 2020-02-14 08:24:01 |
| 1109 | [1708] Batch Complete | INFORM | 2020-02-14 08:32:18 |

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 8-4 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_CallXMLImmediate-FeedbackCreation | Populates the feedback table. |
| Task7 | TF_CallXMLImmediate-FeedbackFileGeneration | 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. |

8.1.3 External Attributes Screening Configuration for ISO20022 Batch

For the external attributes screening configuration for the ISO20022 Batch follow the subsequent steps:

1. Add the attribute names (case-sensitive) to `FCC_TF_XML_EXTERNAL_ATTR`, `FCC_TF_XML_EXTERNAL_ATTR_MLS` table in the Atomic Schema.
2. Login to OFSAA Transactions Filtering application as TFADMIN.
3. Navigate to ISO20022/XML Configuration Admin screen.
4. Open any ISO20022 Message Provider and configure the external attributes for each screening type separately. For reference, see Step 6 in section 8.1 and Table 25.

Expected JSON Format and keywords by Transaction Filtering Application:

- The filename of external attributes should be in the format `filename_external_attributes.json`, where The filename stands for the corresponding ISO20022 batch xml filename. OFS TRANSACTION FILTERING ADMINISTRATION GUIDE | 101 CONFIGURATIONS FOR THE ISO20022 MESSAGE PARAMETERS CONFIGURING THE ISO20022 MESSAGE PARAMETERS. For Example, If the batch xml filename is `pac.003.001.02.xml`, then the external attributes filename should be `pac.003.001.02_external_attributes.json`.
- External Attributes JSON file must be placed in the same folder (INPUT folder) where the batch XML file is located.
- The subsequent JSON format must be followed to screen the external attributes.

1. JSON format for Batches of Transactions XML:

```
{
  "batch_external_attributes": [{
    "batch_id": [batch id given in PmtInfId tag],
    "external_attributes": {
      "jurisdiction": "All",
      "business_domain": "GEN",
      "priority": "Medium",
      [...configured external attributes with attribute value as key-value pair...]
    }
  }, {
    "batch_id": [batch id given in PmtInfId tag],
    "external_attributes": {
      "jurisdiction": "EMEA",
      "business_domain": "All",
      "priority": "Medium",
      [...configured external attributes with attribute value as key-value pair...]
    }
  }, ...]
```

```
]
}
```

2. JSON format for single Transaction XML:

```
{ "batch_external_attributes": [{ "batch_id": "", "external_attributes":
{ "jurisdiction":"EMEA", "business_domain":"GEN", "priority":"High", OFS
TRANSACTION FILTERING ADMINISTRATION GUIDE | 102 CONFIGURATIONS FOR THE
ISO20022 MESSAGE PARAMETERS CONFIGURING THE ISO20022 MESSAGE PARAMETERS [...
configured external attributes with attribute value as key-value
pair...] } }]
```

(OR)

```
{
"batch_external_attributes": [{
"external_attributes": {
"jurisdiction":"EMEA",
"business_domain":"GEN",
"priority":"High",
[...configured external attributes with attribute value as key-value pair...]
}
}]
}
```

Note

- If payment contains single transaction, `batch_id` label is not mandatory. If a payment contains multiple batches of transactions, `batch_id` label is mandatory.
- The `jurisdiction`, `business_domain` and `priority` labels are optional. If you provide these labels in JSON, application will take these values. Otherwise, the application will take the value from `SETUP_RT_PARAMS` table.
- The Message Direction will be taken based on the folder structure (either `OUTBOUND` or `INBOUND`) under which you place the files.
- The `batch_external_attributes`, `batch_id`, `external_attributes`, `jurisdiction`, `business_domain`, and `priority` labels should not be changed.
- The value of `jurisdiction` must be a value of `JRSDCN_NM` column from `KDD_JRSDCN` table.
- The value of `business_domain` must be a value of `TF_BUS_DMN_NM` column from `DIM_KDD_BUS_DMN` table.
- The value of `priority` must be a value of `V_ALERT_PRIORITY_NAME` column from `DIM_ALERT_PRIORITY_TYPE` table.

8.2 Audit Queries

Table 8-5 Audit Queries for ISO20022

| Table Name | Query | Description |
|--------------------------------|---|---|
| FCC_TF_XML_XS-D_CONF | Select * from FCC_TF_XML_XS-D_CONF_HIST | Run this query to see the history of all the actions that have been performed. |
| FCC_TF_XML_MS-G_TAG_FLD_X-PATH | Select * from FCC_TF_XML_MS-G_TAG_FLD_XPATH _HIST | Run this query to see the history of all the actions performed in the XML Message Configuration tab. |
| FCC_TF_XML-L_SCRENG_XPATH_GRP | Select * from FCC_TF_XML-L_SCRENG_XPATH_GRP _HIST | Run this query to see the XPath for each parent element. |
| FCC_TF_XML-L_SCRENG_FLD_XPATH | Select * from FCC_TF_XML-L_SCRENG_FLD_XPATH _HIST | Run this query to see the XPath for each subfield. |

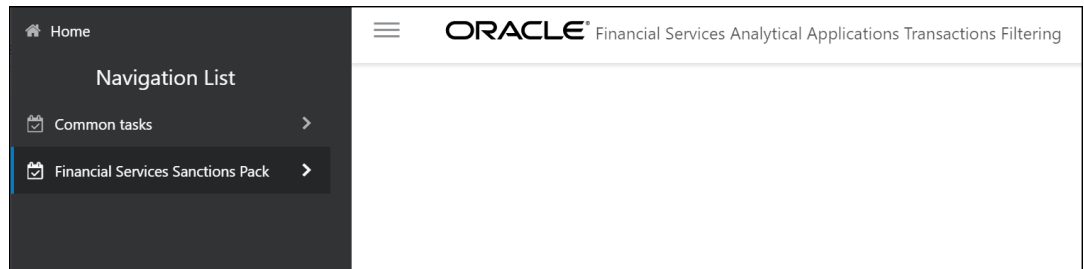
9

Configurations for the US NACHA Batch Process

To configure the TF_US_Nacha_Batch_Process batch and to ensure successful completion, follow these steps:

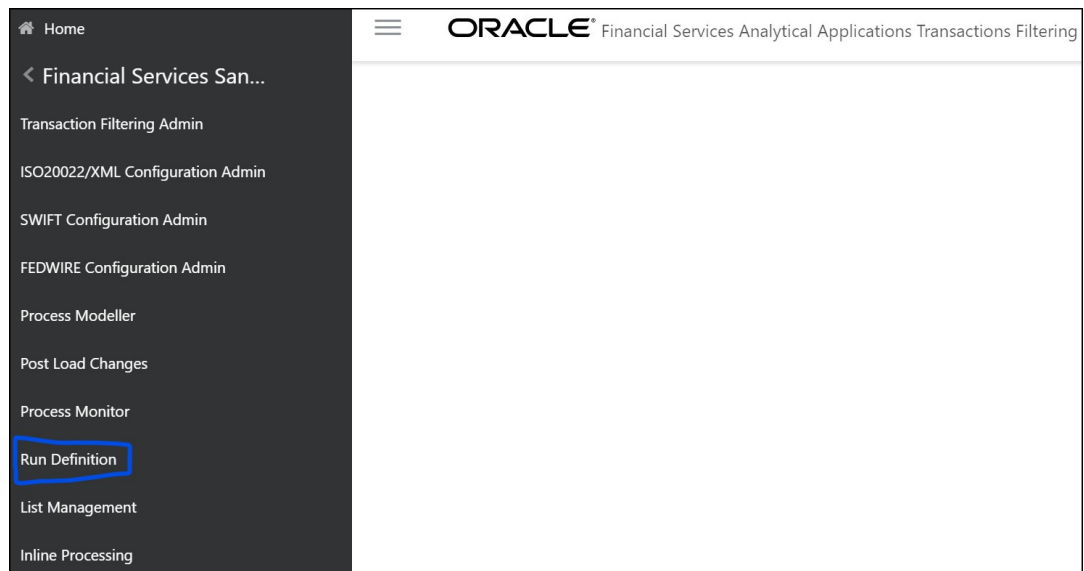
1. On the **Financial Services Analytical Applications Transactions Filtering** landing page, click **Financial Services Sanctions Pack**.

Figure 9-1 Financial Services Sanctions Pack Menu



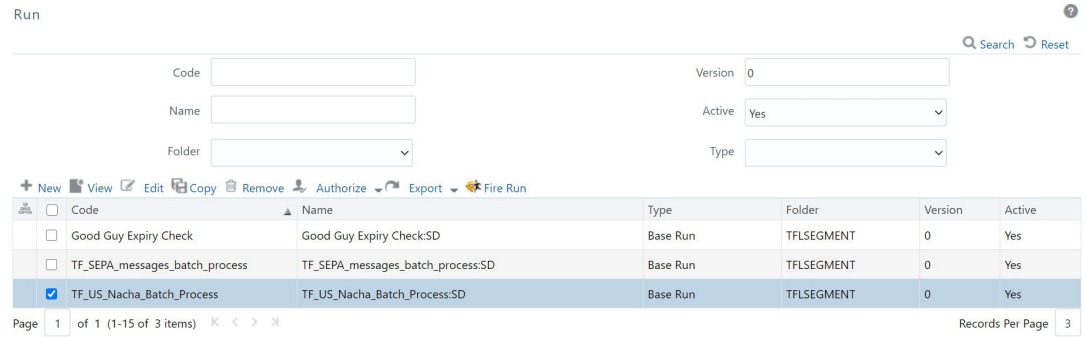
2. Click **Run Definition**. The **Run** page is displayed.

Figure 9-2 Run Definition Link



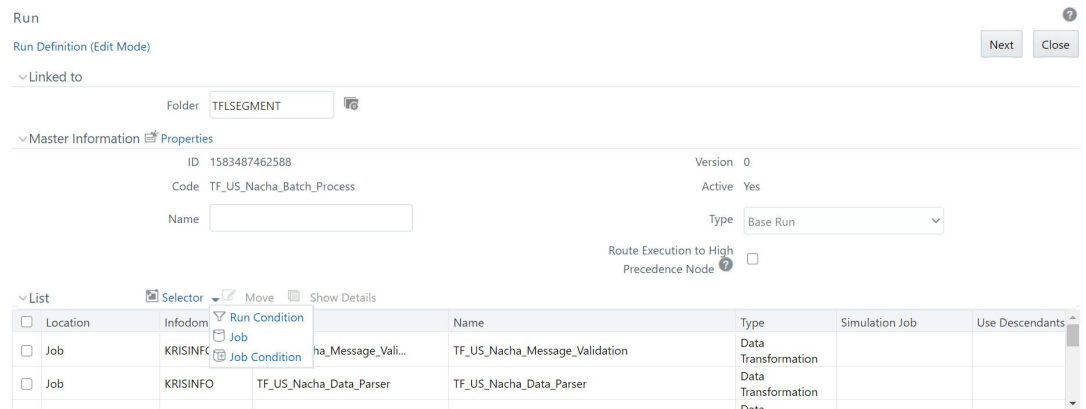
3. In the **Run** page, select the **TF_US_NACHA_Batch_Process** batch.

Figure 9-3 Run Page



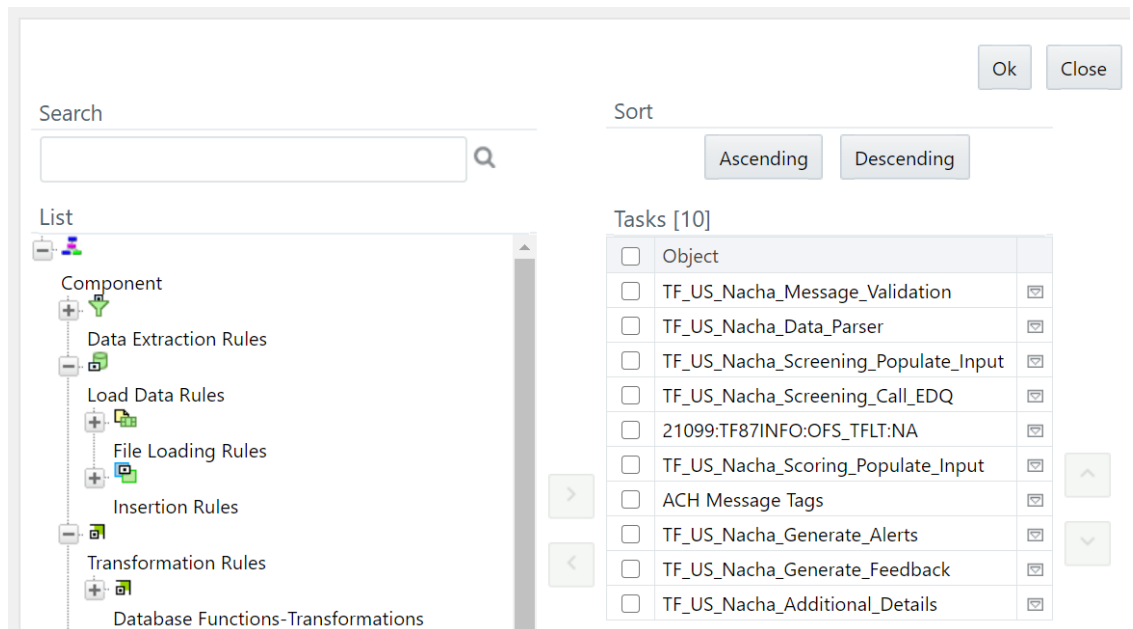
4. Click **Edit** . The **Run** page is displayed in Edit mode.

Figure 9-4 Run Definition (Edit Mode)



5. Click **Selector** and then click **Job** from the drop-down list. The **Component Selector** window is displayed.

Figure 9-5 Component Selector Window



1. Deselect the 21099:TF87INFO:OFS_TFLT:NA task.
2. Click **Ok**. The **Run** page with the **Run Definition** is displayed in Edit mode.
3. Provide a **Name** for the batch.

Figure 9-6 Run Definition (Edit Mode) – Batch Name

Run Definition (Edit Mode)

Folder: TFLSEGMENT

Master Information Properties

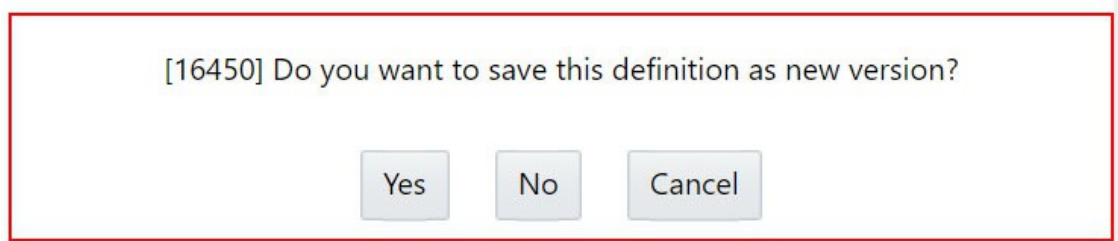
ID: 1583487462588, Version: 0, Code: TF_US_Nacha_Batch_Process, Active: Yes, Name: TF_US_Nacha_Batch_Process, Type: Base Run

Route Execution to High Precedence Node:

| Location | Infodom | Code | Name | Type | Simulation Job | Use Descendants |
|--------------------------|---------|----------|-----------------------------|--------------------------------|---------------------|-----------------|
| <input type="checkbox"/> | Job | KRISINFO | TF_US_Nacha_Message_Vali... | TF_US_Nacha_Message_Validation | Data Transformation | |
| <input type="checkbox"/> | Job | KRISINFO | TF_US_Nacha_Data_Parser | TF_US_Nacha_Data_Parser | Data Transformation | |

4. Click **Next**.
5. Click **Save**.
6. Click **No** in the **Run Rule Framework** dialog box.

Figure 9-7 Run Rule Framework Dialog Box



9.1 Adding New Message Type in NACHA

To add new NACHA message type in the Data Base (DB) perform the subsequent steps:

1. Go to `NewConvAchData.ctl` file in the `#FTPSHARE_PATH##/INFODOM#/STAGE/US_NACHA/` conf directory.
2. The `NewConvAchData.ctl` file has the entries for all NACHA Message types. To add an entry for the new message type, open `NewConvAchData.ctl` file and follow the below example format to provide the entry.

Entry for message type **CCD**:

```

INTO TABLE FCC_ACH_IP
WHEN (V_BTH_HDR_STANDARD_ENTRY_CODE='CCD') (
V_NACHA_MSG_ID "SEQ_TF_NACHA.NEXTVAL",
V_HDR_RECORD_TYPE_CODE POSITION(1:1) CHAR TERMINATED BY WHITESPACE,

```

N_HDR_PRIORITY_CODE POSITION(2:3) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
V_HDR_IMMEDIATE_DESTINATION POSITION(4:13) CHAR TERMINATED BY WHITESPACE,
V_HDR_IMMEDIATE_ORIGIN POSITION(14:23) CHAR TERMINATED BY WHITESPACE,
V_HDR_TXN_DATE POSITION(24:29) CHAR TERMINATED BY WHITESPACE,
V_HDR_TXN_TIME POSITION(30:33) CHAR TERMINATED BY WHITESPACE,
V_HDR_FILE_ID_MODIFIER POSITION(34:34) CHAR TERMINATED BY WHITESPACE,
V_HDR_RECORD_SIZE POSITION(35:37) CHAR TERMINATED BY WHITESPACE,
V_HDR_BLOCKING_FACTOR POSITION(38:39) CHAR TERMINATED BY WHITESPACE,
V_HDR_FORMATCODE POSITION(40:40) CHAR TERMINATED BY WHITESPACE,
V_HDR_IMMEDIATE_DEST_NAME POSITION(41:63) CHAR TERMINATED BY WHITESPACE,
V_HDR_IMMEDIATE_ORIGIN_NAME POSITION(64:86) CHAR TERMINATED BY WHITESPACE,
V_HDR_REFERENCE_CODE POSITION(87:94) CHAR TERMINATED BY WHITESPACE,
V_BTH_HDR_RECORD_TYPE_CODE POSITION(95:95) CHAR TERMINATED BY WHITESPACE,
N_BTH_HDR_SERVICE_CODE POSITION(96:98) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
V_BTH_HDR_COMPANY_NAME POSITION(99:114) CHAR TERMINATED BY WHITESPACE,
V_BTH_HDR_COMPANY_DISC_DATE POSITION(115:134) CHAR TERMINATED BY
WHITESPACE,
V_BTH_HDR_COMPANY_ID POSITION(135:144) CHAR TERMINATED BY WHITESPACE,
V_BTH_HDR_STANDARD_ENTRY_CODE POSITION(145:147) CHAR TERMINATED BY
WHITESPACE,
V_BTH_HDR_COMPANY_ENTRY_DESC POSITION(148:157) CHAR TERMINATED BY
WHITESPACE,
V_BTH_HDR_COMPANY_DESC_DATE POSITION(158:163) CHAR TERMINATED BY
WHITESPACE,
V_BTH_HDR_EFFECTIVE_ENTRY_DATE POSITION(164:169) CHAR TERMINATED BY
WHITESPACE,
V_BTH_HDR_SETTLEMENT_DATE POSITION(170:172) CHAR TERMINATED BY WHITESPACE,
V_BTH_HDR_ORG_STATUS_COD POSITION(173:173) CHAR TERMINATED BY WHITESPACE,
V_BTH_HDR_ORG_DFI_ID POSITION(174:181) CHAR TERMINATED BY WHITESPACE,
N_BTH_HDR_BATCH_NUMBER_RAW POSITION(182:188) INTEGER EXTERNAL TERMINATED
BY WHITESPACE,
V_ENTRY_RECORD_TYPE_CODE POSITION(189:189) CHAR TERMINATED BY WHITESPACE,
N_ENTRY_TRXN_CODE POSITION(190:191) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
V_ENTRY_RECEIVING_DFI_ID POSITION(192:199) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_CHECK_DIGIT POSITION(200:200) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_DFI_ACC_NUM POSITION(201:217) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_AMOUNT POSITION(218:227) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_INDIVIDUAL_ID_NUM POSITION(228:242) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_RCV_COMPANY_NAME POSITION(243:264) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_DISCRETIONARY_DATE POSITION(265:266) CHAR TERMINATED BY WHITESPACE,
V_ENTRY_ADD_RECORD_INDICATOR POSITION(267:267) CHAR TERMINATED BY
WHITESPACE,
N_ENTRY_TRACE_NUMBER POSITION(268:282) CHAR TERMINATED BY WHITESPACE,
N_TRACE_NUMBER POSITION(276:282) INTEGER EXTERNAL TERMINATED BY WHITESPACE,
V_ADDENDA_TYPE_CODE POSITION(284:285) CHAR TERMINATED BY WHITESPACE,
V_ADDENDA_RECORD POSITION(283:376) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_RECORD_TYPE POSITION(377:377) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_SERVICE_CODE POSITION(378:380) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
N_BTH_CTL_ENTRY_ADDENDA_COUNT POSITION(381:386) INTEGER EXTERNAL
TERMINATED BY WHITESPACE,
N_BTH_CTL_ENTRY_HASH POSITION(387:396) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,


```

V_BTH_CTL_DEBIT_AMOUNT POSITION(397:408) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_CREDIT_AMOUNT POSITION(409:420) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_COMPANY_ID POSITION(421:430) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_MSG_AUTH_CODE POSITION(431:449) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_RESERVED POSITION(450:455) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_ORG_DFI_ID POSITION(456:463) CHAR TERMINATED BY WHITESPACE,
V_BTH_CTL_BATCH_NUM POSITION(464:470) CHAR TERMINATED BY WHITESPACE,
V_CTL_RECORD_TYPE POSITION(471:471) CHAR TERMINATED BY WHITESPACE,
N_CTL_BATCH_COUNT POSITION(472:477) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
N_CTL_BLOCK_COUNT POSITION(478:483) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
N_CTL_ENTRY_COUNT POSITION(484:491) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
N_CTL_ENTRY_HASH POSITION(492:501) INTEGER EXTERNAL TERMINATED BY
WHITESPACE,
V_CTL_TOTAL_DEBIT_AMOUNT POSITION(502:513) CHAR TERMINATED BY WHITESPACE,
V_CTL_TOTAL_CREDIT_AMOUNT POSITION(514:525) CHAR TERMINATED BY WHITESPACE,
V_CTL_RESERVED POSITION(526:564) CHAR TERMINATED BY WHITESPACE,
N_FILE_ID POSITION(565:571) INTEGER EXTERNAL TERMINATED BY WHITESPACE,
N_BTH_HDR_BATCH_NUMBER "trim(:N_FILE_ID
)||'|'||trim(:N_BTH_HDR_BATCH_NUMBER_RAW)",
N_TXN_ID "trim(:N_FILE_ID
)||'|'||trim(:N_BTH_HDR_BATCH_NUMBER_RAW)||'|'||
trim(:N_ENTRY_TRACE_NUMBER)",
V_PATH POSITION(572:641) CHAR TERMINATED BY WHITESPACE,

V_BATCH_RUN_ID POSITION(642:681) CHAR TERMINATED BY WHITESPACE, V_JRSDCN
POSITION(682:685) CHAR TERMINATED BY WHITESPACE, V_BUSS_DMN POSITION(686:689)
CHAR TERMINATED BY WHITESPACE, N_SANCTION_DIRN_KEY POSITION(692:692) CHAR
TERMINATED BY WHITESPACE, V_filename POSITION(818:917) CHAR TERMINATED BY
WHITESPACE, V_BATCH_ID POSITION(918:930) CHAR TERMINATED BY WHITESPACE,
D_FIC_MIS_DATE POSITION(931:938) DATE "YYYYMMDD" NULLIF D_FIC_MIS_DATE=BLANKS,
V_FOLDER_PATH POSITION(954:1053) CHAR TERMINATED BY WHITESPACE
)

```

Note

The `V_HDR_RECORD_TYPE_CODE` column name in `FCC_ACH_IP` table has the value of `POSITION (1:1)`. This position is given per message specification. Similarly, entries will be added for other parameters per the Message standards.

3. Save and run the `NewConvAchData.ct1` file to load the newly added message data in to the DB.

The Enterprise Data Quality (EDQ) configurations for each message must be configured in the `FCC_ACH_EDQ_CONF` table and Inline Processing Engine (IPE) configurations for each message must be configured in `FCC_ACH_IPE_CONF` table. For more information on `FCC_ACH_EDQ_- CONF` table and `FCC_ACH_IPE_CONF` table, see [Oracle Financial Services Data Model Reference Guide](#)

10

Enterprise Data Quality (EDQ) Configurations

The Oracle Financial Services Transactions Filtering application is built using EDQ as a platform. EDQ provides a comprehensive data quality management environment that is used to understand, improve, protect, and govern data quality. EDQ facilitates best practices such as master data management, data integration, business intelligence, and data migration initiatives. EDQ provides integrated data quality in customer relationship management and other applications.

EDQ has the following key features:

- Integrated data profiling, auditing, and cleansing and matching
- Browser-based client access
- Ability to handle all types of data (for example, customer, product, asset, financial, and operational)
- Connection to any Java Database Connectivity (JDBC) compliant data sources and targets
- Multi-user project support (Role-based access, issue tracking, process annotation, and version control)
- Representational State Transfer Architecture (REST) support for designing processes that may be exposed to external applications as a service
- Designed to process large data volumes
- A single repository to hold data along with gathered statistics and project tracking information, with shared access
- Intuitive graphical user interface designed to help you solve real-world information quality issues quickly
- Easy, data-led creation and extension of validation and transformation rules
- Fully extensible architecture allowing the insertion of any required custom processing For more information on EDQ, see [Oracle Enterprise Data Quality Documentation](#).

10.1 Performance Improvement Measures for EDQ

Note

The following are some recommendations to help improve performance when you are dealing with bulk transactions. Perform these steps **ONLY** after you have completed all configurations for EDQ.

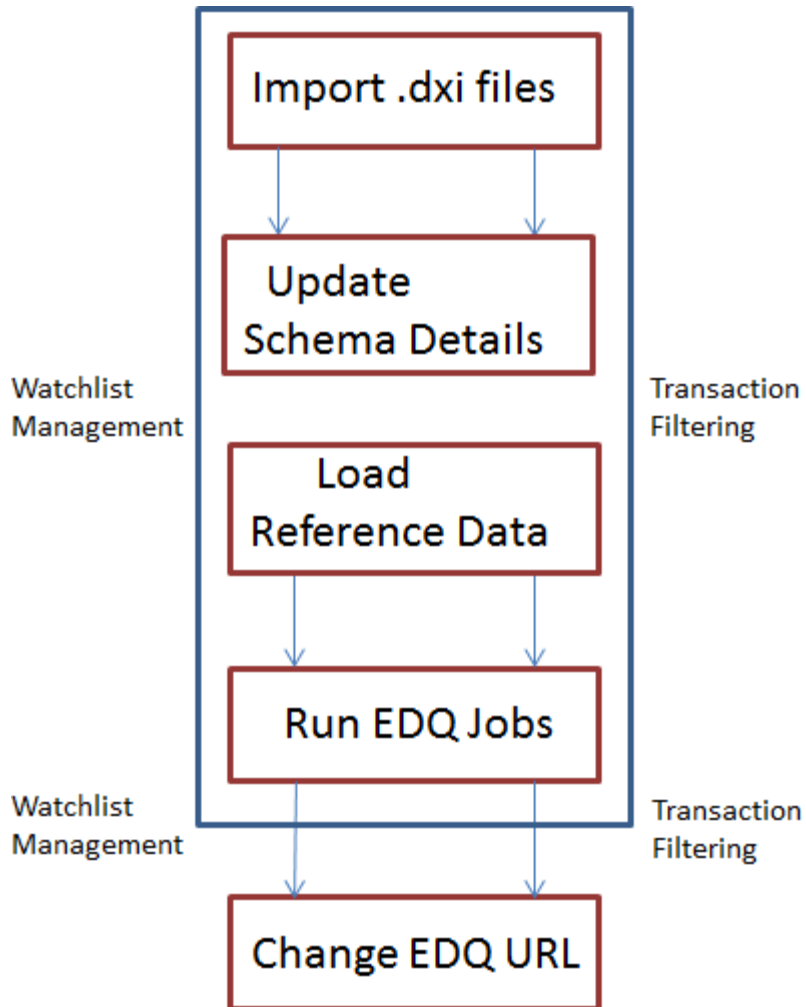
- Web Services are CPU-intensive, that is, they are frequently executed, and receive intermittent sets of simultaneous requests. Simultaneously running all batch requests slows down the real-time processing response time. To avoid this, set the following properties in the `director.properties` file in the `<domain_name>/edq/oedq.local.home/` directory:

- Run the data preparation job for web services, for example, Watch-list Management, when real-time processing stops.
- Set the `runtime.threads` value to a number which is lesser than the total cpu-cores so that both the cpu-cores can run in parallel. This ensures that the batch does not occupy all cores and allows real-time processing to run. The default value is 0, that is, the batch threads equal the number of cpu-cores on the system.
- Set the `runtime.intervalthreads` value to display the number of cpu-cores. This allows for simultaneous processing, efficient resource utilization, and faster turnaround time. The default value is 1, that is, requests are processed sequentially on a single core which leads to underutilization.
- Set the `workunitexecutor.outputThreads` value to a number which is greater than the number of cpu-cores and number of connection to write results and staged data to the database to tune IO heavy real-time process. This is particularly useful when the database machine is more powerful than the EDQ server.
- Set the `resource.cache.maxrows` value to increase the number of rows for the reference data in memory. This yields a faster response time. By default, the maximum number of rows you can load is 100000.
- Optimize the data cluster definition and size of each cluster for real-time processing.
- Optimize attributes which are critical to performance such as watch list types, reference data size, and data store size.
- Optimize data for the `EDQ_RES` and `EDQ_STAGING` tablespace to improve performance. The minimum size for `EDQ_RES` must be 200-300 GB.
- Optimize the OEDQ job performance by minimizing result writing and disabling the sort and filtering feature.
- Adjust the response time by tuning the java options in the EDQ domain. To do this, follow these steps:
 - Open the `setStartupEnv.sh` file in the `<domain name given for EDQ>/bin` directory.
 - Update the `-server -d64 -Xms16G -Xmx16G -XX:+UseG1GC -XX:+UseAdaptive-SizePolicy -XX:MaxGCPauseMillis=500 -Doracle.jdbc.javaNetNio=false -XX:InitiatingHeapOccupancyPercent=80 -XX:ReservedCodeCacheSize=128m` attribute in the `# Startup` parameters for `STARTUP_GROUP EDQ-MGD-SVRS` section based on your requirements.
- Set the OEDQ parser processor to **Parse Mode** instead of to **Parse And Profile**.
- Update the user credentials for `dnadmin` from the default realm to the authentication realm.
- Enable the EDQ domain to operate in production mode.
- Disable the following clusters in Name and Address service to improve performance:
 - Individual Family Name
 - Individual Given Name
 - Entity Name Meta
 - Entity Start End Name Tokens
 - Individual Initials

10.2 EDQ Configuration Process Flow

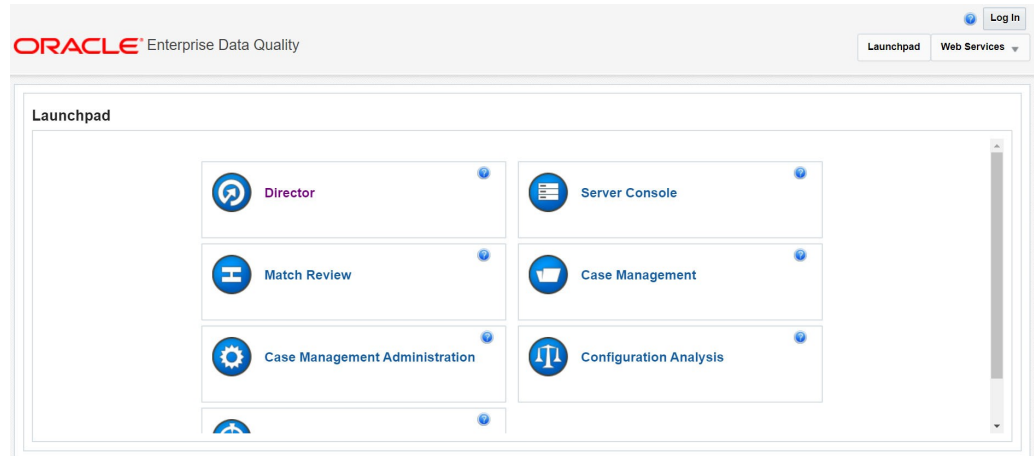
The following image shows the EDQ configuration process flow:

Figure 10-1 Enterprise Data Quality (EDQ) Configuration Steps



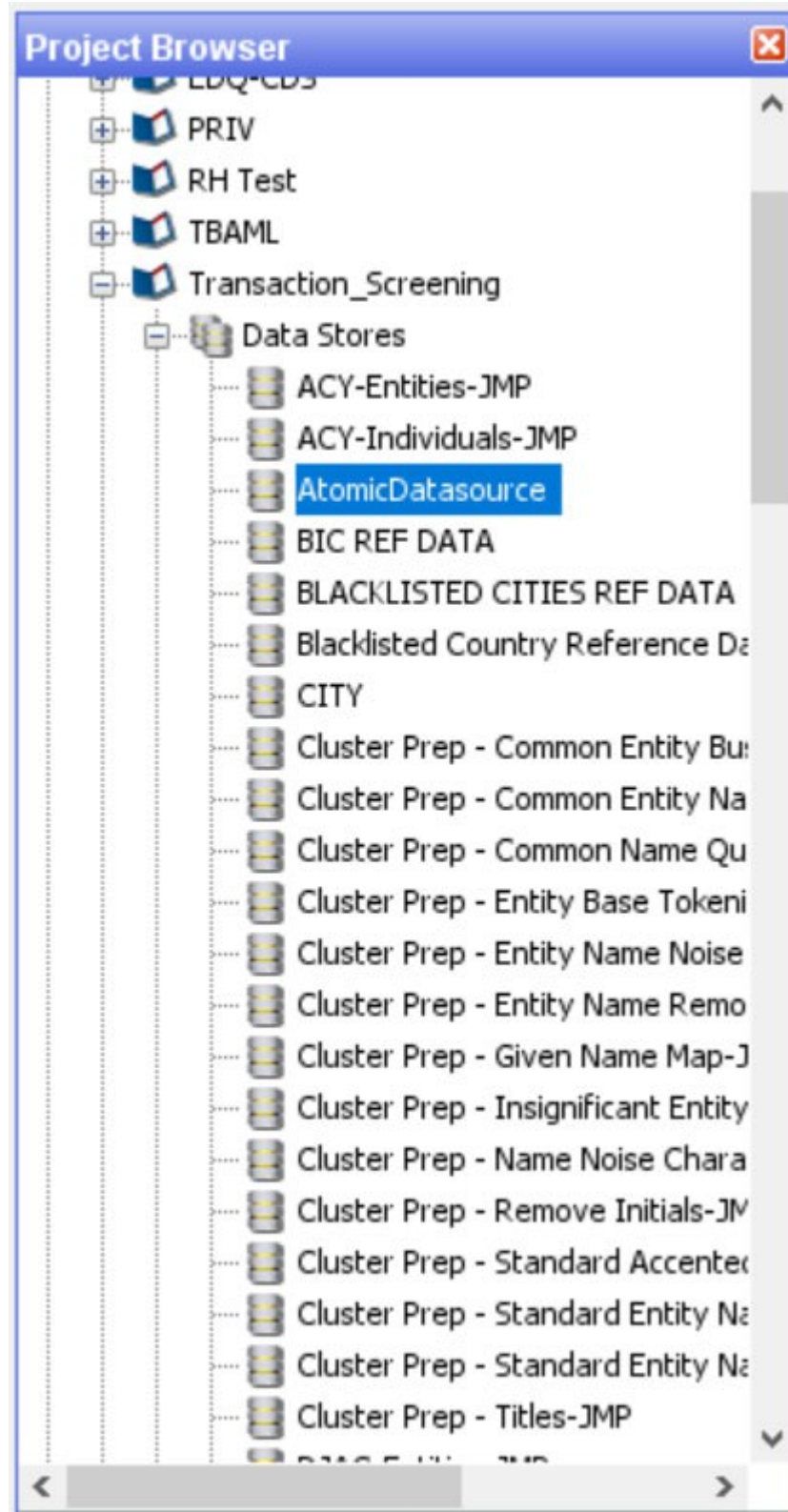
To configure EDQ, follow these steps:

1. Import the `Watchlist_Management.dxi` file from the `FIC_HOME/SanctionsCommon` path.
2. Import the `Transaction_Screening.dxi` file from the `FIC_HOME/Transaction_Processing` path (This is for SWIFT messages only).
3. Import the `Transaction_Screening_SEPA.dxi` file from the `FIC_HOME/Transaction_Processing` path (This is for ISO20022 messages only).
4. For these projects, enter the applicable organization-specific Atomic schema details in the **Edit Data Store** window. To access the **Edit Data Store** window, follow these steps:
 - a. Go to the EDQ URL and open the **Director** menu. The **Director** landing page appears.

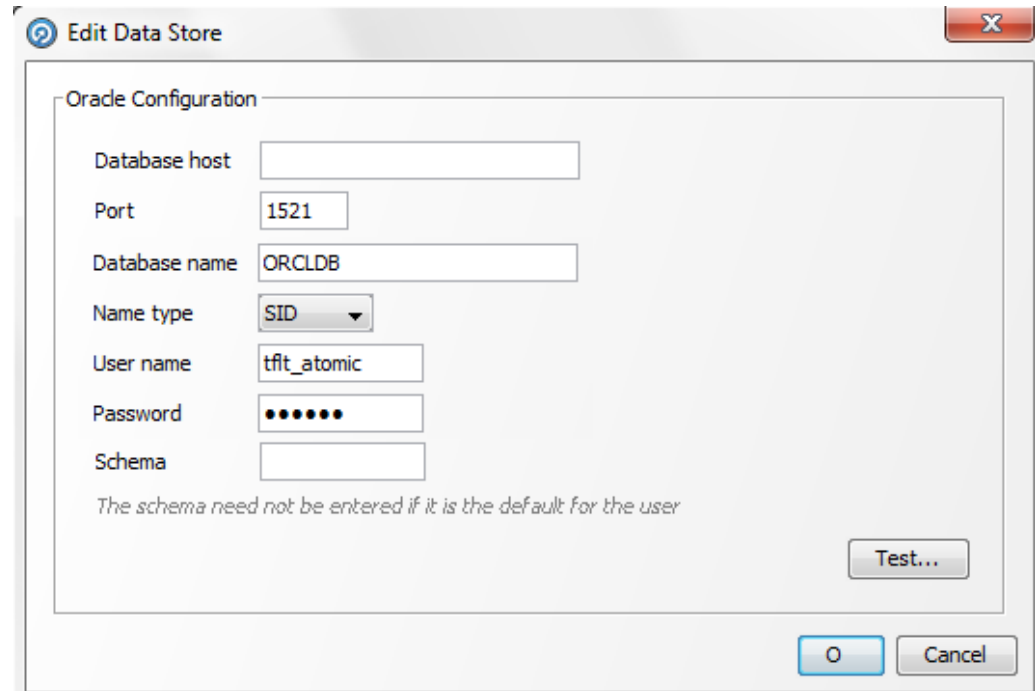
Figure 10-2 Director Menu in EDQ

- b. In the **Director** landing page, expand the **Transaction_Screening** project in the **Project Browser** pane.

Figure 10-3 Project Browser Pane



- c. Expand the **Data Stores** node and open **AtomicDatasource**. The **Edit Data Store** window appears.

