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# SETTLEMENT

## SETTLEMENT WEB USER GUIDE

FEBRUARY 21, 2020



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# TABLE OF CONTENTS

---

<b>Settlement Web Overview .....</b>	<b>7</b>
Navigation Bar - How the Product Works .....	7
Using the Dashboard .....	8
Events.....	9
Alerts .....	9
The Information Center .....	12
Using On Demand Reporting .....	12
Viewing Your Saved Queries.....	13
Sharing Your Saved Queries.....	14
Editing Your Saved Queries .....	15
Scheduling Reports/Queries.....	17
Downloading Scheduled Reports .....	18
<b>Collateral Loans .....</b>	<b>21</b>
About the Collateral Loan Service .....	21
Pledgor.....	22
Inputting a Pledge .....	22
Requesting a Pledge Release.....	24
Performing a Pledgor Inquiry.....	28
OCC Release Request and Authorization.....	30
Requesting a Release of Deposit from OCC.....	30
Authorizing a Release of Deposit Request (OCC Member) .....	34
Pledgee .....	36
Processing a Release Return .....	36
Performing a Pledgee Inquiry and Approving a Release Request.....	39
<b>Activity Inquiry .....</b>	<b>43</b>
About the Activity Inquiry Data Grid.....	46
Data Grid: Search .....	47
Data Grid: Filtering.....	50

Data Grid: Saving Searches .....	51
Data Grid: Command Processing .....	53
<b>Deliver Orders.....</b>	<b>55</b>
Deliver Order Types.....	56
Inputting a Deliver Order.....	60
<b>Participant Activity Research Tool.....</b>	<b>64</b>
About Position Value .....	64
Viewing Position Value .....	66
Collateral Loan Balances and Market Values.....	67
Viewing Collateral Loan Closing Balances .....	67
About Journal History .....	69
Viewing Journal History .....	69
<b>Payment Orders.....</b>	<b>70</b>
About Payment Orders .....	70
Payment Order Types.....	70
Inputting a Payment Order.....	74
<b>Pending Activity .....</b>	<b>79</b>
How a Transaction Becomes a Pending Transaction.....	80
About Recycling .....	81
Entering Your Pending Activity Search.....	81
Viewing Pending Activity.....	83
Submitting Actions on Pending Transactions .....	93
About Holding Pending Transactions .....	96
<b>Position Inquiry .....</b>	<b>97</b>
Types of Positions (Free, Other, Miscellaneous).....	98
Entering Your Position Inquiry Search.....	99
Viewing Positions.....	101
Releasing PDA Position.....	110
<b>Position Movement .....</b>	<b>112</b>
About Sub-Account Security Segregation .....	112



About Memo Segregation .....	113
Changing Memo Segregation Position .....	114
About Investment ID .....	117
Segregating Investment ID Position .....	118
Releasing Investment ID Position.....	120
About Collateral Moves (MA/NA).....	122
Reclassify Securities as Collateral and Non-Collateral (MA/NA) .....	122
<b>Secondary Transaction Approval.....</b>	<b>125</b>
About Secondary Transaction Approval .....	125
About Secondary Approval Profiles.....	126
Creating and Updating Secondary Transaction Approval Profiles .....	128
Searching for, Approving, and/or Cancelling Transactions in the Queue.....	132
Transaction Audit Details .....	140
<b>Settlement Statements .....</b>	<b>141</b>
End of Day Consolidated Settlement.....	141
DTC and NSCC Cross Endorsement .....	142
About Participant, Collateral Group, and Legal Entity Totals .....	143
About Settling Banks .....	144
Participant Statements.....	144
Participant Activity Total Breakdown (Legal Entity) .....	144
Viewing DTC and NSCC Activity Codes .....	150
Fund Transfers .....	151
Settling Bank Statements .....	153
DTC/NSCC Consolidated Settling Bank Account Statements.....	153
Affiliated FICC and AIP Settling Bank Statements.....	158
Acknowledge and Refuse to Pay Procedures.....	164
<b>Stock Loan / Repo Adjustments .....</b>	<b>167</b>
About Stock Loan / Repo Adjustments .....	167
Submitting Stock Loan / Repo Adjustments .....	169
Viewing, Approving, and Cancelling Stock Loan / Repo Adjustments .....	171

<b>Transaction File Uploads .....</b>	<b>175</b>
About Uploads .....	175
Getting Templates.....	176
Settlement Transaction Upload Tips – Dos and Don'ts.....	182
Uploading Settlement Transactions.....	183
Inquiring about Settlement Transaction Uploads.....	186
<b>Receiver Authorized Delivery (RAD) .....</b>	<b>189</b>
Introduction to Receiver Authorized Delivery .....	189
The RAD Profiles .....	192
Creating/Updating/Viewing/Approving a RAD Profile .....	200
Working with RAD Transactions .....	203
Searching RAD Transactions.....	203
Filtering RAD Transactions .....	209
Displaying RAD Audit Details .....	210
Approving and Canceling RAD Transactions.....	212
Using the RAD Snapshot .....	216
<b>Risk Management Controls Inquiry.....</b>	<b>218</b>
About Risk Management Controls.....	218
About Net Debit Caps and Debit Peaks .....	219
Entering Your Risk Management Controls Inquiry Search.....	220
Viewing Balances.....	220
<b>Business Terms.....</b>	<b>225</b>

# SETTLEMENT WEB OVERVIEW

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## Settlement Web Overview

The Settlement Web is DTC's primary Settlement user interface. Clients have the ability to view their settlement activity as well as to submit settlement transactions to DTC. A Dashboard allows users to view different settlement related events, subscribe to alerts, and save frequently-used queries.

## Navigation Bar - How the Product Works

The Navigation Bar allows participants to access their settlement transactions, provides improved inquiry and update abilities through its Data Grid, and allows export to Excel. Functions are grouped on the Navigation Bar for ease of use, and participants may select from the following categories: Activity, Position, Cash and Balances, Transaction Submission, Commands, and Profiles. The Navigation Bar also provides access to the Settlement Web help file and Participant Browser Services (PBS).



Navigation Bar

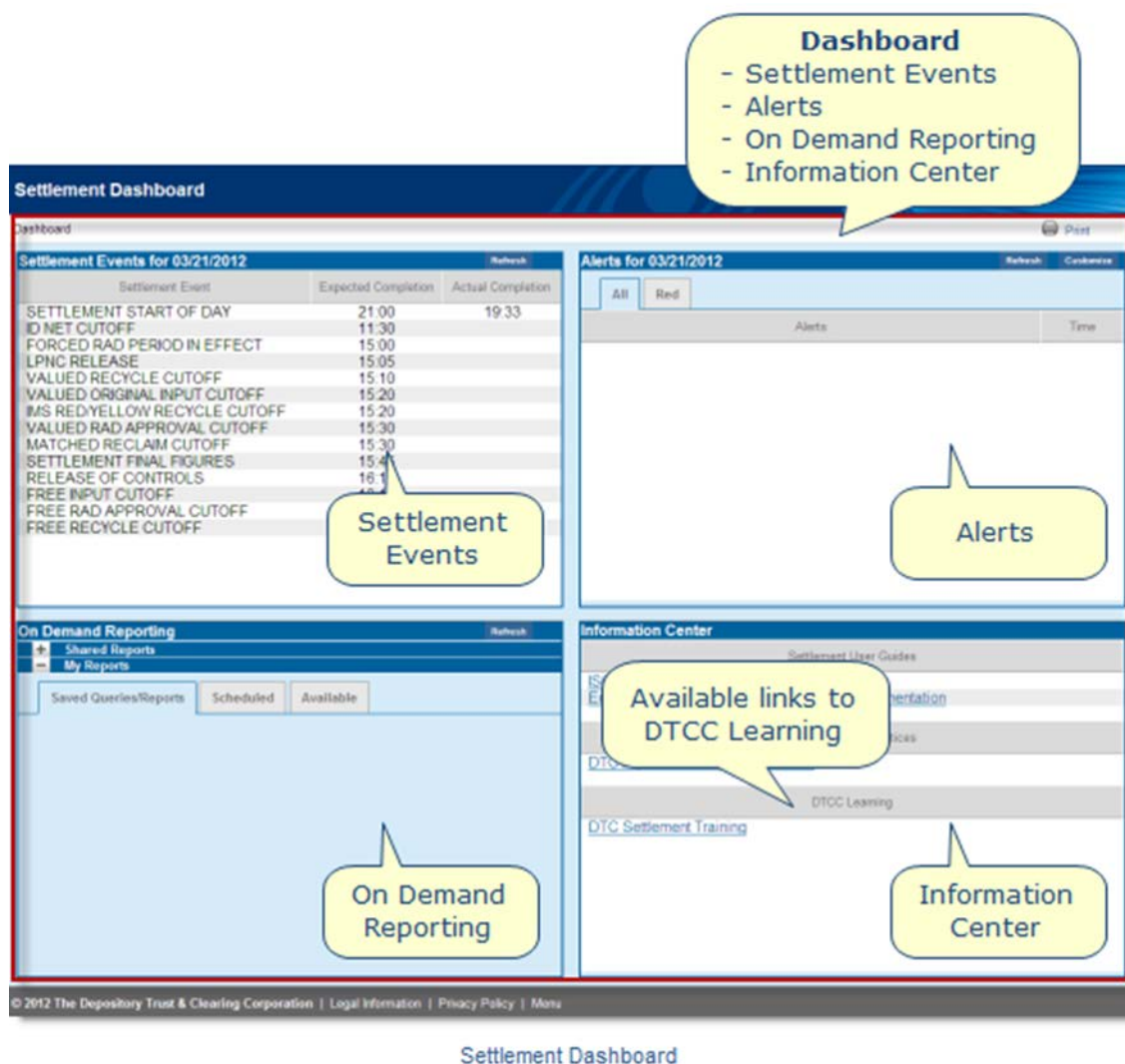
## How the Product Works

DTC has provided seamless navigation between the Settlement Web and PBS interfaces. The Navigation Bar includes a link for all PBS settlement activity. When participants select a function that has not yet been incorporated into the new Settlement Web, they will be brought to the PBS equivalent. Likewise, when participants access a PBS function through the Settlement Web, a link is provided in PBS allowing return access back to the Settlement Web via the Home button on the Navigation Bar.

# Using the Dashboard

## Settlement Dashboard

The Settlement Dashboard consists of individual windows, each of which offers a different view into settlement-related activity. Current offerings include a window for settlement-related events, optionally selected alerts, on demand reporting, and an information center.



Dashboard Window	Functionality
<b>Settlement Events</b>	Displays key settlement milestones, such as valued recycle cutoff, the times they are expected to occur, and the times they actually complete.
<b>Alerts (optional)</b>	Allows participants to be notified, either via the dashboard or e-mail, of various user-defined settlement events that they have subscribed to.
<b>On Demand Reporting</b>	Allows participants to save, share, and schedule frequently used queries.
<b>Information Center</b>	Provides a convenient place for participants to view settlement-related information such as user guides and Settlement Important Notices.

## Events

The Settlement Events window on the Settlement Dashboard displays the settlement event description, the expected completion time of the event, and the time the event occurred within the current settlement cycle.

You can refresh your settlement events either manually or automatically:

1. To refresh automatically, click the **Auto Off** button to display **Auto On**.

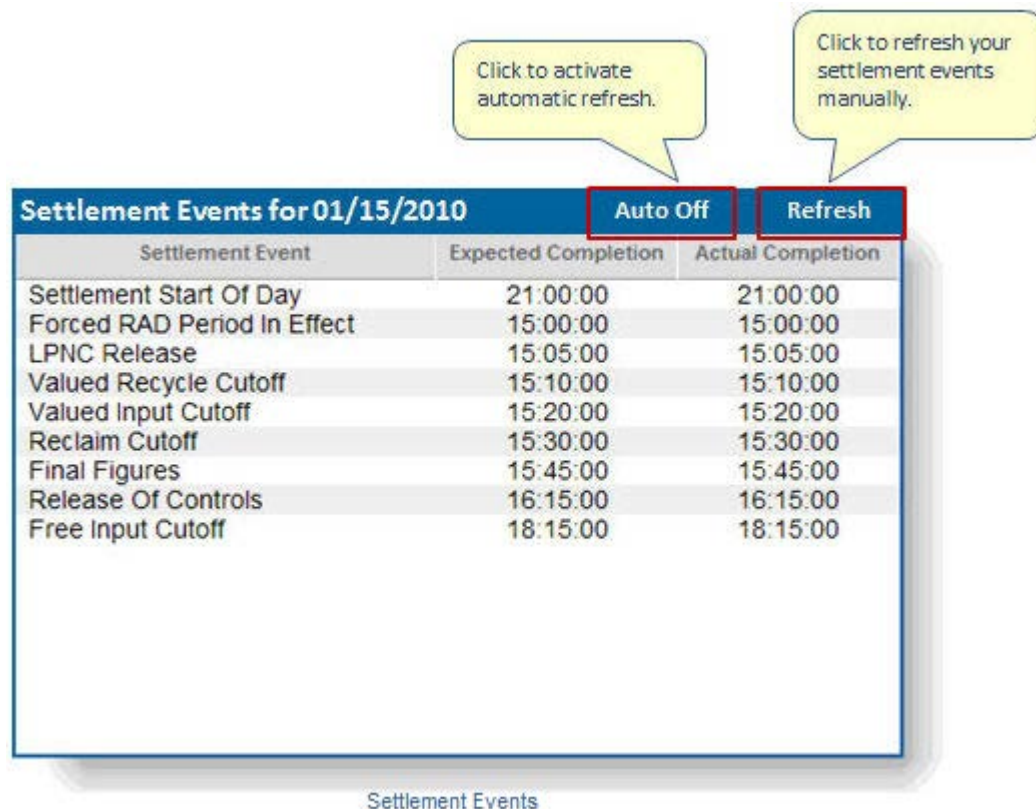
---

### Note

The auto refresh is enabled between the forced RAD period (3:00 p.m.) up until the release of controls. The times listed in the Settlement Events window will only refresh during this time. If **Auto Off** is displayed, then the times listed will not refresh until you manually refresh them by clicking **Refresh**.

---

2. To refresh manually, click the **Refresh** button.



The screenshot shows the 'Settlement Events for 01/15/2010' window. It features a table with three columns: 'Settlement Event', 'Expected Completion', and 'Actual Completion'. Above the table are two buttons: 'Auto Off' and 'Refresh'. A callout bubble points to the 'Auto Off' button with the text 'Click to activate automatic refresh.' Another callout bubble points to the 'Refresh' button with the text 'Click to refresh your settlement events manually.'

Settlement Event	Expected Completion	Actual Completion
Settlement Start Of Day	21:00:00	21:00:00
Forced RAD Period In Effect	15:00:00	15:00:00
LPNC Release	15:05:00	15:05:00
Valued Recycle Cutoff	15:10:00	15:10:00
Valued Input Cutoff	15:20:00	15:20:00
Reclaim Cutoff	15:30:00	15:30:00
Final Figures	15:45:00	15:45:00
Release Of Controls	16:15:00	16:15:00
Free Input Cutoff	18:15:00	18:15:00

Settlement Events

## Alerts

The Alerts window on the Settlement Dashboard allows participants to be notified, either via the dashboard or e-mail, of various user-defined settlement events that they have subscribed to.

### *To customize your alert subscriptions:*

1. Click the **Customize** button in the Alerts window.

Alerts for 02/09/2010		Auto Off	Refresh	Customize
All		Red		
Alert		Time		
Command Executed for Task ID: 123		17:20:57		
Broadcast: All - Final Figures Delayed		13:33:38		
On-Demand Download Ready for: k2		11:31:46		
Activity Track Alert: subscription id = 14		13:33:38		
90% of Debit Cap breach for Participant: 1250		11:31:46		
On-Demand Download Ready for: predemo-part1250-excel		10:59:23		

Alerts window on the Settlement Dashboard

The Alert Subscriptions screen appears.

The screenshot shows the 'Alert Subscriptions' screen. At the top, there's a navigation bar with 'DTCC Settlement Services' and a user profile. Below this is a menu bar with options like Home, Activity, Position, Cash and Balances, Transactions, Commission, Commands, Profiles, Help, and PBS Links. The main content area has a 'BROADCAST' dropdown menu and an 'Add Subscription' button. A table lists existing alert subscriptions with columns for 'Alert Type' and 'Action' (View Details, Edit Details, Delete). Callouts provide instructions: 'Click to select a new subscription.' points to the dropdown, 'Click to add the subscription you selected.' points to the 'Add Subscription' button, 'Your existing settlement subscriptions.' points to the table, and 'Select an action to view, edit, or delete your alerts.' points to the 'Action' column.

Click to select a new subscription.

Click to add the subscription you selected.

Your existing settlement subscriptions.

Select an action to view, edit, or delete your alerts.

Alert Subscriptions screen

- To add an alert, select the subscription from the settlement subscription drop-down list. Only one subscription can be added at a time.



3. Click **Add Subscription**.

The Add Subscription screen appears with criteria based on the chosen alert.

**Example:** If you are looking for a particular delivery to come in for a CUSIP or contra, you might subscribe to a Receipt of Delivery alert.

DTCC Settlement Services

Welcome testuser@dtcc.com Log out

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Jan 26, 2011 - 4:06:11 PM EST

Add Subscription

Alert Subscription > Alert Subscriptions > Add

Subscription Criteria

Subscription Type: RECEIPT OF DELIVERY

Email Notification ☐

\* = Required

Custom Subscription Criteria

Participant Id: 1

ART Activity Track Criteria

CUSIP	Contra	Activity	Amount (> or =)	Quantity (> or =)
44250NAA2				

Back Add

Click Add to add the new alert.

Click this check box to receive alerts via e-mail.

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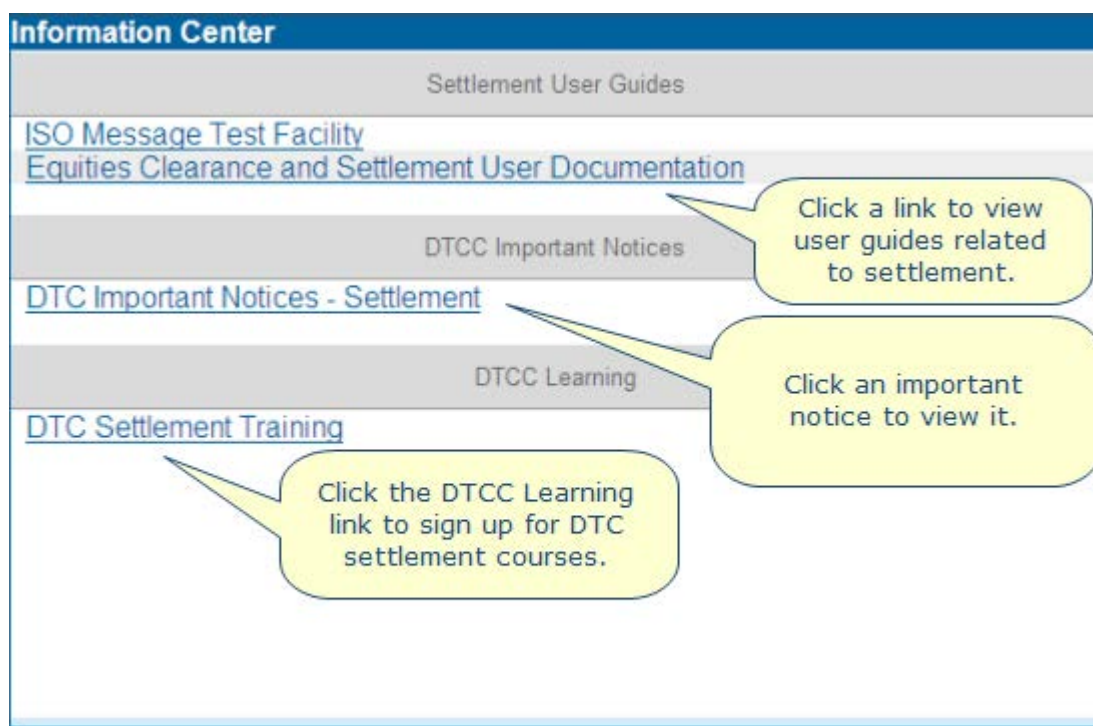
Add Subscription screen for the Receipt of Delivery alert

4. To receive e-mails when this alert occurs, select the **Email Notification** box.
5. If your subscription allows you to select multiple participant IDs, select a participant ID.
6. Select the applicable fields for the subscription.
7. To submit the subscription, click **Submit**.  
The subscription appears in your list of settlement alerts.
8. To view, edit, or delete a subscription, click the **View Details** button, the **Edit Details** button, or the **Delete** button.

When the settlement event you subscribed to occurs, you will be alerted via the dashboard in the Alerts window or via e-mail (if selected).

## The Information Center

The Information Center contains links that open web pages and documents pertaining to settlement in new windows.



Information window on the Settlement Dashboard

## Using On Demand Reporting

### On Demand Reporting

The On Demand Reporting window on the Settlement Dashboard allows you to save, share, and schedule frequently used queries and reports. Saved data grids are referred to as Queries and saved Excel spreadsheets are referred to as Reports. Saving the search criteria provides you with a link that you can use to repeat the same search with a single click.

Queries may be run on demand by clicking the query/report in the On Demand Reporting window on the dashboard. You can edit an existing query and save it as a new report. Queries may also be shared so that they are available to others for one-click execution from their dashboard. Additionally, your saved queries may be scheduled to run at a specific time or when a specific event occurs. Previously scheduled query/reports are available for download as Excel spreadsheets.

#### Note

There are limits to the amount of data that can be requested in one data grid or Excel search request. For data grid searches, the total lines of data equals 2,000. To see more records, click the **More Recs** button in the data grid. For Excel searches, the total lines of data searchable is 5,000. To see more records, click the **Search More** button next to the **Save Query/Report** button. The **More Recs** and **Search More** buttons only display when there are additional records available.



## Viewing Your Saved Queries

Settlement Web provides a one-click search execution feature. Rather than re-entering the same search criteria repeatedly, you can save and reuse your search criteria as a query/report.

---

**Note**

You must perform a search before you can save it as a query/report. For more information, see [Data Grid: Search](#) and [Data Grid: Saving Searches](#).

---

**To view your saved queries:**

1. On the Settlement Dashboard, on the On Demand Reporting window, click the query you want to view.



Viewing queries

Your query is displayed in the Activity Inquiry Grid.

**DTCC Settlement Services**

Welcome testuser@dtcc.com | Log out

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Mar 20, 2012 - 2:09:29 PM EDT

**Settlement Activity for FTS IPA #1**

Dashboard > Settlement Activity

Activity Inquiry | Collateral Group Inquiry | Pledge Inquiry | Intra-day Short Inquiry

Part ID: 1250 | CUSIP: | Business Date: 03/20/2012 | Contra: | Activity: | Amount (> or =): | Status: Made/Pend | Del/Recd/All: All

Activity Type: ATP | Sub Activity: | Free/Valued: All | Third Party: | Reason Code: | Transaction ID: | MA/NA: | Reclaims:

Reset | Search | Save Query/Report

Display Type: Quick Search | Data Grid | Excel

Activity Search Results as of 14:09:29 | Activity w/Comments List | Customize Grid | Recalls: | /Total:

Filters: | Apply | Reset | Page 1 of 1

Transaction Id	Time	Activity	Reason	Contra	Cusip	Quantity	Amount	Source	Status
000000-59	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5A	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5B	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5C	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5D	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5E	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made
000000-5F	19:37	Funds Rev.	0		000000000	0	\$0,999,999,999.99	SOCC	Made

Activity Inquiry Grid

### To schedule reports:

You can schedule reports to run for later viewing in an Excel spreadsheet format.

1. Click the **Scheduled** tab to schedule report run times or the **Available** tab to view your scheduled reports. The dashboard will save the results of reports for two days. However, saved queries will remain and continue to generate new reports as scheduled.

### Tip

You must save your search criteria as an Excel display type on the Activity Inquiry screen before scheduling. For more information, refer to [Scheduling Reports/Queries](#).

## Sharing Your Saved Queries

You can share your saved queries by selecting the **Share my folder** check box next to the query/report you want to share.

### To share your saved queries:

1. On the Settlement Dashboard, on the On Demand Reporting window, locate the query you want to share.



Sharing queries

2. Click the **Share my folder** check box.  
All reports in the folder you choose are shared with the account you specify.

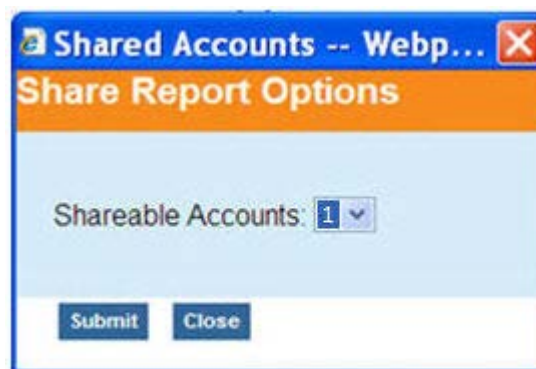
---

**Tip**

You can create and name folders when you save or edit queries.

---

3. In the Share Report Options dialog, select the account you wish to share the query/report with.



Shared Report Options screen

Your shared query/report is displayed on the Shared Reports screen. To stop sharing a folder, uncheck the **Share my folder** check box.

## Editing Your Saved Queries

Your saved queries (search criteria) are found on the Settlement Dashboard's On Demand Reporting window. You can edit the saved queries by clicking the **Edit** button next to the query/report you want to edit.

**To edit your saved queries:**

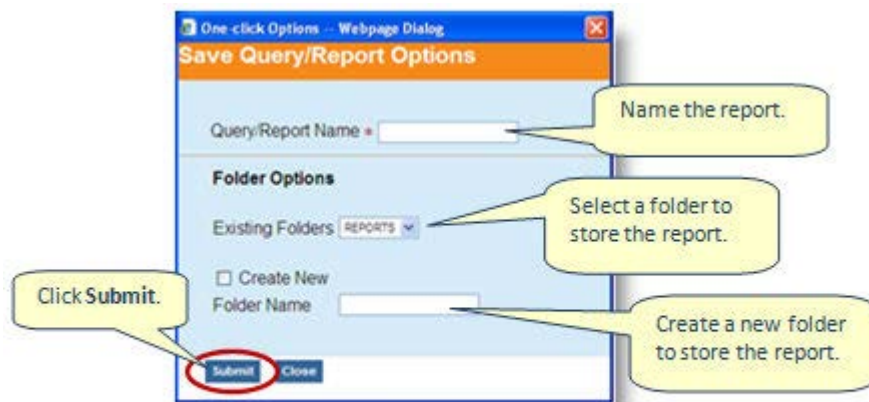
1. On the Settlement Dashboard, in the On Demand Reporting window, click the **Edit** button next to the query/report you want to edit.



Editing queries

The query is displayed in the Activity Inquiry Grid.

2. Edit the query and click **Search**.
3. Click **Save Query/Report** and click **Save**.
4. Name your report in the **Query/Report Name** field. You may also select or name a folder that the query will be saved to.



Naming your search results

---

**Tip**

As a best practice, save the new criteria with a new query/report name. The original query will continue to display on the My Reports screen until you delete it.

---

**5. Click **Submit**.**

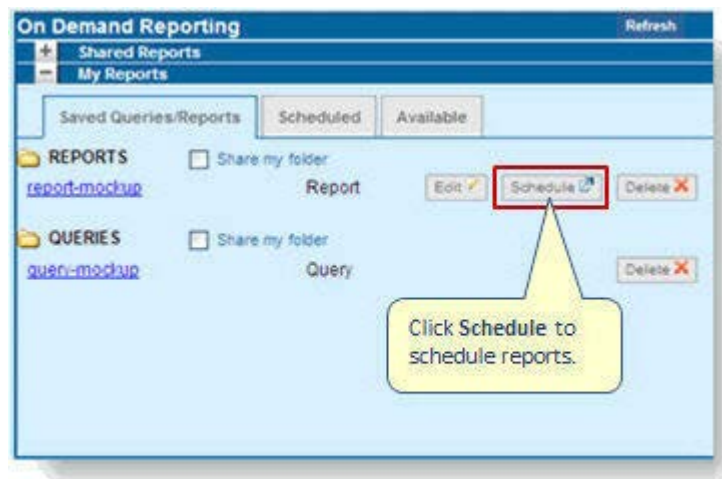
Your edited query is saved and appears under My Reports in the On Demand Reporting window.

## Scheduling Reports/Queries

You can schedule your reports/queries on the Settlement Dashboard's On Demand Reporting window.

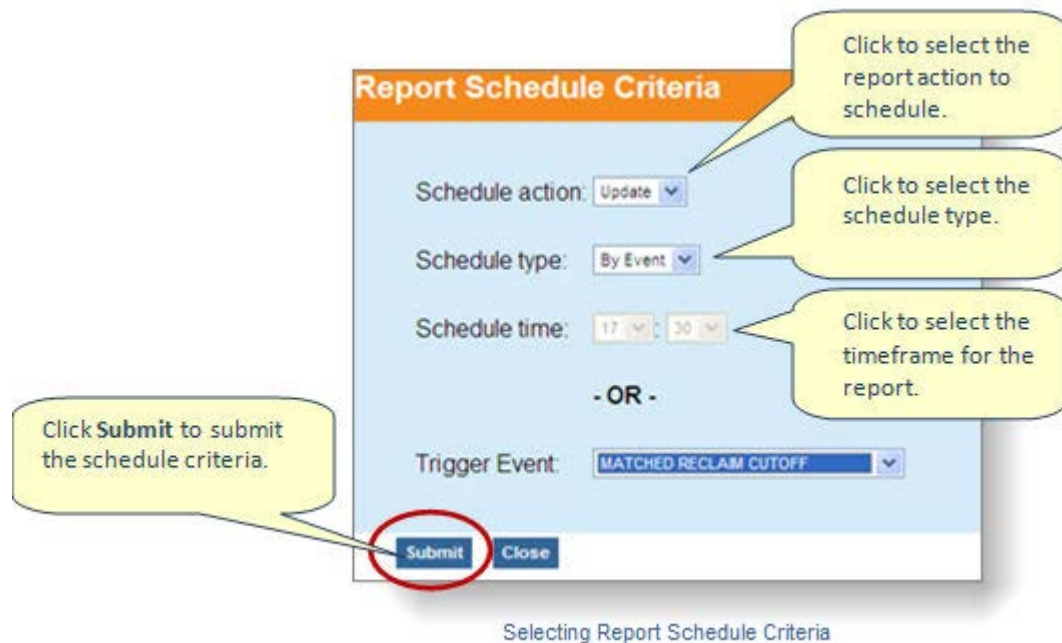
**To schedule reports:**

1. On the Settlement Dashboard, on the On Demand Reporting window, click the **Schedule** button.

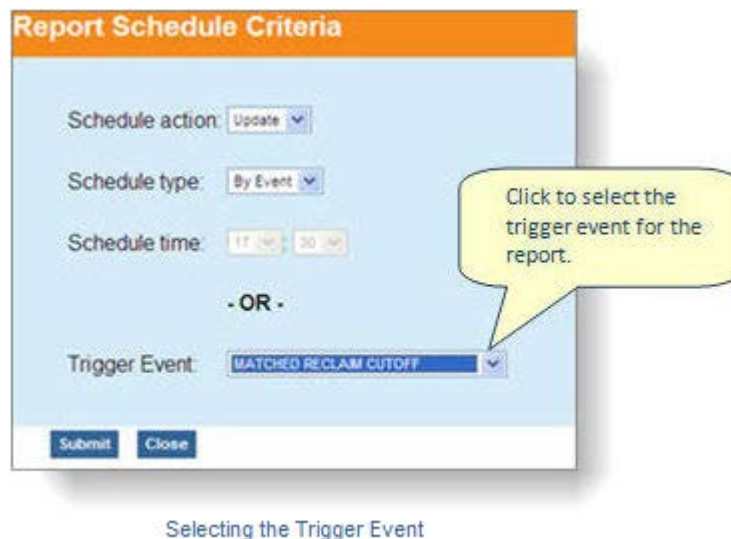


Scheduling reports

The Report Schedule Criteria pop-up appears.



