

A#:	8678
P&S:	8253
Date:	February 11, 2019 – 1st Revision September 12, 2019 ¹
To:	ALL AIP MEMBERS
From:	WEALTH MANAGEMENT SERVICES – ALTERNATIVE INVESTMENT PRODUCT SERVICES
Attention:	ALTERNATIVE INVESTMENT RELATIONS ALTERNATIVE INVESTMENT OPERATIONS ALTERNATIVE INVESTMENT CUSTODY
Subject:	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. 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 bytes²; 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 schedule for the AIP initiative is outlined below with a link to the System Documentation (Data Dictionary 17.0) for your review.

- PSE Testing: October 11, 2019
- Production: Q1 2020

[Link to AIP Website](#) for System Documentation under the PSE Enhancement Section.

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
- [NSCC Important Notice A#8678](#) – February 11, 2019
- [NSCC Important Notice A#8719](#) – June 18, 2019

¹ The relevant revisions are highlighted in yellow

² 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(s) 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

PSE/Testing

Effective Friday, October 11, 2019 participants can begin testing the new alphanumeric participant number format in the first AIP cycle of the day at 9:00am (ET).

Participants are strongly encouraged to test these changes. Those participants who are interested in obtaining alphanumeric participant numbers as a Fund and/or Firm in the PSE Test Environment, must contact AIP Product Management at least ten (10) days prior to testing. This will ensure that proper setup is established in advance of testing these changes.

Documentation

The System Documentation (AIP Data Dictionary 17.0) is available on DTCC's Wealth Management Services website located under the PSE Enhancements Section of the AIP website <http://www.dtcc.com/aip>. In addition, all impacted records, fields and values are highlighted in 'red' for your review.

The record and field format information provided within this Important Notice is for informational purposes only and does not constitute the final Record Layouts. NSCC reserves the right to make additional changes to the Record Layouts prior to implementation.

Questions and comments regarding this Important Notice may be directed to Michelle McLean at 212-855-2443.

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