Figure 10-4 Edit Data Store Window

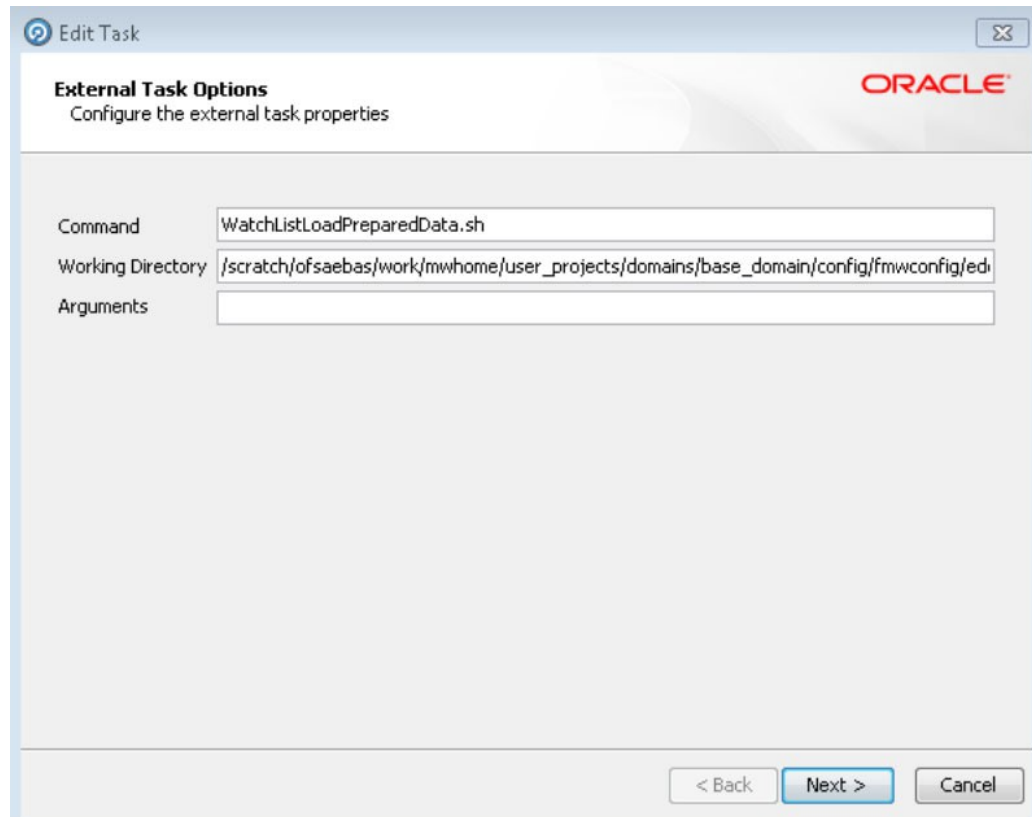
The screenshot shows a window titled "Edit Data Store" with a close button (X) in the top right corner. Inside the window, there is a section titled "Oracle Configuration" containing several input fields and a dropdown menu:

- Database host:
- Port:
- Database name:
- Name type: (dropdown menu)
- User name:
- Password:
- Schema:

Below the fields, there is a note: *The schema need not be entered if it is the default for the user*. At the bottom right of the configuration area is a "Test..." button. At the bottom of the window are two buttons: "O" and "Cancel".

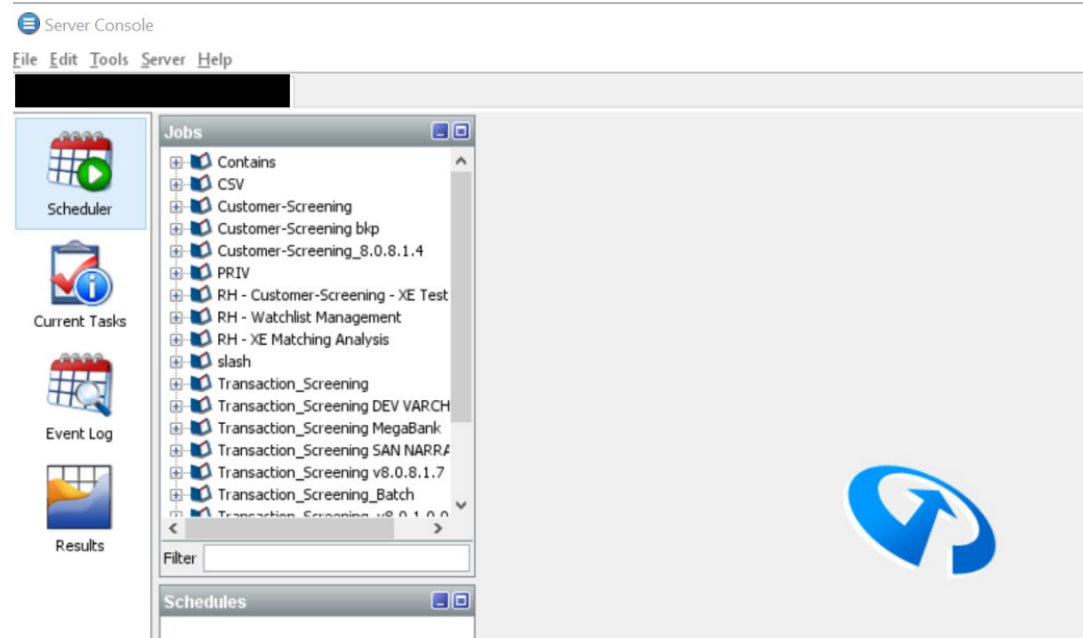
5. Load the Reference data. For more information on Reference data, see [Viewing Reference Data for Web Services](#).
6. Update the command area path in the following locations:
 - Watchlist Management > External Tasks > WatchListLoadPreparedData
 - Transaction_Screening > External Tasks > WatchListLoadData
 - Transaction_Screening > External Tasks > SanctionedListRefLoadData

Figure 10-5 Edit Task Window



7. Go to the EDQ URL and open the **Server Console** menu. The **Server Console** landing page appears.

Figure 10-6 Server Console Menu in EDQ



8. Run the following jobs under the **Watchlist Management** project:

- Analyze Reference Data Quality
 - Download, Prepare, Filter and Export All Lists
 - Generate StopPhrases
9. Run the **MAIN** job under the **Transaction_Screening** project.
 10. Change the EDQ URL in the Transaction Filtering application. To change the EDQ URL, see *Configuring the Application Level Parameters*.

Note

The first time you set up the Transaction Filtering application, you must change the EDQ URL.

11. Configure the message and screening parameters, if required.

10.2.1 Importing the Transaction Screening Project

For information on importing the Transaction Screening project, see the *Importing the OFS Customer Screening and OFS Transaction Filtering Projects* section in the Oracle Financial Services Sanctions Installation Guide.

10.2.2 Configuring Watch List Management and Transaction Filtering

The Oracle Financial Services Transaction Filtering distribution contains two run Profiles for configuring Watch List Management and screening: `watchlist-management.properties` and `watchlist-screening.properties`. These profiles are available in the `<domain_name>/edq/oedq.local.home/runprofiles/` directory when you log into the WinSCP server.

Run profiles are optional templates that specify the number of override configuration settings for externalized options when a Job is run. They offer a convenient way of saving and reusing multiple configuration overrides, rather than specifying each override as a separate argument.

Run profiles may be used when running jobs either from the Command Line Interface, using the `runopsjob` command, or in the Server Console User Interface.

The `watchlist-management.properties` run profile controls the following processes:

- Which watch lists are downloaded, and the configuration of the download process
- Whether filtering is applied to the watch lists or not
- Whether Data Quality Analysis is applied to the watch lists.
- Real-Time and Batch Screening set up
- Screening reference ID prefixes and suffixes
- Watch list routing
- Configuration of match rules.

Note

The properties controlling match rules are not included in the `watchlist-screening.properties` run profile by default. For more information, see [Configuring Match Rules](#).

10.2.2.1 Preparing Watch List Data

Oracle Financial Services Transaction Filtering is pre-configured to handle reference data from the following sources:

- HM Treasury
- OFAC
- EU consolidated list
- UN consolidated list
- World-Check
- Dow Jones watch list
- Dow Jones Anti-Corruption List
- Accuity Reference Data
- For information on the watch lists, see [Appendix A: Watch Lists](#).

10.2.2.2 Setting Up Private Watch List

Oracle financial services Customer Screening is pre-configured to work with commercially available and government-provided watch lists. However, you can also screen data against your private watch lists. Sample private watch lists are provided in the `config/landingarea/Private` directory in the `privateindividuals.csv` and `privateentities.csv` files.

Note

OEDQ release 12c has a base config folder and a local config folder. The base config folder is called `oedqhome` and the local config folder is called `oedqlocalhome`. The names may differ in some cases. For example, dots or underscores may be inserted in the names, such as `oedq_local_home`.

To replace the data, follow these steps:

1. Transform your private watch list data into the format specified in the **Private List Interface** chapter in the Oracle Financial Services Data Interfaces Guide.
2. Replace the data in the `privateindividuals.csv` and `privateentities.csv` files with your transformed private watch list data.

Note

The files must be saved in UTF-8 format.

To enable the staging and preparation of the private watch list in the

Note

`watchlist-management.properties`

Run Profile, follow these steps:

1. Move your private watch list data to the staging area by setting

Note

phase.PRIV\ -\ Stage\ reference\ lists.enabled

to **Y**.

2. Set

Note

phase.PRIV\ -\ Prepare\ without\ filtering.enabled

to **Y** to prepare the private watch list without filtering.

Set phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled and phase.PRIV\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled to **Y** to prepare the private watch list with filtering.

Showing Watch List Staged Data/Snapshots in the Server Console User Interface

Certain types of staged data and snapshots are hidden in the Server Console User Interface by default. These are:

- Watch list snapshots
- Intermediate filtered watch list staged data
- Centralized reference data staged data and snapshots

To display this data, set the corresponding visibility property value(s) in the relevant run profile to **Y**.

For example, to make all HM Treasury watch list snapshots generated during Watch List Management visible, set the following properties in the `watchlist-management.properties` run profile:

```
stageddata.ACY\ Sources.visible = Y
```

```
stageddata.ACY_All.visible = Y
```

```
stageddata.ACY_Sources.visible = Y
```

Configuring Match Rules

Match rules and match clusters can be configured and controlled by adding a property to the `watchlist-screening.properties` run profile.

Note

Ensure that data is available in the `ref_port_cntry` table before you begin the matching process. This table contains the port code for a port name and the corresponding port country. For more information on matching, see https://docs.oracle.com/middleware/1221/edq/user/adv_features.htm#DQUSG380.

For example, to disable the `Exact name only` rule for Batch and Real-Time Sanctions screening, add the following property to the Run Profile:

```
phase.*.process.*.[I0100]\ Exact\ name\ only.san_ule_enabled = false
```

Note

Ensure that values are capitalized and characters are escaped as applicable.

The `*` character denotes a wildcard and therefore specifies that the above rule applies to all phases and all processes. If disabling the rule for batch screening only, the property would read:

```
phase.Batch\ screening.process.*.[I0100]\ Exact\ name\ only.san_rule_enabled = false
```

For further details on tuning match rules, see the Oracle Financial Services Transaction Filtering Matching Guide.

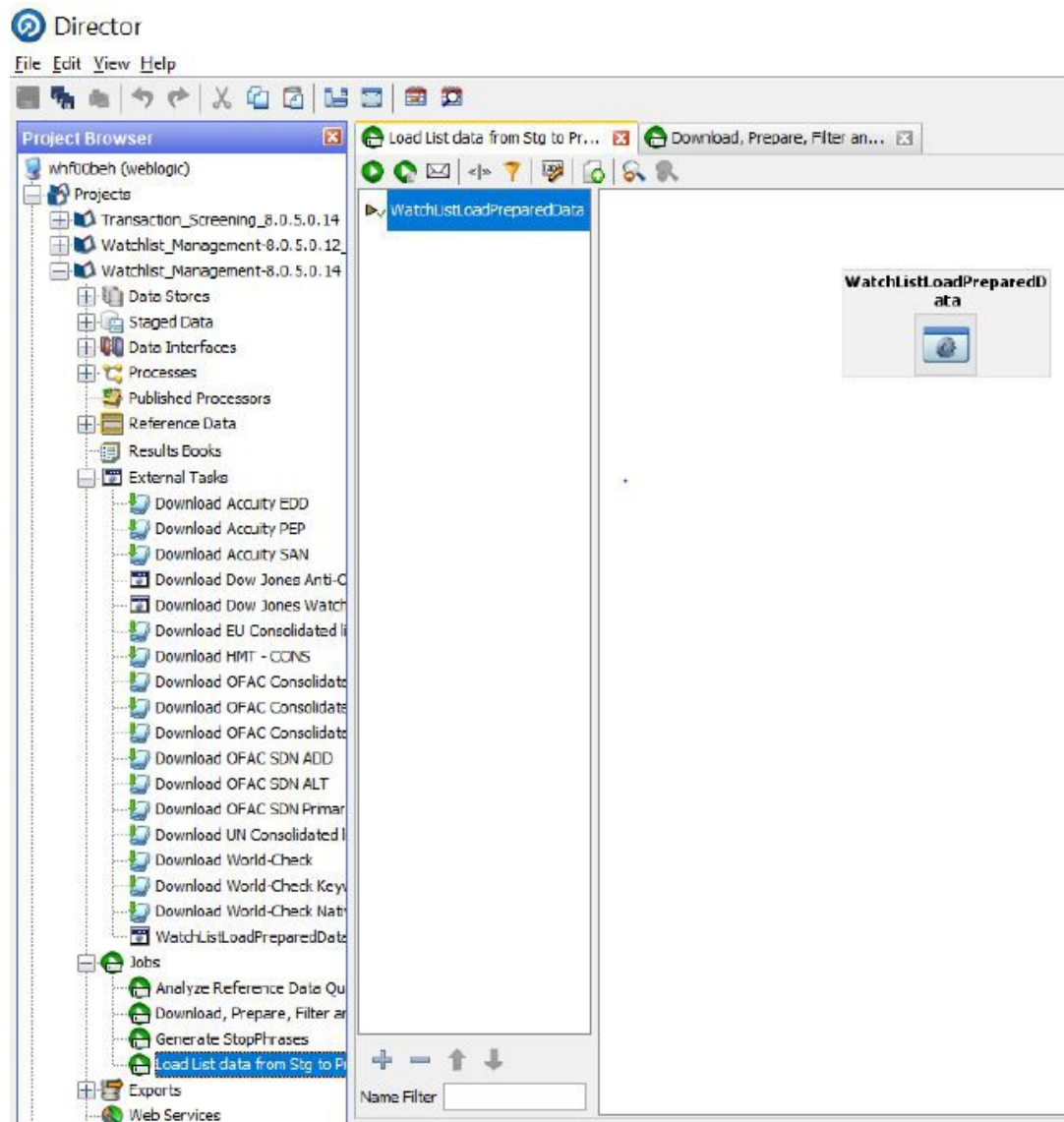
Configuring Jobs

To configure a job, it must be configured in the `properties` file and on the administration window to enable or disable the web services.

The **WatchListLoadPreparedData** process is disabled by default. To enable the process, follow these steps:

1. In the `Watchlist_Management-<patch number>` project, double-click the **Load List data from Stg to Processed table** job. All processes related to the job are displayed.

Figure 10-7 EDQ Director Menu



- Right-click the **WatchListLoadPreparedData** process and click **Enable**.

10.2.2.3 Filtering Watch List Data

The following sections provide information on how to enable and configure the watch list filters.

Enabling Watch List Filtering

Watch list data is filtered either during List Management, Screening, or both.

To enable filtering for a specific watch list, set the `Prepare Filtering` phase(s) in the appropriate run profile to **Y**, and the `Prepare Without Filtering` phase(s) to **N**.

Configuring Watch List Filtering

Watch list filtering is controlled by configuring reference data in the watch list projects.

Note

After data is filtered out, it is not possible to filter it back in. For example, if all entities are filtered out in the **Watchlist Management** project, even if the **Transaction_Screening** project is configured to include entities, they will not appear in the results data.

The top-level of filtering is controlled by editing the **Reference Data Editor - Filter - Settings** reference data.

Figure 10-8 Reference Data Editor - Filter - Settings Window

The screenshot shows a window titled "Reference Data Editor - Filter - Settings" with a table of filter settings. The table has 10 columns: List Key, List Sub Key, List/sub-lis..., Individuals..., Entities (Pr..., Vessels (P..., All origins ..., All origin r..., All origin s..., and All name ty... The table contains 20 rows of data, all with a value of 'Y' in the filter columns. Below the table are buttons for "Add Row", "Add from Clipboard", "Remove duplicates", "Delete Rows", "Delete All Rows", "OK", and "Cancel".

| List Key | List Sub Key | List/sub-lis... | Individuals... | Entities (Pr... | Vessels (P... | All origins ... | All origin r... | All origin s... | All name ty... |
|----------|--------------|-----------------|----------------|-----------------|---------------|-----------------|-----------------|-----------------|----------------|
| ACY | ACY-SAN | Y | Y | Y | Y | Y | Y | Y | Y |
| ACY | ACY-PEP | Y | Y | Y | Y | Y | Y | Y | Y |
| ACY | ACY-EDD | Y | Y | Y | Y | Y | Y | Y | Y |
| HMT | HMT-CONS | Y | Y | Y | Y | Y | Y | Y | Y |
| HMT | HMT-IB | Y | Y | Y | Y | Y | Y | Y | Y |
| EU | EU | Y | Y | Y | Y | Y | Y | Y | Y |
| DJW | DJW-SAN | Y | Y | Y | Y | Y | Y | Y | Y |
| DJW | DJW-PEP | Y | Y | Y | Y | Y | Y | Y | Y |
| DJW | DJW-EDD | Y | Y | Y | Y | Y | Y | Y | Y |
| OFAC | OFAC-SDN | Y | Y | Y | Y | Y | Y | Y | Y |
| OFAC | OFAC-NS-PLC | Y | Y | Y | Y | Y | Y | Y | Y |
| UN | UN-ALQ | Y | Y | Y | Y | Y | Y | Y | Y |
| UN | UN-TAL | Y | Y | Y | Y | Y | Y | Y | Y |
| WC | WC-SAN | Y | Y | Y | Y | Y | Y | Y | Y |
| WC | WC-PEP | Y | Y | Y | Y | Y | Y | Y | Y |
| WC | WC-EDD | Y | Y | Y | Y | Y | Y | Y | Y |
| PRIV | | Y | Y | Y | Y | Y | Y | Y | Y |
| DJAC | DJAC-SAN | Y | Y | Y | Y | Y | Y | Y | Y |
| DJAC | DJAC-PEP | Y | Y | Y | Y | Y | Y | Y | Y |
| DJAC | DJAC-EDD | Y | Y | Y | Y | Y | Y | Y | Y |

All the reference data filters are set to **Y** by default, except Linked Profiles which is set to **N**. No actual filtering is performed on watch list data unless these settings are changed.

Note

In the Filter - Settings reference data, a value of **Y** indicates that all records must be included - in other words, no filter must be applied.

Broadly speaking, watch list filtering falls into four categories:

- By list and list subkey.
- By list record origin characteristics.

- By list profile record characteristics.
- By linked profiles.

Primary and Secondary Filtering, and Linked Records

- Primary filtering - These filters are used to return all profiles that match the criteria specified.
- Linked Profiles - If this value is set to **Y**, then all profiles linked to those captured by Primary filters are also captured. An example is a filter configured to capture all Sanctions and their related PEPs.
- Secondary filtering - These filters are applied to further filter any linked profiles that are returned.

Note

Only the World-Check and DJW watch lists can provide Linked Profiles.

Setting Multiple Values for Primary and Secondary Filters

The following filter options require further configuration in additional reference data:

- Origins
- Origin Regions
- Origin Statuses
- Primary and Secondary Name Qualities
- Primary and Secondary Name Types
- Primary and Secondary PEP Classifications

To filter using one or more of these options, set the relevant value in the Filter - Settings reference data to **N**, and then make further changes to the corresponding reference data.

Note

When you set the Filter - Settings reference data to **N**, only the records that match the values set in the corresponding reference data are included. For example, if you set the value of All name qualities to **N** in Filter - Settings, then you can determine which name qualities must be included for each watch list in the Filter - Primary Name Qualities reference data. For instance, if you include a row for high-quality names in the EU watch list, but you do not include rows for medium-quality and low-quality names for this watch list, then only records with high-quality names are included in the watch list.

Some of these reference data sets are pre-populated with rows, to be edited or removed as required. These rows contain data (generally, but not always) supplied by each watch list provider and are all contained within the **Watchlist Management** project.

For example, to view all possible keywords for World-Check data, open the **WC Keyword** reference data in the **Watchlist Management** project. See the following example for further details.

Filtering World-Check Data

This example describes configuring filtering on the World-Check Sanctions list in the **Watchlist Management** project and setting further filters in the **Transaction_Screening** project. You can also perform the following actions:

- Enable filtering in the Run Profiles
- Configure the Primary filters in the Watch List Management project to return only active records for sanctioned individuals (not entities) originating from the EU list
- Enable the filtering of Linked Profiles in the Watch List Management project
- Configure the Secondary filters in the Transaction Filtering project to further filter out all Linked Profiles of deceased individuals.

Setting Filtering options in the Run Profiles

In the `watchlist-management.properties` Run Profile, set the World-Check filtering phases as follows:

```
phase.WC\ -\ Prepare\ without\ filtering.enabled = N
phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = Y
phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = Y
```

In the `watchlist-screening.properties` Run Profile, set the World-Check filtering phases as follows:

```
phase.WC\ -\ Load\ without\ filtering.enabled = N
phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = Y
phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y
```

Setting Primary Filters and Linked Profiles in the Watchlist Management Project

To set the primary filters, follow these steps:

1. In the Director menu, open the Watchlist Management project and expand the Reference Data node.
2. Locate the Filter - Settings reference data and double-click to open it.
3. Ensure the List/sub-list value in the WC-SAN row is set to **Y**.
4. Set the Entities value in the WC-SAN row to **N**.
5. Set the Inactive value in the WC-SAN row to **N**.
6. Set the All Origins value in the WC-SAN row to **N**.
7. Ensure all other values in the WC-SAN row are set to **Y**.
8. Click **OK** to close the reference data and save changes.
9. Locate the Filter - Origins reference data and double-click to open it.
10. Add a new row with the following values:
 - a. List Key - WC
 - b. List Sub Key - WC-SAN
 - c. Origin - EU
11. Change the Linked Profiles value in the WC-SAN row to **Y**.
12. Click **OK** to close the Filter Settings reference data and save changes.

Setting Secondary Filters in the Transaction_Screening Project

To set secondary filters, follow these steps:

1. Open the `Transaction_Screening` project, and expand the reference data link.
2. Locate the `Filter - Settings` reference data file, and double-click to open it.
3. Set the `Deceased` value in the `WC-SAN` row to **N**.
4. Click **OK** to close the reference data and save changes.

Screening All Data Using Sanctions Rules

By default, watch list records are routed to the different screening processes depending on their record type, that is, `SAN`, `PEP`, or `EDD`. This allows different rules, and hence different levels of rigor, to be applied to the list data according to risk appetite.

However, if you want to use the same screening logic for all list records, and do not want the overhead of maintaining separate rule sets, the system can be configured to reroute all list records to the `SAN` screening processes. To do this, set the `phase.*.process.*.Screen\ all\ as\ SAN` value in the `watchlist-screening.properties` Run Profile to **Y**.

10.2.2.4 Viewing Reference Data for Web Services

Previously, all reference data was available in EDQ. From 807 onwards, only data related to name and address is enabled in EDQ. All other reference data is available in the database in the following tables:

- Goods prohibition reference data is available in `fcc_prohibiton_goods_ref_data`
- Ports prohibition reference data is available in `fcc_port_ref_data`
- Bad BICs reference data is available in `dim_sanctioned_identifiser`
- Stop Keywords reference data is available in `dim_stop_keywords`
- Blacklisted Cities reference data is available in `dim_sanctioned_city`
- Blacklisted Countries reference data is available in `dim_sanctioned_country`

Bad BICs Reference Data

The following columns are available in the template for BICs:

- Record ID: This column displays the record serial number for the blacklisted BIC. The record ID is unique for every BIC.
- BIC: This column displays the name of the BIC.
- Details of BIC: This column displays the details of the BIC.
- Data Source: This column displays the source of the data for the BIC.
- Risk Score: This column displays the risk score for the BIC.

Sample Data for Sanctioned BICs

The following table provides examples based on BICs:

Table 10-1 Sample Data for Sanctioned BICs

| Record ID | BIC | Data Source | Risk Score |
|-----------|----------|---|------------|
| 1 | SIIBSYDA | OFAC (Office of Foreign Assets Control) | 85 |
| 2 | FTBDKPPY | OFAC (Office of Foreign Assets Control) | 90 |
| 3 | DCBKKPPY | OFAC (Office of Foreign Assets Control) | 85 |
| 4 | ROSYRU2P | OFAC (Office of Foreign Assets Control) | 90 |
| 5 | INAKRU41 | OFAC (Office of Foreign Assets Control) | 90 |
| 6 | SBBARUMM | OFAC (Office of Foreign Assets Control) | 90 |

Blacklisted Cities Reference Data

The following columns are available in the template for blacklisted cities:

- Record ID: This column displays the record serial number for the blacklisted city. The record ID is unique for every city.
- Country: This column displays the name of the country of the blacklisted city.
- City: This column displays the name of the blacklisted city.
- ISO City Code: This column displays the ISO code of the blacklisted city.
- Data Source: This column displays the source of the data for the blacklisted city.
- Risk Score: This column displays the risk score for the blacklisted city.

Sample Data for Sanctioned Cities**Table 10-2 Sample Data for Sanctioned Cities**

| Record ID | Country | City | ISO City Code | Data Source | Risk Score |
|-----------|---------|-------------------|---------------|---|------------|
| 1 | IRAQ | ARBIL | ABL | OFAC (Office of Foreign Assets Control) | 90 |
| 2 | IRAQ | ABU AL FULUS | ALF | OFAC (Office of Foreign Assets Control) | 90 |
| 3 | IRAQ | AMARA (AL-AMARAH) | AMA | OFAC (Office of Foreign Assets Control) | 85 |
| 4 | IRAQ | ARAK | ARK | OFAC (Office of Foreign Assets Control) | 90 |

Blacklisted Countries Reference Data

The following columns are available in the template for blacklisted countries:

- Record ID: This column displays the record serial number for the blacklisted country. The record ID is unique for every country.
- Country: This column displays the name of the blacklisted country.
- ISO Country Code: This column displays the ISO code of the blacklisted country.
- Country Synonyms: This column displays the synonyms of the blacklisted country.
- Data Source: This column displays the source of the data for the blacklisted country.
- Risk Score: This column displays the risk score for the blacklisted country.

Sample Data for Sanctioned Countries

Table 10-3 Sample Data for Sanctioned Countries

| Record ID | Country | ISO Country Code | Country Synonyms | Data Source | Risk Score |
|-----------|---------|------------------|--|---|------------|
| 1 | IRAQ | IQ | IRAK, REPUBLIC OF IRAQ, AL JUMHURIYAH AL IRAQIYAH, AL IRAQ | OFAC (Office of Foreign Assets Control) | 90 |

Table 10-4 Sample Data for Sanctioned Countries

| Record ID | Country | ISO Country Code | Country Synonyms | Data Source | Risk Score |
|-----------|----------------------------------|------------------|---------------------------------------|--|------------|
| 2 | DEMOCRATIC REPUBLIC OF THE CONGO | CD | CONGO, THE DEMOCRATIC REPUBLIC OF THE | OFAC (Office of Foreign Assets Control) | 90 |
| 3 | AFGHANISTAN | AF | NA | ITAR (International Traffic in Arms Regulations) | 85 |
| 4 | ZIMBABWE | ZW | NA | ITAR (International Traffic in Arms Regulations) | 90 |
| 5 | CENTRAL AFRICAN REPUBLIC | CF | NA | EAR (Export Administration Regulations) | 85 |
| 6 | BELARUS | BY | NA | EAR (Export Administration Regulations) | 80 |

Stop Keywords Reference Data

The following columns are available in the template for keywords:

- Record ID: This column displays the record serial number for the keyword.
- Stop keyword: This column displays the keyword.
- Risk Score: This column displays the risk score for the keyword.

Sample Data for Sanctioned Stop Keywords

Table 10-5 Sample Data for Sanctioned Stop Keywords

| Record ID | Stop KeyWords | Risk Score |
|-----------|---------------|------------|
| 1 | EXPLOSIVE | 80 |
| 2 | DIAMOND | 90 |
| 3 | TERROR | 80 |
| 4 | TERRORIST | 85 |
| 5 | ARMS | 80 |
| 6 | NUCLEAR | 90 |

Goods Prohibition Reference Data

The following columns are available in the template for prohibited goods:

- Record ID: This column displays the record serial number for the prohibited good. The record ID is unique for every good.
- Good Code: This column displays the code of the prohibited good.
- Good Name: This column displays the name of the prohibited good.
- Good Description: This column displays the description of the prohibited good.

Sample Data for Prohibited Goods**Table 10-6 Sample Data for Prohibited Goods**

| Record ID | Good Code | Good Name | Good Description |
|-----------|------------|------------------------|--|
| 1 | 0207 43 00 | Fatty livers | Fatty livers, fresh or chilled |
| 2 | 0208 90 10 | Ivory | CONGO, THE DEMOCRATIC REPUBLIC OF THE |
| 3 | 0209 10 00 | Ivory powder and waste | NA |
| 4 | 3057100 | Shark fins | NA |
| 5 | 4302 19 40 | Tiger-Cat skins | NA |

Ports Prohibition Reference Data

The following columns are available in the template for prohibited ports:

- Record ID: This column displays the record serial number for the prohibited port. The record ID is unique for every port.
- Country: This column displays the name of the country where the prohibited port is located.
- Port Name: This column displays the name of the prohibited port.
- Port Code: This column displays the code of the prohibited port.
- Port Synonyms: This column displays the synonym of the prohibited port.

Sample Data for Prohibited Ports**Table 10-7 Sample Data for Prohibited Ports**

| Record ID | Country | Port Name | Port Code | Port Synonyms |
|-----------|---------------------------|---------------|-----------|---------------------------------|
| 1 | IRAN, ISLAMIC REPUBLIC OF | KHORRAM-SHAHR | IR KHO | KHORRAMSHAHR Port |
| 2 | RUSSIA | Sevastopol | SMTP | Sevastopol,Port of Sevasto- pol |
| 3 | New Zealand | Dunedin | NZ ORR | Otago Harbour |
| 4 | New Zealand | Ravensbourne | NZ ORR | Otago Harbour |

10.2.2.5 Extending Prohibition Screening

Oracle Financial Services Transaction Filtering, as delivered, allows for prohibition screening against Nationality and Residency for Individuals, [country of] Operation, and

[country of] Registration for Entities. Additional prohibition types can be added as follows:

- Create new entries in the prohibition reference data with a new Prohibition Type name, for example, "Employment Country".
- [Batch screening only] Extend the customer data preparation process to create a new attribute, for example, dnEmploymentCountryCode.
- Edit the appropriate screening process, to create the necessary match rules and clusters for the new attribute.

11

Configuring Risk Scoring Rules

This chapter provides a brief overview of configuring Risk Scoring Rules for Transaction Filtering. These rules are configured in the Inline Processing Engine (IPE). Transaction Filtering has a few ready-to-use business rules. The following steps show the pre-configured business rules and how you can create your business rules based on the requirements.

Before you configure the rules, you must update the sequence ID for IPE. To do this, execute the following script in the *Config* schema as a post-installation step:

```
Begin p_set_sequence_value('TASKS', '5000000', 'Y'); end;
```

For information on the post-installation activities, see the [Oracle Financial Services Behavior Detection Installation Guide](#).

Note

The screenshots shown for these steps are taken for existing tables. You can perform similar steps for newly added tables.

To configure rules in IPE, follow these steps:

1. Navigate to the **Financial Services Analytical Applications Transactions Filtering** landing page. For more information, see the Inline Processing Menu.
2. Click **Inline Processing**. The **Inline Processing** page is displayed. The following window shows the **Profiles** menu. Profiles are an aggregation of information. Profiles can be based on different grouping entities (For example, account and customer) and can be filtered to only look at specific types of transactions. Profiles can also be based on time (last three months) or activity counts (last 100 transactions). For more information on Profiles, see the **Managing Profiles** chapter in the Oracle Financial Services Inline Processing Engine User Guide.

Figure 11-1 Profiles Menu

| Profile Name | Activity | Processing Segment | Status | Updated By | Updated On | History |
|---------------|----------|--------------------|--------|------------|------------|---------|
| No Data Found | | | | | | |

3. Import data model tables into IPE using the **Business Entities** sub-menu. A Business Entity is a virtual layer that can be added to an existing table. You can add a new business entity and search for existing business entities to modify or remove a business entity. For more information on Business Entities, see the **Managing Business Entities** section in the Oracle Financial Services Inline Processing Engine User Guide.

To import a table, follow these steps:

- Click the **Association and Configuration** menu, then click the **Business Entities** sub-menu.
- Select the Business Entity you want to import.
- Click **Import Entity**

Figure 11-2 Import Entity icon.


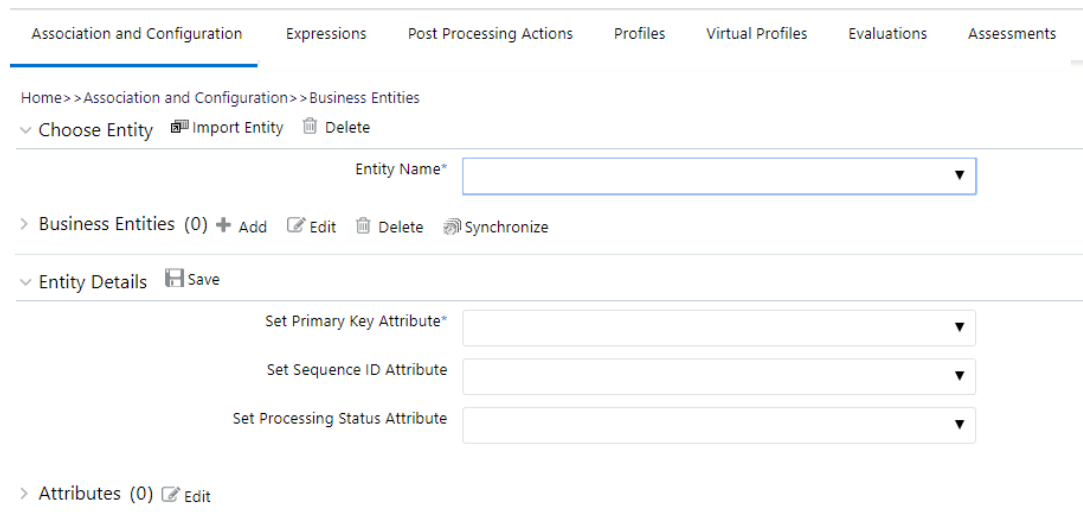
 Import Entity

Figure 11-3 Import Table Action



The screenshot shows the Oracle Business Entities configuration interface. At the top, there is a navigation bar with tabs: Association and Configuration (selected), Expressions, Post Processing Actions, Profiles, Virtual Profiles, Evaluations, and Assessments. Below the navigation bar, the breadcrumb path is 'Home > Association and Configuration > Business Entities'. A dropdown menu is open, showing 'Choose Entity', 'Import Entity' (with a table icon), and 'Delete'. Below this, there is a search field labeled 'Entity Name*' with a dropdown arrow. Underneath, there is a section for 'Business Entities (0)' with buttons for '+ Add', 'Edit', 'Delete', and 'Synchronize'. Below that, there is a section for 'Entity Details' with a 'Save' button. Three dropdown menus are visible: 'Set Primary Key Attribute*', 'Set Sequence ID Attribute', and 'Set Processing Status Attribute'. At the bottom, there is a section for 'Attributes (0)' with an 'Edit' button.

By default, all the tables defined for the entity (data model) are displayed. The Entity name is displayed in the format <Logical Name>-<Physical Name>.

Figure 11-4 Entities List

Search | Go | Reset

Entity Name

Entities

| Entity Name |
|--|
| <input type="checkbox"/> ACCT-ACCT |
| <input type="checkbox"/> CS_ALERTS-CS_ALERTS |
| <input type="checkbox"/> CUST-CUST |
| <input type="checkbox"/> CUST_ACCT-CUST_ACCT |
| <input type="checkbox"/> CUST_ADDR-CUST_ADDR |
| <input type="checkbox"/> CUST_EMAIL_ADDR-CUST_EMAIL_ADDR |
| <input type="checkbox"/> CUST_ID_DOC-CUST_ID_DOC |
| <input type="checkbox"/> CUST_IMP_LICENSE-CUST_IMP_LICENSE |
| <input type="checkbox"/> CUST_IMP_LICENSE_GOODS-CUST_IMP_LICENSE_GOODS |
| <input type="checkbox"/> CUST_LIST_MEMBERSHIP-CUST_LIST_MEMBERSHIP |

Cancel

- Select an entity. The **Business Entity** fields are enabled. You can enter the following details:

Table 11-1 Business Entity Fields

| Field | Description |
|---------------|--|
| Business Name | Enter a unique Business Name of the Entity. By default, the Business Name is populated as the logical name provided for the Table in the data model. The details of this field can be modified. |

Table 11-2 Business Entity Fields

| Field | Description |
|--------------------|--|
| Entity Type | Select the Entity Type from the drop-down list. The following entity types are available: <ul style="list-style-type: none"> Activity: Select a table as Activity if the data is to be processed by IPE as a part of assessment execution. To use Activity as a Reference, relevant Inline Datasets and Traversal Paths must be created. For example, if wire transactions and cash transactions are two activities, then there must be inline datasets created for them and a traversal path connecting the two. Reference: Select a table as a Reference if the table has static values for IPE. Reference data cannot be processed by IPE. Lookup: Select a table as Lookup if it is used as a scoring table in Evaluations. This can be used as a Reference. After a table is imported, you cannot change the entity type of the table. |
| Processing Segment | Select the Processing Segment from the multi-select drop-down list. |

Table 11-2 (Cont.) Business Entity Fields

| Field | Description |
|---------------------------------|---|
| Set Primary Key Attribute | Select the Primary Key Attribute from the drop-down list. This shows all the columns of the table. This is a unique attribute of the table which is imported. It is a mandatory field. Composite Primary Keys are not supported. |
| Set Sequence ID Attribute | Select the sequence ID attribute from the drop-down list. Select the sequence ID attribute from the drop-down list. This field is enabled if you select Activity as the Entity Type. |
| DB Sequence Name | Enter the DB sequence name . A DB Sequence must be created in the Atomic Schema. The name of that Sequence must be provided in this field. This field is enabled if you select Activity as the Entity Type. |
| Set Processing Status Attribute | Select the processing status attribute from the drop-down list. This attribute is updated by IPE to indicate if the assessment has passed or failed. This field is enabled if you select Activity as the Entity Type. |
| Set Processing Period Attribute | Select the processing period attribute from the drop-down list. This attribute defines the date or time when the activity has occurred. For example, Transaction Time. This field is enabled if you select Activity as the Entity Type. |
| Score Attribute | This field is enabled ONLY if you select Lookup as the Entity Type. Select the Score Attribute from the drop-down list. This attribute can be used in evaluation scoring. |

- Click **Save**.
1. Add a business entity. To do this, follow these steps:
 - In the **Business Entities** sub-menu, select an entity from the **Entity Name** drop-down.

Figure 11-5 Entities List

The screenshot shows the Oracle Inline Processing interface for configuring business entities. The 'Entity Name' dropdown is open, displaying a list of available entities. The 'Entity Type' is set to 'Activity'. The 'DB Sequence Name' and 'Set Processing Period Attribute' fields are currently empty.

- Click **Add**.
2. Provide the name, processing segment, and score attribute for the business entity.

Figure 11-6 Business Entity attributes

Name*

Processing Segment*

Set Score Attribute

3. Click **Add**. The new parameter is added to the list of Business Entities on the **Business Entities** page.
4. Add a join in IPE from the **Inline Datasets** sub-menu in the **Association and Configuration** menu. Inline Datasets are joins between two Business Entities. When you create an Inline Data- set, you must define at least one join.

To add a join, follow these steps:

- On the **Inline Datasets** page, click **Add**.

Figure 11-7 Inline Datasets page

ORACLE® Inline Processing

Association and Configuration Expressions Post Processing Actions Profiles Virtual Profiles Evaluations Assessments

Home>>Association and Configuration>>Inline Datasets

Search Go Reset

Inline Dataset Name

Start Table End Table

Inline Datasets (10)

| Inline Dataset Name | Start Table | End Table | Associations |
|--|-------------------------|--------------------------------|---|
| Message Data Attributes to Transaction T | Message Data Attributes | Transaction Tag Attributes | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to BIC Screening Response | Message Data Attributes | BIC Screening Response | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Country and City Screeni | Message Data Attributes | Country City Screening Respons | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Goods Screening Respons | Message Data Attributes | Goods Screening Response | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Name and Address Squee | Message Data Attributes | Name Addr Screening Response | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Narrative Screening Resp | Message Data Attributes | Narrative Screening Response | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Ports Screening Response | Message Data Attributes | Ports Screening Response | N MSG TAG ID = N MSG TAG ID ; V BATCH RUN ID = V BATCH RUN ID |
| Message Tag to Rule Configuration Table | Real Time Raw Data | Rule Configuration Table | V GRP MSG TYPE = V TXN TYPE CD |
| Raw Message to Message Tag Table | Real Time Raw Data | Message Tag Table | N GRP MSG ID = N GRP MSG ID |
| Raw Message to Screening Response Tabl | Real Time Raw Data | Screening Response | N GRP MSG ID = N GRP MSG ID |

- Enter a name for the inline dataset.
- In the **Start Table** field, select the start table of the join.
- In the **End Table** field, select the end table of the join.

