

PBS

**Custody User
Guide**



The primary purpose of this User Guide is to familiarize DTC participants with the Custody Service offered by DTC. Participants should refer to the Custody Service Guide for the legal obligations of all parties concerned. This User Guide is not intended to serve as a legal document. No statement in this User Guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of DTC or any person.

FEBRUARY 2009

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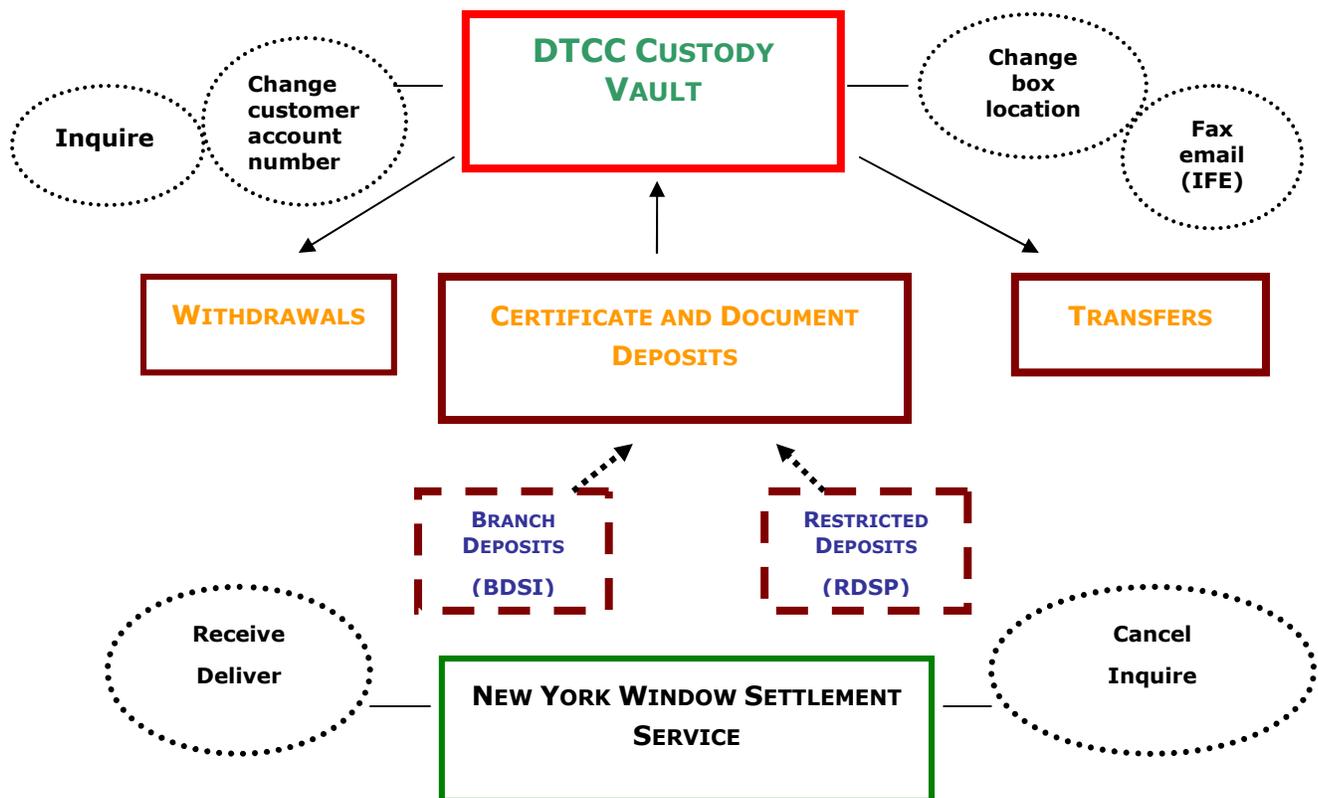
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About Custody

DTC's Custody Service allows you to outsource all or part of your physical securities inventory for safekeeping. When Regular Custody Services are used in conjunction with DTC's Branch Deposit Service (BDS), Restricted Deposit Service (RDS), and New York Window (NYW) Service, Custody participants are able to retain control of their securities without having to handle and secure them.

The Custody Service allows you to deposit securities not traditionally eligible for DTC, including securities such as customer-registered custodial assets, restricted shares, and certain DTC-ineligible securities such as certificated money market instruments (MMIs), private placements, and limited partnerships.

THE DTCC CUSTODY SERVICE



Procedures

Making a Security Deposit

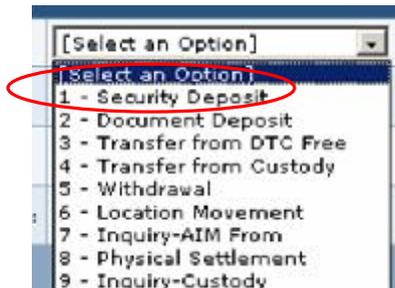
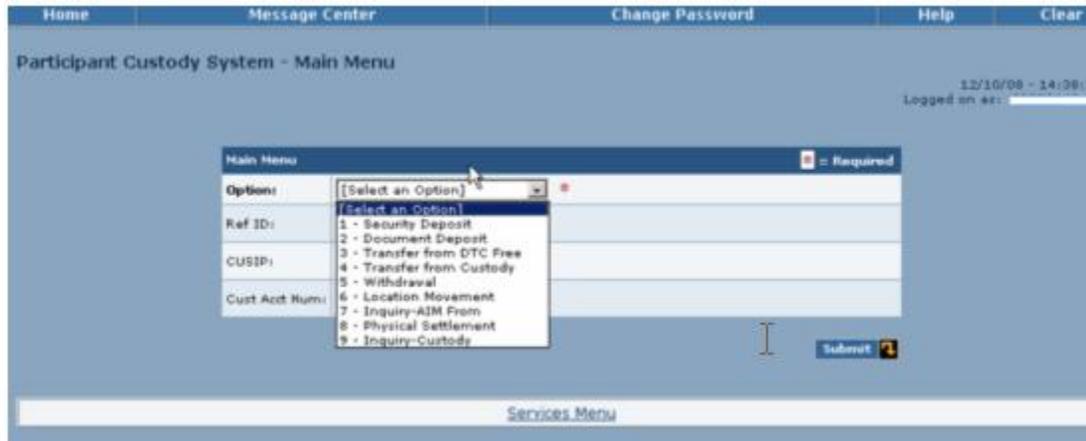
Use the following procedure when you want to deposit securities in your custody account.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Menu select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select Security Deposit – **1** in the **Option** field and click **Submit**.

The Participant Custody System – Security Deposit – Certificate page appears.

Participant Custody System - Security Deposit - Certificate

12/10/08 - 14:29:44
Logged on as: _____

Security Deposit Form = Required

Ref ID:	<input type="text"/>	Cust Acct Num:	<input type="text"/>	Location:	<input type="text"/>
CUSIP:	<input type="text"/>	Deposit Qty:	<input type="text"/>	Same Day:	<input type="radio"/> Yes <input type="radio"/> No
OFAC Certified:	<input type="text"/>				

Page: 01 of 01 Submit

< Previous Next >

Certificate Form = Required

Cert ID:	<input type="text"/>	Denomination:	<input type="text"/>
Issuance Date:	<input type="text"/>	Restriction Exp Date:	<input type="text"/>
Restriction Ind:	[[Select Restriction Ind]]		
Cert ID Range Start Seq:	<input type="text"/>	Cert ID Range End Seq:	<input type="text"/>
Registration:	<input type="text"/>		

- 4 Type or select the applicable information in the fields displayed.

Note: The OFAC Certified field is mandatory for all U.S. participants. In order to successfully create a deposit, you must select Y in the OFAC Certified field. This indicates that your firm has screened the name(s) of the registered owner on each certificate contained in the deposit (or the most recent assignee, if applicable) against the OFAC list that no valid matches were identified by such comparison.

- 5 Click **Update**.

Page: 01 of 01 < Previous Next >

Submit

Update	Locations	Documents	Comments	Transfer
Service Menu		Function Menu		

If there are any errors, an appropriate error message appears. If there are no errors, the message UPDATE SUCCESSFUL. TICKET PRINTED appears.

