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# Asset Services

## **PBS CUSTODY USER GUIDE**

MAY 8, 2025

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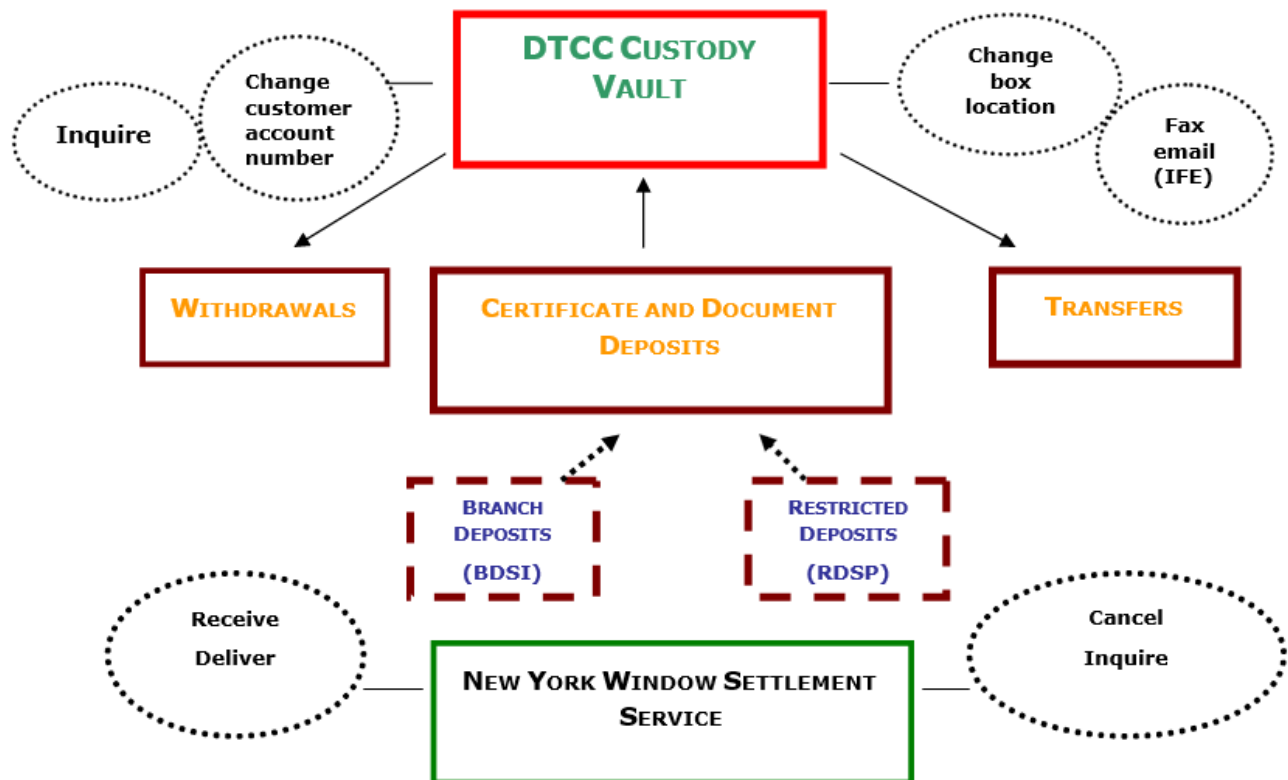
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# About Custody

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



# 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.

**Participant Browser Services (PBS)**

**Welcome to PBS!**  
Participant Browser Services (PBS) is the browser based version of the Participant Terminal System (PTS) offering standardized language and streamlined functionality.

**Customer Support Center**  
1-888-382-2721

Technical Issues - Option 1  
Settlement - Option 2  
Asset Services, GCA, Proxy, Custody,  
Billing, Underwriting - Option 4  
Relationship Services - Option 5

We may place cookies and local shared objects on your computer. By using our Web site, you consent to this. See our [Privacy Policy](#) for more information.

**ALERT! SOME CA FUNCTIONS WILL BE RETIRED AND REPLACED WITH THE NEW "CA WEB" BROWSER IN OCTOBER 2014. SEE IMPORTANT NOTICE B#0704-14 FOR DETAILS AND ACTION STEPS (CLICK HERE) . CA WEB IS AVAILABLE NOW FOR PARALLEL TESTING. SEE YOUR SUPER ACCESS COORDINATOR FOR ACCESS.**

**Clearance and Settlement Services**

**Settlement Services**  
Access to settlement details, activity and risk management information, with full DTC settlement processing capabilities.

**Omgeo Services**  
Access to functions for Participants that utilize Omgeo trade processing services.

**Canadian Dollar Settlement Services**  
Access to Canadian dollar Settlement/ P&I activity and details with full Canadian Dollar Settlement processing capabilities.

**Affiliated Bank Services**  
Access to Daily Settlement Figures for the following services:  
-- FICC/NYPC  
-- FICC/MBSD  
-- Wealth Management Services AIP

**Asset Services**

**Corporate Action Services**  
Dividend & Reorganization Announcement Information as well as full corporate action processing functions offered by DTC.

**Corporate Trust Services**  
Inquiry and processing functions for transfer, issuance and paying agents.

**Securities Processing Services**  
Securities processing information as well as complete processing functionality for deposits, withdrawals, and other related physical processing services offered by DTC.

**Self Service Password Management System**

**Do you want the power to reset your own password?**

**The Solution:** Get registered for Self Service Password Management, control the ability to reset your own password and SAVE TIME!!

Please click on the link below and follow the easy step by step instructions.

**Self Service Password Management System**

If you have any questions, please contact DTCC Customer Support at:  
888-382-2721 option 1, then option 1 (US and Canada)

**SMART/Search**

**DTCC Reports**      **Omgeo Reports**  
SMART/Search for Archived Reports is a DTCC facility that permits customers to access important informational reports. In a limited pilot release since 2004, SMART/Search now provides all customers the ability to review up to seven years' history of activity, positions, settlement, billing and more. Beginning June 9th, 2008, Omgeo clients are able to access important Omgeo Reports via the Omgeo Reports link above.

**Web Inquiry and Notification Service (WINS)/Month End Confirmations**

**End Of Month Confirmation (PINS)**  
Browse and submit month end confirmations.

**Web Inquiry and Notification Service (WINS)**  
Submit inquiries to DTCC's Customer Service Department, track the status and receive responses.

**Utilities**

- > Security Detail
- > SMART/Messages (Replaces RPNA)
- > Settlement ISG Message Test Facility
- > Part PIN/Password System (PSWD)
- > Part PIN/Password Inquiry (PSWI)
- Forms Order System
- Dynamic Ticket Printing
- JPTS is no longer available
- Part Entry of U/W (PUND)
- DTCC Portal (New)

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

**PBS - Securities Processing Services**

Home      Message Center      Change Password      Help      PTS

**Welcome to Securities Processing Services**  
Securities processing information as well as complete processing functionality for deposits, withdrawals, and other related physical processing services offered by DTC.

**Securities Processing Utilities**

- > Security Detail
- > SMART/Search
- > PINS
- > SMART/Messages
- > Master File Name Inquiry

**Product Functions**

**Custody**  
> Custody Services

**Deposits**

- > Branch Deposit Inquiry
- > Deposit Automation
- > Depository Facility Deposits
- > Deposit Processing
- > Night Direct Deposit/Withdrawal
- > Deposit Reject Inquiry
- > Part Direct Deposit/Withdrawal
- > Pending Legal Deposits
- > Restricted Deposit Service - Participant
- > Deposit Inquiry
- > Securities Transfer Legal Deposit

**Direct Registration**

- > Direct Registration System
- > Direct Registration System Profile Modification (Participant)

> Office of Foreign Asset Control Response

**Networking for Equities**  
> Networking for Equities

**Withdrawals**

- > AWT Transaction Report
- > Certificate on Demand
- > Municipal Bond Certificate on Demand
- > DMA CCF Transmission Update
- > Direct Mail by Depository Kill Transaction
- > Night COD For Mum Bearer Bonds
- > Night Certificates on Demand
- > Auto Night Withdrawal by Transfer
- > Worthless Securities Movements
- > Rush Withdrawal by Transfer

**Other Securities Processing Functions**

- > Envelope Control System Inquiry
- > Envelope Control System for Participants
- > Fractional Security Info & Processing
- > Imagine Fax and Email - Status Inquiry
- > Imagine Workstation Inquiry
- > Lost Certificate Inquiry
- > Billable Reject Inquiry
- > Securities Transfer Inquiry

The Participant Custody System – Main Menu appears.