Figure 11-8 Inline Datasets Attributes

▼ Inline Dataset Details

Inline Dataset Name* Message Tag to Rule Configuration Table

Start Table* Real Time Raw Data End Table* Rule Configuration Table

▼ Inline Dataset Condition + Add Delete

| Start | Operator | End |
|--------------------------|----------|-------------------------|
| Attribute V_GRP_MSG_TYPE | = | Attribute V_TXN_TYPE_CD |

Save Cancel

- Click **Add**.
 - Click **Save**. The new dataset is added to the list of Inline Datasets on the **Inline Datasets** page. For more information on inline datasets, see the [Managing Inline Datasets](#) section in the Oracle Financial Services Inline Processing Engine User Guide.
1. Add a traversal path for each join defined in the **Inline Datasets** sub-menu. Traversal paths are the paths between two or more entities. The traversal paths defined can be used to create expressions, evaluations, and profiles. To add a traversal path, follow these steps:
 - Click the **Traversal Paths** sub-menu in the **Association and Configuration** menu.
 - On the **Traversal Paths** page, click **Add**.

Figure 11-9 Traversal Paths Page

ORACLE Inline Processing

Association and Configuration Expressions Post Processing Actions Profiles Virtual Profiles Evaluations Assessments

Home >> Association and Configuration >> Traversal Paths

▼ Search Go Reset

Traversal Path Name

Start Table End Table

▼ Traversal Paths (10) + Add Delete

| Traversal Path Name | Start Table | End Table | Traversal Path Flow |
|---|-------------------------|--------------------------------|--|
| Message Tag to BIC Screening Response | Message Data Attributes | BIC Screening Response | Message Data Attributes : BIC Screening Response |
| Message Tag to Country and City Screeni | Message Data Attributes | Country City Screening Respons | Message Data Attributes : Country City Screening Respons |
| Message Tag to Goods Screening Respon | Message Data Attributes | Goods Screening Response | Message Data Attributes : Goods Screening Response |
| Message Tag to Name and Address Scree | Message Data Attributes | Name Addr Screening Response | Message Data Attributes : Name Addr Screening Response |
| Message Tag to Narrative Screening Resp | Message Data Attributes | Narrative Screening Response | Message Data Attributes : Narrative Screening Response |
| Message Tag to Ports Screening Response | Message Data Attributes | Ports Screening Response | Message Data Attributes : Ports Screening Response |
| Message Tag to Rule Configuration Table | Real Time Raw Data | Rule Configuration Table | Real Time Raw Data : Rule Configuration Table |
| Message Tag to Transaction Tag | Message Data Attributes | Transaction Tag Attributes | Message Data Attributes : Transaction Tag Attributes |
| Raw Message to Message Tag Table | Real Time Raw Data | Message Tag Table | Real Time Raw Data : Message Tag Table |
| Raw Message to Screening Response Tabl | Real Time Raw Data | Screening Response | Real Time Raw Data : Screening Response |

- Enter a name for the traversal path.
- In the **Start Table** field, select the same start table that you selected in step c.<XREF>
- In the **End Table** field, select the same end table that you selected in step d.<XREF>

Figure 11-10 Traversal Paths Attributes

▼ Traversal Path Details

Traversal Path Name:

Start Table:

End Table:

▼ Traversal Path Flow + Add Delete

| Source Entity | Destination Entity | Sequence ID |
|---|---|--------------------------------|
| <input type="checkbox"/> Real Time Raw Data | <input type="text" value="Rule Configuration Table"/> | <input type="text" value="1"/> |

- Click **Add**.
 - Select the values for the traversal path flow as shown in the figure.
 - Click **Save**. The new path is added to the list of traversal paths on the **Traversal Paths** page. For more information on traversal paths, see the **Managing Traversal Paths** section in the Oracle Financial Services Inline Processing Engine User Guide.
2. Add an Expression on the *risk score* column of the newly created business entity which is to be scored as a risk parameter from the **Expressions** menu. An expression is used as a filter when creating evaluations or profiles. Expressions must only be created on the activity table on which an evaluation is created. In this example, two expressions are created. The first expression is for the column which holds the value of the new risk parameter, and the second expression is for the calculations that are needed to derive the risk score

To add an expression, follow these steps:

- Click the **Expressions** menu.
- On the **Expressions** page, click **Add**.

Figure 11-11 Expressions Page

ORACLE[®] Inline Processing

Association and Configuration | **Expressions** | Post Processing Actions | Profiles | Virtual Profiles | Evaluations | Assessments

Home > Expressions

▼ Search

Expression Name: Activity: Processing Segment:

Status:

▼ Expressions (26) + Add Delete Save

| Expression Name | Description | Status | Activity | Processing Segment |
|--|---|--------|-------------------------|--------------------|
| Amendments | (Message Tag TableV_NUMBER_OF_AMENDMENT) | VALID | Real Time Raw Data | Transaction F... |
| Amount | (Message Tag TableV_AMOUNT) | VALID | Real Time Raw Data | Transaction F... |
| Amount ISO20022 | (Message Data AttributesV_CNTRL_SUM_AMT) | VALID | Message Data Attributes | Transaction F... |
| BIC Score | (BIC Screening ResponseN_Match_Score) | VALID | Message Data Attributes | Transaction F... |
| Batch Run ID | (Message Data AttributesV_BATCH_RUN_ID) | VALID | Message Data Attributes | Transaction F... |
| Beneficiary Account Number | (Message Tag TableV_BENF_ACC_NO) | VALID | Real Time Raw Data | Transaction F... |
| Beneficiary Name and Address | (Message Tag TableV_BENF_ACC_ADDR) | VALID | Real Time Raw Data | Transaction F... |
| Country and City Score | (Country City Screening ResponseN_Match_Score) | VALID | Message Data Attributes | Transaction F... |
| Currency | (Message Tag TableV_CURRENCY) | VALID | Real Time Raw Data | Transaction F... |
| Currency ISO20022 | (Transaction Tag AttributesV_CURRENCY) | VALID | Message Data Attributes | Transaction F... |
| Destination Country | (Message Tag TableV_DESTINATION_CNTRY) | VALID | Real Time Raw Data | Transaction F... |
| Direction | (Message Tag TableV_DIRECTION) | VALID | Real Time Raw Data | Transaction F... |
| Goods Score | (Goods Screening ResponseN_MATCH_SCORE) | VALID | Message Data Attributes | Transaction F... |
| Jurisdiction | (Real Time Raw DataV_BIC_CODE) | VALID | Real Time Raw Data | Transaction F... |
| Message Reference | (Message Tag TableV_MSG_REF) | VALID | Real Time Raw Data | Transaction F... |

Page 1 of 2

- For the first expression, enter a name for the expression and select the values as shown in the figure.

Figure 11-12 First Expression Attributes

Expression Name* Country of birth Activity* Real Time Raw Data

Processing Segment* Transaction Filtering

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1 | 1 | | Message Tag Table : D_REQST_EXECUTION | | |

Variable Save Cancel

Operator Business Entity* Message Tag Table Business Attribute* D_REQST_EXECUTION

Add to Current Group Create New Group

Submit Close

- Select the business entity and the business attribute where the value of the new parameter resides.
- Click the **Save icon**. The variable is displayed on the window.

Figure 11-13 First Expression Displayed

Expression Name* Country of birth Activity* Real Time Raw Data

Processing Segment* Transaction Filtering

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity, Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1 | 1 | | Message Tag Table : D_REQST_EXECUTION | | |

Variable Save Cancel

Operator Business Entity* Business Attribute*

Add to Current Group Create New Group

Submit Close

- For the second expression, enter a name for the expression and select the values as shown in the figure.

Figure 11-14 Second Expression Attributes

Expression Name* Country of birth calculations Activity* Real Time Raw Data

Processing Segment* Transaction Filtering

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity. Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1 | 1 | | Message Tag Table : D_REQST_EXECUTION | | |

Variable Save Cancel

Operator +

Business Entity* Message Tag Table

Business Attribute* D_DATE_OF_ISSUE

Add to Current Group Create New Group

Submit Close

- Click the **Save** icon. The variable is displayed.

Figure 11-15 Second Expression Displayed

Expression Name* Country of birth calculations Activity* Real Time Raw Data

Processing Segment* Transaction Filtering

Variables+ Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

| Group | Order | Operator | Business Property (Business Entity. Business Attribute) | Function | Function Parameter |
|-------|-------|----------|---|----------|--------------------|
| 1 | 1 | | Message Tag Table : D_REQST_EXECUTION | | |
| 2 | 1 | + | Message Tag Table : D_DATE_OF_ISSUE | | |

Variable Save Cancel

Operator +

Business Entity*

Business Attribute*

Add to Current Group Create New Group

Submit Close

For information on applying a function to the group or expression, see the **Managing Expressions** chapter in the Oracle Financial Services Inline Processing Engine User Guide.

- Click **Submit**. The new expression is added to the list of expressions on the **Expressions** page.
3. Add the following ready-to-use evaluations from the **Evaluations** Menu. Evaluations are logical comparisons against conditions that result in a score. For information on the conditions, see the **Managing Evaluations** section in the Oracle Financial Services Inline Processing Engine User Guide. You can define new rules according to your requirement using the expressions defined in the earlier steps.

ISO20022 Risk-Currency VS Amount Threshold Evaluation

For all filter conditions mentioned in the following table, if the filter values are met as configured then add a risk score of 20.

Note

- This evaluation applies to the ISO message category.
- This score is configurable.

Table 11-3 ISO20022 Risk-Currency VS Amount Threshold Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|-------------|---|
| 1 | Batch ID | (Message Data Attributes:V_BATCH_RUN_ID) = BATCH RUN ID |
| 2 | Amount | (Message Data Attributes:N_CNTRL_SUM_AMT) >= 10000 |
| 3 | Currency | (Transaction Tag Attributes:V_CURRENCY) = 'EUR' |

Risk- High Risk Party Evaluation**Table 11-4 Risk- High-Risk Party Evaluation Filters**

| SI.No | Filter Name | Filter Clause |
|-------|----------------------------|---|
| 1 | Beneficiary Account Number | (Message Tag Table:V_BENF_ACC_NO) = (Rule Configuration Table:V_COND1) |
| 2 | Rule Name | (Rule Configuration Table:V_RISK_RULE_CODE) = 'TF_HIGH_RSK_PARTY' |
| 3 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) = 'MT700' |
| 4 | Direction | (Message Tag Table:V_DIRECTION) in (('INBOUND', 'OUTBOUND')) |

Risk-Currency VS Amount Threshold Evaluation

For all filters conditions mentioned in the following table, if the filter values are met as configured then add a risk score of 25.

Note

This score is configurable.

Table 11-5 Risk-Currency VS Amount Threshold Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|--------------|--|
| 1 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |
| 2 | Jurisdiction | (Real Time Raw Data:V_BIC_CODE) = 'CHASUS33XXX' |
| 3 | Direction | (Message Tag Table:V_DIRECTION) in ('INBOUND', 'OUTBOUND') |
| 4 | Currency | (Message Tag Table:V_CURRENCY) = 'USD' |
| 5 | Amount | (Message Tag Table:V_AMOUNT) >= 10000 |

Risk-Currency VS Destination Country Evaluation

For all filters conditions mentioned in the following table, if the filter values are met as configured then add a risk score of 20.

This evaluation works with reference table SETUP_RULE_CONFIGURATION, which is another way of configuring evaluation or risk scoring rule. This evaluation is done using one of the lookup tables from the database. Similarly, you can add more rules using the same table where columns are generalized.

Table 11-6 Risk-Currency VS Destination Country Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|---------------------|--|
| 1 | Currency | (Message Tag Table:V_CURRENCY) = (Rule Configuration Table:V_COND1) |
| 2 | Destination Country | (Message Tag Table:V_DESTINATION_CNTRY) = (Rule Configuration Table:V_COND2) |

Table 11-7 Risk-Currency VS Destination Country Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|--------------|--|
| 1 | Direction | (Message Tag Table:V_DIRECTION) in ('INBOUND','OUTBOUND') |
| 2 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) = (Rule Configuration Table:V_TXN_TYPE_CD) |
| 3 | Rule Name | (Rule Configuration Table:V_RISK_RULE_CODE) = 'TF_CCY_C- TRY_RSK' |

Risk-High Risk Destination Country Evaluation

For all filters conditions mentioned in the following table, if the filter values are met as configured then add a risk score of 20.

Note

This score is configurable.

Table 11-8 Risk-High Risk Destination Country Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|---------------------|---|
| 1 | Amount | (Message Tag Table:V_AMOUNT) >= 10000 |
| 2 | Currency | (Message Tag Table:V_CURRENCY) = 'EUR' |
| 3 | Destination Country | (Message Tag Table:V_DESTINATION_CNTRY) in ('TH', 'PK') |
| 4 | Direction | (Message Tag Table:V_DIRECTION) = 'OUTBOUND' |
| 5 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |

Risk-High Risk Originator Country Evaluation

For all filters conditions mentioned in the following table, if the filter values are met as configured then add a risk score of 20.

Note

This score is configurable.

Table 11-9 Risk-High Risk Originator Country Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|--------------------|---|
| 1 | Amount | (Message Tag Table:V_AMOUNT) >= 10000 |
| 2 | Currency | (Message Tag Table:V_CURRENCY) = 'EUR' |
| 3 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) in ('MT101', 'MT103', 'MT202COV', 'MT202') |
| 4 | Direction | (Message Tag Table:V_DIRECTION) = 'INBOUND' |
| 5 | Originator Country | (Message Tag Table:V_ORIGINATOR_CNTRY) in ('PK', 'TH') |

Risk-Trade Amendments Evaluation

For all filters conditions mentioned in the following table, if the filter value conditions are met as configured then add a risk score of 20.

Note

This score is configurable.

Table 11-10 Risk-Trade Amendments Evaluation Filters

| SI.No | Filter Name | Filter Clause |
|-------|----------------------|--|
| 1 | Message Type | (Real Time Raw Data:V_GRP_MSG_TYPE) = 'MT707' |
| 2 | Direction | (Message Tag Table:V_DIRECTION) in (('INBOUND','OUTBOUND')) |
| 3 | Number of Amendments | (Message Tag Table:N_NUMBER_OF_AMENDMENT)>= 5 |

Risk-WatchList Screening Evaluation

This evaluation or risk rule returns the match score generated from the matching engine. In the case of multiple matches for a given message, it returns the maximum match score. The matching rules are configured with different match scores in EDQ.

Note

- This evaluation applies to the SWIFT message category.
- This score is configurable.

Watch List Score

This evaluation or risk rule watch list response score. The matching rules are configured with different match scores in EDQ.

Note

- This evaluation applies to the ISO message category.
- This score is configurable.

Table 11-11 Watch List Score Filters

| SI.No | Filter Name | Filter Clause |
|-------|------------------|---|
| 1 | Watch List Score | (Get Max Watch List Score((Name Addr Screening Response:N_MATCH_SCORE),Goods Score,Country and City Score,BIC Score,Ports Score,Narrative Score)) > 50 |
| 2 | Batch Run ID | (Message Data Attributes:V_BATCH_RUN_ID) = :BATCH_RUN_ID |

To add an evaluation, follow these steps:

- Click the **Evaluations** menu.
- On the **Evaluations** page, click **Add**.

Figure 11-16 Evaluations Page

The screenshot shows the Oracle Evaluations page. At the top, there's a navigation bar with 'Evaluations' selected. Below it, there are search and filter fields. A table displays a list of evaluations. The table has columns: Evaluation Name, Score, Activity, Processing Segment, Status, Updated By, Updated On, and History. The 'Watch List Score' evaluation is highlighted in yellow. Below the table, there are sections for 'Evaluation Details' and 'Evaluation Scoring'.

- Enter a name for the evaluation.
- Select an activity for the evaluation and the **Transaction Filtering** processing segment.

Figure 11-17 Evaluations Attributes

The screenshot shows the 'Evaluation Details' page. It features several input fields and dropdown menus. The 'Name*' field contains 'Country of birth', 'Activity*' is 'Real Time Raw Data', and 'Processing Segment*' is 'Transaction Filtering'. There are also sections for 'Join Type*' (radio buttons for Inner and Left), 'Filters (0)', 'Evaluation Scoring' (radio buttons for Fixed, Lookup, Expression), and 'Associated Assessments (0)', 'Associated Profiles (0)', and 'Associated Virtual Profiles (0)'. At the bottom, there are 'Save' and 'Cancel' buttons.

- To add a filter for the evaluation, click **Add**.
- Select the expression as mentioned in step f.

Figure 11-18 Evaluations Filters

- Click **Save**. The new evaluation is added to the list of evaluations on the **Evaluations** page.
4. Create an Assessment for the ready-to-use evaluations. The Assessments checks the logic of all the evaluations and considers the sum of all the Evaluations for the output score.

Note

You can adjust the risk score for any given evaluation depending on the requirement, but it must be within 40, because match rule score configuration starts with 45, and match score must always have high weightage than the individual evaluation risk score.

The risk score is calculated at the assessment level is as follows:

- The total risk score of a message is the sum of all risk scores derived from configured evaluations or risk rules including match score.
- In the case of multiple transactions, the risk score is the sum of all risk scores derived from different evaluations across transactions.
- If the same evaluation is true for multiple transactions within a message, then the score is considered once and the maximum one is considered.
- If different evaluations are true for different transactions, then it sums up all the risk scores across transactions within a message.

To add an Assessment, follow these steps:

- Click the **Assessments** menu.

Figure 11-19 Assessments Page

| Assessment Name | Activity | Processing Segment | Status | Updated By | Updated On | History |
|---|-------------------------|-----------------------|--------|------------|---------------------|---------|
| Transaction Filtering Assessment | Real Time Raw Data | Transaction Filtering | VALID | -- | 01/04/2018 06:58:19 | |
| Transaction Filtering_ISO20022_Assessment | Message Data Attributes | Transaction Filtering | VALID | TFADMN | 02/12/2020 10:47:07 | |

- On the **Assessments** page, click **Add**. The following image shows the evaluations for the **Transaction Filtering** Assessment:

Figure 11-20 Assessments Attributes

Assessment Details History

Name: Transaction Filtering Assessment Activity: Real Time Raw Data Processing Segment: Transaction Filtering

Status: VALID Execution mode: Live Test Persist Type: All Records Failed Records

Updated By: ADMIN Updated On: 01/04/2018 05:28:19 PM

Associated Evaluations (5) Map

| Evaluation Name | Score | Status | Updated By |
|--|--|--------|------------|
| <input type="checkbox"/> Risk-Currency VS Amount Threshold Evaluation | 25 | VALID | admin |
| <input type="checkbox"/> Risk-Currency VS Destination Country Evaluation | Rule Configuration TableN_RISK_PARAM_SCORE | VALID | admin |
| <input type="checkbox"/> Risk-High Risk Destination Country Evaluation | 20 | VALID | admin |
| <input type="checkbox"/> Risk-High Risk Originator Country Evaluation | 20 | VALID | admin |
| <input type="checkbox"/> Risk-Watchlist Screening Evaluation | Screening ResponseN_SCORE | VALID | admin |

Evaluation Filters (0)

Assessment Score

Scoring: Max of Evaluation Score Normalized Score Sum of Evaluation Score

Normalized To: 0 Normalization Base: 0 Cut-Off Score: 60

Assessment Outcome (4) Save

| Action | Score Lower Limit | Score Upper Limit |
|---|-------------------|-------------------|
| <input type="checkbox"/> Generate alert for Sanctions | 60 | -- |
| <input type="checkbox"/> Transaction Filtering Feedback JMS Message | -- | -- |
| <input type="checkbox"/> CLEAN RESPONSE Transaction JMS Message | 0 | 59 |
| <input type="checkbox"/> HOLD RESPONSE Transaction JMS Message | 60 | -- |

Assessment Action Parameters (0)

Schedule

Assessment Database Parameters

Change Description

Save Cancel

The following image shows the evaluations for the **Transaction Filtering ISO20022 Assessment**:

Figure 11-21 Sample Assessment

Assessment Details History

Name: Transaction Filtering ISO20022 Assessment Activity: Message Data Attributes Processing Segment: Transaction Filtering

Status: VALID Execution mode: Live Test Persist Type: All Records Failed Records

Updated By: TRADMIN Updated On: 02/12/2020 10:47:07 AM

Associated Evaluations (2) Map

| Evaluation Name | Score | Status | Updated By |
|--|--------------------------|--------|------------|
| <input type="checkbox"/> ISO20022 Risk-Currency VS Amount Threshold Evaluation | 20 | VALID | TRADMIN |
| <input type="checkbox"/> Watch List Score | Watchlist response Score | VALID | TRADMIN |

Evaluation Filters (0)

Assessment Score

Scoring: Max of Evaluation Score Normalized Score Sum of Evaluation Score

Normalized To: 0 Normalization Base: 0 Cut-Off Score: 60

Assessment Outcome (4) Save

| Action | Score Lower Limit | Score Upper Limit |
|---|-------------------|-------------------|
| <input type="checkbox"/> Generate alert for Sanctions | -- | -- |
| <input type="checkbox"/> Transaction Filtering Feedback JMS Message | -- | -- |
| <input type="checkbox"/> CLEAN RESPONSE Transaction JMS Message | -- | -- |
| <input type="checkbox"/> HOLD RESPONSE Transaction JMS Message | -- | -- |

Assessment Action Parameters (0)

Schedule

Assessment Database Parameters

Change Description

Save Cancel

- Provide the assessment name, activity, processing segment, assessment scoring method, and change description for the assessment.
- Click **Save**. The new assessment is added to the list of assessments on the **Assessments** page. For more information on assessments, see the **Managing Assessments** section in the Oracle Financial Services Inline Processing Engine User Guide.

12

Simulation

The OFS Transaction Filtering Simulation feature allows the user to test new configurations in a sandbox environment and compare the results with the existing set-up by integrating with the OFS Compliance Studio Application. This allows the user to replicate and test the screening process without impacting the production environment. The Sandbox workspace created will allow the user to define a suitable dataset based on the production and the available test data. You can extract the data, filter it, and plug it into a visualization tool.

To view the changes in the simulation data for a deeper analysis, you can use the data extraction feature. You can run multiple simulations and compare the results using data extraction.

For information about installation and configuration of Compliance Studio Application, see [Oracle Financial Services Compliance Studio Installation Guide](#).

For the subsequent information's, see [Oracle Financial Services Compliance Studio User Guide](#).

- Accessing the OFS Compliance Studio Application
- Using the Application UI
- Mapping User Groups
- Access the Workspace Dashboard Window
- Using the OFS Compliance Studio Application
- Using Workspaces
- Managing Workspace
- Managing Model Pipelines

12.1 TF Process Flow

The process flow for building Transaction Filtering models in Compliance Studio involves the configuring, creation Sandboxes and the creation of Models mapped to the Sandboxes. You can use these TF models to perform model visualizations and test for the outcomes. You can then publish a model into production and make it available to users after you have determined that the models and the parameters used to construct the models meet the requirements of your business logic.

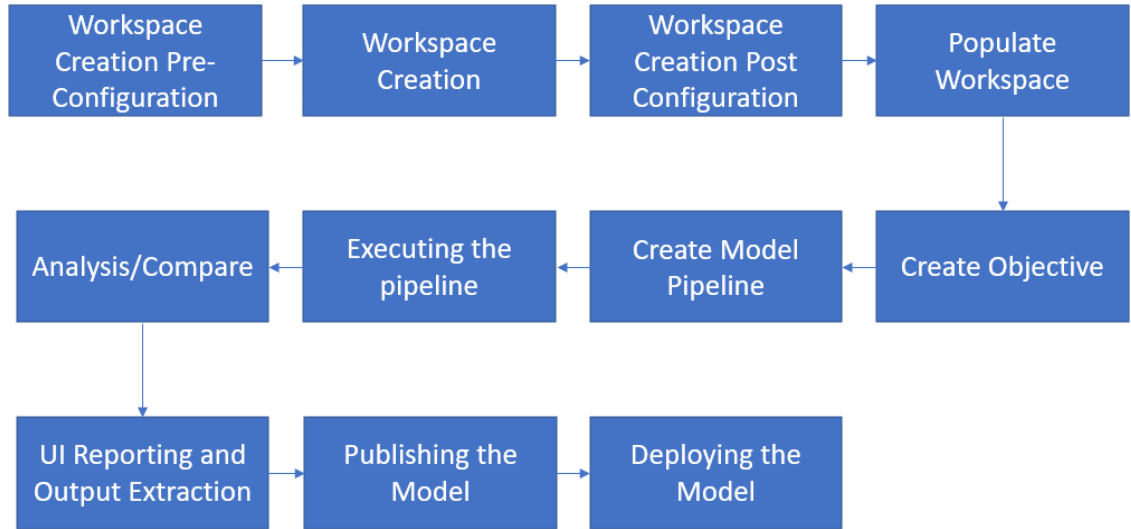
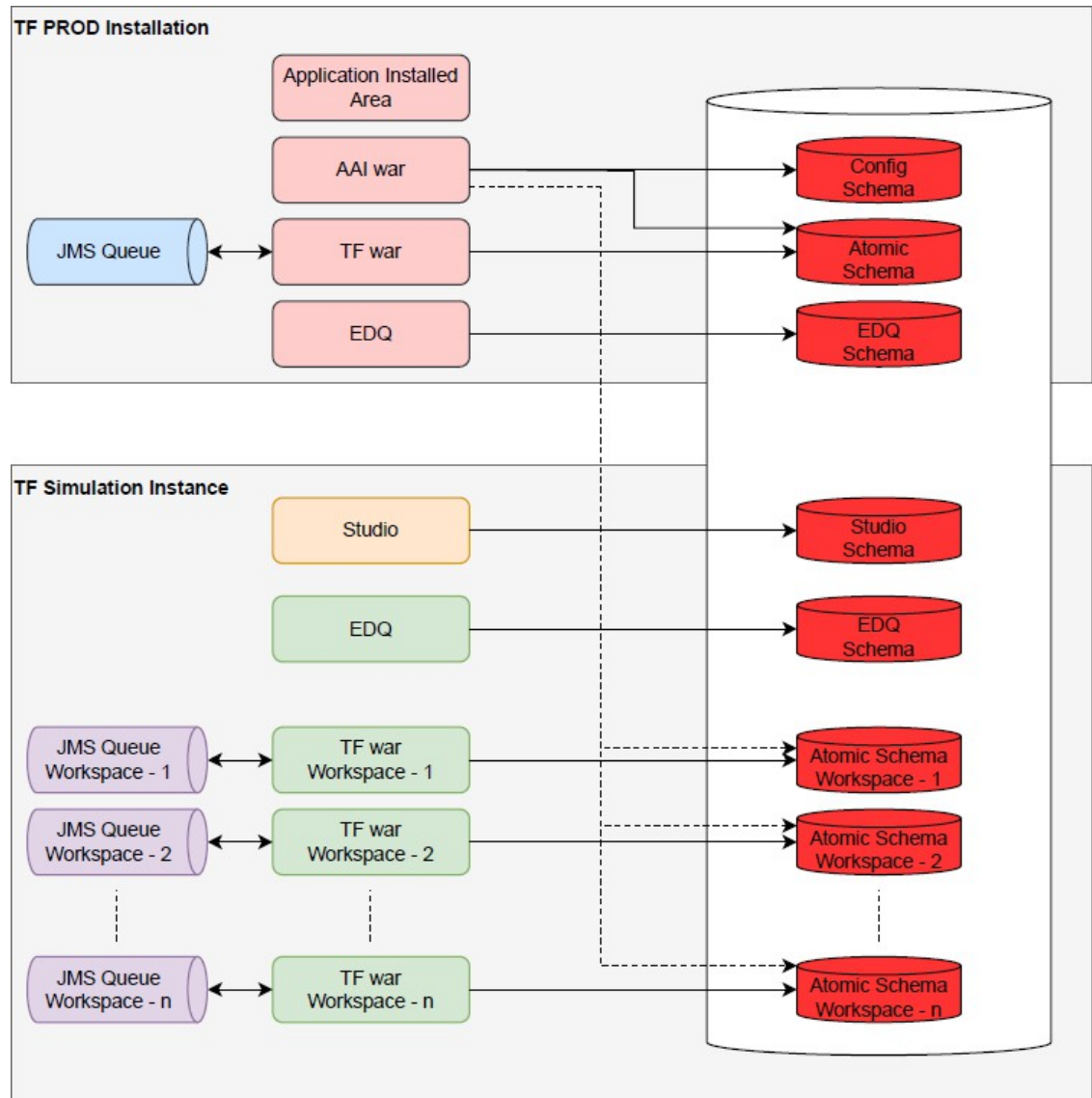
Figure 12-1 Simulation Process Flow

Figure 12-2 TF Data Flow



12.2 Integrating With Compliance Studio

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, and notebook-based code development and enables Contextual Investigations in one platform with complete and robust model management and governance functionality. For More Information on Compliance Studio, see [Oracle Financial Services Compliance Studio User Guide](#).

Topics:

- [Workspace Creation Pre-Requirement](#)
- [Workspace Creation Pre-Configuration](#)

- [Workspace Creation](#)
- [Workspace Creation Post-Configuration](#)

12.2.1 Workspace Creation Pre-Requisite

Following are the pre-requisites for workspace creation:

1. Create User tablespace in simulation database by executing below script as sysdba user:

```
CREATE TABLESPACE AIF_USER_TS DATAFILE '<DATAFILE PATH>/
aif_user_data_tablespace.dbf' SIZE 1G REUSE AUTOEXTEND ON NEXT 500M MAXSIZE
UNLIMITED;
```

DATAFILE PATH example: /scratch/oraofss/app/oradata
2. Perform the Zippelin Interpreter Configuration in Compliance Studio UI. See [Appendix L: Setting the ZEPPELIN_INTERPETER_OUTPUT_LIMIT in Python Interpreter](#).
3. Create Instance Token for Production and Simulation in Sanctions Application. See [Appendix J: Configurations for the Bearer Token](#).

12.2.2 Workspace Creation Pre-Configuration

Execute the following steps in the same order to integrate the TF data with OFS Compliance Studio application:

1. [Create Database Schema for the new workspace](#)
2. [Add the schema to wallet in the Compliance Studio Setup](#)
3. [Add the infodm in Weblogic Console](#)
4. [Display the OFSAA Environment Menu in Compliance Studio UI](#)
5. [Registering the OFSAA Environment Details](#)
6. [Procedure to Create PPK File](#)
7. [Different ways of PPK File Registration](#)
8. [Configuring the Data Source](#)

12.2.2.1 Create Database Schema for the new workspace

Follow the subsequent steps to configuring new Database schema:

1. Create a new database schema in the sys user. To create the new schema, run the below script as sysdba user:

```
CREATE USER <NEW SCHEMA> IDENTIFIED BY <NEW SCHEMA PASSWORD> DEFAULT
TABLESPACE
AIF_USER_TS TEMPORARY TABLESPACE TEMP QUOTA UNLIMITED ON AIF_USER_TS;
grant create SESSION to <NEW SCHEMA>; grant create PROCEDURE to <NEW
SCHEMA>; grant create SEQUENCE to <NEW SCHEMA>; grant create TABLE to <NEW
SCHEMA>; grant create TRIGGER to <NEW SCHEMA>; grant create VIEW to <NEW
SCHEMA>;
grant create MATERIALIZED VIEW to <NEW SCHEMA>; grant select on
SYS.V_$PARAMETER to <NEW SCHEMA>; grant create SYNONYM to <NEW SCHEMA>;
grant select on sys.v_$parameter to <NEW SCHEMA>;
grant select on sys.dba_free_space to <NEW SCHEMA>; grant select on
```

```

sys.dba_tables to <NEW SCHEMA>; grant select on sys.Dba_tab_columns to
<NEW SCHEMA>; grant create RULE to <NEW SCHEMA>;
grant create any trigger to <NEW SCHEMA>; grant drop any trigger to <NEW
SCHEMA>;
grant select on SYS.DBA_RECYCLEBIN to <NEW SCHEMA>;
grant execute on <SIM CONFIG SCHEMA>.checkenvfordataredaction to
<NEW SCHEMA>;
--Sandbox specially
grant connect, resource, dba to <NEW SCHEMA>;

```

2. Run the Below script once the user is created:

```

CREATE OR REPLACE SYNONYM <NEW SCHEMA>.checkenvfordataredaction FOR <SIM
CONFIG SCHEMA>.checkenvfordataredaction;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_role_mast FOR <SIM CONFIG
SCHEMA>.cssms_role_mast;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_group_role_map FOR <SIM
CONFIG SCHEMA>.cssms_group_role_map;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_usr_group_map_view FOR <SIM
CONFIG SCHEMA>.cssms_usr_group_map_view;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_group_role_map FOR <SIM
CONFIG SCHEMA>.cssms_group_role_map;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_usr_profile FOR <SIM CONFIG
SCHEMA>.cssms_usr_profile;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.cssms_usr_group_map FOR <SIM CONFIG
SCHEMA>.cssms_usr_group_map;
CREATE OR REPLACE SYNONYM <NEW SCHEMA>.Cssms_Role_Function_Map FOR <SIM
CONFIG SCHEMA>.Cssms_Role_Function_Map;

```

12.2.2.2 Add the schema to wallet in the Compliance Studio Setup

Follow the subsequent steps to add the schema to the wallet:

1. Add the database schema credentials in the wallet using the following command:
`mkstore -wrl <WALLET LOCATION> -createCredential <NEW SCHEMA>_alias <NEW SCHEMA>`
2. After you run the command, a prompt is displayed. Enter the password <NEW SCHEMA PASSWORD> associated with the database user account in the prompt. You are the prompted to re-enter the password and the wallet password that you entered during wallet creation.
3. Update the `tnsnames.ora` file to include the following entry.
`<NEW SCHEMA>_alias = (DESCRIPTION = (ADDRESS_LIST = (ADDRESS = (PROTOCOL= TCP) (HOST = <<IP ADDRESS>>)(PORT = <<PORT NUMBER>>))) (CONNECT_DATA = (SERVICE_NAME = <<SERVICE NAME>>))))`
4. Repeat the above steps for Production Database Schema if not added.

For more information, see [Oracle Wallet documentation](#) to create/manage wallets. Refer to the [Compliance Studio Installation Guide](#) to locate the wallet location.

12.2.2.3 Add the infodom in Weblogic Console

To add the infodom in WebLogic console follow the subsequent steps:

1. Login into WebLogic console.
2. Go to **Services**.
3. Click **Data Sources**.
4. Click on **New** button and add Data Source name as <<Simulation Infodom>> and JNDI Name as jdbc/<<Simulation Infodom>> for the newdatabase schema details.

Note

- <<Simulation Infodom>> must have 11 characters.
- <<Simulation Infodom>> name used while creating the work space.

12.2.2.4 Configure the infodom in tnsnames.ora in Simulation Sanctions Setup

To enter the new schema details in the tnsnames.ora file, see the below sample template:

```
<<NEW SCHEMA>> = (DESCRIPTION =
(ADDRESS_LIST =
(ADDRESS = (PROTOCOL = TCP)(HOST = <<IP ADDRESS>>)(PORT = <<PORT NUMBER>>))
)
(CONNECT_DATA =
(SERVICE_NAME = <<SERVICE NAME>>)
)
)
<<Simulation Infodom>> = (DESCRIPTION =
(ADDRESS_LIST =
(ADDRESS = (PROTOCOL = TCP)(HOST = <<IP ADDRESS>>)(PORT = <<PORT NUMBER>>))
)
(CONNECT_DATA =
(SERVICE_NAME = <<SERVICE NAME>>)
)
)
```

To enter the new infodom details in the weblogic server, see [Configure Multi Data Sources](#) section in [OFS Sanctions Pack Installation and Configuration Guide](#).

12.2.2.5 Display the OFSAA Environment Menu in Compliance Studio UI

To display **OFSAA Environment** in the UI follow the subsequent steps:

1. Click the **User** icon right top corner.
2. Click **Identity Management**. The Identity Management window is displayed.
For more information on Identity Management, see [OFS Admin Console User Guide](#).
3. Click **Groups**. The Groups window is displayed.
4. Select **Workspace Administrator** from the list to display the Group Details page.
5. Select **Mapped Roles** tab. The Mapped Roles window is displayed.
6. Click **New Mapping**. The Unmapped Roles window is displayed.
7. Click **Authorization View**.

8. Search for OFSAA Environment Menu Access, and select **OFSAA Environment Menu Access**.
9. Click Authorize to display **OFSAA Environment** in the UI.

12.2.2.6 Registering the OFSAA Environment Details

To Register the OFSAA Environment details, follow the subsequent steps:

1. Click the **User** Icon and select the **OFSAA Environment** from the list.
2. Click **Register Environment**. The OFSAA Environment page is displayed.
3. Click **Register Environment** to register the new TF Environment.

Note

You must Register Environment for Production and Simulation.

4. Provide the input for the following fields:
 - Name: Name of the environment Must be minimum 5 characters and maximum 20 characters
 - Description: Description for the environment
 - Type: Select either simulation or production
 - Properties: Select the key and enter the corresponding value. For information on Key and corresponding values, see the following table.
 - Authentication Type: To register FIC Server and EDQ Server details follow these steps: There are three Authentication types:
 - a. Password Authentication

Figure 12-3 Password Authentication

The screenshot shows a form titled "Authentication Type". It is divided into two columns: "FIC Server Details" and "EDQ Server Details".

- FIC Server Details:**
 - Type: Password Authentication (dropdown menu)
 - PROD_ficserver_password (text input field with a required icon and the word "Required" below it)
- EDQ Server Details:**
 - Type: Password Authentication (dropdown menu)
 - PROD_edq_server_password (text input field with a required icon and the word "Required" below it)

At the bottom right of the form, there are two buttons: "Cancel" and "Create".

- a. Putty Private Key Authentication

Figure 12-4 Putty Private Key Authentication

c. Putty Private Key with Passphrase Authentication

Figure 12-5 Putty Private Key with Passphrase Authentication

Note
We have to register with any one of the three authentication types in OFSAA Registration.

5. Click **Create**.

The following table provides information about Key and Values for OFSAA Environment Registration.

Table 12-1 OFSAA Production Environment Key and Values

| Key | Description |
|-------------------------|--|
| PROD_baseUrl | Sanctions application base URL. (Example: http://host name>:<port>/<context- name>) |
| PROD_app_id | Application ID (Example: OFS_TFLT) |
| PROD_infodom | infodom ID (Example: SANC812INFO) |
| PROD_ficserver_hostname | Server IP address where ftpshare is located |
| PROD_ficserver_username | ficserver user name |
| PROD_ficserver_password | ficserver password |
| PROD_ftpshare_path | ftpshare path (Example: /scratch/sanc812/sanc/ftpshare) |

Table 12-1 (Cont.) OFSAA Production Environment Key and Values

| Key | Description |
|----------------------------------|---|
| PROD_edq_server_hostname | EDQ server host name |
| PROD_edq_server_username | EDQ server user name |
| PROD_edq_server_password | EDQ server password |
| PROD_edq_runprofiles_path | EDQ run profiles path (Example: /scratch/ofsaaapp/EDQ/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/runprofiles/) |
| PROD_edq_autorun_directory | EDQ Autorun directory (Example: /scratch/ofsaaapp/EDQ/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/autorun/) |
| PROD_edq_exportproject_directory | EDQ export project directory (Example: /scratch/ofsaaapp/test/TFSIM/Export/) |
| PROD_edq_jshell_jar_directory | EDQ jshell and jar directory (Example: /scratch/ofsaaapp/EDQ/Middleware/Oracle_Home/edq/oracle.edq/) |
| PROD_edq_management_port | EDQ management port ID |
| PROD_edq_director_username | EDQ director user name |
| PROD_edq_director_password | EDQ director password |
| PROD_edq_landingarea_path | EDQ landing area path (Example: /scratch/ofsaaapp/EDQ/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/landingarea/) |
| PROD_edq_project_name | EDQ project name (Example: Transaction_Filter- ing) |
| PROD_instanceName | Instance name (Example: SIMULATION) |
| PROD_instanceAccessToken | Instance access token ID |
| PROD_edq_baseUrl | EDQ base URL (Example: http://host name>:<port>) |
| PROD_auth_file_path | FIC Server Private Key File Path (Refer section 12.2.2.8) |
| PROD_local_auth_file_path | Production Web Server Private Key File Path (Refer section 12.2.2.8) |
| PROD_edq_auth_file_path | EDQ Server Private Key File Path (Refer section 12.2.2.8) |
| PROD_auth_passphrase | Password for FIC Server Private Key File |
| PROD_edq_auth_passphrase | Password for EDQ Server Private Key File |
| SIM_base Url | Sanction application Base URL (Example: http:// host name>:<port>/<context-name>) |
| SIM_ficserver_hostname | Server ip address where ftpshare is located |
| SIM_ficserver_username | ficserver user name |
| SIM_ficserver_password | ficserver password |
| SIM_ftpshare_path | ftpshare path (Example: /scratch/tf812dev/ san_812/ftpshare) |
| SIM_edq_server_hostname | EDQ server host name |
| SIM_edq_server_username | EDQ server user name |
| SIM_edq_server_password | EDQ server password |

Table 12-1 (Cont.) OFSAA Production Environment Key and Values

| Key | Description |
|---------------------------------|--|
| SIM_edq_autorun_directory | EDQ autorun directory (Example: /scratch/ofsaapp/EDQ/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/autorun/) |
| SIM_edq_importproject_directory | EDQ import project directory (Example: /scratch/ofsaapp/test/TFSIM/Import/) |
| SIM_edq_jshell_jar_directory | EDQ jshell and jar directory (Example: /scratch/ofsaapp/EDQ/Middleware/Oracle_Home/edq/oracle.edq/) |
| SIM_edq_management_port | EDQ management port |
| SIM_edq_director_username | EDQ director username |
| SIM_edq_director_password | EDQ director_password |
| SIM_edq_landingarea_path | EDQ landingarea_path (Example: /scratch/ofsaapp/Oracle/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/landingarea/) |
| SIM_instanceAccessToken | Instance access token ID |
| SIM_instanceName | Instance Name |
| SIM_sys_admin_user | System admin user ID |
| SIM_sys_auth_user | System authentication user ID |
| SIM_edq_baseUrl | EDQ base URL (Example: http://host name>:<port>) |
| SIM_edq_runprofiles_path | EDQ run profiles path (Example: /scratch/ofsaapp/EDQ/Middleware/Oracle_Home/user_projects/domains/base_domain/config/fmwconfig/edq/oedq.local.home/runprofiles/) |
| SIM_t3_url | T3 URL (Example: t3://host name>:<port>) |
| SIM_app_server | Type of web server (WEBLOGIC/WEBSPPHERE) |
| SIM_web_server_username | Web server user name |
| SIM_web_server_password | Web server password |
| SIM_auth_file_path | FIC Server Private Key File Path (Refer section 12.2.2.8) |
| SIM_edq_auth_file_path | EDQ Server Private Key File Path (Refer section 12.2.2.8) |
| SIM_auth_passphrase | Password for FIC Server Private Key File |
| SIM_edq_auth_passphrase | Password for EDQ Server Private Key File |

12.2.2.7 Procedure to Create PPK File

Open the putty session and run the below command:

```
ssh-keygen -t rsa -C "username@hostname"
```

Replace username & hostname with respective server details.