2. Select your report criteria in the **Schedule action**, **Schedule type**, and **Schedule time** fields. Or, To schedule a report based on an event, choose **By Event** from the **Schedule Type** field. The **Trigger Event** field appears allowing you to select an event.



3. To submit your report schedule, click the **Submit** button.

## Downloading Scheduled Reports



You can download your previously scheduled reports from the **Available** tab of the Settlement Dashboard's On Demand Reporting window.

**To download reports:**

1. On the Settlement Dashboard, on the On Demand Reporting window, click the **Available** tab.



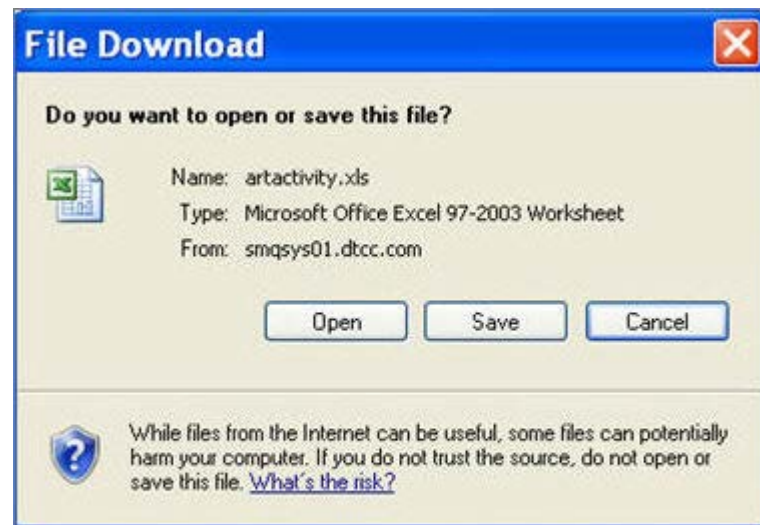
Downloading reports

The Available tab appears showing your available reports and the time and date they were generated.



Search criteria

2. Select the report(s) you want to download.
3. Click the **Save** button to download your report as an Excel spreadsheet.



File Download screen



# COLLATERAL LOANS

---

## About the Collateral Loan Service

The Collateral Loan Service allows DTC participants to pledge securities as collateral for a loan or for other purposes, as well as to request the release of pledged securities. These pledges and pledge releases can be made free (i.e., the money component of the transaction is settled outside of the depository) or valued (i.e., the money component of the transaction is settled through DTC as a debit/credit to the pledgor's and pledgee's DTC money settlement accounts).

When pledging securities, security interest in the pledged position is moved from the pledgor to the pledgee, and an accounting entry is made from the pledgor's general free account to their pledged position, preventing the pledged position from being used to complete other transactions. Likewise, the release of a pledged position would move the pledged position back to the pledgor's general free account, where it would then be available to complete other transactions.

- **DTC Pledgee Banks** – DTC participants can submit free or valued pledges or releases to DTC Pledgee Banks.
- **Options Clearing Corp (OCC)** - A participant writing an option on any options exchange may fully collateralize that option by submitting free pledges and release requests of the underlying securities by book-entry through DTC to the (OCC).
- **Federal Reserve Bank (FRB)** - Participants who are depository institutions maintaining a deposit account at a Federal Reserve Bank (FRB), can make free pledges and release requests to the FRB.

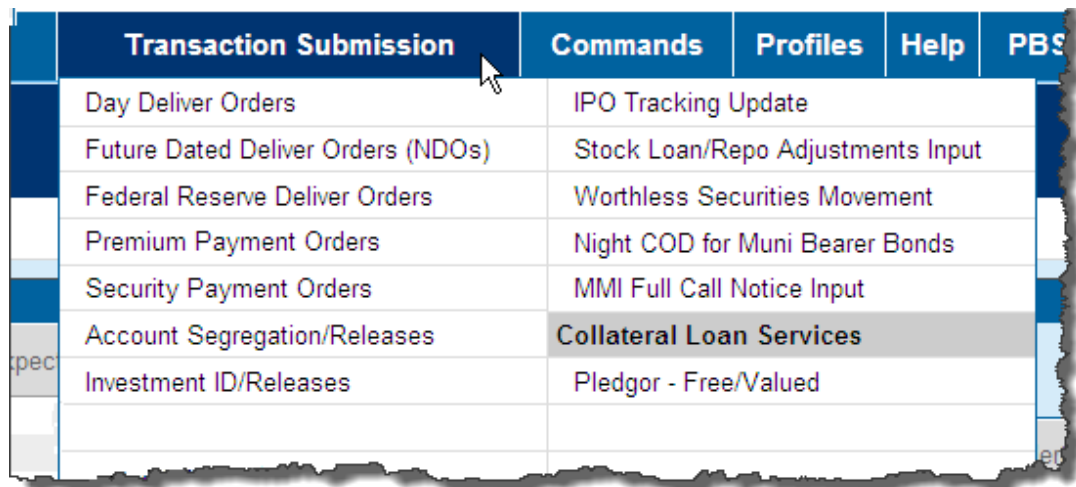
# Pledgor

## Inputting a Pledge

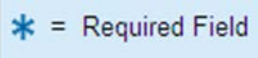
- From the Settlement Web main menu bar, under Transaction Submission, select the Collateral Loans Pledgor-Pledgee option that applies.

Depending on your entitlements, you may choose from:

- **Pledgor - Free/Valued** (Commercial Banks)
- **Pledgor - Federal Reserve Bank**
- **Pledgor - Options Clearing Corporation**



The pledge input page appears.

- Enter the required fields.  Selecting a Hypothecation code is mandatory for pledges to DTC Pledgee banks and to the OCC. They indicate to the pledgee the party or parties for whom you are pledging collateral:

Hypothecation Code	Description
1	Each security in the pledge is carried for the account of one or more customers.
2	All securities in the pledge are carried for the account of a single customer.
3	No securities in the pledge are carried for the account of any customers.
7	Used for repo accounts.
8	Used for repo accounts.
9	Used for repo accounts.

**Note**

The instructions for a delivery of securities to a repo account at DTC use the same data fields as the instructions for a pledge to a pledgee account. For more information on hypothecation codes, refer to the [Settlement Service guide](#) topics called “Procedures for DTC Repo Accounts” and “Procedures for DTC Shared Control Accounts.”

DTCC Settlement Services

Welcome Textbook@dtcc.com Log Out Change Password

Home Activity Submission Commands Profiles Help PBS Links Jul 23, 2013 - 11:13:37 AM EDT

Collateral

Home > Collateral

\* Required

Pledge

Pledge Type:

Pledgee \* 1258 Pledgee Name 1258

Loan Date \* 07/23/2013 Associated Participant

Hypothecation \* 1

Purpose \* Additional collateral

Pledgor Name PTS TEST CP IPA #1

Rec	CUSIP *	Quantity *	IPO	PTA	Prevent Pledge	Comments
1	86860366 LI TEST CORP	25	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pledge Test
2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Validate Submit Reset

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3. To check your work, click **Validate**.
4. To process your pledge, click **Submit**.

The screenshot shows the DTCC Settlement Services interface. At the top, there's a navigation bar with links: Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The user is logged in as 'Testuser@dtcc.com' and the date/time is 'Jul 23, 2013 - 11:13:37 AM EDT'. The main heading is 'Collateral Loan Services'. Below it, a breadcrumb trail reads 'Home > Collateral Loan Services - Pledgor > Free/Valued > Pledge'. A confirmation message states 'pledge submitted successfully.' with a count of '1'. The form includes fields for Pledge Type (Free/Valued), Pledgor (1250), Pledgee (1250), Loan Date (07/23/2013), Hypothecation (1), and Purpose (Additional collateral). Below the form is a table with columns: Rec, CUSIP, Quantity, IPO, PTA, Prevent Pend, and Comments. The table contains one row with a value of '1' in the Rec column.

The page displays a confirmation message and the number of pledges successfully submitted.

## Requesting a Pledge Release

You can select any or all of the pledges in the search results for release. To request a release of collateral, search for the pledged items, select them, and submit the release request.

- From the Settlement Web main menu bar, under Transaction Submission, select the Collateral Loans Pledgor - Pledgee option that applies.

Depending on your entitlements, you may choose from:

- **Pledgor - Free/Valued** (Commercial Banks)
- **Pledgor - Federal Reserve Bank**
- **Pledgor - Options Clearing Corporation**

Transaction Submission	Commands	Profiles	Help	PBS
Day Deliver Orders	IPO Tracking Update			
Future Dated Deliver Orders (NDOs)	Stock Loan/Repo Adjustments Input			
Federal Reserve Deliver Orders	Worthless Securities Movement			
Premium Payment Orders	Night COD for Muni Bearer Bonds			
Security Payment Orders	MMI Full Call Notice Input			
Account Segregation/Releases	<b>Collateral Loan Services</b>			
Investment ID/Releases	Pledgor - Free/Valued			

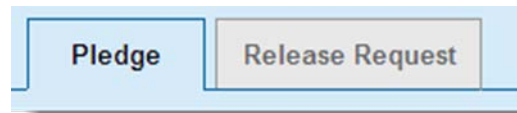
- Click the **Release Request** tab.

---

**Note**

For OCC, this tab is called a "Release of Deposit Request."

---



- Enter the required and optional search criteria. \* = Required Field

 A screenshot of the DTCC Settlement Services web application. The page title is "Collateral Loan Services". Below the title is a breadcrumb trail: "Home > Collateral Loan Services - Pledgor > Free/Valued > Release Request". A legend indicates that an asterisk (\*) denotes a required field. The search form contains four fields: "Pledgor \*" with the value "1250", "Pledgee" with the value "1260", "Loan Date", and "CUSIP". Below the fields are "Search" and "Reset" buttons. A yellow callout box on the right states: "Required fields are marked with an (\*) asterisk. Entry fields vary according to the type of pledgee." The footer includes copyright information: "© 2011 - 2013 The Depository Trust & Clearing Corporation | Legal Information | Privacy Policy | Menu".

- Click **Search**.  
Your search results display any pledges that match your criteria.
- If applicable, select a **Release Type** that describes the pledge(s).

DTCC Settlement Services

Welcome TextUser@dtcc.com Log Out Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Jul 23, 2013 - 11:49:44 AM EDT

Collateral Loan Services

Home > Collateral Loan Services - Pledgee > Free/Valued > Release Request

\* = Required Field

Pledge Release

Pledgee \* 1250

CUSIP 868686866

Search Reset

Search Results

Pledgee Name: FTS TEST CP IPA #1

Release Type: \* 3 - Decrease

Displaying 1 item

Action	Pledgee	Loan Date	CUSIP	Quantity *	CHS	Comments
<input type="checkbox"/>	B45 BANK OF N.Y.	07/23/2013	868686866 LI TEST CORP +	25	<input type="checkbox"/>	

Release Reset

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6. Select the pledges you wish to release.

- To select all pledges in your search results, click the check box at the top of the Action column.
- To select individual pledges, click the check box next to each pledge(s).

Action	Pledgee
<input checked="" type="checkbox"/> ?	
<input checked="" type="checkbox"/>	2 FTS TEST PLEDGEE #1
<input checked="" type="checkbox"/>	2 FTS TEST PLEDGEE #1
<input checked="" type="checkbox"/>	2 FTS TEST PLEDGEE #1

7. Enter the quantity of shares you would like to be released. (You may change the quantity to a lesser quantity for partial releases.) You may also add your own notes which will be saved with the pledge detail by typing in the Comments field.

DTCC Settlement Services

Welcome Testuser@dtcc.com | Log Out | Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Jul 23, 2013 - 11:49:44 AM EDT

Collateral Loan Services

Home > Collateral Loan Services - Pledge > Free/Valued > Release Request

\* = Required Field

Pledge Release Request

Pledgor \* 1250 Pledgee 1250 Loan Date 07/01/2013 CUSIP 069606060

Search Reset

Search Results

Pledgor Name: FTS TEST CP IPA #1

Release Type: \* 3 - Decrease

Displaying 1 item Page 1

Action	Pledgee	Loan Date	CUSIP	Quantity *	CNS	Comments
<input checked="" type="checkbox"/>	849 BANK OF N.Y.	07/23/2013	069606060 LI TEST CORP *	25	<input type="checkbox"/>	Please release asap.

Release Reset

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Required fields are marked with an (\*) asterisk. Entry fields vary according to the type of pledgee.

Click the check box to the left of each pledge you wish released.

Click **Release** to submit the request.

8. To submit the release request, click **Release**.

DTCC Settlement Services

Welcome Testuser@dtcc.com | Log Out | Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Jul 23, 2013 - 11:49:44 AM EDT

Collateral Loan Services

Home > Collateral Loan Services - Pledge > Free/Valued > Release Request

\* = Required Field

Pledge Release Request

Pledgor \* 1250 Pledgee 1250 Loan Date 07/23/2013 CUSIP 069606060 Pledge Type: ☒ Free ☐ Valued

Search Reset

Search Results

Pledgor Name: FTS TEST CP IPA #1

1 Free/Valued pledge release submitted successfully.

Release Type: \* Select

Displaying 1 item Page 1

Action	Pledgee	Loan Date	CUSIP	Quantity *	CNS	Comments
<input checked="" type="checkbox"/>	849 BANK OF N.Y.	07/23/2013	069606060 LI TEST CORP *	25	<input type="checkbox"/>	

Release Reset

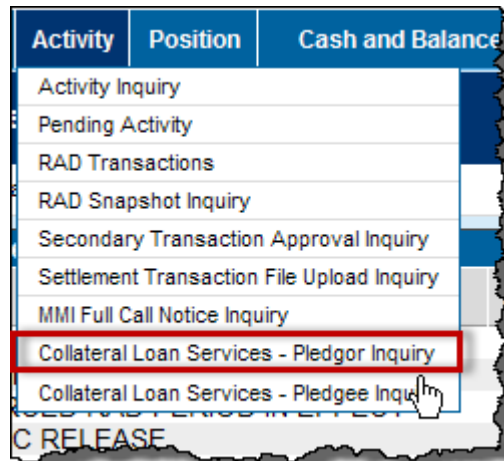
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The page displays a confirmation message for the number of release requests successfully submitted.

## Performing a Pledgor Inquiry

You can inquire about the statuses of pledges for free and valued, Federal Reserve Bank, or OCC pledges.

1. From the Settlement Web main menu bar, under Activity, select **Collateral Loan Services – Pledgor Inquiry**.



2. Enter the required and optional search criteria. \* = Required Field

### Notes

- Use the “Quick Search” **Display Type** to have the ability to view a detail page for any search results. Use “Excel” to export the results into a spreadsheet.
- Under **Transaction Type**, select the type of item you want in your results:
  - All
  - Pledge
  - Release
  - Return
- The Start Time begins your search at a particular time on the selected business date. It defaults to one hour before the current time.



DTCC Settlement Services

Welcome user@test.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 12, 2013 - 11:11:02 PM EDT

Collateral Loan Services

Home > Collateral Pledgor Inquiry

\* = Required Field

Pledgor \* 1250

Business Date \* 08/06/2013

Pledgee

Loan Date

CUSIP

Transaction Type All

Status Unapproved

Search Reset

Display Type: ☒ Quick Search ☐ Excel

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3. Click **Search**.

All items matching your search criteria will be displayed at the bottom of the page.

Search Results

Pledgor Name:

Displaying 5 items

Transaction ID	Time	Type	Pledgee	Loan Date	CUSIP	Quantity	Loan Value	Status
	09:36	Release	00000981 OCC OPTIONS	03/20/1973	459200101 INTER BUSINESS MACH<	1	0	<a href="#">Unapproved</a>
	12:35	Release	00000981 OCC OPTIONS	03/20/1973	868666866 LI TEST CORP +	15	0	<a href="#">Unapproved</a>
	13:17	Release	00000981 OCC OPTIONS	03/20/1973	868666866 LI TEST CORP +	15	0	<a href="#">Unapproved</a>
	13:18	Release	00000981 OCC OPTIONS	03/20/1973	868666866 LI TEST CORP +	10	0	<a href="#">Unapproved</a>
	13:38	Pledge	00001260 TEST PLEDGEE	07/30/2013	868666866 LI TEST CORP +	15	12	<a href="#">Unapproved</a>

VALUED Pledge RAD

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4. To view details about any item, click its **Status**.

A separate window opens, displaying the details of the pledge, release request, or return.

Loan Transaction Details			
<b>Input Details</b>			
Transaction Type:	PL01 - Valued Pledge	Source ID:	COL2
Pledgor:	1250 - TEST PLEDGOR	Pledgee:	1260 - TEST PLEDGEE
Associated Participant:	1260 - TST PLDG COML	Loan Date:	07/30/2013
CUSIP:	868686866	Quantity:	15
Loan Value: :	12.00	Hypothecation:	2 - All securities in this pledge are carried for the account of a single customer
Loan Purpose:	1 - New Loan	IPO:	
PTA:		Prevent Pend:	
Comments:	VALUED Pledge RAD		
<b>Activities</b>			
Created By:	D000000000	Created On:	07/30/2013 13:38:55
COL Status: :	Pending IMS Processing		
<b>System Values</b>			
Unit Price:	0.01	Haircut:	2
Market Value:	0.15	Collateral Value:	0.15
close			

## OCC Release Request and Authorization

### Requesting a Release of Deposit from OCC

Members of the OCC (Options Clearing Corp) may request a release of collateral from the OCC by searching for the pledged items, selecting them, and submitting a release of deposit request.

#### Note

If you are a third party (a DTC participant but not a member of the OCC) for whom pledges were submitted by another DTC participant, you can also request the release of collateral by submitting an OCC Options Release of Deposit Request. The DTC participant who entered the pledge on your behalf must approve your request via an OCC Member Release of Deposit Authorization before the shares are returned.

1. From the Settlement Web main menu bar, under Transaction Submission, select **Pledgor - Options Clearing Corporation**.

Transaction Submission	Commands	Profiles	Help	PBS Links
Day Deliver Orders	IPO Tracking Update			
Future Dated Deliver Orders (NDOs)	Stock Loan/Repo Adjustments Input			
Federal Reserve Deliver Orders	Worthless Securities Movement			
Premium Payment Orders	Night COD for Muni Bearer Bonds			
Security Payment Orders	MMI Full Call Notice Input			
Account Segregation/Releases	<b>Collateral Loan Services</b>			
Investment ID/Releases				
Memo Segregations				
Collateral Moves (MA/NA)	Pledgor - Options Clearing Corporation			
Settlement Transaction File Upload				

The OCC Pledge page appears.

**DTCC Settlement Services**

Welcome kthancov@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 12, 2013 - 1:46:08 PM EDT

**Collateral Loan Services**

Home > Collateral Loan Services - Pledgor > Options Clearing Corporation > Pledge

\* = Required Field

**Free Pledge** | **OCC Options Release Of Deposit Request** | OCC Member Release Of Deposit Authorization

Pledgor \* [Text Field] Pledgee \* [Select...] Loan Date \* [03/20/1973] CUSIP \* [Text Field] Quantity \* [Text Field] ☐ IPO ☐ PTA ☐ Prevent Pend

Pledgor Name [Text Field] Pledgee Name [Text Field] Associated Participant [Text Field] CUSIP Description [Text Field] Hypothecation \* [Select...] Purpose \* [Select...]

Clearing Group ID [Text Field] Clearing Member [Text Field] Account Type [Text Field] Account ID [Text Field] Collateral Type [Text Field]

Cross Reference [Text Field] Customer Account [Text Field]

Contract

Symbol [Text Field] Option Type [Text Field] Expiration Date [Text Field] Strike Price [Text Field] (Example: 100.54)

Validate Submit Reset

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- Click the **OCC Options Release of Deposit Request** tab.
- Enter the **Pledgor** number of the party requesting the release.

4. Click **Search**.  
Your search results display any pledges that match your criteria.

5. Enter the required and optional fields on the records you would like released. \* = Required Field
  - OCC Member. The DTC participant number of the OCC Member authorizing the request.
  - OCC Clearing Member. The member number as known by OCC.
  - Quantity. The share quantity you wish to release. (You may change the quantity to a lesser quantity for partial releases.)
6. Select the pledges you want to release.
  - To select all pledges in your search results, click the check box at the top of the Action column.

- To select individual pledges, click the check box next to each pledge(s).

DTCC Settlement Services

Welcome Test@dtcc.com Log Out Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Aug 12, 2013 - 3:58:55 PM EDT

Collateral Loan Services

Home > Collateral Loan Services - Pledgee > Options Clearing Corporation > OCC Options Release Of Deposit Request

\* Required Field

Free Pledge OCC Options Release Of Deposit Request OCC Member Release Of Deposit Authorization

Pledgee \* 1250 Pledge 939 Loan Date 03/20/1973 CUSIP

Search Reset

Search Results

Pledgee Name: TEST PLEDGEOR

Displaying 2 items Page 1

Action	Pledgee	OCC Member *	Loan Date	CUSIP	Quantity *	CNS
<input checked="" type="checkbox"/>	939 OCC CUS SEG MAR ACCT	2199 HONEST BROKER #1	03/20/1973	060606066 LI TEST CORP *	10	
<input type="checkbox"/>	939 OCC CUS SEG MAR ACCT		03/20/1973	912795NC NOT FOUND		

Clearing Group ID Clearing Member \* Account Type Account ID Collateral Type Cross Reference Customer Account

Contract

Symbol \* Option Type Expiration Date \* Strike Price \*

db 06/1/2013 55.000000 (Example: 100.54)

Release Reset

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Click the top checkbox to request the release of all pledges on this page.  
or  
Click the checkbox in the upper left of each pledge you want released.

Click to request release of this pledge.

Click Release to submit the request.

- To submit the release request, click **Release**.

Search Results

Pledgee Name: BROWN BROS HARRMAN

1 OCC Options Release of deposit request submitted successfully.

Displaying 2 items Page 1

Action	Pledgee	OCC Member *	Loan Date	CUSIP	Quantity *	CNS
<input checked="" type="checkbox"/>	939 OCC CUS SEG MAR ACCT		03/20/1973	060606066 LI TEST CORP *		
<input type="checkbox"/>	939 OCC CUS SEG MAR ACCT		03/20/1973	912795NC NOT FOUND		

Clearing Group ID Clearing Member \* Account Type Account ID Collateral Type Cross Reference Customer Account

Contract

Symbol \* Option Type Expiration Date \* Strike Price \*

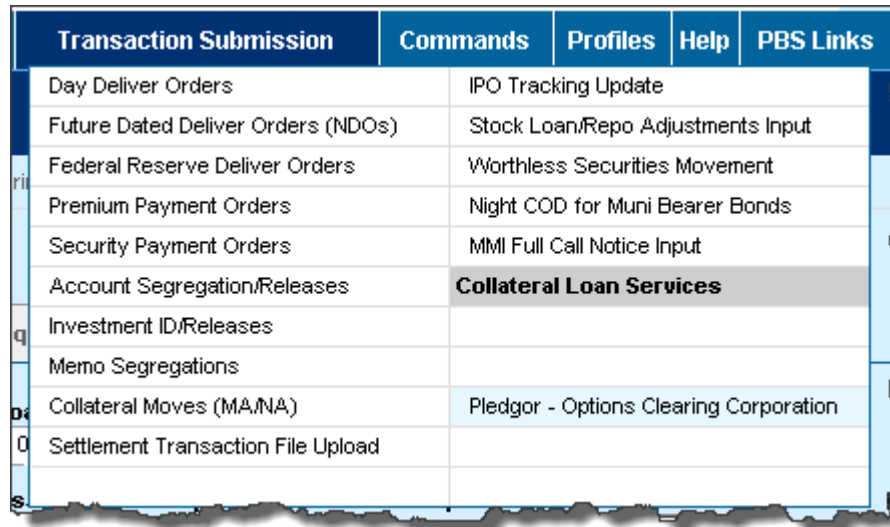
(Example: 100.54)

The page displays a confirmation message for the number of release requests successfully submitted.

## Authorizing a Release of Deposit Request (OCC Member)

Members of the OCC who have submitted a pledge on behalf of a non-OCC member can authorize the release of collateral to the non-member using this screen. *After authorizing this release of deposit request, the OCC returns the collateral.*

- From the Settlement Web main menu bar, under Transaction Submission, select **Pledgor - Options Clearing Corporation**.



The OCC Pledge page appears.

**DTCC Settlement Services** | Welcome | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 12, 2013 - 1:46:08 PM EDT

**Collateral Loan Services**

Home > Collateral Loan Services - Pledgor > Options Clearing Corporation > Pledge

\* = Required Field

**Free Pledge** | OCC Options Release Of Deposit Request | **OCC Member Release Of Deposit Authorization**

Pledgor \* | Pledge \* | Loan Date \* | CUSIP \* | Quantity \* | IPO | PTA | Prevent Pend

Pledgor Name | Pledge Name | Associated Participant | CUSIP Description | Hypothecation \* | Purpose \*

Clearing Group ID | Clearing Member | Account Type | Account ID | Collateral Type

Cross Reference | Customer Account

Contract

Symbol | Option Type | Expiration Date | Strike Price (Example: 100.54)

Validate | Submit | Reset

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- Click the **OCC Member Release of Deposit Authorization** tab.



3. Enter the required and optional search criteria.

\* = Required Field

The number of the DTC participant who will authorize the request.

Click **Search** when you are done entering your search.

To narrow your search, select from a list of pledge numbers that belong to the OCC. If nothing is selected, all results display.

4. Click **Search**.  
Your search results display any pledges that match your criteria.
5. Select the pledges you wish to authorize for release.
- To authorize *all* release requests displayed on the screen, click the check box at the top of the **Action** column.
  - To authorize *individual* release requests, click the check box next to each pledge(s).

Click the checkbox next to any individual item that you want to authorize or cancel.  
or  
Click the top checkbox to authorize or cancel all items.

Click **Submit** to authorize or cancel the release requests.

Click a link in the **Status** column to view a detail page for that item.

Action	Pledgor	Loan Date	CUSIP	Quantity	Receive Time	Update Time	Status
<input checked="" type="checkbox"/>	00001250 TEST BROKER	03/20/1973	06060606 TEST CORP	15	16:14	00:00	<a href="#">Unapproved</a>

6. To submit the authorized or cancelled requests, click **Release**.

**Note**

Authorized requests are sent to the OCC for release. Cancelled requests are not processed further.

The screenshot shows the DTCC Settlement Services interface. The main content area is titled 'Collateral Loan Services' and contains a sub-section for 'OCC Member Release Of Deposit Authorization'. A red box highlights a message: 'No results for given search criteria.' A yellow callout bubble points to this message with the text: 'This message appears when you have no more actionable items.' Another yellow callout bubble points to a success message at the bottom: '1 OCC member release of deposit authorization/cancel submitted successfully.' with the text: 'Success messages appear here.' The search form includes fields for OCC Member, Pledgor, Pledgee, Loan Date, CUSIP, and Status, along with Search and Reset buttons.

7. The page displays a confirmation message for the number of authorizations and cancellations successfully submitted.

## Pledgee

### Processing a Release Return

Pledgees can release the collateral for any of the requests in the search results. To process a release return, search for the requests, select them, and submit the return(s).

1. From the Settlement Web main menu bar, under Transaction Submission, select **Pledgee – Release Returns**.



Transaction Submission	Commands	Profiles	Help	PBS Links
Day Deliver Orders	Collateral Moves (MA/NA)			
Future Dated Deliver Orders (NDOs)	Settlement Transaction File Upload			
Federal Reserve Deliver Orders	MMI Full Call Notice Input			
Premium Payment Orders	<b>Collateral Loan Services</b>			
Security Payment Orders	Pledgor - Free/Valued			
Account Segregation/Releases	Pledgor - Federal Reserve Bank			
Investment ID/Releases	Pledgor - Options Clearing Corporation			
Memo Segregations	<b>Pledgee - Release Returns</b>			

**Note**

The entry fields vary slightly based upon pledgee bank type. The following graphics use the **Free/Valued Release Return** tab as an example.

2. Enter the required and optional search criteria. \* = Required Field

The screenshot shows the DTCC Settlement Services interface. The breadcrumb trail is: Home > Collateral Loan Services > Pledgee > Free/Valued > Release Return. The search form has the following fields:

- Pledgee \***: A text input field with the value "249".
- Pledgor**: A text input field with the value "10".
- Loan Date**: A date picker field.
- CUSIP**: A text input field.

Buttons for "Search" and "Reset" are located below the fields. A yellow callout box on the right says: "Required fields are marked with an (\*) asterisk. Entry fields vary according to your pledgee type."

3. Click **Search**.  
Your search results display any release returns that match your criteria.
4. Select a **Release Type** that describes the return(s).  
This release type will apply to all release returns that you process.

Welcome user@test.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 7, 2013 - 11:39:35 AM EDT

### Collateral Loan Services

Home > Collateral Loan Services - Pledgee > Free/Valued > Release Return

\* - Required Field

Free/Valued Release Return | Federal Reserve Bank Release Return | OCC Release Return

Pledgee \* | Pledgor | Loan Date | CUSIP

Search | Reset

**The Search Results area displays all matching collateral pledge release requests.**

**The Release Type label applies to all release returns that you process at once.**

Release Type: \* Select  
 1 - Delivery  
 2 - Substitution  
 3 - Decrease  
 4 - Release of Excess

Displaying 5 items. Click next page for additional items.

Action	Pledgor	Loan Date	CUSIP	Quantity *	CNS	Comments
<input type="checkbox"/>	1250 TEST PLEDGOR	03/11/2013	931142103 WAL-MART STORES INC<	16	<input type="checkbox"/>	
<input type="checkbox"/>	1250 TEST PLEDGOR	03/14/2013	868606066 LI TEST CORP *	24	<input type="checkbox"/>	
<input type="checkbox"/>	1250 TEST PLEDGOR	03/14/2013	931142103 WAL-MART STORES INC<	11	<input type="checkbox"/>	
<input type="checkbox"/>	1250 TEST PLEDGOR	03/18/2013	78008EAA5 BMRBOD11504750GL+%	10	<input type="checkbox"/>	
<input type="checkbox"/>	1250 TEST PLEDGOR	03/19/2013	30215GRH7 CPEDC'DH13'DIS*BE+\$	8	<input type="checkbox"/>	

Return | Reset

**Use the arrows to move through your results pages.**

Page 1

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5. Select the release returns you want to process.

- To select **all** release returns in the search results, click the checkbox at the top of the **Action** column.
- To select **individual** release returns, click the check box next to each item.

**Search Results**

Pledgee Name: Test Pledgee | Associated Participant: 1260 TST PLDG COML

Release Type: \* Select...

Displaying 5 items. Click next page for additional items.

**You can enter Comments for any release return you process.**

**Click an Action checkbox to select a release return request for processing. Click the top checkbox to select all requests on this page.**

Action	Pledgor	Loan Date	CUSIP	Quantity *	CNS	Comments
<input type="checkbox"/>	1250 TEST PLEDGOR	03/11/2013	931142103 WAL-MART STORES INC<	16	<input type="checkbox"/>	
<input type="checkbox"/>					<input type="checkbox"/>	
<input type="checkbox"/>					<input type="checkbox"/>	
<input type="checkbox"/>					<input type="checkbox"/>	
<input type="checkbox"/>	1250 TEST PLEDGOR	03/19/2013	30215GRH7 CPEDC'DH13'DIS*BE+\$	8	<input type="checkbox"/>	

**Click Return to release all marked requests.**

Return | Reset

Page 1

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- Enter the release quantity.

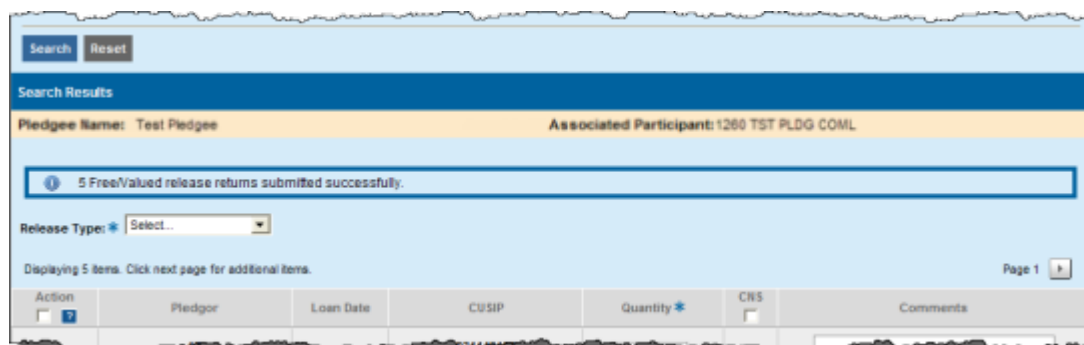
---

**Note**

You may change the quantity to a lesser quantity for partial releases.

