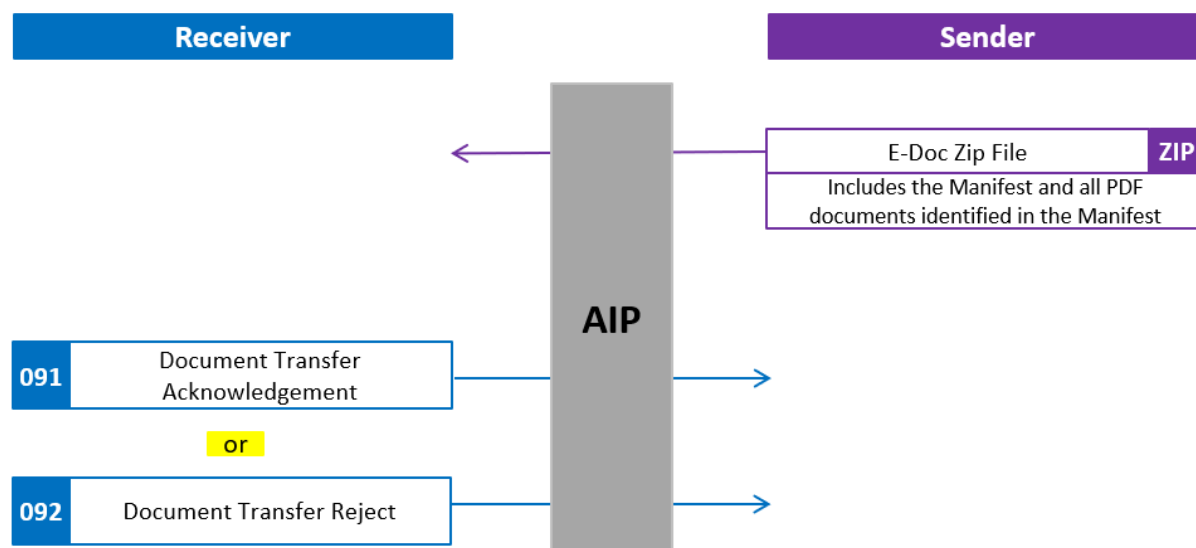


ALTERNATIVE INVESTMENT PRODUCTS TRANSACTION FLOW

DOCUMENT TRANSFER FLOW



DOCUMENT TRANSFER DETAILS

Document Transfer Requirements

- The Document Transfer file submitted will be a Zip File
- Maximum size of the entire Zip is 50MB
- Any Member can send or receive from any other Member, regardless of their membership type (i.e., Firm to Fund, Fund to Firm, Firm to Firm, Fund to Fund)
- The Inbound Zip File must include one Manifest file but can have multiple Manifest records within the Manifest File. For each Manifest Record there must be a corresponding PDF document.
 - The PDF document name will be the Control Number with a "V" and the Version Number from the Manifest record (e.g., 00001234223650000001**V01**.pdf)
- Documents included in the Zip file must be in PDF format
 - AIP will validate that the included documents are in PDF format
- The Outbound Zip File will be delivered in near 'real time' to the recipient (not on a batch schedule)
- Each Outbound Zip File will include 1 Manifest file containing 1 Manifest record and 1 PDF document (multiple Manifest records and PDFs aren't supported on Outbound)

- The Submitter, Sender, and Recipient (including applicable Service Bureau and/or Transfer Agents) must be setup in File Type Blocking Group 3 = Documentation
- The enhanced Document Transfer functionality will be supported via 'mainframe' only with SFTP or NDM; it is NOT supported via the Web (AIW or AIP Web Platform)
- The Document Transfer process does NOT support money settlement; however, if a related transaction is used, the related transaction can initiate money settlement, if eligible and it is specified

Document Transfer Manifest Record Requirements

- The record type is 799 = Document Transfer Manifest
- The Manifest should NOT include a DataTrak header nor DataTrak trailer record
- Record type is 799 = Document Transfer Manifest will be included in the Zip file with the PDF document(s) that it is related to
- The file name of the Manifest in the zipped file must be Manifest.CSV or Manifest.MRO
 - There will be 1 record in the manifest for each PDF being sent
- The NSCC Security Issue Number OR the Series NSCC Security Issue Number must be populated and exist in the Security General Profile table
- The Control Number and Version Number fields are required and must be in the correct format; they are used to identify the PDF document and the Manifest record relationship
 - The initial submission Version Number must be 01
 - If there is a subsequent submission (06 = Resubmission/Follow-up/Additional Documentation) then the Version Number should be incremented with each subsequent submission in sequential order (e.g., 01 then 02; 01 cannot be followed by 03)
 - 06 = Resubmission/Follow-up/Additional Documentation Version Number must be greater than 01
 - For Transaction type 06 = Resubmission/Follow-up/Additional Documentation the Document Transfer Manifest Control Number must have already been submitted
- The Related Transaction Indicator indicates if the document is related to another AIP transaction, such as an AIP Order, and can be 0 = No or 1 = Yes

Document Transfer Acknowledgement - Reject Record Requirements

- All Document Transfer Acknowledgement or Reject records must have an active Security General Profile record, and at least one active Security Contact record (AIP will use the Fund Number of the Security General Profile record to verify the existence of an active Security Contact record for that Fund Number).
- A Control Number is required to be inputted by the submitter and it should be the same Control Number as the Document Transfer Manifest Control Number PDF.
- The Control Number must be in the Document Transfer Manifest table
- There are no reminders for Document Transfer Acknowledgement or Reject records
- The recipient will provide a "091 = Document Transfer Acknowledgement" or "092 = Document Transfer Reject" in the existing AIP Input File, which will be returned to the original submitter in the existing AIP Records Output File

- Participants can send Acknowledgement or Reject records to AIP in the same file as other records or in separate files
- Acknowledgement or Reject output records, will be sent in the same files as other AIP records

AIP System Rejects

- Missing/invalid fields in Manifest
- Missing PDF document(s)
- Submitter, Sender, or Receiver not setup in File Type Blocking
- Rejects will be returned via Zip with PDF (if applicable), back to the submitter; the Manifest will have the reject code(s) populated
- Rejects will be returned as processed in 'real time' to the submitter (not on a batch schedule)