For reference, see below screenshot:

12.2.2.9 Configuring the Data Source

The Data Source allows you to manage the Data Schemas registered with the OFS Compliance Studio application. The Data Source Summary window shows the list of Data Schemas registered with OFS Compliance Studio. These Data Schemas can be used either for workspace or for sourcing data.

To view the Data Source details, click **Action** icon next to corresponding Workspace and select **View**.

After Pre-configuration procedures you must add new data source in the compliance studio application.

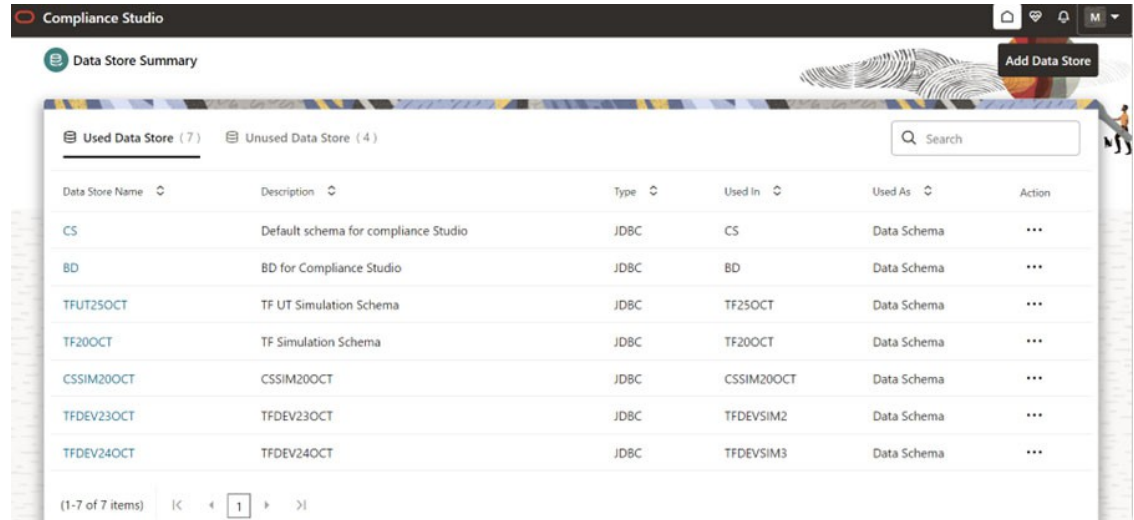
Note

Add the production schema data source from where the data will be moved to the Simulation schema.

Follow the subsequent steps to add the new data source:

1. Click on the **User** Icon.
2. Click **Data Source**. The **Data Source** page is displayed.
3. Click **Add Data Source** and enter the value for the following fields:
 - Data Source Name: Enter the workspace schema name.
 - Description: Enter the description of database connection.
 - Type: Enter the type of the database connection.
 - Database Type: Select the Database Type as Oracle.
 - Wallet Alias: Enter the Wallet Alias. This value should be same as configured using Oracle Wallet (<NEW SCHEMA>_alias)
 - Table Owner: Enter the table owner name (<<NEW SCHEMA>>).
4. Click **Test Connection** to check the status of the connection.
5. Click **Create** to create the Data Source or Click **Cancel** to skip the changes.

Figure 12-7 Data Source Summary Page



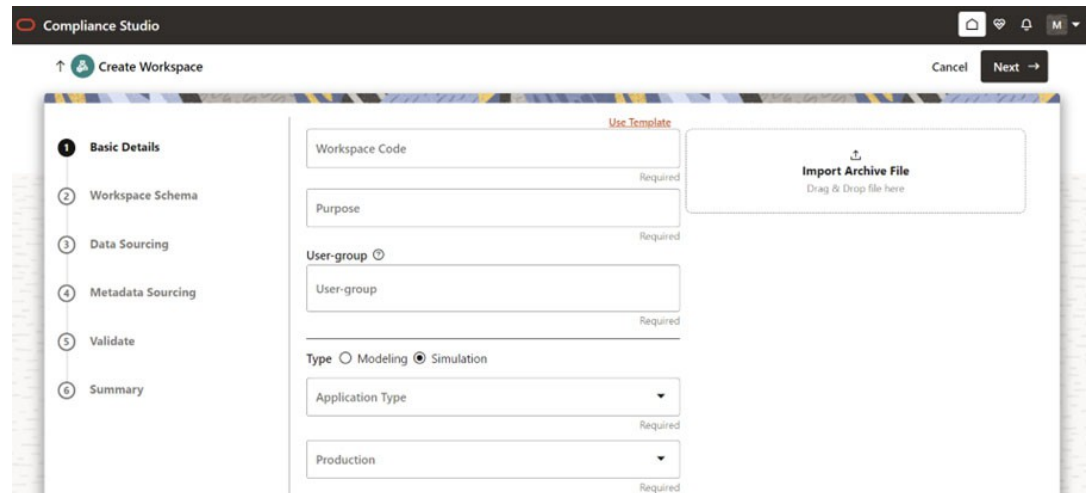
| Data Store Name | Description | Type | Used In | Used As | Action |
|-----------------|--------------------------------------|------|------------|-------------|--------|
| CS | Default schema for compliance Studio | JDBC | CS | Data Schema | ... |
| BD | BD for Compliance Studio | JDBC | BD | Data Schema | ... |
| TFUT25OCT | TF UT Simulation Schema | JDBC | TF25OCT | Data Schema | ... |
| TF20OCT | TF Simulation Schema | JDBC | TF20OCT | Data Schema | ... |
| CSSIM20OCT | CSSIM20OCT | JDBC | CSSIM20OCT | Data Schema | ... |
| TFDEV23OCT | TFDEV23OCT | JDBC | TFDEVSIM2 | Data Schema | ... |
| TFDEV24OCT | TFDEV24OCT | JDBC | TFDEVSIM3 | Data Schema | ... |

12.2.3 Workspace Creation

The Workspace creation requires entry of the source of dataset, validation, and deployment. To create a Workspace, follow the subsequent steps:

1. Navigate to **Workspace Summary** page. The page displays workspace records in a table.
2. Click **Add Workspace**. The **Create Workspace** page is displayed.

Figure 12-8 Create Workspace



Note

The window displays a progress indicator at the left that indicates the active window where you are entering details. Click **Previous** to go back a step and click **Next** to go to the next step.

Use the pre-configured template to load the data base and metadata objects to the workspace. To use the pre-configured template, follow the subsequent steps:

1. Click **Use template**. Use template pop up window is displayed.
2. Select TFWWorkspaceTemplate.zip from the library drop-down. The Update schema mapping is displayed.
3. Select the following target schema field details:
 - New Data Schema: Enter/select the newly created schema ID.
 - New Data Source Name: Enter/select the production data source name.
4. Click **Update** to load the pre-configured template. Click **Cancel** to close the window.

The following steps show the various phases from workspace creation to deployment:

1. [Configuring Basic Details](#)
2. [Configuring Workspace Schema](#)
3. [Configuring Data Sourcing](#)
4. [Configuring Metadata Sourcing](#)
5. [Validating Workspace](#)
6. [Displaying Summary](#)

12.2.3.1 Configuring Basic Details

To configure the basic details follow the subsequent steps:

1. Enter the value for the fields displayed in the following table.
2. Click **Next** to open the next page.

Note

The field drop down values are populated based on the registration in the OFSAA Environment and the template.

Table 12-2 Basic Details Fields Details

| Fields | Description |
|----------------|--|
| Workspace Code | Enter the code of the workspace. This field is limited to 20 characters. |
| Purpose | Enter the purpose of the creation of the Workspace. |
| User group | Click on this field to display a list of User-group values. Select the required value. <ul style="list-style-type: none"> • Modeling Approver • Modeling Reviewer • Modeling User |
| Type | Select the type of Workspace as Modeling or Simulation. |
| SubType | If you have selected Modeling, select the subtype of Workspace as Sandbox Workspace or Production Workspace. |

Table 12-2 (Cont.) Basic Details Fields Details

| Fields | Description |
|---------------------------------------|---|
| Application Type | Select Transaction Filtering |
| Production | The TF Production drop down value will be populated as a result of registering the OFSAA Environment Details. |
| Simulation | The TF Simulation drop down value will be populated as a result of registering the OFSAA Environment Details. |
| Simulation Infodom | Enter Infodom name (<<Simulation Infodom>>). |
| Simulation User Group Code | Enter the User Group Code. This field is limited to 20 characters. |
| Simulation User ID | Enter the User ID. This field is limited to 20 characters. |
| Simulation User Password | Enter the User Password. |
| Simulation DB Server | Enter the DB IP address. |
| Simulation DB Schema name | Enter simulation Schema name (<NEW SCHEMA>). |
| Simulation DB Password | Enter the password (<NEW SCHEMA PASSWORD>). |
| Simulation Jdbc Connection String | Enter the connection Sting (Example: jdbc:oracle:thin:@100.76.133.237:1521/fccmdb). |
| Simulation Message Posting Queue Name | Enter the simulation message posting queue name (Example: sourceEntityQueue) |
| Simulation TF Domain | Enter the TF domain name (Example: SF) |

Figure 12-9 Basic Details Window

12.2.3.2 Configuring Workspace Schema

Select the schema operation and enter connection details. No configuration required if you are using the template.

12.2.3.3 Configuring Data Sourcing

The schema type selected in the previous step requires the definition of database objects to be used for model creation. The data sourcing step of Workspace provisioning allows the select tables from Hive-based data sources from which data has to be pulled into the Oracle-based Workspace data schema.

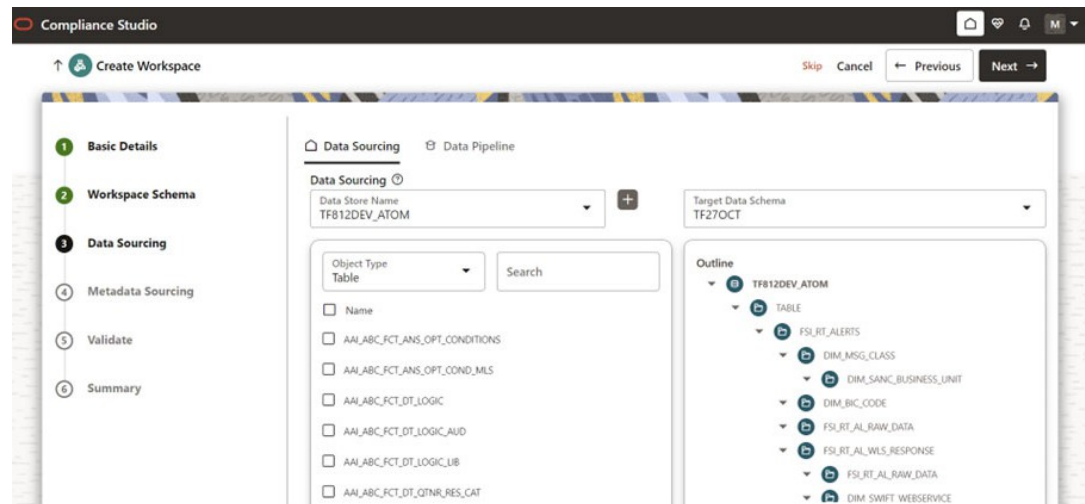
In case any of the selected tables are not present in the target schema, those tables are included in the failed objects count in the workspace provisioning summary.

As a part of using the template, all the TF specific data sourcing objects are available by default.

If you are not using the template, follow the subsequent steps and enter the value manually to configure the Data Sourcing:

1. Select a **Data Source** from the Data Source Name drop-down list.
2. Select the **Target Data Schema**.
3. Select the object type and corresponding object names from the drop down list.
4. Click **Previous** to go back a step and click **Next** to go to the next step.

Figure 12-10 Data Sourcing



12.2.3.4 Configuring Metadata Sourcing

The Metadata Sourcing is a stage during Workspace provisioning to allow seeding of metadata like scheduler batches at the time of workspace provisioning.

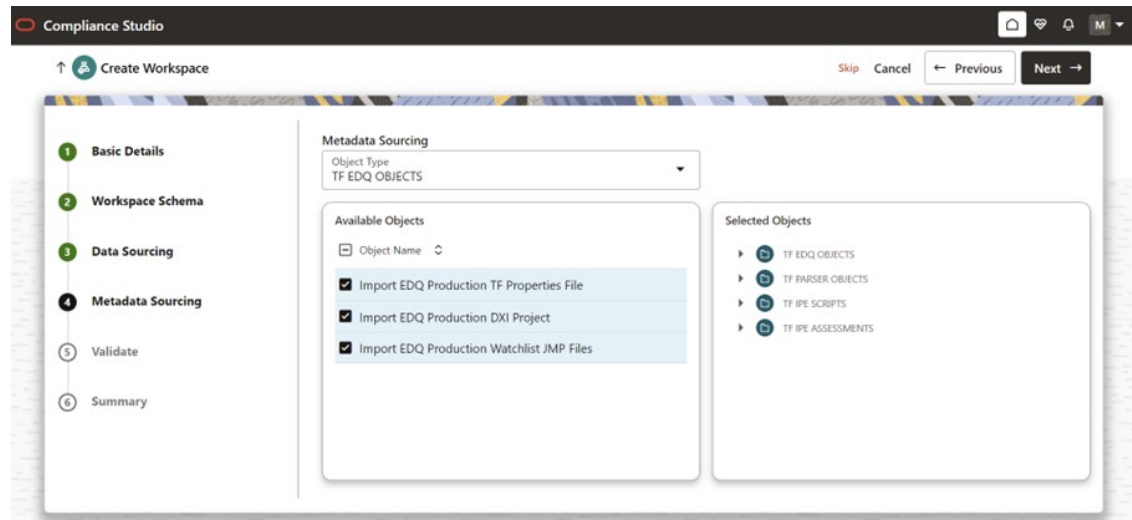
To configure Metadata Sourcing, select the TF specific schema from the **Object Type** drop-down list and corresponding available objects.

As a part of using the template, all the TF specific metadata sourcing objects are available by default. If you are not using the template, follow the Metadata Sourcing Object Type and Names table and select the metadata objects manually.

Click **Previous** to go back a step and click **Next** to go to the next step.

Table 12-3 Metadata Sourcing Object Type and Names

| Object Type | Object Name |
|--------------------|---|
| TF IPE ASSESSMENTS | Transaction Filtering Assessment |
| | ACH Transaction Filtering |
| | Auto Release Transaction Filtering |
| TF EDQ OBJECTS | IMPORT EDQ PRODUCTION DXI PROJECT |
| | IMPORT EDQ PRODUCTION WATCHLIST JMP FILES |
| | IMPORT EDQ PRODUCTION TF PROPERTIES FILE |
| TF IPE SCRIPTS | TF IPE Post Processing Actions |
| TF PARSER OBJECTS | Import SWIFT Parser |

Figure 12-11 Metadata Sourcing

12.2.3.5 Validating Workspace

The **Validate** pane displays a preview of the configuration values entered in the previous panes. Click

Previous to go back a step and click **Next** to go to the next step.

12.2.3.6 Displaying Summary

The **Summary** pane displays the status of the workspace creation. Click **Download** to download the deployment report.

12.2.4 Workspace Creation Post-Configuration

Do the subsequent configuration in the TF application after the Workspace creation.

1. [Configuration in Sanctions Application](#)
2. [Update Files in TFLT WAR Associated with the Workspace](#)

3. [Importing Workspace Metadata for ML4AML for the created Workspace](#)
4. [Populate the Work Space](#)
5. [WebLogic console configuration](#)

12.2.4.1 Configuration in Sanctions Application

Follow the subsequent steps to configure the Sanctions application:

1. Login to the Simulation Environment Sanctions Application as SYSADMIN user.
2. Click Identity Management.
3. Click **User Group Role Map** from User Administrator.
4. Select the same **User Group Code** value created/entered during the workspace creation and click **Map**.
5. Grant the IPE Write role access to the workspace and click **Ok**.
6. Logout from the application.
7. Login to the Simulation Environment Sanctions Application as SYSAUTH user.
8. Click **Identity Management**. The Identity Management page is displayed.
9. Click **User Group Authorization**.
10. Select IPE Write from mapped roles and click **Authorize**.
11. Click **Ok** and logout from the application.
12. Login to the Simulation Environment Sanctions Application using the following credentials
 - User ID: Simulation User ID (Credential created while creating sandbox workspace)
 - Password: Simulation User Password (Credential created while creating sandbox workspace)
13. From the home page click **TF** tile.
14. Click **Common Frameworks** from the LHS.
15. Select **Inline Processing**. The Oracle Inline Processing window is displayed.
16. Click Post Processing Action tab.
17. Select **CLEAN RESPONSE Transaction JMS Message** from Post Processing Actions list.
18. Click **JNDI Provider URL** from Action Parameters list. The Action Parameters window is displayed.
19. Update the Action Parameter Value with Simulation Environment's t3 URL value.
20. Click **JNDI Connection User Name** and **JNDI Connection Password** and provide the Simulation Environment's web server username and password.
21. Close the window.

12.2.4.2 Update Files in TFLT WAR Associated with the Workspace

To update files in TFLT WAR, which is associated with the workspace follow the subsequent steps:

1. In the Simulation Environment, go to the following path:
`TFLT.ear/TFLT.war/conf`

2. Open the `static.properties` file and make sure that the `jms Queue name` (`jms.source.entity.dest.jndi.name`) is same as the value (Simulation Message Posting Queue Name) given while creating sandbox workspace.

Figure 12-12 `static.properties` file

```

28 # Async Process Manager Threads
29 process.manager.executor.timeout.threshold=-1
30 process.manager.executor.maxthread.count=10
31
32 # Persist assessment output properties
33 engine.store.failed.assessment.output.only=false
34
35 # JMS properties
36 jms.connection.factory.jndi.name=jms/connectionFactory
37 jms.source.entity.dest.jndi.name=jms/sourceEntityQueue
38 jms.assessment.response.dest.jndi.name=jms/assessmentResponseDestination
39 jms.cache.operation.dest.jndi.name=jms/cacheOperationMessageDestination
40 jms.source.entity.wiretrxn.dest.jndi.name=jms/wireTrxnQueue
41 jms.feedback.dest.jndi.name=jms/feedbackQueue
42
43 jms.source.entity.listener.bean.count=5

```

3. Open the `install.properties` file and update the `sql.atomic.datasource.jndi.name` and `system.infodom` with Sandbox workspace's `infodom` (<<Simulation Infodom>>).

Figure 12-13 `install.properties` file

```

1 sql.config.datasource.jndi.name=jdbc/FICMASTER
2 sql.atomic.datasource.jndi.name=jdbc/SANC812INFO
3 sql.metadom.datasource.jndi.name=jdbc/SANC812INFOCNF
4 system.infodom=SANC812INFO
5 system.domain=SF
6 system.appid=OFS_TFLT
7 deployment.assessment.execution.mode=LIVE
8 deployment.datastore=RDBMS
9 deployment.test.java.naming.initial.context.factory=
10 deployment.test.java.naming.provider.url=

```

4. Go to `ext` folder.
5. Open `spring-postSacaalert.properties` file and update the `ipesacaalert.pmfInfodom` and `ipesacaalert.dsnID` with Sandbox workspace's `infodom`.

Figure 12-14 `spring-postSacaalert.properties` file

```

1 # post SMS properties
2 ipesacaalert.followup.action.code=SACALERT
3
4
5 #PMF Configuration properties
6 ipesacaalert.pmfObjectType=301
7 ipesacaalert.pmfInfodom=SANC812INFO
8 ipesacaalert.pmfSegment=TFLSEGMENT
9 ipesacaalert.pmfUserID=SYSADMN
10 ipesacaalert.pmfLocale=en_US
11 ipesacaalert.dsnID=SANC812INFO
12 ipesacaalert.baseServiceUrl=http://100.76.133.237:7001/SANC812/SanctionsService

```

12.2.4.3 Importing Workspace Metadata for ML4AML for the created Workspace

1. Login to Compliance Studio installed UNIX Machine.
2. Navigate to the following path:
/deployed/ml4aml/bin

3. Execute the following UNIX command once, against the schema used in the current Sandbox workspace: `./importWorkspaceSQL.sh -w <NEW_SCHEMA>_alias`

Note

<NEW SCHEMA> is the placeholder to be replaced with the actual value used to create the workspace.

12.2.4.4 Populate the Work Space

Populate Workspace for the respected sandbox workspace. See [Populating the Workspace](#) for work space population.

12.2.4.5 WebLogic console configuration

To configure the Simulation Sanction Weblogic console, follow the subsequent steps:

1. Login to the Simulation Sanction Weblogic Server.
2. Go to Deployments.
3. Update the Sanctions application war and corresponding TFLT war that are configured in [Update Files in TFLT WAR Associated with the Workspace](#) section.

12.3 Managing a Workspace



The workspace displays a menu for Models and an application configuration and model creation sub- menu. For more information on the subsequent topics, see Managing Workspaces section in [Oracle Financial Services Compliance Studio User Guide](#).

- Launching a Workspace
- Viewing the Workspace
- Editing the Workspace
- Deleting the Workspace
- Downloading the Workspace

12.4 Populating the Workspace

The workspace is populated with data from source data schema to target data schema. When you are creating a workspace the table definitions are created. The Data movement from production to simulation happens when you populate the screen.

To populate the Workspace, follow these steps:

1.   Navigate to the **Workspace Summary** page. The page displays Workspace records in a table.
2. Click **Action** next to corresponding Workspace and select **Populate Workspace** to populate the Workspace with data from source data schema to target data schema in the **Populate Workspace** window.

- You can use the pre-configured template to auto populate the field values and filters. click **Use Template** and select `TFGroupMessageTypeFilterTemplate.zip` file from the library list to auto populate the values.

Note

You must replace the SQL Filter (`$V_GRP_MSG_TYPE$`) value with the message type.

- You can enter the field values manually. For reference, see the Populate Workspace table.

Figure 12-15 Populate Workspace Window

The following table provides descriptions for the fields in the **Populate Workspace** window.

Table 12-4 Populate Workspace

| Field | Description |
|----------------|--|
| Workspace Code | The code of the Workspace. |
| Purpose | The description for the Workspace. |
| Creation Date | The date on which the Workspace was created. |

Table 12-4 (Cont.) Populate Workspace

| Field | Description |
|---------------------------|---|
| Data Source Type | The source of data. The value can be the OFSAA Data Schema or an external data source. |
| Data Filter - Global | Enter the data filter that needs to be applied on all the tables selected for data sourcing. For example: If MISDATE is equal to Today, then it is applied to all tables (wherever it is available) for selected Data Sources during population. If this field is not found (MISDATE) in the tables, it is not updated. |
| Data Filter - Table level | Provide the data filters individually on the tables here. NOTE: You can provide multiple table names for the same SQL filter. For example, there are two tables called Student and Employee in the target data source, and below filters are applied: <ul style="list-style-type: none"> MISDATE as Today for Student and Employee tables ID as 1 for Student table Then, Student table will be populated with MISDATE and ID filters and Employee table will be populated with only MISDATE filter. Global Filters will not be applicable for those tables on which filters have been applied individually. If the same table name is provided in more than one rows here, then filter condition is generated as a conjunction of all the provided filters. |
| Fetch Size | Enter the Fetch size of JDBC properties for data upload |
| Batch Commit Size | Enter the Batch Commit size of JDBC properties for data upload |
| Write Mode | Populate the workspace in append mode. |
| Rejection Threshold | Following two options are available: <ul style="list-style-type: none"> Custom Rejection Threshold Enter the maximum of number of inserts that may fail for any of the selected tables. You can provide the maximum number of inserts that can fail while loading data to a given table from all the sources. In case of threshold breach, all the inserts into the particular target schema will be rolled back. However, it will continue with populating the next target schema. Unlimited Here, all the errors will be ignored during the data population. |
| Data Load | Available options are SELECTIVE and ALL. Use ALL for first time data population |

5. Click **Populate Workspace** to start the process.

Here, you can create the batch using Create Batch, or create and execute using Create and Execute Batch option. On selecting either of these options, a workspace population task gets added to the batch.

Note

You may require approval from an approver to populate the workspace.

- When you select Create and Execute Batch option, it allows you to create batch and triggers the batch as well.

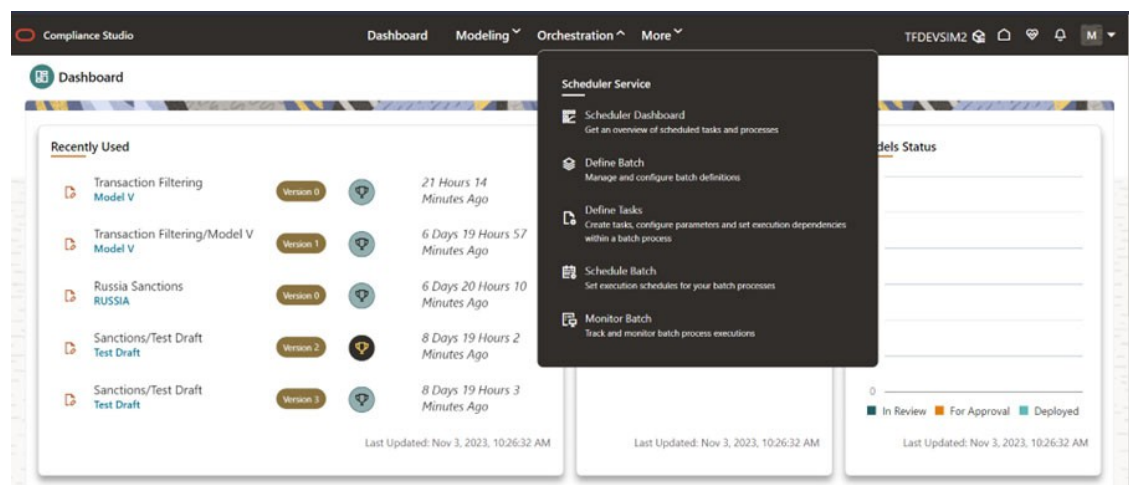
- When you select 'Create Batch' option, it allows you to prepare the batch and then execute or schedule the batch at a later time through Scheduler Service window.

The Workspace population task execution can be tracked in the 'Monitor Batch' window. For more information on Scheduler Service and Workspace population task execution, see [Oracle Financial Services Compliance Studio User Guide](#) .

Note

- You can only run the workspace population for once.
- Any table that is deselected from the data sourcing definition will **NOT** be dropped.

Figure 12-16 Accessing Scheduler Service from Dashboard



12.5 Managing Model Pipelines

Model Pipeline allows you to create and publish models based on the workspaces created from datasets in the database. The published models are then deployed in production to be consumed by users. For the subsequent information on model pipelines, see Managing Model Pipelines section in [Oracle Financial Services Compliance Studio User Guide](#).

- Prerequisites
- Access the Workspace Dashboard Window
- Accessing the Model Pipelines
- Reviewing, Approving Model
- Import a Workspace Model Data into a New Model
- Import/Export Models
- Using View Models
- Editing Models
- Deleting Objectives and Draft Models
- Creating Seeded Models

12.5.1 Creating a Model

Model creation and deployment undergoes a workflow of Model Governance where the users in the system have privileges that restrict the activities, they can do in the model creation and deployment workflow.

12.5.1.1 Creating Objective (Folders)

Create folders called Objectives within which you can create Models. To create an Objective, follow these steps:

1. Click Launch Workspace

Figure 12-17 Launch Icon



next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.

2. In the Mega menu, click **Modeling** and select **Pipelines**

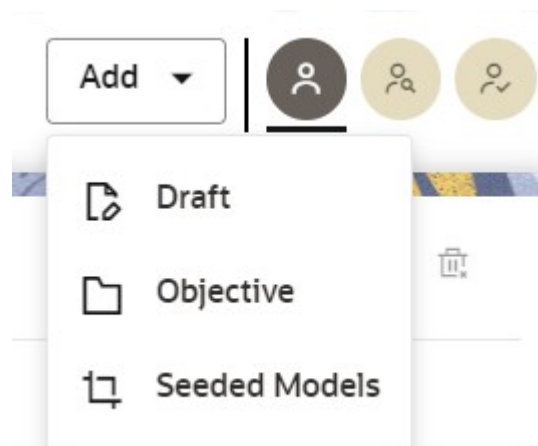
Figure 12-18 Pipeline



from the drop down to display the **Model Pipeline** window.

3. Click **Add** and select **Objective** from the list to display the **Objective Details** dialog box.

Figure 12-19 Select Objective from Add



4. Enter details in Objective **Name** and **Description** fields in the Add **Objective** dialog box.
5. Click **Save**.

12.5.1.2 Creating Draft Models Using Seeded Model

Create Models that are classified as draft models. These models will be reviewed before being sent for Scoring.

To create a draft Model, follow these steps:


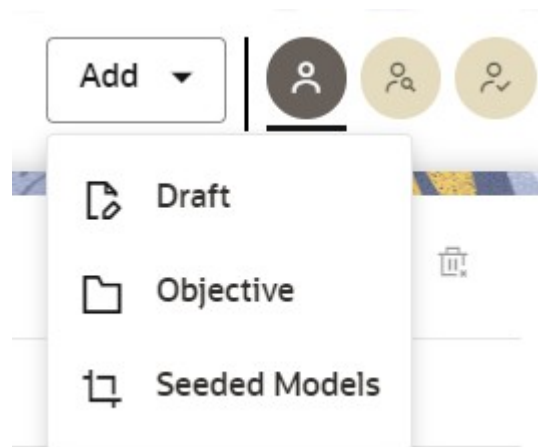
1. Click Launch Workspace  next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
2. Open the Objective.
3. Click **Add** and select **Draft** from the list to display the **Add Draft** dialog box.

Figure 12-20 Draft



4. **Create New Model** is the default setting in the **Model Details** dialog box. To create a new model, follow these steps:
 - a. Click **Use Template**.
 - b. Select the TF Simulation zip file (TFSIMULATION_1697204758446.zip) from the templates.
 - c. Enter details for Draft **Name** and **Description**

Figure 12-21 Model Details - Create New Model

- d. Enter a tag in the **Tags** field.
- e. Click **Create**. a model pipeline will be created from the template.

To clone the objects for Real time EDQ, Swift Message Configurations, and Swift Message Parse Widgets, follow the subsequent steps:

- a. Navigate to the **Design Pipeline** page.
- b. From the pipeline canvas double click on the widget to open the widget details screen on the right side.
- c. In the widget screen under the Custom Parameters tab, click **Copy** to open the **Clone Objects** Window.
- d. Select the source model ID from the **Clone Objects** Window and select the version from which you want to clone the widget.

Note

For the first model, select model ID as **PROD**.

- e. Click **Copy**. The TF Widget clone process begins. Once the cloning is completed, the current model ID and version will automatically be populated in the widget screen.
- f. Click **Save** to save the widget.

12.5.1.3 Cloning a Model

You can pick any published model and clone the contents to a new draft in the same objective or clone the content to the current parent draft. The cloned draft can be edited and used further. Audit Trail window also captures the clone information.

To clone the model details, follow these steps:

1. Open a Published Model in Pipeline Designer.
2. Select **Clone to new Draft** to Re-image parent draft with current.

12.6 Model Pipeline

Modeling refers to the process of designing a prototype based on a structured data model for statistical analysis and for simulating actual events and functions. A user with access to the Workspace can create or modify models in a workspace. Model versions are preserved in the Workspace, along with execution and output histories. Once a model has been validated in the Workspace and considered fit for use, modelers can request to push the Model into the production environment.


The following sections are available on the Model Pipeline window:

- [Pipeline](#)
- [Dashboard](#)
- [Notebook](#)
- [Simulations](#)
- [Execution History](#)
- [Compare](#)

12.6.1 Pipeline

A pipeline is an embedded data processing engine that runs inside the application to filter, transform, and migrate data on-the-fly. Pipelines are a set of data processing elements called widgets connected in series, where the output of one widget is the input to the next element. Use the Pipeline canvas to create the model and execute the pipeline using widgets.

To create a model using pipeline designer, follow the subsequent steps:

1.  Navigate to the **Pipeline Designer** page. Pipeline Canvas is displayed.
2. Click on the Connector to display the widgets.
3. Select Transaction Filtering from the list.
4. Select a widget and add the widget to the pipeline canvas. For information on widgets, see the TF Pipeline Widgets table.
5. From the pipeline canvas double click on the widget to open the widget details screen on the right side.
6. In the widget screen under the Custom Parameters tab, click **Copy** to open the **Clone Objects** Window.

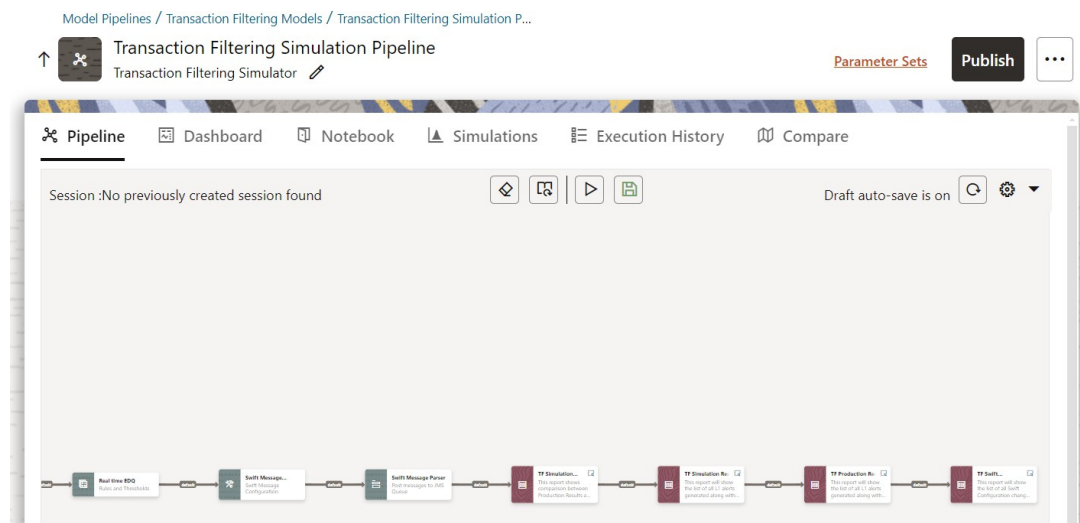
7. Select the source model ID from the **Clone Objects** Window and select the version from which you want to clone the widget.

Note

For the first model, select model ID as **PROD**.

8. Click **Copy**. The TF Widget clone process begins. Once the cloning is completed, the current model ID and version will automatically be populated in the widget screen.
9. Click **Save** to save the widget.
10. Click **Add** the next widget and repeat from step 2 to step 8.

Figure 12-22 Pipeline Canvas



The TF Pipeline Widgets table gives information about TF pipeline widgets.

Table 12-5 TF Pipeline Widgets

| Widget | Description |
|-------------------------------|--|
| Real time EDQ | Opens EDQ homepage where users can log in to EDQ director and tune the EDQ rules of the project with respective model_id with version 0. |
| Swift Message Configurations | Add/Edit/Remove Swift Configurations |
| Swift Message Parser | Posts the selected messages (transactions) to the JMS queue |
| TF Simulation Report | Displays the Summary of alerts and event hits for the current simulation run. |
| TF Simulation Data | Displays the events generated for the current simulation run. |
| TF Production Data | Displays the production events for which the simulation was carried out. |
| TF Swift Configurations Audit | This report will show the list of all Swift Configuration changes with respect to Source Model Swift Configurations. |

To execute the pipeline follow the subsequent steps:



1. Click execute icon . Execute Pipeline window is displayed.

Figure 12-23 Execute Pipeline Window

The screenshot shows the 'Execute Pipeline' window with the following elements:

- Execution Parameters:** A table with two columns: 'Key' and 'Value'. The first row shows 'msgtype' as the key and 'MT101' as the value. A warning icon is next to the key. Below the value field, it says 'From Set: MT101'. There are icons for refresh, undo, and add (+) to the right of the table.
- System Parameters:** A table with two columns: 'Key' and 'Value'. The first row shows '\$FICMISDATE\$' as the key and '2023-11-03' as the value. The second row shows '\$BATCHRUNID\$' as the key and 'Batch_auto_d0daa70d-3e3c-48a3-b7db-5edb7ccd' as the value. The third row shows '\$TASKID\$' as the key and 'task1' as the value. A 'Save parameter set' link is at the top right.
- Buttons:** 'Cancel' and 'Execute' buttons are at the bottom right.

2. Click **Open from saved Parameter set?** to import the template.
3. If you are not importing the template, enter the execution Key and Value manually. Execution parameters are the filters to apply to production data for the simulation run. You configure these filters in the `FCC_TF_SIMULATION_FILTERS` table. For more information on `FCC_TF_SIMULATION_FILTERS`, see [OFS Sanctions Data Model Reference Guide](#).

Note

Select the flow, which you want to execute Scoring, Training, and Experimentation. It displays all the keys defined for all the paragraphs in the notebook with a placeholder for providing the values.

4. You can add new parameters using **Add**

Figure 12-24 Add






Note

If the parameter is not defined in the notebook, it will not be used for the execution. In case of multi select, if there are common parameters among the chosen scenarios, it will take the value based on the order of selection. that is first chosen scenario parameter will be taken.

- But if open from saved scenarios again (not on single go), then already added will get replaced by the newly added (same as what existed)
- Execution is performed based on selected link types. It filters out all the not required/ unused parameters. And, all the unused parameters for the current execution are displayed with a

warning . To view the only required parameters, click **Show only required** link.

- Click Reset  to reset the entered data.
- Click Delete  to delete the entered Key and Value. For example, refer to below Figure.
-  Click **Execute** to initiate the execution. The widgets in pipelines are executed sequentially and

you can see icon on each widget for a successful execution. For individual widget execution details click the widget and click **View Details**.

12.6.2 Dashboard

The Dashboard of the Pipeline Designer allows you to execute shows the execution output of the Model.

