IN ORDER TO ESTABLISH A PROCESS OF IDENTIFYING AUDIT REPORTS
AND CORRESPONDENCE FROM QUALIFIED INTERMEDIARIES
REGARDING THEIR “PRIVATE ARRANGEMENT INTERMEDIARIES” (i.e.
PAI’S), THE QI PROGRAM IS NOW REQUESTING QUALIFIED
INTERMEDIARIES WITH PRIVATE ARRANGEMENT (PAI)
RELATIONSHIPS TO ASSIGN A UNIQUE IDENTIFIER NUMBER TO THEIR
PAI’S USING THE FORMAT INDICATED BELOW:

1. EACH UNIQUE PAI IDENTIFIER NUMBER SHOULD BEGIN WITH
   THE LAST 5 DIGITS OF THEIR RELATED/CONTRACTUAL QI EIN.

2. THE NEXT CHARACTER SHOULD BE THE ALPHA LETTER “P”.

3. THE LAST 3 DIGITS WILL BE A NUMBER BEGINNING WITH ONE
   (001) AND CONTINUING UPWARD FOR EACH PAI
   CONTRACTUALLY RELATED TO THE QI.

EXAMPLE: A QI WITH THE QI EIN 98-023xxxxx HAS 3 PAI’S. THE PAI
IDENTIFICATION NUMBERS FOR THE 3 PAI’S WOULD BE AS FOLLOWS:

PAI 1: xxxxxP001

PAI 2: xxxxxP002

PAI 3: xxxxxP003

THE AUDIT REPORT FOR EACH PAI SHOULD BE SUBMITTED FULLY
REFERENCING THIS UNIQUE PAI IDENTIFIER NUMBER AS WELL AS THE
RELATED/CONTRACTUAL QI’S EIN NUMBER. REPORTS SUBMITTED
WITHOUT THE PAI’S UNIQUE IDENTIFIER NUMBER WILL BE
REGARDED AS UNFILED, SINCE MANY FIRMS HAVE VERY SIMILAR
NAMES AND THEY CANNOT BE EASILY DISTINGUISHED BY MANUAL
REVIEW. WE LOOK FORWARD TO PARTNERING WITH THE QI
COMMUNITY IN THIS EFFORT.

PLEASE PROVIDE YOUR COMPLETED FORMS AT YOUR EARLIEST
OPPORTUNITY BY MAILING THE COMPLETED FORM TO:

QUALIFIED INTERMEDIARY PROGRAM
290 BROADWAY, 12TH FLOOR NW
NEW YORK CITY, NEW YORK 10007
ATTN: PAI IDENTIFICATION UNIT