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OVERVIEW

riskCanvas Release 6.1.0 focuses on redesigning and strengthening security within riskCanvas. This release debuts the most flexible implementation of access control for users, coupled with granular data-level security. Based on the Attribute-Based Access Control (ABAC) paradigm, any user attribute (such as geography, role, email domain, manager, environment, or others) can be used to define what data a user can access.

This release updates many of our underlying technologies, improving flexibility and security for our users.

Elastic, the owner of Elasticsearch – one of the key riskCanvas technologies – has continued to commercialize its open-source code over the past year. To comply with our Elasticsearch license agreement and to control costs, we have switched to the fully open-source, licensed Open Distro for Elasticsearch and upgraded all client clusters to version 1.13.2, the latest release. This software has recently been rebranded as OpenSearch, and we’ll continue to upgrade to this brand in the future. This software also has additional features we hope to use in the future.

riskCanvas Release 6.1.0 moves our primary data storage layer (based on HBase) to Amazon Web Services (AWS) Elastic Map Reduce (EMR) clusters. With EMR, riskCanvas can more easily manage our cluster, scale our compute power, and control our costs.

On a technical level, our web development framework Angular and our data grid view Ag-Grid have been upgraded. These changes will help us enhance security and maintainability and will provide additional features to build on in the future.

We have made other security enhancements in this release to address highly technical insider threat risks, and we have also made numerous bug fixes.

FEATURES AND ENHANCEMENTS

- Upgrade riskCanvas User Interface Framework (Angular 11)
- Update Elasticsearch to latest ES (ODFE 1.13.2)
- Remove unused function to add arbitrary custom data objects from the data management administrative page
- Improve automated quality checks in the Transaction Monitoring DevOps pipeline
- With the latest version of the screening service, the matched score generated now shows on the Sanction Item stencil next to the name
- Improved security against application vulnerabilities
- Aging Pie Chart shows both assigned and unassigned items to better manage item due dates regardless of assignment
- Improved system-to-system communication security
- Added administrative permission to allow managers to edit/delete existing documents not uploaded by them
- Item List tabs now support filtering by Item Status
- SAR Field 88 moved to SAR stencil from SAR Config
- Give clients the ability to report on SAR Batch Name/ID for an individual item in a batch
- Ability to accurately reflect Entity score history and view an entity snapshot to properly display risk score details over time, without significantly increasing historical data size of Accounts and Entities
- Removed formatting out of TIN, Phone, and Account Number when mapping those fields into the SAR form's subject information

BUG FIXES

- Bulk Disposition - Escalate to Case did not work
- Query Tool: Incomplete set of values is present for the fields that have "shouldPopulatePossibleValues" property set as true
- SAR Batch Details not showing all associated SAR items in the grid
- Report > Query Tool > Details of nested fields are not visible in the grid
- Missing Accumulator in Accumulators pane
- Simulation result screen > Grid is not loading
- Not able to delete documents after deleting more than one document with "EditandDeleteDocuments" set as false
- User without "create<ItemType>" permission able to create item when associating with account
- Unable to close item due to taskID not found error
- Weird characters appearing on Page Load/Refresh
- Reporting Query Tool: expand/collapse carat not showing for object columns until a new column is added
- Reporting Query Tool: after adding new columns, need to search again to see data in column
- Item List -> Bulk disposition is broken (Can Bulk Close should be fetched by default)
- Need TAC breadcrumb links for four TAC forms
- Global Search Issues results persist after searching a second term
- statusChangedDate inside item object is not getting updated after every status update
- First-time user not able to log in to riskCanvas due to security policy for the first time
- Unable to generate item summary if analyze transaction data value is Null
- Date is not coming in AU format in Attribute Comments Box
- Date Format not coming in AU Format
- Unable to Generate Item Summary if alerted transaction value is Null
- 403 error code should be handled properly so that it should not break UI after reinforcement of policies and revert the accounts/entities scan and get policy to be restricted for RU
- Transaction Toolkit > No account associated with the Entity displaying for entities with Associated Accounts
- Spawn disposition not working for the bulk close disposition

- Activiti ThreadLocal context getting shared across multiple web requests, leading to items showing unrelated user information in the change log audit and items are reverted to stale/old state
- Response time for Item List screen is slow for certain Item Types
- All e3 Data Providers are automatically configured in all rC Deployments
- Item sub type fails to update on the spawn item when spawn occurs through Activiti
- TAC account associatedUser query incorrect
- TM engine adds underscores for all strings with spaces
- User without Task permissions is able to create tasks
- Misabeled SAR form field - "Loss of Financial Institution" instead of "Loss to Financial Institution"
- Deleting a task still shows in the Task List
- DBA/ TPF Disposition Email - Clicking Hyperlink in email leads user to licensed user page
- Unable to access TAC forms created by TAC Admin
- Unable to create referral with a valid account number
- Items List issues (Error message: Entity content is too long)
- Change Log disappears after manually scoring Account or Entity (inconsistent)
- Ingested New Item Due dates are incorrect for: Mantas, Smarts, In House Trading, and In House Monetary
- Activiti must support the BCC email ID in all the user tasks and email tasks
- Email generated from Task creation to assignee does not include the Task Detail comments
- riskDNA details and score color is showing at the item list and details page -even permission is set to FALSE
- Column filter in Review Related Items pane is not working for closed items
- Entity association issue with item
- For old task forms Stencils are not populated
- Internal Control/File Number is not retaining when we change Part III filing institution
- TAC Profile page under My Forms section not displaying correct results
- Quarterly Transactions Report workflow form not showing user selection (check box values) after item is closed
- Change Log information in Item and Item Summary PDF does not match
- Item Download Summary button is not enabled