Figure 12-25 Dashboard Tab

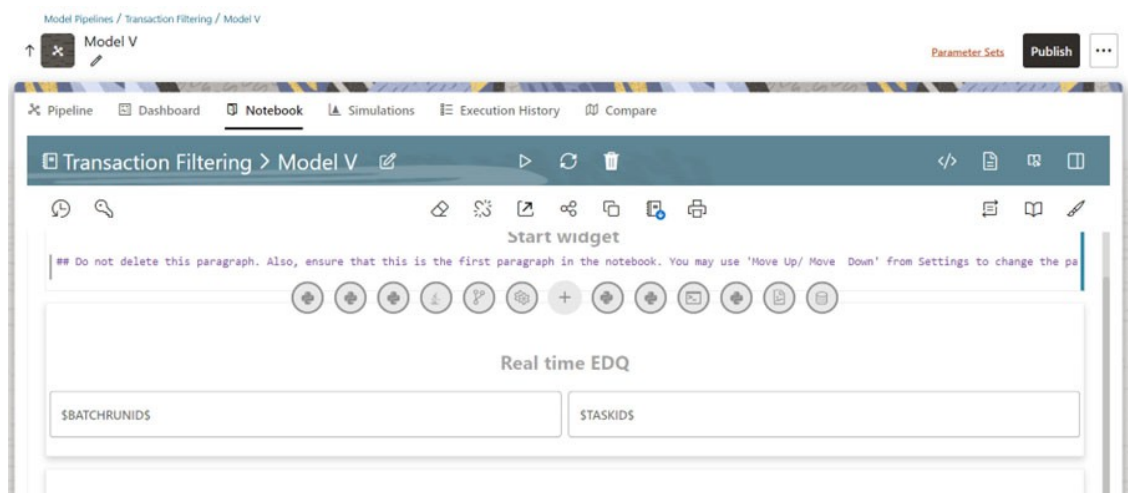
12.6.3 Notebook

Navigate to Notebook tab to view the paragraphs. You can run, invalidate session, edit, add, and export the notebook in the Notebook tab.

Note

By default the code is not displayed in the UI. To display code in the UI, click the visibility icon and select code.

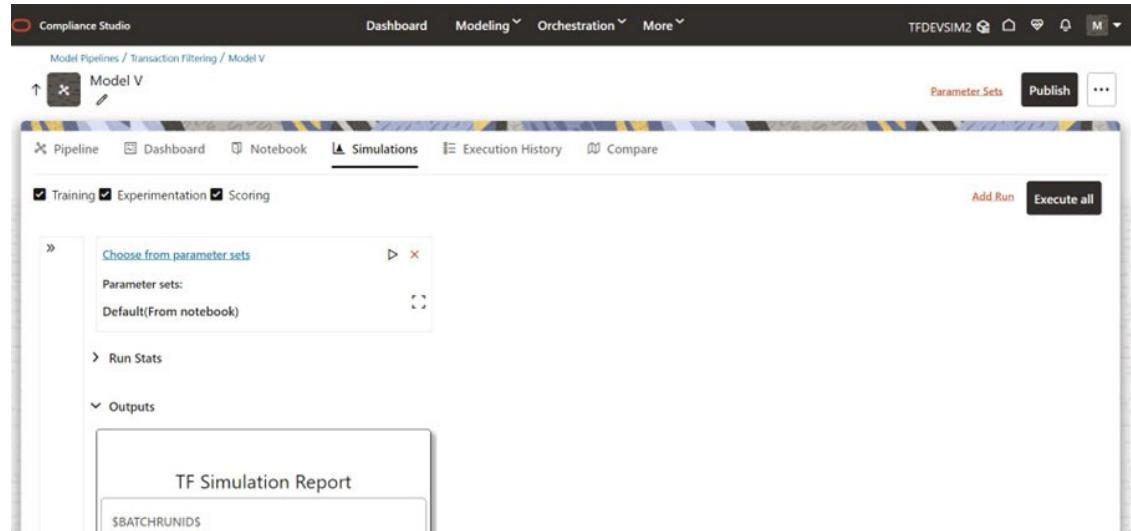
Figure 12-26 Notebook Tab



12.6.4 Simulations

The simulation flow allows for iterative execution along that path with input drivers (variables) that are passed through a parameter set. You can either create a new parameter set or use the existing parameter set and execute it from this tab.

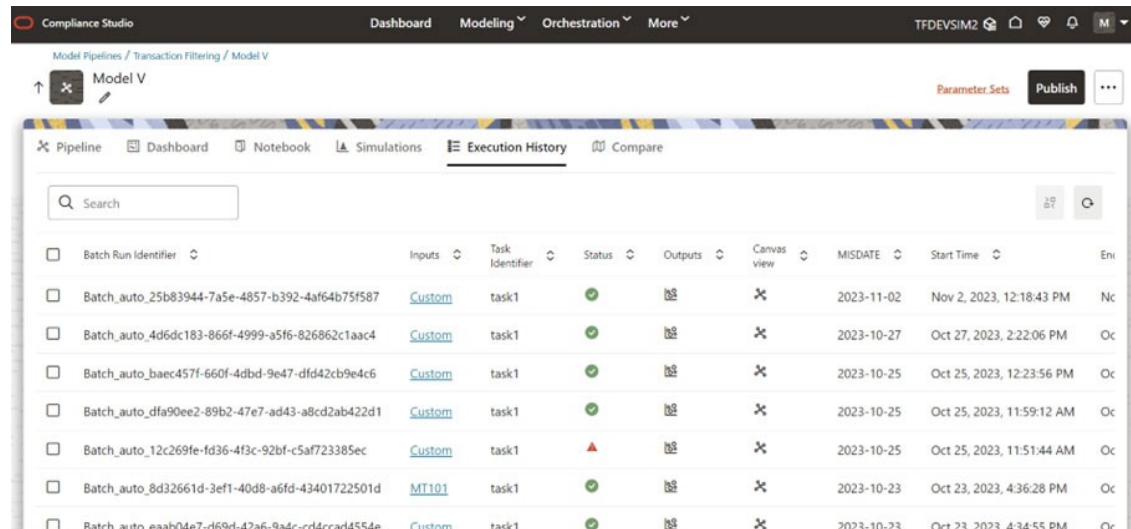
Figure 12-27 Simulation Tab




12.6.5 Execution History

This section of Pipeline Designer shows the history of the executions of the current pipeline. You can view the list of executions, check the report for the corresponding simulation run, and extract the report. You can compare multiple executions by selecting multiple executions and click on Compare icon.

Figure 12-28 Execution History



To download the report follow the subsequent steps:

- click the output icon  for the respective batch. Output Details Page is displayed. Following Output report tiles are displayed
 - Start Widget

- TF Specific widget
 - Report Widget
2. From the Report Widget tile click the download icon to download the report in the text file format.

Note

You must open the report text file in excel or drag and drop in excel to view the output.

Figure 12-29 Report Extraction Tile


| Category | Type | Description | Production Data | Simulation Data | Change |
|------------------|--------------------------------------|------------------------------------|-----------------|-----------------|--------|
| Hits Information | Number of Events in each web service | Identifier | 38 | 38 | 0 |
| Hits Information | Number of Events in each web service | Country and City | 175 | 150 | -25 |
| Hits Information | Number of Events in each web service | Name and Address | 151 | 151 | 0 |
| Hits Information | Number of Events in each web service | Narrative or Free Text Information | 39 | 39 | 0 |
| Hits Information | Alert Count (Number of alerts) | NA | 17 | 17 | 0 |

Figure 12-30 Extracted Output Sample

| Category | Type | Description | Production Data | Simulation Data | Change |
|------------------|---|--|-----------------|-----------------|--------|
| Hits Information | Number of Alerts in each web service | Name and Address | 2 | 1 | -1 |
| Hits Information | Number of Alerts in each web service | Narrative | 5 | 2 | -3 |
| Hits Information | Alert Count (no of lerts) | NA | 5 | 2 | -3 |
| Hits Information | Unique WL Count | NA | 4 | 1 | -3 |
| Hits Information | No of Events Per Events Type - TF | SAN | 100 | 102 | 2 |
| Hits Information | No of Events Per Events Type - CS | SAN, EDD, PEP | 100 | 75 | -25 |
| Hits Information | No of Events Per Events Type - CS | SAN | 50 | 7 | -43 |
| Hits Information | No of Events Per Events Type - CS | EDD | 10 | 8 | -2 |
| Hits Information | No of Events Per Events Type - CS | PEP | 10 | 2 | -8 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted | 30 | 5 | -25 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted - Narrative | 7 | 3 | -4 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted - Name | 3 | 2 | -1 |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted | 10 | 12 | 2 |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted - Narrative | | | |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted - Name | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS Or | % of Zipper alert have hits against SAN | 5 | 10 | 5 |
| Hits Ratio | Ratio of alerts generated between 2 changes CS Or | % of Zipper alert have hits against PEP | 3 | 3 | 0 |
| Hits Ratio | Ratio of alerts generated between 2 changes CS Or | % of Zipper alert have hits against EDD | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS Or | % of Zipper alert have hits against PRB | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS Or | % of alert have hits against SAN & PEP & EDD & PRB | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes TF Or | % of Zipper alert have hits against SAN | 100 | 150 | 1 |
| Alert List | No of alerts per jurisdiction (Juris Name) | Germany | 10 | 5 | -5 |
| Alert List | No of alerts per jurisdiction (Juris Name) | India | 5 | 2 | -3 |
| Alert List | No of alerts per biz domain (dom Name) | Domain A | 10 | 5 | -5 |
| Alert List | No of alerts per biz domain (dom Name) | Domain B | 5 | 10 | 5 |
| Alert List | No of alerts per Message Type tag | MT10159a | 200 | 50 | -150 |
| Alert List | No of Hits Generated Per Customer Type, CS | Individual | 7000 | 8000 | 1000 |
| Alert List | No of Hits Generated Per Customer Type, CS | Entity (organisation) | 8000 | 7000 | -1000 |
| Alert List | No of Hits Generated Per WL Entity Type, TF | Individual | 8000 | 7000 | -1000 |
| Alert List | No of Hits Generated Per WL Entity Type, TF | Entity (organisation) | 8000 | 7000 | -1000 |

12.6.6 Compare

The Compare option allows you to compare the executions with champion model. To compare, follow these steps:

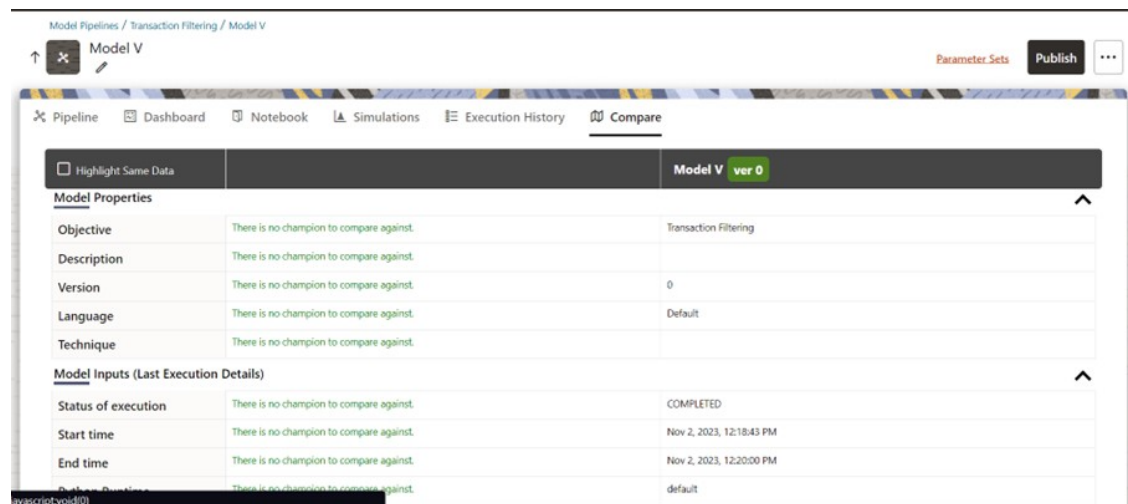
1. Navigate to Execution Summary window.
2. Select the executions using the corresponding check-boxes.
3. Click  Compare .

The Execution Comparison window is displayed.

The Window shows the following comparison details:

- Model Properties
- Model Input (Last Execution Details)
- Audit Log
- Model Script
- Model Output (Last Execution Outputs)

Figure 12-31 Compare Tab



12.7 Report Extraction

You can view the output of the executions from all the tabs of the model pipeline. Execution History tab allows you to download the execution output to the local system. For more information, see [Execution History](#).

Note



- You must open the report text file in excel or drag and drop in excel to view the output.
- If the execution output is truncated, update the Zeppelin interpreter output limit. For more information, see [Appendix L: Setting the ZEPPELIN_INTERPETER_OUTPUT_LIMIT in Python Interpreter](#).

Figure 12-32 Extracted Output Sample

| Category | Type | Description | Production Data | Simulation Data | Change |
|------------------|---|--|-----------------|-----------------|--------|
| Hits Information | Number of Alerts in each web service | Name and Address | 2 | 1 | -1 |
| Hits Information | Number of Alerts in each web service | Narrative | 5 | 2 | -3 |
| Hits Information | Alert Count (no of lerts) | NA | 5 | 2 | -3 |
| Hits Information | Unique WL Count | NA | 4 | 1 | -3 |
| Hits Information | No of Events Per Events Type - TF | SAN | 100 | 102 | 2 |
| Hits Information | No of Events Per Events Type - CS | SAN, EDD, PEP | 100 | 75 | -25 |
| Hits Information | No of Events Per Events Type - CS | SAN | 50 | 7 | -43 |
| Hits Information | No of Events Per Events Type - CS | EDD | 10 | 8 | -2 |
| Hits Information | No of Events Per Events Type - CS | PEP | 10 | 2 | -8 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted | 30 | 5 | -25 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted - Narrative | 7 | 3 | -4 |
| Hits Information | Exemption Recommendation TF | Total Events Exempted - Name | 3 | 2 | -1 |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted | 10 | 12 | 2 |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted - Narrative | | | |
| Hits Information | Exemption Recommendation TF | Total Events Not Exempted - Name | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS On | % of Zipper alert have hits against SAN | 5 | 10 | 5 |
| Hits Ratio | Ratio of alerts generated between 2 changes CS On | % of Zipper alert have hits against PEP | 3 | 3 | 0 |
| Hits Ratio | Ratio of alerts generated between 2 changes CS On | % of Zipper alert have hits against EDD | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS On | % of Zipper alert have hits against PRB | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes CS On | % of alert have hits against SAN & PEP & EDD & PRB | | | |
| Hits Ratio | Ratio of alerts generated between 2 changes TF On | % of Zipper alert have hits against SAN | 100 | 150 | 1 |
| Alert List | No of alerts per jurisdiction (Juris Name) | Germany | 10 | 5 | -5 |
| Alert List | No of alerts per jurisdiction (Juris Name) | India | 5 | 2 | -3 |
| Alert List | No of alerts per biz domain (dom Name) | Domain A | 10 | 5 | -5 |
| Alert List | No of alerts per biz domain (dom Name) | Domain B | 5 | 10 | 5 |
| Alert List | No of alerts per Message Type tag | MT10159a | 200 | 50 | -150 |
| Alert List | No of Hits Generated Per Customer Type, CS | Individual | 7000 | 8000 | 1000 |
| Alert List | No of Hits Generated Per Customer Type, CS | Entity (organisation) | 8000 | 7000 | -1000 |
| Alert List | No of Hits Generated Per WL Entity Type, TF | Individual | 8000 | 7000 | -1000 |
| Alert List | No of Hits Generated Per WL Entity Type, TF | Entity (organisation) | 8000 | 7000 | -1000 |

12.8 Publishing a Pipeline

If your satisfied with the results of the execution you can publish the pipeline. Publish the pipeline will backup the current model pipeline with non editable mode. To publish the pipeline, follow these steps:

-  Click Launch Workspace next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
-  In the Mega menu, click **Modeling** and select **Pipelines** from the drop down to display the **Model Pipeline** window.
- Select the Objective from the list. The publish canvas is displayed.

4. Click **Publish**. Publish Pipeline pop-up is displayed.
5. Enter the field details. See the following table.

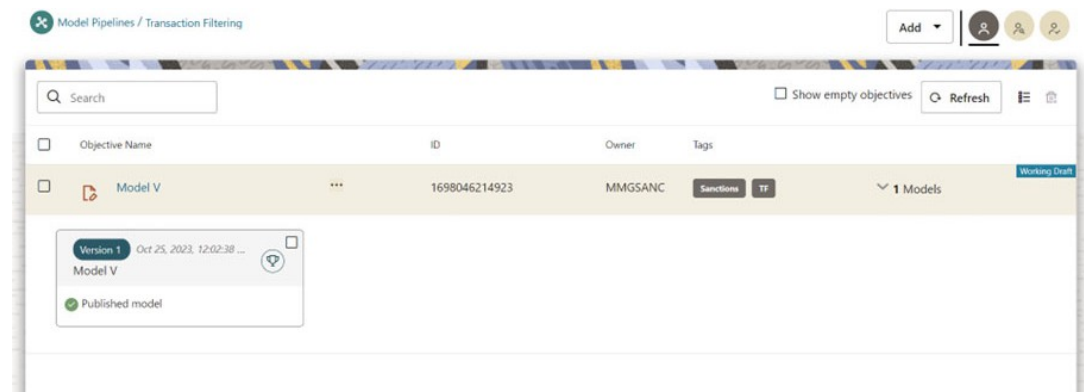
Table 12-6 Publish Pipeline

| Field or Icon | Description |
|-------------------|--|
| Model Name | The field displays the name of the Model. Modify the name if required. |
| Model Description | The field displays the description for the Model. Enter or modify the description if required. |
| Technique | Enter the registered technique to use. |
| Run Version | Select a run version. |
| Variable Mapping | The table displays the OFSAA variables and datasets used in the creation of the Training Model. |
| Script | The table displays the Paragraphs created in the Training Model. Select the Paragraphs that you want to use to create the Scoring Model. Track Output - Select this to track the output of the paragraph. |

6. Select the required configuration and click **Publish** to publish the pipeline or click **Cancel** to go back to previous page.

To view the published model follow the subsequent steps:

1. Navigate to **Model Pipeline** page
2. Click **Models** in-line with the Object Name. published models are displayed.

Figure 12-33 Published Model

The published models are then deployed in production to be consumed by users. The iterations of comparison between various models lead to the elimination of undesired models and the filter of a few robust ones that can be considered for deployment in production. Modelers then use their better judgment to consolidate their choice and fix on one model - the champion model. The champion model is also called the scoring model or the actual model in this document.

12.9 Deploying the Model

You can promote the published model to production by deploying the Model. For the subsequent information, see [Oracle Financial Services Compliance Studio User Guide](#).

- Understanding Model Governance
- Request Model Acceptance
- Review Models and Move to Approve or Reject
- Approve Models and Promote to Production
- Deploying Models in Production and Make it a Global Champion
- Executing Models using Scheduler Service To deploy the model follow the subsequent steps:




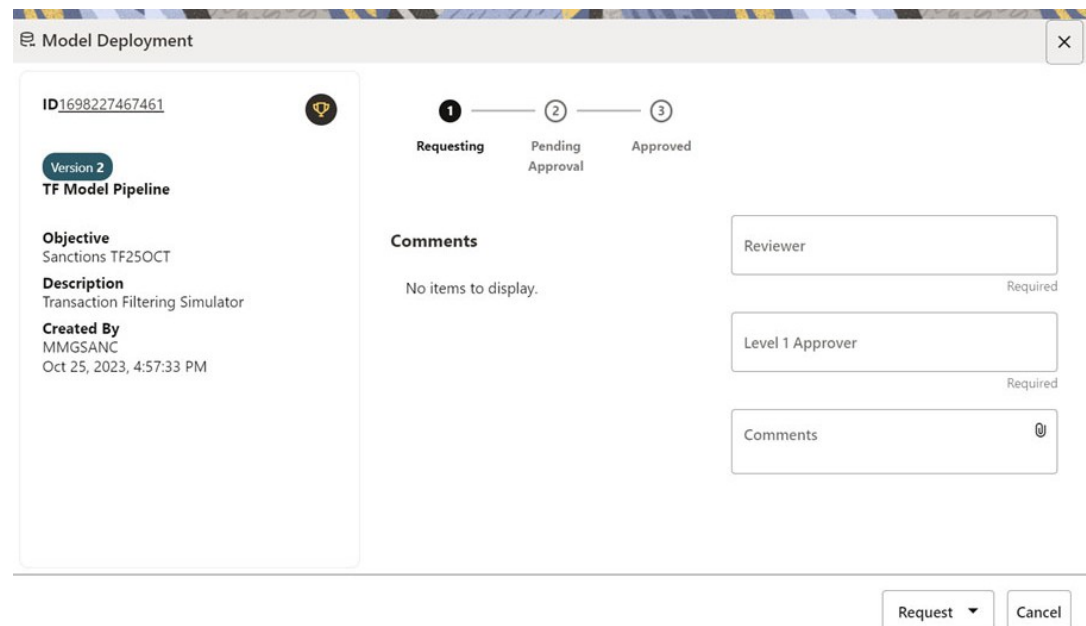
1. Click Launch Workspace  next to corresponding Workspace to Launch Workspace and display the **Dashboard** window with application configuration and model creation menu.
2. In the Mega menu, click **Modeling** and select **Pipelines**  from the drop down to display the **Model Pipeline** window.
3. Select the Objective name from the list and select the published Model.
4.  Click to view the Model Deployment screen.

Figure 12-34 Model Deployment Window



Model Deployment

ID: 1698227467461

Version 2
TF Model Pipeline

Objective
Sanctions TF25OCT

Description
Transaction Filtering Simulator

Created By
MMGSANC
Oct 25, 2023, 4:57:33 PM

1 — 2 — 3
Requesting — Pending Approval — Approved

Comments
No items to display.

Reviewer Required

Level 1 Approver Required

Comments Required

Request Cancel

5. Select the value for the following fields:
 - Reviewer
 - Level 1 Approver
 - Comments
6. Click **Request** and select **Model Acceptance** action.

7. Click **Cancel** to cancel the model Deployment.

Note

For each workspace there can be only one champion model.

12.10 Audit Trail

For information on using audit trail, see [Oracle Financial Services Compliance Studio User Guide](#).

A

Watch Lists

Monitoring transactions against watch lists of sanctioned individuals and companies, internal watch lists, and other commercial lists of high-risk individuals and organizations is a key compliance requirement for financial institutions worldwide. These watch lists help financial institutions identify customers who are sanctioned, live in sanctioned countries and any inbound or outbound transactions associated with these customers.

A.1 HM Treasury Watch List

The HM Treasury publishes a sanctions list that can be used for screening in Transaction Filtering. The sanctions list provides a consolidated list of targets listed by the United Nations, the European Union, and the United Kingdom under legislation relating to current financial sanctions regimes. For more information, see the [HM Treasury website](#).

Oracle Transaction Filtering uses the list in a semi-colon delimited form. It can be downloaded from the following location:

<https://ofsstorage.blob.core.windows.net/publishlive/ConList.csv>

A.2 OFAC Watch List

The US Treasury website states that The US Treasury's Office of Foreign Assets Control (OFAC) administers and enforces economic and trade sanctions based on US foreign policy and national security goals against targeted foreign countries, terrorists, international narcotics traffickers, and those engaged in activities related to the proliferation of weapons of mass destruction. For more information, see the [Treasury website](#).

Oracle Transaction Filtering supports two lists that are produced by OFAC. The OFAC Specially Designated Nationals (SDN) list, which is available for download in three separate parts from the following links:

<https://www.treasury.gov/ofac/downloads/sdn.csv>

<https://www.treasury.gov/ofac/downloads/add.csv>

<https://www.treasury.gov/ofac/downloads/alt.csv>

The OFAC Consolidated Sanctions List, which can be downloaded in three separate parts from the following links:

https://www.treasury.gov/ofac/downloads/consolidated/cons_prim.csv

https://www.treasury.gov/ofac/downloads/consolidated/cons_add.csv

https://www.treasury.gov/ofac/downloads/consolidated/cons_alt.csv

A.3 EU Watch List

The European Union applies sanctions or restrictive measures in pursuit of the specific objectives of the Common Foreign and Security Policy (CFSP) as set out in Article 11 of the Treaty on European Union.

The European Commission offers a consolidated list containing the names and identification details of all persons, groups, and entities targeted by these financial restrictions. For more information, see the [European Commission website](#).

To download the consolidated list:

1. Go to <https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/account>.
2. Create an account.
3. Navigate to <https://webgate.ec.europa.eu/europeaid/fsd/fsf#!/files> and open show settings for crawler/robot.
4. Copy the URL for 1.0 XML (Based on XSD). This is in the format `https://webgate.ec.europa.eu/europeaid/fsd/fsf/public/files/xmlFullSanctionsList/content?token=[username]`. You must replace the `[username]` placeholder with the user name you have created.
5. Enter this URL in your run profile or download the task.

A.4 UN Watch List

The United Nations (UN) or United Nations Security Council consolidated list is a watch list that includes all individuals and entities who are subject to sanctions measures imposed by the Security Council. For more information, see the [UN Security Council website](#).

Download the consolidated list from <https://www.un.org/sc/suborg/sites/www.un.org.sc.suborg/files/consolidated.xml>.

A.5 World-Check Watch List

World-Check provides a subscription-based service, offering a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the HM Treasury, OFAC, and other world lists. Three levels of subscription are provided: Standard, Premium, and Premium+. Some features of the World-Check lists are only available to users with a higher subscription level. For more information, see the [World-Check website](#).

To download the World-Check Premium+ feed, set values in the WC Setup section of the `watchlist-management.properties` run profile as follows:

```
phase.WC\ -\ Download.enabled = Y
```

```
phase.WC\ -\ Download\ native\ aliases.enabled = Y phase.WC\ -\ Stage\ reference\ lists.enabled = Y phase.*.snapshot.*.use_native_aliases = 1
```

To download the Standard or Premium feeds, set values in the WC Setup section of the `watchlist-management.properties` run profile as follows:

```
phase.WC\ -\ Download.enabled = Y
```

```
phase.WC\ -\ Download\ native\ aliases.enabled = N phase.WC\ -\ Stage\ reference\ lists.enabled = Y phase.*.snapshot.*.use_native_aliases = 0
```

See the World-Check website for more details: <https://risk.thomsonreuters.com/en/products/third-party-risk/world-check-know-your-customer.html>

Note

If your instance of Oracle Transaction Filtering uses the WebLogic application server, and you are screening against the World-Check watch list, then, to download the World-Check reference data successfully, you must add the following to the 'Server Start' arguments of your EDQ managed server: - DUseSunHttpHandler=true. This is only required if you are using the WebLogic application server and screening against the World-Check watch list.

A.6 Dow Jones Watch List

Dow Jones provides a subscription-based service offering a consolidated list of PEPs (Politically Exposed Persons) and entities and individuals appearing on the various sanctions lists. For more information, see the Dow Jones website.

The Dow Jones watch list automated download task uses one of two script files that are provided with Oracle Transaction Filtering to provide further configuration of the download process. These script files are:

- download-djw.sh (for use on Unix platforms)
- download-djw.bat (for use on Windows platforms)

The script files are invoked by the automated task and will download the data files and copy them to the appropriate sub-folder of the OEDQ landing area.

Note

In Watchlist Management Project under Reference Data, the "DJW List Provider Static", contains the entire Dow Jones List Providers. It contains the score and the flag irrespective whether it belongs to Sanctions List or not. User has the privilege to change the flag and score based on their preference.

A.7 Dow Jones Anti-Corruption Watch List

Dow Jones provides a subscription-based service containing data to help you assess, investigate, and monitor third-party risk about anti-corruption compliance regulation. For more information, see the Dow Jones website.

The Dow Jones Anti-Corruption List automated download task uses one of two script files that are provided with Oracle Transaction Filtering to provide further configuration of the download process. These script files are:

- download-djac.sh (for use on Unix platforms)
- download-djac.bat (for use on Windows platforms)

The script files are invoked by the automated task and will download the data files and copy them to the appropriate sub-folder of the OEDQ landing area.

A.8 Private Watch List

This section describes the structure of the .csv files used in the Private List Interface (PLI). Private watch list data are provided in two .csv (comma-separated value) files;

`privateindividuals.csv` and `privateentities.csv`. These files come with a pre-defined structure and set of validation rules. On installation, these files are populated with sample private

watch list data, which must be replaced with your data, once it has been transformed into the required format.

 **Note**

- It is recommended that you keep a copy of the sample private watch list files, as they can be used to verify the correct functioning of your installation on a known data set.
- The files must be saved in UTF-8 format.

Three types of attributes are used in the PLI for screening:

Mandatory attributes: These attributes are tagged in the PLI tables with the *[Mandatory attribute]*

tag and are mandatory for screening.

Recommended attributes: These attributes are used in matching, typically to either eliminate false positive matches that may occur if the mandatory fields alone were used or to reinforce the likelihood of a possible match. They are tagged in the PLI tables with the *[Recommended attribute]* tag.

Optional attributes: These attributes are not used in matching. Information provided in these fields may be of use in processes downstream of the match process.

B

Appendix B: System Audit Logging Information

This appendix contains information on the logs related to the Debug and Info log files.

B.1 Activities for System Audit

The following table contains information related to the system audit activities:

Table B-1 Activities for System Audit

| Activity Identifier | Activity Name | Activity Sequence |
|---------------------|---------------------------|-------------------|
| 1 | Raw Message Processing | 1 |
| 2 | Message Parser Processing | 2 |
| 3 | watch list Processing | 3 |
| 4 | Alert Manager Processing | 4 |
| 5 | Hold | 5 |
| 6 | Assigned | 6 |
| 7 | Escalated | 7 |
| 8 | Recommend to Block | 8 |
| 9 | Block | 9 |
| 10 | Recommend to Release | 10 |
| 11 | Release | 11 |
| 12 | Reject | 12 |

B.2 Steps for System Audit Activities

The following table contains information related to the steps for the system audit activities:

Table B-2 Steps for System Audit Activities

| Step Identifier | Activity Name | Step Name | Step Sequence | Status |
|-----------------|---------------------------|---|---------------|--------|
| 1 | Raw Message Processing | Record the receipt of the raw message | 1 | Y |
| 2 | Raw Message Processing | Raw Message persisted into structure table | 2 | N |
| 3 | Message Parser Processing | Raw Message parsed | 1 | N |
| 4 | Message Parser Processing | Parsed Raw Message persisted into structure table | 2 | N |
| 5 | watch list Processing | Matching data prepared | 1 | N |
| 6 | watch list Processing | Matching Engine Invoked | 2 | Y |
| 7 | watch list Processing | Scoring Engine Invoked | 3 | Y |

Table B-2 (Cont.) Steps for System Audit Activities

| Step Identifier | Activity Name | Step Name | Step Sequence | Status |
|-----------------|--------------------------|--|---------------|--------|
| 8 | watch list Processing | Scoring performed | 4 | Y |
| 9 | watch list Processing | Response Received | 5 | Y |
| 10 | watch list Processing | Response persisted | 6 | N |
| 11 | Alert Manager Processing | Transaction Hold | 1 | N |
| 12 | Alert Manager Processing | Alert Persisted | 2 | N |
| 13 | Hold | Hold Transaction Workflow Invoked | 1 | Y |
| 14 | Hold | Hold Transaction Workflow completed | 2 | Y |
| 15 | Assigned | Assigned Transaction Workflow Invoked | 1 | Y |
| 16 | Assigned | Assigned Transaction Workflow completed | 2 | Y |
| 17 | Escalate | Escalated Transaction Workflow Invoked | 1 | Y |
| 18 | Escalate | Escalated Transaction Workflow completed | 2 | Y |
| 19 | Recommend to Block | NA | NA | NA |
| 20 | Block | Blocked Transaction Workflow Invoked | 1 | Y |
| 21 | Block | Blocked Transaction Workflow completed | 2 | Y |
| 22 | Recommend to Release | - | - | - |
| 23 | Release | Released Transaction Workflow Invoked | 1 | Y |
| 24 | Release | Released Transaction Workflow completed | 2 | Y |
| 25 | Reject | NA | NA | NA |




C

Process Modeller Framework (PMF) Configurability

This appendix contains information on the steps required to configure the ready-to-use Process Modeller Framework (PMF) workflow. On the **Process Modeller** page, click the transaction that you want to configure and follow the steps in the following sequence. For information on how to access the **Process Modeller** page, see the Process Modeller Menu.

C.1 Configuring the Human Task in the PMF Page

To configure all human tasks on the **PMF** page, follow these steps:

1. Navigate to the **Process Flow** subtab in the **Process Modeller** tab. The **PMF** page is displayed.
2. Drag and drop **Human Task**  on to the PMF page. For information on all components available, see the **Components for Designing Your Process Flow** chapter in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#) .
3. Double-click **Human Task**  .
4. In the Activity dialog, provide the following information:
 - A unique activity name in the **Activity Name** field. After you provide a name, it appears after the icon on the **PMF** page.
 - The activity description in the **Activity Description** field.
 - The current status of the transaction in the **Status** field.
 - The next status of the transaction in the **Outcomes** field.
5. Click **Transitions**  and then click **Add**.
 - In the **Add New Transition** dialog, provide the following information:
 - A unique transition name in the **Transition Name** field.
 - The destination status of the transaction in the **Connected To** field.
 - The execution or decision rule for a status in the **Decision Rule** field. Here you need to map the specific rule to the current status or create the rule according to the business requirement.
 - The order of the transaction in the **Order** field.

You can also configure the fields in the **Action and Notifications** subtabs. For more information, see the **Action Tab for Creating Tasks/Notification** section in [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#) .

C.1.1 Mapping the Transaction Statuses and Transaction Outcomes

After you provide the new transaction status and outcome in step 4, you need to map the values in the required tables to update the value on the **PMF** page.

To update the status on the **PMF** page, populate the following status in the Config schema:

1. Run `select * from AAI_WF_STATUS_B t where t.v_app_package_id = 'OFS_SAC' and select * from AAI_WF_STATUS_TL where t.v_app_package_id = 'OFS_SAC'` queries.
2. In the `AAI_WF_STATUS_B` table, populate a unique entry in the `v_status_id` column for each new status and map the same entry in the `AAI_WF_STATUS_TL` table for a column. For example, populate the entry `OFS_SAC` in the `v_app_package_id` column.
3. When you map the new status, it appears on the PMF page.
 - Ensure that data is provided in all required columns in the `AAI_WF_STATUS_TL` table.
 - When doing the mapping in any other configuration tables, ensure that you provide the same status that is mentioned in the `v_status_name` column in the `AAI_WF_STATUS_TL` table.

To update the outcome on the PMF page, populate the following status in the Config schema:

1. Run the `select * from AAI_WF_OUTCOME_B t and where t.v_app_package_id = 'OFS_SAC'` queries.
2. In the `AAI_WF_OUTCOME_B` table, populate a unique outcome ID in the `v_outcome_id` column for each new status and map the same entry in the `AAI_WF_OUTCOME_TL` table.
 - Ensure that data is provided in all required columns in the `AAI_WF_OUTCOME_TL` table.
 - When doing the mapping in any other configuration tables, ensure that you provide the same status that is mentioned in the `AAI_WF_OUTCOME_TL` table.
 - After you complete the above steps, refresh the application and web servers.

C.1.2 Adding Data Fields for the PMF Status

To add a new data field for each new status, for example, `TF_BLOCKED_NEW`, click the **Data Fields** subtab in the **Process Modeller** page and click **Add**. For information on the fields, see the **Data Fields** section in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#) .

Note

If the data field name contains more than one word, give an underscore (`_`) between each word. The name will not be valid if you provide a space between each word.

You can also edit an existing data field, follow these steps:

1. Select the radio button of the data field that you want to edit.
2. Click **Edit**.

C.1.3 Adding Application Rules for the PMF Status

To add a new application rule for each new status, for example, `RB_TO_Block_New`, click the **Application Rule** subtab in the **Process Modeller** page and click **Add**. For information on the fields, see the **Application Rules** section in the [Oracle Financial Services Analytical Applications Infrastructure Process Modelling Framework \(PMF\) Orchestration Guide](#).

C.1.3.1 Mapping Rule Types to Application Rules

If you select a new rule type for the application rule, you must then map it to the rule. To map a rule, run the `select * from aai_aom_app_comp_attr_mapping` query.

If a static rule is present with `n_static_grp_id = 501`, then run the `select * from AAI_AOM_STATIC` query.

C.1.3.2 Mapping User Groups to Application Rules

If you have also mapped a new user group to the rule, then you need to map the entry in the `DOMAIN_JUR_GRP_MAP` table. After you map the user group to the rule, run the `select * from DOMAIN_JUR_GRP_MAP` query to update the `DOMAIN_JUR_GRP_MAP` table.

The steps required to create a new user group are available in [Creating New User Groups](#). For more information, see the **User Administrator** section in the Oracle Financial Services Analytical Applications Infrastructure User Guide.

C.1.4 Configurations Required for the Audit Tables

Before you update the tables, you must first provide a unique value in the `n_activity_id` column in the `SETUP_RT_AUD_ACTIVITY` table and then provide the same value in the `n_activity_id` column in the `SETUP_RT_AUD_STEPS` table.

After this is done, run the `select * from SETUP_RT_AUD_ACTIVITY` query to update the `SETUP_RT_AUD_ACTIVITY` table and run the `select * from SETUP_RT_AUD_STEPS` query to update the `SETUP_RT_AUD_STEPS` table.

After the tables are updated, provide two entries, 1 and 2, in the `n_step_sequence` column in the `SETUP_RT_AUD_STEPS` table.

Note

The value provided in the `v_status_name` column in the `AAI_WF_STATUS_TL` table must be a combination of one of the following values:

- The value provided in `v_sanction_status_name` in `dim_sanctions_status` table and the name of the transaction workflow invoked for entry 1.
- The value provided in `v_sanction_status_name` in `dim_sanctions_status` table and the name of the transaction workflow completed for entry 2.

C.1.5 Configurations Required for the `setup_rt_params` Table

To configure the table in the `ATOMIC` schema, follow these steps:

1. Provide the function code in the `v_attribute_value1` column where `v_attribute_name1 = 'TF_FUNCTION_CODES'`.
2. Provide the status codes according to the `v_attribute_name1` value in the `v_attribute_value1` column where `v_attribute_name1 = 'TF_FUNCTION_AND_STATUS_CODES'`.
3. Provide all status codes in the `v_attribute_value1` column against each function code in the `v_attribute_name1` column. This displays the dynamic status filter.
4. Provide the code for each status to be displayed to the user for that function code in the `v_attribute_value1` column.
5. Provide the code for each status to be displayed to the user in the *Transaction Summary* window in the `v_attribute_value2` column.
6. Provide the code for each action that must be displayed to the user for that transaction in the `v_attribute_value3` column.
7. To create an order for the transactions, follow these steps:
 - Provide `TF_USERWORKFLOWCLAUSE` in the `v_param_name` column.
 - Provide `TF_ORDERBY_PRECEDENCE` in the `v_attribute_name1` column.
 - Provide `TF_ORDERBY_FUNC_CODE` in the `v_attribute_name2` column.
 - Provide the function code for which you want to do the order in the `v_attribute_value2` column. For example, use `TFLTANYSE` for the analyst user.
 - Provide `TF_ORDERBY_CLAUSES` in the `v_attribute_name3` column.
 - Provide the *order by query* in the `v_attribute_value3` column. For a sample value, see the value for the `TFLTANYSE` function code.
8. Update the fields in the feedback response JSON for blocked and released payments in the `v_attribute_value1` column in the `FEEDBACK_RESPONSE_CONFIGURATION` row and restart the WebLogic server.
9. Update the `v_attribute_value1` column as **Y** where `v_param_name = 'ECM_SANCTIONS_PP'`, if ECM pack is installed in the same server where Sanctions also installed.

C.1.6 TIME_ZONE Configurations Required for the `dim_sanctions_status` Table

To configure the table in the ATOMIC schema, follow these steps:

1. Create a unique value for the new PMF status in the `n_sanction_status_code` column. This value must be the same in the `AAI_WF_STATUS_B` and `AAI_WF_STATUS_TL` columns. For more information, see [Configurations Required for the Audit Tables](#).
2. Provide the activity name as mentioned in step 4 of the [Configuring the Human Task in the PMF Page](#) section in the `v_remarks` column.
3. Provide a unique data field value in the `v_applicable_params` column where `n_sanction_status_key = 101` (ApplicationParams) and `n_sanction_status_key = 202` (PMFParams).
4. To update the image path for the alert status, update the `v_sanction_status_img_path` value.
5. To update the image path for the list of actions, update the `v_sanction_dropdown_img_path` value.

6. To configure the action status:
 - Provide the value `StatusActon` if a status action must be fired.
 - Provide the value `PendingTrxnsCount` if the count of pending transactions is required for a particular action.
 - Provide the value `PendingTrxnsSuspiciousCountAndStatusActon` if the count of pending transactions and count of pending suspicious transactions are both required.
7. In the `v_data_field` column, give the same data field created in the PMF page data field section.
8. Update the `v_owner_update` column in the `fsi_rt_alerts` table if the owner must be updated.
9. Provide the audit message in the `v_audit_msg` column. This value must be the same as the value provided in the `v_sanction_status_name` column. For more information, see [Configurations Required for the Audit Tables](#).