---

- To process the release return, click **Return**.



The page displays a confirmation message for the number of release returns successfully processed.

## Performing a Pledgee Inquiry and Approving a Release Request

You can inquire about the statuses of pledges and approve and/or cancel release requests. Approving a release request releases the collateral back to the pledgor.

- From the Settlement Web main menu bar, under Activity, select **Collateral Loan Services – Pledgee Inquiry**.




---

**Note**

The entry fields vary slightly based upon pledgee bank type. The following graphics use the **Free/Valued Inquiry** tab as an example.

---

2. Enter the required and optional search criteria. \* = Required Field

### Notes

- Use the “Quick Search” **Display Type** to act on any search results. You cannot approve or cancel pledges from the “Excel” view.
- Under **Transaction Type**, select the type of item you want in your results:
  - All
  - Pledge
  - Release
  - Return
- The **Start Time** begins your search at a particular time on the selected business date. It defaults to one hour before the current time.

The screenshot displays the DTCC Settlement Services web application. The top navigation bar includes links like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The main section is titled 'Collateral Loan Services'. Below this, there's a search form with several input fields: Pledgee (marked as required), Business Date (marked as required), Pledgor, Loan Date, CUSIP, Transaction, and Status. A 'Search' button is located at the bottom left of the form. A 'Display Type' dropdown menu is at the bottom right, with 'Quick Search' selected. Three callout boxes provide guidance: one points to the Pledgee and Business Date fields, another points to the Display Type dropdown, and a third points to the Search button.

3. Click **Search**.  
All items matching your search criteria will be displayed at the bottom of the page.

Free/Valued Inquiry   Federal Reserve Bank Inquiry   Options Clearing Corporation Inquiry

Pledgee\*: 1260   Pledgor: 1250   Loan Date:   CUSIP:   Transaction Type: All   Status: Unapproved

Business Date\*: 08/12/2013

Search   Reset

Search Results

Pledgee Name:

Displaying 1 item

Display Type: Quick Search   Excel

Page 1

Action	Transaction ID	Time	Type	Pledgor	Loan Date	CUSIP	Quantity	Loan Value	Status
Approve <input type="checkbox"/> Cancel <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>		12:23	Release	1250 TEST PLEDGOR	08/12/2013	31677NEG7 COFTBKFA1300300BE++	20	10	<a href="#">Unapproved</a>

Comments

Submit   Reset

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Click the checkbox next to any individual item that you want to approve or cancel.  
or  
Click the top checkbox to approve or cancel all items.

Click a link in the **Status** column to view a detail page for that item.

Click **Submit** to submit the items for approval and/or cancellation.

- To view details about any item, click its **Status**.  
A separate window opens, displaying the details of the pledge, return, or release.

### Loan Transaction Details

Input Details

Transaction Type:	PL05 - Valued Release Request	Source ID:	COL7
Pledgor:	1250 - TEST PLEDGOR	Pledgee:	1260 - TEST PLEDGEE
Associated Participant:	1260 TST PLDG COM1	Loan Date:	08/12/2013
CUSIP:	31677NEG7	Maturity Date:	08/28/2013
Quantity:	20	Loan Value:	10.00
Release Type:	1 - Delivery		

Activities

Created By:	D000006226	Created On:	08/12/2013 12:23:22
COL Status:	Pending for Pledgee Approval		

System Values

Unit Price:	1	Haircut:	100
Market Value:	20	Collateral Value:	0

close

- Click the **Approve** or **Cancel** checkbox next to each item that you want to process and click **Submit**.  
A success message appears when your items have been successfully submitted.



HomeActivityPositionCash and BalancesTransaction SubmissionCommandsProfilesHelpPBS Links

Aug 12, 2013 - 12:23:50 PM EDT

Collateral Loan Services

Home > Collateral Pledge Inquiry > Free/Valued Inquiry

Help

\* - Required Field

Free/Valued Inquiry

Federal Reserve Bank Inquiry

Options Clearing Corporation Inquiry

No results for given search criteria.

Pledgee \*1260

Pledgor1250

Loan Date

CUSIP

Transaction TypeAll

StatusUnapproved

Business Date \*08/12/2013

Start Time11:23

Search

Reset

Display Type: ☒ Quick Search ☐ Excel

1 Free/Valued pledge release approve/cancel submitted successfully.

This message appears when you have no more actionable items.

Success messages appear here.

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# ACTIVITY INQUIRY

## Introduction to Activity Inquiry

The Activity Inquiry page allows you to view detailed information about your transactions that have been processed by DTC. You can view your current day's activity or your activity history by:

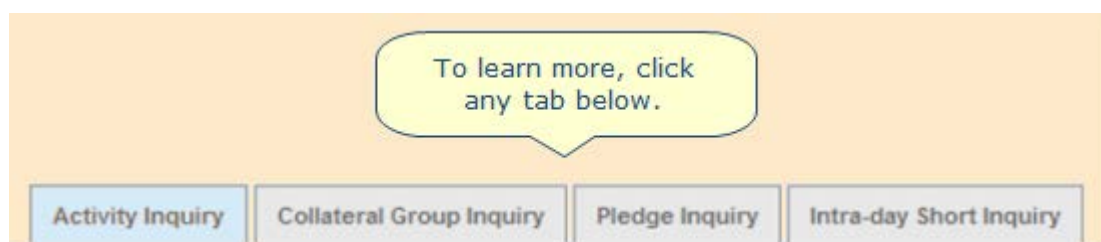
- CUSIP number
- Collateral group
- Drops and rejects
- Activity type
- Single transactions
- Short positions

Use the Activity Inquiry page when you need information about today's transactions, related transactions, or transactions that occurred within the past 60 business days. You have the ability to process reclaims or cancel pending transactions. You also can view activity for your collateral group's payment orders, your pledged activity, or your short positions by toggling through the tabs in the search form.

To learn more about the search criteria that are displayed for these specific searches, *click the corresponding tab* in the image below.

### Note

The links in the image below are for the online help version of this guide. If you are reading the PDF version, please find this material in the pages just following this one.



## The Activity Inquiry Tab

Activity Inquiry is a function that allows you to view your settlement activity. You can display intra-day or historical transactions processed by DTC that occurred within the past 60 business days. You can also reclaim or cancel transactions.

 A screenshot of the Activity Inquiry search form. At the top, there are four tabs: "Activity Inquiry", "Collateral Group Inquiry", "Pledge Inquiry", and "Intra-day Short Inquiry". The "Activity Inquiry" tab is selected. Below the tabs is a search form with the following fields:
 






- Part ID (text box)
- CUSIP (text box)
- Business Date (calendar icon, showing 02/14/2012)
- Contra (text box)
- Activity (text box)
- Amount (> or =) (text box)
- Status (dropdown menu, showing Made&Pend)
- Del/Rec/All (dropdown menu, showing All)
- Activity Type (dropdown menu, showing ATP)
- Sub Activity (text box)
- Free/Valued (dropdown menu, showing All)
- Third Party (text box)
- Reason Code (text box)
- Transaction ID (text box)
- HA/NA (checkbox)
- Reclaims (checkbox)

 At the bottom left are "Reset" and "Search" buttons. At the bottom right is a "Display Type" section with three radio buttons: "Quick Search", "Data Grid" (selected), and "Excel".



For information on viewing the results of your search, see [About the Activity Inquiry Data Grid](#), [Data Grid: Search](#), and [Data Grid Filtering](#).

### Quick Tips

- For help finding a CUSIP, click the  button next to the **CUSIP** field and a look-up function box will appear.
- To scroll between business dates, click the  and  buttons next to the **Business Date** field. You can use the calendar tool  to select a date or enter a date manually using the mm/dd/yyyy format.
- To find an activity code or a reason code, click the  button next to the corresponding field.
- In the **Del/Rec/All** field, select **Deliver** (to view transactions for which you are the deliverer), **Receiver** (to view transactions for which you are the receiver), or **All** (to view all transactions).
- There are three different display types to choose for your search criteria:
  - **Quick Search** - to quickly display up to 25 transaction records and comments in condensed, scrollable, and paginated search results on the screen.
  - **Data Grid** - to display scrollable, paginated search results with a customized number of returned transaction records; to see comments (using the Comments Lens); and to filter your results.
  - **Excel** - to download your search as a spreadsheet.

### The Collateral Group Inquiry Tab

The Collateral Group Inquiry page displays all the activity for your collateral group. You can view the details of each transaction by clicking the Transaction ID in the results, and you can reclaim or cancel transactions.





#### Note

You can only view collateral group activity if you are eligible to access collateral group information.



For information on viewing the results of your search, see [About the Activity Inquiry Data Grid](#), [Data Grid: Search](#), and [Data Grid Filtering](#).

### Quick Tips

- To scroll between business dates, click the  and  buttons next to the **Business Date** field. You can use the calendar tool  to select a date or enter a date manually using the mm/dd/yyyy format.
- To find an activity code or a reason code, select the  icon next to the corresponding field.

- In the **Del/Rec/All** field, select **Deliver** (to view transactions for which you are the deliverer), **Receiver** (to view transactions for which you are the receiver), or **All** (to view all transactions).
- There are three different display types to choose for your search criteria:
  - **Quick Search** - to quickly display up to 25 transaction records and comments in condensed, scrollable, and paginated search results on the screen.
  - **Data Grid** - to display scrollable, paginated search results with a customized number of returned transaction records; to see comments (using the Comments Lens); and to filter your results.
  - **Excel** - to download your search as a spreadsheet.

## The Pledge Inquiry Tab

The Pledge Inquiry page displays your pledge activity based on your role in the transactions (pledgee or pledgor). The transactions are displayed by activity code, pledgee or pledgor (based upon search criteria), CUSIP number, status, and loan date.

For information on viewing the results of your search, see [About the Activity Inquiry Data Grid](#), [Data Grid: Search](#), and [Data Grid Filtering](#).

## Quick Tips

- To find an activity code, select the icon next to the **Activity** field.
- To scroll between loan dates, click the and buttons next to the **Loan Date** field. You can use the calendar tool to select a date or enter a date manually using the mm/dd/yyyy format.
- There are three display types to choose for your search criteria:
  - **Quick Search** - to quickly display up to 25 transaction records and comments in condensed, scrollable, and paginated search results on the screen.
  - **Data Grid** - to display scrollable, paginated search results with a customized number of returned transaction records; to see comments (using the Comments Lens); and to filter your results.
  - **Excel** - to download your search as a spreadsheet.

## The Intra-day Short Inquiry Tab

The Intra-day Short Position Inquiry page displays your short positions that were incurred during the current business day.

For information on viewing the results of your search, see [About the Activity Inquiry Data Grid](#), [Data Grid: Search](#), and [Data Grid Filtering](#).

### Quick Tips

- There are three different display types to choose for your search criteria:
  - **Quick Search** - to quickly display up to 25 transaction records and comments in condensed, scrollable, and paginated search results on the screen.
  - **Data Grid** - to display scrollable, paginated search results with a customized number of returned transaction records; to see comments (using the Comments Lens); and to filter your results.
  - **Excel** - to download your search as a spreadsheet.

## About the Activity Inquiry Data Grid

When entering your settlement activity search criteria you can choose to view your results in the data grid, perform a quick search, or download the results in an Excel spreadsheet. Quick search is the default; however, the system stores your display type and uses your most recent selection the next time you search.

If you select the "Data Grid" as your display type, your results will appear as scrollable, paginated search results on screen. The data grid allows you to perform actions on individual and multiple transactions.

The screenshot shows the DTCC Settlement Services interface. The 'Settlement Activity' section is active, with the 'Activity Inquiry' tab selected. The 'Display Type' dropdown is set to 'Data Grid'. Below the filters, a table of transaction data is displayed, showing columns for Transaction Id, Time, Activity, Reason, Contra, Cusip, Quantity, Amount, Source, and Status. The table contains four rows of data, all with a status of 'Made'.

Transaction Id	Time	Activity	Reason	Contra	Cusip	Quantity	Amount	Source	Status
000036-13	10/27	Funds Rcv	0	0	000000000	0	\$9,999,999.99	SOOC	Made
000036-15	10/27	Funds Rcv	0	0	000000000	0	\$9,999,999.99	SOOC	Made
000036-1A	10/27	Funds Rcv	0	0	000000000	0	\$9,999,999.99	SOOC	Made
000036-1D	10/27	Funds Rcv	0	0	000000000	0	\$5,131,610.87	SOOC	Made

Data grid display

For more information about the data grid, refer to [Data Grid: Search](#), [Data Grid Filtering](#), [Data Grid: Saving Searches](#), and [Data Grid: Command Processing](#).

### Note

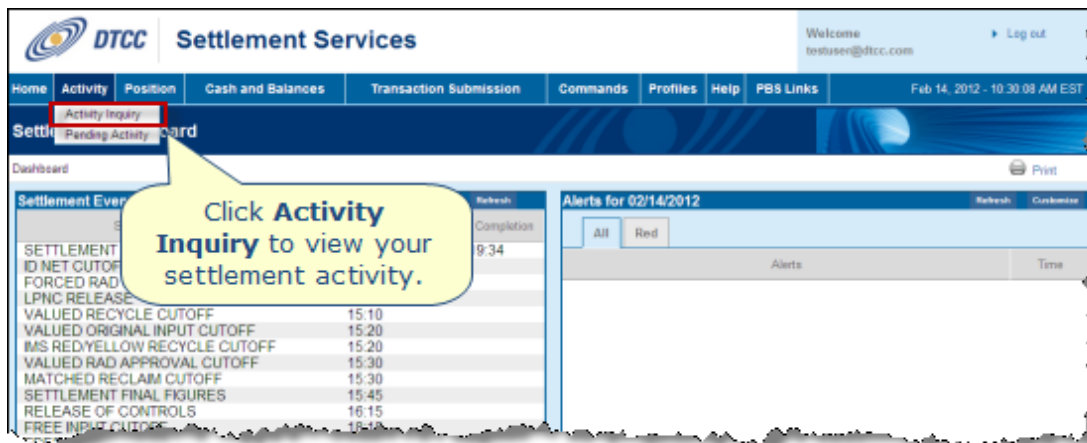
There are limits to the amount of data that can be requested in one data grid or Excel search request. For data grid searches, the total lines of data equals 2,000. To see more records, click the **More Recs** button in the data grid. For Excel searches, the total lines of data searchable is 5,000. To see more records, click the **Search More** button next to the **Save Query/Report** button. The **More Recs** and **Search More** buttons only display when there are additional records available.

## Data Grid: Search

You can use the data grid to display scrollable, paginated search results on the screen with actionable items. To display the data grid, select the **Activity Inquiry** option from the **Activity** drop-down menu on the Settlement Web's Navigation Bar.

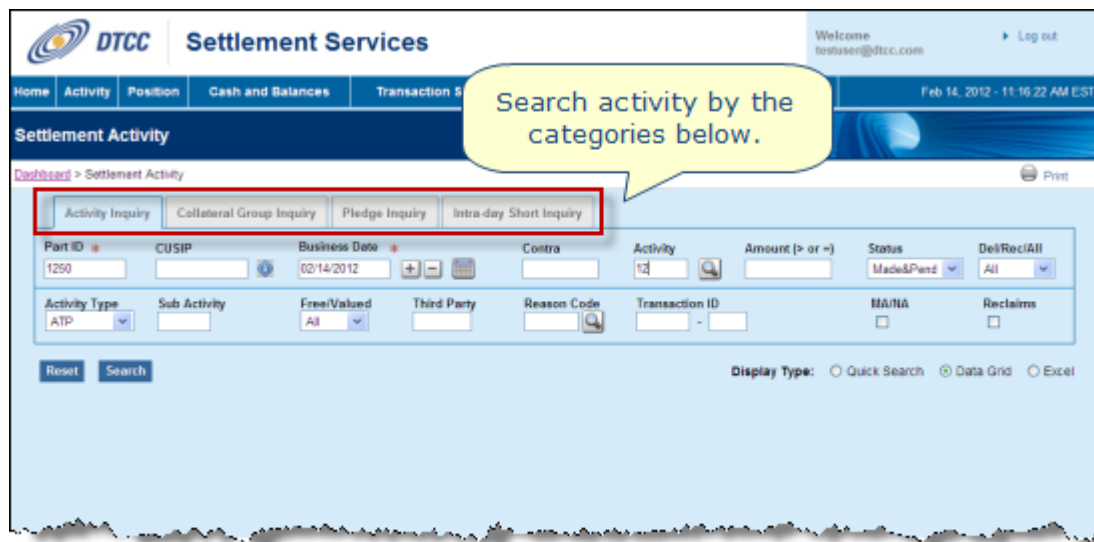
### To search for your settlement activity:

1. Select the **Activity Inquiry** option from the **Activity** drop-down menu within the Settlement Web's navigation bar.



Activity Inquiry option on the Activity menu

The Settlement Activity screen appears.



Settlement Activity screen

- Enter the business date in the **Business Date** field for the activity you want to retrieve. You can further refine your search using the **CUSIP**, **Contra**, **Activity**, **Amount (> or =)**, **Status**, **Del/Rec/All**, **Activity Type**, **Sub Activity**, **Free/Valued**, **Third Party**, **Reason Code**, **Transaction ID**, **MA/NA**, and **Reclaims** fields. The more you refine your search criteria, the more specific your search.

**DTCC Settlement Services**

Welcome testuser@dtcc.com Log out

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 14, 2012 - 11:16:22 AM EST

**Settlement Activity**

Dashboard > Settlement Activity

Activity Inquiry Collateral Group Inquiry Pledge Inquiry Intra-day Short Inquiry

Part ID: 1250 CUSIP: Business Date: 02/14/2012 Contra: Activity: 12 Amount (> or =): Status: Made&Pend DelRec/All: All

Activity Type: ATP Sub Activity: Free/Valued: All Third Party: Reason Code: Transaction ID: MA/NA Reclaims: ☐

Reset Search

You can use the Reason Code lookup icon to add a reason code to refine your search.

Display Type: ☐ Quick Search ☒ Data Grid ☐ Excel

Select the display type for your search criteria results.

Search criteria

3. Select **Data Grid** for the display type for your search criteria.
4. Enter additional search criteria to refine your search and click **Search**.  
Your query results are displayed in the data grid.

**DTCC Settlement Services**

Welcome testuser@dtcc.com Log out

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 14, 2012 - 11:37:25 AM EST

**Settlement Activity**

Dashboard > Settlement Activity

Activity Inquiry Collateral Group Inquiry Pledge Inquiry Intra-day Short Inquiry

Part ID: 1250 CUSIP: Business Date: 02/14/2012 Contra: Activity: 12 Amount (> or =): Status: Made&Pend DelRec/All: All

Activity Type: ATP Sub Activity: Free/Valued: All Third Party: Reason Code: Transaction ID: MA/NA Reclaims: ☐

Reset Search Save Query/Report

Activity Search Results as of 11:37:25 Activity w/Comments Link Customizer Grid Reclaim 170ms

Filters

Transaction Id	Time	Activity	Reason
1027	10:27	Funds Rsn	0
1027	10:27	Funds Rsn	0
1027	10:27	Funds Rsn	0
1027	10:27	Funds Rsn	0

Click any column heading to sort by that column heading.

Click to view your activity without comments.

Page 1 of 3

Click the drop-down to customize the number and limit of rows.

The page field displays the page number of the multiple-page search results you are viewing. Click the drop-down arrow to select a specific page.

Search criteria results displayed in the data grid

### Note

There are limits to the amount of data that can be requested in one data grid or Excel search request. For data grid searches, the total lines of data equals 2,000. To see more records, click the **More Recs** button in the data grid. For Excel searches, the total lines of data searchable is 5,000. To see more records, click the **Search More** button next to the **Save Query/Report** button. The **More Recs** and **Search More** buttons only display when there are additional records available.

## Data Grid: Filtering

You can filter each column in the Activity Inquiry data grid to display only the data you want to view.

### To filter data in the data activity grid:

1. Hover your mouse over the column of data you want to filter.  
A text box appears that allows you to set up a filter for that column.

Information Center on the Settlement Dashboard

2. Enter your filter criteria.
3. Click **Apply** to apply the filters to the column.

Your search is filtered according to the filter criteria you applied. Your filtered criteria will be displayed in the box directly above the data grid, on the left-hand side of the page.

### Note

There are limits to the amount of data that can be requested in one data grid or Excel search request. For data grid searches, the total lines of data equals 2,000. To see more records, click the **More Recs** button in the data grid. For Excel searches, the total lines of data searchable is 5,000. To see more records, click the **Search More** button next to the **Save Query/Report** button. The **More Recs** and **Search More** buttons only display when there are additional records available.



## Data Grid: Saving Searches

Once you conduct a search you can save the Activity Inquiry search criteria to the On Demand Reporting window on the Settlement Dashboard. Saving the search criteria provides a link that you can use to repeat the same search with a single click.

### To save your search criteria:

1. Retrieve your search criteria. See [Data Grid: Search](#).

The screenshot shows the DTCC Settlement Services interface. The 'Settlement Activity' section is active, displaying search results for 'Activity Inquiry'. The search criteria include Part ID 1250, CUSIP, Business Date 02/14/2012, and Amount (\$ > or =). The 'Save Query/Report' button is highlighted with a red box. A yellow callout bubble points to the button with the text 'Click Save Query/Report to save your search.' The search results table shows columns for Transaction ID, Cusip, Quantity, Amount, Source, and Status.

Transaction ID	Cusip	Quantity	Amount	Source	Status
000005-13	000000000	0	\$9,999,999,999.99	SDOC	Made
000005-16	000000000	0	\$9,999,999,999.99	SDOC	Made
000005-1A	000000000	0	\$9,999,999,999.99	SDOC	Made
000005-1B	000000000	0	\$9,999,999,999.99	SDOC	Made

Saving your search query

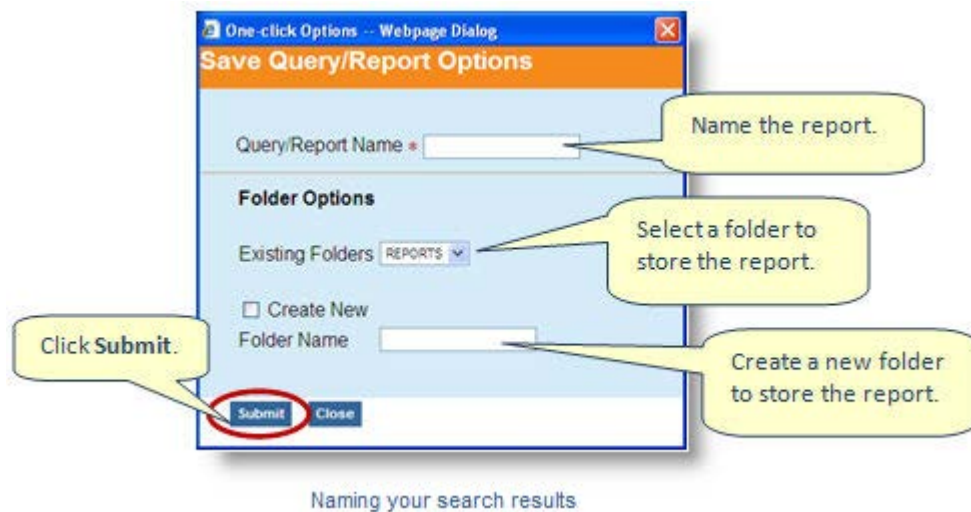
2. Click the **Save Query/Report** button to save your search criteria. The Save Query/Report Options screen appears.

### Note

You can save queries/reports in an Excel spreadsheet.

- a. Select the Excel display type button.
- b. Click **Search**.
- c. When prompted, either open or save the Excel file.
- d. Click **Save Query/Report**.

The Save Query/Report Options window appears.



3. Name your report in the **Query/Report Name** field.
  4. Select a folder from the **Existing Folders** drop-down list to store the report or create a new folder by selecting the **Create New** check box and typing the new folder name in the **Folder Name** field.
  5. Click **Submit**.
- Your search query is saved under the name you selected and can be retrieved from the **On Demand Reporting** window on the Settlement Dashboard.



On Demand Reporting window

6. For more information, refer to [Sharing Your Saved Queries](#), [Scheduling Reports/Queries](#), [Editing Your Saved Queries](#), and [Downloading Scheduled Reports](#).

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#### Note

There are limits to the amount of data that can be requested in one data grid or Excel search request. For data grid searches, the total lines of data equals 2,000. To see more records, click the **More Recs** button in the data grid. For Excel searches, the total lines of data searchable is 5,000. To see more records, click the **Search More** button next to the **Save Query/Report** button. The **More Recs** and **Search More** buttons only display when there are additional records available.

---

## Data Grid: Command Processing

The Command Processing screen is a pop-up window that allows you to submit a command for either an individual transaction or multiple transactions. The single transaction Command Processing screen is opened when you right-click on a single transaction in the search criteria results displayed in the data grid. The multiple transactions Command Processing screen is opened when you select a command from the Command Type drop-down and click the Cmd button (all located on the data grid header of the screen).

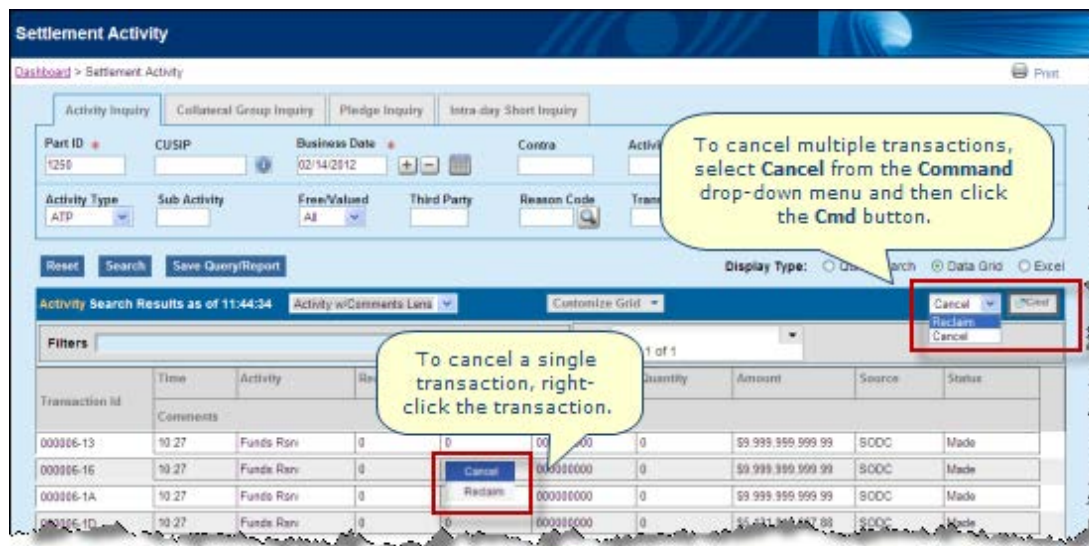
### Command processing for single vs. multiple transactions:

1. Retrieve your search results. See [Data Grid: Search](#).
2. To perform a command on a single transaction, in the search results right-click the transaction and select the command from the context menu that appears.

#### Note

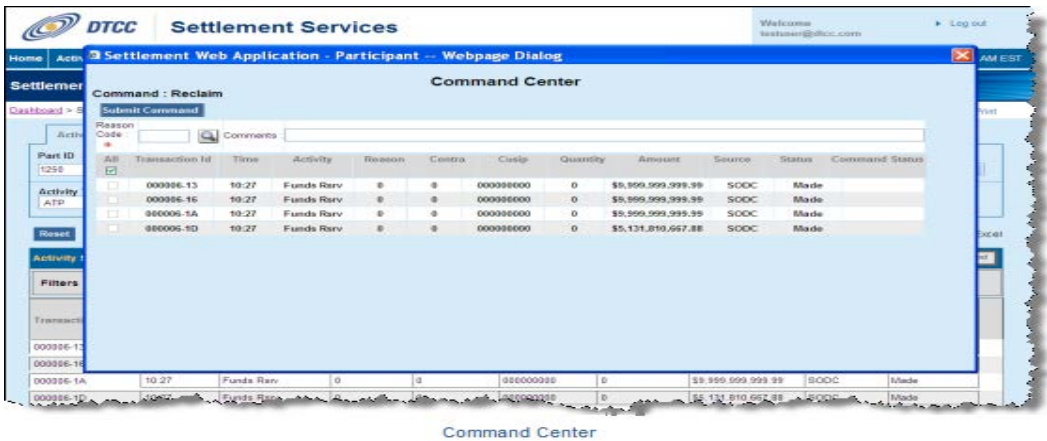
The message "No Commands Available" will appear if the transaction is not eligible to be reclaimed or canceled.

3. To cancel multiple transactions, select **Cancel** from the **Command** drop-down menu and then click the **Cmd** button.



Canceling single and multiple transactions

The Command Center appears:



- 4. Select the check box(es) of the transaction(s) you want to apply the command to.
- 5. Type any additional information and then click **Submit Command**.

**Note**  
Required fields are indicated with a red (\*) asterisk.

The Command Results Summary screen appears displaying your canceled or reclaimed status.

# DELIVER ORDERS

---

## About Deliver Orders and Movement of Shares

A Deliver Order (DO) is a book-entry movement of shares of a particular security between two DTC participants. The delivery program allows you to settle securities transactions by making book entry deliveries to another participant's account. The securities are immobilized in DTC's custody, eliminating the need for physical movement of certificates. DTC reduces the deliverer's position and increases the receiver's position without the need to move physical certificates. Deliveries can be made with or without the condition of money payment, depending on your delivery instructions. Once you enter a deliver order, it is routed for processing unless you have established secondary approval.

## What does Submitting a Deliver Order to DTC Do?

This function allows you to input instructions to deliver securities from your account to another DTC participant via book-entry.

Submitting a DO does the following:

- Checks if you have a secondary transaction approval profile in place for the delivery and routes accordingly
- Adds the delivery to the receiver's Receiver Authorized Delivery (RAD) queue as applicable
- Adds the delivery to the Money Market Instrument (MMI) Issuance queue awaiting issuance of the MMI item (turnaround DO's only)
- Validates the delivery against risk management controls
- Validates the delivery against net position in your general free account
- Reduces your general free account if the position is available, pends the transaction if the position is not available, or drops the transaction if the position is not available and Prevent Pend was requested
- Increases the receiving Participant's general free account
- Updates the settlement (dollar) amounts accordingly
- Supports straight-through processing of Depository Receipt cancellations/release of ordinary shares by using a valid reason code.

For more information, refer to Pending Activity and Risk Management Controls Inquiry.

## Submission Process and Cutoff Times

- When Participants submit Deliver Orders by the cutoff required times, they are generally settled that day (unless it is a future dated deliver order). Refer to the [Settlement Service Guide](#) to confirm the most recent cutoff times and see the processing schedule in which settlement occurs.
- These cutoff times are subject to extension by DTC's Settlement department.

## Deliver Order Types

The Settlement Web allows you to input the following types of deliver orders to deliver securities from your account to another DTC participant:

- [Day and Future Dated Deliver Orders](#)
  - Regular
  - IPO-Tracked
  - ADR
- [Federal Reserve Deliver Orders](#)

### Day and Future Dated Deliver Orders

Day deliver orders are processed and settle the same day.

Future dated deliver orders settle the next business day by default or up to a year in the future, depending on the Settlement Date you indicate.

