

**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 OPPURTUNITY BY MAILING THE COMPLETED FORM TO:**

**QUALIFIED INTERMEDIARY PROGRAM  
290 BROADWAY, 12<sup>TH</sup> FLOOR NW  
NEW YORK CITY, NEW YORK 10007  
ATTN: PAI IDENTIFICATION UNIT**