

ATTACHMENT D
Investment Accounting General Data Requirements
As of April 2025

For investment accounting purposes:

- If NYSIF engages an external service provider to perform recording of investment transactions for accounting purposes, which (as of April 2025) is currently the case and is not expected to change in the foreseeable future, then MANAGER, or GENERAL PARTNER for investments in which NYSIF is a limited partner, shall provide files and other resources required by the external service provider. Below is a current listing of required files and resources. However, should NYSIF's external service provider require additional files or resources, MANAGER or GENERAL PARTNER shall work in good faith with NYSIF to provide/implement such additional files/resources. MANAGER or GENERAL PARTNER shall be expected to provide files
 - In required formats, with respect to:
 - File format. Required file formats are standard (e.g., .CSV, .XLSX) and do not require specialized software (beyond software that can generate .XLSX files, e.g., Microsoft Excel).
 - Data field ordering and formatting.
 - Including all data the service provider requires.
 - With required frequency (e.g., daily/monthly).
 - By required deadlines.

Regarding the below-listed files, see the attachment, "UPLD__Exhibit_D_Svc_Priv_Fields__2025_03 v3.xlsx". This file, referred to below as "the attachment," contains a listing of data fields, definitions, and whether fields are required or conditionally required. For example, for the below-listed "Daily position file," relevant fields in the attachment are where "Daily Position File" is in the first column. The awarded firm shall be provided detailed specifications for, and samples of, each relevant file. (For example, as per the bulleted list below, for public equity / fixed income, only the "Daily position file" specification and sample shall be provided.)

- For public equity / fixed income:
 - Daily position file.
- For syndicated loans (bank loans):
 - Daily position file.
 - Daily trade (buy/sell) file(s).
- For fixed income private placement securities:
 - Daily position file.
 - Daily trade (buy/sell) file(s).
 - Daily security master file.
 - Monthly file with final positions and market prices as of the previous month-end.
 - MANAGER may compute/determine market prices in the absence of observable market prices. The general methodology used by MANAGER to compute/determine market prices must be disclosed and acceptable to NYSIF. MANAGER must provide NYSIF documentation, which NYSIF determines meets its requirements, regarding the general methodology.

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- Monthly file with security-level (not issuer-level) credit ratings as of the previous month-end.
 - For each security, if credit ratings are available from Nationally Recognized Statistical Rating Organizations (NRSROs) whose ratings are accepted by the National Association of Insurance Commissioners (NAIC) for Statutory Accounting purposes, MANAGER shall provide such ratings to NYSIF. A listing of such NRSROs can be found in the latest available "Purposes & Procedures Manual of the NAIC Investment Analysis Office." As of December 2024 (the latest guidance available as of January 2025), acceptable NRSROs included:
 - Moody's Investors Service, Inc.
 - S&P Global Ratings
 - Fitch Ratings, Inc.
 - A.M. Best Rating Services, Inc.
 - DBRS, Inc. (DBRS Morningstar)
 - Kroll Bond Rating Agency, LLC.
 - Egan-Jones Ratings Co.
 - HR Ratings de Mexico, S.A. de C.V.
 - If no acceptable NRSROs provide a credit rating for a security, MANAGER shall provide an internally determined credit rating (a credit rating MANAGER determines through a consistently applied process). If this provision applies to at least one security, MANAGER shall provide NYSIF information regarding MANAGER's methodology for determining credit ratings, at a level of depth meeting NYSIF's requirements.
- Where NYSIF is a limited partner in a "private markets" asset class (such as private credit, private equity, private infrastructure, or private real estate):
 - The accounting services provider requires access to GENERAL PARTNER's website where statements and other documents routinely required for private markets investments are made available. Such websites are often called "user portals." If GENERAL PARTNER does not maintain such a website, GENERAL PARTNER shall provide statements and other documents directly to the accounting services provider and to NYSIF.
- For asset classes not listed here: MANAGER or GENERAL PARTNER shall consult with NYSIF, which shall provide requirements to MANAGER or GENERAL PARTNER, and MANAGER or GENERAL PARTNER shall confirm to NYSIF its acceptance of requirements prior to the engagement's commencement.
- If NYSIF changes from externally provided accounting services to internally recording investment transactions for accounting purposes, then MANAGER or GENERAL PARTNER shall work in good faith with NYSIF to accommodate reasonable timelines, methods, data sets, and formats set forth by NYSIF to enable timely recording of transactions.