Requesting Transfers for Deposits

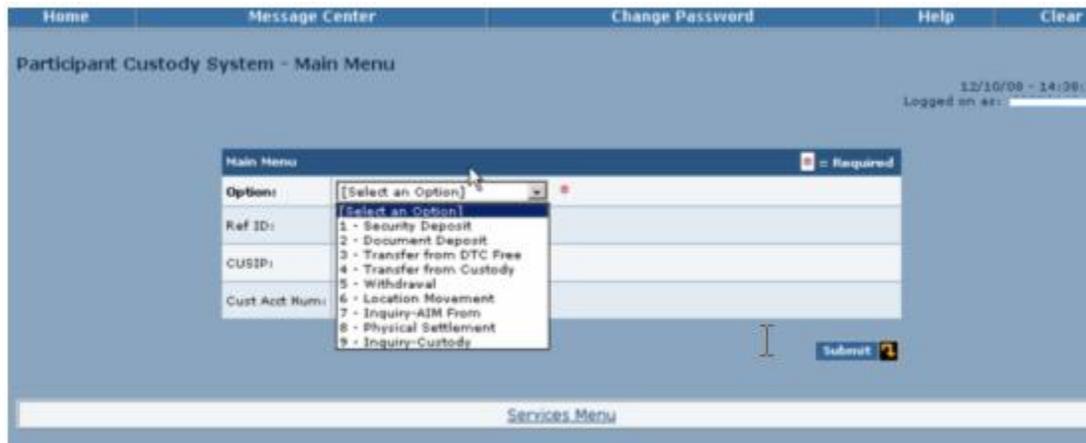
Use the following procedure when you want to request transfers for custody deposits.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Menu select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select Security Deposit – **1** in the **Option** field and click **Submit**.

The Participant Custody System – Security Deposit – Certificate page appears.

Participant Custody System - Security Deposit - Certificate

12/10/08 - 14:39:4
Logged on as:

Security Deposit Form Required

Ref ID:	<input type="text"/>	Cust Acct Num:	<input type="text"/>	Location:	<input type="text"/>
CUSIP:	<input type="text"/>	Deposit Qty:	<input type="text"/>	Same Day:	<input type="radio"/> Yes <input type="radio"/> No
OFAC Certified:	<input type="text"/>				

Page: 01 of 01 Submit

[< Previous](#) [Next >](#)

Certificate Form Required

Cert ID:	<input type="text"/>	Denomination:	<input type="text"/>
Issuance Date:	<input type="text"/>	Restriction Exp Date:	<input type="text"/>
Restriction Ind:	<input type="text"/>	Cert ID Range Prefix:	<input type="text"/>
Cert ID Range Start Seq:	<input type="text"/>	Cert ID Range End Seq:	<input type="text"/>
Registration:	<input type="text"/>		

- 4 Type information in the required fields.
- 5 Click **Transfer** at the bottom of the page.

Page: 01 of 01 Submit

[< Previous](#) [Next >](#)

Update	Locations	Documents	Comments	Transfer
Services Menu		Function Menu		

The Participant Custody System – Security Deposit – Transfer page appears.

Participant Custody System - Security Deposit - Transfer

12/10/08 - 14:4
Logged on as:

Security Deposit

Ref ID:	200812100	Cust Acct Num:	111	Same Day:	N
CUSIP:	459200101	Deposit Qty:	10.00000		

Page: 01 of 01 Submit

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Transfer Form Required

Trf Ref ID:	200812100	Sequence:	<input type="text"/>
Trf Qty:	<input type="text"/>	Location:	901
TRF Type:	<input type="text"/>	Taxpayer ID:	<input type="text"/>
Tax Wh:	<input type="text"/>	UIT CD:	<input type="text"/>
UIT CUSIP:	<input type="text"/>	Citizen/LP:	<input type="text"/>

- 6 Type or select information in the following fields.
 - **Tfr Type**
 - **Taxpayer ID**
 - **Tax WH**
 - **Citizen/LP**
 - **UIT CD**

- **UIT CUSIP**
- **Registration**
- **Mail To Name/Address**

7 Click **Update**.

UIT CUSIP: Citizen/UP:

Registration Form Required

Registration	Mail To - Name / Address
<input type="text"/>	<input type="text"/>

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Update	Locations	Certificates	Breakdown
Services Menu	Function Menu		

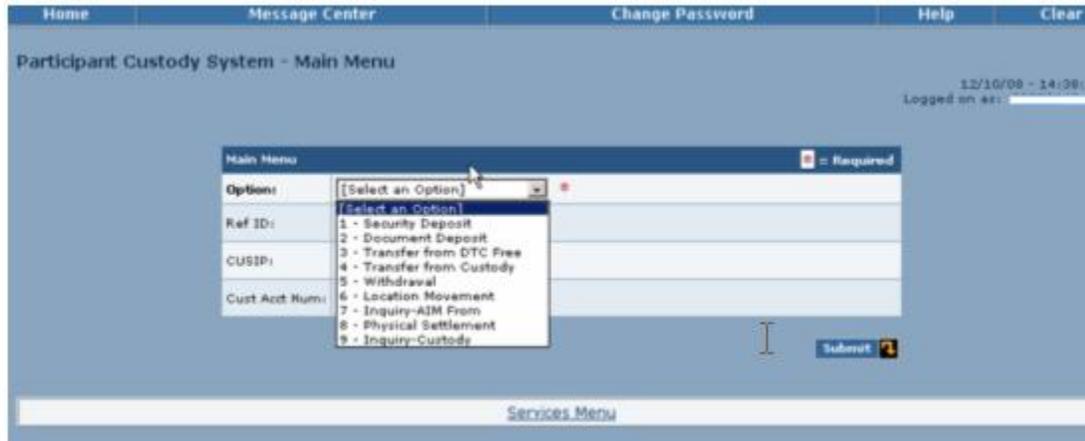
Making a Document Deposit

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **2 – Document Deposit**.
- 4 Type information in the following fields:

- **Ref ID** in the following format - CCYMMDDBBBBSSSS

Note: For the worthless securities conversion, use the deposit ID on the coversheet as the reference ID.

Note: For the Worthless Securities conversion, use the Deposit ID on the coversheet as the Reference ID.

- **Cust Acct Num**
- **CUSIP**.

- 5 Click **Submit**.

The Participant Custody System – Document Deposit Summary page appears.

Participant Custody System - Document - Deposit Summary

12/10/08 - 14:45:18
Logged on as: [User Name]

Page: 01 of 05

Search Results

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
<input type="button" value="[[Select an Action]]"/>	1999041400		459200101	2.00000	947
<input type="button" value="[[Select an Action]]"/>	1999041400		459200101	48.00000	947
<input type="button" value="[[Select an Action]]"/>	1999082400		459200101	1,000.00000	947
<input type="button" value="[[Select an Action]]"/>	2001062704		459200101	25.00000	947
<input type="button" value="[[Select an Action]]"/>	2001062704		459200101	25.00000	947
<input type="button" value="[[Select an Action]]"/>	2002060408		459200101	10.00000	947
<input type="button" value="[[Select an Action]]"/>	2002060408F		459200101	10.00000	947
<input type="button" value="[[Select an Action]]"/>	2003021308F		459200101	23.00000	947
<input type="button" value="[[Select an Action]]"/>	2003021308F		459200101	128.00000	947
<input type="button" value="[[Select an Action]]"/>	2003021308F		459200101	128.00000	947

6 Select **Process** in the **Select** drop down and click **Submit**.

The Document Deposit – Process page appears.

Participant Custody System - Document Deposit - Process

12/10/08 - 14:46:12
Logged on as: [User Name]

Security Deposit

Ref ID: [Field] Cust Acct Num: [Field]
CUSIP: 459200101 Deposit Qty: 2.00000 Location: 947

Location / Same Day Form

New Loc: Same Day: Yes No

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Document Form

Document Code	Expiration Date	State Code
<input type="checkbox"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="button" value="[[Select a State Code]]"/>
<input type="checkbox"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="button" value="[[Select a State Code]]"/>
<input type="checkbox"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="button" value="[[Select a State Code]]"/>

7 Enter information in the following fields:

- **New Location:** a location code
- **Same Day:** **Y** (yes) or **N** (no)
- **Document Code:** click the Doc Codes link at the bottom of the page to view a list
- **Expiration Date:** click the calendar icon and select a date, if applicable
- **State Code:** select one

8 Click **Update**.

The message UPDATE SUCCESSFUL appears.