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

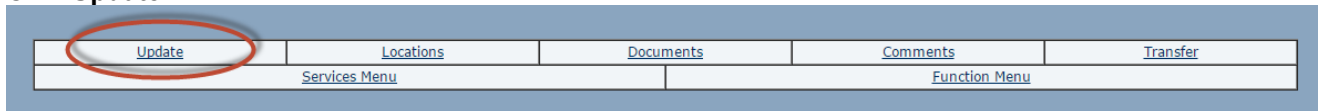
The Participant Custody System – Security Deposit – Certificate page appears.

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**.



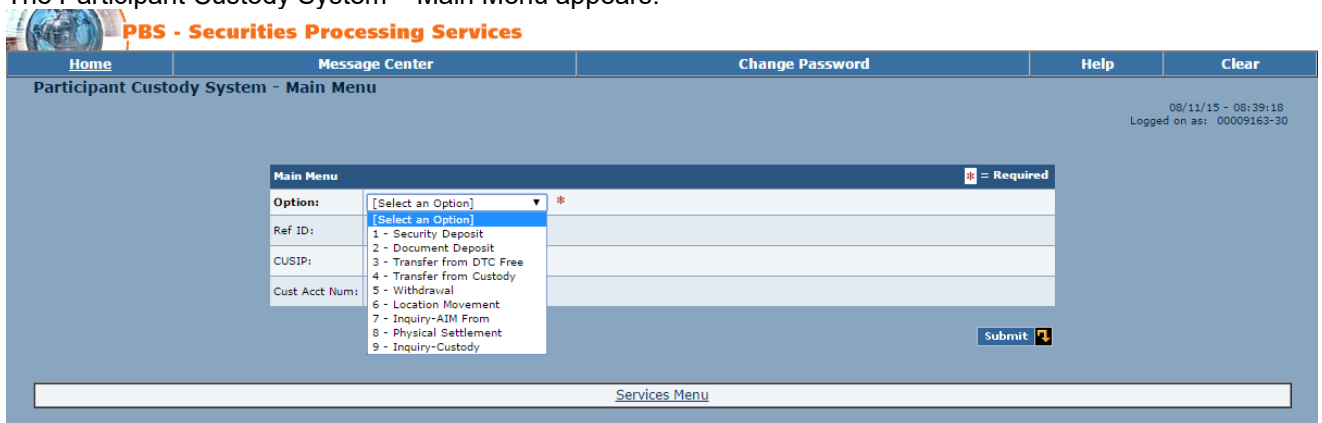
If there are any errors, an appropriate error message appears. If there are no errors, the message UPDATE SUCCESSFUL. TICKET PRINTED appears.

## Requesting Transfers for Deposits

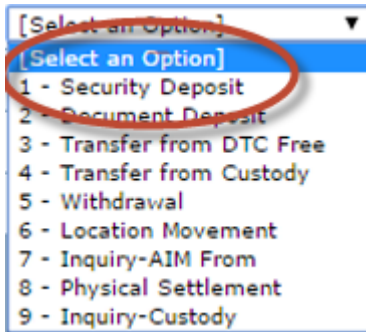
Use the following procedure when you want to request transfers for custody deposits.

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.



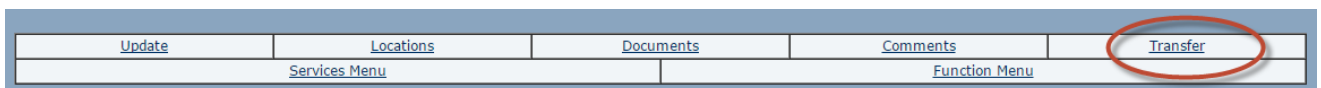
- Select Security Deposit – 1 in the **Option** field and click **Submit**.



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

The screenshot shows the PBS - Securities Processing Services interface. At the top, there is a navigation bar with links for Home, Message Center, Change Password, Help, and Clear. Below this is the title 'Participant Custody System - Security Deposit - Certificate' and a timestamp '08/11/15 - 08:45:04' with 'Logged on as: 00009163-30'. The main content area is divided into two sections: 'Security Deposit Form' and 'Certificate Form'. Both sections have a 'Submit' button and a '\* = Required' indicator. The Security Deposit Form includes fields for Ref ID (201508119163), Cust Acct Num, Location, CUSIP, Deposit Qty, and Same Day (Yes/No). The Certificate Form includes fields for Denomination, Issuance Date, Restriction Ind, Cert ID Range Prefix, Cert ID Range Start Seq, Cert ID Range End Seq, and Registration. Navigation buttons for '< Previous' and 'Next >' are present between the forms.

- Type information in the required fields. Refer to Making a Security Deposit.
- Click **Transfer** at the bottom of the page.



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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Security Deposit - Transfer

08/11/15 - 08:48:55  
Logged on as: 00009163-30

**Security Deposit**

Ref ID:	201508119163	Cust Acct Num:	1234567	Same Day:	N
CUSIP:	881990147	Deposit Qty:	1,000.00000		

Page: 01 of 01

**Transfer Form** \* = Required

Trf Ref ID:	201508119163	Sequence:	
Trf Qty:	<input type="text"/>	Location:	903 *
TRF Type:	[Select TRF Type] *	Taxpayer ID:	<input type="text"/>
Tax Wh:	[Select Tax Withholding Ind]	UIT CD:	[Select UIT CD]
UIT CUSIP:	<input type="text"/>	Citizen/LP:	[Select Citizen/LP Ind]

Page: 01 of 01

**Registration Form** \* = Required

Registration	Mail To - Name / Address
<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"/>

Page: 01 of 01

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**.

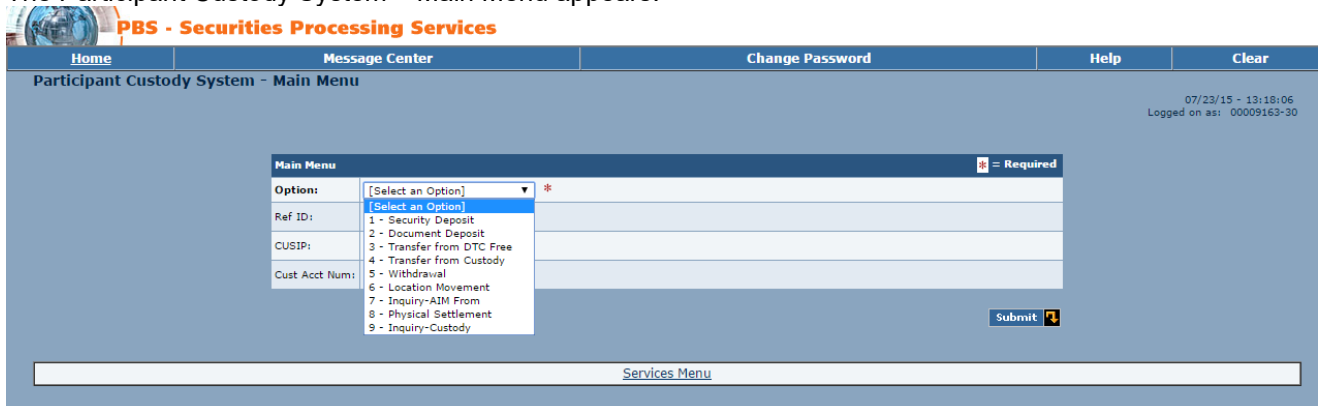
Update Locations Certificates Breakdown

Services Menu Function Menu

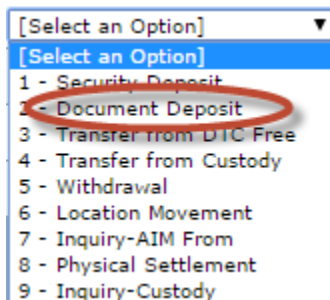
# Making a Document Deposit

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



- Select **2** – Document Deposit.



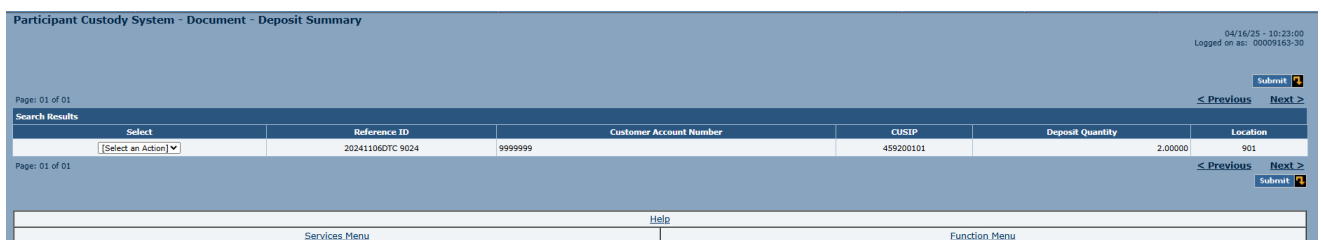
- Type information in the following fields:
  - Ref ID** in the following format - CCYYMMDDBBBBSSSS

**Note:**

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

- CUSIP**
  - Cust Acct Num**
- Click **Submit**.