There are three types of day and future dated deliver orders:

- Regular
- IPO-Tracked
- ADR - Depository Receipt Cancellation Instructions Valued DO (for processing with reason code 300 and 301 only)

**DTCC Settlement Services**

Welcome testuser@dtcc.com | Log Out | Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Oct 20, 2017 - 11:24:41 AM EDT

### Day Deliver Order Input

Home > Day Deliver Order

\* = Required Field

Deliverer Id \*

Click IPO-Tracked or ADR for additional fields.

To see any input errors before submitting, click **Validate**.

Click to **submit** all entries.

**Validate Submit Reset**

Items: 0 Quantity: 0 Net Amount: \$0

#### Day Deliver Order 1

Order Type: ☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \* ☐ Prevent Pend ☐ Reserve in PTA ☒ Fail Tracking ☐ CMO Factor

Deliverer Account Receiver Account Dep Third Party OW Control # ID Control Number

Original Trans Date ATP Transact ID IMS Transact ID Partner Ref ID

Comments

**Copy Down Reset Record**

#### Day Deliver Order 2

Order Type: ☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \* ☐ Prevent Pend ☐ Reserve in PTA ☒ Fail Tracking ☐ CMO Factor

Deliverer Account Receiver Account Dep Third Party OW Control # ID Control Number

Original Trans Date ATP Transact ID IMS Transact ID Partner Ref ID

Comments

**Copy Down Reset Record**

#### Day Deliver Order 3

Order Type: ☒ DO ☐ IPO-Tracked ☐ ADR

\* = Required Field

Required Fields are indicated with an asterisk.

### Day and Future-Dated Deliver Order: Additional Fields

Day Deliver Order 1

Order Type: ☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \* ☐ Prevent Pend ☐ Reserve in PTA ☒ Fail Tracking ☐ CMO Factor

Deliverer Account Receiver Account Dep Third Party OW Control # ID Control Number

Original Trans Date ATP Transact ID IMS Transact ID Partner Ref ID

Comments

**Copy Down Reset Record**

- The nine-digit ID Control Number is DTCC's Tradesuite™ ID service identifier for transactions in which a confirm has been generated through Tradesuite™ ID. Clients may populate this field with a control number to identify any ID transactions.




- The Partner Reference Number is the Euroclear identifier for deliver orders and pledges. When using the Settlement Web platform for input, users of the Collateral Management Service Auto-Select service are advised to populate this field with the Euroclear reference number.

## Risk and Fail Indicators

Several indicators allow you to control how the deliver order will be processed. To use these options, click the checkbox when you enter your transaction information on any of the DO input pages.

1. **Prevent Pend** - drops the transaction if the position is not available.
2. **Reserve in PTA** - places position associated with a free pledge or DO that recycles for Risk Management Controls to be reserved in your Pending Transaction Account (PTA). Once reserved, the position is no longer available for other transactions. When conditions are met to complete a PTA transaction, such as a change or release in your Risk Management Control, DTC will take position from your PTA account.
3. **Fail Tracking** - indicates a due bill is carried.

## IPO Tracked Additional fields


IPO-Tracked Additional Fields		
Broker Internal Account <input type="text"/>	Receiver Internal Account <input type="text"/>	Correspondent Internal Account <input type="text"/>
IPO Deliverer Internal Account <input type="text"/>	IPO Trade Date <input type="text"/> 	<input checked="" type="radio"/> Buy <input type="radio"/> Sell

## ADR Additional fields

ADR Additional Fields		
BIC * <input type="text"/>	ADR Account ID * <input type="text"/>	Free Form Text <input type="text"/>
		<input checked="" type="checkbox"/> Certifications

## Federal Reserve Deliver Orders

Federal Reserve Deliver Order input allows you to deliver book-entry Fed-eligible securities from your account to a Fed member.



Settlement Services

Welcome

Log Out

Home

Activity

Position

Cash and Balances

Transaction Submission

Comments

Federal Reserve Deliver Order Input

home > Federal Reserve Deliver Order

\* - Required Field

Deliverer Id \*

Session To: 10/15/2012 Schema: 0 Quantity: 0 Net-Amount: \$0.00

Validate Submit Reset

Federal Reserve Deliver Order 1

Receiver \*

ABA Bank Number \*

Deliverer FED Comments

Comments

CUSIP \*

Subordinate Bank Account Number \*

Receiver FED Comments

Quantity \*

Reason Code \*

Net Amount \$0.00

Copy Down

Reset Record

Federal Reserve Deliver Order 2

Receiver \*

ABA Bank Number \*

Deliverer FED Comments

Comments

CUSIP \*

Subordinate Bank Account Number \*

Receiver FED Comments

Quantity \*

Reason Code \*

Net Amount \$0.00

Settlement Date \*

10/15/2012

Copy Down

Reset Record

Federal Reserve Deliver Order 3

Receiver \*

ABA Bank Number \*

CUSIP \*

Subordinate Bank Account Number \*

Quantity \*

Reason Code \*

Net Amount

Settlement Date \*

10/15/2012

To see any input errors before submitting, click **Validate**.

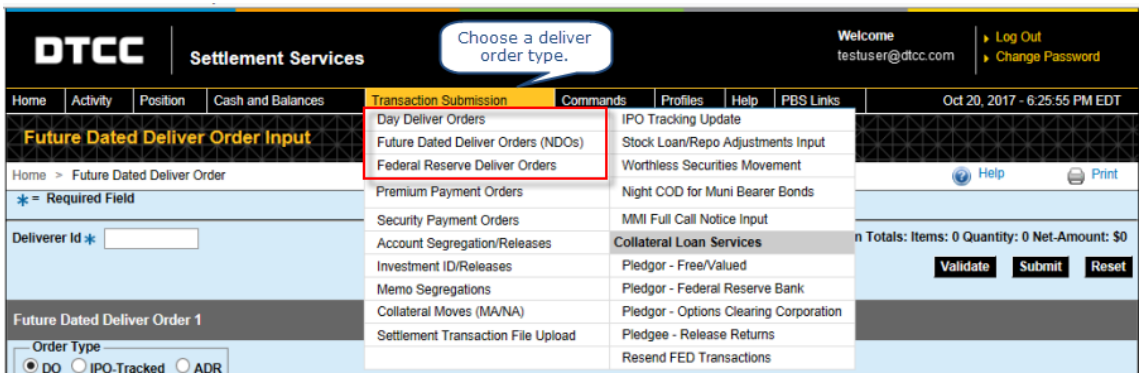
Click to **submit** all entries.

To copy an entry to the record below, click **Copy Down**.

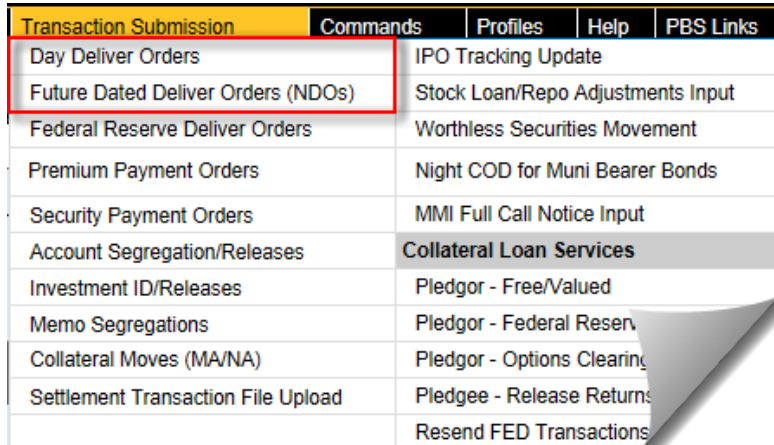
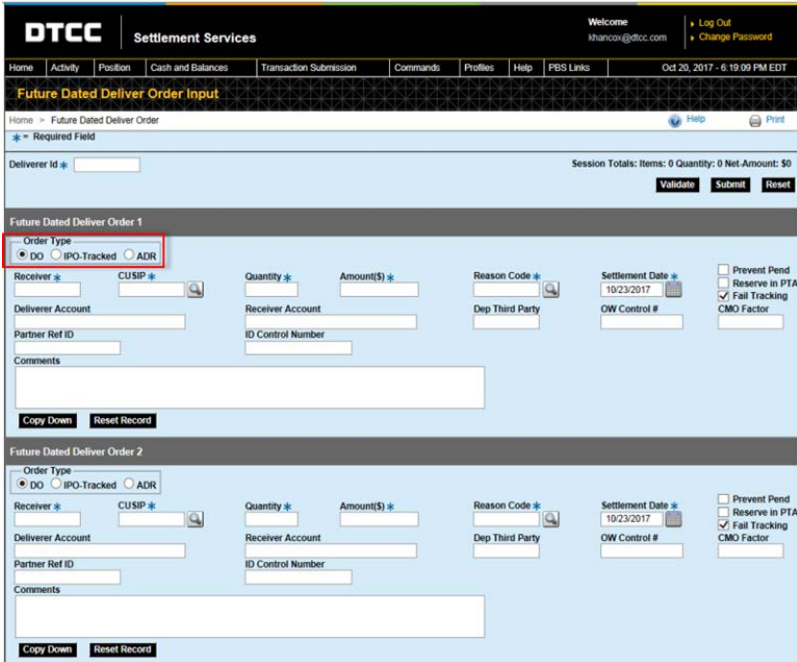
Federal Reserve Deliver Order Input

# Inputting a Deliver Order

- 1. From the **Transactions Submission** menu, select the deliver order type to input.



The fields that display depend on which deliver order type you are working with. See the table below for more details.

For these DO Types	Select the following
<b>Day Deliver Orders</b>  <b>Future Dated Deliver Orders</b>	<p>1. Select an Order Type such as <b>DO</b>, <b>IPO Tracked</b>, or <b>ADR</b> for each DO entry.</p>  <p>Up to five deliver order entries can be submitted as a combination of regular, IPO-tracked, and ADRs on the same page.</p> 

Federal Reserve Deliver Order	<b>Transaction Submission</b>	<b>Commands</b>	<b>Profiles</b>	<b>Help</b>	<b>PBS Links</b>
	Day Deliver Orders				IPO Tracking Update
	Future Dated Deliver Orders (NDOs)				Stock Loan/Repo Adjustments Input
	<b>Federal Reserve Deliver Orders</b>				Worthless Securities Movement
	Premium Payment Orders				Night COD for Muni Bearer Bonds
	Security Payment Orders				MMI Full Call Notice Input
	Account Segregation/Releases				<b>Collateral Loan Services</b>
	Investment ID/Releases				Pledgor - Free/Valued
	Memo Segregations				Pledgor - Federal Reserve
	Collateral Moves (MA/NA)				Pledgor - Options Clearing
	Settlement Transaction File Upload				Pledgee - Release Returns
					Resend FED Transactions

The input page for the deliver order type you selected appears. The image below shows the entry fields for a regular DO.

**DTCC Settlement Services** Welcome testuser@dtcc.com | Log Out | Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Oct 20, 2017 - 11:24:41 AM EDT

**Day Deliver Order Input**

Home > Day Deliver Order

\* = Required Field

Deliverer Id \*

Items: 0 Quantity: 0 Net Amount: \$0

Validate Submit Reset

To see any input errors before submitting, click **Validate**.

Click to **submit** all entries.

Click IPO-Tracked or ADR for additional fields.

**Day Deliver Order 1**

Order Type  
☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \*  
 Deliverer Account \* Receiver Account \* Dep Third Party \*  
 Original Trans Date \* ATP Transact ID \* IMS Transact ID \* Partner Ref ID \*  
 Comments \*

Prevent Pend ☐  
 Reserve in PTA ☐  
☒ Fail Tracking  
 CMO Factor ☐

Copy Down Reset Record

**Day Deliver Order 2**

Order Type  
☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \*  
 Deliverer Account \* Receiver Account \* Dep Third Party \*  
 Original Trans Date \* ATP Transact ID \* IMS Transact ID \* Partner Ref ID \*  
 Comments \*

Prevent Pend ☐  
 Reserve in PTA ☐  
☒ Fail Tracking  
 CMO Factor ☐

Copy Down Reset Record

**Day Deliver Order 3**

Order Type  
☒ DO ☐ IPO-Tracked ☐ ADR

Receiver \* CUSIP \* Quantity \* Amount(\$) \* Reason Code \* Settlement Date \*  
 Deliverer Account \* Receiver Account \* Dep Third Party \*  
 Original Trans Date \* ATP Transact ID \* IMS Transact ID \* Partner Ref ID \*  
 Comments \*

Prevent Pend ☐  
 Reserve in PTA ☐  
☒ Fail Tracking  
 CMO Factor ☐

Copy Down Reset Record

2. Enter the required deliver order fields. \* = Required Field You can submit up to five Deliver orders at a time.
  3. Optional. To copy an entry to the record below, click **Copy Down**.
  4. To check your work, click **Validate**.
  5. To process deliver orders, click **Submit**.
- The page displays a confirmation message and the number of orders successfully submitted.

**See Total Items, Quantity, and Net Amount.**

Deliverer Name    FTS IPA #1    Session Totals: Items: 1    Quantity: 1,000    Net-Amount: \$2,000

Validate Submit Reset

---

Quantity \*    Amount(\$) \*    Reason Code \*    Settlement Date \*    ☐ Prevent Pend

1000    2.00    30    10/15/2012    ☐ Reserve in PTA

☐ Fail Tracking

**Deliver Order Totals**

### Quick Tips

- For help finding a CUSIP, click the button next to the **CUSIP** field and a look-up function box will appear.
- You can use the calendar tool to select a date or enter a date manually using the mm/dd/yyyy format.
- To copy a deliver order to the entry below, click the Copy Down button. All fields populated will copy down.
- To find an activity code or a reason code, click the button next to the corresponding field. You can automatically reclaim DOs for a current day or prior business day's transaction where you are the receiver using the **Original Transaction ID**, **ATP Transact ID**, **IMS Transact ID**, and a valid **Reason Code**. For more information on reclaims, refer to Activity Inquiry Help.

# PARTICIPANT ACTIVITY RESEARCH TOOL

## About Position Value

Position Value shows the past 60 days of your daily position balance and share/face value.

You may drill down to see the breakdown of accounts (e.g. General Free, Free Fully Paid, Pledged, Segregated) and the balances for asset types within these.

The screenshot shows the DTCC Settlement Services interface. At the top, there's a navigation bar with links like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The 'Position Value' section is active. Below the navigation bar, there's a search area with fields for 'Participant ID' (1250) and 'Business Date' (11/15/2017), and a 'Search' button. A callout points to the search area: 'To filter results, type here and click the icon.' Below the search area, there's a 'Search Results' table with columns: Participant ID/Name, Business Date, Shares/Face Value, Value (\$), and No. of Issues. The table shows results for '1250 - TEST BROKER' with 378,477,996,718 shares and a value of 767,709,886,485. Below this, there's a table with columns: Participant ID/Name, No. of Accounts, Shares/Face Value, Value (\$), and No. of Issues. This table lists three entries: '1251 - TEST BROKER 1', '1252 - TEST BROKER 2', and '1253 - TEST BROKER 3'. A callout points to the '1251 - TEST BROKER 1' entry: 'Click to see a breakdown of position into accounts.' At the bottom of the table, there's a pagination bar showing 'Displaying 11 to 13 of 13 records' and a 'Show 10 per page' dropdown. A callout points to the pagination bar: 'See daily position shares and values.' The footer contains copyright information: '© 2011 - 2018 The Depository Trust & Clearing Corporation' and links for Legal Information, Privacy Policy, and Menu.

Participant ID/Name	Business Date	Shares/Face Value	Value (\$)	No. of Issues
1250 - TEST BROKER	11/15/2017	378,477,996,718	767,709,886,485	164,314

Participant ID/Name	No. of Accounts	Shares/Face Value	Value (\$)	No. of Issues
1251 - TEST BROKER 1		311,551,688,903	668,066,403,336	120,638
1252 - TEST BROKER 2		339,646,828	707,682,315	5,224
1253 - TEST BROKER 3		59,221,595,234	72,332,810,634	31,692

Displaying 11 to 13 of 13 records | Show 10 per page

*The Position Value page displays an entity's daily position shares and values.*



**DTCC** | Settlement Services

Welcome  
testuser@dtcc.com

Log Out  
Change Password

Home | Activity | Position | Cash and Balances | Bonds | Profiles | Help | PBS Links | Apr 14, 2018 - 11:24:15 AM EDT

**Position Value**

Home / Search / Position List / Account List

Participant ID \*  
11/15/2017

Business Date \*  
11/15/2017

Search

**Account List**

Participant ID/Name	Business Date	Shares/Face Value	Value (\$)	No. of Issues
1251 - Test Broker 1	11/15/2017	311,551,688,903	668,066,403,336	120,638

Print | Export

Account	Shares/Face Value	Value (\$)	No. of Issues
<a href="#">FREE FULLY PAID</a>	249,171,601,666	608,446,282,011	110,634
<a href="#">GENERAL FREE</a>	-4,998		1
<a href="#">INVESTMENT ID</a>	65,531,408		13
<a href="#">LOTTERY WINTRS</a>	892,244	3,781,702	24
<a href="#">LOTTERY W.O.INT</a>	3,248,000	3,351,397	22
<a href="#">PLEDGED</a>	60,581,429,134	35,812,365,298	8,971
<a href="#">REORG SEG</a>	11,924,986	318,578,177	5
<a href="#">SUB ACCOUNT SEG</a>	1,717,066,463	23,435,120,495	968

Displaying 1 to 8 of 8 records | Show 10 per page

Note: Fractional Cents positions are not reflected.

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The Position Value page also allows you to see position broken out by DTC account.

**DTCC Settlement Services**

Welcome  
Testuser@dtcc.com  
Log Out  
Change Password

Home / Activity / Position / Cash and Balances / Orders / Profiles / Help / PBS Links / Apr 14, 2018 - 11:24:15 AM EDT

**Position Value**

Home / Search / Position List / Account List / Assets by Account

Participant ID \*  
1250

Business Date \*  
11/15/2017

**Search**

**Asset List by Account**

Participant ID/Name	Business Date	Account	Shares/Face Value	Value (\$)	No. of Issues
1251 - TEST BROKER 1	11/15/2017	FREE FULLY PAID	249,171,601,666	608,446,282,011	110,634

Participant Breakdown (SDFS)

	Shares/Face Value	Value (\$)	No. of Issues
CORP. BOND	159,589,878,239	81,671,337,181	15,170
EQUITY	18,015,656,276	453,130,958,507	13,575
MUNI BOND	71,566,067,151	73,643,986,323	81,889

Displaying 1 to 3 of 3 records | Show 10 per page

**Note:** Fractional/Cents positions are not reflected.

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The Position Value page also allows you to see asset types within a DTC account.

## Viewing Position Value

1. Select your Participant ID from the drop-down menu.
2. Select a Business Date. The default is the previous business day.
3. Click **Search**.  
A list of position balances across your firm is displayed.
4. Click a participant in the list to drill down further and see a breakdown of position by DTC account (e.g. Free Fully Paid, Investment Id, Pledges and Sub Accounting Segregation).  
A list of accounts that make up the position is displayed.
5. Click an account in the list to drill down further and see a breakdown of asset types.  
A breakdown of the position into asset types is displayed (e.g. Equity, Corp. Bond, Muni. Bond).
  - To export results, click the button.
  - To filter results, type a value in the filter field and click the icon.
  - To sort by a column, click the column heading.

## Collateral Loan Balances and Market Values

The Collateral Loan Search allows you to look up the prior day's closing balances, market value, and outstanding loan details for any open pledges at your firm.

You may limit the search to a specific counterparty, loan date and CUSIP or combine these to research current and historical collateral loan balances.

For example, you might want to look up the closing balances and market value of your collateral loans at the end of the month.

**DTCC Settlement Services**

Welcome  
testuser@dtcc.com

Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 14, 2018 - 11:24:15 AM EDT

**Collateral Loan**

Home / Collateral Loan Search / Results

Pledgee:  Pledgor: 1250 Loan Date:

**Search Results**

Pledgee: ALL Loan Date: ALL Total Quantity: 71 Total No. of Pledges: 4  
Pledgor: 1250 - HONEST CUSIP: ALL Total Market Value: 2,434.04

Pledgee ID and Name	Shares Pledged	No. of Pledges	Market Value (\$)
0001 - Broker 1	2		8.00
0002 - Bank 2	9		316.44
0003 - Broker 3	60	1	2,109.60

Displaying 1 to 3 of 3 records | Show 10 per page

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The Collateral Loan Search allows you to see your firm's closing balances across all counterparties.

## Viewing Collateral Loan Closing Balances

To see your firm's closing balances across all counterparties:

1. Enter the participant number for your firm.
2. Click **Search**.
  - All pledges are displayed.
  - To export results, click the button.
  - To filter results, type a value in the filter field and click the icon.
  - To sort by a column, click the column heading.

**DTCC Settlement Services**

Welcome testuser@dtcc.com | Log Out | Change Password

Apr 14, 2018 - 11:24 15 AM EDT

Home / Collateral Loan Search / Results

Pledgee: 123 | Pledgor: 321 | Loan Date: 04/11/2018 | CUSIP: | Search

**Search Results**

Pledgee:	123 - ABC BANK	Loan Date:	04/11/2018	Total Quantity:	3	Total No. of Pledges:	1
Pledgor:	321 - XYZ BROKER	CUSIP:	ALL	Total Market Value:	105.00		

CUSIP	Description	Shares Pledged	Unit Price (\$)	Market Value (\$)
00206R102	AT & T INC <	3	35.140	105

Displaying 1 to 1 of 1 records | Show 10 per page

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*The Collateral Loan Search allows you to see pledges with a single counterparty.*

**To see your firm's balances for one counterparty:**

1. Enter participant/pledgee number of the counterparty.
2. Optionally, select a Loan Date. Both Pledgor and Pledgee Participant numbers are required if a Loan Date is selected.
3. Optionally, enter a nine-digit CUSIP number.
4. Click **Search**.

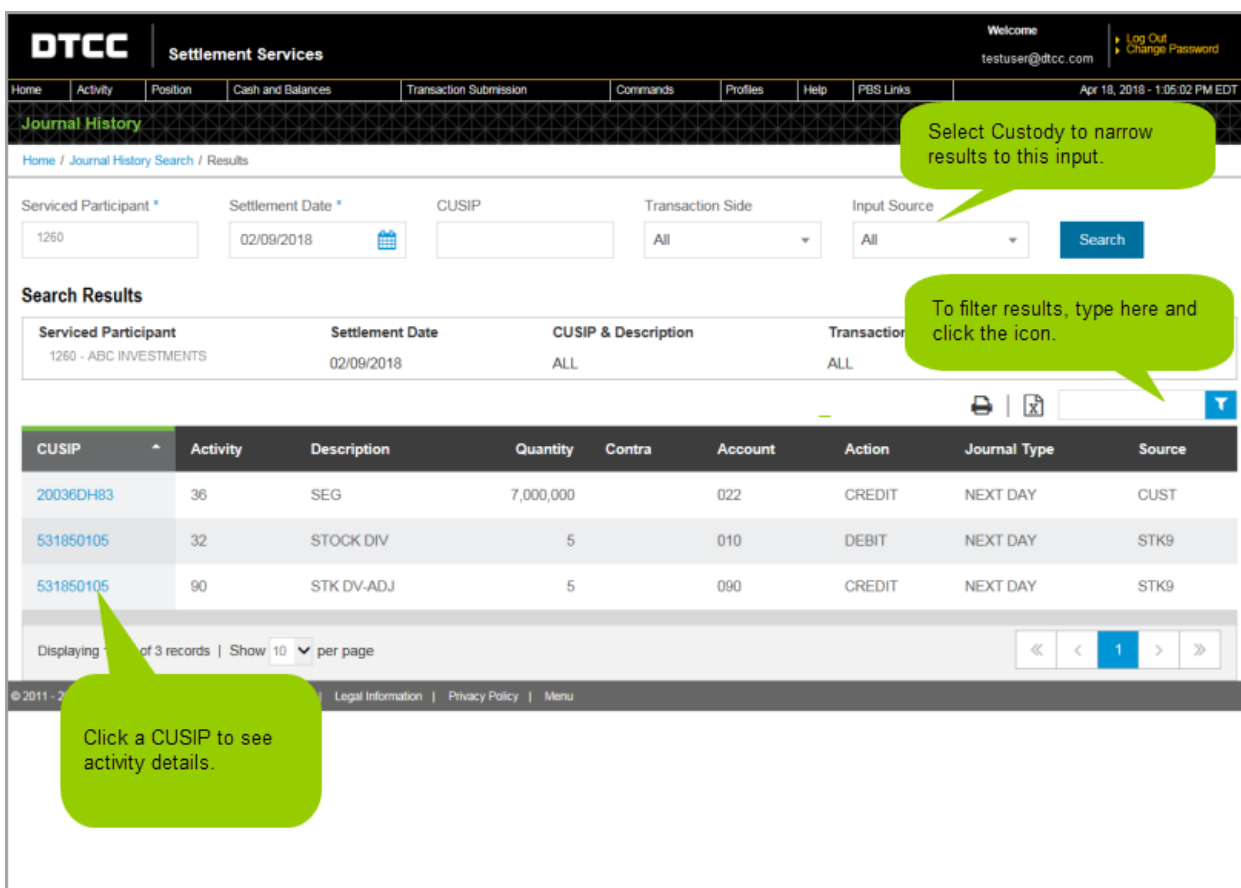
All pledges are displayed for that counterparty.

- To export results, click the button.
- To filter results, type a value in the filter field and click the icon.
- To sort by a column, click the column heading.

## About Journal History

Journal History provides a list of historical journal accounts at the CUSIP or date level. Journal entries are DTC Operations' manually generated entries (usually a one-sided entry) done to balance accounts.

You might research journals to see entries related to corporate action events as well as to see adjustments that affected your position.



**DTCC Settlement Services**

Welcome  
testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Apr 18, 2018 - 1:05:02 PM EDT

### Journal History

Home / Journal History Search / Results

Serviced Participant \* 1260 Settlement Date \* 02/09/2018 CUSIP Transaction Side All Input Source All Search

**Search Results**

Serviced Participant	Settlement Date	CUSIP & Description	Transaction
1260 - ABC INVESTMENTS	02/09/2018	ALL	ALL

CUSIP	Activity	Description	Quantity	Contra	Account	Action	Journal Type	Source
<a href="#">20036DH83</a>	36	SEG	7,000,000		022	CREDIT	NEXT DAY	CUST
<a href="#">531850105</a>	32	STOCK DIV	5		010	DEBIT	NEXT DAY	STK9
<a href="#">531850105</a>	90	STK DV-ADJ	5		090	CREDIT	NEXT DAY	STK9

Displaying 3 of 3 records | Show 10 per page

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The Journal History page allows you to see journals and the activity details related to the journal entry.

## Viewing Journal History

1. Select the ID of the participant on behalf of whom this journal was entered from the drop-down menu.
2. Enter the **Settlement Date** of the activity for which you want to view journal entries. You may search for up to 60 business days in the past.
3. Optionally, enter additional search criteria to narrow your search. Choices are:
  - a. CUSIP
  - b. Transaction Side: Deliver or Receiver
  - c. Input Source: Custody or Non-Custody
4. Click **Search**.  
The journal entries that match your search criteria display.
5. To see activity details, click a CUSIP number.

# PAYMENT ORDERS

---

## About Payment Orders

DTC's Payment Order service allows you to settle money payments for transactions that were processed separately through DTC either earlier that same day or on the previous day. Unlike deliver orders (DOs), payment orders (POs) involve no securities, only money. Once you enter a payment order, it is routed for processing unless you have established a Secondary Transaction Approval profile.

### How it works

A participant wanting to collect money (the payee participant) from another participant (the payor participant) submits to DTC a premium payment order (PPO) or a securities payment order (SPO).

---

#### Note

Either type of payment order authorizes DTC to credit the payee participant's settlement account with the specified amount and to debit the payor participant's settlement account for the same amount.

---

For more information about payment orders, refer to the [Settlement Service Guide](#).

## Payment Order Types

DTC's Payment Order service allows a participant to settle money payments for transactions that were processed separately through DTC either earlier that same day or on the previous day.

There are two types of payment orders at DTC.

- [Security Payment Orders](#) (SPO) are used to collect a mark-to-market payment based on the difference between the current and previous market values of an open securities contract.
- [Premium Payment Orders](#) (PPO) are used to collect a net option contract premium for an opening writing or closing purchase transaction.

Refer to [When to Use](#) for typical situations that require payment orders.

## Security Payment Orders

Security payment orders are processed and settle the same day.

**DTCC Settlement Services**

Home Activity Position Cash and Balances Transaction Submission Comm

**Security Payment Order**

Home > Security Payment Order

\* = Required Field

Payee ID \* 1254 **Validate** **Submit** **Reset**

**Payment Order 1**

Payer \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

1260 459200986 Select 485/00 10/11/2012

Old Price (\$) New Price (\$) Delivery(Contract) Date Pay Date Record Date

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

**Payment Order 2**

Payer \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

Old Price (\$) New Price (\$) Delivery(Contract) Date Pay Date Record Date

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

**Security Payment Order Required Fields**

\* = Required Field

Required Fields are indicated with an asterisk.

### When to use

#### Security Payment Orders (SPO)

The following is a typical situation in which you would use the Payment Order service to submit SPOs.

- A participant delivers securities to another participant through DTC in a stock loan transaction, after which the market value of the securities increases significantly. The lender (the payee participant) submits an SPO to DTC crediting its settlement account for the amount of the difference between the original and new market values and debiting the account of the borrower (the payor participant) for the same amount.

#### Payment Order (SPO) Put and Call Reason Codes

While the vast majority of security payment orders are stock lending related, there are several other reasons that participants might use SPOs. When inputting an SPO, you must select the reason code which indicates the transaction type.



Reason Code	Description
<u>S0</u>	Mark to the Market-Stock Loan
<u>S1</u>	Mark to Market-Stock Loan Reclaim
<u>S2</u>	Due Bill Redemptions
<u>S3</u>	Due Bill Redemptions Reclaim
<u>S4</u>	Mark To The Market-Fail
<u>S5</u>	Mark To The Market-Fail Reclaim
<u>S6</u>	Buy In-Pair Off
<u>S7</u>	Buy In-Pair Off Reclaim
<u>S8</u>	Fail Pair Off
<u>S9</u>	Fail Pair Off Reclaim

## Premium Payment Orders

Premium payment orders are processed and settle the same day.

**DTCC Settlement Services**

**Premium Payment Order**

Home > Premium Payment Order

**Premium Payment Orders** \* = Required Field

Payee ID \* 1254

**Payment Order 1**

Payor \* 1260 CUSIP \* 459200996 Amount (\$) \* 485.00 Reason Code \* Select

Options Symbol Expiration Date Exercise Price (\$) Contracts

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

**Payment Order 2**

Payor \* CUSIP \* Amount (\$) \* Reason Code \* Select

Options Symbol Expiration Date Exercise Price (\$) Contracts

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

**Buttons:** Validate, Submit, Reset, Copy Down, Reset Record

**Callouts:**

- To see any input errors before submitting, click **Validate**.
- Click to **submit** all entries.

Premium Payment Order Required Fields

\* = Required Field

Required Fields are indicated with an asterisk.

## When to use

### Premium Payment Orders (PPO)

The following are typical situations in which you would use the Payment Order service to submit PPOs.

- A bank's customer writes an opening call option. Through DTC, the bank deposits underlying securities with the Options Clearing Corporation (OCC). The bank (the payee participant) submits to DTC a PPO crediting its settlement account for the amount of the net option contract premium and debiting the account of the broker (the payor participant) for the same amount.
- A bank's customer purchases a closing call option. OCC releases underlying securities previously deposited with it through DTC. The broker (the payee participant) submits to DTC a PPO crediting its settlement account for the amount of the net option premium and debiting the account of the bank (the payor participant) for the same amount.

### Premium Payment Order (PPO) Reason Codes

Premium payment orders are related to put and call transactions. When inputting a PPO, you must select the reason code which indicates the transaction type.

Reason Code	Description
<u>P0</u>	Put
<u>P1</u>	Put Reclaim
<u>P2</u>	Call
<u>P3</u>	Call Reclaim

# Inputting a Payment Order

- 1. From the Transactions Submission menu, select the payment order type to input.



The entry fields vary according to payment order type. See the table below for more details.