Transferring Security From the Free Position and Requesting Breakdowns

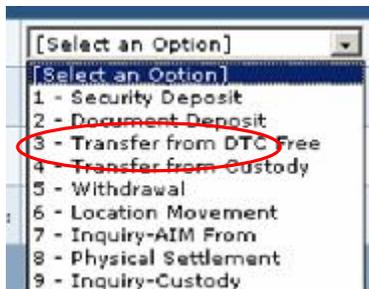
Use this procedure when you want to transfer security from the DTC free position and request certificates in specific denominations from the transfer agent.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **3** – Transfer From DTC Free in the **Option** field and click **Submit**.

The Participant Custody System – Transfer From DTC Free – Process page appears.

Participant Custody System - Transfer From DTC Free - Process

12/10/08 - 14:47:16
Logged on as:

[Submit](#)

Transfer Form Required

Ref ID:	<input type="text"/>	Cust Acct Num:	<input type="text"/>		
CUSIP:	<input type="text"/>	Deposit Qty:	<input type="text"/>	Location:	<input type="text"/>
Tax ID:	<input type="text"/>	Tax Wht:	<input type="text" value="Select Tax Withholding Ind"/>	TRF Type:	<input type="text" value="Select TRF Type"/>
UIT Cd:	<input type="text" value="Select UIT CD"/>	UIT CUSIP:	<input type="text"/>	Citizen/LP:	<input type="text" value="Select Citizen/LP ind"/>
Agt ID:	<input type="text"/>	Int Cust:	<input type="text"/>	Corr Act:	<input type="text"/>
Registration:	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				

4 Type information in the required fields.

5 Click **Update**.

Update	Location Codes	Breakdown
Services Menu	Function Menu	

For Breakdowns

Ref ID:	<input type="text"/>	Cust Acct Num:	<input type="text"/>		
CUSIP:	<input type="text"/>	Deposit Qty:	<input type="text"/>	Location:	<input type="text"/>
Tax ID:	<input type="text"/>	Tax Wht:	<input type="text" value="Select Tax Withholding Ind"/>	TRF Type:	<input type="text" value="Select TRF Type"/>
UIT Cd:	<input type="text" value="Select UIT CD"/>	UIT CUSIP:	<input type="text"/>	Citizen/LP:	<input type="text" value="Select Citizen/LP ind"/>
Agt ID:	<input type="text"/>	Int Cust:	<input type="text"/>	Corr Act:	<input type="text"/>
Registration:	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				

[Submit](#)

Update	Location Codes	Breakdown
Services Menu	Function Menu	

6 Click **Breakdown**.

The Transfer From DTC Free - Breakdown Process page appears.

Participant Custody System - Transfer from DTC Free - Breakdown Process

12/10/08 - 14:49:5
Logged on as:

Transfer Information			
Ref ID:		Cust Act Num:	111
CUSIP:	459200101	Deposit Qty:	10.00000
		Location:	901

Transfer Breakdown Form			
Num	Denomination	Num	Denomination
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Submit

[Update](#) [Location Codes](#) [Registration](#)
[Services Menu](#) [Function Menu](#)

7 Type information in the following fields:

- **Num**
- **Denomination.**

8 Click **Update**.

Transferring Security From the Custody Position to DTC Free Position and Requesting Breakdowns

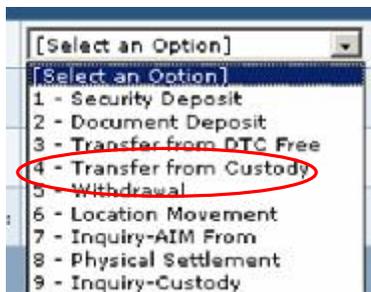
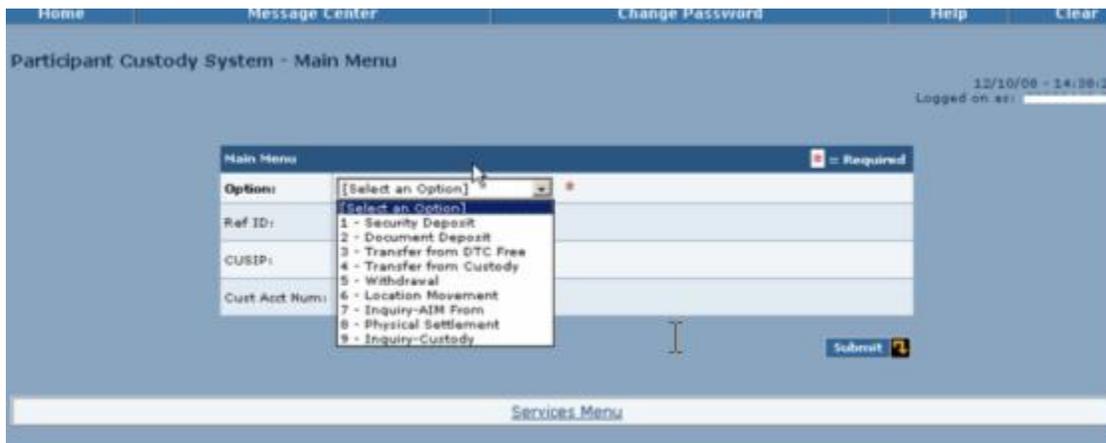
Use this procedure when you want to transfer security from the custody position to the DTC free position and request certificates in specific denominations from the transfer agent.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **4** – Transfer From Custody in the **Option** field and click **Submit**.

The Participant Custody System – Transfer From Custody – Deposit Summary page appears.

Participant Custody System - Transfer From Custody - Deposit Summary

12/10/08 - 14:50:44
Logged on as: _____

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Submit

< Previous Next >

Search Results

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
[Select an Action]	199904140L		459200101	2.00000	947
[Select an Action]	199904140B		459200101	48.00000	947
[Select an Action]	1999082400		459200101	1,000.00000	947
[Select an Action]	2001062704		459200101	25.00000	947
[Select an Action]	2001062704		459200101	25.00000	947
[Select an Action]	2002060400		459200101	10.00000	947
[Select an Action]	2002060400		459200101	10.00000	947
[Select an Action]	2003021300		459200101	23.00000	947
[Select an Action]	2003021300		459200101	128.00000	947
[Select an Action]	2003021300F		459200101	128.00000	947

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4 Select one of the following:

- **D**: to select certificates for partial processing
- **S**: to select a deposit for transfer processing.

5 Click **Submit**.

If you selected **D**, the Transfer From Custody – Deposit Summary page appears. If you selected **S**, the Transfer From Custody – Process page appears.

Participant Custody System - Transfer from Custody - Process

12/10/08 - 14:52:50
Logged on as: _____

Home Message Center Change Password Help Clear

Security Deposit = Required

Ref ID: _____ Cust Acct Num: _____ Rush Ind: *

CUSIP: 459200101 Deposit Qty: 2.00000 Location: 947

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Submit

< Previous Next >

Transfer Form = Required

Transfer Qty: _____ * Transfer Ref ID: 200612100443

Dest/Loc: _____ * Mail Type: [Select Mailing Type]

TRF Type: [Select TRF Type] * Taxpayer ID: _____ *

Tax Wh: [Select Tax Withholding Ind] UIT CD: [Select UIT CD]

UIT CUSIP: _____ Channel: [Select Channel/SP Ind]

6 On the Transfer From Custody – Deposit Summary page, select:

- **Partial Processing**: to select certificates for partial processing
- **Registration**: to view certificate registration information.

7 On the Transfer From Custody – Process page, type or select applicable information in the entry fields.

8 Click **Update**.

Update	Location Codes	Breakdown	Help	Previous Screen
	Services Menu		Funding Menu	

To process breakdowns

9 Click **Breakdown** at the bottom of the page.

Update	Location Codes	Breakdown	Help	Previous Screen
Services Menu			Function Menu	

The Transfer From Custody - Breakdown Process page appears.