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



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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Document - Deposit Summary

08/07/15 - 11:21:30  
Logged on as: 00009163-30

Page: 01 of 01

Search Results

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
*	20150127DTC 9004	TEST	881990758	500.00000	903
*	20150127DTC 9005	TEST	881990758	2,000.00000	904
*	2015020491630011	3636	881990758	5,000.00000	904
[Select an Action]	2015020491630012	7474	881990758	500.00000	903

Page: 01 of 01

[Select an Action]  
D - Detail  
S - Process

Services Menu Function Menu

The Participant Custody System - Document Deposit – Process page appears.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Document Deposit - Process

08/07/15 - 10:37:23  
Logged on as: 00009163-30

Security Deposit

Ref ID:	2015020491630012	Cust Acct Num:	7474
CUSIP:	881990758	Deposit Qty:	500.00000
Location:	903		

Location / Same Day Form

New Loc:  \* Same Day:  Yes  No \*

Document Form

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

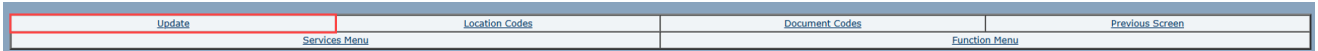
Update Location Codes Document Codes Previous Screen

Services Menu Function Menu

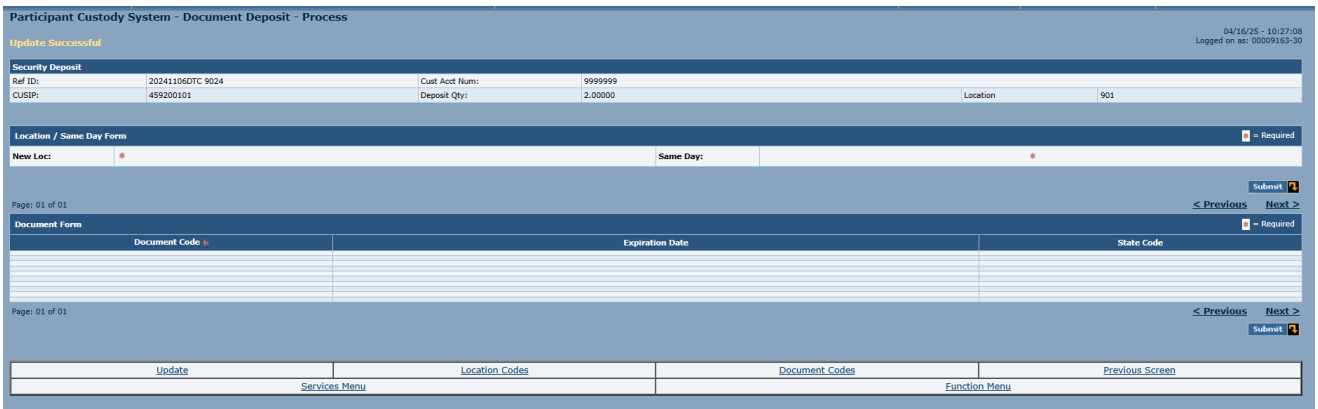
7. Enter information in the following fields:

- **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.

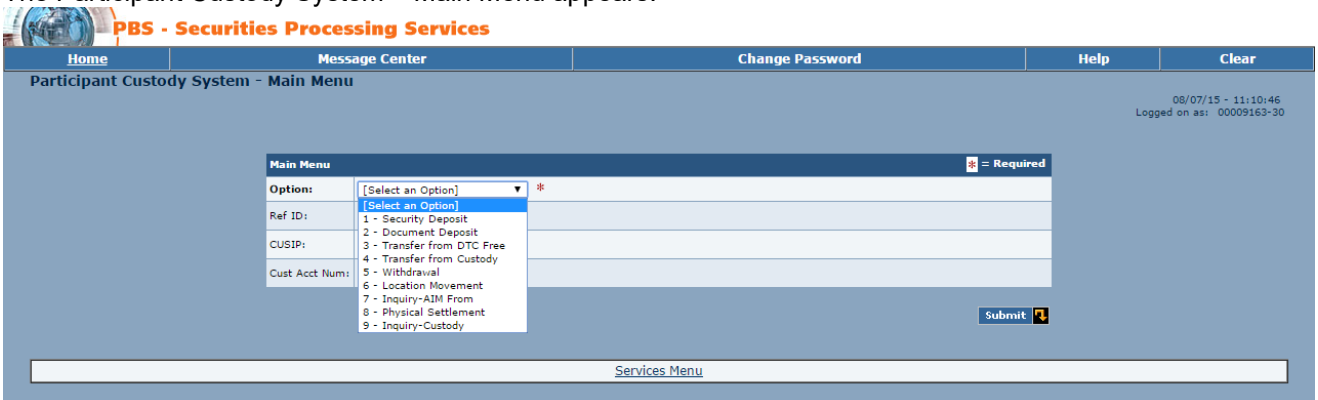


## Transferring Security From the Free Position and Requesting Denomination Breakdowns

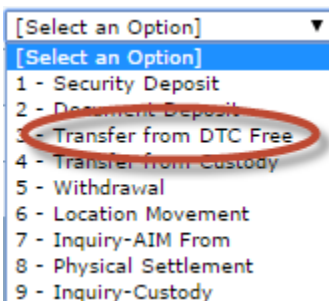
Use this procedure when you want to transfer security from the DTC free position and request certificates in specific denominations from the transfer agent.

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



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



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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Transfer From DTC Free - Process

08/10/15 - 13:00:37  
Logged on as: 00009163-30

Submit

**Transfer Form** \* = Required

Ref ID: 201508109163 Cust Acct Num:  \*

CUSIP:  \* Deposit Qty:  \* Location:  \*

Tax ID:  \* Tax Wh: [Select Tax Withholding Ind] TRF Type: [Select TRF Type] \*

UIT Cd: [Select UIT CD] UIT CUSIP:  Citizen/LP: [Select Citizen/LP ind]

Agt ID:  Int Cust:  Corr Act:

Registration:  \*

Submit

4. Type information in the required fields.
5. Click **Update**.

Update Location Codes Breakdown

Services Menu Function Menu

**For Breakdowns**

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Transfer From DTC Free - Process

08/10/15 - 13:00:37  
Logged on as: 00009163-30

Submit

**Transfer Form** \* = Required

Ref ID: 201508109163 Cust Acct Num:  \*

CUSIP:  \* Deposit Qty:  \* Location:  \*

Tax ID:  \* Tax Wh: [Select Tax Withholding Ind] TRF Type: [Select TRF Type] \*

UIT Cd: [Select UIT CD] UIT CUSIP:  Citizen/LP: [Select Citizen/LP ind]

Agt ID:  Int Cust:  Corr Act:

Registration:  \*

Submit

6. Click **Breakdown**.

Update Location Codes Breakdown

Services Menu Function Menu

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

7. Type information in the following fields:

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

The screenshot shows the 'Participant Custody System - Transfer from DTC Free - Breakdown Process' page. At the top right, it indicates the date and time as '12/10/08 - 14:49:5' and 'Logged on as:'. Below this is a 'Transfer Information' section with fields for 'Ref ID:', 'Cust Acct Num: 111', 'CUSIP: 459200101', 'Deposit Qty: 10.00000', and 'Location: 901'. The main part of the page is a 'Transfer Breakdown Form' with a table that has columns for 'Num' and 'Denomination'. A mouse cursor is pointing at the 'Denomination' column. At the bottom of the form, there is a 'Submit' button. Below the form, there are several buttons: 'Update' (circled in red), 'Location Codes', and 'Registration'. At the very bottom, there are links for 'Services Menu' and 'Function Menu'.

8. Click **Update**.

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

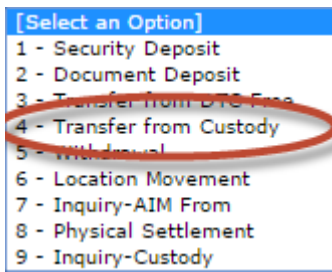
Use this procedure when you want to transfer security from the custody position to the DTC free position and request certificates in specific denominations from the transfer agent.

