



WEALTH MANAGEMENT SERVICES

AIP

NEW CLIENT OVERVIEW

GETTING STARTED

- Prospective clients should contact aipbusdev@dtcc.com to discuss AIP membership
- Turn-around time for follow-up is 24-48 hours and DTCC will need the full legal entity name requesting membership

THE MEMBERSHIP AND ACTIVATION PROCESS

- After providing the full legal entity name and up to two contacts via email, clients should expect to receive login credentials to the DTCC Membership Portal 24-48 hours after to begin the process of completing the online application

Note: Login credentials will be sent via email so checking spam/other email folders is recommended; clients will also receive a welcome email from a member of the Onboarding Team

- Once the membership process is in-flight, clients should contact aaonboarding@dtcc.com with any questions
- The process for completing the membership requirements and activating generally takes 4-6 weeks but can extend longer if there are documentation issues or submission delays
- Once a new account is activated, AIP Product Management will provide training on how to use the system

USING AIP

- Fund clients will submit Security General Profile(s) and Security Contact Record(s) for the Fund(s) they need to transmit to their Custodian and Broker-Dealer partners
- Fund clients will be expected to report Positions for their investors monthly, quarterly or a duration set by the Custodians/Broker-Dealers along with Activity & Distribution records for Purchases, Redemption, Distributions, etc.
- Additional services, including order processing and money settlement are also supported

BILLING & FEES

- There are no fees to apply for membership or to maintain an AIP account
- Fees are charged for records that have successfully processed and were transmitted to the contra party; there are no fees for rejected records
- There are two categories for billing purposes: High Volume and Low Volume
- Fee amounts are determined by the Security Type selected on the Security General Profile and the type of transaction that is sent and/or received
- All fee information can be found in the NSCC Fee Guide located within the Billing FAQ's at [Billing FAQ's](#)

For additional information please visit www.dtcc.com/aip



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GENERAL DOCUMENT REQUIREMENTS FOR AIP MEMBERSHIP¹

The following is a summary list of requirements needed to become a member of the AIP service:

MEMBERSHIP QUESTIONNAIRE

A DTCC form requiring information such as the legal entity name, primary contact(s), type of financial institution, country and state of incorporation, ownership information, etc.

FORMATION DOCUMENTS

Articles of incorporation, formation, partnership, etc.

LEGAL ENTITY CHART

A chart detailing any parents, subsidiaries, affiliated or other entities.

U.S. I.R.S. TAX FORM W9

Blank forms can be found at www.irs.gov.

OFAC LETTER

Intended to evidence that the Applicant has the primary relationship with the customers for whom they will be conducting activity through our organization; and has implemented a risk-based program reasonably designed to comply with applicable OFAC sanctions and regulations.

AIP MEMBERSHIP AGREEMENT

The legal agreement required to become an AIP Member.

RESOLUTION AND CERTIFICATE OF INCUMBENCY

Applicant must submit a listing of authorized signers that are authorized to submit any written request with regards to its AIP account.

CLIENT CYBERSECURITY CONFIRMATION

Applicant is required to confirm which Cybersecurity Program and framework their firm adheres to and ensure that it meets the standards and requirements of DTCC and our regulators.

For additional information or to begin the membership process, please contact aipbusdev@dtcc.com

¹This document outlines basic requirements for membership only. Applicants are subject to all requirements/standards for membership pursuant to the NSCC Rules, which may be viewed online at www.dtcc.com.