Participant Custody System - Transfer from Custody - Breakdown Process

12/15/08 - 14:46:5
Logged on as:

Transfer Information			
Ref ID:		Cust Acct Num:	Rush Ind: N
CUSIP:	459200101	Partial Qty:	1.00000
Tf Ref ID:	00812100001	Transfer Qty:	1.00000

Submit

Transfer Breakdown Form			
Num	Denomination	Num	Denomination
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	

Submit

10 Type information in the following fields

- **Num**
- **Denomination**

11 Click **Update**.

Viewing Transfer, Certificate and Document Information

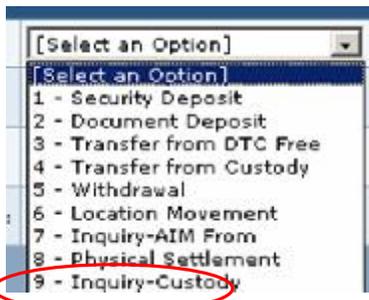
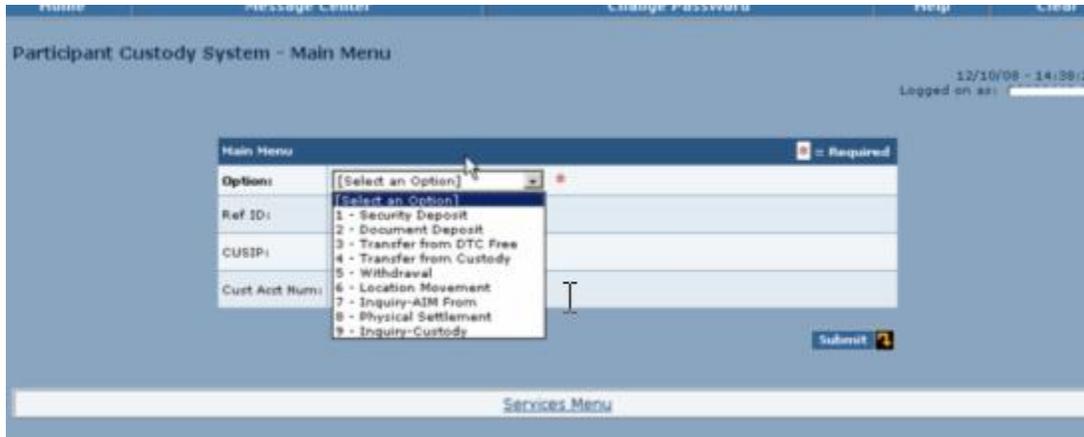
Use this procedure when you want to view activity information for transfers, certificates and documents.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

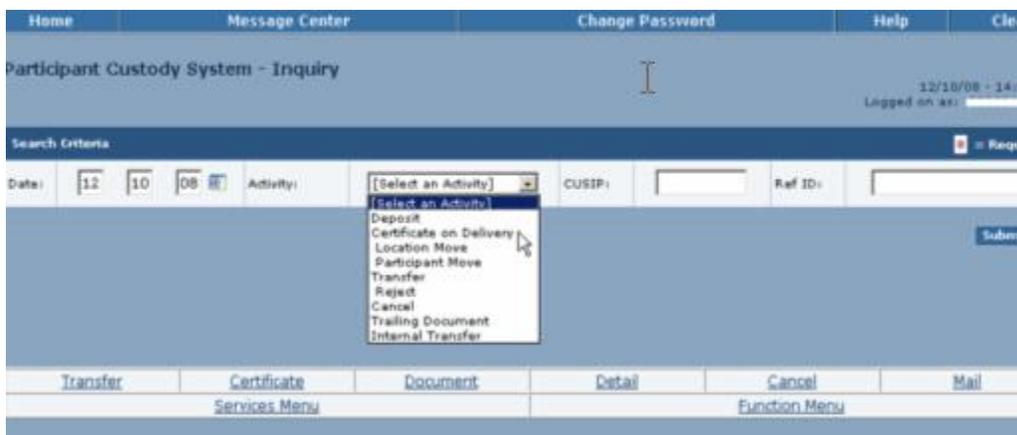
- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **9** – Inquiry - Custody in the **Option** field and click **Submit**.

The Participant Custody System – Inquiry page appears.



- 4 Optional. Type or select information in the following fields:

- **Date**
- **Activity**
- **CUSIP**
- **Ref ID**

5 Click **Submit**.

The page displays the information that matches your search criteria.

6 Click in the **SEL** field next to a selected item.

7 Click one of the following:

- **Transfer:** to access the Transfer Inquiry page
- **Cert.** to access the Certificate Inquiry page
- **Doc:** to access Document Inquiry page
- **Detail:** to access the Detail Inquiry page.

The page you requested is displayed.

Requesting the Cancellation of a COD

Use this procedure when you want to request the cancellation of a COD.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.

- 3 Select **9** - Inquiry - Custody in the **Option** field and click **Submit**.

The Participant Custody System – Inquiry page appears.

- 4 Optional. Type or select information in the following fields:

- **Date**

- **Activity**
- **CUSIP**
- **Ref ID**

5 Click **Submit**.

The page displays the information that matches your search criteria.

6 Type **C** in the **SEL** field next to a selected item.

7 Click **Cancel** at the bottom of the page

A message appears confirming that the item has been cancelled.

Processing Withdrawals

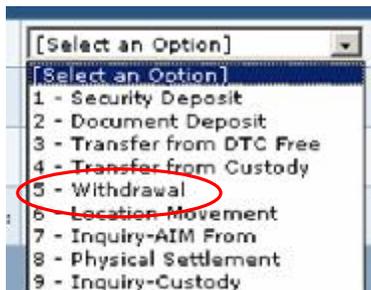
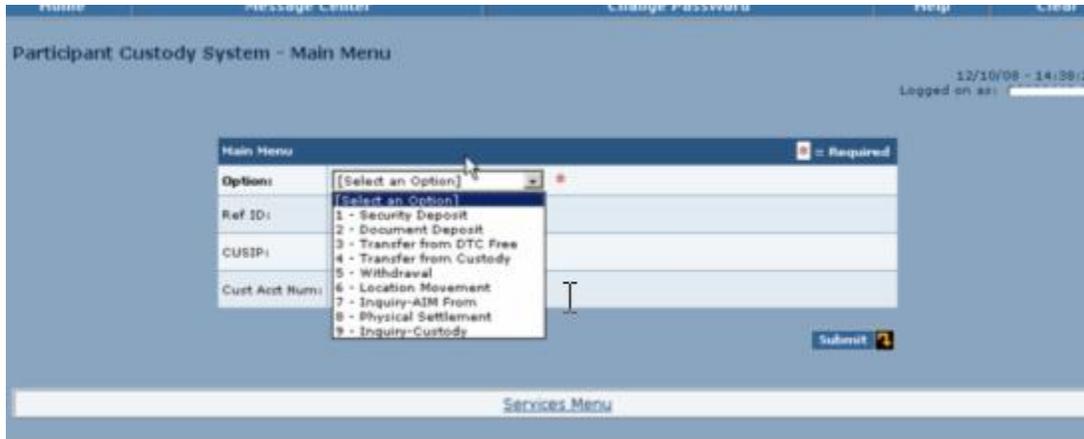
Use these procedures when you want to make full withdrawals or partial withdrawals from your custody account.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **5 – Withdrawal** in the **Option** field and click **Submit**.

- 4 Type information in the following fields:

- **Ref ID**
- **CUSIP**
- **Cust Acct Num**

- 5 Click **Submit**

The Participant Custody System – Withdrawal – Deposit Summary page appears.

Participant Custody System - Withdrawal - Deposit Summary

12/10/08 - 14:54:43
Logged on as: _____

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Search Results

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
[Select an Action]	19990414000		459200101	2.00000	947
[Select an Action]	19990414000		459200101	48.00000	947
[Select an Action]	19990824000		459200101	1,000.00000	947
[Select an Action]	20010627044		459200101	25.00000	947
[Select an Action]	20010627044		459200101	25.00000	947
[Select an Action]	2002060400F		459200101	10.00000	947
[Select an Action]	2002060400F		459200101	10.00000	947
[Select an Action]	2003021300F		459200101	23.00000	947
[Select an Action]	2003021300F		459200101	128.00000	947
[Select an Action]	2003021300F		459200101	128.00000	947

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6 Select **Process** in the **Select** field next to the selected reference ID.

7 Click **Submit**.

The Participant Custody System - Withdrawal Process page appears.

Home Message Center Change Password Help Clear

Participant Custody System - Withdrawal - Process

12/10/08 - 14:55:33
Logged on as: _____

Submit

Deposit Information

Ref ID:	Cust Acct Num:
CUSIP: 459200101	Deposit Qty: 2.00000
	Location: 947

Withdrawal Information * Required

Same/Next Day: Same Day Next Day

Dest Code: [Select Destination Code] * Mailing Type: [Select Mailing Type]

Mailing Address: [Select Destination Code]

- 1 - PICK UP
- 2 - DELIVERY
- 3 - MAIL TO CUSTOMER
- 4 - NY WINDOWS
- 5 - RESTRICTED DEPOSIT
- 6 - NFE DEPOSIT

8 Type or select the applicable information in the following fields:

- **Same/Next Day**
- **Dest Code**
- **Mailing Type**
- **Mailing Address**

9 Click **Update**.

PARTIAL PROCESSING

10 On the Deposit Summary page select **Detail ???** in the **Select** field and click **Submit**.

The Withdrawal – Certificate Summary page appears.