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.

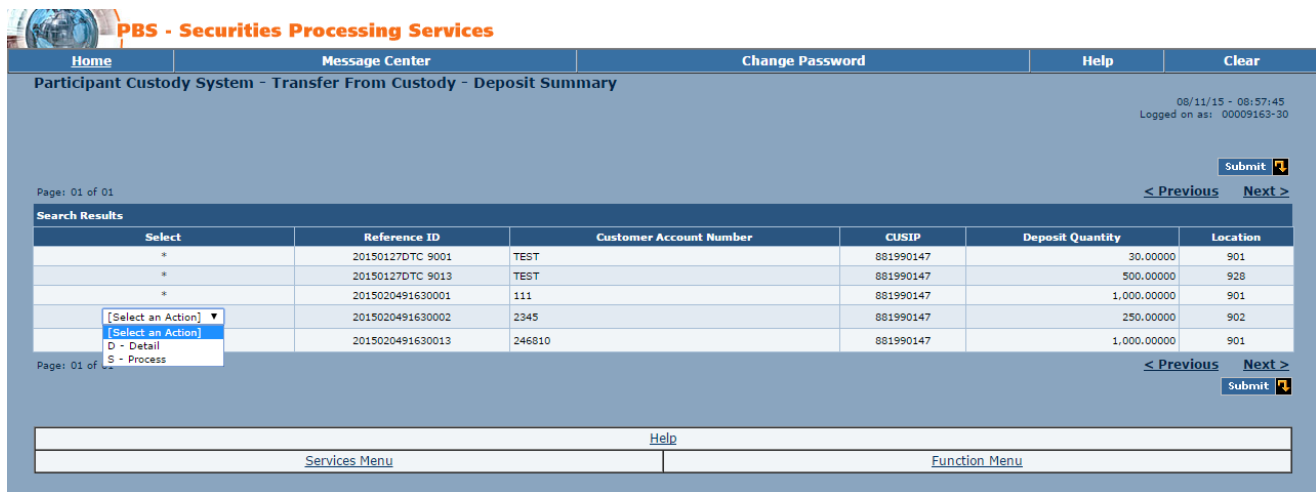
The screenshot shows the 'PBS - Securities Processing Services' Main Menu page. At the top, there are navigation links: 'Home', 'Message Center', 'Change Password', 'Help', and 'Clear'. Below this is a header for 'Participant Custody System - Main Menu' with the date and time '08/07/15 - 11:10:46' and 'Logged on as: 0009163-30'. The main content area is a 'Main Menu' form with a dropdown menu for 'Option:' that is open, showing a list of options: '[Select an Option]', '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', and '9 - Inquiry-Custody'. The '4 - Transfer from Custody' option is highlighted. There is a 'Submit' button at the bottom right of the form. At the bottom of the page, there is a 'Services Menu' link.

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



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

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 Participant Custody System - Transfer From Custody – Certificate Summary page appears.

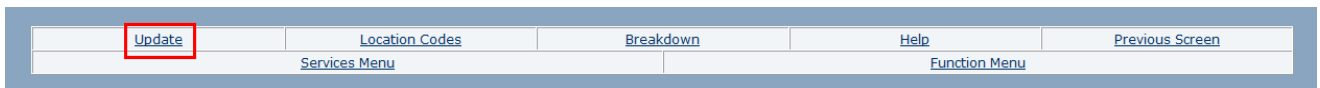
If you selected S, the Participant Custody System - Transfer From Custody – Process page appears.

6. On the Participant Custody System - Transfer From Custody – Certificate Summary page, select:

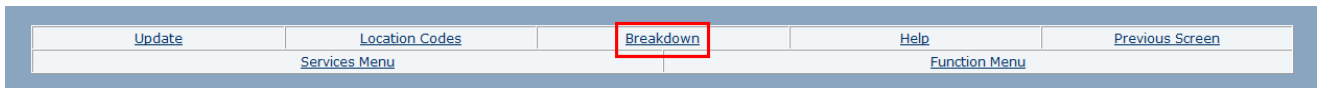
- **Partial Processing:** to select certificates for partial processing.
- **Registration:** to view certificate registration information.

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

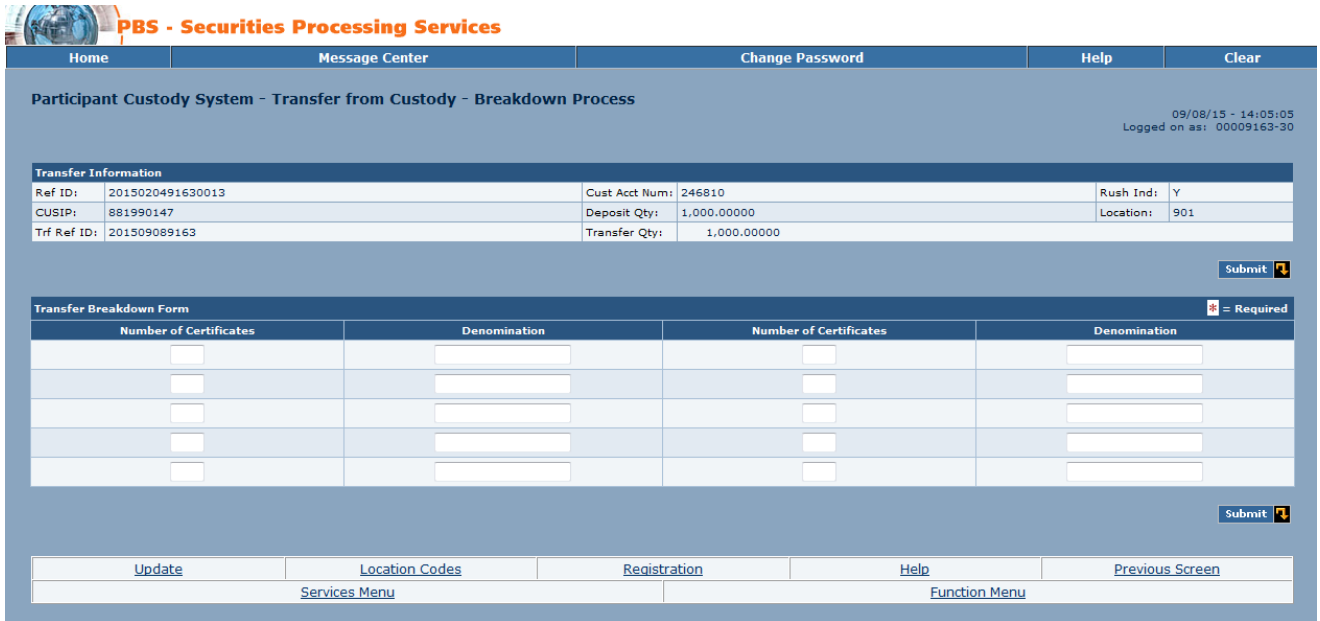
8. Click **Update**.



9. To process breakdowns, click **Breakdown** at the bottom of the page.



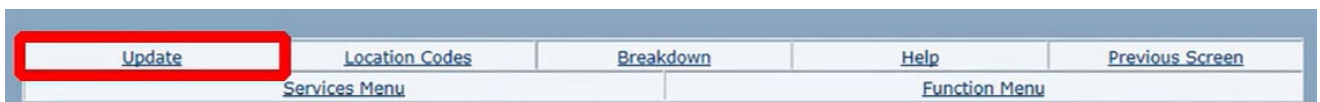
The Participant Custody System - Transfer From Custody - Breakdown Process page appears.



10. Type information in the following fields.

- **Number of Certificates**
- **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 **Select** 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**.

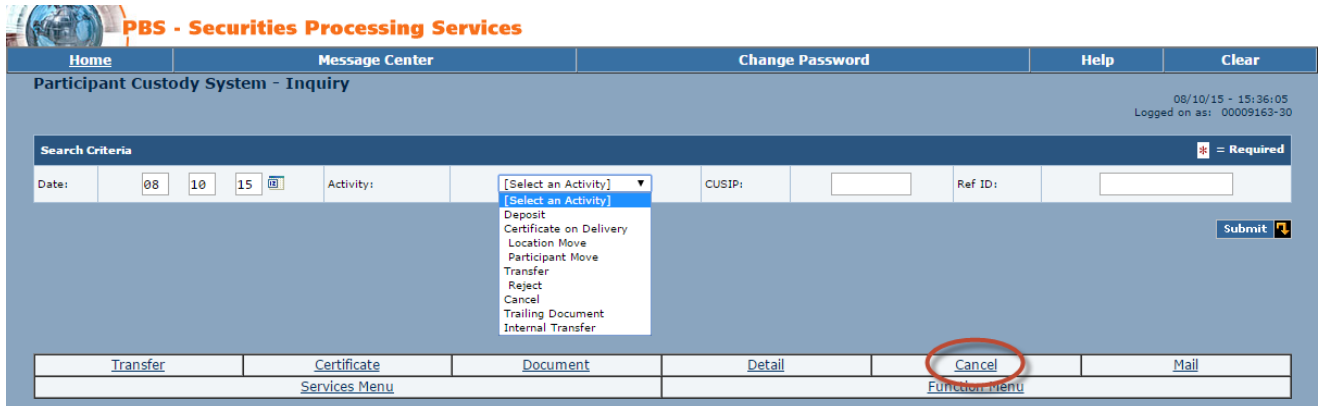
The Participant Custody System – Main Menu appears.