File	Field Name	Definition	Required (R) / Conditionally Required (C)	Conditionally Required
Daily Position File	CLIENT_SEC_TYPE	Client-designated security type.	Y	
Daily Position File	PORTFOLIO	Portfolio identifier.	Y	
Daily Position File	POS_DATE	The as-of date when the positions were held.	Y	
Daily Position File	POS_CUR_PAR	Current (factored down) face amount of the trade or position.	Y	This field is not technically required for the load to succeed but is logically required for positions. If not included, the load will still succeed.
Daily Position File	POS_FACE	Original face amount of open position on a trade date basis.	Y	This field is not technically required for the load to succeed but is logically required for positions. If not included, the load will still succeed.
Daily Position File	CLIENT_ID	Client's unique identifier for each security.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	CUSIP	If the security has a real CUSIP, the client should provide it in this CUSIP tag.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	ISIN	ISIN (International Security Identification Number).	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	LIN	LIN (Loan Identification Number).	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	PPN	Private Placement Number. This is an identifier for private placements issued by S&P CUSIP Bureau. It resembles a CUSIP but has a special character in either character 6, 7, or 8.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	SEDOL	International security identifier. SEDOLs are issued by the London Stock Exchange. Stands for Stock Exchange Daily Official List. Seven characters.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Daily Position File	DELIVERY_DATE	The deliverable date of the underlying security. When the underlying security needs to settle.	C	Optional for FX options
Daily Position File	EXPIRY_TIME	The time and location of the option expiry cut.	C	Optional for FX options
Daily Position File	EXERCISE_TYPE	Exercise option type.	C	Required for FX options
Daily Position File	BARRIER_EVENT	Option style.	C	Required for FX options if applicable
Daily Position File	BARRIER_END	The barrier period end date	C	Required for FX options if applicable.
Daily Position File	BARRIER_LOWER	Contains the option's lower knock-in level as a rate	C	Required for FX options if applicable.
Daily Position File	BARRIER_START	The barrier period start date	C	Required for FX options if applicable.
Daily Position File	BARRIER_UPPER	Contains the option's higher knock-in level as a rate	C	Required for FX options if applicable.
Daily Position File	SETTLE_METHOD	The delivery method for this type of option.	C	Required for FX options if applicable.
Daily Position File	OPTION_STRIKE	Strike price of the option as quoted using market convention	C	Required for FX options.
Daily Position File	PUT_CALL	Is this option a PUT or a CALL.	C	Required for FX options.

Daily Position File	ANNOUNCE_DT	The date that the security was initially announced and offered to the public.	C	Required for NDF/OHA FX contracts
Daily Position File	DESC_INSTMT	Free form text description of the security.	C	Required if loading FX
Daily Position File	CURRENCY	Currency of position.	C	Required if loading FX
Daily Position File	SEC_CURRENCY	The currency of the security that this holding or price is set up with in the client system.	C	For Recon
Daily Position File	BOOK_YIELD	Book Yield	C	May be required - to be determined
Daily Trade (Buy/Sell) File	EXT_ID1	Unique trade ID from client's system.	Y	EXT_ID1 or INVNUM is required to update or cancel a trade
Daily Trade (Buy/Sell) File	PORTFOLIO	The portfolio of this trade.	Y	Must provide PORTFOLIO, PORTFOLIO_CODE, or EXTERN_ACCOUNT
Daily Trade (Buy/Sell) File	QUANTITY	Trade quantity	Y	Required to add a trade.
Daily Trade (Buy/Sell) File	SETTLE_DATE	Settlement Date.	Y	Required to add a trade.
Daily Trade (Buy/Sell) File	TRADE_DATE	Trade date	Y	Required to add a trade.
Daily Trade (Buy/Sell) File	TRANSACTION	Transaction type. BUY or SELL for most trades.	Y	Required to add a trade.
Daily Trade (Buy/Sell) File	SECURITY.RIC	The RIC code of the security	C	
Daily Trade (Buy/Sell) File	EXTERN_EX_BROKER_ID	Executing Broker	C	EX_BROKER, EX_BROKER_CODE, or EXTERN_EX_BROKER_ID is required to add a trade
Daily Trade (Buy/Sell) File	EX_BROKER	Executing Broker	C	EX_BROKER, EX_BROKER_CODE, or EXTERN_EX_BROKER_ID is required to add a trade
Daily Trade (Buy/Sell) File	EX_BROKER_CODE	Executing Broker.	C	EX_BROKER, EX_BROKER_CODE, or EXTERN_EX_BROKER_ID is required to add a trade
Daily Trade (Buy/Sell) File	SECURITY.CINS	CINS of the security	C	One identifier per asset type is required
Daily Trade (Buy/Sell) File	SECURITY.CLIENT_ID	Client Identifier.	C	One identifier per asset type is required
Daily Trade (Buy/Sell) File	SECURITY.CUSIP	Cusip of the security	C	One identifier per asset type is required
Daily Trade (Buy/Sell) File	SECURITY.ISIN	ISIN of the security	C	One identifier per asset type is required
Daily Trade (Buy/Sell) File	SECURITY.SEDOL	SEDOL of the security	C	One identifier per asset type is required
Daily Trade (Buy/Sell) File	FWD_SETTLEMENT_INSTRUCTION	Settlement instruction	C	Required for rolls
Daily Trade (Buy/Sell) File	COLLAT.PRICE	Trade price.	C	Required to add a collateral trade
Daily Trade (Buy/Sell) File	SETTLEMENT_INSTRUCTION	Settlement instruction	C	if CONFIRMED_BY and _CONFIRMED_WITH are provided
Daily Security Master File (Private Placement)	CLIENT_ID	Client's unique identifier for each security.	Y	
		If the security has a real CUSIP, the client should provide it in this CUSIP tag.		
Daily Security Master File (Private Placement)	CUSIP		Y	
Daily Security Master File (Private Placement)	ISIN	ISIN (International Security Identification Number).	Y	