Participant Custody System - Withdrawal - Certificate Summary 12/10/08 - 14:57
Logged on as:

Deposit Information

Ref ID:		Cust Acct Num:			
CUSIP:	459200101	DeposR Qty:	2.00000	Location:	947

[Submit](#)

Page: 01 of 01 [< Previous](#) [Next >](#)

Search Results

Select	Certificate ID	Denomination	Issuance Date	Restriction Indicator	Restriction Expiration Date
Delete An Action	00000P346842	1.00000	07/10/91	No	
Select An Action	00000P491278	1.00000	07/15/92	No	
Partial Processing					
Registration					

Page: 01 of 01 [< Previous](#) [Next >](#)

[Submit](#)

[Help](#) [Previous Screen](#)

11 Select Partial Processing and click submit.

Changing Certificate Location

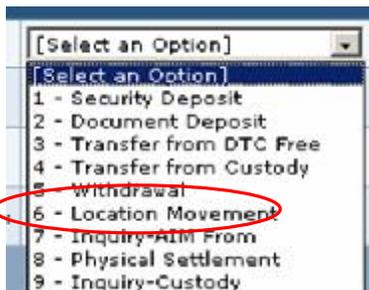
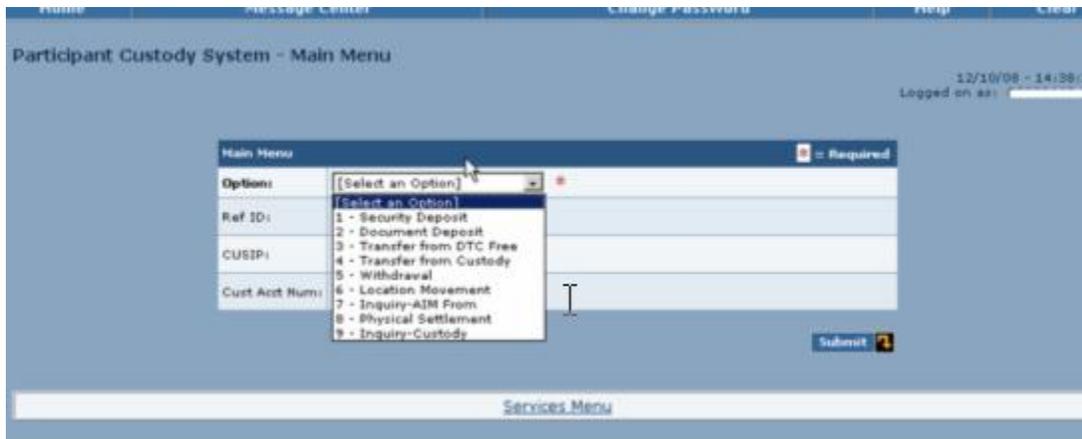
Use this procedure when you want to move your certificates from one custody box location to another.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **6** – Location Movement in the **Option** field.

- 4 Type information in the following fields:

- **Ref ID**
- **CUSIP**
- **Cust Acct Num**

- 5 Click **Submit**.

The Participant Custody System – Location Movement – Deposit Summary page appears.

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
Process	19990414000		459200101	2.00000	947
[Select an Action]	19990414000		459200101	46.00000	947
[Select an Action]	19990824000		459200101	1,000.00000	947
[Select an Action]	20010627044		459200101	25.00000	947
[Select an Action]	20010627044		459200101	25.00000	947
[Select an Action]	2002060409F		459200101	16.00000	947
[Select an Action]	2002060409F		459200101	16.00000	947
[Select an Action]	2003021309F		459200101	23.00000	947
[Select an Action]	2003021309F		459200101	128.00000	947

6 Select **Process** in the **Select** field next to the selected reference ID.

7 Click **Submit**.

The Participant Custody System – Location Movement – Process page appears.

Participant Custody System - Location Movement - Process

12/10/08 - 14:59:08
Logged on as: [User Name]

Deposit Information

Ref ID:	Cust Acct Num:
CUSIP: 459200101	Deposit Qty: 2.00000
	Location: 947

Location Movement Form Required

New Location:

Submit

[Update](#) [Location Codes](#) [Previous Screen](#)
[Services Menu](#) [Function Menu](#)

8 Type a location code in the **New Location** field.

Note: You can click the Loc Code link at the bottom of the page to view a list of location codes.

9 Click **Update**.

Changing Customer Account Numbers and Viewing Information

Use the applicable one of these procedures when you have to change a customer account number on a single position or certificate, globally or you want to view certificate activity, audit trail or customer information for deposits accepted into the vault using the AIM Custody Interface.

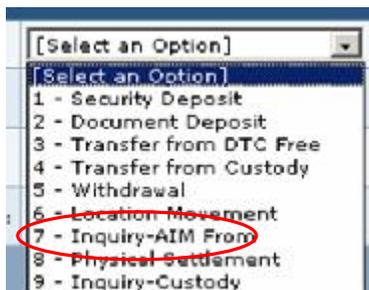
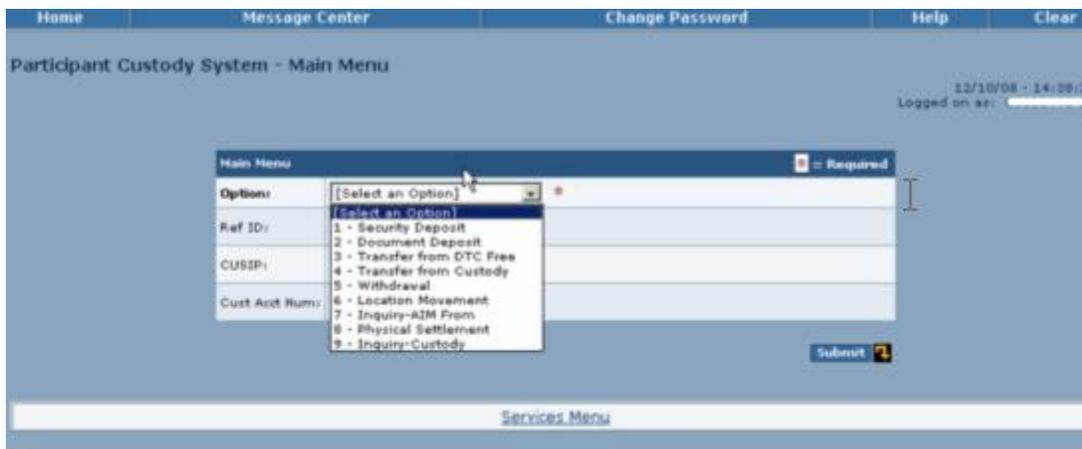
CHANGING CUSTOMER ACCOUNT NUMBER ON A SINGLE POSITION OR CERTIFICATE

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

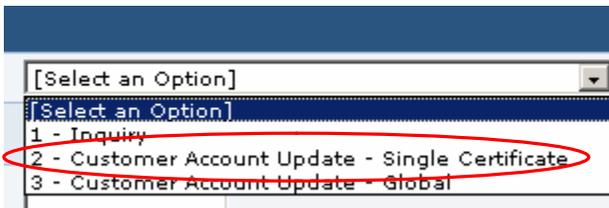
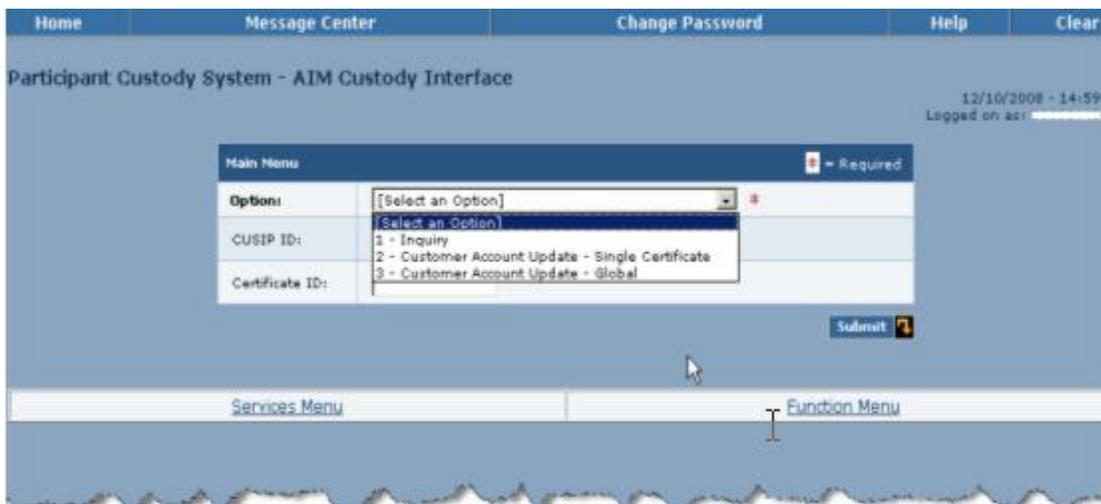
- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit.6**

The Participant Custody System – Main Menu appears.