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.



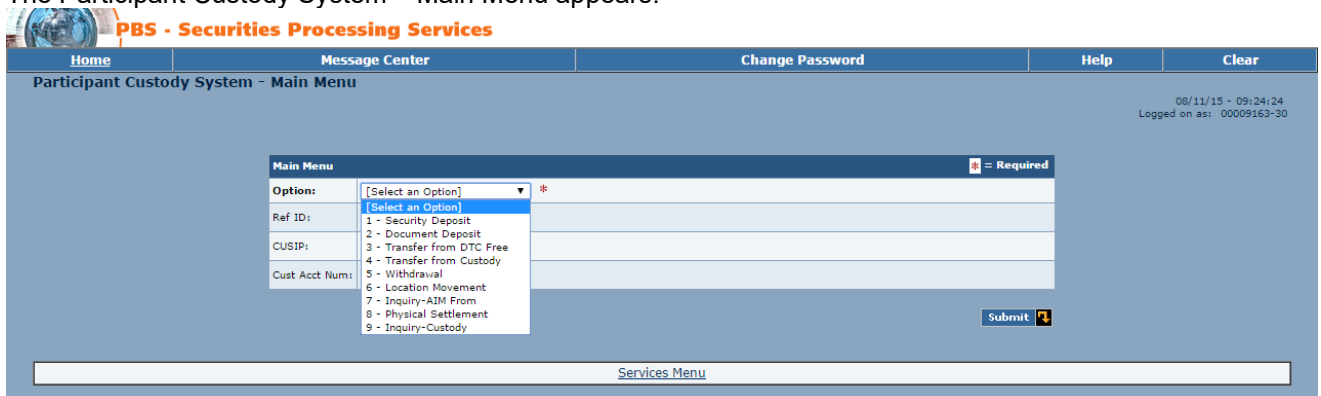
A message appears confirming that the item has been cancelled.

## 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**.

- [Select an Option]
- 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

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.

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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Withdrawal - Deposit Summary

08/11/15 - 09:28:52  
Logged on as: 00009163-30

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

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
*	20150127DTC 9010	TEST	881990766	15,000.00000	939
*	2015020491630005	321654	881990766	2,000.00000	903
	2015020491630006	8787	881990766	300.00000	904

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

[Select an Action]   
 [Select an Action]   
 D - Detail   
 S - Process

[Help](#)

[Services Menu](#) [Function Menu](#)

7. Click **Submit**.

The Participant Custody System – Withdrawal - Process page appears.

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

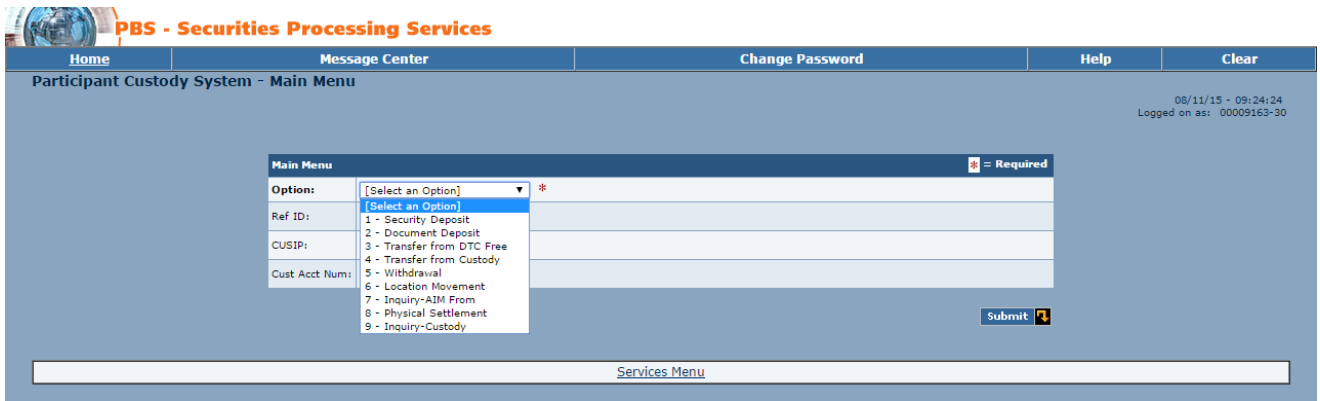
- **Same/Next Day**
- **Destination Code**
- **Mailing Type**
- **Mailing Address**

9. Click **Update**.

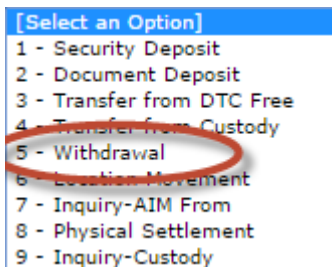
## Processing a Partial Withdrawal

Use the following procedure when you want to process a partial withdrawal.

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 5 - Withdrawal in the Option field and click Submit.



The Participant Custody System - Physical Settlement Menu appears.

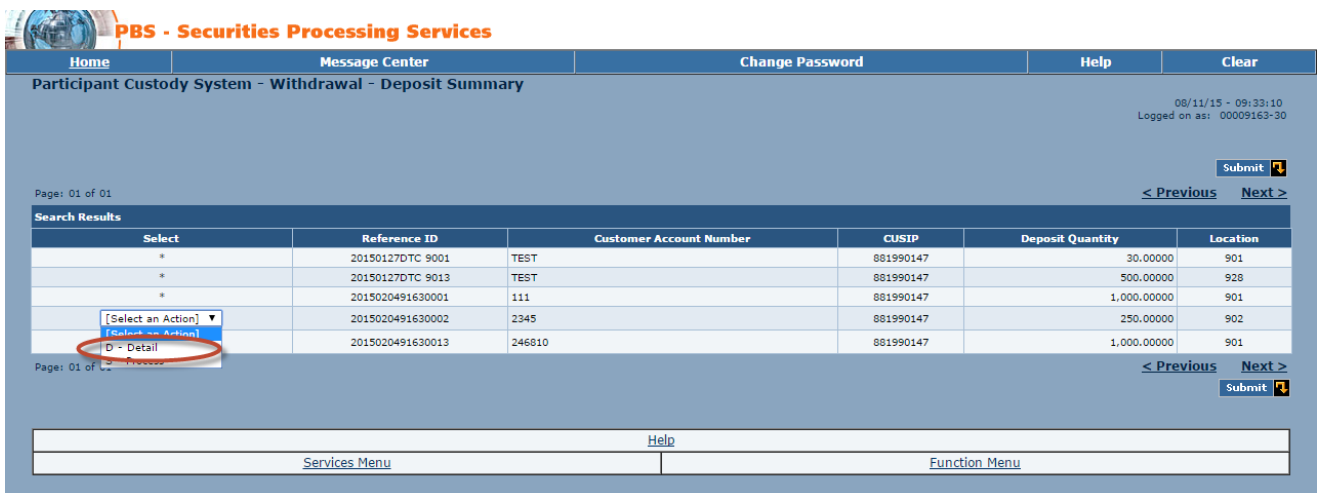
4. Optional. Type or select information in the following fields:

- Custody Ind
- Ref ID
- CUSIP

5. Click Submit.

The Participant Custody System - Physical Settlement Summary page appears.

6. Select **Details** in the **Select** field next to the selected certificate.



7. Click **Submit**.

The Participant Custody System - Physical Settlement - Certificate page appears displaying a list of certificates.

