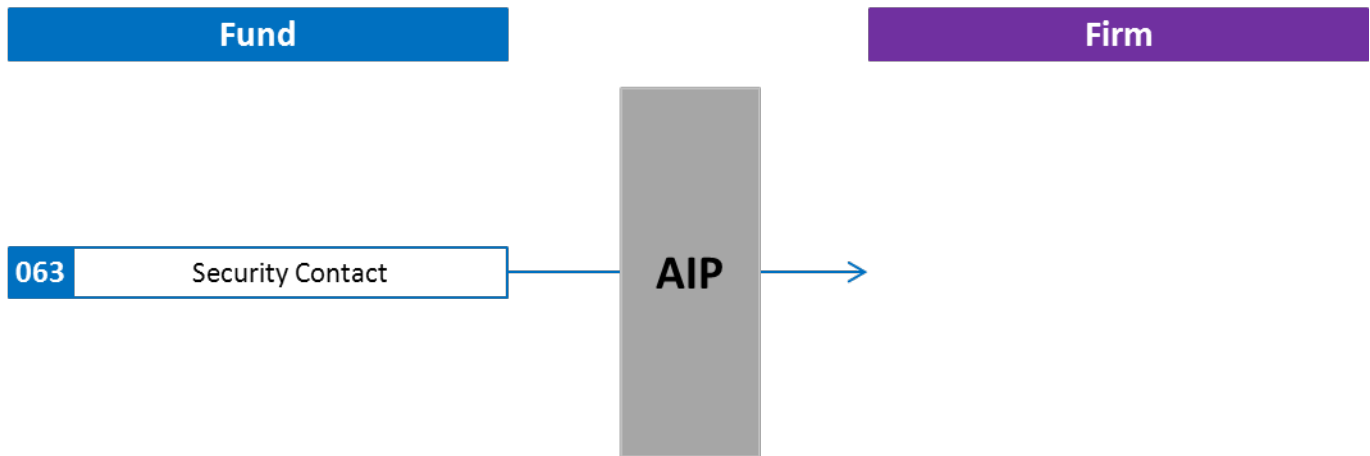


ALTERNATIVE INVESTMENT PRODUCTS TRANSACTION FLOW

SECURITY CONTACT



Important Notes

Funds are required to submit at least one (1) Security Contact record per Fund Participant Number to be stored in the AIP database.

The 16 byte NSCC Security Issue Number must be populated when transmitting this record.

SECURITY CONTACT

The Security Contact record provides the Fund's contact information. The Fund has the option to transmit information to several contact types, e.g., Fund Administrator, Commission Department, Settlement, Marketing/Sales, etc. A few of the available data elements are address, telephone number, fax number and email address.

Transaction Flow Details for Security Contact

- The Fund transmits the Security Contact (063) to DTCC
- Once received, DTCC will validate for syntax errors (format, values, conditions, etc.)
 - If there is an error, DTCC will 'reject' the file back to the Fund with the appropriate reject reason code(s)
 - If there are no syntax errors, DTCC will transmit the Security Contact to the Recipient indicated on the file

Important Information for Security Contact

Upon creating the NSCC Security Issue Number by submitting the Security General Profile, the Fund is required to submit at least one Security Contact record per AIP Fund Participant Number prior to transmitting subsequent records via the AIP application. If there are no Security Contact records stored, subsequent records will be rejected with reject code 0542 – No Active Security Contact Record Found.