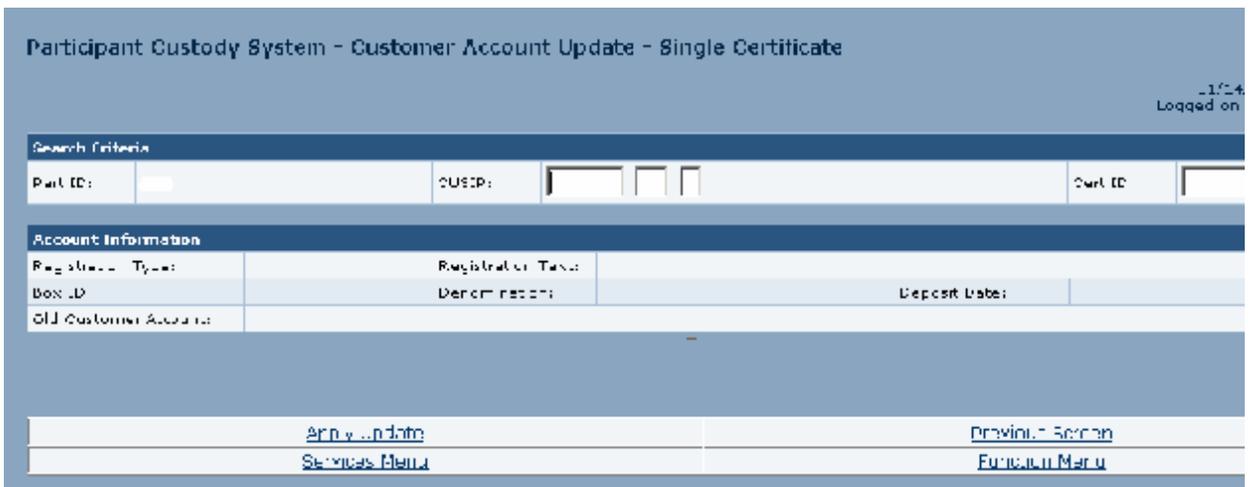
- 3 Select **7** – Inquiry - AIM in the **Option** field and click **Submit.**

The AIM – Custody Interface page appears.



- 4 Select **2** – Customer Account Update – Single Certificate in the **Select an Option** field and click **Submit**.

The Participant Custody System – Customer Account Update – Single Certificate appears.



- 5 Type information in the following fields:

- **CUSIP**
- **Cert ID**

The page displays the applicable information.

- 6 Type the new customer account number in the **New Customer Account Number** field.
- 7 Click **Apply Update** at the bottom of the page.

CHANGING CUSTOMER ACCOUNT NUMBER GLOBALLY

- 1 From the Participant Browser System Home Page select Securities Processing Services.

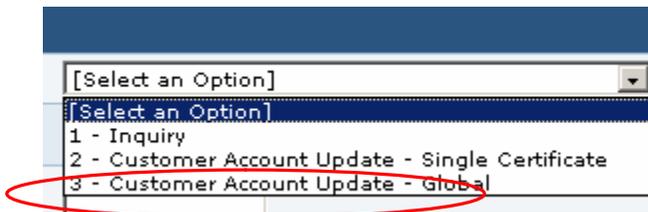
The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.

- 3 Select **7** – Inquiry - AIM in the **Option** field and click **Submit**.

The AIM – Custody Interface page appears.



- 4 Select **3** – Customer Account Update – Global in the **Select an Option** field and click **Submit**.

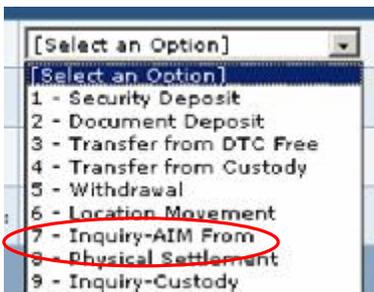
The Participant Custody System – Customer Account Global Update page appears.

- 5 Type the number in the **Old Cust Acct** field.
- 6 Click **Submit**.
- 7 Type the new customer account number in the **New Cust Acct** field.
- 8 Click **Apply Update** at the bottom of the page.

VIEWING INFORMATION

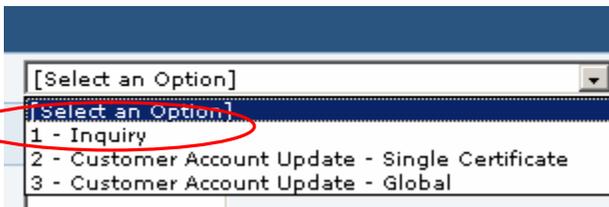
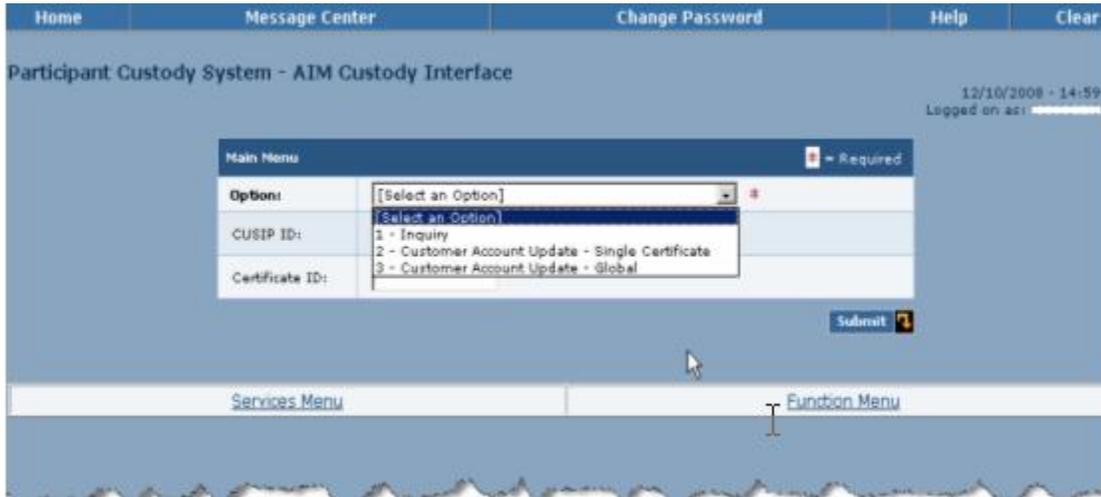
- 1 From the Participant Browser System Home Page select Securities Processing Services.
The Securities Processing Services Home Page appears.
- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **7** – Inquiry - AIM in the **Option** field and click **Submit**.

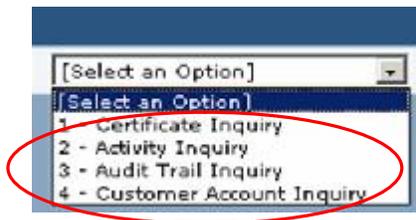
The AIM – Custody Interface page appears.



- 4 Select **1** – Customer Account Update – Single Certificate in the **Select an Option** field and click **Submit**.

The AIM – Custody Inquiry Menu appears.





5 Select one of the following in the **Select an Option** field and click **Submit**.

- to view certificate information
- to view activity
- to view audit trail information
- to view customer account information.