- COE workflow form not showing user selection (check box values) after item is closed
- Item open date and due date are not showing correctly on FinCEN Batch filing tab
- Due date is set to Null when item gets assigned
- Bulk Disposition justification is not coming for Mantas Alert
- Horizontal scroll bar is missing in Alert Details and Analyze Transactions Pane at the Item details
- Item subtype is not being set in Spawn items through Call Activiti
- Entity, Accounts, and TAC Profile load issue - due to Change Log/snapshots
- RAW HRC item not created
- FINRA report is not coming for a given date range
- riskDNA - request headers need to be added in item service
- Issue with CDD Pane in Account details page - CDD support attribute not coming as default to 'Off'
- Alphanumeric and hyphenated account numbers cannot be used on item creation without having to insert quotation marks
- Visual contrast of document names in attachments is not high enough
- KYC attributes disappear from the Item Details screen when Primary Values Only checkbox is clicked
- SAR Efficacy calculation not working correctly because Scenario SAR Efficacy is based on an inaccurate variable

KNOWN ISSUES

- The Scenario or Accumulator rule builder won't appear if the transaction schema has an incorrect data type.
- On the Entity Details page, the Country Threat Risk popup is missing the level in the configuration descriptions.
- When performing a global search, entity search results are limited to 100.
- After scoring riskDNA the toast message appears with [Entity ID] and [Account ID] instead of the actual IDs.
- When clearing out the max value for High2 Risk Range in riskDNA Threshold Configurations, the min value of High3 Risk is showing 1 instead of blank.
- Cannot sort the Change Log columns on the Entity or Account Detail pages.
- In the Simulation result screen, results are not sorted when attempting to sort a column on the alert grid.
- If the Create Item permission is false, users can still navigate to the create item URL.
- When entering the IP Date and Time Stamp in the SAR form, an error appears when trying to save or move the item to the next step.
- View RiskDNA Score = True permission does not display the riskDNA score unless View RiskDNA Details is also True.
- Editing an activated riskDNA model can block any other model from being activated when different tabs are used to edit a model after it has been activated.
- No explanation appears when selecting the Aggregation information modal.
- Cannot select the View button for a scenario after using the next then previous buttons on the top of the Scenarios grid.
- SBS alert items in a Closed status have an enabled checkbox after performing a global search.
- Data is not copied when right clicking and selecting copy or copy with headers on the Item List page if the row is selected.
- Searching for a scenario with the # symbol in the name does not return results.
- For all items queries in the query tool, only 10 item statuses are showing up.
- Sorting is not working on the Entity Details page for the Last Modified column in the Attribute section.
- "elastic_mapping" attribute is not serializable in schema and so any such attribute in schema definition will give a failure on Spark job run.
- Add/edit task modal, when adding multiple tasks, the date field may be auto-filled but won't register as being filled in. The date field will need to be re-selected.

- When deleting a task from the task page, the task does not disappear from the table until a page refresh.
- When using boolean variables as visibility controllers in Activiti stencils, variables can only be used once.
- Scenario and Accumulator name cannot contain “.” Character.
- The FINRA 4530 export functionality does not work.
- If the configuration for the batch filing institution is set up to have a “ ” character at the end of the string, the Create Batch button will not work.
- Saving scenarios slows down page after several saves in a row.
- In KYC attribute configuration modal section, Max Length input box does not hide when checkbox unselected.
- Timestamp shown as 00:00 in riskDNA analyst overridden bubble tooltip (date correct).
- Not able to delete/rename documents with special characters in the name.
- Cannot add document as an attribute for the address field (other fields are possible).
- On Enrich Entity Screen, UI shows [“Object object”] in some areas when data is added before saving.
- Some configured attribute fields are not appearing on the KYC stencil. Specifically, COB and Building Name, which is a field that is purposefully hidden in lieu of Street Name 2.
- During KYC step of KYC Item, adding new category of error and saving does not result in that new category appearing on the KYC Attribute Errors reporting page.
- Download Summary button on Item detail page disabled if item does not already have a summary and item is unassigned.
- Display template does not work for Associated Account field on Reporting Page for Items.