For these  
PO Types

Select the following

Security  
Payment  
Orders

Transaction Submission	Commands	Profiles	Help	PBS
Day Deliver Orders	Collateral Moves (MA/NA)			
Future Dated Deliver Orders	Settlement Transaction File Upload			
Federal Reserve Deliver Orders	Collateral Loan Services			
Premium Payment Orders	IPO Tracking Update			
Security Payment Orders	Stock Loan/Repo Adjustments Input			
Account Segregation/Releases	Worthless Securities Movement			
Investment ID/Releases	Night COD for Muni Bearer			
Memo Segregations	MMI Full Call Notice Input			

1. Select **Security Payment Orders**.

Up to five payment order entries can be submitted on the same page.

**DTCC Settlement Services**

Home Activity Position Cash and Solenoids Transaction Submission Commands Profiles Help PBS Links Oct 11, 2012 - 1:22:33 PM EDT

**Security Payment Order**

Home > Security Payment Order

\* Required Field

Payee ID: 1254 [Validate] [Submit] [Reset]

**Payment Order 1**

Payor: 1280 CUSIP: 488200000 Reason Code: 01 Amount (\$): 400.00 Settlement Date: 10/11/2012 Quantity: 1

Old Price (\$): New Price (\$): Delivery/Contract Date: Pay Date: Record Date:

Comments:

Copy Down [Reset Record]


**Payment Order 2**

Payor: 1280 CUSIP: 488200000 Reason Code: 01 Amount (\$): 400.00 Settlement Date: 10/11/2012 Quantity: 1

Old Price (\$): New Price (\$): Delivery/Contract Date: Pay Date: Record Date:

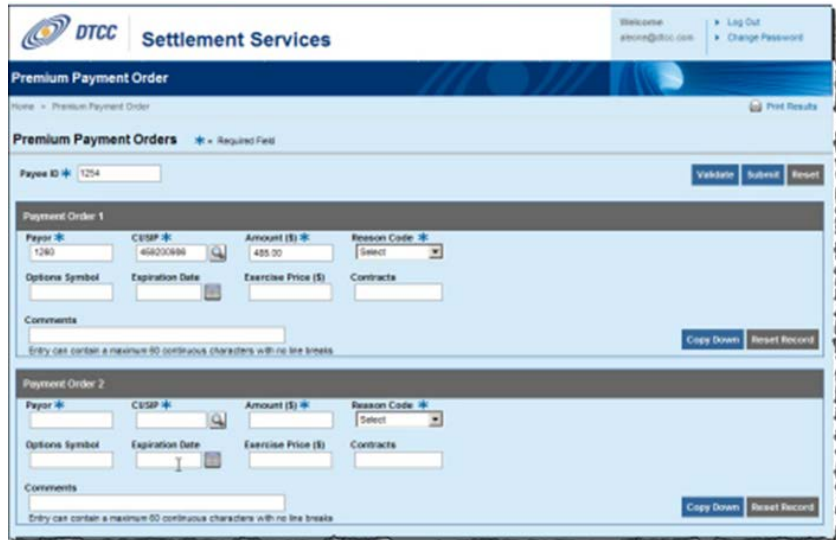
Comments:

Copy Down [Reset Record]

For these PO Types	Select the following
Premium Payment Orders	 <p>The screenshot shows a web application menu titled 'Transaction Submission'. It contains two columns of options. The option 'Premium Payment Orders' is highlighted with a red rectangular box. Other options include Day Deliver Orders, Future Dated Deliver Orders, Federal Reserve Deliver Orders, Security Payment Orders, Account Segregation/Releases, Investment ID/Releases, Memo Segregations, Collateral Moves (MA/NA), Settlement Transaction File Upload, Collateral Loan Services, IPO Tracking Update, Stock Loan/Repo Adjustments Input, Worthless Securities Movement, Night COD for Muni Bearer, and MMI Full Call Notice Input.</p>

Select **Security Payment Orders**.

Up to five payment order entries can be submitted on the same page.



The screenshot shows the 'Premium Payment Order' entry page in the DTCC Settlement Services system. The page has a header with the DTCC logo and 'Settlement Services'. Below the header, there's a section for 'Premium Payment Orders' with a 'Payor ID' field set to '1254'. There are buttons for 'Validate', 'Submit', and 'Reset'. Below this, there are two sections for 'Payment Order 1' and 'Payment Order 2'. Each section contains fields for 'Payor', 'CISIP', 'Amount (\$)', 'Reason Code', 'Options Symbol', 'Expiration Date', 'Exercise Price (\$)', and 'Contracts'. There are also 'Copy Down' and 'Reset Record' buttons for each order section.

The input page appears for the payment order type you selected. The image below shows the entry fields for a Security Payment order.

The screenshot shows the 'Security Payment Order' form in the DTCC Settlement Services web application. The form includes a header with the DTCC logo and navigation tabs. Below the header, there's a 'Payee ID' field with an asterisk indicating it's required. The main section contains two identical 'Payment Order' blocks. Each block has fields for Payer, CUSIP, Reason Code, Amount (\$), Settlement Date, Quantity, Old Price (\$), New Price (\$), Delivery/Contract Date, Pay Date, and Record Date. A 'Comments' field is also present. At the bottom of each block are 'Copy Down' and 'Reset Record' buttons. Callouts highlight the 'Validate' and 'Submit' buttons at the top right, and the 'Copy Down' button in the first payment order block.

DTCC Settlement Services

Home Activity Position Cash and Balances Transaction Submission Comm

Security Payment Order

Home > Security Payment Order

\* = Required Field

Payee ID \* 1254

Payment Order 1

Payer \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

1260 458200696 Selected 485.00 10/11/2012

Old Price (\$) New Price (\$) Delivery/Contract Date Pay Date Record Date

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

Copy Down Reset Record

Payment Order 2

Payer \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

1260 458200696 Selected 485.00 10/11/2012

Old Price (\$) New Price (\$) Delivery/Contract Date Pay Date Record Date

Comments

Entry can contain a maximum 60 continuous characters with no line breaks

Copy Down Reset Record

Security Payment Order Required Fields

To see any input errors before submitting, click **Validate**.

Click to **submit** all entries.

To copy an entry to the record below, click **Copy Down**.

\* = Required Field

2. Enter the required payment order fields.  
For quick PO entry, enter only the required fields: You can submit up to five payment orders at a time.
3. *Optional.* To copy an entry to the record below, click **Copy Down**.
4. To check your work, click **Validate**.
5. To process payment orders, click **Submit**.

The page displays a confirmation message and the number of orders successfully submitted.



DTCC Settlement Services

Welcome  
T.H.H.H@dtcc.com

Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PDS Links

Oct 11, 2012 - 1:32:33 PM EDT

### Security Payment Order

Home > Security Payment Order

Print Results

3 transactions submitted Successfully

\* Required Field

Payee ID \* 1254

Validate Submit Reset

#### Payment Order 1

Payor \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

Old Price (\$) New Price (\$) Delivery/Contract Date Pay Date Record Date

Comments

Entry can contain a maximum 50 continuous characters with no line breaks

Copy Down Reset Record

#### Payment Order 2

Payor \* CUSIP \* Reason Code \* Amount (\$) \* Settlement Date \* Quantity \*

Old Price (\$) New Price (\$) Delivery/Contract Date Pay Date Record Date




Comments

Entry can contain a maximum 50 continuous characters with no line breaks

Copy Down Reset Record

### Payment Order Submitted Message

#### Quick Tips

- For help finding a CUSIP, click the  button next to the **CUSIP** field. A look-up function box will appear.
- You can use the calendar tool  to select a date, or enter a date manually using the mm/dd/yyyy format.
- To copy a correction to the entry below, click the **Copy Down** button. The field(s) you corrected will copy down to the next entry.
- To find an activity code or a reason code, click the  button next to the corresponding field.
- You can reclaim payment orders with a 'made' status for the current business day or the previous business day by selecting a **Reason Code**. Your reclaim will be processed as matched or linked depending on the day submitted. For more information on reclaims, refer to Activity Inquiry.



# PENDING ACTIVITY

## Introduction to Pending Activity

Pending Activity allows you to view transactions that are pending because your firm has insufficient position, collateral deficiencies, and/or debit cap deficiencies.

Using Pending Activity, you can perform certain commands for the transaction you have initiated. You can cancel pending transactions, place specific transactions on hold, block transactions from being completed (hold with blockage), and release held transactions.

The screenshot shows the DTCC Pending Activity Inquiry page. It includes a navigation bar with links like Home, Activity, Position, Commands, and Profiles. The main section is titled 'Pending Activity Inquiry' and contains a search criteria form and a results table. Callouts provide instructions: 'Select the type of search.' points to the 'Pending Transactions' tab; 'Select criteria for your search, then click Search.' points to the search criteria fields; 'Your results appear below.' points to the results table; and 'Authorized users can take actions on some types of transactions.' points to the action buttons in the table.

**Search Criteria** \* = Required Field

Participant ID: 1250 CUSIP: [ ] Side: ☒ My Items ☐ Contrs Transaction Type: ☒ All Positions ☐ Collateral ☐ Debit ☐ CNS IPO/non-IPO: ☒ IPO ☒ non-IPO Sort by: ☒ Recycle order ☐ Amount in descending order ☐ Market Value Display Type: ☒ List ☐ Excel

**Search Results for Position**

Participant: 1250 / ABC BROKER CUSIP: ALL / All CUSIPs Pending for POS  
Side: My Items IPO/non-IPO: Both

Displaying 25 items Page 1

Action	Transaction ID	Activity	Contra	CUSIP	Quantity	Amount	Source	Reason
<input type="radio"/> Cancel <input type="radio"/> Hold <input type="radio"/> Release	000006-31	DO - Deliv	1250	931142103	99,999,999	1,000.00	TJLP	HELD
<input type="radio"/> Cancel <input type="radio"/> Hold <input type="radio"/> Release	000006-ED	DO - Deliv	1250	931142103	999,999,999	100.00	TJLP	HELD

You can also use Pending Activity to view your dropped activity. (As transaction cutoffs occur, applicable transactions are no longer attempted by ATP and are dropped.)

Pending Activity also provides a summary view for each of the action types outlined above (Cancel, Hold, IPA Hold, PTA).

Pending Activity allows you to choose from the following types of searches (by selecting a tab):

- Pending Transactions (which includes Pending Transactions, CNS Long Allocations, and CNS Short Covers)
- Cancel Summary
- Hold Summary
- IPA Held
- PTA

After you enter your search criteria and execute your search, Pending Activity displays your results.

Depending on the type of search and on your authorization, you can submit actions for specific transactions.

### Pending Activity Searches

Search Type	Description
Pending Transactions	Displays pending transactions and allows you to submit actions on some transactions.
Cancel Summary	Displays canceled transactions.
Hold Summary	Allows you to search through CUSIPs that are in either Held Without Blockage or Held With Blockage status.
IPA Held	Allows you to search through IPA (Issuing Paying Agent) Held transactions.
PTA	Allows you to search through PTA (Pending Transfer Accounts) records by side as a receiver, deliverer, or both

## How a Transaction Becomes a Pending Transaction

Each transaction presented to DTC for processing is evaluated to verify if the delivering participant has sufficient position, if both the delivering and receiving participants have sufficient collateral, and if the receiving participant has sufficient debit cap to complete the transaction. When a transaction cannot be completed as a result of one of these reasons, it will be designated as pending. The transaction will continually recycle throughout the day until it satisfies all of its position and risk management requirements or it will drop at the applicable cutoff\*.

\*For cutoff times, please refer to the Settlement Services Guide.

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#### Note

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

---

## About Recycling

After a transaction pends it may recycle if the participant who caused the pend receives the resources needed to make the transaction. The recycled transaction would then make or re-pend. Transactions can pend for multiple reasons. When one condition is cleared the transaction may pend for a second reason.

Every transaction has a recycle cutoff\* associated with it. A transaction's recycle cutoff is the point in time after which ATP will no longer attempt to process the transaction and it is considered dropped. For instance, a valued Deliver Order (a DO that includes payment from the receiver) drops when valued recycle cutoff occurs. A free DO (a DO that has no payment coming from the receiver) drops when the free recycle cutoff\* occurs.

\*For cutoff times, please refer to the Settlement Services Guide.

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### Note

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

---

## Entering Your Pending Activity Search

You can use the Pending Activity Inquiry page to display:

- Pending Transactions (including CNS Short Covers and CNS Long Allocations)
- Canceled Transactions
- Held Transactions
- IPA Held Transactions
- PTA Pending Transactions

### To enter a pending activity search:

1. From the Settlement Web main menu bar, under **Activity**, select **Pending Activity**.  
The Pending Activity Inquiry page appears.
2. Click the tab that corresponds to the type of search you want to perform.

The screenshot shows the 'Pending Activity Inquiry' page. At the top, there are tabs: 'Pending Transactions', 'Cancel Summary', 'Hold Summary', 'IPA Held', and 'PTA'. A callout 'Select a tab.' points to these tabs. Below the tabs is the 'Search Criteria' section, which includes fields for 'Participant ID' (with '1250' entered), 'CUSIP', 'Side' (radio buttons for 'My Items' and 'Contras'), 'Transaction Type' (radio buttons for 'All Positions', 'Collateral', 'Debit', 'CNS'), 'IPO/non-IPO' (checkboxes for 'IPO' and 'non-IPO'), 'Sort by' (radio buttons for 'Recycle order', 'Amount in descending order', 'Market Value for CNS in descending order'), and 'Display Type' (radio buttons for 'List' and 'Excel'). A callout 'Enter search criteria and click Search.' points to this section. Below the search criteria is a 'Search' button and a 'Reset' button. A callout 'Search results appear below.' points to the 'Search Results for Position' section. This section displays a summary of the search: 'Participant: 1250/ABC BROKER', 'Side: My Items', 'Transaction Type: All Positions', and 'CUSIP: ALL / All CUSIPs Pending for POS'. It also shows 'Displaying 25 items' and 'Page 1'. Below the summary is a table with columns: Action, Transaction ID, Activity, Contra, CUSIP, Quantity, Amount, Source, and Reason. The table contains two rows of data, both showing 'DO - Debr' activity for participant '1250' and CUSIP '931142103'.

Select a tab.

Enter search criteria and click **Search**.

Search results appear below.

**Pending Activity search**

3. Enter your search criteria.

#### Note

When you click the **Cancel Summary**, **Hold Summary**, **IPA Held**, or **PTA** tabs, Pending Activity does an automatic search for all records for your participant ID. If you are working with multiple participant numbers, Pending Activity displays records for the participant number last selected on the Pending Transactions tab.

4. Click **Search**.  
For more information about the search criteria and search results on each of the tabs on the Pending Activity Inquiry page, see [Viewing Pending Activity](#).

## Viewing Pending Activity

When you first enter Pending Activity, a series of tabs appears that allows you to choose the type of pending activity that you want to work with. Once you choose a tab, you can create searches to specify the transactions you want to view or download.

For more information on creating searches, see [Entering Your Pending Activity Search](#).

For more information on your search options in Pending Activity, click the tabs below.

### Note

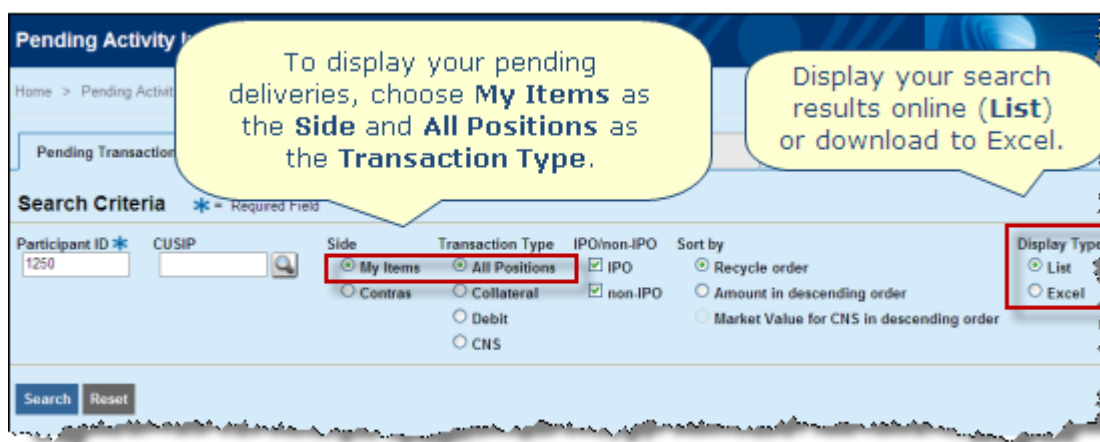
The links in the image below are for the online help version of this guide. If you are reading the PDF version, please find this material in the pages just following this one.



### Viewing Your Pending Transactions

To display your pending transactions, excluding CNS transactions, use the following guidelines when you enter your search criteria:

- Under **Side**, choose **My Items**.
- Under **Transaction Type**, choose **All Positions**.



Search criteria for pending transactions

### Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

## Pending Transaction Search Results

The **Pending Transactions** tab displays a summary of your search criteria across the top of the search results section of the page. Under the summary section, the tab displays the transactions that match your search criteria.

Search Results for Position

Participant: 1250/ABC BROKER Collateral Group: 1254 ABC BROKER LTD CUSIP: ALL / All CUSIPs Pending for POS

Side: My Items Transaction Type: All Positions IPO/Non-IPO: Both

Displaying 25 items Page 1

Action				Transaction ID	Activity	Contra	CUSIP	Quantity	Amount	Source	Reason
Cancel	Hold	Hold w/Block	Rise Hold								
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<a href="#">000005-31</a>	DO - Debit	1250	931142103	99,999,999	1,000.00	TUP	<a href="#">HELD</a>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<a href="#">000005A-ED</a>	DO - Debit	1250	931142103	999,999,999	100.00	TUP	<a href="#">HELD</a>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<a href="#">000005A-EE</a>	DO - Debit	1250	931142103	999,999,999	100.00	TUP	<a href="#">HELD</a>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<a href="#">000005A-EF</a>	DO - Debit	1250	931142103	999,999,999	100.00	TUP	<a href="#">HELD</a>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<a href="#">000005A-FG</a>	DO - Debit	1250	931142103	999,999,999	100.00	TUP	<a href="#">HELD</a>

Pending transactions search results

## Quick Tips

- Authorized participants can submit actions on pending transactions.
- To submit an action, click the radio button for that action and then click **Submit**. You can submit an action for a single transaction or process multiple transactions at the same time.
- The available actions on a pending transaction are: Hold, Cancel, Hold With Block, and Release Block.
  - Holding a transaction "with blockage" allows you to hold the transaction the block is placed on and all subsequent transactions within that specific CUSIP in the position recycle queue.
  - Holding a transaction "without blockage" allows you to hold that specific transaction only.
- A pending transaction's current status determines which actions are available for that transaction.
- You can cancel a pending transaction at any time prior to valued recycle cutoff\*.
- Click **Rise Hold** to remove the hold or hold with blockage for a transaction. To release the hold, you must be the participant who set the hold.
- For select columns, you can click the blue help button [?](#) to display additional information about that column.
- When applicable, use the forward button [▶](#) to scroll through additional pages of transactions in your search results.

## Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

- To open the Activity Inquiry function displaying details for a transaction, click the link in the **Transaction ID** column.
- To view the reason for a pending transaction, click the link in the **Reason** column. When the transaction type is either "All Positions" or "CNS," the **Reason** link takes you to the Position

Inquiry function. When the transaction type is "Collateral" or "Debit," the **Reason** link takes you to the Risk Management Controls Inquiry function.

#### Note

The **Reason** link is not available when your search displays your contra participant's transactions (that is, when you search with **Side** set to **Contras**.)

\*For cutoff times, please refer to the Settlement Services Guide.

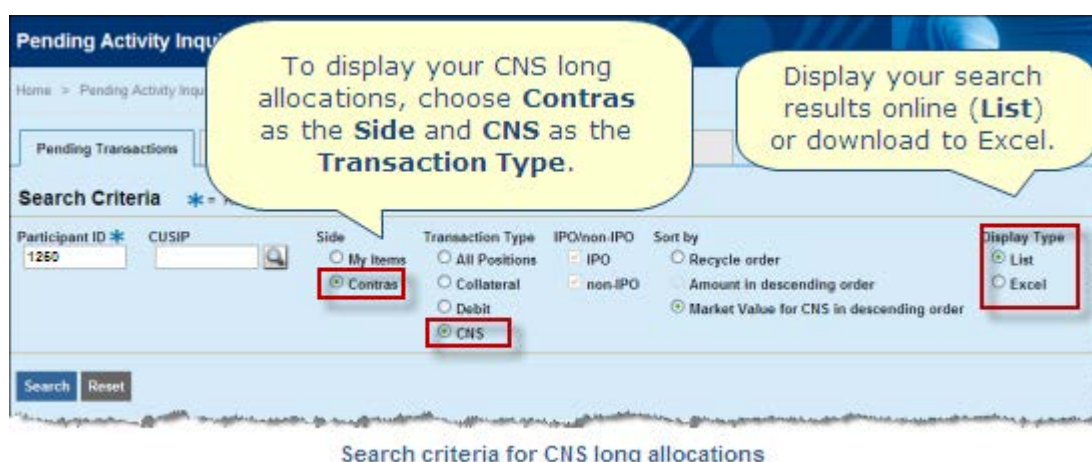
#### Note

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

## Viewing Your CNS Long Allocations

To display your contra participant's pending CNS transactions, use the following guidelines when you enter your search criteria:

- Under **Side**, choose **Contras**.
- Under **Transaction Type**, choose **CNS**.



## Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

## Search Results for CNS Long Allocations

The **Pending Transactions** tab displays a summary of your search criteria across the top of the search results section of the page. Under the summary section, the tab displays the transactions that match your search criteria.



Search Results for CNS Long Allocations

Participant: 1250/ABC BROKER Collateral Group: 1254 ABC BROKER LTD CUSIP: ALL / "" Cont. NET Settlement ""



Side: Contra Transaction Type: CNS

Displaying 35 items Page 1

CUSIP/ISIN	Sub-Acct	Quantity	Market Value
US743476B429	A	172.445	6,113,175.25
US4642677058	A	39.058	2,969,558.68
US4642682819	A	10.886	1,198,480.26
US4642693118	A	6.838	349,805.12

Search Results for CNS long allocations

### Quick Tips

- When you are viewing your contra participant's pending transactions, there are no actions available for you to submit.
- For select columns, you can click the blue help button  to display additional information about that column.
- When applicable, use the forward button  to scroll through additional pages of transactions in your search results.

### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

- To open the Activity Inquiry function displaying details for a transaction, click the link in the **Transaction ID** column.

### Viewing Your CNS Short Covers

To display your pending CNS transactions, use the following guidelines when you enter your search criteria:

- Under **Side**, choose **My Items**.
- Under **Transaction Type**, choose **CNS**.

Pending Activity

Home > Pending Activity

Pending Transactions

PTA

Search Criteria

Participant ID \* 1250 CUSIP

Side ☒ My Items ☐ Contrs

Transaction Type ☐ All Positions ☐ Collateral ☐ Debit ☒ CNS

IPO/non-IPO ☒ IPO ☐ non-IPO

Sort by ☐ Recycle order ☐ Amount in descending order ☒ Market Value for CNS in descending order

Display Type ☒ List ☐ Excel

Search Reset

To display CNS short covers, choose **My Items** as the **Side** and **CNS** as the **Transaction Type**.

Display your search results online (**List**) or download to Excel.

Search criteria for CNS short covers

## Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

## Search Results for CNS Short Covers

Search Results for CNS Short Covers

Participant: 1254 ABC BROKER      Collateral Group: 1254 ABC BROKER LTD      CUSIP: ALL / \*\* Cont. NET Settlement \*\*

Side: My Items      Transaction Type: CNS      IPO mon-IPO: Both

This is the last page of data that satisfies your search criteria.

Displaying 1 items. Page 1

Action	Hold	Rise	Transaction ID	Activity	Contra	CUSIP	Quantity	Market Value	Source	Reason
Cancel	Hold	Hold w/Block								
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	000000000	DO - Debit	SSS	000000000	1,000	10.00	TUP	<a href="#">Click here for details</a>

Submit Reset Page 1

Search results for CNS short covers

## Quick Tips

- Authorized participants can submit actions on pending transactions.
- To submit an action, click the radio button for that action and then click **Submit**. You can submit an action for a single transaction or submit multiple transactions at the same time.
- The available actions on a pending transaction are: Cancel, Hold, Hold with Block, and Release Block.
  - Holding a transaction "with blockage" allows you to hold the transaction the block is placed on and all subsequent transactions within that specific CUSIP in the position recycle queue.
  - Holding a transaction "without blockage" allows you to hold that specific transaction only.
- A pending transaction's current status determines which actions are available for that transaction.
- Click **Rise Hold** to remove the hold or hold with blockage for a transaction. To release the hold, you must be the participant who set the hold.
- For select columns, you can click the blue help button to display additional information about that column.
- When applicable, use the forward button to scroll through additional pages of transactions in your search results.

### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

- To open the Activity Inquiry function displaying details for a transaction, click the link in the **Transaction ID** column.
- To view the reason for a pending transaction, click the link in the **Reason** column. When the transaction type is either "All Positions" or "CNS," the **Reason** link takes you to the Position

Inquiry function. When the transaction type is "Collateral" or "Debit," the **Reason** link takes you to the Risk Management Controls Inquiry function.

#### Note

The **Reason** link is not available when your search displays your contra participant's transactions (that is, when you search with **Side** set to **Contras**).

## Viewing Your Canceled Transactions

You can use the **Cancel Summary** tab to display canceled transactions.

#### Note

When you click the **Cancel Summary** tab, the tab automatically displays canceled transactions for all of your CUSIPs. If you are working with multiple participant numbers, the tab displays CUSIPs for the most recent participant number selected.

To modify the display, enter new search criteria and click **Search**.

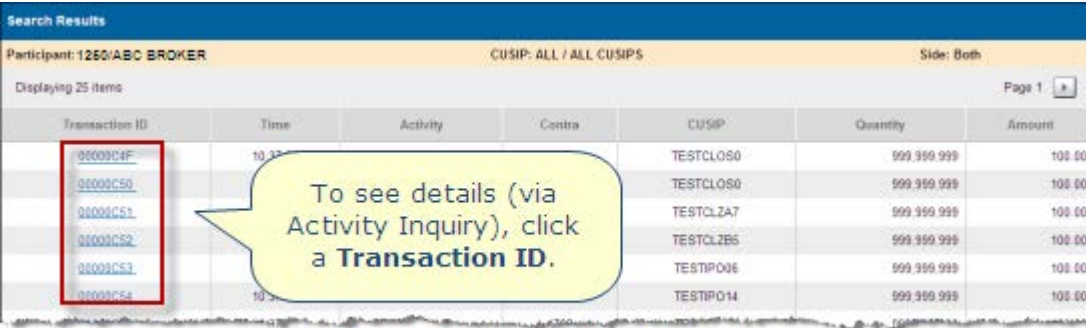
The screenshot shows the 'Pending Activity Inquiry' web interface. At the top, there are three tabs: 'Pending Transactions', 'Cancel Summary' (which is selected), and 'Hold Summary'. Below the tabs is the 'Search Criteria' section. It includes a 'Participant ID' field with the value '1250', a 'CUSIP' field, and a 'Side' section with checkboxes for 'Receivers' and 'Delivers'. A 'Display Type' section is highlighted with a red box, showing radio buttons for 'List' (selected) and 'Excel'. A yellow callout bubble points to the 'Display Type' section with the text: 'Display your search results online (**List**) or download to Excel.' At the bottom of the search criteria section are 'Search' and 'Reset' buttons. Below the screenshot, the text 'Search criteria for the Cancel Summary tab' is displayed.

## Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

## Cancel Summary Search Results



Search Results



Participant: 1250/ABC BROKER CUSIP: ALL / ALL CUSIPS Side: Both

Displaying 25 items Page 1

Transaction ID	Time	Activity	Contra	CUSIP	Quantity	Amount
<a href="#">00000C4F</a>	10:12			TESTCLOS0	999,999,999	100.00
<a href="#">00000C50</a>				TESTCLOS0	999,999,999	100.00
<a href="#">00000C51</a>				TESTCLZA7	999,999,999	100.00
<a href="#">00000C52</a>				TESTCLZB5	999,999,999	100.00
<a href="#">00000C53</a>				TESTIPO06	999,999,999	100.00
<a href="#">00000C54</a>	10:13			TESTIPO14	999,999,999	100.00

Search results for the Cancel Summary tab

### Quick Tips

- To open the Activity Inquiry function displaying details for a transaction, click the link in the **Transaction ID** column.
- For select columns, you can click the blue help button  to display additional information about that column.
- When applicable, use the forward button  to scroll through additional pages of transactions in your search results.

### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

## Viewing a Summary of Your Held Transactions

You can use the **Hold Summary** tab to display transactions that have been held, either with blockage or without blockage.

### Note

When you click the **Hold Summary** tab, the tab automatically displays held transactions for all of your CUSIPs. If you are working with multiple participant numbers, the tab displays CUSIPs for the most recent participant number selected.

To modify the display, enter new search criteria and click **Search**.

**Pending Activity Inquiry**

Home > Pending Activity Inquiry

Pending Transactions Cancel Summary **Hold Summary** IPA Held PTA

**Search Criteria** \* = Required Field

Participant ID \* 1250

**Display Type**

☒ List ☐ Excel

Display your search results online (**List**) or download to Excel.

Search Reset

Search criteria for the Hold Summary tab

### Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

### Hold Summary Search Results

**Search Results**

Participant: 1250/ABC BROKER Collateral Group: 1254 ABC BROKER LTD

This is the last page of data that satisfies your search criteria.

Displaying 14 items Page 1

CUSIPs Held Without Blockage	CUSIPs Held With Blockage
<a href="#">12340P9C1</a>	<a href="#">921142103</a>
<a href="#">12340P107</a>	
<a href="#">12340P106</a>	

Search results for the Hold Summary tab

### Quick Tips

- "Held with blockage" means that a hold was placed on all transactions for that specific CUSIP in the position recycle queue.
- "Held without blockage" means that a hold was placed on a specific transaction only.
- To take an action on any CUSIP displayed on this page, click a CUSIP link.
- For select columns, you can click the blue help button to display additional information about that column.
- When applicable, use the forward button to scroll through additional pages of transactions in your search results.

#### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

## Viewing a Summary of Your IPA Held Transactions

You can use the **IPA Held** tab to display the transactions that are pending due to an IPA (Issuing Paying Agent) Maturity Presentments hold request.

### Note

When you click the **IPA Held** tab, the tab automatically displays IPA held transactions for all of your CUSIPs. If you are working with multiple participant numbers, the tab displays CUSIPs for the most recent participant number selected.

**Pending Activity Inquiry**

Home > Pending Activity Inquiry

Pending Transactions | **IPA Held** | PTA

**Search Criteria** \* = Required Field

Participant ID \* 1250 CUSIP Side ☒ My Items ☐ Contras **Display Type** ☒ List ☐ Excel

Search Reset

Search criteria for the IPA Held tab

### Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.

### IPA Held Search Results

The **IPA Held** tab displays a summary of your search criteria across the top of the search results section of the page. Under the summary section, the tab displays the transactions that match your search criteria.

**Search Results for IPA Held**

Participant: 1250/ABC BROKER Collateral Group: 1254 ABC BROKER LTD CUSIP: ALL / "" IPA Held MMB MP ""

Side: My Items

This is the last page of data that satisfies your search criteria



Displaying 4 items Page 1

Activity	Contra	CUSIP	Quantity	Amount	Source	Reason
MATPRS-R	1708	00009HSS0	4	25.00	NDWP	IPA HELD
MATPRS-R	1708	00009HSS0	5	26.00	NDWP	IPA HELD
MATPRS-R	1708	00009HSS0	6	27.00	NDWP	IPA HELD
MATPRS-R	1708	00009HSS0	7	28.00	NDWP	IPA HELD

Search results for the IPA Held tab



## Quick Tips

- To access the Position Inquiry function and view the reason for an IPA Held transaction, click the link in the **Reason** column.
- For select columns, you can click the blue help button  to display additional information about that column.
- When applicable, use the forward button  to scroll through additional pages of transactions in your search results.

### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.


## Viewing Your PTA Transactions

You can use the **PTA** tab to display your PTA (Pending Transfer Account) transactions.

You can display PTA transactions as a receiver, deliverer, or both.

### Note

When you click the **PTA** tab, the tab automatically displays all of your PTA transactions. If you are working with multiple participant numbers, the tab displays CUSIPs for the most recent participant number selected.



The screenshot shows the 'Pending Activity Inquiry' web interface. At the top, there's a breadcrumb 'Home > Pending Activity Inquiry'. Below it are five tabs: 'Pending Transactions', 'Cancel Summary', 'Hold Summary', 'IPA Held', and 'PTA'. The 'PTA' tab is selected. Under the 'Search Criteria' section, there's a legend '\* = Required Field'. The 'Participant ID' field is required and contains the value '1250'. The 'Side' section has two checked options: 'Receivers' and 'Delivers'. The 'Display Type' section has two radio buttons: 'List' (selected) and 'Excel'. A yellow callout bubble points to the 'List' radio button with the text: 'Display your search results online (**List**) or download to Excel.' At the bottom of the search criteria section are 'Search' and 'Reset' buttons.

Search criteria for the PTA tab

## Display Online or Download to Excel

To display your search results online (on the same page, just below the Search Criteria section), choose **List** under **Display Type**.

To download your results as an Excel spreadsheet, choose **Excel** under **Display Type**. When you execute your search, you will be immediately prompted to download the spreadsheet.



## PTA Search Results

The **PTA** tab displays a summary of your search criteria across the top of the search results section of the page. Under the summary section, the tab displays the transactions that match your search criteria.





The screenshot shows the 'Search Results for PTA' interface. At the top, a summary bar displays search criteria: Participant: 1254 ABC BROKER, Collateral Group: 1254 ABC BROKER LTD, and CUSIP: ALL / "" PTA Transactions"". Below this, it indicates 'Side: Both' and 'Displaying 25 items'. A table follows with columns for Transaction ID, Activity, Contra, CUSIP, Quantity, Amount, Source, and Reason. Three transactions are visible, all with a status of 'DROPPED'.

	Transaction ID	Activity	Contra	CUSIP	Quantity	Amount	Source	Reason
<input type="checkbox"/>	<a href="#">000005-3E</a>	DO - Recv	1250	931142103	10	99,999,999.00	TLIP	DROPPED
<input type="checkbox"/>	<a href="#">000006-3A</a>	DO - Recv	1250	931142103	99,999,999	9,999,999.00	TLIP	DROPPED
<input type="checkbox"/>	<a href="#">000007-Q3</a>	DO - Recv	1250	931142103	10	9,999,999.00	TLIP	DROPPED

Search results for the PTA tab

## Quick Tips

- Authorized participants can submit cancel actions on PTA transactions. To submit a cancel, click the selection box in the first column and click **Cancel**.
- To display details for a specific transaction, click the link in the Transaction ID column. This opens a pop-up window displaying transaction details from the Activity Inquiry function.
- For select columns, you can click the blue help button  to display additional information about that column.
- When applicable, use the forward button  to scroll through additional pages of transactions in your search results.

### Note

You can only scroll forward. To return to previously viewed transactions, please repeat your search.

## Submitting Actions on Pending Transactions

Authorized participants can submit actions on certain pending transactions.

As an authorized participant, you can submit the following actions:

- Cancel
- Hold
- Hold With Blockage
- Release Hold

Your ability to submit an action on a specific transaction depends on your role and the status of that transaction. The table below provides the general rules that apply to pending transactions.

In general, you can:	When the pending transaction is:
<b>Cancel</b>	<ul style="list-style-type: none"> <li>• Held</li> <li>• Held With Blockage</li> <li>• Active</li> </ul>
<b>Hold</b>	<ul style="list-style-type: none"> <li>• Held With Blockage</li> <li>• Active</li> </ul>
<b>Block</b>	<ul style="list-style-type: none"> <li>• Held</li> <li>• Active</li> </ul>
<b>Release</b>	<ul style="list-style-type: none"> <li>• Held</li> <li>• Held With Blockage</li> </ul>

You can submit cancel, hold, hold with blockage, and release hold actions via the Pending Transactions tab. You can submit cancel actions on PTA pending transactions via the PTA tab.

#### To submit actions via the Pending Transactions tab:

1. From the Settlement Web main menu bar, under **Activity**, select **Pending Activity**. The Pending Activity Inquiry Page appears.
2. Using the **Pending Transactions** tab, perform a Pending Transactions search.
3. For more information, see [Searching Pending Activity](#).

#### Note

No actions are available if your search criteria include "Contras" as the **Side** and "CNS" as the **Transaction Type**.

4. In the **Action** column, click the radio button that corresponds to the action you want to take for each transaction you want to work with.

**Pending Transactions** | Cancel Summary | Hold Summary | IPA Held | PTA

**Search Criteria** \* = Required Field

Participant ID \* 1250 CUSIP Side: ☒ My Items ☐ Contras Transaction Type: ☒ All Positions ☐ Collateral ☐ Debit ☐ CNS IPO/non-IPO: ☒ IPO ☒ non-IPO Sort by: ☒ Recycle order ☐ Amount in descending order ☐ Market Value for CNS in descending order

**Search Results for Position**

Participant: 1250 / ABC BROKER Collateral Group: 1254 ABC BROKER LTD CUSIP: ALL / ALL

Side: My Items Transaction Type: All Positions IPO/non-IPO: Both

Displaying 25

Action	Transaction ID	Activity	Contra	CUSIP	Quantity
<input checked="" type="radio"/> Cancel <input type="radio"/> Hold <input type="radio"/> Hold w/Blk <input type="radio"/> Release	00000			931142103	99,999,999
<input type="radio"/> Cancel <input type="radio"/> Hold <input type="radio"/> Hold w/Blk <input type="radio"/> Release	00000			931142103	999,999,999

**Submit an action - Pending Transactions tab**

- On the bottom of the page, click **Submit**.

**To submit cancel actions via the PTA tab:**

- From the Settlement Web main menu bar, under **Activity**, select **Pending Activity**.  
The Pending Activity Inquiry page appears.
- Using the PTA tab, perform a PTA search.  
For more information, see [Searching Pending Activity](#).
- In the first column, select the check box for each transaction you want to cancel.

**Note**

To select all transactions, select the check box in the column heading.

The screenshot displays the 'Pending Transactions' page with the 'PTA' tab selected. The 'Search Criteria' section includes a 'Participant ID' field with the value '300', 'Side' checkboxes for 'Receivers' and 'Delivers' (both checked), and 'Display Type' radio buttons for 'List' (selected) and 'Excel'. Below the search criteria are 'Search' and 'Reset' buttons. The 'Search Results for PTA' section shows a table with columns: Transaction ID, Activity, Contra, CUSIP, and Quantity. The table contains three rows of data. A red box highlights the first column (Transaction ID) in the table. A yellow callout bubble points to the first row of the table with the text 'Select one or more transactions.' Another yellow callout bubble points to the bottom of the page with the text 'On the bottom of the page, click **Cancel**.' The text 'Submit a cancel action - PTA tab' is visible at the bottom of the screenshot.

Transaction ID	Activity	Contra	CUSIP	Quantity
1280	DO - Recv	1280	931142103	10
1280	DO - Recv	1280	931142103	99,999,999
1280	DO - Recv	1280	931142103	10

- On the bottom of the page, click **Cancel**.

## About Holding Pending Transactions

Participants have the option of holding and releasing held transactions. Participants place pending transactions on hold in order to prevent DTC from attempting to process the transactions. DTC will not attempt to process held transactions until the hold is released by the participant.

Participants have the option of holding transactions *with* blockage or *without* blockage. Holding a transaction with blockage allows you to hold the transaction the block is placed on and all subsequent transactions within that specific CUSIP in the position recycle queue. Holding a transaction without blockage allows you to hold that specific transaction only.

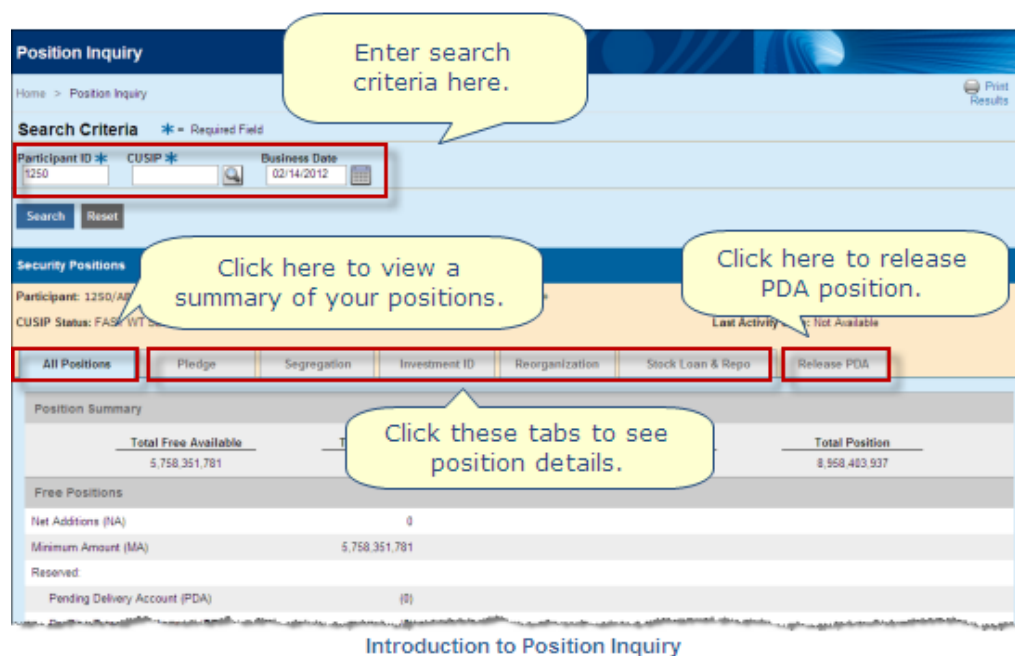
To learn more about Pend Hold, please see the [Settlement Service Guide](#).

# POSITION INQUIRY

## Introduction to Position Inquiry

The Position Inquiry page allows you to view snapshots of your current and historical balances for any DTC-eligible security in your account. You can view historical balances for up to two years.

Using your participant ID, CUSIP, and a business date as search criteria, the page displays position information across a series of tabs. A brief description of each tab appears below.



## Position Inquiry Search Result Tabs

Tab	Description
<b>All Positions</b>	Summarizes a participant's position across all accounts for a given CUSIP.
<b>Pledge</b>	Summarizes a participant's pledged positions for a given CUSIP.
<b>Segregation</b>	Summarizes a participant's segregated positions for a given CUSIP.
<b>Investment ID</b>	Summarizes a participant's Investment ID positions for a given CUSIP.
<b>Reorganization</b>	Summarizes a participant's subaccount MA and NA positions for a given CUSIP.
<b>Stock Loan &amp; Repo</b>	Summarizes a participant's stock loan and repo positions for a given CUSIP.
<b>Release PDA</b>	Allows you to release Pending Delivery Account (PDA) positions.

## Types of Positions (Free, Other, Miscellaneous)

### Free Positions

Free positions are positions that are eligible for transaction processing at DTC. They consist of the following:

- **Net Additions (NA)**

Securities that are considered collateral.

- **Minimum Amount (MA)**

Securities that are not considered collateral.

- **Pending Delivery Account (PDA)**

Position in your PDA is reserved for transactions recycling due to risk management control deficiencies. The PDA is used for participants that elect to control their recycling transactions with Recycle Option 2: First In, First Out With Blockage. Position is released from your PDA if the risk management control deficiency changes to allow the transaction to complete, if you manually release it back into your Free Account, or if it is automatically released into your Free Account at the PDA cutoff\*.

- **Pending Transactions Account (PTA)**

Transactions that have the PTA indicator turned on and recycle as a result of risk management controls will be reserved in your PTA. Position in your PTA is no longer available for any other transaction that you may initiate. Position is released from your PTA if the risk management control deficiency changes to allow the transaction to complete, if you manually release it back into your Free Account, or if it is automatically released into your Free Account at the PDA cutoff\*.

### Other Positions

Other positions include positions that are not free, meaning they are segregated or being used as collateral, etc. They consist of the following:

- **Pledged**

Securities that are used as collateral. They are moved from the pledgor's general free account to the pledgor's pledged account, which prevents these positions from being used to complete other transactions.

- **Segregation**

The segregated account is an account where participants can protect customer fully-paid-for securities from being used to complete other transactions.

- **Investment ID**

The Investment ID account is used to report information to the IRS about securities bought for investment.

- **Reorganization**

The Reorganization account contains securities that have been affected by some form of voluntary or mandatory reorganization.

- **Call With Interest**

An account where position that has been called is moved to when the call includes principal and accrued interest.

- **Call Without Interest**

An account where position that has been called is moved to when the call includes principal only.

- **Withdrawal by Transfer**

Holding account where position is moved to when the securities have been sent to the transfer agent for re-registration in the participant's or underlying customer's name.

## Miscellaneous Positions

Miscellaneous positions are positions that are in your account but are not calculated in your total position because the positions are either loaned out or viewed as a counter. They consist of the following:

- **Stock Loans**

Stock loans are where one participant loans shares to another participant.

- **Repurchase Agreements**

A repurchase agreement is an agreement between two parties that allows the seller of securities to later repurchase them at an agreed-upon price.

- **CNS Short Exemptions (Levels 1 + 2)**

Counter to indicate that shares received in should not be released to CNS automatically. Level 1 and level 2 exemptions require a DO to 888 (CNS) in order for the exemption to be lifted; however, level 2 exemptions can also be lifted if the shares received in were from either a bank or a pledge release.

- **CNS Long Exemptions (Level 4)**

Counter to indicate anticipated receives of long allocations from CNS.

- **Amortized/Accreted CMO Factor**

Factor to determine the face value of any type of amortizing security, such as mortgage-backed securities and CMOs.

\*For cutoff times, please refer to the Settlement Services Guide.

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### Note

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

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## Entering Your Position Inquiry Search

You can use the Position Inquiry page to display:

- All positions
- Pledge positions
- Segregation positions
- Investment ID information
- Reorganization positions
- Stock loan and repo positions

After performing a position inquiry search, you can also release PDA positions.



**Position Inquiry**

Home > Position Inquiry

**Search Criteria** \* = Required Field

Participant ID \* CUSIP \* Business Date

1250 [CUSIP icon] 02/14/2012 [Calendar icon]

Search Reset

**Security Positions**

Participant: 1250/AB CUSIP Status: FAS WT

Last Activity: Not Available

[All Positions](#)
[Pledge](#)
[Segregation](#)
[Investment ID](#)
[Reorganization](#)
[Stock Loan & Repo](#)
[Release PDA](#)

**Position Summary**

Total Free Available	5,758,351,781	Total Position	8,958,483,937
----------------------	---------------	----------------	---------------

**Free Positions**

Net Additions (NA)	0
Minimum Amount (MA)	5,758,351,781
Reserved:	
Pending Delivery Account (PDA)	(0)

**Position Inquiry search**

Callouts:

- Enter search criteria here.
- Click here to view a summary of your positions.
- Click here to release PDA positions.
- Click these tabs to see position details.

### To perform a position inquiry search:

- From the Settlement Services main menu bar, select **Positions**, and then select **Position Inquiry**. The Position Inquiry page appears.
- In the Search Criteria section of the page, enter your search criteria.

<b>Participant ID</b>	Required. Normally your participant ID appears here by default. Participants that work with multiple participant IDs must choose a specific participant ID.
<b>CUSIP</b>	Required. You can enter a CUSIP manually or use the CUSIP look-up tool  to select a CUSIP.
<b>Business Date</b>	<p>Required. Enter a business date to limit your search results to that specific date. You can use the calendar tool  to select a date, or enter a date manually using the <i>mm/dd/yyyy</i> format.</p> <p>If no date is selected, the current date is used.</p> <p>If the date selected is not a valid business date, the first business date occurring after the date selected is used.</p>

- Click **Search**.  
The Position Inquiry page displays your results across a series of tabs.
- Click the tab that corresponds to the type of position information that you want to work with.  
For more information, see [Viewing Positions](#) and [Releasing PDA Position](#).

## Viewing Positions

After completing a position inquiry search, your positions are displayed across a series of tabs. (For more on how to perform a search, see [Entering Your Position Inquiry Search](#).)

To learn more about how each specific type of position information is displayed, *click the corresponding tab* in the image below.

---

### Note

The links in the image below are for the online help version of this guide. If you are reading the PDF version, please find this material in the pages just following this one.

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### The All Positions Tab

The **All Positions** tab displays a summary of the position across all the various accounts associated with the specific participant and CUSIP on the specified date.

**Position Inquiry**

Home > Position Inquiry Print Results

**Search Criteria** \* = Required Field

Participant ID \* 1250 CUSIP \* Business Date 02/14/2012

The business date currently displayed. Click the arrow button(s) to change the date.

---

**Security Positions**

Participant: 1250/ABC BROKER CUSIP: 968686866 / LI TEST CORP + Business Date: 02/14/2012

CUSIP Status: FAST WT SDFS CUSIP Chills: None Last Activity Date: Not Available

---

**Position Summary**

Total Free Available	Total Reserved (PDA & PTA)	Total Other	Total Position
5,758,351,781	0	3,200,052,156	8,958,403,937

Summary totals for your positions.

---

**Free Positions**

Net Additions (NA)	0
Minimum Amount (MA)	5,758,351,781
Reserved:	
Pending Delivery Account (PDA)	(0)
Pending Transaction Account (PTA)	(0)
<b>Total Free Available</b>	5,758,351,781
Memo Segregation	(0)
<b>Total Free Excess</b>	5,758,351,781
Turnaround / X-Memo (Exclude from Memo Seg.)	0

Your free positions.

---

**Other Positions (to view details click on the tabs above)**

Pledged	2,871
Segregation	100,042,670
Investment ID	1,100
Reorganization:	
Net Additions (NA)	0
Minimum Amount (MA)	-12,999,999,269
Called:	
With Interest	1,500
Without Interest	1,300
Withdrawal by Transfer	16,100,001,984
<b>Total Other</b>	3,200,052,156

Summary for your other positions. For more details, click one of the tabs above: **Pledge**, **Segregation**, **Investment ID**, or **Reorganization**.

---

**Miscellaneous Positions**

Stock Loans	129,181	CNS Short Exemptions (Levels 1 + 2)	0
Repurchase Agreements	250	CNS Long Exemptions (Level 4)	0

Summary for your miscellaneous positions. For more details, click the **Stock Loan & Repo** tab above.

The All Positions tab

The **All Positions** tab is divided into five sections:

- Position Summary

The Position Summary section provides the following information:

**Total Free Available**

This is a total of your MA and NA position less your combined PDA + PTA position.

**Total Reserved (PDA & PTA)**

Your PDA and PTA position are added to produce the total reserved position.

**Other Position**

Your positions in the following accounts are totaled:

- Pledge account (014)
- Segregation account (022)
- Investment ID account (018)
- Reorg Accounts – MA + NA (RRG)

- Call Lottery Without Interest (028)
- Call Lottery With Interest (026)
- Withdrawal by Transfer (40)

### **Total Position**

This is a total of the participant's free and other position.

- Free Positions

The Free Positions section displays the following:

### **NA or Net Additions Account**

This account refers to the securities that are considered collateral.

### **MA or Minimum Account**

This account refers to the securities that are not considered collateral.

### **Reserved Accounts**

#### *Pending Delivery Account (PDA)*

This refers to position that is reserved in a participant's PDA that is reserved for transactions recycling due to risk management control deficiencies. The PDA is used for participants that elect to control their recycling transactions with Recycle Option 2. The position is released from the participant's PDA if any of the following events occur:

- The risk management control deficiency changes to allow the transaction to complete.
- The participant manually releases it back into his free account.
- The PDA cutoff\* occurs.

#### *Pending Transaction Account (PTA)*

This refers to position that is reserved in a participant's PTA if transactions that recycle as a result of risk management controls have the PTA indicator turned on. A position in a participant's PTA is no longer available for any other transaction that the participant may initiate. The position is released from the participant's PTA if any of the following events occur:

- The risk management control deficiency changes to allow the transaction to complete.
- The participant manually releases it back into his free account.
- The participant's valued PTA shares are automatically released into his free account at the PDA cutoff\*.
- The participant's free PTA shares are automatically released back into his free account when the free cutoff\* occurs.

### **Total Free Available**

This is a total of the participant's MA and NA position less his combined PDA + PTA position.

### **Memo Segregation**

An inventory control mechanism that allows participants to protect fully-paid-for securities in the general free or IPO control accounts.

### **Total Free Excess**

This is computed by subtracting the memo segregation position from the total free position.

#### *Turnaround/X-Memo (Exclude from Memo Seg)*

This refers to the position in the participant's XMEMO Account. XMEMO account represents the number of shares that can be delivered in spite of memo segregation. X-Memo Position accounts are independent accounts that do not impact other accounts; they are not calculated into any of the displayed totals.

*X-Canada (Not available for Canadian settlement)*

This is displayed only when the current day is a U.S. holiday and a Canadian business day. It is an intra-day account only. It is not displayed for past business dates.

- Other Positions

The Other Positions section shows position totals for the accounts listed below.

Total Other is the sum of the other positions as follows:

- Pledge
- Segregation
- Investment ID
- Reorg Accounts
  - Reorg Net Additions (NA)
  - Reorg NA is an intraday account only
  - Reorg Minimum Amount (MA)
- Called Accounts
  - Lottery with Interest
  - Lottery without Interest
- Withdrawal by Transfer
  - Miscellaneous Positions

The Miscellaneous Positions section shows position totals for the following accounts:



- Stock Loans
- Repurchase Agreements
- CNS Short Exemptions (Levels 1 + 2)
- CNS Long Exemptions (Level 4)
- Additional Information

The Additional Information section displays:

**Amortized/Accreted CMO Factor; As of (date)**

This information applies when the CUSIP is a CMO CUSIP. The CMO factor and the as of date are retrieved from RDP. If the CUSIP is not CMO, this line is not displayed.

## Quick Tips

- To scroll between business dates, click the back  and forward  buttons next to the **Business Date** field.
- When you search using a CUSIP that is a DTCC IPO CUSIP, the display includes:
  - Totals for your IPO and non-IPO free positions
  - A note indicating how much of your pledged position is IPO
  - The **X-Canada Non IPO** and **X-Canada IPO** fields in place of the **X-Canada** field for regular CUSIPs. X-Canada is an abbreviation for "exclude from Canadian settlement."
- When you search using a CUSIP that is a DTCC MMI CUSIP:
  - The **Net Additions (NA) for Free Positions** field contains a note revealing how many positions are Receive versus Payment (RVP).
  - The **Pledged for Non free Positions** field contains a note revealing how many positions are Receive versus Payment (RVP).
  - The following fields are not displayed for MMI CUSIPs:
    - Call Lottery with Interest

- Call Lottery without Interest
- The following fields are only displayed for MMI CUSIPs if the participant entered is an IPA:
  - Maturity Swept
  - Maturity Obligation
- When you display positions for past business dates:
  - Zero appears in the Non-IPO and IPO columns for the accounts that do not have any shares.
  - X-Canada information is not displayed.
  - The following intra-day only accounts are displayed as N/A:
    - XMEMO Accounts
    - CNS Short Exemptions (Level 1 & 2)
    - CNS Long Exemptions (Level 4)
    - Reorganization NA Account
    - RVP Account
    - PDA Account
    - PTA Account

\*For cutoff times, please refer to the Settlement Services Guide.

#### Note

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

## The Pledge Tab

The **Pledge** tab displays the list of all the individual pledge positions associated with the specified participant, CUSIP, and business date.

The screenshot shows the 'Security Positions' window with the 'Pledge' tab selected. The header bar displays participant information: Participant: 1250/ABC BROKER, CUSIP: 868686866 / LI TEST CORP +, Business Date: 02/14/2012, CUSIP Status: FAST WT SDFS, CUSIP Chills: None, and Last Activity Date: Not Available. Below the header, there are tabs for All Positions, Pledge (selected), Segregation, Investment ID, Reorganization, Stock Loan & Repo, and Release PDA. The 'Pledged Position' section shows 'Total Position Pledged: 2,871'. Below this, a table titled 'Pledges' displays 10 items. The table has three columns: Loan Date, Pledgee, and Position Pledged. The data rows are as follows:

Loan Date	Pledgee	Position Pledged
03/20/1973	0981	500
08/25/2010	0401	500
08/30/2010	0401	350
09/28/2010	0902	200

The Pledge tab

The **Pledge** tab is divided into two sections:

- Pledged Positions

The Pledged Positions section displays the **Total Position Pledged**.

This is a total of the participant's pledged position for the specified CUSIP. This is the same total shown on the All Positions tab under Pledged in the Other Positions section.

- Pledges

The Pledges section lists the individual pledges that are included in the total position pledged displayed above, for the specified participant, CUSIP, and business date.

### Quick Tips

- The **Pledge** tab displays information for the business date you chose as criteria for your search or that you chose on the **All Positions** tab.
- When you search using a CUSIP that is a DTCC IPO CUSIP:
  - The **IPO Portion of Position Pledged** is included in the Pledged Position section. This is a total IPO portion of the participant's pledged position for the specified CUSIP. This total is also shown on the **All Positions** tab in the Other Positions Section under Pledged Note.
  - The Pledges section includes a column labeled **IPO Portion of Position Pledged**. This column shows the IPO portion of the pledge position for the individual pledges.
- When you search using a CUSIP that is a DTCC MMI CUSIP:
  - The Pledged Position section includes the **Received vs. Payment (RVP) Portion of Position Pledged** field. This is a total Received vs. Payment portion of the participant's pledged position for the specified CUSIP. This total is the same total that is shown on the All Positions tab in the Other Positions Section under Pledged Note.
  - The Pledges section includes a column labeled **RVP Portion of Position Pledged**. This column shows the RVP portion of the pledged position for the individual pledges. RVP is an intra-day account only.

### The Segregation Tab

The **Segregation** tab displays segregated positions for a specific participant, CUSIP, and business date.

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#### Note

When you segregate securities they are moved from your free account to your segregation account and will remain there until released back to your free account. This is a control mechanism that allows you to protect securities on deposit at DTCC that have been fully paid for by the participant's customer.

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**Security Positions**

Participant: 1250/ABC BROKER      CUSIP: 868686866 / LI TEST CORP +      Business Date: 02/14/2012  
 CUSIP Status: FAST WT SDFS      CUSIP Chills: None      Last Activity Date: Not Available

All Positions    Pledge    **Segregation**    Investment ID    Reorganization    Stock Loan & Repo    Release PDA

**Segregated Position**

Total Position Segregated: 100,042,670

**Segregations**

Displaying 10 items      Page 1

Serial Number	Position
0000001	100,042,305
0000002	100
0000003	132
0000004	10
0000005	10
0000006	10
0000007	23
0000008	10
0000009	40
0000010	10

Page 1

The Segregation tab

The **Segregation** tab is divided into two sections:

- **Segregated Position**

The Segregated Position section displays the **Total Position Segregated**.

This is a total of the participant's segregated position for the specified CUSIP. This is the total that appears on the All Positions tab in the Other Positions Section under Segregated.

- **Segregations**

The Segregations section displays a listing of the individual segregations for this participant, CUSIP, and business date that make up the **Total Position Segregated** displayed above.

### Quick Tips

- The **Segregation** tab displays information for the business date that you chose as criteria for your search or that you chose on the **All Positions** tab.

## The Investment ID Tab

The **Investment ID** tab displays your investment ID position.

**Security Positions**

Participant: 1250/ABC BROKER CUSIP: 869868866 / LI TEST CORP + Business Date: 02/14/2012  
 CUSIP Status: FAST WT SDFS CUSIP Chills: None Last Activity Date: Not Available

All Positions Pledge Segregation **Investment ID** Reorganization Stock Loan & Repo Release PDA

**Investment ID Position**

Total Investment ID Position: 1,100

**Investment ID**

Displaying 10 items Page 1

Serial Number	Trade Date	Position
0000002	12/07/2011	100
0000003	12/07/2011	100
0000004	12/07/2011	100
0000005	12/07/2011	100
0000006	12/07/2011	100
0000007	12/07/2011	100
0000008	12/07/2011	100
0100000	12/01/2008	300
0100003	12/01/2008	1
0300004	11/10/2011	99

Page 1

**The Investment ID tab**

The **Investment ID** tab is divided into two sections:

- Investment ID Position

The Investment ID Position section displays the Total Investment ID Position.

This is a total of the participant's investment ID position for the specified CUSIP and business date. This total appears on the All Positions tab in the Other Positions Section under Investment ID.

- Investment ID

The Investment ID section provides a listing of the individual Investment IDs for this participant, CUSIP, and business date that make up the **Total Investment ID Position** displayed above.

### Quick Tips

- The **Investment ID** tab displays information for the business date that you chose as criteria for your search or that you chose on the **All Positions** tab.

## The Reorganization Tab

The **Reorganization** tab displays the reorganization positions for the specified participant ID, CUSIP, and business date.

Security Positions

Participant: 1250/ABC BROKER CUSIP: 858585856 / LI TEST CORP + Business Date: 02/14/2012

CUSIP Status: FAST VOTING: None Last Activity Date: Not Available

All Positions Reorganization Stock Loan & Repo Release PDA

Reorganization Positions

Total Net Addition (NA) Position: 0 Total Minimum Amount (MA) Position: -12,999,999.259

Reorganization

Displaying 10 items Page 1

Subaccount	Minimum Amount (MA) Position	Net Addition (NA) Position
ALONA0	100	0
ALONA8	13	0
ALONA9	108	0
AL0001	222	0
AL0002	-12,999,999.869	0
AL0003	10	0
AL0004	10	0
AL0005	100	0
AL0006	10	0
AL0007	10	0

Page 1

The Reorganization tab

The **Reorganization** tab is divided into two sections:

- Reorganization Positions

The Reorganization Positions section provides:

#### **Total Net Addition (NA) Position**

This is a total of the participant's Reorg NA position for the specified CUSIP and business date. This is the total that appears on the **All Positions** tab in the Other Positions Section under Reorganization/Net Addition.

#### **Total Minimum Amount (MA) Position**

This is a total of the participant's Reorg MA position for the specified CUSIP and business date. This is the total that appears on the **All Positions** tab in the Other Positions Section under Reorganization/Minimum Amount.

- Reorganization

The Reorganization section provides a list of all the individual reorganizations for MA and NA accounts for this participant, CUSIP, and business date.

### **Quick Tips**

- The **Reorganization** tab displays information for the business date that you chose as criteria for your search or that you chose on the **All Positions** tab.

### **The Stock Loan & Repo Tab**

The **Stock Loan & Repo** tab displays the contra participant's IDs, stock loan positions, and repurchase agreement positions for the specified participant, CUSIP, and business date.

Click [here](#) to open/close an image of the Stock Loan & Repo tab.

The **Stock Loan & Repo** tab is divided into two sections:

- Stock Loan and Repurchase Agreement Positions

The Stock Loan and Repurchase Agreement Positions section displays the following totals:

#### Total Stock Loan Position

This is a total of the participant's Stock Loan position for the specified CUSIP and business date. This total also appears on the All Positions tab in the Miscellaneous Positions Section under Stock Loans.

#### Total Repurchase Agreement Position

This is a total of the participant's Repurchase Agreement position for the specified CUSIP. This total also appears on the All Positions tab in the Miscellaneous Positions Section under Repurchase Agreements.

- Stock Loan and Repurchase Agreements

The Stock Loan and Repurchase Agreements section displays a listing of all the individual Stock Loan accounts and Repurchase Agreement accounts for this participant, CUSIP, and business date.

### Quick Tips

- The **Stock Loan & Repo** tab displays information for the business date you chose as criteria for your search or that you chose on the **All Positions** tab.

## Releasing PDA Position

If you have position in your Pending Delivery Account (PDA) for a specific CUSIP, you can choose to release some or all of your position in the account.