One of the following pages appears, depending on the option you selected:

- **Certificate Inquiry**

Participant Custody System - Certificate Inquiry
Pr01 - Enter Selection Criteria For Inquiry
12/10/08 - 15:01:36
Logged on as: [User Name]

Main Menu [Required]

Part ID:	<input type="text"/>	CUSIP:	<input type="text"/>	As of Date:	<input type="text"/>
DTC Box #:	<input type="text"/>	Cust Acct:	<input type="text"/>	Ref #:	<input type="text"/>
Cert ID:	<input type="text"/>	Seq ID:	<input type="text"/>	Sec Descr:	<input type="text"/>

Submit

Previous Screen

Services Menu Function Menu

- **Activity Inquiry**

Participant Custody System - Activity Inquiry
Pr01 - Enter Selection Criteria For Inquiry
12/10/08 - 15:01:55
Logged on as: [User Name]

Main Menu [Required]

Part ID:	<input type="text"/>	CUSIP:	<input type="text"/>	As of Date:	<input type="text"/>
DTC Box #:	<input type="text"/>	Cust Acct:	<input type="text"/>	Ref #:	<input type="text"/>
Cert ID:	<input type="text"/>	Seq ID:	<input type="text"/>	Sec Descr:	<input type="text"/>

Submit

Previous Screen

Services Menu Function Menu

- **Audit Trail Inquiry**

- **Customer Acct Inquiry**

6 Enter the required information and press **Submit**.

The screen displays the information you requested.

Note: You can sort displayed information by entering information in the fields at the top of the screen.

7 Type **S** to the left of a selected item and press **ENTER** to view details for that item.

New York Window Settlement

DTC provides physical settlement and clearance for all positions held in Custody through the New York Window (NYW). You can withdraw securities from custody and have your messenger pick them up at the NYW. The Return to Firm service also offered by the NYW allows you to have some or all of a current day's certificates returned to you at your request.

PROCESSING DELIVERIES

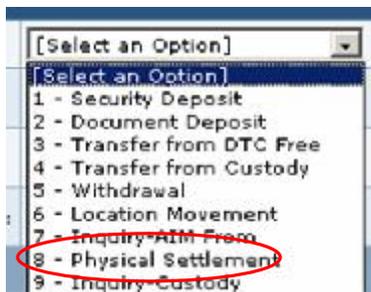
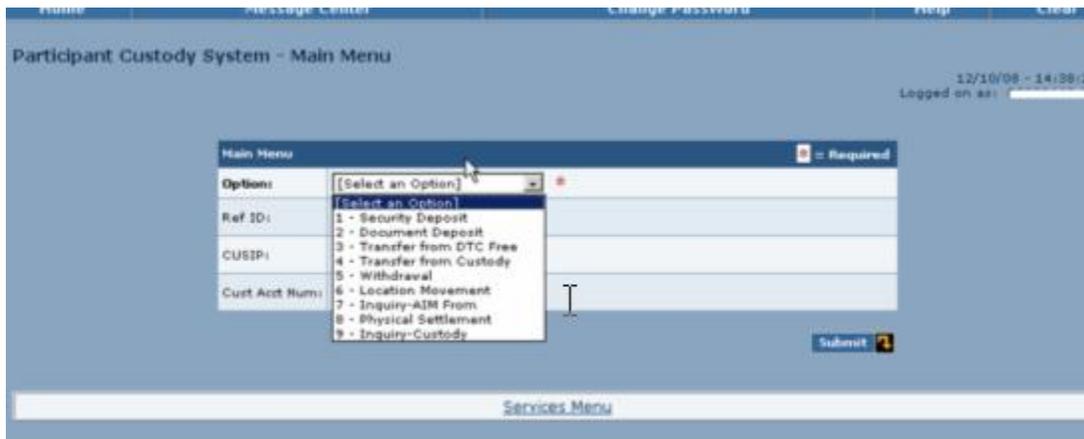
Use this procedure when you want to process physical settlement deliveries.

- 1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

- 2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



- 3 Select **8** – Physical Settlement in the **Option** field and click **Submit**.

The Participant Custody System. – Physical Settlement Menu appears.

Participant Custody System - Physical Settlement - Deliver

12/10/08 - 13:04:58
Logged on as: _____

Enter Settlement Date

Submit

Page: 1 of 2
Continue

Anticipated Receive Form Required

Trade Date:	<input type="text"/>	Settle Dt:	<input type="text"/>	CUSIP:	<input type="text"/>
Security ID:	<input type="text"/>	Coupon Rate:	<input type="text"/>		
Matur Date:	<input type="text"/>	Slr Qty:	<input type="text" value="2.00000"/>		
Broker No:	<input type="text"/>	Broker Nm:	<input type="text"/>		
Cust Acct:	<input type="text"/>	Settl Amt:	<input type="text"/>		
Due Bill Atch:	<input type="text" value="[Select Due Bill Atch]"/>	Due Bill Amt:	<input type="text"/>		
Trans Ref No:	<input type="text" value="0812100"/>	Link ID:	<input type="text"/>		
Security Ty:	<input type="text" value="[Select Security Ty]"/>	Mode Ind:	<input type="text" value="[Select Mode Ind]"/>		
As of St Dt:	<input type="text"/>	Payment Ty:	<input type="text"/>		

7 Type or select the applicable information in the entry fields.

8 Click **Continue**.

Page: 1 of 2

Continue
submit

Update	Sub Menu	Summary
Services Menu		Function Menu

The second Physical Settlement – Deliver page appears.

9 Type or select information in the entry fields.

10 Click **Update**.

PROCESSING RECEIVES

Use this procedure when you want to process physical settlement receives.

1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.

Participant Custody System - Main Menu

12/10/08 - 14:38:12
Logged on as: _____

Main Menu Required

Options:

Ref ID:

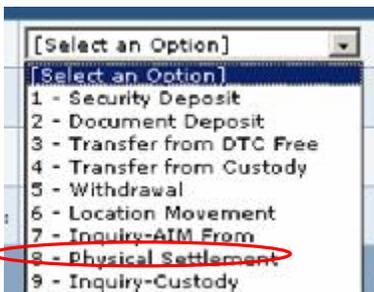
CUSIP:

Cust Acct Num:

Submit

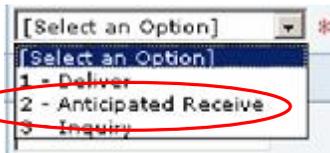
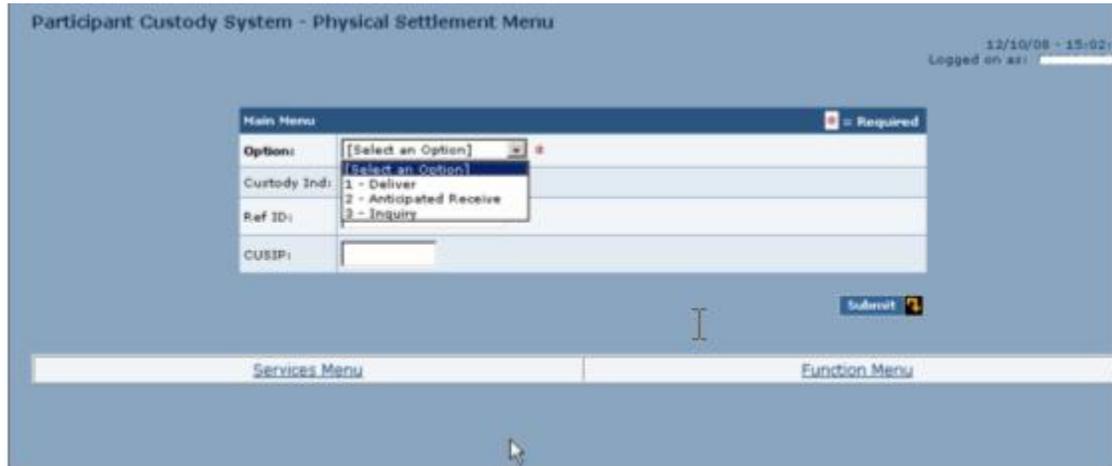
Services Menu

- 1 - Security Deposit
- 2 - Document Deposit
- 3 - Transfer from DTC Free
- 4 - Transfer from Custody
- 5 - Withdrawal
- 6 - Location Movement
- 7 - Inquiry-AIM From
- 8 - Physical Settlement
- 9 - Inquiry-Custody