Daily Security Master File (Private P	SEDOL	International security identifier. SEDOLs are issued by the London Stock Exchange. Stands for Stock Exchange Daily Official List. Seven characters.	Y	
Daily Security Master File (Private P	CLIENT_SEC_TYPE	Client-designated security type.	Y	
Daily Security Master File (Private P	CD_INSTMT_TYPE	CLIENT_SEC_TYPE can be used for this template.	Y	
Daily Security Master File (Private P	DESC_INSTMT	Free form text description of the security. Description cannot contain the following characters: , " ' ; =	Y	
Daily Security Master File (Private P	COUNTRY	Primarily the country of domicile of the issuing entity. ISO code should be used.	Y	
Daily Security Master File (Private P	RISK_COUNTRY	Country of Risk. .	Required if different than issue country	
Daily Security Master File (Private P	CURRENCY	The quoted currency of the security. ISO codes should be used.	Y	
Daily Security Master File (Private P	COUP_FREQ	Number of coupon or interest payments per year	Y	
Daily Security Master File (Private P	PRIN_FREQ	Number of principal payments per year.	Y for principal paying instruments	
Daily Security Master File (Private P	COUPON	Fixed Rate (in %).	Y	
Daily Security Master File (Private P	CPN_TYPE	Describes the type of coupon.	Y	
Daily Security Master File (Private P	ACCRUAL_DATE	The date on which the security first starts accruing interest.	Y	
Daily Security Master File (Private P	MATURITY	Legal final maturity date.	Y	
Daily Security Master File (Private P	ISSUE_SIZE	Original amount issued.	Y	
Daily Security Master File (Private P	DATE_CONV	Date convention.	Y	
Daily Security Master File (Private P	REGISTRATION	Is this security publicly traded, private, 144A, or Reg-S.	Y	
Daily Security Master File (Private P	DEFAULT_STATUS	Indicate if the security is in default.	Y	
Daily Security Master File (Private P	AMORTIZING	Does this security amortize	Y	
Daily Security Master File (Private P	PRICE_IN_PCT	Is this security priced as a percentage of Par	Y	
Daily Security Master File (Private P	ISSUER	Name of legal entity responsible for repayment.	Y	
Daily Security Master File (Private P	TICKER	Standard exchange ticker	Y	
Daily Security Master File (Private P	PUT_CALL	Is this security putable, callable or sinking	Required if Callable/Puttable /Sinkable	
Daily Security Master File (Private P	COUPON_CALC_MET HOD	compounding convention	Y for compounded	
Daily Security Master File (Private P	MULT_FLOATER	Does this security have changing spreads, fixed rates or indices	Required if applicable	
Daily Security Master File (Private P	SUSPEND_CONV	Defines whether the Suspend Days are in Business or Calendar Days	Conditional	