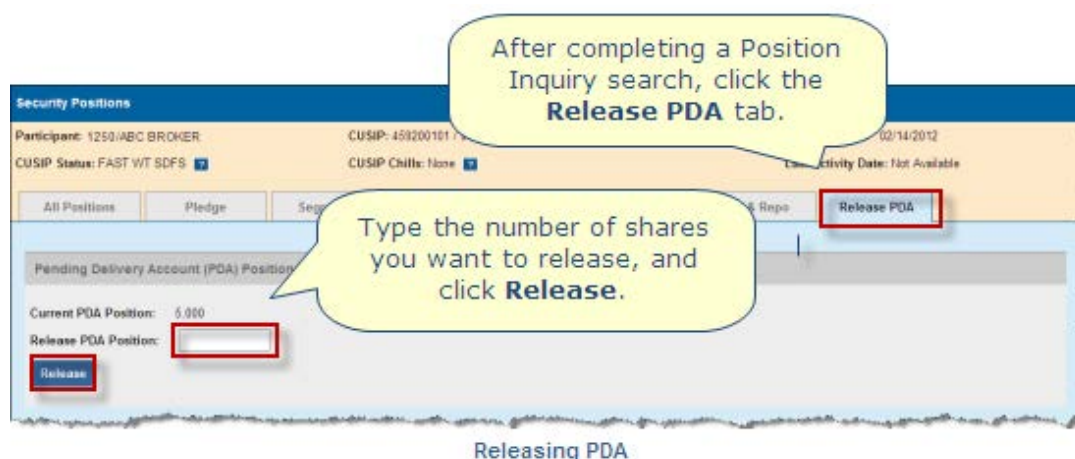
### Note

To view your position in your PDA account, perform a position inquiry search and then click the **All Positions** tab.

You cannot release PDA position after the PDA cutoff time\*.

In order to release PDA position:

- You must have shares in your PDA account.
- You must be authorized by your access coordinator to release PDA position.



**To release PDA position:**

1. Perform a position inquiry search.  
For more information, see [Entering Your Position Inquiry Search](#).
2. Click the **Release PDA** tab.
3. In the **Release PDA Position** field, enter the number of shares you want to release.
4. Click **Release**.  
Settlement Web prompts you to confirm your intentions.
5. Click **OK**.

\*For cutoff times, please refer to the Settlement Services Guide.

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**Note**

The Settlement Events window on the Settlement Dashboard displays a list of settlement events, including cutoffs, that have occurred within the current settlement cycle. For more information, see [Events](#).

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# POSITION MOVEMENT

## About Sub-Account Security Segregation

The Sub-Accounting Service allows you to protect securities on deposit at DTC by moving them from your general free account to your segregated account. The securities remain segregated and unavailable for any transactions until you authorize DTC to release them and return them to your general free account. Shares that are in your segregated account will not be used for the following DTCC services:

- Transfers,
- Deliver Orders,
- Withdrawals, and
- Pledges.

To view segregated shares, see **Position Inquiry - All Positions** tab.

To view sub account serial numbers, see **Position Inquiry - Segregation** tab.

You are able to move positions between your free and segregation accounts.

Position Summary			
Total Free Available	Total Reserved (PDA & PTA)	Total Other	Total Position
1,987,212,447	0	893,097	1,988,105,544
<b>Free Positions</b>			
Net Additions (NA)	999,999,791		
Minimum Amount (MA)	987,213,658		
<b>Reserved:</b>			
Pending Delivery Account (PDA)	(0)		
Pending Transaction Account (PTA)	(0)		
<b>Total Free Available</b>	<b>1,987,212,447</b>		
Memo Segregation	(987,213,658)		
<b>Total Free Excess</b>	<b>999,999,791</b>		
Turnaround / X-Memo (Exclude from Memo Seg.)	0		
<b>Other Positions (to view details click on the tabs above)</b>			
Pledged	10		
<b>Segregation</b>	<b>893,097</b>		
Investment ID	0		
<b>Reorganization:</b>			
Net Additions (NA)	0		
Minimum Amount (MA)	0		
<b>Called:</b>			
With Interest	0		
Without Interest	0		
Withdrawal by Transfer	0		
<b>Total Other</b>	<b>893,097</b>		

Segregation allows you to protect fully-paid-for customer securities as distinguished by a serial number.

For more about security segregation, see the [Settlement Service Guide](#).

## Note Seg-100 Account

You may deposit certain foreign-owned shares of communications, maritime, and specialized ownership issues into segregation account #100 (seg-100) until acquired by a U. S. resident. You can move securities back and forth between your general free account and your seg-100 account, as appropriate, to reflect changes in the amount of certain foreign-owned and specialized ownership issues on deposit at DTC. To see details about alien holdings in an issue and the seg-100 account, refer to the [Settlement Service Guide](#).

## About Memo Segregation

Memo Segregation is an inventory control mechanism or counter that allows you to protect fully-paid-for securities in your general free or IPO control account. You can use Settlement Web to add and update the number of shares that appear in your memo seg position for a given CUSIP.

Use Memo Seg when you need to secure positions within your free account, thus allowing you to protect anticipated, fully-paid-for customer securities.

To view Memo Segregation shares, see **Position Inquiry - All Positions** tab.

**Total Free Available** - Your free positions.  
**Memo Seg** - Anticipated customer securities which must be protected  
**Total Free Available** - the difference between Free and Memo position.

	Total Free Available	Total Reserved (PDA & PTA)
<b>Free Positions</b>	346,013	0
Net Additions (NA)		346,013
Minimum Amount (MA)		0
Reserved:		
Pending Delivery Account (PDA)		(0)
Pending Transaction Account (PTA)		(0)
<b>Total Free Available</b>	<b>346,013</b>	
Memo Segregation		(3)
<b>Total Free Excess</b>	<b>346,010</b>	
Turnaround / X-Items (Exclude from Memo Seg)		0

## Free Excess Position

The difference between your free position and your memo seg count is your free excess. In order for deliveries to be processed from your account, there must be sufficient free excess position.



**Note**

You may also set up standing instructions that automatically update or ignore your memo seg counter based on transaction type. For example, you can opt to automatically increase your memo seg counter upon receipt of free and valued DOs transferring to a customer account. To see details about the types of memo seg indicators you may set up, refer to the [Settlement Service Guide](#) or contact your relationship manager.

## Changing Memo Segregation Position

1. From the Settlement Web main menu bar, under Transaction Submission, select **Memo Segregations**.



The Memo Segregation Input page appears.

2. To add, remove, or replace shares in memo seg, select an action from the **Action** drop-down menu.
  - To add shares to a memo seg position, choose “Add.” Your memo seg counter will increase.
  - To remove shares from a memo seg position, choose “Subtract.” Your memo seg counter will decrease.
  - To overlay a memo seg position, choose “Overlay.” Your memo seg counter will change to reflect the new memo seg balance.

**Memo Segregation Position**  
**Add** - Your Memo Seg counter will increase.  
**Subtract** - Your Memo Seg counter will decrease.  
**Overlay** - Your Memo Seg counter will change to reflect the new Memo Seg balance.

DTCC Settlement Services

Home Activity Position Cash and Balances Transaction Submission Comments

**Memo Segregation Input**

Home > Memo Segregation

\* = Required Field

Validation successful

Participant ID \* 1251 FTS IPA #2

Rec Num	Action *	Quantity *	CUSIP *	CUSIP Description	Total Free Position	Memo Seg Position	Free Excess Position
1	Add	3	459200101	ENTER BUSINESS MACH	348,013	3	348,010
2	Select						
3	Select						
4	Select						
5	Select						
6	Select						
7	Select						
8	Select						
9	Select						
10	Select						

Retrieve Submit Reset

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Click **Retrieve** to see your Total Free, Memo Seg, and Free Excess position for this **CUSIP**.

3. Type the number of shares to be moved and select a CUSIP.
4. Click **Retrieve**.

DTCC Settlement Services

Welcome  
testuser@dtcc.com

Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 6, 2013 - 2:28:13 PM EST

Memo Segregation Input

Home > Memo Segregation

\* = Required Field

Validation successful

Participant ID \* 1250 FTS IPA #1

Rec Num	Action *	Quantity *	CUSIP *	CUSIP Description	Total Free Position	Memo Seg Position	Free Excess Position
1	Subtract	1	459200181	INTER BUSINESS MACH<	4,993,938,095	34	4,993,938,061
2	Subtract	2	459200AA9	INTL BUS MAC11/2 95#	0	25	-25
3	Select						
4	Select						
5	Select						
6	Select						
7	Select						
8	Select						
9	Select						
10	Select						

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The **CUSIP Description**, **Total Free Position**, **Memo Seg Position**, and **Free Excess Position** fields are displayed. Here, you can examine your current memo seg positions before performing any action on them.

- Click **Submit** after you have adjusted any necessary position amounts. The page displays a confirmation message and the number of orders successfully submitted.

DTCC Settlement Services

Welcome  
testuser@dtcc.com

Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 6, 2013 - 2:29:42 PM EST

Memo Segregation Input

Home > Memo Segregation

\* = Required Field

2 transactions submitted Successfully

Participant ID \* 1250 FTS IPA #1

Rec Num	Action *	Quantity *	CUSIP *	CUSIP Description	Total Free Position	Memo Seg Position	Free Excess Position
1	Select						
2	Select						
3	Select						
4	Select						
5	Select						
6	Select						
7	Select						
8	Select						
9	Select						
10	Select						

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To see the updated memo seg balance, from the main menu bar, go to **Position > Position Inquiry** and select the **All Positions** tab.

## About Investment ID

Investment Identification segregates securities for the account of a firm, partner, or business into an Investment ID account, and is used for reporting information to the IRS about securities purchased for investment purposes. Investment ID transactions physically segregate securities into your Investment ID account until instructions are received to release either all or a portion of the segregated securities. This release instruction swings back the securities indicated, making this position now available for other activities.

The segregated shares will appear in your Investment ID account based on the trade date and the type of investor (firm, partner or business) as indicated by the serial numbers below:

- 0100000 – 0199999 for firm,
- 0200000 – 0299999 for partner, and
- 0300000 – 0399999 for business.

Shares that are in your Investment ID account will not be used for the following DTCC services:

- Transfers,
- Deliver Orders,
- Withdrawals, and
- Pledges.

To view Investment ID shares, see **Position Inquiry - All Positions** tab.

To view Investment ID account serial numbers, see **Investment ID** tab.

You are able to move positions between your free and Investment ID accounts.

Position Summary			
Total Free Available	Total Reserved (PDA & PTA)	Total Other	Total Position
4,993,938,095	0	0	4,993,938,103
<b>Free Positions</b>			
Net Additions (NA)	4,993,938,062		
Minimum Amount (MA)	33		
<b>Reserved</b>			
Pending Delivery Account (PDA)	(0)		
Pending Transaction Account (PTA)	(0)		
<b>Total Free Available</b>	<b>4,993,938,095</b>		
Memo Segregation	(22)		
<b>Total Free Excess</b>	<b>4,993,938,062</b>		
Turnaround / 3-Memo (Exclude from Memo Seg)	0		
<b>Other Positions (to view details click on the tabs above)</b>			
Pledged	0		
Segregation	5		
<b>Investment ID</b>	<b>3</b>		
<b>Reorganization</b>			
Net Additions (NA)	0		
Minimum Amount (MA)	0		
<b>Called</b>			
With Interest	0		
Without Interest	0		
Withdrawal by Transfer	0		
<b>Total Other</b>	<b>0</b>		

## Segregating Investment ID Position

Use **Investment ID** (INID) to segregate securities purchased for investment purposes. Use the **Release** function (RNID) to release these securities back into your General Free Account.

- From the Settlement Web main menu bar, under Transaction Submission, select **Investment ID/Releases**.

Transaction Submission	Commands	Profiles	Help	PBS Link
Day Deliver Orders	Memo Segregations			
Future Dated Deliver Orders (NDOs)	Collateral Moves (MA/NA)			
Federal Reserve Deliver Orders	Settlement Transaction File Upload			
Premium Payment Orders	MMI Full Call Notice Input			
Security Payment Orders	<b>Collateral Loan Services</b>			
Account Segregation/Releases	Pledgor - Free/Valued			
<b>Investment ID/Releases</b>	Pledgor - Federal Reserve Bank			
	Pledgor - Options Clearing Corporation			



The Investment Identification Input page appears.

- Click the **INID** radio button.

#### Note

You can segregate position for multiple CUSIPs at once. However, you can only perform one action per submission. The default is **INID Investment Identification**.

- Enter the **Quantity** and **CUSIP**, select the **Investment Type**, and use the calendar tool to select the **Date of Purchase**. Click **Retrieve** to display CUSIP details.

The screenshot shows the 'Investment Identification Input' page. A callout points to the 'INID Investment Identification' radio button, stating: 'Select the left radio button to segregate Investment ID position.' Another callout points to the 'Investment Type' dropdown menu, stating: 'Select the investment type from the drop-down list.' A third callout points to the 'Date of Purchase' calendar icon, stating: 'Use the calendar tool to select the date of purchase.' A fourth callout points to the 'Retrieve' and 'Submit' buttons, stating: 'Click **Retrieve** to display CUSIP details. Click **Submit** to send investment ID segregation instructions to DTC.'

Rec Num	Quantity *	CUSIP *	CUSIP Description	Investment Type *	Date of Purchase *	Free Position	Investment Id Position
1	40	065606055	LI TEST CORP +	Firm	04/17/2013	1,987,212.447	0
2				Select			
3				Select			
4				Select			
5				Select			
6				Select			
7				Select			
8				Select			
9				Select			
10				Select			

Information appears in the CUSIP Description, Free Position, and Investment ID Position fields.

- Adjust any position amounts (if necessary) and click **Submit** to send investment ID segregation instructions to DTC.

The screenshot shows the 'Investment Identification Input' page after submission. A confirmation message is displayed: 'Transaction is pending Deliverer Authorization. 1 transactions submitted Successfully.' The table below shows the data entered in the previous step.

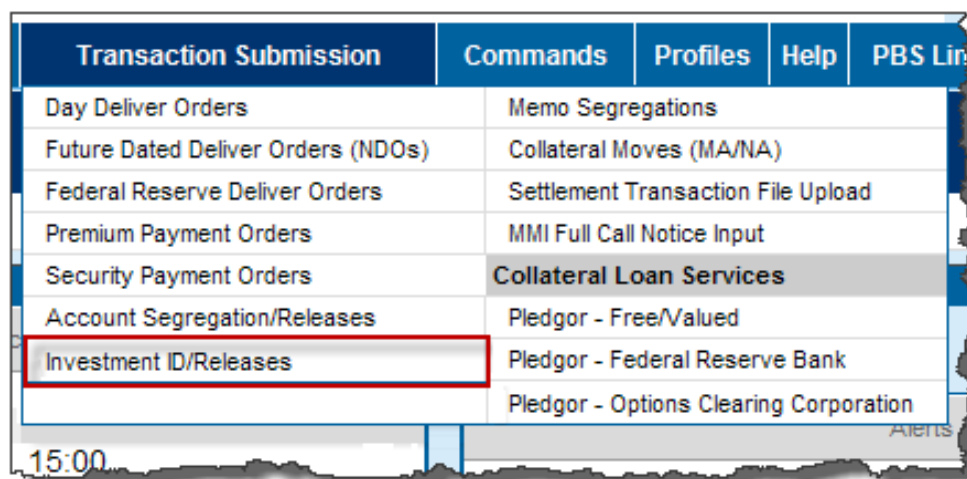
Rec Num	Quantity *	CUSIP *	CUSIP Description	Investment Type *	Date of Purchase *	Free Position	Investment Id Position
1				Select			
2				Select			

The page displays a confirmation message and the number of orders successfully submitted.

## Releasing Investment ID Position

Use **Investment ID** (INID) to segregate securities purchased for investment purposes. Use the **Release** function (RNID) to release these securities back into your General Free Account.

1. From the Settlement Web main menu bar, under Transaction Submission, select **Investment ID/Releases**.



The Investment Identification Input page appears.

2. Click the **RNID** radio button.

### Note

You can release position for multiple CUSIPs at once. However, you can only perform one action per submission. The default is **INID Investment Identification**.

3. Enter the **Quantity**, **CUSIP**, and **Serial Number**, and use the calendar tool to select the **Date of Purchase**. Click **Retrieve**.

### Notes

- In the Serial Number field, indicate the type of investor (firm, partner or business) using the serial numbers below:
  - 0100000 – 0199999 for **Firm**,
  - 0200000 – 0299999 for **Partner**, and
  - 0300000 – 0399999 for **Business**.



Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 19, 2013 - 9:54:09 AM EDT

### Investment Identification Input

Home > Investment ID

\* = Required Field

Record 1 is pending Deliverer Authorization.

Participant ID \* 1250 FTS IPA #1 Comments

☐ NID Investment Identification ☒ RND Release of Investment Identification

Rec Num	Quantity *	CUSIP *	CUSIP Description	Serial Number *	Date of Purchase *	Free Position	Investment Id Position
1	40	86868686	LI TEST CORP +	100001	04/17/2013	1,987,212,447	0
2							
3							
4							
5							
6							
7							
8							
9							
10							

Retrieve Submit Re...

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**Callouts:**

- Select the right radio button to release Investment ID position.
- Use the calendar tool to select the date of purchase.
- Input the appropriate serial number to indicate the type of investor.
- Click **Retrieve** to display CUSIP details. Click **Submit** to send investment ID release instructions to DTC.

Information appears in the **CUSIP Description**, **Free Position**, and **Investment ID Position** fields.

- Adjust any position amounts (if necessary) and click **Submit** to send Investment ID release instructions to DTC.

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 19, 2013 - 9:57:16 AM EDT

### Investment Identification Input

Home > Investment ID

\* = Required Field

Transaction is pending Deliverer Authorization.  
1 transactions submitted Successfully.

Participant ID \* 1250 FTS IPA #1 Comments

☐ NID Investment Identification ☒ RND Release of Investment Identification

Rec Num	Quantity *	CUSIP *	CUSIP Description	Serial Number *	Date of Purchase *	Free Position	Investment Id Position
1							
2							

The page displays a confirmation message and the number of orders successfully submitted.

## About Collateral Moves (MA/NA)

The Collateral Moves MA/NA option allows you to control your securities designated as collateral by reclassifying specific quantities of an issue as either Minimum Amount ("MA"; non-collateral) or Net Additions ("NA"; collateral). This can occur either intraday or during night cycle processing and may include IPO issues.

Before processing a transaction, DTC verifies that the deliverers and receivers collateral monitors will not become negative as a result of the transactions completion. If the transaction would cause either party to have a negative collateral monitor and thereby be under collateralized, the transaction will pend for a deficiency in that party's collateral monitor.

For more information, refer to the [Settlement Service Guide](#), Risk Management Controls chapter.

### The Settlement Web Collateral Moves (MA/NA) Option

You can submit instructions to DTC to reclassify as collateral a specific quantity of an issue previously classified as non-collateral. This results in a Collateral Monitor credit equal to the collateral value of the reclassified securities. Conversely, you can reclassify collateral securities as non-collateral.

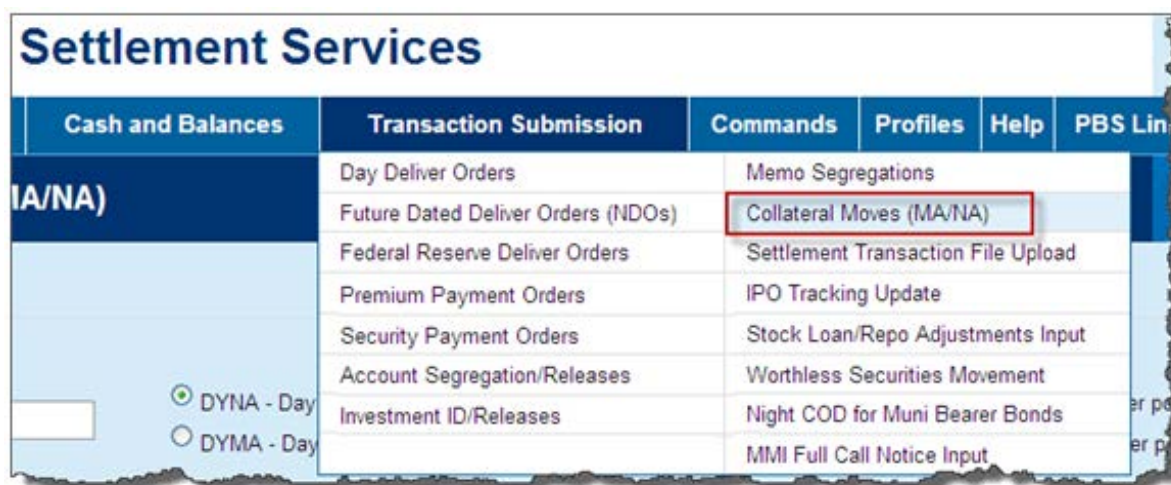
#### Warning!

Consider the implications of classifying your securities as collateral. Collateral can be used to support your debt and therefore can be liquidated by DTC if you are unable to pay your settlement obligation.

## Reclassify Securities as Collateral and Non-Collateral (MA/NA)

Use the Collateral Moves function to control your collateral by reclassifying specific quantities of an issue as either Minimum Amount ("MA"; non-collateral) or Net Additions ("NA"; collateral).

1. From the Settlement Web main menu bar, under Transaction Submission, select **Collateral Moves (MA/NA)**.



The Collateral Moves (MA/NA) page appears.

2. Click a radio button for the action you are performing:
  - Click **DYNA** – Attempts to transfer position from Net Additions to Minimum Amount to reclassify shares as Non-collateral in the current day cycle (**Decreases Collateral**).
  - Click **NTNA** –Attempts to transfer position from Net Additions to Minimum Amount to reclassify shares as Non-collateral in the following night cycle (**Decreases Collateral**).
  - Click **DYMA** – Attempts to transfer position from Minimum Amount to Net Additions to reclassify shares as collateral in the current day cycle (**Increases Collateral**).
  - Click **NTMA** –Attempts to transfer position from Minimum Amount to Net Additions to reclassify shares as collateral in the following night cycle (**Increases Collateral**).

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 19, 2013 - 12:05:11 PM EDT

### Collateral Moves (MA/NA)

Home > MA/NA

\* - Required Field

Participant ID \* 1250

☒ DYNA - Day transfer position from Net Additions to Minimum Amount.
 ☐ NTNA - Night transfer position from Net Addition to Minimum Amount.

☐ DYMA - Day transfer position from Minimum Amount to Net Additions.
 ☐ NTMA - Night transfer position from Minimum Amount to Net Additions.

Rec Num	Quantity *	CUSIP *	CUSIP Description	IPO	Prevent Pend	MA Position	NA Position
1				<input type="checkbox"/>	<input type="checkbox"/>		
2				<input type="checkbox"/>	<input type="checkbox"/>		
3				<input type="checkbox"/>	<input type="checkbox"/>		
4				<input type="checkbox"/>	<input type="checkbox"/>		
5				<input type="checkbox"/>	<input type="checkbox"/>		
6				<input type="checkbox"/>	<input type="checkbox"/>		
7				<input type="checkbox"/>	<input type="checkbox"/>		
8				<input type="checkbox"/>	<input type="checkbox"/>		
9				<input type="checkbox"/>	<input type="checkbox"/>		
10				<input type="checkbox"/>	<input type="checkbox"/>		

Retrieve Submit Reset

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3. Enter the **Quantity** and **CUSIP** for any issues that you want to reclassify. Click the **IPO** and/or **Prevent Pend** boxes if applicable. Click **Retrieve**.

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 19, 2013 - 12:30:05 PM EDT

### Collateral Moves (MA/NA)

Home > MANA Help Print Results

\* = Required Field

Record 1 is pending Deliverer Authorization.

Participant ID \* 1250  
FTS PA #1

☐ DYNA - Day transfer position from Net Additions to Minimum Amount.
 ☐ NTNA - Night transfer position from Net Addition to Minimum Amount.

☐ DYMA - Day transfer position from Minimum Amount to Net Additions.
 ☐ NTMA - Night transfer position from Minimum Amount to Net Additions.

Rec Num	Quantity *	CUSIP *	CUSIP Description	IPO	Prevent Pend	MA Position	NA Position
1	1	060606060	LI TEST CORP *	<input checked="" type="checkbox"/>	<input type="checkbox"/>	33	4,993,938,062
2				<input type="checkbox"/>	<input type="checkbox"/>		
3				<input type="checkbox"/>	<input type="checkbox"/>		
4				<input type="checkbox"/>	<input type="checkbox"/>		
5				<input type="checkbox"/>	<input type="checkbox"/>		
6				<input type="checkbox"/>	<input type="checkbox"/>		
7				<input type="checkbox"/>	<input type="checkbox"/>		
8				<input type="checkbox"/>	<input type="checkbox"/>		
9				<input type="checkbox"/>	<input type="checkbox"/>		
10				<input type="checkbox"/>	<input type="checkbox"/>		

Retrieve Submit Reset

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**Callouts:**

- Enter **Quantity** and **CUSIP** number.
- Check the **IPO** box if this is an IPO issue.
- Click **Prevent Pend** to prevent a daytime reclassification from recycling. (Day Transaction Only).

Information appears in the **CUSIP Description**, **MA Position**, and **NA Position** fields.

- Adjust any position amount (if necessary) and click Submit to send the collateral reclassification to DTC.

#### Note

DTC verifies that the deliverers and receivers collateral monitors will not become negative when the transaction completes. If the transaction would cause either party to have a negative collateral monitor and therefore be under collateralized, the transaction will pend.

The page displays a confirmation message and the number of orders successfully submitted.

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Apr 17, 2013 - 12:23:45 PM EDT

### Collateral Moves (MA/NA)

Home > MANA Help Print Results

\* = Required Field

Transaction is pending Deliverer Authorization.  
1 transactions submitted Successfully.

Participant ID \* 1250  
FTS PA #1

☒ DYNA - Day transfer position from Net Additions to Minimum Amount.
 ☐ NTNA - Night transfer position from Net Addition to Minimum Amount.

☐ DYMA - Day transfer position from Minimum Amount to Net Additions.
 ☐ NTMA - Night transfer position from Minimum Amount to Net Additions.

Rec Num	Quantity *	CUSIP *	CUSIP Description	IPO	Prevent Pend	MA Position	NA Position
1				<input type="checkbox"/>	<input type="checkbox"/>		

# SECONDARY TRANSACTION APPROVAL

---

## About Secondary Transaction Approval

The Secondary Transaction Approval function provides participants with the option to route Settlement Web-entered transactions to a queue for approval or cancellation prior to being submitted for processing at DTC. This occurs within your own company and helps minimize unauthorized transactional activity.

Any or all of the below transaction types are eligible to route to the Secondary Transaction Approval queue:

- Deliver Orders,
- Payment Orders (Premium and Security),
- Memo Segregations,
- Segregations and Release of Segregations,
- Investment IDs and Release of Investment IDs, and
- MA/NA position movement.
- Collateral Loans
- Stock Loan / Repo Adjustments

Firms can choose to route transactions entered via the screen and/or upload function of the Settlement Web to this queue, and can opt to include free and/or valued transactions (if applicable).

## Understanding Secondary Transaction Approval

### Profiles

Any firm wishing to route transactions to the Secondary Transaction Approval queue must first create a profile for the relevant transaction types and submission types. Refer to [About Secondary Approval Profiles](#) and [Creating and Updating Secondary Transaction Approval Profiles](#) for more information on creating profiles.

### The Queue

Once a profile has been created and approved, the transaction types selected will begin routing to the queue immediately. Properly provisioned users will be able to review, approve, and cancel any transactions pending secondary approval, including options for bulk approval. Additionally, the queue includes advanced sort and filter tools and full audit trail details for each item.

---

### Important!

Transactions pending approval will not be submitted for processing until the transaction has been approved in the queue. Approvals must be performed by the transaction type's cutoff time. Future settlement date transactions may be approved up until the cutoff time on the specified delivery date.

---

## About Secondary Approval Profiles

To require secondary approval for transactions, you must first establish a [Secondary Transaction Approval profile](#). After your profile has been created and approved, the transaction types you've chosen will begin routing to the queue for approval immediately.

Options include:

Transaction Type	Free	Valued
Deliver Orders 1	Free	Valued
Payment Orders 2		Valued
Segregations/Releases	Free	
Investment IDs/Releases	Free	
Memo Segregations	Free	
Collateral (MA/NA) Moves	Free	
Collateral Loans	Free	Valued
Stock Loan / Repo Adjustments	Free	

Your Secondary Approval profile may be set up for:

- Transactions entered via the Settlement Web browser, and/or
- Transactions uploaded to the Settlement Web via a .CSV file to the [Settlement Transaction File Upload](#) service.

### Immediate Activation

You can create and update your profile at any point during the day for immediate implementation upon approval.

The screenshot displays the 'Secondary Transaction Approval Profiles' page in the Settlement Web. The header includes a welcome message for 'testuser@dtcc.com' and links for 'Log Out' and 'Change Password'. The main navigation bar contains links for Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The date and time are shown as 'Jul 24, 2018 - 10:31:07 AM EDT'. The page title is 'Secondary Transaction Approval Profiles'. Below the title, there are three tabs: 'Active', 'Pending Approval', and 'History'. The 'Active' tab is selected. Below the tabs, there is a 'Search Criteria' section with a label '\* = Required Field'. The 'Participant ID' field is populated with '1250'. There are 'Search' and 'Reset' buttons. Callout boxes provide additional information: 'The Active tab shows the profile currently in effect.', 'The Pending Approval tab shows newly created or updates to profiles.', and 'The History tab shows the audit details of Rejected or Expired profiles.'

**Note**

Properly provisioned users may approve and reject profile adds/updates on the **Pending Approval** tab.

**Profile Updates and Audit History**

You can update an existing profile by adding a new profile that overwrites it. Once approved, the profile moves from the Pending Approval tab to the Active tab. The old profile then appears in the History tab as “Expired.”

Audit				
Secondary Transaction Approval Profile Audit Information				
Time	Action Sign On Id	Action Performed	Comment	Transaction Status
Tue 5, Mar 2013 - 9:07:53 AM EST	00001234	Added		Pending Approval
Tue 5, Mar 2013 - 9:11:37 AM EST	00001234	Approved		Active
Mon 22, Apr 2013 - 10:10:50 AM EDT	00001234	Expired		Expired
Close				



# Creating and Updating Secondary Transaction Approval Profiles

Topics on this page include:

- [Searching](#)
- [Adding and Updating Profiles](#)
- [Audit History](#)

## Searching

1. From the Settlement Web main menu bar, under Profiles, click **Secondary Transaction Approval Profiles**.

The Secondary Transaction approval page appears.

2. To retrieve your profile, click **Search**.

## Adding and Updating Profiles

1. If there is no profile established under this participant ID, you are prompted to create a profile. Click **Add Profile**.  
If there is a profile established, you can make updates to it. Click **Add/Modify Profile**.  
The Add Secondary Transaction Approval page appears (for both Add and Modify).

**Add Secondary Transaction Approval Profile**

Participant ID : 1258

**Input Type : Manual**

Transaction Type	Free	Valued
Deliver Orders	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Payment Orders	<input type="checkbox"/>	<input type="checkbox"/>
Segregations/Release of Segregations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Investment IDs/Release of Investment IDs	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Memo Segregations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Collateral Moves (MA/NA)	<input type="checkbox"/>	<input type="checkbox"/>
Pledge	<input type="checkbox"/>	<input type="checkbox"/>
Release Request	<input type="checkbox"/>	<input type="checkbox"/>
OCC Free Pledge	<input type="checkbox"/>	<input type="checkbox"/>
OCC Options Release Of Deposit Request	<input type="checkbox"/>	<input type="checkbox"/>
Federal Reserve Bank Free Pledge	<input type="checkbox"/>	<input type="checkbox"/>
Federal Reserve Bank Release Request	<input type="checkbox"/>	<input type="checkbox"/>
Stock Loan/Repo Adjustment Submission	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Input Type : Upload**

Transaction Type	Free	Valued
Deliver Orders	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Payment Orders	<input type="checkbox"/>	<input type="checkbox"/>
Segregations/Release of Segregations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Investment IDs/Release of Investment IDs	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Memo Segregations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Collateral Moves (MA/NA)	<input type="checkbox"/>	<input type="checkbox"/>
Pledge	<input type="checkbox"/>	<input type="checkbox"/>
Release Request	<input type="checkbox"/>	<input type="checkbox"/>
OCC Free Pledge	<input type="checkbox"/>	<input type="checkbox"/>
OCC Options Release Of Deposit Request	<input type="checkbox"/>	<input type="checkbox"/>
Federal Reserve Bank Free Pledge	<input type="checkbox"/>	<input type="checkbox"/>
Federal Reserve Bank Release Request	<input type="checkbox"/>	<input type="checkbox"/>
Stock Loan/Repo Adjustment Submission	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Add Comments Section  
245 Characters max.