**Note:** You can only process a partial withdrawal if you have more than one certificate on file.

8. Select **Partial Processing** in the **Select** field and click **Submit**.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Withdrawal - Certificate Summary

08/11/15 - 09:35:02  
Logged on as: 00009163-30

Deposit Information					
Ref ID:	2015020491630002	Cust Acct Num:	2345		
CUSIP:	861990147	Deposit Qty:	250.00000	Location:	902

Page: 01 of 01 Submit

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

Select	Certificate ID	Denomination	Issuance Date	Restriction Indicator	Restriction Expiration Date
[Select An Action]	00000TEST555	250.00000	02/02/15	No	

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

[Help](#) [Previous Screen](#)  
[Services Menu](#) [Function Menu](#)

The Participant Custody System Partial Withdrawal page appears.

9. Type or select the applicable data in the entry fields.
10. 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.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Main Menu

08/07/15 - 11:10:46  
Logged on as: 00009163-30

**Main Menu** \* = Required

Option: [Select an Option] \*

Ref ID: [Select an Option]

CUSIP: [Select an Option]

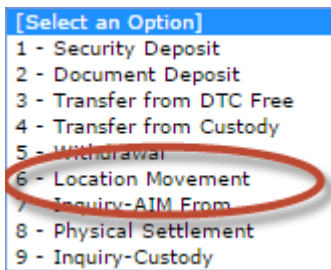
Cust Acct Num: [Select an Option]

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

Submit

[Services Menu](#)

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



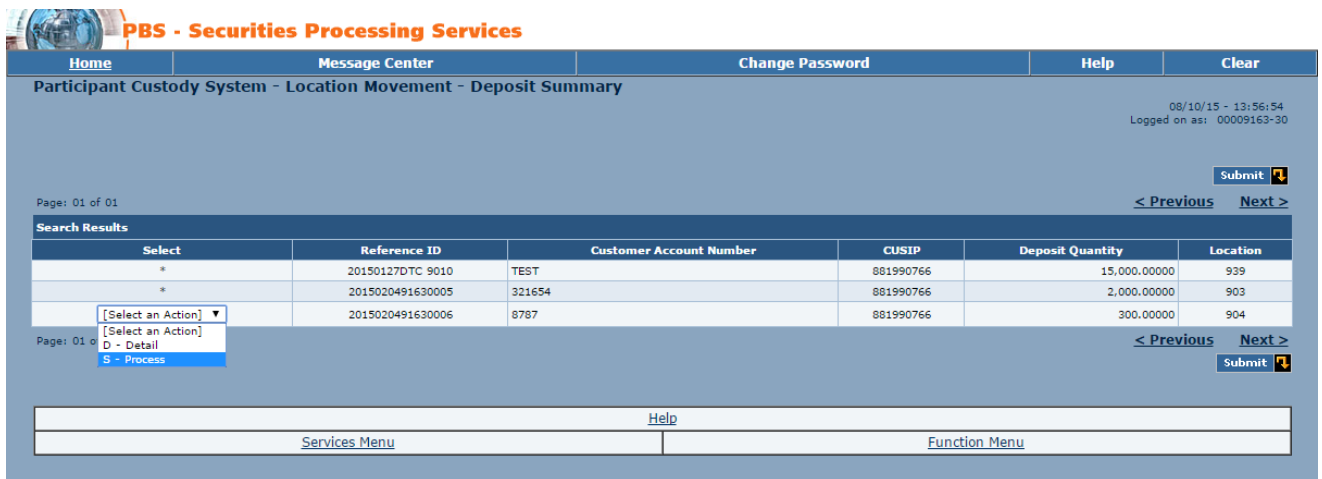
4. Type information in the following fields:

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

5. Click **Submit**.

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

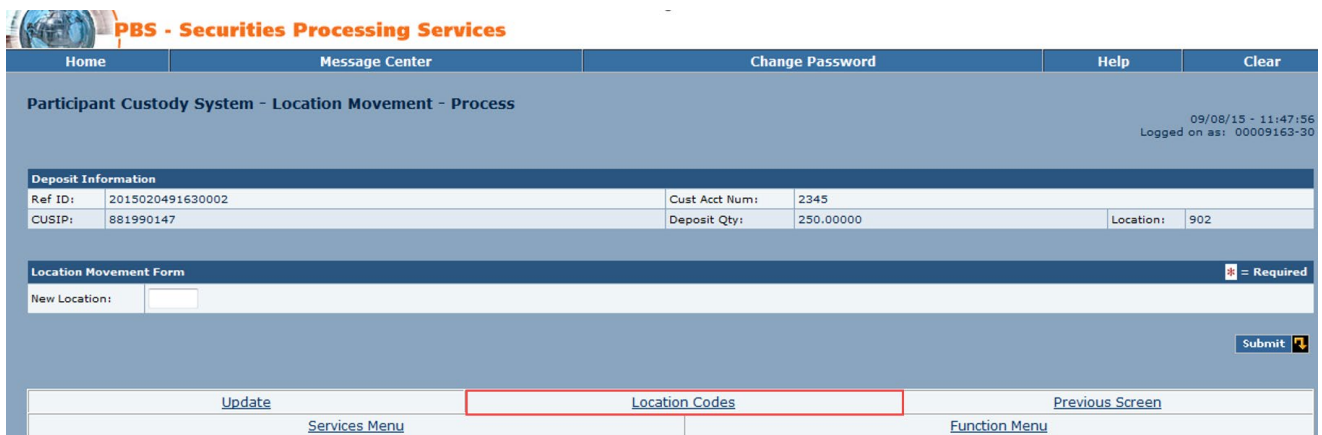
6. Select **Process** in the **Select** field next to the selected reference ID.



7. Click **Submit**.

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

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



**Note:**

You can click the [Location Code](#) link at the bottom of the page to view a list of location codes.

9. Click **Update**.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Location Movement - Process

09/08/15 - 11:47:56  
Logged on as: 00009163-30

**Deposit Information**

Ref ID:	2015020491630002	Cust Acct Num:	2345	
CUSIP:	881990147	Deposit Qty:	250.00000	
			Location:	902

**Location Movement Form** \* = Required

New Location:

**Submit**

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

## 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 a Customer Account Number on a Single 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**.

The Participant Custody System – Main Menu appears.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Main Menu

08/07/15 - 11:10:46  
Logged on as: 00009163-30

**Main Menu** \* = Required

Option:  \*

Ref ID:

CUSIP:

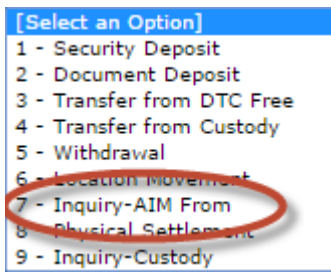
Cust Acct Num:

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

**Submit**

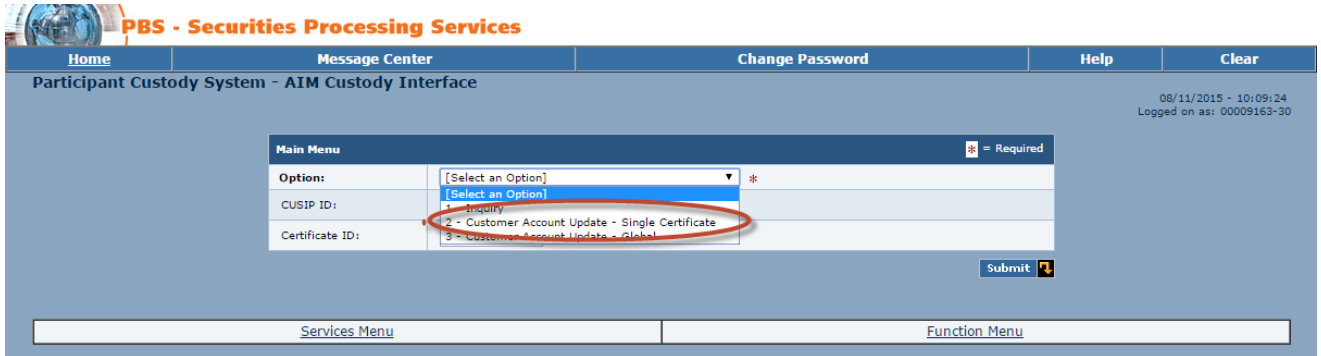
[Services Menu](#)

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

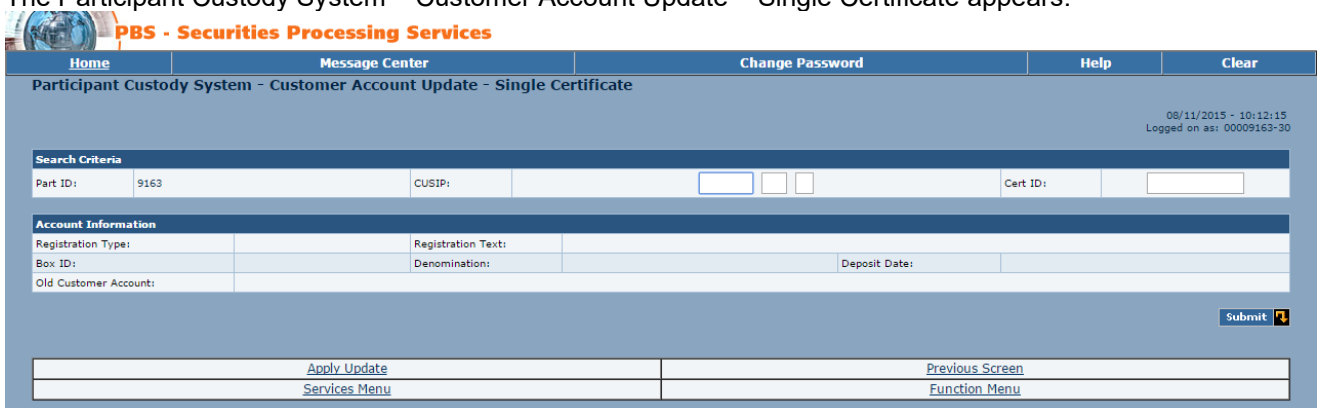


The Participant Custody System - AIM Custody Interface page appears.