 **Note**

For a new status, the `v_applicable_params` column must be left blank.

C.1.7 Creating New User Groups

To add a new user group, follow these steps:

1. Create a function.
2. Create a role.
3. Map the function to the role.
4. Create a user.
5. Map the user to a user group and a role.
6. Map the user to a user group and a domain.
7. Map the user to a user group.

C.1.8 Other Configurations

The user group is now created. After it is created, follow these steps:

1. Map the group in the `domain_jur_grp_map` table.
2. Login to the Config schema.
3. Run the `select * from cssms_folder_function_map` query.
4. Add the new function to the Transaction Filter folder (TransactionFiltering TFLTADMIN).
5. Run the `select t.v_access_code,t.v_menu_id from aai_menu_b t where t.v_menu_id in('OFS_TFLTSCRN','OFS_TFLT')` query.
6. Add the new function in the `v_access_code` column.
7. To map the new function, add an entry in the `v_access_code` column in the `aai_menu_b` table by running a query with the entry mentioned in the following format: `select * from aai_menu_b t where t.v_menu_id like '%OFS_TFLT%';` query.

8. To map the function to a folder, run a query with the function mentioned in the following format: `select * from cssms_folder_function_map p where p.v_function_code like '%TF%';` query.

D

PMF Configurations for Pool of Analyst

To configure the PMF Pool of Analyst configuration to set the new statuses, follow these steps:

1. Perform the following queries and introduce new status in the following tables.
 - `Select * from AAI_WF_STATUS_B t where t.v_app_package_id = 'OFS_SAC';`
 - `Select * from AAI_WF_STATUS_TL t where t.v_app_package_id = 'OFS_SAC';`
 - Create unique `v_status_id` in `AAI_WF_STATUS_B` table and map the same in the `AAI_WF_STATUS_TL` table and fill all the other columns data. This data will show in the PMF screen while mapping new status.

Figure D-1 Example 1

```
select t.* from aai_wf_status_b t where t.v_app_package_id = 'OFS_SAC' and t.v_status_id = 250;
```

| Row 1 | Fields | Comments |
|------------------|---------|----------|
| ▶ V_STATUS_ID | 250 | ... |
| V_APP_PACKAGE_ID | OFS_SAC | ... |

```
select t.* from aai_wf_status_tl t where t.v_app_package_id = 'OFS_SAC' and t.v_status_id = 250;
```

| V_STATUS_ID | V_STATUS_NAME | V_STATUS_DESC | V_LOCALE_CODE | V_APP_PACKAGE_ID |
|-------------|---------------|---------------------------|---------------|------------------|
| ▶ 1 250 | ... | Pending Block Recommended | en_US | OFS_SAC |

2. Perform the following query and introduce new Outcome in both the following tables.
 - `Select * from AAI_WF_OUTCOME_B ;`
 - `Select * from AAI_WF_OUTCOME_TL;`
 - Create unique outcome ID in `AAI_WF_OUTCOME_B` table and map the same in `AAI_WF_OUTCOME_TL` table and provide other columns data.

Figure D-2 Example 2

```
select t.* from AAI_WF_OUTCOME_B t where t.v_outcome_id = 250;
```

| V_OUTCOME_ID |
|--------------|
| ▶ 1 250 |

```
select t.* from AAI_WF_OUTCOME_TL t where t.v_outcome_id = 250;
```

| V_OUTCOME_ID | V_OUTCOME_NAME | V_OUTCOME_DESC | V_LOCALE_CODE |
|--------------|----------------|---------------------------|---------------|
| ▶ 1 250 | ... | Pending Block Recommended | en_US |

3. Perform the following query and add a new entry for the new status to come up in the TF_AC- TION drop-down list while adding new Application rule. Select * from AAI_AOM_STATIC t where t.n_static_grp_id=501;

Figure D-3 Example 3

```
select t.* from AAI_AOM_STATIC t where t.n_static_grp_id=501 and t.v_static_val = 'TF_PNDNG_RECBLOCK';
```

| V_STATIC_ID | N_STATIC_GRP_ID | V_STATIC_VAL |
|-------------|-----------------|-------------------|
| 1 | 501 | TF_PNDNG_RECBLOCK |

4. Create Human task in PMF screen that you want to introduce in-between existing status or you want to introduce new status or create separate status.

Activity

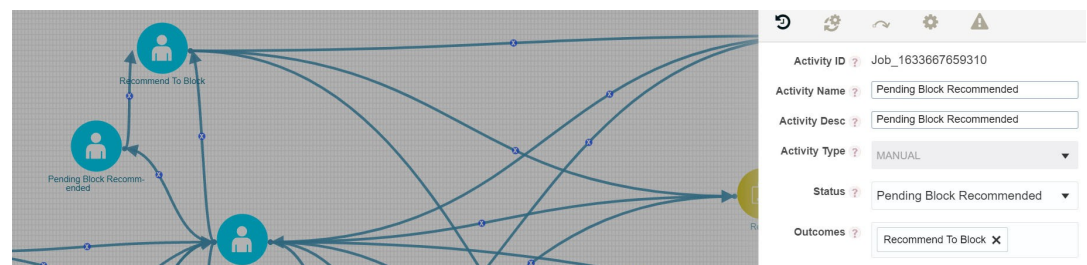
Activity Name* Activity Description

Status* - New Status Name.

Outcomes - Where has to go (Destination Status).

Example: If we have to introduce a new status between Investigation and Recommend to Block as Pending Recommend to Block, first add the new activity as shown in the following Figures (Pending Block Recommended).

Figure D-4 Activity Statuses



Transitions

Add ->

Transition Name - Unique Name for the particular Transition. Connected To – Destination status.

Decision Rule - Map to decision rule for particular status. Order - 1

Stroke – Default.

Example: First Transition between **Investigation** and **Pending Block Recommended** the next one between **Pending Block Recommended** and **Recommend to Block**.

Figure D-5 Edit Transaction – Pending Block Recommended

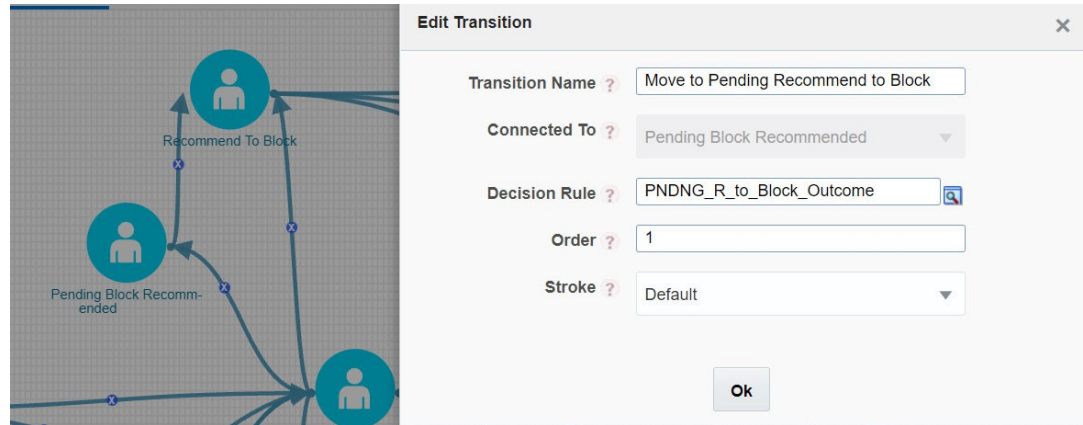
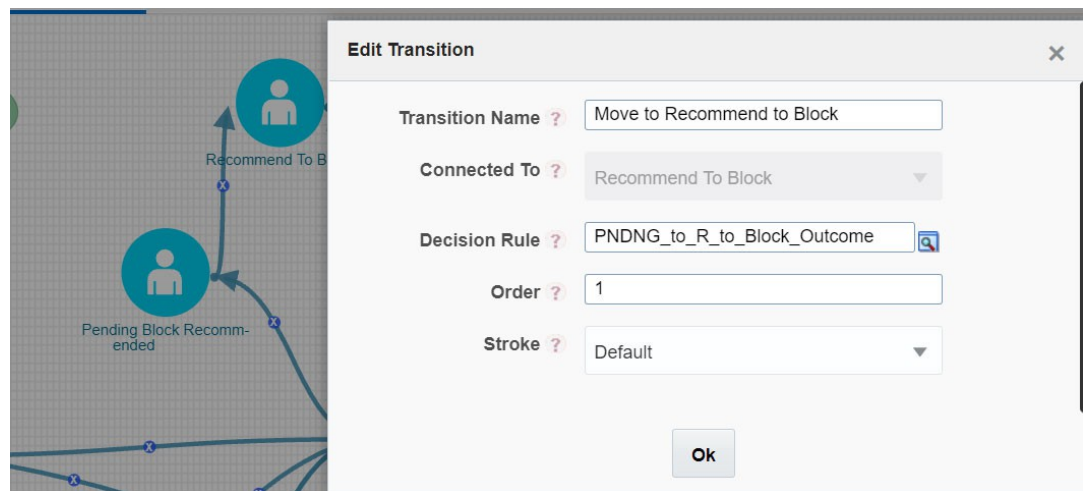


Figure D-6 Edit Transition – Recommend To Block



In Transition Decision Rule Map the specified rule for the current status. Or create as per business requirement.

Example: For the decision rules, add the following 2 decision rules.

Figure D-7 Rule Details – Decision Rule 1

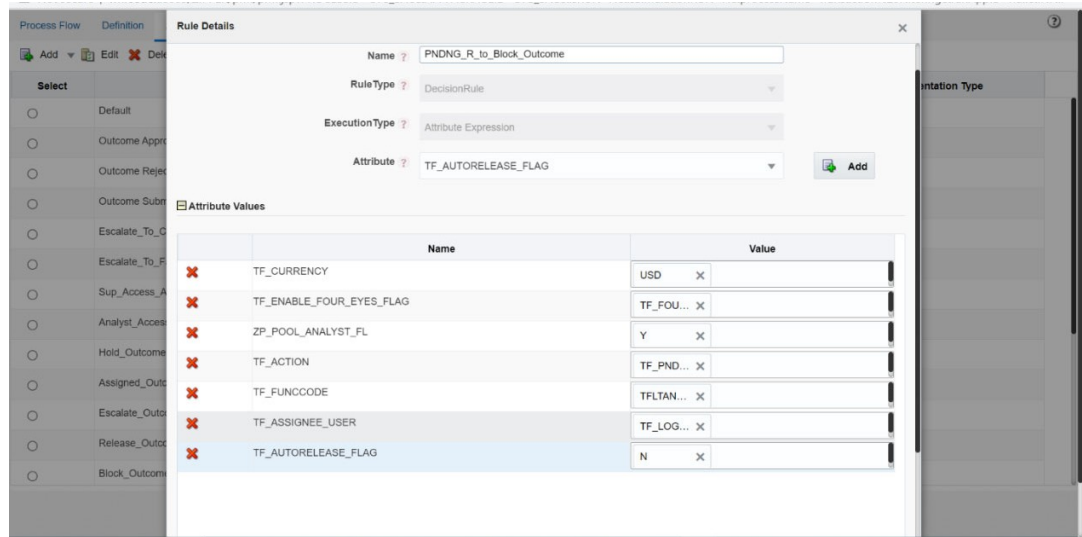
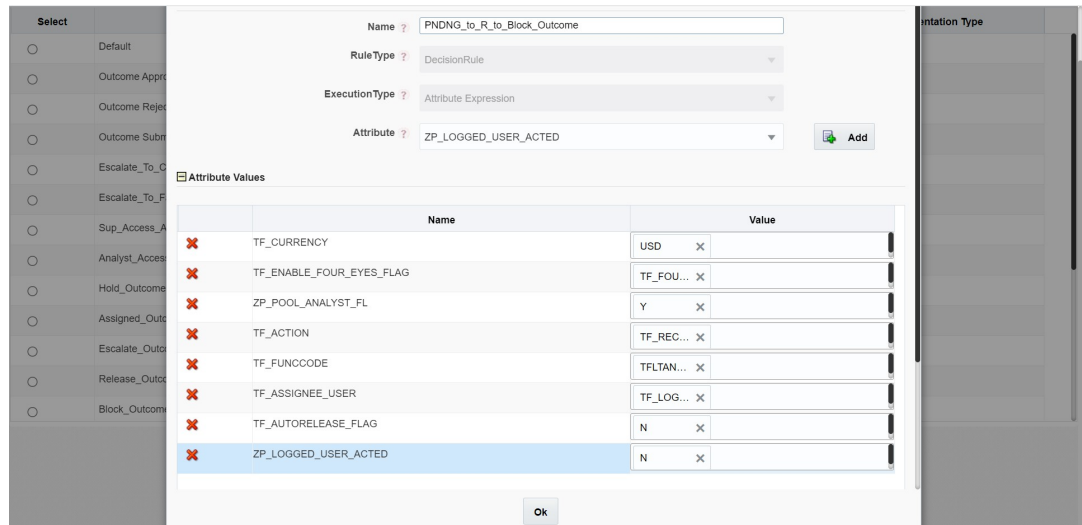


Figure D-8 Rule Details – Decision Rule 2



Edit the existing decision rule, by adding the ZP_POOL_ANALYST_FL.

Note

The attribute ZP_LOGGED_USER_ACTED value is Y then the user has acted first on the POA status.

Figure D-9 Edit API Details

| Name | Value |
|--------------------------|-------------|
| TF_ENABLE_FOUR_EYES_FLAG | TF_FOU... X |
| TF_AUTORELEASE_FLAG | N X |
| ZP_POOL_ANALYST_FL | N X |
| TF_CURRENCY | USD X |
| TF_ACTION | TF_REC... X |
| TF_FUNC CODE | TFLTAN... X |
| TF_ASSIGNEE_USER | TF_LOG... X |

Figure D-10 Edit API Details – Adding Attribute Values

| Name | Value |
|--------------|------------------|
| TF_ACTION | TF BLOCKED NEW X |
| TF_FUNC CODE | TFLTSUPRVE X |

5. Access for the new status (example: Pending Review (96)) should be given to **TFLTANYSE** in order to take/update action on events.
6. Follow these steps:
 - a. `select * from setup_rt_params where v_param_name = 'TF_FUNC-TION_AND_STATUS_CODES' and v_attribute_name1 = 'TFLTANYSE';`
 - b. Append `v_attribute_value3` with the newly added Pending review Status.
 - c. Example: 2,96

Note

- To get the V_ATTRIBUTE_VALUE3 ; refer the dim_sanctions_status table.
- This is the Customized example for Pending Review (96) to be added manually.

D.1 Mapping the dim_sanctions_status Table

Create a new entry for newly created status and provide the unique n_sanction_status_code. The new n_sanction_status_code must be the same as AAI_WF_STATUS_B and AAI_WF_STATUS_TL that you have created while configuring PMF screen.

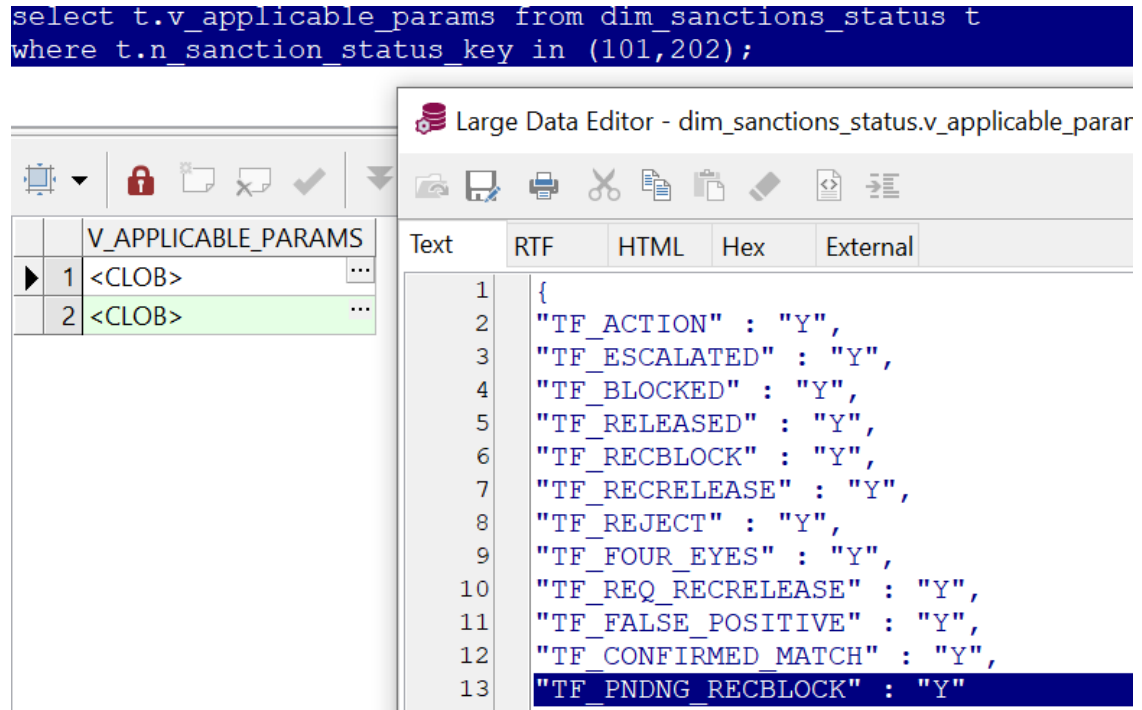
Figure D-11 dim_Sanctions_status Table

| Row 1 | Fields | Comments |
|-------|------------------------------|----------------------------------|
| | N_SANCTION_STATUS_KEY | 250 |
| | N_SANCTION_STATUS_CODE | 250 |
| | V_SANCTION_STATUS_NAME | Pending Block Recommended |
| | V_SANCTION_STATUS_DESC | Pending Block Recommended |
| | D_START_DATE | 10/19/2016 |
| | D_END_DATE | 12/31/1999 |
| | F_LATEST_IDENTIFIER | Y |
| | V_REMARKS | Pending Block Recommended |
| | D_LAST_UPDATED_DATE | 10/19/2016 |
| | V_SANCTION_STATUS_IMG_PATH | css/images/alerts_pb.png |
| | V_SANCTION_DROPDOWN_IMG_PATH | css/images/block_recommend.png |
| | V_APPLICABLE_PARAMS | <CLOB> |
| | V_STATUS_ACTION | PendingTransCountAndStatusAction |
| | V_DATA_FIELD | TF_PNDNG_RECBLOCK |
| | V_OWNER_UPDATE | false |
| | V_AUDIT_MSG | Pending Block Recommended |
| | V_STATUS_TYPE | alert |
| | V_SANC_ACTION_NAME | Pending Block Recommended |

D.2 Adding Data Fields to the JSON Object

To add a new data field to the JSON object in the following clob columns, follow these steps:
 Select t.v_applicable_params from dim_sanctions_status t where
 t.n_sanction_status_key in (101,202);

Figure D-12 Applicable Params



Also provide all the following fields:

- `v_sanction_status_img_path` - Image path for status of the alert image.
- `v_sanction_dropdown_img_path` - Image path for action clicked list of action image.
- `v_applicable_params` – keep it blank for new status column.
- `v_status_action` - If only particular action has to be fired, then provide `statusActon`, if PendingTrxnCount is required for the particular action, then provide `PendingTrxnCount`, and if `PendingTrxnCount` and `PendingSuspiciousCount` both is required, then provide `PendingTrxnSuspiciousCountAndStatusActon`.
- `v_data_field` - Provide the same data field as added in `AAI_AOM_STATIC` table.
- `v_owner_update` - `fsi_rt_alerts` table `v_owner` column has to be updated or not.
- `v_remarks` column name should be the same as that you have given name in pmf screen **Activity Name**.
- Always provide `v_owner_update` true only when status is as like end mode (Ex: Blocked, Released) else provide as false.
- `v_audit_msg` - Provide the Audit Message (Audit message should be same as `v_sanction_status_name` value).

D.3 List of Attributes Passed to Workflow

The following table provides the list of Attributes passed to workflow:

Table D-1 SWIFT Message Types

| Attributes | Description |
|--------------------------|--|
| TF_ACTION | Action to be performed. |
| WF_DSNDID | Infodom value. |
| WF_MESSAGE_TYPE | Message Type. |
| WF_MESSAGE_REFERENCE | Message Reference. |
| WF_USER_COMMENT | System hardcoded comment. |
| WF_APPLICATION_URL | Application url hardcoded logic. |
| TF_LOGIN_USER | Logged in user. |
| TF_FUNCCODE | Logged in user function code. |
| TF_ASSIGNEE_USER | Logged in user. |
| TF_ENABLE_FOUR_EYES_FLAG | Y/N value based on the configuration. |
| TF_CURRENCY | Currency of the message. |
| WF_OUTCOME_ID | Outcome Id for the action. |
| TF_AUTORELEASE_FLAG | Y/N based on the configuration for the message. |
| TF_AMOUNT | Amount of the message. |
| TF_WATCHLIST_TYPE | Watchlist type of the event with maximum score of the message. |
| TF_WATCHLIST_SUB_TYPE | Watchlist sub type of the event with maximum score of the message. |
| TF_MESSAGE_TYPE | Message Type of the message. |
| TF_MSG_CATEGORY | Message Category of the message. |
| TF_MSG_PRIORITY | Message Priority of the message. |
| TF_JURISDICTION | Jurisdiction of the message. |
| TF_BUSINESS_DOMAIN | Business Domain of the message. |
| TF_ALERT_TYPE | Alert Type of the message (1 or 2). |
| ZP_POOL_ANALYST_FL | Y/N based on the configuration in setup_rt_params. |
| ZP_LOGGED_USER_ACTED | if the logged in user is the same person who performed the previous action then ZP_LOGGED_USER_ACTED = Y else its N. |
| TF_GRP_MSG_ID | Group Message Id of the message. |

D.4 Attribute to Configure the Auto Refresh in Queue Management

The following table provides the list of Attribute to configure the Auto Refresh in Queue Management:

Table 56:**Table D-2 Q_AUTO_REFRESH_TIME Attribute**

| Attributes | Description |
|---------------------|--|
| Q_AUTO_REFRESH_TIME | Provide the time in mille second for the attribute in CS_APPLN_PARAMS table. By default it's 25000 i.e 25 seconds but the value is editable. |

E

Delta Watch List Configurations

Note

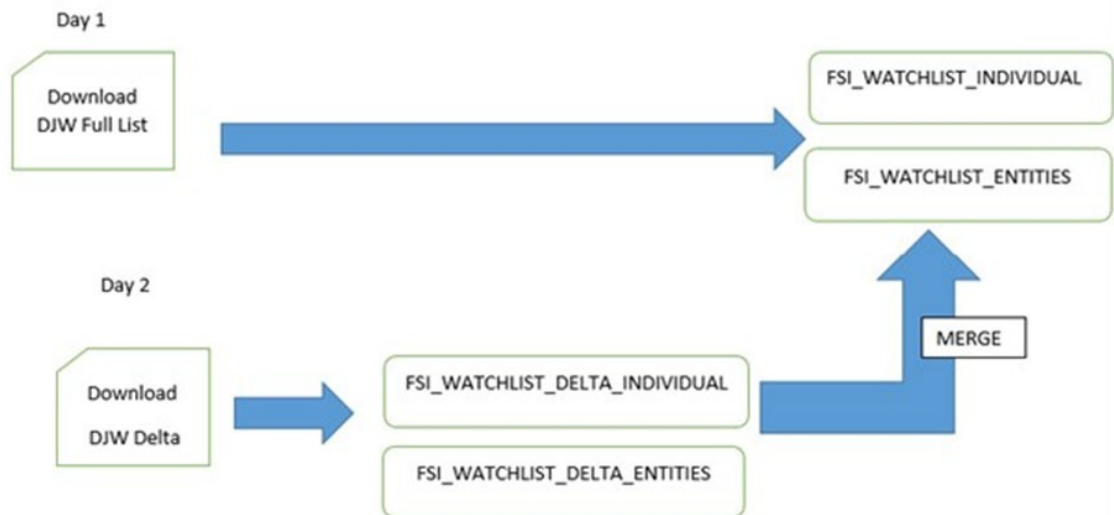
These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

Oracle recommends that you always use the full watch list during the screening process. Due to the clustering strategy which is implemented in the screening process, you do not need to download the delta watch list. There are certain cases in which you are required to download the delta watch list files, for example, if the full watch list files are not yet available for download or if you want to save time.

Customers who download the delta watch list files must first download the full watch list files and then download the delta watch list files. The delta watch list is then merged into the full watch list before screening.

The following image shows the information flow for the delta watch list:

Figure E-1 Flow for Delta Watch List



When you download the full watch list, data is stored in the `FSI_WATCHLIST_INDIVIDUAL` and `FSI_WATCHLIST_ENTITIES` tables. When you download the delta watch list, data is first stored in the `FSI_WATCHLIST_DELTA_INDIVIDUAL` and `FSI_WATCHLIST_DELTA_ENTITIES` tables. Then, based

on the value in the ACTION Flag tag in the delta watch list, it merges with the full watch list. The ACTION flag key is a non-editable value, and can be one of the following values:

- **new:** If the value is `new`, it means that these records are new and are added to the full watch list when the delta files are merged with the full watch list.
- **chg:** If the value is `chg`, it means that these records are modified and are added to the full watch list when the delta files are merged with the full watch list.
- **del:** If the value is `del`, it means that these records are no longer active and are removed from the full watch list when the delta files are merged with the full watch list.

Note

You must always run the full watch list files before you run the delta watch list files. The full watch list files must be downloaded if, for example, the download of the delta watch list files has failed for multiple days. You can also run the full watch list once every week to ensure that the complete data has been processed.

The following watchlist management jobs are used for the full list and the delta list:

- Analyze Reference Data Quality
- Download, Prepare, Filter, and Export All Lists
- Generate StopPhrases
- The following watchlist management job is used for the full list:
 - Load List data from Stg to Processed table
- The following Transaction Filtering job is used for the full list and the delta list:
 - Main

Before you run the delta watchlist files, ensure that you run the full watchlist files. You can run the delta watch list files if, for example, the delta downloads have failed for multiple days or the filter criteria are changed. You can also run the delta watch list once every week to ensure that the complete data has been processed.

E.1 Configurations for the Full and Delta Watch Lists

The following configurations must be done for both full and delta watch list updates in the `watchlist-management.properties` run profile. The run profile is available in the `<domain_name>/edq/oedq.local.home/runprofiles/` directory when you log in to the WinSCP server.

- `Set phase.Initialise\ staged\ data.enabled = N` to disable the `.jmp` file updates.
- `Set phase.Initialise\ staged\ data\ DB.enabled = Y` to initialize the database.
- `Set phase.Initilize\ Prepared\ List\ Data.enabled = N` to disable the `.jmp` file updates.
- `Set phase.Initilize\ Prepared\ List\ Data\ DB.enabled = Y` to prepare the database.

E.1.1 Running the Full Watch list

To run the full watch list, follow these steps:

1. Set the following properties in the `watchlist-management.properties` file:
 - `phase.DJW\ -\ Download.enabled = Y`.

- `phase.DJW\ -\ Download\ Delta.enabled = N.`
 - `phase.DJW\ -\ Stage\ reference\ lists.enabled = Y.`
 - `phase.DJW\ -\ Sanction_List_Reference.enabled = Y`
 - `phase.DJW\ -\ Keywords_Preparation.enabled = Y`
 - `phase.*.export.*.ind_table_name = FSI_WATCHLIST_INDIVIDUAL.`
 - `phase.*.export.*.entities_table_name = FSI_WATCHLIST_ENTITIES.`
 - `phase.Import1_Full_DB.enabled = Y`
 - `phase.Import2_Full_DB.enabled = Y`
 - `phase.Import3_Full_DB.enabled = Y`
- 2. Set the following properties in the `transaction-screening.properties` file:**
- `phase.DJW\ -\ Load\ without\ filtering.enabled = N`
 - `phase.DJW\ -\ Load\ without\ filtering\ DB.enabled = Y`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y`
- 3. Set the following properties in the `transaction-screening-batch.properties` file:**
- `phase.DJW\ -\ Load\ without\ filtering.enabled = N`
 - `phase.DJW\ -\ Load\ without\ filtering\ DB.enabled = Y`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y`
 - `phase.DJW\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y`

E.1.2 Running the Delta Watch List

To run the delta watch list, set the following properties in the `watchlist-management.properties` file:

- `phase.DJW\ -\ Download.enabled = N.`
- `phase.DJW\ -\ Download\ Delta.enabled = Y.`
- `phase.DJW\ -\ Stage\ reference\ lists.enabled = Y.`
- `phase.DJW\ -\ Sanction_List_Reference.enabled = Y`
- `phase.DJW\ -\ Keywords_Preparation.enabled = Y`
- `Set phase.*.export.*.ind_table_name = FSI_WATCHLIST_DELTA_INDIVIDUAL.`
- `Set phase.*.export.*.entities_table_name = FSI_WATCHLIST_DELTA_ENTI- TIES.`
- `phase.Import1_Full_DB.enabled = N`
- `phase.Import2_Full_DB.enabled = N`
- `phase.Import3_Full_DB.enabled = N`
- `phase.Import1_Delta_DB.enabled = Y`
- `phase.Import2_Delta_DB.enabled = Y`

- `phase.Import3_Delta_DB.enabled = Y`

E.1.3 Merging the Delta Watch List to the Full Watch List

To merge the delta watch list with the full watch list, set the following properties in the `watchlist-management.properties` file:

- `phase.Delta\Merge.enabled = Y.`
- `phase.Linked\Profiles.enabled = Y.`

E.2 Delta Watch List Configurations for the World-Check Watch List

Note

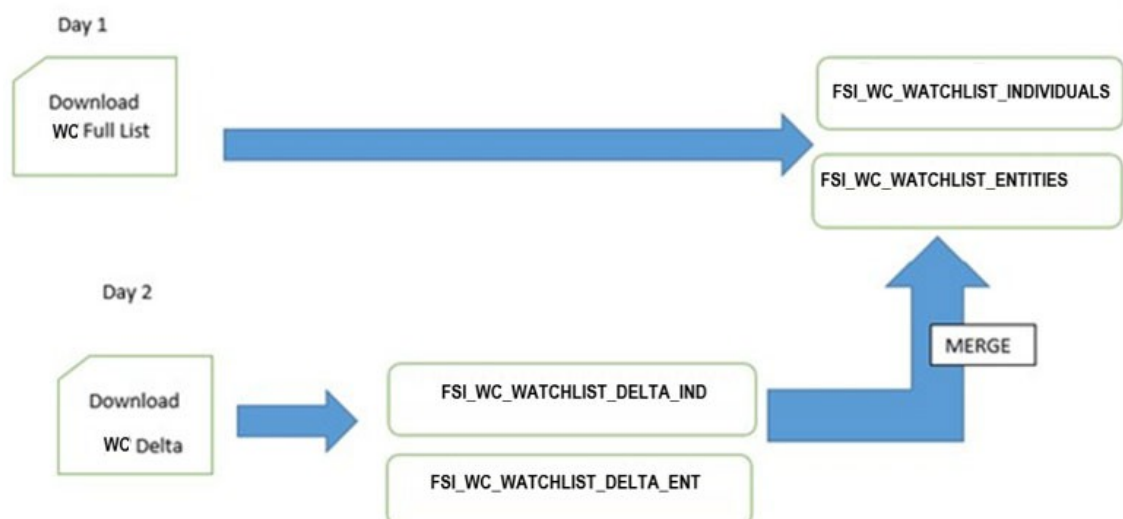
These configurations are performed when you do not want to download the full watch list, and only want to download the delta watch list. This helps to reduce the download time and is not part of the screening process.

Transaction Filtering recommends that you always use the full watch list during the screening process. Due to the clustering strategy, which is implemented in the screening process, you must not download the delta watch list. There are certain cases in which you must download the delta watch list files, for example, if the full watch list files are not yet available for download or if you want to save time.

Customers who download the delta watch list files must first download the full watch list files and then download the delta watch list files. The delta watch list is then merged into the full watch list before screening.

The following image shows the information flow for the delta watch list:

Figure E-2 Flow for Delta Watch List



When you download the full watch list, data is stored in the `FSI_WC_WATCHLIST_INDIVIDUALS` and `FSI_WC_WATCHLIST_ENTITIES` tables. When you download the delta watch list, data is first stored in the `FSI_WC_WATCHLIST_DELTA_IND` and `FSI_WC_WATCHLIST_DELTA_ENT` tables. Then the data is merged into the main table. For more information, see [Merging the Delta Watch List to the Full Watch List](#).

Note

You must always run the full watch list files before you run the delta watch list files. The full watch list files must be downloaded if, for example, the download of the delta watch list files has failed for multiple days. You can also run the full watch list once every week to ensure that the complete data has been processed.

E.2.1 Configurations for the Full and Delta Watch Lists

The following configurations must be done for both full and delta watch list updates in the `watchlist-management.properties` run profile. The run profile is available in the `<domain_name>/edq/edq.local.home/runprofiles/` directory when you log in to the WinSCP server.

- Set `phase.Initialise\ staged\ data.enabled = N` to disable the `.jmp` file updates.
- Set `phase.Initialise\ staged\ data\ DB.enabled = Y` to initialize the database.
- Set `phase.Initilize\ Prepared\ List\ Data.enabled = N` to disable the `.jmp` file updates.
- Set `phase.Initilize\ Prepared\ List\ Data\ DB.enabled = Y` to prepare the database.
- Set `phase.All\ List\ Entity\ and\ Individual\ reference\ data.enabled = N`.
- Set `phase.All\ List\ Entity\ and\ Individual\ reference\ data\ DB.enabled = Y`.
- Set `phase.DQ-Watchlist\ BIC\ Extraction\ JSON\ Preparation.enabled = N`.
- Set `phase.DQ-Watchlist\ BIC\ Extraction\ JSON\ Preparation\ DB.enabled = Y`.

E.2.2 Running the Full Watch List

To run the full watch list, follow these steps:

1. Set the following properties in the `watchlist-management - TF.properties` file:

- `phase.WC\ -\ Download.enabled = Y`.
- `phase.WC\ -\ Download\ Delta.enabled = N`.
- `phase.WC\ -\ Stage\ reference\ lists.enabled = Y`.
- `phase.*.export.*.wc_ind_table_name=FSI_WC_WATCHLIST_INDIVIDUAL`
- `phase.*.export.*.wc_entities_table_name=FSI_WC_WATCHLIST_ENTITIES`
- `phase.Import1_Full_DB.enabled = Y`
- `phase.Import2_Full_DB.enabled = Y`
- `phase.Import3_Full_DB.enabled = Y`

To run the full watch list without filtering, set the following properties:

- `phase.WC\ -\ Prepare\ without\ filtering.enabled = N`
- `phase.WC\ -\ Prepare\ without\ filtering\ Full\ DB.enabled = Y`

To run the full watch list with filtering, set the following properties:

- `phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = N`
- `phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = N`
- `phase.WC\ -\ Prepare\ with\ filtering\ Full\ DB.enabled = Y`

To run the full watch list without filtering, set the following properties:

- `phase.WC\ -\ Load\ without\ filtering.enabled = N`
- `phase.WC\ -\ Load\ without\ filtering\ DB.enabled = Y`

To run the full watch list with filtering, set the following properties:

- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y`

2. Set the following properties in the `transaction-screening.properties` file:

- `phase.WC\ -\ Load\ without\ filtering.enabled = N`
- `phase.WC\ -\ Load\ without\ filtering\ DB.enabled = Y`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y`

3. Set the following properties in the `transaction-screening-batch.properties` file:

- `phase.WC\ -\ Load\ without\ filtering.enabled = N`
- `phase.WC\ -\ Load\ without\ filtering\ DB.enabled = Y`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1).enabled = N`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 1)\ DB.enabled = Y`
- `phase.WC\ -\ Load\ with\ filtering\ (Part\ 2).enabled = Y`

E.2.3 Running the Delta Watch List

To run the delta watch list, follow these steps:

1. Set the following properties in the `watchlist-management - TF.properties` file:

- `phase.WC\ -\ Download.enabled = N.`
- `phase.WC\ -\ Download\ Delta.enabled = Y.`
- `phase.WC\ -\ Stage\ reference\ lists.enabled = Y.`
- `phase.*.export.*.wc_ind_table_name=FSI_WC_WATCHLIST_DELTA_IND`
- `phase.*.export.*.wc_entities_table_name=FSI_WC_WATCHLIST_DELTA_ENT`
- `phase.Import1_Full_DB.enabled = N`
- `phase.Import2_Full_DB.enabled = N`
- `phase.Import3_Full_DB.enabled = N`

- `phase.Import1_Delta_DB.enabled = Y`
- `phase.Import2_Delta_DB.enabled = Y`
- `phase.Import3_Delta_DB.enabled = Y`

2. To run the delta watch list without filtering, set the following properties:

- `phase.WC\ -\ Prepare\ without\ filtering.enabled = N`
- `set phase.WC\ -\ Prepare\ without\ filtering\ Delta\ DB.enabled = Y`

To run the delta watch list with filtering, set the following properties:

- `phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 1).enabled = N`
- `phase.WC\ -\ Prepare\ with\ filtering\ (Part\ 2).enabled = N`
- `phase.WC\ -\ Prepare\ with\ filtering\ Delta\ DB.enabled = Y`

E.2.4 Merging the Delta Watch List to the Full Watch List

To merge the delta watch list with the full watch list, set the following properties in the `watchlist-management.properties` file:

- `phase.WC\Delta\ Merge.enabled = Y.`
- `phase.WC\Linked\ Profiles.enabled = Y.`

F

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](#)
- [US NACHA Message Types](#)

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

F.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. For information on the steps, see [Running the Migration Utility for SWIFT, Fedwire and ISO20022](#).

Table 57: SWIFT Message Types

Table F-1 SWIFT Message Types

| S.No | Message Type | S.No | Message Type | S.No | Message Type | S.No | Message Type |
|------|--------------|------|--------------|------|--------------|------|--------------|
| 1 | MT101 | 2 | MT102 | 3 | MT103 | 4 | MT103STP |
| 5 | MT104 | 6 | MT105 | 7 | MT107 | 8 | MT110 |
| 9 | MT111 | 10 | MT112 | 11 | MT190 | 12 | MT191 |
| 13 | MT192 | 14 | MT195 | 15 | MT196 | 16 | MT198 |
| 17 | MT199 | 18 | MT200 | 19 | MT201 | 20 | MT202 |
| 21 | MT202COV | 22 | MT203 | 23 | MT204 | 24 | MT205 |
| 25 | MT205COV | 26 | MT210 | 27 | MT290 | 28 | MT291 |
| 29 | MT292 | 30 | MT295 | 31 | MT296 | 32 | MT298 |
| 33 | MT299 | 34 | MT300 | 35 | MT304 | 36 | MT305 |
| 37 | MT306 | 38 | MT320 | 39 | MT321 | 40 | MT350 |
| 41 | MT362 | 42 | MT395 | 43 | MT396 | 44 | MT399 |
| 45 | MT400 | 46 | MT410 | 47 | MT412 | 48 | MT416 |
| 49 | MT420 | 50 | MT430 | 51 | MT455 | 52 | MT456 |
| 53 | MT490 | 54 | MT491 | 55 | MT492 | 56 | MT495 |
| 57 | MT496 | 58 | MT498 | 59 | MT499 | 60 | MT515 |
| 61 | MT516 | 62 | MT526 | 63 | MT536 | 64 | MT537 |
| 65 | MT540 | 66 | MT541 | 67 | MT542 | 68 | MT543 |
| 69 | MT544 | 70 | MT545 | 71 | MT546 | 72 | MT547 |
| 73 | MT548 | 74 | MT564 | 75 | MT566 | 76 | MT568 |
| 77 | MT581 | 78 | MT590 | 79 | MT591 | 80 | MT592 |

Table F-1 (Cont.) SWIFT Message Types

| S.No | Message Type | S.No | Message Type | S.No | Message Type | S.No | Message Type |
|------|--------------|------|--------------|------|--------------|------|--------------|
| 81 | MT595 | 82 | MT596 | 83 | MT599 | 84 | MT604 |
| 85 | MT605 | 86 | MT606 | 87 | MT607 | 88 | MT608 |
| 89 | MT671 | 90 | MT695 | 91 | MT696 | 92 | MT699 |
| 93 | MT700 | 94 | MT701 | 95 | MT705 | 96 | MT707 |
| 97 | MT708 | 98 | MT710 | 99 | MT711 | 100 | MT720 |
| 101 | MT721 | 102 | MT730 | 103 | MT732 | 104 | MT734 |
| 105 | MT740 | 106 | MT742 | 107 | MT747 | 108 | MT750 |
| 109 | MT752 | 110 | MT754 | 111 | MT756 | 112 | MT759 |
| 113 | MT760 | 114 | MT765 | 115 | MT767 | 116 | MT768 |
| 117 | MT769 | 118 | MT790 | 119 | MT791 | 120 | MT792 |
| 121 | MT795 | 122 | MT796 | 123 | MT798 | 124 | MT799 |
| 125 | MT801 | 126 | MT802 | 127 | MT824 | 128 | MT890 |
| 129 | MT895 | 130 | MT896 | 131 | MT899 | 132 | MT900 |
| 133 | MT910 | 134 | MT940 | 135 | MT942 | 136 | MT950 |
| 137 | MT985 | 138 | MT986 | 139 | MT995 | 140 | MT996 |
| 141 | MT998 | 142 | MT999 | 143 | MT761 | 144 | MT775 |
| 145 | MT569 | 146 | MT558 | 147 | MT330 | 148 | MT567 |

F.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 F-2 ISO20022 Message Types

| S.No | Message Type | S.No | Message Type | S.No | Message Type | S.No | Message Type |
|------|-----------------|------|-----------------|------|-----------------|------|-----------------|
| 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 |
| 37 | pacs.002.001.13 | 38 | pacs.007.001.12 | 39 | camt.034.001.06 | 40 | camt.030.001.05 |

F.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 59: Fedwire Message Types**Table F-3 Fedwire Message Types**

| S.No | Message Type | S.No | Message Type | S.No | Message Type | S.No | Message Type |
|------|--------------|------|--------------|------|--------------|------|--------------|
| 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 | FDDRC1031 |
| 25 | FDDRW1032 | 26 | FDSVC1090 | 27 | FDDR1631 | 28 | FDDR1632 |
| 29 | FDSVC1690 | 30 | FDSVC1590 | 31 | FDBTR1500 | 32 | FDDRC1531 |
| 33 | FDDR1532 | - | - | - | - | - | - |

F.4 US NACHA Message Types

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

Table F-4 US NACHA Message Types

| S.No | Message Type | S.No | Message Type | S.No | Message Type | S.No | Message Type |
|------|--------------|------|--------------|------|--------------|------|--------------|
| 1 | IAT | 2 | CTX | 3 | BOC | 4 | RCK |
| 5 | POP | 6 | WEB | 7 | CCD | 8 | TEL |
| 9 | PPD | 10 | ARC | 11 | CIE | - | - |

G

Invoking the PMF Workflow from backend

This appendix describes invoking the Process Modeller Framework (PMF) workflow from the backend for the alert.