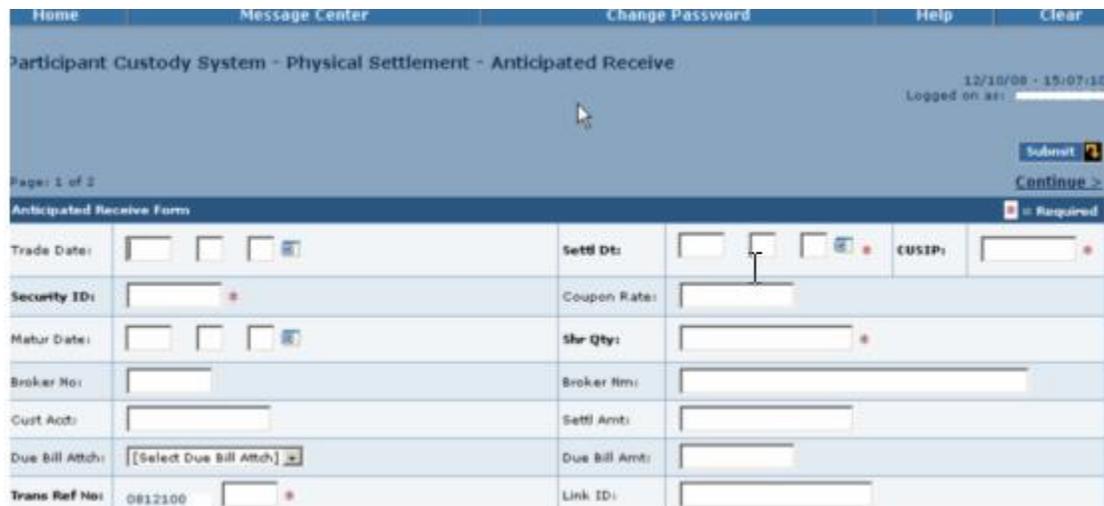
- 3 Select **8** – Physical Settlement in the **Option** field and click **Submit**.

The Participant Custody System – Physical Settlement Menu appears.



- 4 Select **2** – Anticipated Receive in the **Option** field.

The first Physical Settlement – Anticipated Receive page appears.



- 5 Type or select the applicable information in the entry fields.

If you selected Yes in the Due Bill field you must enter the due bill amount.

- 6 Click **Continue**.

The second Physical Settlement – Anticipated Receive page appears.

7 Type or select the applicable information in the entry fields.

8 Click **Update**.

INQUIRING ABOUT PHYSICAL SETTLEMENT TRANSACTIONS

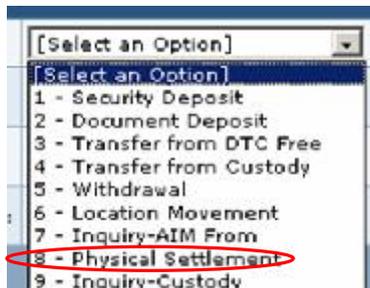
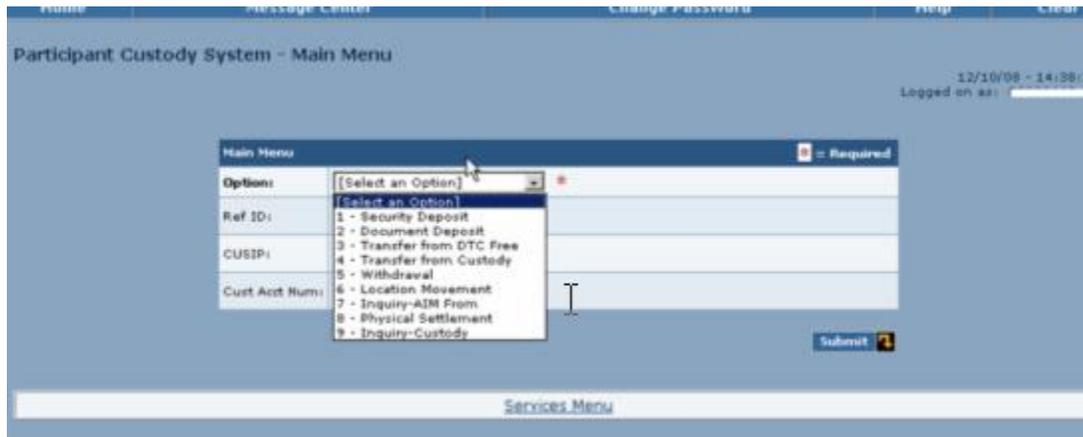
Use this procedure if you want to view information for physical settlement transactions.

1 From the Participant Browser System Home Page select Securities Processing Services.

The Securities Processing Services Home Page appears.

2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.



3 Select **8** – Physical Settlement in the **Option** field and click **Submit**.

The Participant Custody System – Physical Settlement Menu appears.

Participant Custody System - Physical Settlement Menu

12/10/08 - 13:02:00
Logged on as: [User]

Main Menu	
Option:	[Select an Option] *
Custody Ind:	1 - Deliver 2 - Anticipated Receive 3 - Inquiry
Ref ID:	
CUSIP:	

Submit

Services Menu Function Menu

[Select an Option] *

[Select an Option]

1 - Deliver

2 - Anticipated Receive

3 - Inquiry

- 4 Select **3** – Inquiry in the **Option** field.

The first Physical Settlement – Inquiry page appears.

York Window System - Settlement Inquiry

12/10/08 - 13:07:48
Logged on as: [User]

Submit

Main Menu	
Transaction Number:	<input type="text"/>
Participant Number:	<input type="text"/>
CUSIP:	<input type="text"/>
Quantity:	<input type="text"/> <input type="text"/>
Process Date:	<input type="text"/> <input type="button" value="Calendar"/>
Item Status:	<input type="text"/>
Settlement Mode:	<input type="text"/>
Settlement Date:	<input type="text"/> <input type="button" value="Calendar"/>
Settlement Amount:	<input type="text"/> <input type="text"/>
Destination:	<input type="text"/>
Contra Broker:	<input type="text"/>

- 5 Type information in the following fields:

- **Transaction Number**
- **CUSIP**

Note: You can type information in other entry fields to narrow your search.

- 6 Click **Submit**.

The New York Window System Settlement Summary page appears.

Home	Message Center	Change Password	Help	Clear		
New York Window System - Settlement Summary						
12/10/08 - 13:09:33 Logged on as: _____						
Submit						
Page: 001						
< Previous Next >						
SEL	Broker	CUSIP	Quantity	Settle Amt	Tran Type	Status
[Select Action]		459200101	10.00000	\$0.00	REC-Free Receive	Pending Match
[Select Action]		459200101	1.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	100.00000	\$0.00	REC-Free Receive	Pending Match
[Select Action]		459200101	600.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	2.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	2.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]	00000	459200101	100.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]	00000	459200101	500.00000	\$0.00	DEL-Free Deliver	Pending Match

7 Select **Details** in the **SEL** field to the left of a selected item.

8 Click **Submit**.

The New York Window System Settlement Detail page appears displaying detail information for the item you selected.

CANCELING A PHYSICAL SETTLEMENT ITEM

Use this procedure when you want to cancel a physical settlement item.

1 From the Participant Browser System Home Page select Securities Processing Services.

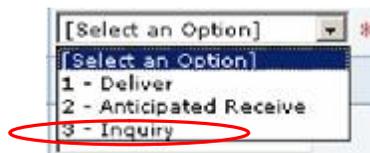
The Securities Processing Services Home Page appears.

2 From the Securities Processing Services Home Page select Custody Services. If prompted, enter your user ID and password and click **Submit**.

The Participant Custody System – Main Menu appears.

3 Select **8** – Physical Settlement in the **Option** field and click **Submit**.

The Participant Custody System – Physical Settlement Menu appears.



- 4 Select **3** – Inquiry in the **Option** field.

The Physical Settlement – Inquiry page appears.

- 5 Type information in one of the following fields:

- **Transaction Number**
- **CUSIP**

Note: You can type information in other entry fields to narrow your search.

6 Click **Submit**.

The New York Window System Settlement Summary page appears.

SEL	Broker	CUSIP	Quantity	Settle Amt	Tran Type	Status
[Select Action]		459200101	10.00000	\$0.00	REC-Free Receive	Pending Match
[Select Action]		459200101	1.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	100.00000	\$0.00	REC-Free Receive	Pending Match
[Select Action]		459200101	400.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	2.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]		459200101	2.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]	00000	459200101	100.00000	\$0.00	DEL-Free Deliver	Pending Match
[Select Action]	00000	459200101	500.00000	\$0.00	DEL-Free Deliver	Pending Match

7 Select **Cancel** in the **SEL** field to the left of a selected item.

8 Click **Submit**.