- 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.



- Type information in the following fields:

- CUSIP**
- Cert ID**

The page displays the applicable information.

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

## Changing Customer Account Number Globally

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

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

The AIM – Custody Interface page appears.

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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - AIM Custody Interface

08/11/2015 - 10:19:53  
Logged on as: 00009163-30

Main Menu [Required]

Option: [Select an Option] \*

CUSIP ID:

Certificate ID:

1 - Inquiry

2 - Customer Account Update - Single Certificate

3 - Customer Account Update - Global

Submit

Services Menu Function Menu

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

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Customer Account Global Update

08/11/2015 - 10:22:27  
Logged on as: 00009163-30

Please enter old and new Customer Account IDs: [Required]

Part ID: 00009163

Old Cust Acct:

New Cust Acct:

Submit

Apply Update Previous Screen

Services Menu Function Menu

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.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Customer Account Global Update

08/11/2015 - 10:22:27  
Logged on as: 00009163-30

Please enter old and new Customer Account IDs: [Required]

Part ID: 00009163

Old Cust Acct:

New Cust Acct:

Submit

Apply Update Previous Screen

Services Menu Function Menu

## Viewing Certificate, Activity and Audit Trail Information

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

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

The AIM – Custody Interface page appears.

- Select **1 – Inquiry** 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**

• **Activity Inquiry**

- **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. Select on the left 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 Physical Settlement 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.

4. Select **1** – Deliver in the **Option** field.

5. Optional. Type or select information in the following fields:

- **Custody Ind**
- **Ref ID**
- **CUSIP**

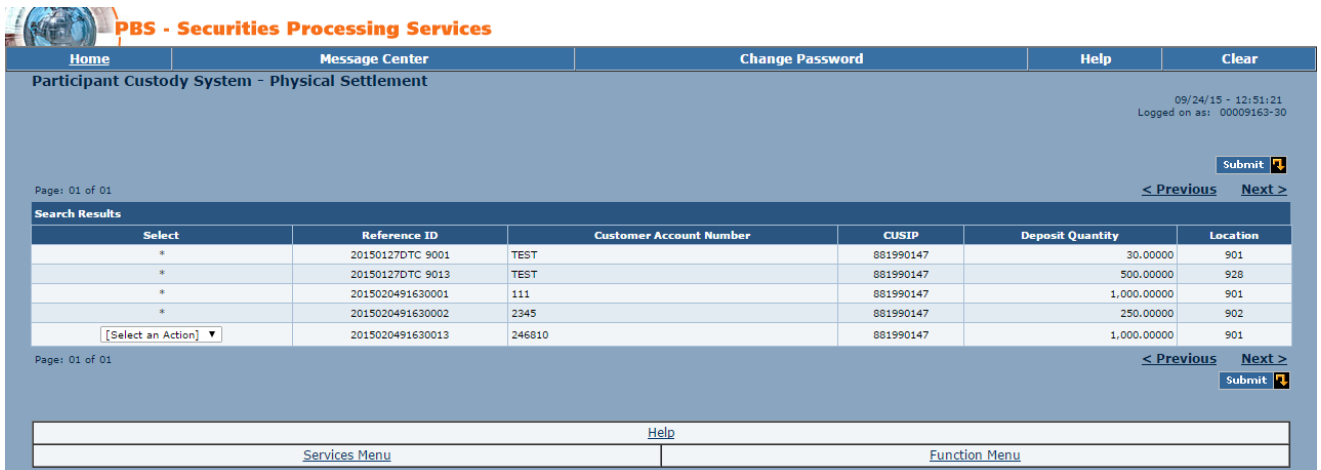
Note:

If you selected Yes in the Custody Ind field, you must enter a reference ID or a CUSIP number.

Main Menu		* = Required
Option:	1 - Deliver	*
Custody Ind:	Yes	
Ref ID:	[Select Custody Ind]	
CUSIP:	No	

6. Click **Submit**.

If the Custody indicator is **Yes**, the Physical Settlement – Summary page appears. If the Custody indicator is **No**, the Physical Settlement – Deliver page appears.



**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Physical Settlement

09/24/15 - 12:51:21  
Logged on as: 00009163-30

Submit

Page: 01 of 01

< Previous Next >

Select	Reference ID	Customer Account Number	CUSIP	Deposit Quantity	Location
*	20150127DTC 9001	TEST	881990147	30.00000	901
*	20150127DTC 9013	TEST	881990147	500.00000	928
*	2015020491630001	111	881990147	1,000.00000	901
*	2015020491630002	2345	881990147	250.00000	902
[Select an Action]	2015020491630013	246810	881990147	1,000.00000	901