Table G-1 PMF Workflow Invoking Parameters

| Parameter Name | Parameter Description |
|--------------------|---|
| Object ID | This represents the unique object ID. For Sanctions, the object ID can be alert ID or Good Guy Whitelist ID. |
| Object Type | This represents the object type for the object ID. For Sanctions, the object type will be 301 for alert and 302 for Good Guy Whitelist. |
| Infodom | This represents the name of the infodom in which Sanctions are installed. |
| Segment | This represents the name of the segment. For Sanctions, it will be TFLSEGMENT . |
| User ID | This represents the User ID that is triggering the workflow. Pass the value as SYSTEM . |
| Locale | This represents the locale. Pass the value as en_US . |
| Application Params | This represents the list of workflow data fields with their respective value. |
| Security Params | This represents the list of workflow security data fields with their respective value. |

To trigger the workflow for Sanctions Alerts, follow the below code snippet.

```

DECLARE
lv_infodom varchar2(4000); lv_segment varchar2(4000);
TYPE alert_record_ids IS TABLE OF fsi_rt_alerts.n_grp_msg_id%TYPE;
l_alert_record_ids alert_record_ids;
appParams array_varchar := array_varchar();
secMap array_varchar := array_varchar(); BEGIN
appParams.extend();
appParams(1) := 'TF_ACTION=MANUAL_CLOSE';
appParams.extend(); appParams(2) := 'Role=SYSTEM'; select t.v_attribute_value1
into lv_infodom
from setup_rt_params t
where t.v_param_name = 'TFLT_INFODOM'; select t.v_attribute_value1
into lv_segment
from setup_rt_params t
where t.v_param_name = 'TFLT_SEGMENT'; select t.n_grp_msg_id bulk collect
into l_alert_record_ids from fsi_rt_alerts t
where t.n_status_cd in (1,2);
FOR recId IN 1 .. l_alert_record_ids.COUNT loop
startWorkflowForExpireRecord(l_alert_record_ids(recId),
'301',
lv_infodom, lv_segment, 'SYSTEM',
'en_US', appParams, secMap);

```

```
end loop;  
EXCEPTION  
WHEN OTHERS THEN  
dbms_output.put_line(SQLCODE || SQLERRM); ROLLBACK;  
END;
```

H

JMS Cluster Environment Creation

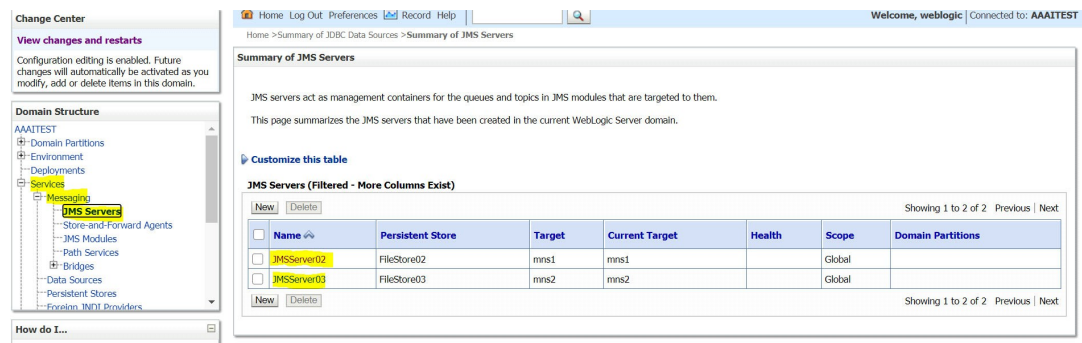
JMS servers act as management containers for the queues and topics in JMS modules that are targeted to them. JMS cluster servers in a domain work together to provide a more scalable and reliable application platform than a single server. A cluster appears to its clients as a single server, but it is a group of servers acting as one.

H.1 JMS Server Creation

To create the JMS server and file store, follow these steps:

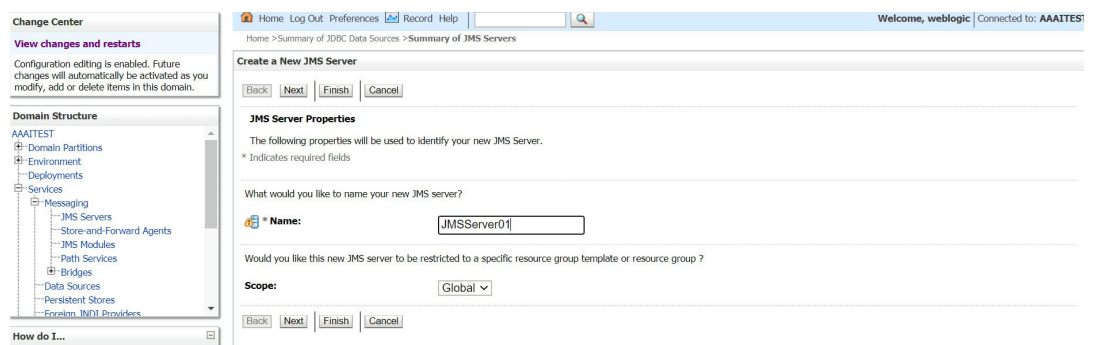
1. Log in to **Weblogic Console**.
2. From the **Domain Structure** select **Services**, click **JMS Servers** from **Messaging** drop-down, and click **New** in the **JMS Servers** table.

Figure H-1 Weblogic Console Page



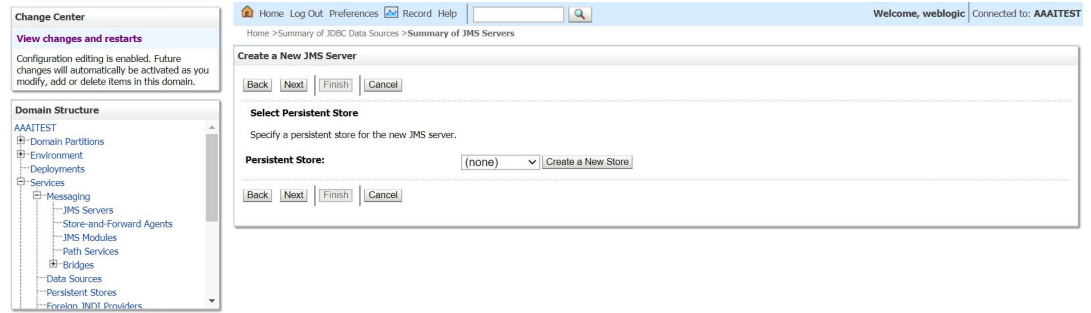
3. In the **JMS Server Properties** page, enter the JMS server name in the **Name** field and click **Next**.

Figure H-2 JMS Server Properties Page



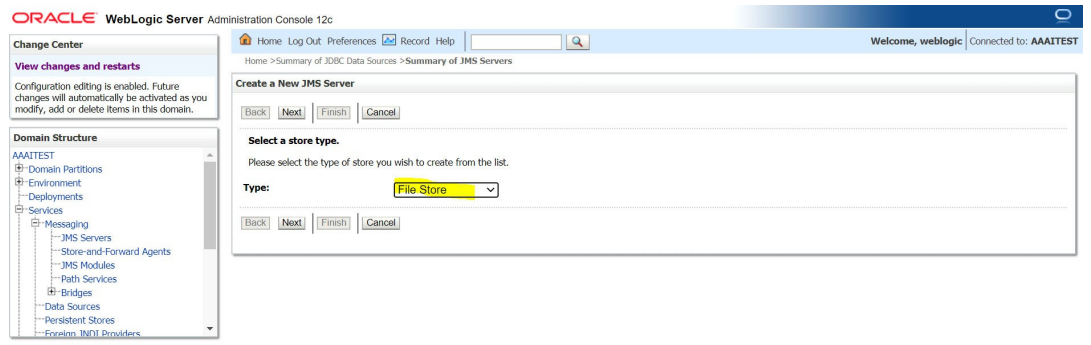
4. In the **Select Persistent Store** page, select **Create a New Store** from **Persistent Store** Field to specify a persistent store for the new JMS server.

Figure H-3 Select Persistent Store page



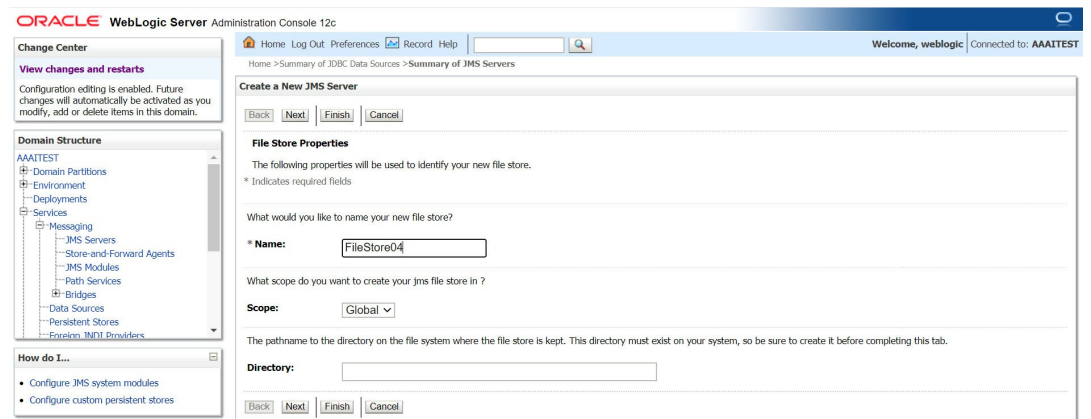
5. In the **Select a store type** page, select **File Store** from **Type** Field and click **Next**.

Figure H-4 Select a store type page



6. In the **File Store Properties** page, enter the new file store name in the **Name** field and click **Next**.

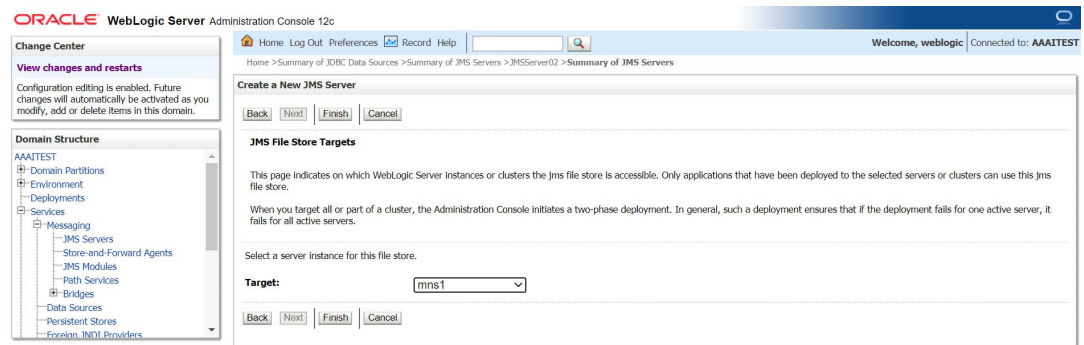
Figure H-5 File Store Properties page



7. In the **JMS File Store Targets** page, select a target as one of the named server from **Target** Field drop down and Click **Finish**.

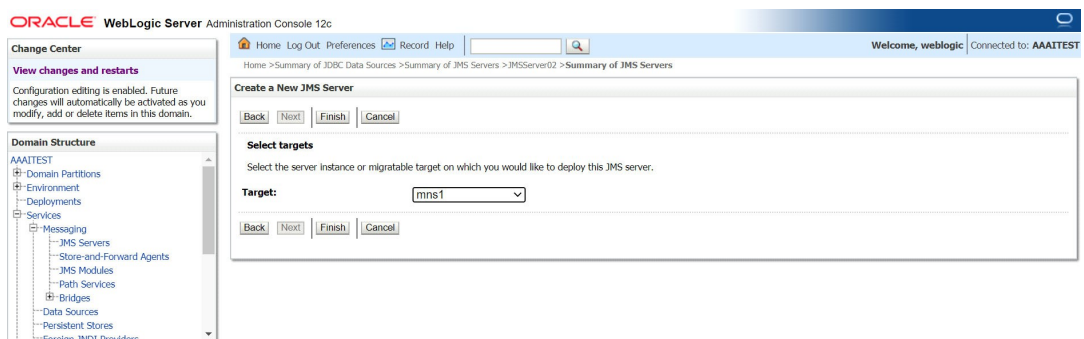
Note

- Only applications deployed to the selected servers or clusters can use the JMS file store.
- When you target all or part of the cluster, the Administration Console initiates a two-phase deployment. Two-phase deployment ensures that if the deployment fails for one active server, it fails for all active servers.

Figure H-6 JMS File Store Targets page**Note**

You will receive a message on successful activation and file store creation.

8. Select the same target name from the **JMS File Store Targets** page in the **Target** field drop down in the **Select targets** page and click **Finish** to create the JMS server and its respective file store.

Figure H-7 Select targets page

H.2 JMS Module Creation

JMS system resources are configured and stored as modules similar to standard Java EE modules. Such resources include queues, topics, connection factories, templates, destination keys, quota, distributed queues, distributed topics, and JMS store-and-forward (SAF)

parameters. You can administratively configure and manage JMS system modules as global system resources.

To Create the JMS Module, follow these steps:

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** Select **Services**, click **JMS Modules** from **Messaging** drop-down, and Click **New** in the **JMS Modules** table.

Figure H-8 Weblogic Console Page

The screenshot shows the Oracle WebLogic Server Administration Console. The left sidebar contains the 'Domain Structure' tree with 'JMS Modules' selected. The main area displays the 'Summary of JMS Modules' page, which includes a table of existing JMS modules. The table has columns for Name, Type, Scope, and Domain Partitions. One module is listed: 'RTI' with Type 'JMSSystemResource' and Scope 'Global'.

| Name | Type | Scope | Domain Partitions |
|------|-------------------|--------|-------------------|
| RTI | JMSSystemResource | Global | |

3. In the **Create JMS System Module** page, enter the JMS Module name as **RTI** in the **Name** field and click **Next**.

Figure H-9 Create JMS System Module Page

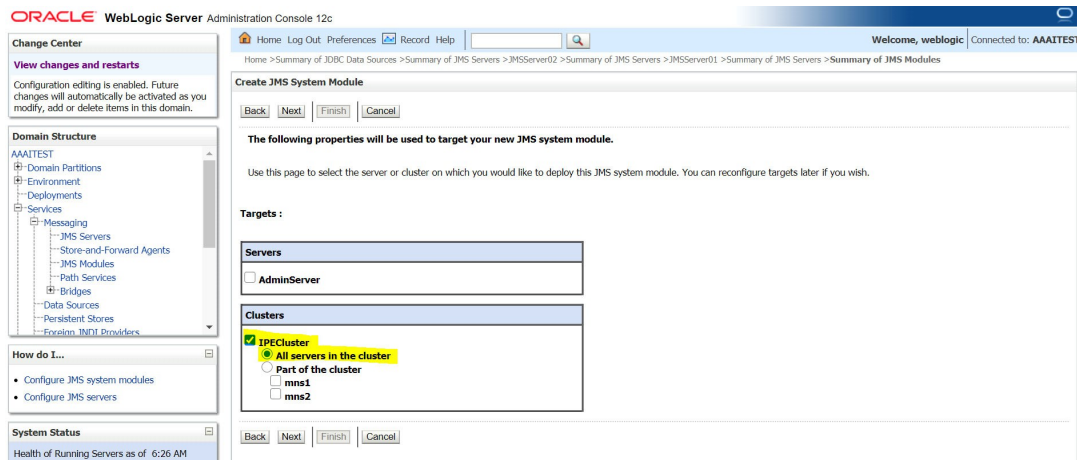
The screenshot shows the 'Create JMS System Module' page. The 'Name' field contains 'RTITest' and the 'Scope' is set to 'Global'. The page includes instructions and a 'Next' button to proceed.

4. Select Servers or Clusters on which you deploy the JMS system module from the **Targets** Field. The cluster name that was created in step 6.1.8 will be listed under **IPECluster**.

Note

You can configure the targets later if required.

Figure H-10 Create JMS System Module

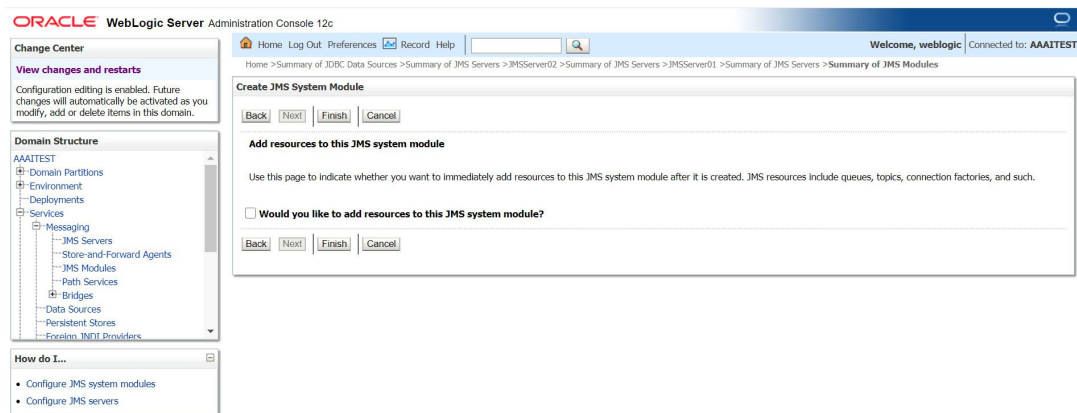


- To add resources to the JMS system module and to create JMS modules check the box in the **Create JMS System Module** page and click **Finish**.

Note

You will receive message on successful creation of the JWS module.

Figure H-11 Create JMS System Module



H.3 Sub-Deployment Creation

A sub-deployment is a mechanism by which JMS module resources such as queues, topics, and connection factories are grouped and targeted to a server resource such as JMS servers, server instances or cluster.

To create the Sub-Deployment follow these steps:

- Log in to **Weblogic Console**.
- From the **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop- down. The **Summary of JMS Module** page is displayed.
- Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.

4. Select **subdeployments** from the tabs.
5. Enter the sub-deployment name as **RTI Deploy** in **subdeployment** table and click **Next**.

Figure H-12 Settings for RTI

The screenshot shows the 'Settings for RTI' page in the Oracle WebLogic Server Administration Console. The 'Subdeployments' tab is selected, showing a table with the following data:

| Name | Resources | Targets |
|---------------------------------------|---|--------------------------|
| <input type="checkbox"/> RTI Deploy | | JMSServer02, JMSServer03 |
| <input type="checkbox"/> RTISubDeploy | RTI Feedback Queue, RTI Hold JMS Queue, Source Entity Queue, Wire Transaction Source Entity Queue, RTI Assessment Response Destination Topic, Cache Operation Message Destination Topic | JMSServer02, JMSServer03 |

6. Select the JMS servers created previously from the **JMS Servers** list from the **Settings for RTI Deploy** page and click **Save**. The **RTI** sub-deployment is created.

Note

You can configure the targets later if required.

Figure H-13 Settings for RTI Deploy Page

The screenshot shows the 'Settings for RTI Deploy' page in the Oracle WebLogic Server Administration Console. The 'Save' button is visible at the top. Below, there are sections for 'Servers', 'Clusters', and 'JMS Servers'. The 'JMS Servers' section has checkboxes for 'JMSServer01', 'JMSServer02', and 'JMSServer03', with 'JMSServer02' and 'JMSServer03' selected.

H.4 Distributed Queues Creation

Depending on the type of resources selected you are prompted to enter the basic information for creating the resources. For target resources like stand-alone queues and topics, connection factories, distributed queues and topics, foreign servers, and JMS SAF destinations you can proceed to target pages for selecting appropriate server targets. You can associate target resources with sub-deployments, which is an advanced mechanism for grouping JMS module resources and the members to server resources. To create the Distributed Queues, follow these steps:

Note

Queues must be created as per the [IPE Configuration](#) guide with the same naming convention. See [JMS Queue Creation for SWIFT, Fedwire and ISO20022 Message Types](#) for information about JMS Queue creation for SWIFT, Fedwire and ISO20022 Message types.

1. Log in to **Weblogic Console**.
2. From the **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop- down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Distribute Queue** from **Create a New a JMS System Module Resource** page.

Figure H-14 Create a New JMS System Module Resource page

The screenshot shows the Oracle WebLogic Server Administration Console interface. On the left, the 'Domain Structure' tree is expanded to 'Services' > 'Messaging' > 'JMS Modules'. The main content area is titled 'Create a New JMS System Module Resource'. It features a 'Choose the type of resource you want to create.' section with several radio button options: Connection Factory, Queue, Topic, Distributed Queue (selected), Distributed Topic, and Foreign Server. Each option has a brief description and a 'More Info...' link. The 'Distributed Queue' option is highlighted with a blue dot.

5. Enter the name and JNDI name in **Name** and **JNDI Name** [Fields respectively as per the IPE Configuration](#) guide and click **Next**.

Figure H-15 JMS Distributed Destination Properties page

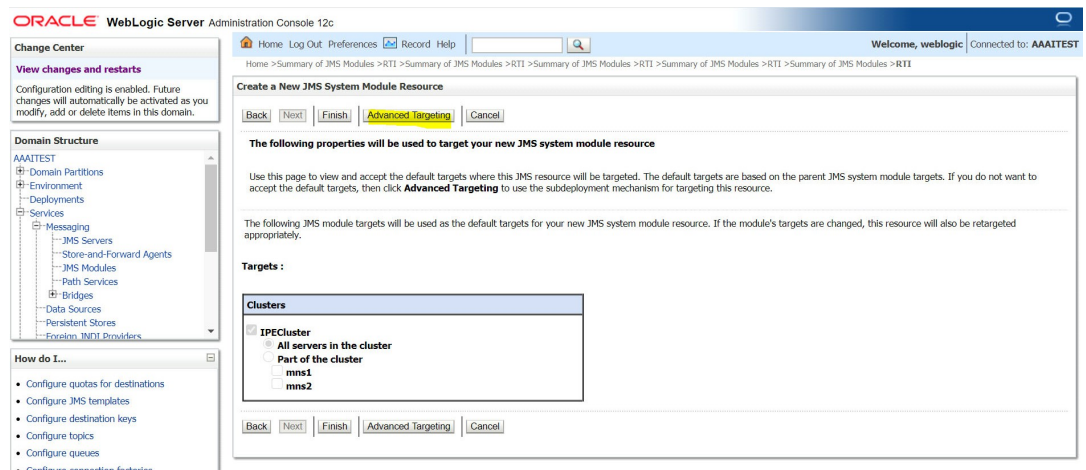
The screenshot shows the 'JMS Distributed Destination Properties' page in the Oracle WebLogic Server Administration Console. The page title is 'Create a New JMS System Module Resource'. Below the title, there are navigation buttons: Back, Next, Finish, and Cancel. The main content area is titled 'JMS Distributed Destination Properties' and contains the following information:

- The following properties will be used to identify your new Distributed Queue. The current module is RTI
- * Indicates required fields
- What would you like to name your new destination?
 - * Name: DistributedQueue01
- What JNDI Name would you like to use to look up your new destination?
 - JNDI Name: jms/feedbackQueue
- Queue members may be either created uniformly from a common configuration, or created and weighted individually to fine tune performance. How would you like to create queue members?
 - Destination Type: Uniform
- Templates provide an efficient means of defining multiple destinations with similar configuration values. Would you like to use a template for this destination?
 - Template: None

 At the bottom, there are navigation buttons: Back, Next, Finish, and Cancel.

6. Select **Advanced Targeting**.

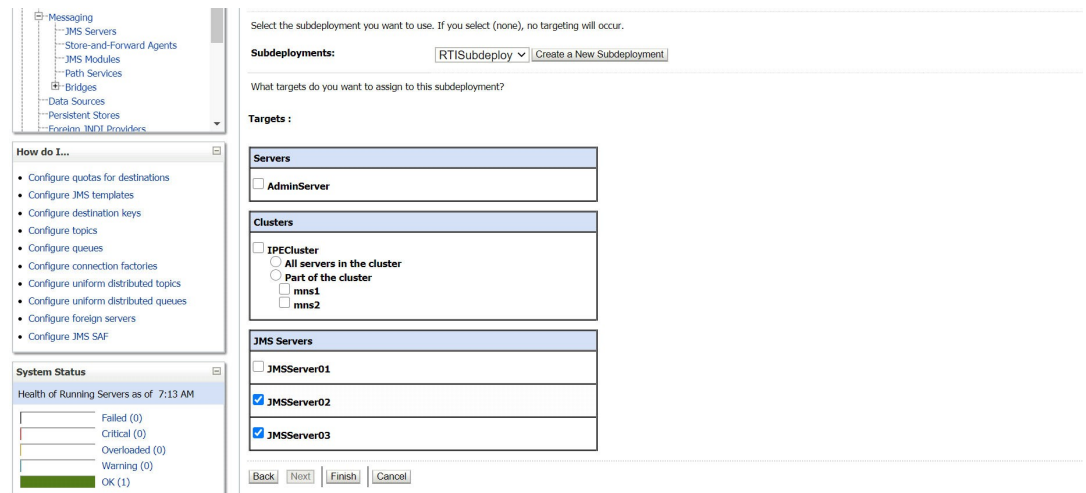
Figure H-16 Create a New JMS System Module Resource page

7. Select **RTISubdeploy** from the **subdeployment** field drop down list and select the JMS servers created. Click **Finish**. The distributed queue is successfully created.

Note

You will receive message on successful creation of the JWS distributed queue.

Figure H-17 Create a New JMS System Module Resource page



H.5 Distributed Topic Creation

To create the Distribute Topic, follow these steps:

Note

Topics must be created as per the [IPE Configuration](#) guide with the same naming convention.

1. Log in to **Weblogic Console**.
2. From **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Distribute Topic** from **Create a New a JMS System Module Resource** page.

Figure H-18 Create a New JMS System Module Resource page

The screenshot shows the Oracle WebLogic Server Administration Console. The left sidebar contains the 'Domain Structure' tree with the path: AAALTEST > Environment > Services > Messaging > JMS Modules. The main content area is titled 'Create a New JMS System Module Resource' and features a 'Choose the type of resource you want to create.' section. The 'Topic' option is highlighted in yellow, and the 'Distributed Topic' option is selected with a radio button. Other options include Connection Factory, Queue, Distributed Queue, Foreign Server, and Quota. Each option includes a brief description and a 'More Info...' link.

5. Enter the name and JNDI name in **Name** and **JNDI Name** [Fields respectively as per the IPE Configuration](#) guide and click **Next**.

Figure H-19 JMS Distributed Destination Properties page

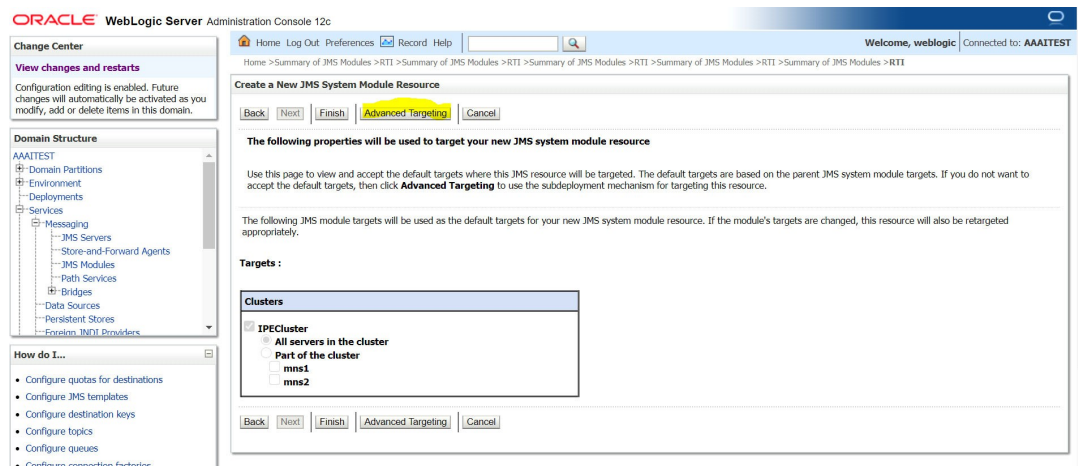
The screenshot shows the Oracle WebLogic Server Administration Console. The left sidebar contains the 'Domain Structure' tree with the path: AAALTEST > Environment > Services > Messaging > JMS Modules. The main content area is titled 'JMS Distributed Destination Properties' and contains the following form fields:

- Name:** DistributedTopic01
- JNDI Name:** jms/topics1
- Destination Type:** Uniform (dropdown menu)
- Forwarding Policy:** Replicated (dropdown menu)
- Template:** None (dropdown menu)

 The page also includes instructions and a note: '* Indicates required fields'.

6. Select **Advanced Targeting**.

Figure H-20 Create a New JMS System Module Resource page

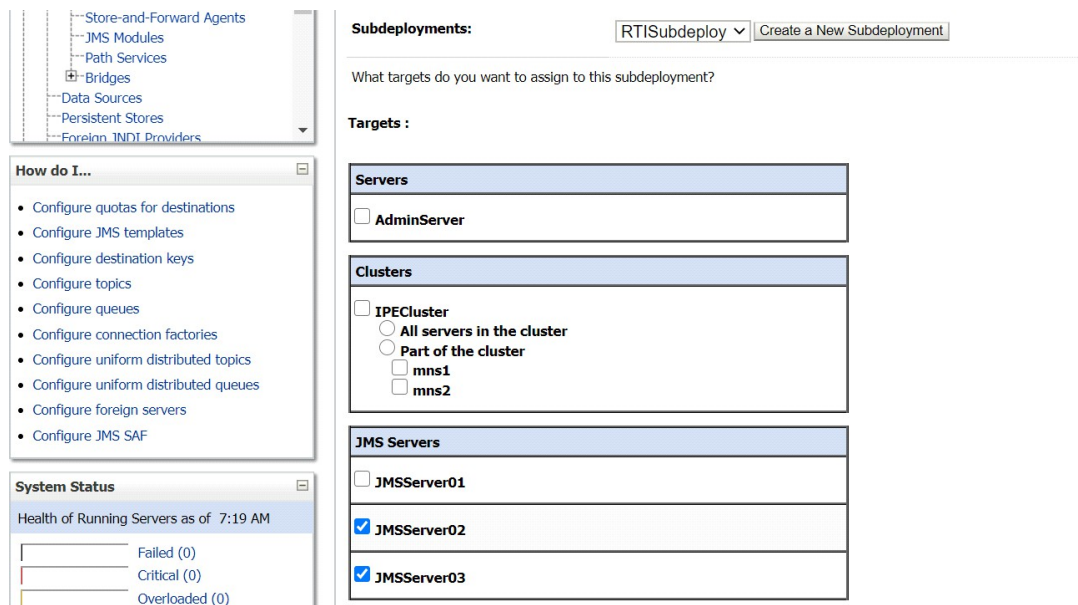


7. Select **RTISubdeploy** from the **subdeployment** field drop down list and select the JMS servers created. Click **Finish**. The distributed topic is successfully created.

Note

You will receive message on successful creation of the JWS distributed topic.

Figure H-21 Create a New JMS System Module Resource page



H.6 Connection Factory Creation

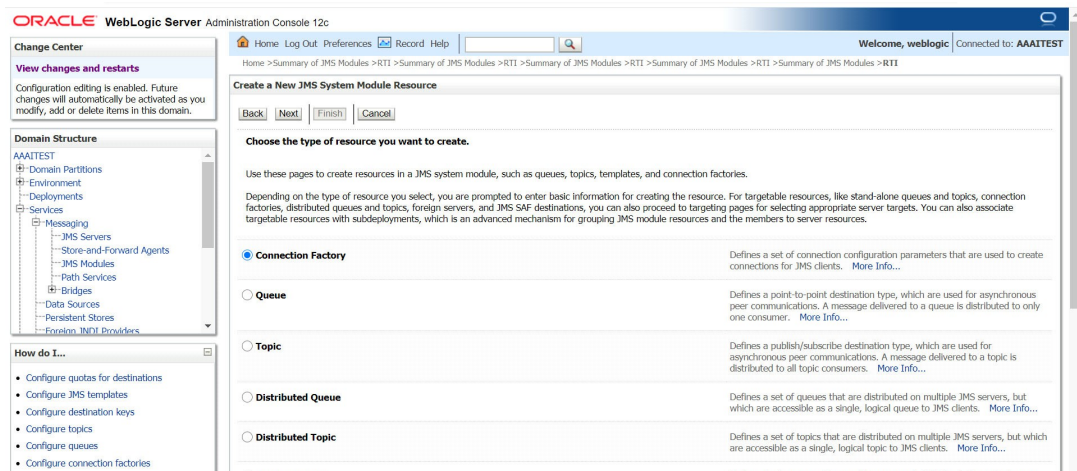
To create the Connection Factory, follow these steps:

Note

Connections must be created as per the [IPE Configuration](#) guide with the same naming convention.

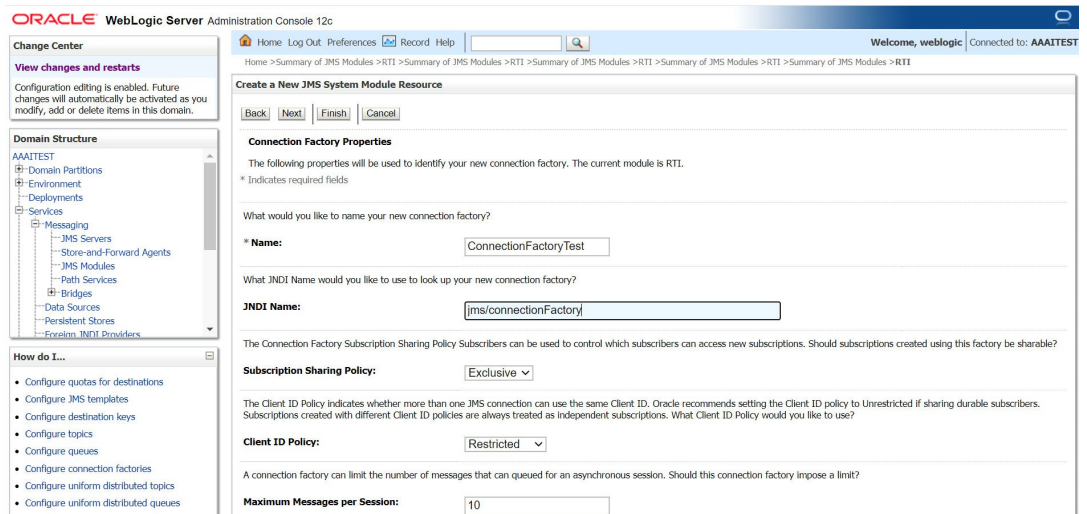
1. Log in to **Weblogic Console**.
2. From **Domain Structure** Select **Services** and click **JMS Modules** from **Messaging** drop-down. The **Summary of JMS Module** page is displayed.
3. Select **RTI** from **JMS Modules** table. The **Settings for RTI** page is displayed.
4. Click **New** and select **Connection Factory** from **Create a New a JMS System Module Resource** page.

Figure H-22 Create a New JMS System Module Resource page



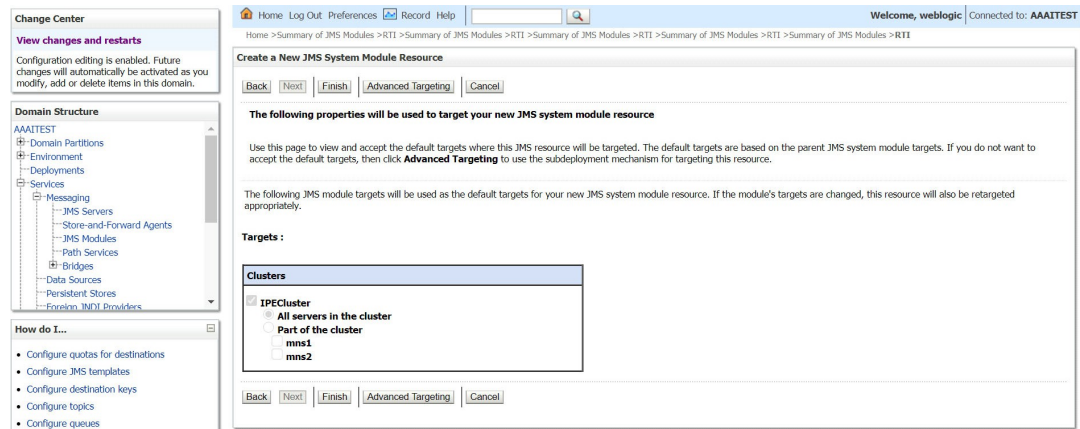
5. Enter the name and JDNI name in **Name** and **JNDI Name** Fields respectively as per the IPE Configuration guide and click **Next**.

Figure H-23 Connection Factory Properties page



6. Select **Advanced Targeting**.

Figure H-24 Create a New JMS System Module Resource page



7. Select the JMS Servers created and Click **Finish**. The Connection Factory is successfully created.

Note
You will receive message on successful creation of the JWS Connection Factory.

H.7 JMS Queue Creation for SWIFT, Fedwire and ISO20022 Message Types

The JMS Queues for Fedwire and ISO20022 are created similar to JMS Queue for SWIFT. For more information about JMS Queue creation, see the [IPE Configuration guide](#).

The following table provides the information about the JMS queues for SWIFT, Fedwire and ISO2022 message types.

Table H-1 WebLogic JMS Queues - Field Value

| Message Type | Queue Name | Fields | - | - |
|--------------|------------------------------|---|---|--|
| - | - | Name | JNDI name | Subdeployment |
| SWIFT | RTI Source Entity Queue | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceEntityQueue | Select the Subdeployment as RTISubDeploy |
| FedWire | RTI Source Fed Entity Queue | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceFedEntity-Queue | Select the Subdeployment as RTISubDeploy |
| ISO20022 | RTI Source Sepa Entity Queue | Enter the name as RTI Source Entity Queue | Enter the JNDI name as jms/sourceSepaEntity-Queue | Select the Subdeployment as RTISubDeploy |

User Group Customization

When a new user group for Transaction Filtering is created from Oracle Financial Services Analytical Applications (OFSAA) user Interface (UI), you must insert an entry in the `CSSMS_GROUP_MAST_PACK` table manually with the product id `OFS_TF`.

