



<b>A#:</b>	8678
<b>P&amp;S:</b>	8253
<b>Date:</b>	February 11, 2019
<b>To:</b>	ALL AIP MEMBERS
<b>From:</b>	WEALTH MANAGEMENT SERVICES – ALTERNATIVE INVESTMENT PRODUCT SERVICES
<b>Attention:</b>	ALTERNATIVE INVESTMENT RELATIONS ALTERNATIVE INVESTMENT OPERATIONS ALTERNATIVE INVESTMENT CUSTODY
<b>Subject:</b>	AIP PARTICIPANT NUMBER FORMAT CHANGE

In May of 2018, DTCC announced an enterprise-wide, multi-year initiative to update business applications with a new, alphanumeric account number format to support the continued growth of new accounts and the expansion of new products and services.

DTCC’s **Alternative Investment Product (AIP)** Services will be the first application to move to this new alphanumeric structure with testing planned for the second half of 2019. The adoption of this new account format will ensure that AIP and other businesses can continue to expand and support a growing number of clients, bringing greater standardization to the industry.

To minimize impact on AIP clients, existing AIP Participant Numbers will not change and all AIP Participant Numbers will continue to be 8 bytes<sup>1</sup>; however, upon completion of this project, it’s expected that all new AIP accounts will be issued in the new alphanumeric format allowing other businesses to continue issuing numeric accounts until they support the new, alphanumeric format.

The tentative schedule for the AIP initiative is as follows and updated Important Notice(s) will provide exact dates in the future along with a link to updated system documentation:

- PSE Testing: 2<sup>nd</sup> half of 2019
- Production: Q1 2020

Please see the following important notices for more information:

- [NSCC Important Notice A#8558](#) – May 18, 2018
- [NSCC Important Notice A#8664](#) – January 3, 2019

The table below lists records and fields impacted by this change.

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<sup>1</sup> AIP Participant Numbers will continue to have 4 leading zeros followed by a 4-byte alphanumeric identifier (e.g., 00001234, 0000A1B2, 0000ABCD, etc.)

## AIP Impacted Records & Fields

The existing format of many fields in this table are already alphanumeric; however, since alphanumeric account numbers were not previously issued, the fields would have contained only numeric values. To ensure they are not overlooked, all fields that are impacted by Participant Number have been included in this table but only fields highlighted in red are changing format type from Numeric (N) to Alphanumeric (A/N).

Record Name	Field Name	Start-End Position	Existing Format	New Format
Security General Profile	Recipient Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Related Parent NSCC Security Issue Number	1233-1248	A/N	A/N
Security Announcement	Recipient Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	369-384	A/N	A/N
Security Contact	Recipient Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
Position	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	819-834	A/N	A/N
Activity & Distribution	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Cross Security NSCC ID	282-297	A/N	A/N
	Related Control Number	428-447	N	A/N
Commission	Series NSCC Security Issue Number	693-708	A/N	A/N
	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	664-679	A/N	A/N
Electronic Documentation	Related Control Number	680-699	N	A/N
	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	52-71	N	A/N
Electronic Document Manifest	Series NSCC Security Issue Number	181-196	A/N	A/N
	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	Control Number	25-44	N	A/N
Order	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N

Record Name	Field Name	Start-End Position	Existing Format	New Format
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Original Control Number	408-427	A/N	A/N
	Series NSCC Security Issue Number	827-842	A/N	A/N
Order with Registration	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Original Control Number	408-427	A/N	A/N
	Series NSCC Security Issue Number	3078-3093	A/N	A/N
Order Acknowledgement-Reject/Exit	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Original Control Number	283-302	A/N	A/N
	Series NSCC Security Issue Number	747-762	A/N	A/N
Order Correction-Confirmation	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Original Control Number	408-427	A/N	A/N
	Series NSCC Security Issue Number	943-958	A/N	A/N
Acct Registration-Maintenance	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	2846-2861	A/N	A/N
Registration Activity Acknowledgment-Reject	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	130-145	A/N	A/N
Exchange-Switch	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number Exchange From	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number Exchange From	210-225	A/N	A/N
	Original Control Number	388-407	A/N	A/N
	NSCC Security Issue Number Exchange To	866-881	A/N	A/N
	Series NSCC Security Issue Number Exchange To	976-991	A/N	A/N
Payment	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	282-297	A/N	A/N

Record Name	Field Name	Start-End Position	Existing Format	New Format
Payment Acknowledgement	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	103-118	A/N	A/N
Security Request-Acknowledgement-Reject	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	87-102	A/N	A/N
Valuation	Recipient Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	223-238	A/N	A/N
Account Transfer	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	131-146	A/N	A/N
	Control Number	155-174	N	A/N
Transfer Acknowledgement-Reject-Exit	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	65-80	A/N	A/N
	Control Number	139-158	N	A/N
Transfer Confirmation-Correction	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	131-146	A/N	A/N
	Control Number	155-174	N	A/N
Reminders	Firm Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Series NSCC Security Issue Number	115-130	A/N	A/N
Broadcast Message	Recipient Number	6-13	N	A/N
	Fund Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Series NSCC Security Issue Number	65-80	A/N	A/N
Settling Trade Detail	Recipient Number	6-13	N	A/N
	Contra Participant Number	14-21	N	A/N
	NSCC Security Issue Number	25-40	A/N	A/N
	Control Number	65-84	N	A/N
	Contra Exchange NSCC Security Issue Number	154-169	A/N	A/N
	Series NSCC Security Issue Number	223-238	A/N	A/N
Settling Trade Trailer	Recipient Number	6-13	N	A/N
Settlement Grand Total Trailer	Recipient Number	6-13	N	A/N

Record Name	Field Name	Start-End Position	Existing Format	New Format
DataTrak Header	Originator ID	17-20	A/N	A/N
	Sub Originator ID	23-26	A/N	A/N
DataTrak Trailer	Originator ID	17-20	A/N	A/N
	Sub Originator ID	23-26	A/N	A/N
AutoRoute Header	Recipient ID	57-63	A/N	A/N
Application Header	Recipient Number	6-13	A/N	A/N
Application Trailer	Recipient Number	6-13	A/N	A/N

If you have questions about this Important Notice, please contact me at the details below.

Sincerely,

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