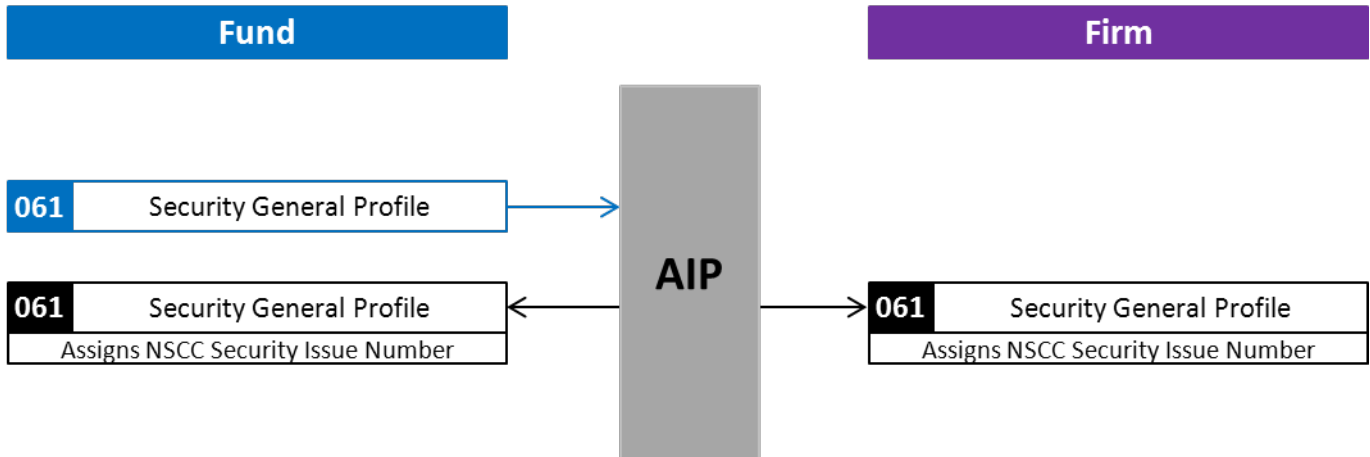


# ALTERNATIVE INVESTMENT PRODUCTS TRANSACTION FLOW

## SECURITY GENERAL PROFILE



### Important Notes

NSCC acts as the Security Master and will respond with a 16 byte NSCC Security Issue ID on output of the initial transmission. The 16 byte NSCC Security Issue must be used on all subsequent AIP records.

## SECURITY GENERAL PROFILE

---

This transaction allows the Fund to send security level information to Firms and establish a unique identifier for the Fund on the AIP system. The AIP service stores this information and validates future transactions against the Security General Profile.

This service also functions as the Security Profile Repository for AIP Funds, similar to the Security Profile functioning of Fund/SERV. The Security General Profile is a required record to use the AIP Service.

### Transaction Flow Details for Security General Profile Transactions

- The Fund is required to transmit the Security General Profile (061) to AIP
- Once received, AIP will validate for syntax errors (format, values, conditions, etc)
  - If there is an error, AIP will reject the file back to the Fund with the appropriate reject reason code(s)
  - If there are no syntax errors, AIP will transmit the Security General Profile to the Fund
- The newly generated NSCC Security Issue Number is shared with both Fund and Firm(s)

**Note:** This record is required when introducing a new Security Issue ID

### Important Information for Security General Profile Transactions

- Both Fund and Firm(s) must use the newly assigned 16 byte NSCC Security Issue Number for all subsequent transactions pertaining to that Security Issue ID
- AIP will validate all incoming transactions against that NSCC Security Issue Number that is stored on our AIP database
- The Security General Profile 'Last Updated' field allows the user to identify the most recent Security General Profile record that is stored on the AIP database