J

Configurations for the Bearer Token

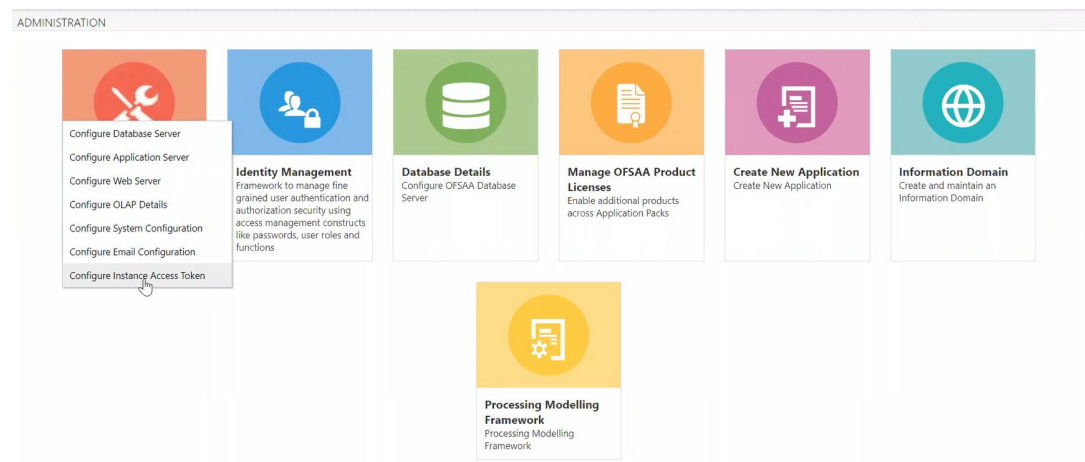
- The following section takes you through the process of generating a token and using it to get the individual or entity JSON, depending on the API request. A token is used to authorize the request.
- You can begin by generating a password for the user who sends the request. After the password is generated, generate a token to authorize this request. The default time for token expiration is 3600 seconds (1 hour) and can be changed. To change the validity, see [Change Token Validity](#).

J.1 Generate User Password

To generate a password for the user, follow these steps:

1. Log in as a system administrator.
2. Click **System Configuration** in the **Administration** page and select **Configure Instance Access Token**. The **Configure Instance Access Token** window is displayed.

Figure J-1 Administration Page



3. In the **Configure Instance Access Token** section, click **Add**. A new window is displayed.

Figure J-2 Configure Setup Access Token

Configure Instance Access Token

Instance Name Reset Search

Configure Instance Access Token

+ Add

| Instance Name | Instance Access Token |
|---------------|--------------------------------------|
| TFLT | 97b69571-55d3-4b9b-a673-84d4ff1b5305 |

Page (1 of 10 items) < 1 > ✕

4. Enter the username in the **Instance Name** field and click **Generate Token**. The token is displayed in the **Instance Access Token Details** section.

Figure J-3 Generate Token Button

Configure Instance Access Token

* Instance Name Generate Token Close

Instance Access Token Details

5. Copy and save the text generated in the **Instance Access Token Details** section.

Figure J-4 Setup Access Token Details

Configure Instance Access Token


* Instance Name: TFLT

Generate Token Close

Instance Access Token Details

```
STP_ACC_NM=TFLT
STP_ACC_STR=VEZMVdplZTU1NTZmZC0wYzhlTRiZmM4YlYkY0zYmYzNDwYmQyMDU=
STP_ACC_TKN=ee5556fd-0c8e-4bfc-a9db-3bf3410bd205
```

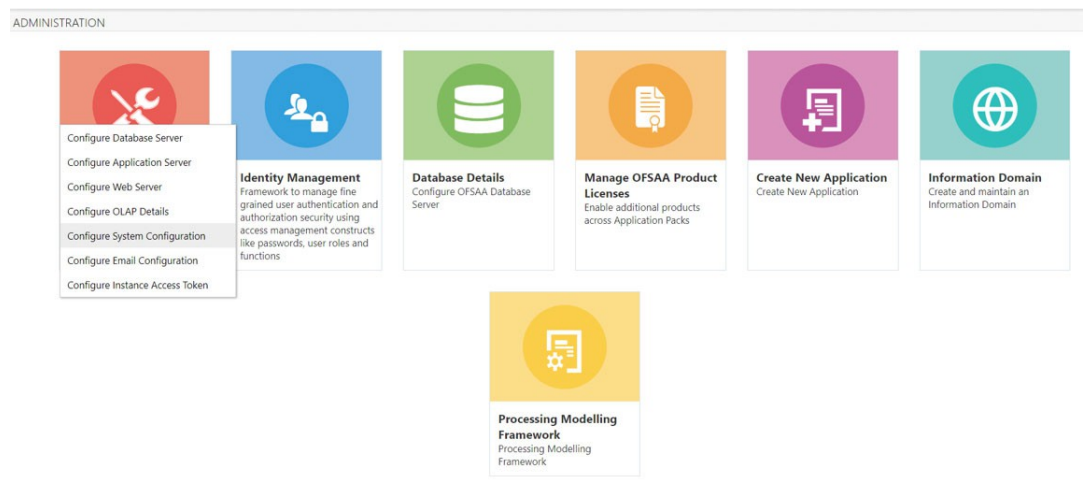
The **STP_ACC_NM** field displays the username. The **STP_ACC_TKN** field displays the password.

- Click **Close**  and log out as the system administrator.

J.2 Change Token Validity

To generate a password for the user, follow these steps:

- Log in as a system administrator.
- Click **System Configuration** in the **Administration** page and select **Configure System Configuration**. The **Configuration** window is displayed.

Figure J-5 Administration Page

- In the **Configuration** window, change the token validity time in the **API token validity** in **seconds** field.

Figure J-6 Configuration window with the API token validity in seconds field shown

The screenshot shows the Oracle Configuration window. At the top right, there are 'Save' and 'Cancel' buttons. Below the window title, it says 'Configuration' and 'Environment Details'. The current environment is 'Database - ORACLE' on 'Server - Unix'. The 'Others' tab is selected, showing the following settings:

- Number of invalid logins: 10
- Path for Application Packaging: (empty field)
- Session Timeout Value(in minute): 50
- Link based token validity in minutes: 60
- API token validity in seconds: 3600
- Enable batch operation notification:
- Enable batch owner notification only:
- Security Question Enable:

4. Click **Save**.

J.3 Generate Token

After the password is generated, you can generate the token. To generate the token, open your API client and follow these steps:

Note

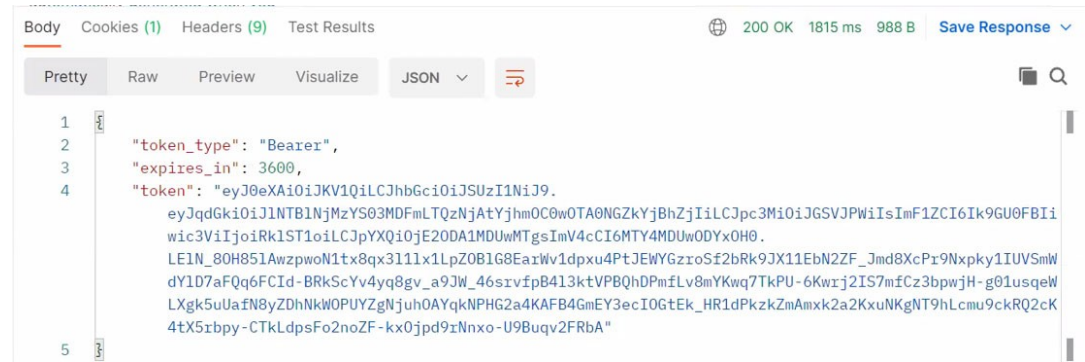
- You may use the desktop version of the Postman client to perform these steps. Postman is an open-source, collaborative platform for API development. For more information, see [Postman Docs](#).
- You can also use any other API client, such as cURL. For more information, see [REST APIs for Oracle Database](#).

1. Open the Postman client and click **Create a request**.
2. Select the request type as **GET** and enter the request URL in the following format:
##APP_URL##/rest-api/auth/v1/token

Figure J-7 Request

The screenshot shows the Postman client interface. The request type is set to 'GET' and the URL is 'http://fsgbu-mum-239.snbonprshared1.gbucdsint02bom.oraclevcn.com:7001/SANC812/rest-api/auth/v1/token'. The 'Authorization' tab is selected, showing 'Basic A...' as the type. The 'Username' field contains 'TFLT' and the 'Password' field is masked with dots. There is a 'Show Password' checkbox which is unchecked. A warning message is displayed: 'Heads up! These parameters hold sensitive data. To keep this data secure while working in a collaborative environment, we recommend using variables. variables'.

3. Select the **Authorization** menu and then select the **TYPE** as **Basic Auth**.
4. Enter the username and password.
The username is the value generated for the **STP_ACC_NM** attribute and the password is the value generated for the **STP_ACC_TKN** attribute.
5. Click **Send**. The token is displayed in the **Response** field.

Figure J-8 Response


```

Body  Cookies (1)  Headers (9)  Test Results  200 OK  1815 ms  988 B  Save Response
Pretty  Raw  Preview  Visualize  JSON  [icon]
1  {
2  "token_type": "Bearer",
3  "expires_in": 3600,
4  "token": "eyJ0eXAiOiJKV1QiLCJhbGciOiJSUzI1NiJ9.eyJqdGkiOiJlNTB1NjMzYS03MDFmLTQzNjAtYjhmOC0wOTA0NGZkYjBhZjIiLCJpc3MiOiJGSVJPWmIiImF1ZCI6Iks9GU0FBiIiwic3ViIjoiRk1ST1oiLCJpYXQiOiJE20DA1MDUwMTgsImV4CI6MTY4MDUwODYxOj00H0.LElN_80H851AwzpwN1tx8qx3111x1LpZ0B1G8EarWv1dpxu4PtJEWYGzroSf2bRk9JX11EbN2ZF_Jmd8XcPr9Nxpky1IUVSmWdY1D7aFQq6FCId-BRkScYv4yq8gv_a9JW_46srfpB413ktVPBQhDPmFLv8mYKwq7TtkPU-6Kwzj2IS7mfCz3bpwjH-g01usqeWLXgk5uUafN8yZDhNkW0PUYZgNjuh0AYqkNPHG2a4KAFB4GmEY3ecIOGtEk_HR1dPkzkZmAmxk2a2KxuNKGNT9hLcmu9ckRQ2cK4tX5rbpy-CTkLdpsFo2noZF-kx0jpd9zNnxo-U9Buqv2FRbA"
5  }

```

J.4 Send Requests

1. Do the following configuration before sending the request using the **POST** request feature.
 - a. Go to the path `##DOMIAN_HOME##/applications/##context.ear##/##context.war##/conf`
 - b. Open the `RestAPIConf.properties` file.
 - c. Add the hostname and port values inside the `RestAPIConf.properties` file For Example: `hostname=fsgbu-mum-239.snbomprshared1.gbucdsint02bom.oraclevcn.com port=7001`
2. Requests are sent using the **POST** request feature. Use the token generated to authorize the request and pass the JSON in the correct format.

Note

- You may use the desktop version of the Postman client to perform these steps. Postman is an open-source, collaborative platform for API development. For more information, see [Postman Docs](#).
- You can also use any other API client, such as cURL. For more information, see [REST APIs for Oracle Database](#).

1. In the Postman client, select the request type as **POST** and enter the request URL in the following format:
 - For SWIFT: `##APP_URL##/rest-api/TFService/message/postMessage- ToQueue? queueName=sourceEntityQueue&msgCheckFlag=N`
 - For ISO20022: `##APP_URL##/rest-api/TFService/message/postMessage- ToQueue? queueName=sourceSepaEntityQueue&businessName=RT SEPA Message Attributes&domain=SR&msgCheckFlag=N&externalData=Message Direction:OUTBOUND`

- For Fedwire: ##APP_URL##/rest-api/TFService/message/postMessage- ToQueue? queueName=sourceFedEntityQueue&msgCheckFlag=N

Figure J-9 Request

The screenshot shows the Request tab of a REST client. The URL is `http://<SERVER_NAME>:<PORT_NO>/<CONTEXT_NAME>/rest-api/TFService/message/postMessageToQueue?queueName=sourceEntityQueue&msgCheckFlag=N`. The Query Params section is expanded, showing a table with the following data:

| Key | Value | Description |
|--------------|-------------------|-------------|
| queueName | sourceEntityQueue | |
| msgCheckFlag | N | |
| Key | Value | Description |

2. In the **Authorization** menu, select the **TYPE** as **Bearer Token**.

Figure J-10 Authorization

The screenshot shows the Authorization tab of a REST client. The URL is the same as in Figure J-9. The Auth Type is set to **Bearer Token**. A warning message states: "Heads up! These parameters hold sensitive data. To keep this data secure while working in a collaborative environment, we recommend using variables. Learn more about variables." Below this, there is a field labeled "Token" with a placeholder text "Token".

3. Paste the token generated in the **Token** field.
4. Select **Body** tab and select **raw**.
5. Insert the message in the text field.
6. Click **Send**.

Figure J-11 Body Tab

The screenshot shows the Body tab of a REST client. The URL is the same as in Figure J-9. The Body type is set to **raw**. The raw data is as follows:

```

1  [{"1":"118151185VDA0000891783185"}]
2  [{"2":"1667DC8KPPYRUH9893"}]
3  [{"3":["113":7662]}]
4  [{"4":}]
5  [{"5":"DENL"}]
6  [{"6":"ABCD//new667test"}]
7  [{"7":"ABCD/ABCD"}]
8  [{"8":"ABCD/ABCD/ABCD"}]
9  [{"9":"PREP//20191019"}]
10 [{"10":"LINK"}]
11 [{"11":"ABCD//AB1"}]
12 [{"12":"ABCD//MessageTest"}]
13 [{"13":"LINK"}]
14 [{"14":"STAT"}]
15 [{"15":"ABCD/ABCD/ABCD"}]
16 [{"16":"REAS"}]
17 [{"17":"ABCD/ABCD/ABCD"}]
18 [{"18":"BICA//S1185VDA"}]

```

K

Function Codes for User Groups

All actions or functions in the Transaction Filtering (TF) application is configured with a function code. You can define the functionalities for the particular user group by assigning the required functional code to the user group. If a function code is mapped to the user group, the functionality corresponding to the functional code is enabled in the UI.

Table K-1 Function Codes for User Groups

| Function Codes | Function Name and Description | TFLTANY ST | TFLT SUP V | TFSNRSU-PER | TFREADO NLY |
|----------------|--|------------|------------|-------------|-------------|
| TFQALLALRT | TF Queue All Alerts Access: Access to View All Alerts on the List Page through Queue | - | - | | |
| TFAC SALLQ | TF All Queue Open Access: Access to open any queue in the Queue dashboard | - | - | | |
| TFQGETNEX T | TF Get Next Queue Access: Access to get the next queue alerts on the details page | - | - | | |
| TFQGNXTALL | TF Get Next Access to View All Alerts: Access to view all alerts from get next in the queue | - | - | | |
| TFALRTASGN | TF Alert Assignment Access: Access to assign alerts when the user opens an alert from the List Page | | | | - |
| TFALATCHM T | TF Alert List Attachment Access: Access to select and save attachments for an alert in the List Page | | | | - |
| TFBLKACNT | Transaction Filtering Bulk Update Access: This function gives access to Bulk Update in List Page. | - | - | | - |
| TFADATCHM T | TF Alert Details Attachment Access: Access to select and save attachments for an alert on the Details Page | | | | - |
| TFEVTDEC N | TF Event Decision Access: Access to take event-level action in alert Details Page | | | | - |

Table K-1 (Cont.) Function Codes for User Groups

| Function Codes | Function Name and Description | TFLTANY ST | TFLT SUP V | TFSNRSU- PER | TFREADO NLY |
|----------------|---|---------------|------------------|-----------------|----------------|
| TFEVNTCMT S | TF Event Level Comments Access: Access to add or update event-level comments in the alert Details Page | | | | - |
| TFALRTDECN | TF Alert Decision Access: Access to take alert level action for an alert on the Details Page | | | | - |
| TFLTLMACTN | TF List Management Actions Access: Access to List Management Action Buttons | - | | | - |
| TFLISTMGMT | TFLISTMGMT: Access to TF List Management under the Navigation menu | - | | | |
| TFBLKTKACN | Bulk Action Function Code | | | - | - |
| TFWSINVADT | TF Wire Stripping Investigation Audit Access: Access to insert audit for ws investigation against compared alert into current alert audit history | | | | - |

 **Note**

If you configure any of the following function codes to a user group, you must also configure the TFALRTASGN function code to the user group as a mandatory function code:

- TFADATCHMT
- TFEVNTDECN
- TFEVNTCMTS
- TFWSINVADT

L

Setting the ZEPPELIN_INTERPRETER_OUTPUT_LIMIT in Python Interpreter

An interpreter is a program that directly executes instructions written in a programming or scripting language without requiring them previously to be compiled into a machine language program.


Interpreters are plug-ins that enable users to use a specific language to process data in the backend. In Compliance Studio, Interpreters are used in Notebooks to execute code in different languages. Each The interpreter has a set of adjusted and applied properties across all notebooks. For more information on Interpreter Configuration and Connectivity, see [OFS Compliance Studio Administration and Configuration Guide](#).

Using the `zeppelin.interpreter.output.limit` field you can enter the output message limit. Any message that exceeds the limit is truncated.

L.1 Configuring through the UI

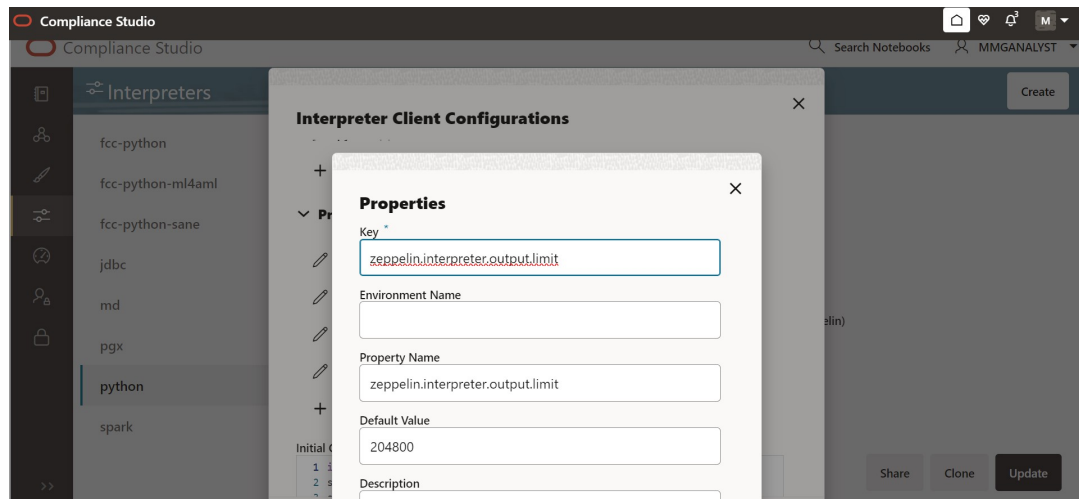
Follow the subsequent steps to configure the `zeppelin.interpreter.output.limit` through the UI:

Using the Wizard Screen:

1. Click the **User** Icon right top corner.
2. Go to **Data Studio Options**.
3. Click **Interpreters**. The Interpreters page is displayed.
4. select the python interpreter for which you want to configure the `zeppelin.interpreter.output.limit`.
5. Select python from the LHS options.
6. Click on the Wizard  Icon.
7. From the RHS side click on **oracle.datastudio.python.DsPythonInterpreter** under Interpreter Client Configurations. The Interpreter Client Configuration popup is displayed.
8. Under Properties, click on +Properties. The Properties popup is displayed.
9. Fill the options as shown in the following spring-postSacalert.properties file figure . Set the default value to 870400 (for 1000 records approx.).


Note

- Configuration using the Wizard screen is preferable to other ways of configuration.
- If the data is more than 1000 records, update the **zeppelin.python.maxResult** in properties to the desired value and **zeppelin.interpreter.output.limit** as $870.4 \times \text{maxResult}$.
- If you cannot see the **Create** and **Cancel** buttons, click on the header label of the Properties window.
- The default value for `zeppelin.interpreter.output.limit` is 102400 (in bytes)
- Increasing the default value from 102400 bytes to an immense value will slow down the rendering of outputs of python paragraphs.

Figure L-1 spring-postSacaAlert.properties file

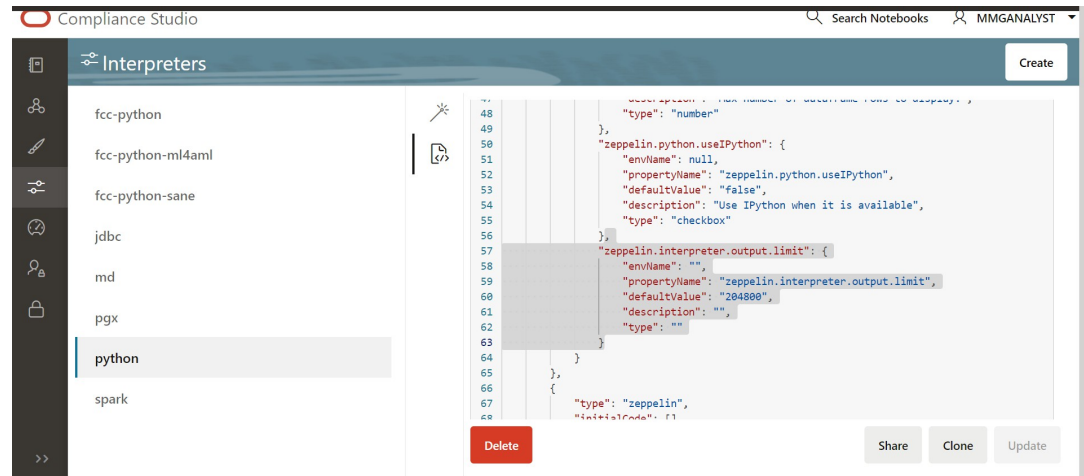
10. Click **Create**. The Interpreter Client Configuration popup is displayed and **zeppelin.interpreter.output.limit** is displayed under **Properties**.
11. Click **Confirm**. The Interpreter Client Configuration window is displayed.
12. Click **Update**.
13. Restart the Compliance Studio application to reflect the changes.

Configuration through JSON Screen:

1. Click the **User** Icon right top corner.
2. Go to **Data Studio Options**.
3. Click **Interpreters**. The Interpreters page is displayed.
4. select the python interpreter for which you want to configure the **zeppelin.interpreter.output.limit**.
5. Select python from the LHS options.
6. Click on the  Icon. The JSON configuration screen is displayed.

7. Scroll down and locate `interpreterClientConfigs` with `className` `oracle.datastudio.python.DsPythonInterpreter`. you can find the properties section with zeppelin configurations.
8. Add the `zeppelin.interpreter.output.limit`. See the following figure .

Figure L-2 JSON Screen



9. The update button will be enabled in the bottom right corner after the JSON modification. Click **Update**.
10. Restart the Compliance Studio application to reflect the changes.

L.2 Configuring through the Filesystem

Follow the subsequent steps to configure the `zeppelin.interpreter.output.limit` through the filesystem:

1. Go to the python interpreter option as pointed out in section [Configuring through the UI](#). You can see the python interpreter listed there if you have run the MMG services before. Delete it, if you run the MMG Application for the first time on a fresh schema, then you don't need to do this step.
2. After deleting the python interpreter or if the start has not been done, go to the filesystem inside `mmg-home/mmg-studio/server/builtin/interpreters`, and open `python.json` in a text editor.
3. Scroll down under `interpreterClientConfigs` with `className` `,racle.datastudio.python.DsPythonInterpreter`, you will find the following properties section with Zeppelin configurations. After the last entry in properties, add the `zeppelin.interpreter.output.limit` using the JSON screen.
4. Save the `python.json` with the desired default value.
5. Restart the Compliance Studio application to reflect the changes.

Figure L-3 Output in table view

| Column_1 | Column_2 | Column_3 | Column_4 | Column_5 | Column_6 | Column_7 | Column_8 |
|---------------------|---------------------|----------------------|---------------------|----------------------|----------------------|---------------------|------------------|
| -0.8933910191898379 | 0.7613799878489635 | 0.75806146330438 | 1.2753426005586657 | -1.5934944618973514 | 0.5965222292150769 | 0.5829090157274303 | -0.197946806574 |
| -0.4792920585860974 | 0.6014851803485978 | -0.07350947398693965 | 0.06001880557421651 | -0.06466793427830368 | -0.44494929367260394 | -0.8361218782799762 | -1.4185312486264 |
| 0.4790844079384656 | -1.34332772958042 | -1.2684080797668027 | 0.8988179711893556 | -0.709742130514915 | -1.9365143492049126 | 0.1481468677129027 | -0.419456821682 |
| 0.03732633828712172 | 0.33468022887354104 | -1.547544190292229 | -0.8939236490440552 | -0.7403558285426715 | -0.7646700982508163 | 1.7847515628537471 | 0.1669535658351 |
| 0.42289642019235335 | -1.626284936446582 | 0.7038916058037783 | 0.4856477230960553 | 0.8823036516706713 | 1.84012324449352867 | -1.4962853947932677 | -0.011098415694 |

Page 1 of 105 (1-5 of 521 items) | 1 2 3 4 5 ... 105 | Load More

Output is truncated to 204800 bytes. Learn more about ZEPPELIN_INTERPRETER_OUTPUT_LIMIT

You can see the ZEPPELIN_INTERPRETER_OUTPUT_LIMIT value as a warning if the table content is more than the set default value for `zeppelin.interpreter.output.limit`, and accordingly, you can modify the default value for the same.

M

API to Check the Status of EDQ Job

You can check the status of the EDQ job by sending a real-time request in GET method. To execute the request, follow the subsequent steps:

1. Open Postman or a relevant tool.
2. Go to the Header tab.
3. Send a request using the GET method. The request must be in the following format:
`http://<App_Host>:<App_Port>/TFLT/service/checkEDQ?edqUrl=http://<Edq_Host>:<Edq_Port>`

Enter the following optional parameters in the Query Params table:

Table 2: Query Params for Individual Screening

Table M-1 Query Params for Individual Screening

| Key | Value |
|------------------|----------------------|
| extraServiceName | < WEBSERVICE URL> |
| timeoutSeconds | <Place Holder Value> |

Note

The Key and Value fields are case sensitive.

You will get the following sample response for a successful execution:

```
{ "payload": [ { "serviceUrl": "http://100.76.129.18:8001/edq/restws/  
Transaction_Screening:Name_x20_x26_x20_Address_x20_Screening", "serviceName":  
"Name & Address Realtime Screening", "responseCode": 200, "status": "SUCCESS" },  
{ "serviceUrl": "http:// 100.76.129.18:8001/edq/restws/ Transaction_Screening:  
Identifier_x20_Screening", "serviceName": "Identifier Screening", "responseCode":  
200, "status": "SUCCESS" }, { "serviceUrl": "http:// 100.76.129.18:8001/edq/restws/  
Transaction_Screening:  
Country_x20_x26_x20_City_x20_scanning_x20_Web_x20_Se rvice", "serviceName":  
"Country And City Scanning", "responseCode": 200, "status": "SUCCESS" },  
{ "serviceUrl":  
"http:// 100.76.129.18:8001/edq/restws/ Transaction_Screening:  
Narrative_x20_Web_x20_Service", "serviceName": "Narrativ e  
Screening", "responseCode":  
200, "status": "SUCCESS" }, { "serviceUrl": "http:// 100.76.129.18:8001/edq/restws/  
Transaction_Screening:  
Port_x20_Screening", "serviceName": "Port  
Screening", "responseCode": 200, "status": "SUCCESS" },  
{ "serviceUrl": "http:// 100.76.129.18:8001/edq/restws/  
Transaction_Screening:Goods_x20_Screening",  
"serviceName": "Goods
```

```
Screening", "responseCode": 200, "status": "SUCCESS"}], "message":  
"EDQ and Enabled webservices are up.", "status": "SUCCESS" }
```

N

API to Check the Sanctions Alert Status

You can check the status of Sanctions alerts by sending a real-time request in GET method. To execute the request, follow the subsequent steps:

1. Open **Postman** or a relevant tool.
2. Go to the **Header** tab.
3. Send a request using the **GET** method. The request must be in the following format:
`http://<App_Host>:<App_Port>/<context name>/SanctionsService/alertsZipper/getAlertSummary?alertId=<alertId>`

You will get the following **sample response** for a successful execution:

```
{
  "response": {
    "autoreleaseflag": "N",
    "msgclasskey": "-1",
    "createddate": "11-Feb-25 12.43.01 AM",
    "overdueslanotifsts": "",
    "grpmsgtype": "pacs.003.001.02",
    "slamindate": "",
    "autoactionstatuscd": "",
    "modifieddate": "17-Feb-25 11.59.08 AM",
    "lastmodifiedby": "SYSTEM",
    "statuscd": "2",
    "lockedtimedate": "21-Feb-25 12.40.51 AM",
    "score": "99",
    "createdby": "SYSTEM",
    "entityName": "TF",
    "biccode": "",
    "applicablestatus": "",
    "dataOrigin": "TF_L1",
    "assigneeuser": "TFANALYST",
    "msgclasscode": "",
    "cutoffendmindate": "",
    "msgtype": "2",
    "responseid": "511983",
    "direction": "OUTBOUND",
    "displaycutofftimezone": ": ",
    "owner": "",
    "grpmsgid": "99025",
    "comments": "Alert is Created, Transaction is on Hold",
    "entityCode": "512009",
    "entityType": "TF_ESC_ALERT",
    "focusFlag": "N",
    "jurisdictioncode": "All",
    "priority": "1",
    "businessdomian": "All",
    "biccodekey": "-1",
    "alertreceiveddate": "2025-02-11T12:43:00Z",
```

```
"alerttype": "1",  
"overduenotifsts": "",  
"lockedby": "TFANALYST",  
"entityTypeCode": "TF_ESC_ALERT",  
"riskscore": "99",  
"fiswsalert": "N",  
"alertid": "512009"  
},  
"message": "Alert summary retrieved for this Id=512009",  
"status": "SUCCESS"  
}
```




ISO Batch Performance Improvement

You can improve the ISO batch performance using the following options:

- Multiparser
- MultiEDQ
- MultiFeedback.

O.1 Multiparser

Follow the subsequent steps to improve the ISO batch performance using the multiparser option:

1. Create a **ficdb**, **fichome** and **inputXML** folder in target server(s).
2. Copy the entire **ficdb** folder and files under **ficdb** from Master server (OFSAA ficserver) to target server's **ficdb** folder.
3. Create a **conf** folder under **fichome** in target server.
4. Copy the entire files under `$FIC_HOME/conf` from Master server to target server's **fichome/conf** folder.
5. Add the absolute path of **ficdb** with label **FIC_DB_HOME** to `.profile` in target server.
For example: `export FIC_DB_HOME=<FIC_DB_HOME_PATH>` is a command that you need to enter in `.profile`.
6. Add the absolute path of **fichome** with label **FIC_HOME** to `.profile` in target server.
For example: `export FIC_HOME=<FIC_HOME_PATH>` is a command that you need to enter in `.profile`.
7. Add the parser server details to **FCC_TF_ISOBATCH_PARSER_SERVERS** table which will be used for multiParser using the subsequent utility:
In Master server, Navigate to `$FIC_DB_HOME/bin` and execute `./ISOBatchParserServerInsert.sh <infodom_name>` to add target server(s) when prompted.

For example: `./ISOBatchParserServerInsert.sh SANC812INFO` is the command that you need to execute.

Note

Task1 (TF_CallXMLParser) of ISO20022 Batch has two operational modes:

- normal (N)
- multiparser (M)

By default, parser will execute in normal mode(N).

8. Change the operational mode only in Master server's `CallXMLParser.sh` under **ficdb/bin** folder.

Note

Target Servers operational mode should always be N.

9. Once the batch message files are placed in the Master server's XML PATH, Navigate to `$FIC_DB_HOME/bin` path and execute `./ISOBatchInputFilesDistributor.sh <infodom_name> <mis_date_xml_path>`. It will distribute the message files to target server.
For example: `./ISOBatchInputFilesDistributor.sh SANC812INFO /scratch/tf812dev/san_812/ftpshare/SANC812INFO/STAGE/SEPA/inputXML/20240205`

O.2 MultiEDQ

Follow the subsequent steps to improve the Iso batch performance using the MultiEDQ option:

1. Navigate to `$FIC_HOME/utility/AppPckMastSynch/bin` and open the `./AppPckMastSynch.sh` file.
2. Change the `$Pack` name to **OFS_SANC_PACK** and save and execute the file.
3. Add the EDQ server details to the `FCC_TF_ISOBATCH_EDQ_SERVERS` table, which will be used for multiEDQ using the below utility.
4. In the Master server, Navigate to `$FIC_DB_HOME/bin` and execute `./ISOBatchEDQServerInsert.sh <infodom_name>` to add target EDQ server(s) when prompted.
For example: `./ISOBatchEDQServerInsert.sh SANC812INFO` is the command that you need to execute.

Note

All the servers in the `FCC_TF_ISOBATCH_EDQ_SERVERS` table will be used for MultiEDQ.

5. In the TFADMIN screen, navigate to the **Financial Services Sanctions Pack** and go to **Post Load Changes**.
6. Edit the `TF_CallXMLEDQ` task, add a New Input Parameter as `SERVERID`, and Click **Finish**.
7. Create new tasks that are copies of `TF_CallXMLEDQ`. The number of new tasks should be **n-1** for **n** servers, which are added in the `FCC_TF_ISOBATCH_EDQ_SERVERS` table.
8. Navigate to **Financial Services Sanctions** and go to **Rule Run Framework**.
9. Go to **Process**.
10. Select `TF_CallXMLEDQProcess` and Click **Edit**.
11. Click **Component**.
12. Move the newly added tasks from the left (Transformation Rules) to the Right Side in the new Window.
13. Now, there are **n** tasks. For each task, right click and add parameters.
14. In Parameters, enter a Server ID (example: "Server1") from the `V_SERVER_ID` column of the `FCC_TF_ISOBATCH_EDQ_SERVERS` table.
15. Add Server ID as a parameter for each task. Click on **OK**.

Note

Server ID should be enclosed in double-quotes.

All the tasks will be shown with parameters in the Process definition window.

16. Click **Save** and click **No** to save as a new version.

O.3 MultiFeedback

Follow the subsequent steps to improve the Iso batch performance using the MultiFeedback option:

Note

Task6 (TF_CallXMLImmediateFeedbackCreation) of ISO20022 Batch has two operational modes:

- normal (N)
- multiparser (M)

By default, the feedback generation will execute in normal mode(N).

1. Change the operational mode only in the master server's `CallImmediateXMLFeedbackCreation.sh` under **ficdb/bin** folder.
2. Target Server's operational mode should always be **N**

O.4 Message Data Attributes (IPE) for Custom Batches

Note

To view/edit the Build Hierarchies in TF Admin screen you must map the following user role to the **TFLTADMINISTRATORGRP** user group in the System Administrator Screen and authorize the same:

- BMM Hierarchy Access
- BMM Hierarchy Authorize
- BMM Hierarchy Read Only
- BMM Hierarchy Write

If you have a customized TF SEPA Batch, do the subsequent steps:

Note

The following optimization will be automatically updated if it is OOB SEPA Batch (ID:1562321907205). You can refer to the ID under master information of TF_SEPA_messages_batch_process.

1. In the Run definition screen, select TF_SEPA_messages_batch_process batch and click Edit.
2. In the Run definition Window, click the **Selector** Drop down and Click **Job Condition**. The **Filter selector** window is displayed.
3. Select **SEPA Batch Hierarchy** from the Left menu and click **Select**. It will move the filter to the right side.
4. Click **OK**. The above Job Condition (Hierarchy) is added to the Tasks List.
5. Click **Next**.
6. Under Detail Information, double-click on the **SEPA Batch Hierarchy** icon on the Job Condition Column. The **Member Selection** window is displayed.
7. Click the current batch and click **Select**. It will be added to the Selected Members List below.
8. Click **ROOT** in Selected Members (if available) and click on Deselect Button on top to remove it from Selected Members List. Finally the current batch should be present in the Selected Members List.
9. Click **OK**.
10. Under Jobs List, select the **Check box** of the current batch for Message Data Attributes (Task3).
11. Click **Save**
12. Click **Yes**.

Note

If you are installing patch 8.0.8.2.19 you must perform the *Message Data Attributes (IPE) for Custom Batches* chapter.

P

NACHA Batch Performance Improvement

You can improve the NACHA Batch Performance using the following options:

- Multiparser
- MultiEDQ

P.1 Multiparser

Follow the subsequent steps to improve the ISO batch performance using the Multiparser option:

1. Create a **ficdb**, **fichome**, **inputFile** and **conf** folder in target server(s). The inputFile and conf folders must be sibling folders. Copy all the files and folders from source to target folders.
2. Copy the entire **ficdb** folder and files under **ficdb** from Master server (OFSAA ficserver) to target server's **ficdb** folder.
3. Create a **conf** folder under fichome in target server.
4. Copy the following files under `$FIC_HOME/conf` from Master server to Target server's **fichome/ conf** folder:
 - Reveleus.SEC
 - LookupServices.xml
 - Lookup.dtd
 - DynamicServices.xml
 - Dynamic.dtd
5. Add the absolute path of ficdb with label `FIC_DB_HOME` to `.profile` in target server.
For example: `export FIC_DB_HOME=<FIC_DB_HOME_PATH>` is a command that you need to enter in `.profile`.
6. Add the absolute path of fichome with label `FIC_HOME` to `.profile` in target server.
For example: `export FIC_HOME=<FIC_HOME_PATH>` is a command that you need to enter in `.profile`.
7. Add the parser server details to `FCC_TF_ACHBATCH_PARSER_SERVERS` table which will be used for multiParser using the subsequent utility:
In Master server, Navigate to `$FIC_DB_HOME/bin` and execute `./nachaBatchParserServerInsert.sh <infodom_name>` to add target server(s) when prompted.

For example: `./nachaBatchParserServerInsert.sh SANC812INFO` is the command that you need to execute.

Note

Task1 of ISO20022 Batch has two operational modes:

- Normal (N)
- Multiparser (M)

By default, parser will execute in normal mode (N).

8. Change the operational mode only in Master server's `nachaParser.sh` under **ficdb/bin** folder.

Note

Target Servers operational mode should always be N.

9. Once the batch message files are placed in Master server's Raw Message path and conf, navigate to, `$FIC_DB_HOME/bin` path and execute `./nachaBatchInputFilesDistributor.sh <infodom_name> <mis_date_xml_path>`. It will distribute the message files to Target server.
For example: `./nachaBatchInputFilesDistributor.sh SANC812INFO /scratch/tf812dev/san_812/ftpshare/SANC812INFO/STAGE/SEPA/inputXML/20240205`
`b: ./nachaBatchInputFilesDistributor.sh SANC812INFO /scratch/tf812dev/san_812/ftpshare/SANC812INFO/STAGE/US_NACHA/conf`

P.2 MultiEDQ

Follow the subsequent steps to improve the ISO Batch performance using the MultiEDQ option:

1. Navigate to `$FIC_HOME/utility/AppPckMastSynch/bin` and open the `./AppPckMastSynch.sh` file.
2. Change the \$Pack name to **OFS_SANC_PACK** and save and execute the file.
3. Add the EDQ server details to the `FCC_TF_ACHBATCH_EDQ_SERVERS` table, which will be used for multiEDQ using the below utility. In the Master server, navigate to `$FIC_DB_HOME/bin` and execute `./nachaBatchEDQServerInsert.sh <infodom_name>` to add target EDQ server(s) when prompted.
For example: `./nachaBatchEDQServerInsert.sh SANC812INFO` is the command that you need to execute.

Note

All the servers in the `FCC_TF_ISOBATCH_EDQ_SERVERS` table will be used for MultiEDQ.

4. In the TFADMIN screen, navigate to the **Financial Services Sanctions Pack** and go to **Post Load Changes** and create new tasks that are copies of `TF_US_Nacha_Screening_Call_EDQ..` The number of new tasks should be **n-1** for **n** servers, which are added in the `FCC_TF_ACHBATCH_EDQ_SERVERS` table.

5. Navigate to **Financial Services Sanctions**, go to **Rule Run Framework** and then go to **Process**.
6. Select `TF_US_NACHAMultiEdq` and click **Edit** and then click **Component**.
7. In the new window, move the newly added tasks from the left (Transformation Rules) to the Right Side. Now, there are **n** tasks. For each task, right click and add parameters. In Parameters, enter a Server ID (example: "Server1") from the `V_SERVER_ID` column of the `FCC_TF_ACHBATCH_EDQ_SERVERS` table. Add Server ID as a parameter for each task. Click on **OK**.

 **Note**

Server ID should be enclosed in double-quotes.

Now, all the tasks will be shown with parameters in the Process definition window. Click **Save** and click **No** to save as a new version.

Glossary

Index