Daily Security Master File (Private Placement)	SUSPEND_DAYS	For a lockout period, this will indicate how many days to look back in order get the reference rate which will be fixed for the rest of the interest period.	Conditional	
Daily Security Master File (Private Placement)	LOOKBACK_TYPE	Identifies whether the security will use an observation period shift or an interest period shift in coupon calculations.	Conditional	
Month-End Credit Ratings File (Private Placement)	CLIENT_ID	Client's unique identifier for each security.	C	Client_id, cusip, or isin is required
Month-End Credit Ratings File (Private Placement)	CUSIP	If the security has a real CUSIP, the client should provide it in this CUSIP tag.	C	Client_id, cusip, or isin is required
Month-End Credit Ratings File (Private Placement)	AGY	Rating agency (or internal credit rating) code - values will be provided	Y	
Month-End Credit Ratings File (Private Placement)	DATE	Date that the rating was issued.	Y	
Month-End Credit Ratings File (Private Placement)	ISSUER_FLAG	Whether the CUSIP tag contains an ISSUER_ID or a CUSIP. If ISSUER_ID is present, it is required.	Y	
Month-End Credit Ratings File (Private Placement)	VALUE	Rating of this security, e.g. AA+.	Y	
Month-End Position/Pricing File (Private Placement)	CLIENT_SEC_TYPE	Client-designated security type.	Y	
Month-End Position/Pricing File (Private Placement)	PORTFOLIO	Portfolio identifier.	Y	
Month-End Position/Pricing File (Private Placement)	POS_DATE	The as-of date when the positions were held.	Y	
Month-End Position/Pricing File (Private Placement)	POS_CUR_PAR	Current (factored down) face amount of the trade or position.	Y	This field is not technically required for the load to succeed but is logically required for positions. If not included, the load will still succeed.
Month-End Position/Pricing File (Private Placement)	POS_FACE	Original face amount of open position on a trade date basis.	Y	This field is not technically required for the load to succeed but is logically required for positions. If not included, the load will still succeed.
Month-End Position/Pricing File (Private Placement)	CLIENT_ID	Client's unique identifier for each security.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	CUSIP	If the security has a real CUSIP, the client should provide it in this CUSIP tag.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	ISIN	ISIN (International Security Identification Number).	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	LIN	LIN (Loan Identification Number).	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	PPN	Private Placement Number. This is an identifier for private placements issued by S&P CUSIP Bureau. It resembles a CUSIP but has a special character in either character 6, 7, or 8.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	SEDOL	International security identifier. SEDOLs are issued by the London Stock Exchange. Stands for Stock Exchange Daily Official List. Seven characters.	C	Client_id, cusip, sedol, ISIN, LIN, PPN is always required
Month-End Position/Pricing File (Private Placement)	DELIVERY_DATE	The deliverable date of the underlying security. When the underlying security needs to settle.	C	Optional for FX options

Month-End Position/Pricing File (Pr	EXPIRY_TIME	The time and location of the option expiry cut.	C	Optional for FX options
Month-End Position/Pricing File (Pr	EXERCISE_TYPE	Exercise option type.	C	Required for FX options
Month-End Position/Pricing File (Pr	BARRIER_EVENT	Option style.	C	Required for FX options if applicable
Month-End Position/Pricing File (Pr	BARRIER_END	The barrier period end date	C	Required for FX options if applicable.
Month-End Position/Pricing File (Pr	BARRIER_LOWER	Contains the option's lower knock-in level as a rate	C	Required for FX options if applicable.
Month-End Position/Pricing File (Pr	BARRIER_START	The barrier period start date	C	Required for FX options if applicable.
Month-End Position/Pricing File (Pr	BARRIER_UPPER	Contains the option's higher knock-in level as a rate	C	Required for FX options if applicable.
Month-End Position/Pricing File (Pr	SETTLE_METHOD	The delivery method for this type of option.	C	Required for FX options if applicable.
Month-End Position/Pricing File (Pr	OPTION_STRIKE	Strike price of the option as quoted using market convention	C	Required for FX options.
Month-End Position/Pricing File (Pr	PUT_CALL	Is this option a PUT or a CALL.	C	Required for FX options.
Month-End Position/Pricing File (Pr	ANNOUNCE_DT	The date that the security was initially announced and offered to the public.	C	Required for NDF/OHA FX contracts
Month-End Position/Pricing File (Pr	DESC_INSTMT	Free form text description of the security.	C	Required if loading FX
Month-End Position/Pricing File (Pr	CURRENCY	Currency of position.	C	Required if loading FX
Month-End Position/Pricing File (Pr	SEC_CURRENCY	The currency of the security that this holding or price is set up with in the client system.	C	For Recon
Month-End Position/Pricing File (Pr	MKT_PRICE	Price of the security that was used in calculating the holding's market value. Should be provided in the local currency.	Y	
Month-End Position/Pricing File (Pr	MKT_VALUE_BASE	Market value of the holding, in base currency. This does not include accrued interest.	Y	
Month-End Position/Pricing File (Pr	MKT_VALUE_LOCAL	Market value in the local currency not including accrued interest.	Y	
Month-End Position/Pricing File (Pr	BOOK_YIELD	Book Yield	C	May be required - to be determined