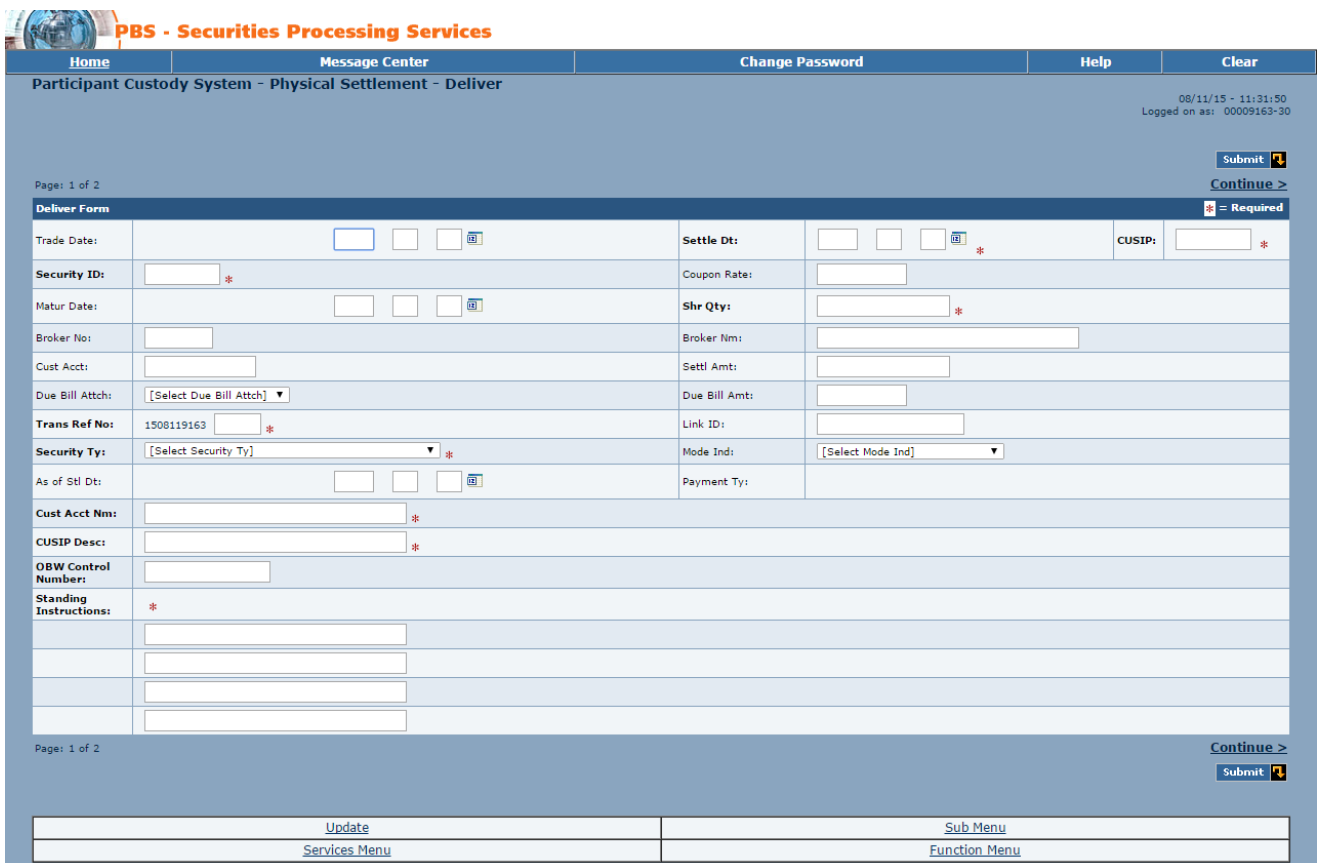
Page: 01 of 01

< Previous Next >

Submit

Help

Services Menu Function Menu



**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Physical Settlement - Deliver

08/11/15 - 11:31:50  
Logged on as: 00009163-30

Submit

Page: 1 of 2

Continue >

Deliver 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"/>	Shr Qty:	<input type="text"/>		
Broker No:	<input type="text"/>	Broker Nm:	<input type="text"/>		
Cust Acct:	<input type="text"/>	Settl Amt:	<input type="text"/>		
Due Bill Atch:	[Select Due Bill Atch]	Due Bill Amt:	<input type="text"/>		
Trans Ref No:	1508119163	Link ID:	<input type="text"/>		
Security Ty:	[Select Security Ty]	Mode Ind:	[Select Mode Ind]		
As of Stl Dt:	<input type="text"/>	Payment Ty:	<input type="text"/>		
Cust Acct Nm:	<input type="text"/>				
CUSIP Desc:	<input type="text"/>				
OBW Control Number:	<input type="text"/>				
Standing Instructions:	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				

Page: 1 of 2

Continue >

Submit

Update Sub Menu

Services Menu Function Menu

7. Type or select the applicable information in the entry fields.
8. Click **Continue**.

The second Physical Settlement – Deliver page appears.

9. Type or select information in the entry fields.
10. Click **Update**.

## Processing Physical Settlement 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.

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 screenshot shows the 'Participant Custody System - Physical Settlement Menu' page. At the top, there is a navigation bar with 'Home', 'Message Center', 'Change Password', 'Help', and 'Clear'. The main content area contains a 'Main Menu' form with the following fields:
 

- Option: [Select an Option] \*
- Custody Ind: 1 - Deliver
- Ref ID: 2 - Anticipated Receive (highlighted), 3 - Inquiry
- CUSIP: [ ]

 A 'Submit' button is located at the bottom right of the form. At the bottom of the page, there are two buttons: 'Services Menu' and 'Function Menu'. The top right corner shows the date '09/24/15 - 13:06:46' and 'Logged on as: 00009163-30'.

The first Physical Settlement – Anticipated Receive page appears.

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

The screenshot shows the 'Participant Custody System - Physical Settlement - Anticipated Receive' page. The navigation bar is the same as the previous screenshot. The main content area contains an 'Anticipated Receive Form' with the following fields:
 

- Trade Date: [ ] [ ] [ ] [ ]
- Settl Dt: [ ] [ ] [ ] [ ] \*
- CUSIP: [ ] \*
- Security ID: [ ] \*
- Coupon Rate: [ ]
- Matur Date: [ ] [ ] [ ] [ ]
- Shr Qty: [ ] \*
- Broker No: [ ]
- Broker Nm: [ ]
- Cust Acct: [ ]
- Settl Amt: [ ]
- Due Bill Attch: [Select Due Bill Attch]
- Due Bill Amt: [ ]
- Trans Ref No: 1508119163 [ ] \*
- Link ID: [ ]
- Security Ty: [Select Security Ty] \*
- Mode Ind: [Select Mode Ind]
- Cust Acct Nm: [ ] \*
- Custody Loc: [ ]
- CUSIP Desc: [ ] \*
- Transfer: [Select Transfer]
- Standing Instructions: [ ] \*

 The form is split into two columns. At the bottom right, there are 'Continue >' and 'Submit' buttons. At the bottom of the page, there are three buttons: 'Update', 'Transfers', and 'Previous Screen'. Below these are 'Services Menu' and 'Function Menu' buttons. The top right corner shows the date '08/11/15 - 11:41:12' and 'Logged on as: 00009163-30'. The page number 'Page: 1 of 2' is visible in the top left and bottom left corners.

**Note**

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

- Click **Continue**.  
The second Physical Settlement – Anticipated Receive page appears.
- Type or select the applicable information in the entry fields.
- Click **Update**.

The screenshot shows the bottom navigation bar of the interface. It contains three buttons: 'Update' (highlighted with a red border), 'Transfers', and 'Previous Screen'. Below these are 'Services Menu' and 'Function Menu' buttons.

## Viewing New York Window Physical Settlement Information

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.

Participant Custody System - Main Menu

08/07/15 - 11:10:46  
Logged on as: 00009163-30

**Main Menu** \* = Required

Option: [Select an Option] \*

Ref ID: [Select an Option]

CUSIP: [Select an Option]

Cust Acct Num: [Select an Option]

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

Submit

Services Menu

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

[Select an Option]

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

The Participant Custody System – Physical Settlement Menu appears.

Participant Custody System - Physical Settlement Menu

09/24/15 - 13:30:16  
Logged on as: 00009163-30

**Main Menu** \* = Required

Option: [Select an Option] \*

Custody Ind: [Select an Option]

Ref ID: [Select an Option]

CUSIP: [Select an Option]

1 - Deliver

2 - Anticipated Receive

3 - Inquiry

Submit

Services Menu

Function Menu

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

The first Physical Settlement – Inquiry page appears.

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.

SEL	Broker	CUSIP	Quantity	Settle Amt	Tran Type	Status
[Select Action]	00000352	881990774	18,000.00000	\$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.

## 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.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Main Menu

08/11/15 - 11:21:20  
Logged on as: 0009163-30

**Main Menu** [Required]

Option: [Select an Option] \*

Ref ID: [Select an Option]

CUSIP: [Select an Option]

Cust Acct Num: [Select an Option]

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

Submit

Services Menu

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

[Select an Option]

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

The Participant Custody System – Physical Settlement Menu appears.

**PBS - Securities Processing Services**

Home Message Center Change Password Help Clear

Participant Custody System - Physical Settlement Menu

08/11/15 - 13:21:05  
Logged on as: 0009163-30

**Main Menu** [Required]

Option: [Select an Option] \*

Custody Ind: [Select an Option]

Ref ID: [Select an Option]

CUSIP: [Select an Option]

1 - Deliver  
2 - Anticipated Receive  
3 - Inquiry

Submit

Services Menu Function Menu

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

The Physical Settlement – Inquiry page appears.

- Type information in one of the following fields:

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

**Note:**

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

- Click **Submit**.

The New York Window System Settlement Summary page appears.

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

- Click **Submit**.

## Entering Document Information for a Security

Use the following procedure when you want to enter document information for a document deposit to your Custody position.

- From the Participant Browser System Home Page select Securities Processing Services.  
The Securities Processing Services Home Page appears.
- 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.
- Select 1 - Security Deposit in the Option field and click Submit.

The Participant Custody - Security Deposit-Certificate page appears.

- Type information in the required fields. Refer to Making a Security Deposit.
- Click **Documents** at the bottom of the page.  
The Participant Custody System - Security Deposit - Certificate page appears.

6. Type information in the following fields:

- **Document Code**
- **Expiration Date**
- **Number**

Certificate Form		* = Required
Denomination:	<input type="text"/>	*
Issuance Date:	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	*
Restriction Exp Date:	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Restriction Ind:	[[Select Restriction Ind] ▼]	
Cert ID Range Prefix:	<input type="text"/>	
Cert ID Range Suffix:	<input type="text"/>	
Cert ID Range Start Seq:	<input type="text"/>	*
Cert ID Range End Seq:	<input type="text"/>	*
Registration:	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Page: 01 of 01		<a href="#">&lt; Previous</a> <a href="#">Next &gt;</a> <input type="button" value="Submit"/>

7. Click **Update**.

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**Doc Date:** May 8, 2025

**Publication Code:** CU107

**Service:** User Guide

**Title:** PBS Custody User Guidele

## For More Information

DTCC Client Center: [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

DTCC Learning Center: [www.dtccllearning.com](http://www.dtccllearning.com)