**Add Profile** **Close**

To indicate secondary approvals are required, click the checkbox next to a transaction type.

2. Select the transaction types you wish to include and type a comment (if applicable). Click **Add Profile**.  
The page displays a message that the profile is **Pending Approval**.

**Add Secondary Transaction Approval Profile**

Deliverer Profile Added. The profile is currently in Pending Approval Status awaiting Secondary Approval.

**Add Secondary Transaction Approval Profile**

### Important!

In order to proceed, another user must approve the profile. Properly provisioned users can review, approve, or reject new and updated profiles on the **Pending Approval** tab.

3. To approve the profile update, a different (and properly provisioned) user must log into the pending approval tab and click **Approve**.

**DTCC** | Settlement Services

Welcome  
Testuser@dtcc.com

Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 5, 2020 - 3:23:13 PM EST

### Secondary Transaction Approval

Home > Secondary Transaction Approval Profiles Help Print

Active Pending Approval History

**Search Criteria** \* = Required Field

Participant ID \*  
1258

Search Reset

**Pending Approval Profile**

Participant ID : 1258/FTS A/C #5

**Input Type : Manual**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

**Input Type : Upload**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

Approve/Reject Comments  
Section  
245 Characters max.

Approve Reject Audit

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Once approved, the profile is **Active**.

**DTCC** | Settlement Services

Welcome  
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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 5, 2020 - 3:23:13 PM EST

### Secondary Transaction Approval

Home > Secondary Transaction Approval Profiles Help Print

Active Pending Approval History

**Search Criteria** \* = Required Field

Participant ID \*  
1258

Search Reset

✓ Deliverer Profile Approved. The profile is currently in Active Status. Navigate to Active Tab to View the Profile.

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Your profile appears on the Secondary Transaction Approval Active tab.

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Feb 5, 2020 - 3:23:13 PM EST

## Secondary Transaction Approval

Home > Secondary Transaction Approval Profiles

Active | Pending Approval | History

**Search Criteria** \* = Required Field

Participant ID \*  
1258 X

Search Reset

**Active Profile**

Participant ID : 1258/FTS A/C #5

**Input Type : Manual**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

**Input Type : Upload**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

Add/Modify Profile | Delete Profile | **Audit**

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The transaction types you indicated in the profile are routed to the queue in the Secondary Transaction Approval queue for approval.

## Audit History

To see Audit details for the updates made to this profile, click **Audit**.

**Audit**

**Secondary Transaction Approval Profile Audit Information**

Click the link to see any **Comments**.

Time	Action Sign On Id	Action Performed	Comment	Transaction Status
Wed 16, Oct 2019 - 12:20:51 AM EDT	d00490g9	Added	<a href="#">Comments</a>	Pending Approval
Wed 5, Feb 2020 - 3:26:54 PM EST	d0014008	Approved		Active

To see Rejected or Expired profile updates, click the **History** tab.

You can page through the update history by clicking the **Page** and buttons.

**DTCC Settlement Services**

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Feb 5, 2020 - 3:58:08 PM EST

### Secondary Transaction Approval

Home > Secondary Transaction Approval Profiles

Active | Pending Approval | **History**

**Search Criteria** \* = Required Field

Participant ID \* 1258 | Status Expired

**Search** **Reset**

**Historical Profiles**

Participant ID : 1258/FTS A/C #5 | Expire Date : 2020-02-05 15:26:54.827249

**Input Type : Manual**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

**Input Type : Upload**

Transaction Type	Free	Valued
Deliver Orders	✓	✓
Payment Orders		
Segregations/Release of Segregations	✓	
Investment IDs/Release of Investment IDs	✓	
Memo Segregations	✓	
Collateral Moves (MA/NA)		
Pledge		
Release Request		
OCC Free Pledge		
OCC Options Release Of Deposit Request		
Federal Reserve Bank Free Pledge		
Federal Reserve Bank Release Request		
Stock Loan/Repo Adjustment Submission	✓	

**Page 1**

**Audit**

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## Searching for, Approving, and/or Cancelling Transactions in the Queue

Topics on this page include:

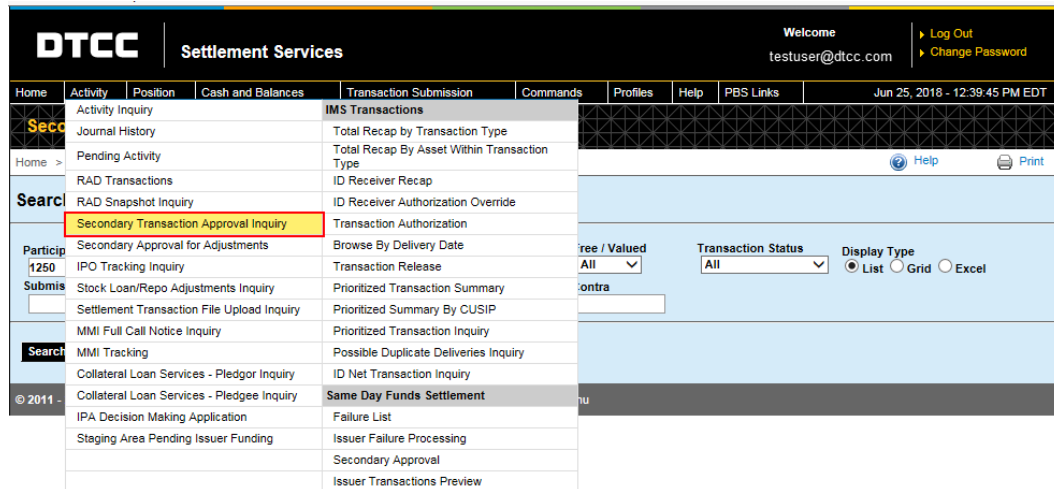
- [Searching](#)
- [Approving and Canceling Transactions](#)

### Searching

Properly provisioned users can review, approve or cancel transactions routed to the Secondary Transaction Approval queue.

To search for transactions in the queue:

1. From the Settlement Web main menu bar, under Activity, click **Secondary Transaction Approval Inquiry**.



The Secondary Transaction Approval page appears.

2. Select the search criteria. You can limit your search with any combination of these search criteria. You can further refine your search using the **Transaction Type**, **Input Method**, **Free/Valued**, **Transaction Status**, **Submission Date**, **CUSIP**, **Submitter ID**, and **Contra** fields. The more you refine your search criteria, the more specific your search will be.
3. Select a **Display Type** radio button to indicate how you want to view your search results:
  - **List** displays the search results in a static table that allows you to approve and/or cancel individual transactions in any combination. It contains up to 20 transactions per page.
  - **Grid** displays the search results in a scrollable table that can be filtered by column name and can contain up to 100 records per page. Comments are shown for each transaction in the search results. The results can then be approved or canceled individually or in bulk.
  - **Excel** exports the search results into an Excel spreadsheet, containing up to 2,000 records per sheet.
4. Click **Search**.

Your query results appear at the bottom of the page. These are the transactions that you may approve or cancel.

List View:

**DTCC** | Settlement Services
 

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Jun 25, 2018 - 1:54:06 PM EDT

**Secondary Transaction Approval**

Home > Secondary Transaction Approval
 

Help
 Print

**Search Criteria** \* = Required Field

Participant ID \*  
1250

Transaction Type  
All

Input Method  
All

Free / Valued  
All

Transaction Status  
Pending Approval

Display Type  
☒ List
 ☐ Grid
 ☐ Excel

Submission Date

CUSIP

Submitter ID

Contra

Search
 Reset

**Search Results**

Activity w/Comments Lens

This is the last page of data that satisfies your search criteria.

Displaying 4 items
 Page 1

Action	Approve	Cancel	Transaction	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Method	Processing Date
<input type="checkbox"/>	<input type="checkbox"/>		<a href="#">Col Moves(MA/NA)</a> 868686866 DYN	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018
<input type="checkbox"/>	<input type="checkbox"/>		<a href="#">Investment ID</a> 868686866 COMMENTS: Test Participant, INVSTMNT TYPE: FIRM, DT OF PURCHASE: 06/25/2018	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018
<input type="checkbox"/>	<input type="checkbox"/>		<a href="#">Segregation</a> 868686866 COMMENTS: Test Participant, SERIAL NBR: 1	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018
<input type="checkbox"/>	<input type="checkbox"/>		<a href="#">Deliver Order</a> 868686866 DLVR ACCT: Test Broker, RCVR ACCT: Test Receiver, SD: 06/25/2018, COMMENTS:	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018

Submit
 Reset

Page 1

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Grid View:

**DTCC Settlement Services** Welcome testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Jun 25, 2018 - 1:59:06 PM EDT

### Secondary Transaction Approval

Home > Secondary Transaction Approval | Help | Print

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Transaction Type All | Input Method All | Free / Valued All | Transaction Status Pending Approval | Display Type ☐ List ☒ Grid ☐ Excel

Submission Date | CUSIP | Submitter ID | Contra

**Search** **Reset**

**Search Results area**

**Secondary Transaction Approval Search Results as of Jun 25, 2018 - 1:59:06 PM EDT** Customize Grid Bulk Approve Cmd

Filters Apply Reset Page 1 of 1

Transaction Type	CUSIP	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Type	Processing Date
Col Moves (MA/NA)	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018
Investment ID	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018
Segregation	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018
Deliver Order	868686866	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018

Right-click on any individual transaction to approve or cancel it.

Excel Spreadsheet:

Secondary Transaction Approval\_1529949611759009125.xls - Excel Hancox, Kristen B.

File Home Insert Page Layout Formulas Data Review View ACROBAT Tell me what you want to do Share

Clipboard Font Alignment Protection Number Styles Cells Editing

E2 : 1260

DTCC Classification: Not set

	A	B	C	D	E	F	G	H	I	J	K
	Transaction Type	CUSIP	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Method	Processing Date
2	Col Moves(MA/NA)	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018
3	Investment ID	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018
4	Segregation	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018
5	Deliver Order	868686866	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018

Secondary Transaction Approval

## Approving and Canceling Transactions

Transactions can be approved and/or cancelled in the both the List and Grid display types. Note that only transactions with a Pending Approval status are eligible for approval or cancellation.

## Using the List Display Type

- Once you've searched for a transaction (or group of transactions) to approve using the List display type, you can approve or cancel any combination of transactions or the entire page at once. Click the check box next to each transaction that you want to approve or cancel
  - Click the left check box to approve a transaction.
  - Click the right check box to cancel a transaction.
  - You can select or deselect any or all of the transactions on the page for approval or cancellation.

**DTCC Settlement Services** | Welcome testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Jun 25, 2018 - 1:54:06 PM EDT

### Secondary Transaction Approval

Home > Secondary Transaction Approval

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Transaction Type All | Input Method All | Free / Valued All | Transaction Status Pending Approval | Display Type List (selected) | Grid | Excel

Submission Date | CUSIP | Submitter ID | Contra

**Search** **Reset**

**Search Results** Activity w/Comments Lens

This is the last page of data that satisfies your search criteria.

Displaying 4 items | Page 1

Action	Approve	Cancel	Transaction Details	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Method	Processing Date
<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Col Moves(MA/NA)</a>	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018
DYNA												
<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Investment ID</a>	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018
COMMENTS: Test Participant, INVTMNT TYPE: FIRM, DT OF PURCHASE: 06/25/2018												
<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Segregation</a>	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018
COMMENTS: Test Participant, SERIAL NBR: 1												

- After you have selected the transactions you want to approve or cancel, click Submit at the bottom of the page.

**Submit** **Reset**

Page 1

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You will see a success or failure message at the top of the page after the approvals and/or cancellations have been submitted.

## Using the Grid Display Type

- Once you've searched for a transaction (or group of transactions) to approve or cancel using the Grid display type, you may approve transactions individually or in bulk.

**Grid Individual Approvals** - To approve individual transactions, right click on an original transaction and select **Approve** or **Cancel**.

**DTCC Settlement Services** | Welcome testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Jun 25, 2018 - 1:59:06 PM EDT

### Secondary Transaction Approval

Home > Secondary Transaction Approval | Help | Print

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Transaction Type All | Input Method All | Free / Valued All | Transaction Status Pending Approval | Display Type List Grid Excel

Submission Date | CUSIP | Submitter ID | Contra

Search Reset

**Secondary Transaction Approval Search Results as of Jun 25, 2018 - 1:59:06 PM EDT** | Customize Grid | Bulk Approve | Cmd

Filters | Apply | Reset | Page 1 of 1

Transaction Type	CUSIP	Quantity	Comments	Submitter ID	Submission Timestamp	Reason Code	Input Type	Processing Date
Col Moves (MA/NA)	868686866	10	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry 06/25/2018
Investment ID	868686866	10	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry 06/25/2018
Segregation	868686866	10	0.00	1260	Pending Approval	2018-06-25 13:50:18.265061	000	Manual Entry 06/25/2018
Deliver Order	868686866	10	10.00	1260	Pending Approval	2018-06-25 13:47:41.550333	030	Manual Entry 06/25/2018

Right-click to approve an individual transaction in Grid view.

Approve Transaction  
Cancel Transaction

**Grid Bulk Approvals** - Select either **Bulk Approval** or **Bulk Cancel** from the drop-down menu in the top right corner of the grid. Click **Cmd**.

**DTCC** | Settlement Services | Welcome | testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Jun 25, 2018 - 4:31:53 PM EDT

### Secondary Transaction Approval

Home > Secondary Transaction Approval | Help | Print

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Transaction Type All | Input Method All | Free / Valued All | Transaction Status Pending Approval | Display Type List Grid Excel

Submission Date | CUSIP | Submitter ID | Contra

**Search** **Reset**

**Secondary Transaction Approval Search Results as of Jun 25, 2018 - 4:31:53 PM EDT** | Customize Grid | Bulk Approve | **Cmd**

Filters | Apply | Reset | Page 1 of 1

Transaction Type	CUSIP	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Type	Processing Date	Command Status
Col Moves (MA/NA)	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018	
Investment ID	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018	
Segregation	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018	
Deliver Order	868686866	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018	

Select Bulk Approve or Cancel and click Cmd in Grid view.

Your transaction(s) display in the Command Center window. You can select or deselect any or all of the transactions in the grid which are eligible for processing. To process the approvals or cancellations, click **Submit Command**.

**Bulk Secondary Transaction Approval**

**Command Center**

Command : Approve

**Submit Command**

All	Transaction Type	CUSIP	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Type	Processing Date	Command Status
<input checked="" type="checkbox"/>	Col Moves (MA/NA)	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018	
<input checked="" type="checkbox"/>	Investment ID	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018	
<input checked="" type="checkbox"/>	Segregation	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018	
<input checked="" type="checkbox"/>	Deliver Order	868686866	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018	

**Close**





A confirmation message displays showing the number of transactions successfully submitted.

## Bulk Secondary Transaction Approval

## Command Results Summary

Commands Processed :

**4 Approve Commands Processed with 3 Submitted and 1 Rejected.**

All	Transaction Type	CUSIP	Quantity	Amount	Contra	Status	Submitter ID	Submission Timestamp	Reason Code	Input Type	Processing Date	Command Status
<input checked="" type="checkbox"/>	Col Moves (MA/NA)	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:52:48.04898	000	Manual Entry	06/25/2018	Approved 
<input checked="" type="checkbox"/>	Investment ID	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:52.06273	000	Manual Entry	06/25/2018	Approved 
<input checked="" type="checkbox"/>	Segregation	868686866	10	0.00	1260	Pending Approval	D0061007	2018-06-25 13:50:18.265061	000	Manual Entry	06/25/2018	Approved 
<input checked="" type="checkbox"/>	Deliver Order	868686866	10	10.00	1260	Pending Approval	D0061007	2018-06-25 13:47:41.550333	030	Manual Entry	06/25/2018	Past Cutoff 

Close

# Transaction Audit Details

1. [Search for a transaction](#) (or group of transactions) to approve.

## Note

Be sure that "List" is selected as your Display Type.

**DTCC Settlement Services**

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Jun 25, 2018 - 4:49:50 PM EDT

**Secondary Transaction Approval**

Home > Secondary Transaction Approval | Help | Print

**Search Criteria** \* = Required Field

Participant ID \* 1250 x Transaction Type All Input Method All Free / Valued All Transaction Status All Display Type ☒ List ☐ Grid ☐ Excel

Submission Date CUSIP Submitter ID Contra

**Search** **Reset**

Click Search after you have finished entering your search criteria.

Make sure List is selected when searching for transaction audit details.

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The Secondary Transaction Approval page appears. The results are displayed on the bottom in List view.

2. Click the link in the Transaction Type column for the transaction for which you want to view audit details.

Action Approve Cancel	Transaction Type	CUSIP	Quantity
	<a href="#">Deliver Order</a>	868686866	10
DLVR ACCT: 22222, RCVR ACCT:			

A separate Transaction Details window opens. It contains audit details for the transaction you are researching.

**Transaction Details**

Transaction Details

Submitter ID:	D00490C4	Submission Timestamp	2018-06-15 16:27:47.394
Cusip:	868686866 - LI TEST CORPORATION +	Quantity:	10
Processing Date:	2018-06-15	Amount:	0.00
Receiver ID:	00001260 - TEST BROKER	Deliverer ID:	00001250 - FTS IPA #1
Reason Code:	030	Transaction Type:	Deliver Order
Input Method:	Upload	Transaction Status:	Approved
Transaction Approver ID:	D0049030	Approval Timestamp:	2018-06-15 16:28:14.084176
Transaction Detail:	DLVR ACCT: 22222, RCVR ACCT: 33333, SD: 06/15/2018, COMMENTS:		

Click the Print button to print the audit details. Click the X to close the window.

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# SETTLEMENT STATEMENTS

## End of Day Consolidated Settlement

End-of-day net funds settlement provides same-day settlement finality, thereby reducing the duration of settlement risk for participants.

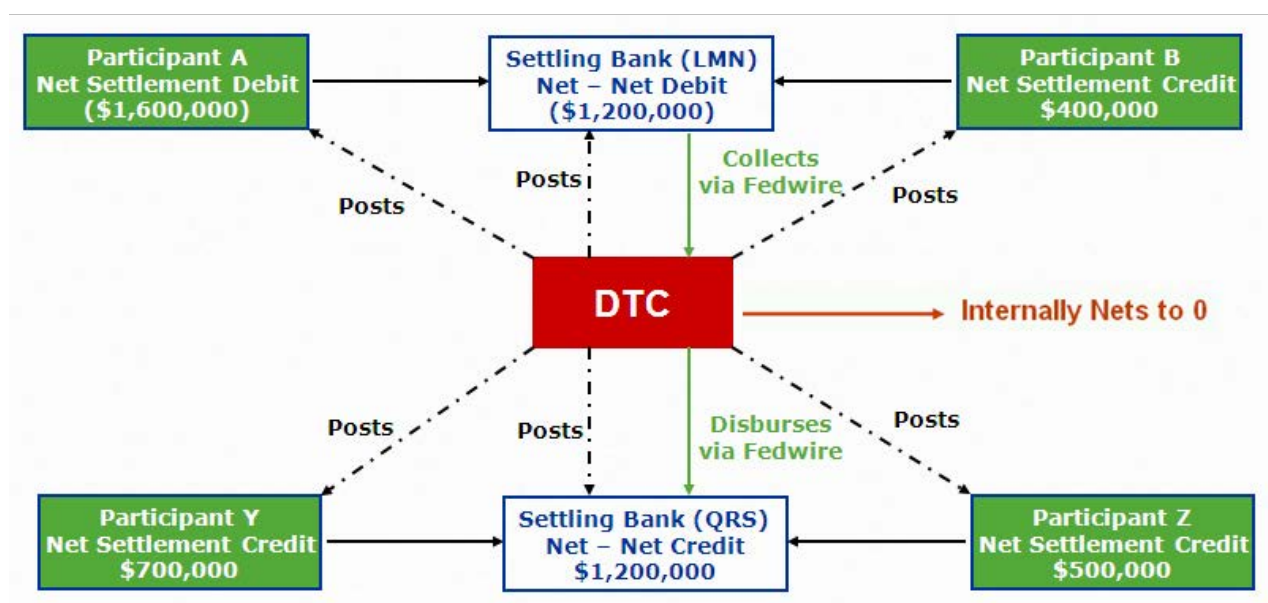
Upon the completion of [cross endorsement](#), a final net debit or credit balance is determined for each participant. Debits reflect a participant's obligation to pay DTC while credits reflect an obligation to pay the participant.

Each participant must have a settling bank that is also a DTC participant with access to the Fedwire system and National Settlement Service (NSS), to act on its behalf when settling with DTC.

DTC further reduces money transfers by netting participant balances at the settling bank level, which allows a settling bank to settle for multiple participants via a single Fedwire instruction rather than settling each individual participant balance.

### End of Day Settlement (Final Figures)

In this example, we are only using four participants and two settling banks.



1. DTC posts a net settlement balance to all participants.
2. DTC posts a net-net settlement balance to settling banks which is the sum of all net settlement balances on behalf of participants for which it settles.
3. DTC collects the money of \$1,200,000 via Fedwire from Settling Bank LMN and disburses it to Settling Bank QRS.



## DTC and NSCC Cross Endorsement

Consolidated settlement occurs for participants who have full settling membership accounts at both DTC and NSCC. The net settlement balance of a participant's account at DTC is netted with its net settlement balance at NSCC. This netting creates one consolidated net settlement balance that is used by the settling bank in final figures processing each day.

After valued RAD approval cutoff, DTC sends a broadcast message announcing that settlement final figures have occurred for today. At this time, you are able to see the legal entity's DTC Totals, NSCC totals, and the total for both.

**DTCC Settlement Services**

Welcome  
Testuser@dtcc.com  
Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Aug 6, 2014 - 3:43:54 PM EDT

**Legal Entity statement**

Home > Legal Entity statement

**SETTLEMENT FINAL FIGURES HAS OCCURRED @16.31.15**

\* = Required Field

Participant ID \* 1250 Settlement Date \* 7/30/2014

Statement Type  
☐ Participant ☐ Collateral group ☒ Legal Entity

Search Reset

**Legal Entity Statements for Settlement Date: 07/30/2014**

DTCC Participant ID: 1250 DTCC Legal Entity: FTS TEST ACCOUNT #1 Bank: 72601206 - FTS TEST SETTLING BANK #1  
 NSCC Participant ID: 1250 NSCC Legal Entity: FTS TEST ACCOUNT #1 Bank: 72601206 - FTS TEST SETTLING BANK #1

Participant Account Statement	Debit	Credit	Balance
<b>DTC Totals</b>	<b>\$317,926.90</b>	<b>\$15,921,838.99</b>	<b>\$15,603,912.09 CR</b>
Activity Balance	\$0.00	\$15,047,404.00	\$15,047,404.00 CR
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$730.99	\$737,399.99	\$736,669.00 CR
Post Activity	\$0.00	\$13,579.00	\$13,579.00 CR
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$316,196.91	\$0.00	\$316,196.91 DB
<a href="#">Cross Endorsement Adjustments</a>	\$999.00	\$123,456.00	\$122,457.00 CR
<a href="#">Participant Activity Total Breakdown</a>			
<b>NSCC Totals</b>	<b>\$483,802.47</b>	<b>\$427,126.47</b>	<b>\$56,676.00 DB</b>
Activity Balance	\$418,571.48	\$110,066.57	\$308,504.91 DB
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$7,777.99	\$85.99	\$7,692.00 DB
Post Activity	\$56,565.00	\$0.00	\$56,565.00 DB
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$0.00	\$316,196.91	\$316,196.91 CR
<a href="#">Cross Endorsement Adjustments</a>	\$888.00	\$777.00	\$111.00 DB
<a href="#">Participant Activity Total Breakdown</a>			
<b>Net-Net Balances</b>	<b>\$801,729.37</b>	<b>\$16,348,965.46</b>	<b>\$15,547,236.09 CR</b>

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DTC and NSCC legal entity balances are cross-endorsed before final net settlement figures are published.

In this example, the entire NSCC debit is offset by a DTC credit.

This is the Net-Net balance that this participant's settling bank will settle on its behalf.

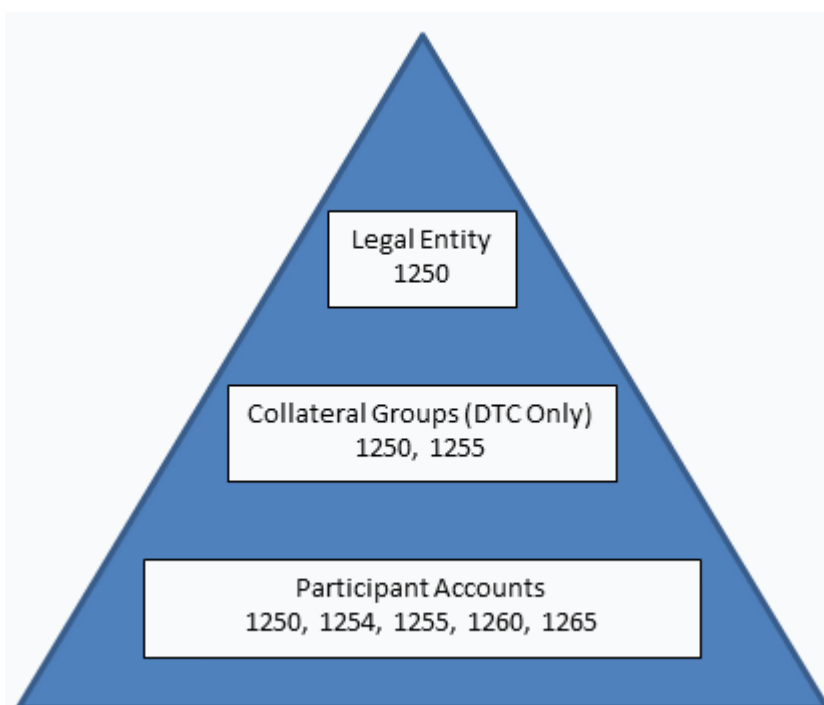
## About Participant, Collateral Group, and Legal Entity Totals

Settlement uses a number of participant and bank account relationships to dynamically settle participant obligations on a daily basis.

- The **Legal Entity** is the highest level in Settlement's accounting structure and is the account used for actual client settlement. A legal entity can only be associated with one settling bank.
- The **Collateral Group** is the next level. In settlement, participants may instruct DTC to group multiple accounts into different collateral families and allocate specific percentages of their start-of-day collateral and net debit cap to each family. There are Risk Management Control-related balances for your collateral group.
- The **Participant** is the lowest account level at which transactions are processed and activity occurs.

### Example of Account Relationships

All settlement obligation amounts in the Settlement Statement are dynamically built by rolling up subordinated account balances to the next higher level. Participant balances roll up to the Collateral Group level which roll up to the Legal Entity.



## About Settling Banks

Each participant must choose a settling bank that is also a DTC participant with access to the Fedwire system and NSS (National Settlement Service) to act on its behalf when settling with DTC. DTC further reduces money transfers by netting participant balances at the settling bank level, which allows a settling bank to settle for multiple participants via a single Fedwire instruction rather than settling each individual participant balance.

Settling banks, acting on behalf of participants, acknowledge or refuse to settle participant balances. Upon acknowledgement from all settling banks, DTC collects and disburses settling bank balances through the Federal Reserve's NSS, which directly posts debits and credits to settling bank accounts.

## Participant Statements

### Participant Activity Total Breakdown (Legal Entity)

[Viewing Settlement Statements](#)

[Navigating through Settlement Statements](#)

The Settlement Statement pages allow you to see your end-of-day balances in one place, across your participant account(s), collateral group(s), and legal entity. All cash balances roll up from participant accounts to collateral groups and are settled on the Legal Entity level. Figures that appear here represent intraday balances until a consolidated DTC and NSCC net figure is reached.

By default, today's figures appear. You can view history for up to 60 days in the past.

Click the **twisty** to expand/collapse a section.

Click any hyperlink to view a breakdown.

Numbers are summed from left to right and from the bottom to the top of a section.

The "Net Net" Consolidated Balance between DTC and NSCC appears here.

Participant Account Statement	Debit	Credit	Balance
<b>DTC Totals</b>	\$317,926.90	\$15,921,838.99	\$15,603,912.09 CR
Activity Balance	\$0.00	\$15,047,404.00	\$15,047,404.00 CR
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$730.99	\$737,399.99	\$736,669.00 CR
Post Activity	\$0.00	\$13,579.00	\$13,579.00 CR
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$316,196.91	\$0.00	\$316,196.91 DB
Cross Endorsement Adjustments	\$999.00	\$123,456.00	\$122,457.00 CR
<b>Participant Activity Total Breakdown</b>			
<b>NSCC Totals</b>	\$483,802.47	\$427,126.47	\$66,676.00 DB
Activity Balance	\$418,571.48	\$110,966.57	\$308,504.91 DB
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$7,777.99	\$85.99	\$7,692.00 DB
Post Activity	\$55,565.00	\$0.00	\$55,565.00 DB
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$0.00	\$316,196.91	\$316,196.91 CR
Cross Endorsement Adjustments	\$888.00	\$777.00	\$111.00 DB
<b>Participant Activity Total Breakdown</b>			
<b>Net-Net Balances</b>	\$801,729.37	\$16,348,965.46	\$15,547,236.09 CR

Several features are universal across all the Settlement Statement pages:

- For example, page layout and data elements on each page are consistent.
- Click any hyperlink to view a breakdown of that total.
- If dollar amounts are zero, then there has been no settlement activity processed for that category on that date and no link will be presented.
- Click the twisty ▶ to expand/collapse DTC or NSCC Totals.

## Viewing Settlement Statements

1. From the Settlement Web main menu bar, under **Cash and Balances**, select **Participant Account Statement**.

Cash and Balances	Transaction Submission
Risk Management Controls Inquiry	
CNS ACATS Balance Inquiry	
<b>Participant Settlement Statements</b>	
Participant Account Statement	
Funds Transfer	
<b>Settling Bank Statement</b>	
Settling Bank Consolidated DTC and NSCC Account Statement	
<b>Affiliated Bank Statement</b>	
FICC/MBSD	
FICC/GSD	
FICC/AIP	

- Select the balances you would like to view. You can choose from **Participant**, **Collateral Group**, or **Legal Entity-level** figures. For the purposes of this example, we selected Legal Entity.

DTCC Settlement Services

Welcome Testuser@dtcc.com Log Out Change Password

Aug 6, 2014 - 3:43:54 PM EDT

Home Activity Position Cash and Balances Transaction Submission

**Legal Entity statement**

Home > Legal Entity statement

\* = Required Field

Participant ID \* 1250 Settlement Date \* 7/30/2014

Statement Type  
☐ Participant ☐ Collateral group ☒ Legal Entity

Search Reset

Display Type: ☒ Quick Search ☐ Excel


Choose from **Participant**, **Collateral Group** or **Legal Entity-level** figures.

To export your results to a spreadsheet, click **Excel**.

Click **Search** after you have finished entering your search criteria.

By default, today's figures appear. You can also view history for up to 60 days in the past.

- To open the Settlement Statement on screen, click **Search**.
- At any time, you can export your results to a spreadsheet. To do this, click **Excel**, then click **Search**. The Settlement Statement is displayed.

 **Settlement Services**

Welcome  
Testuser@dtcc.com

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Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Aug 6, 2014 - 3:43:54 PM EDT

### Legal Entity statement

[Home](#) > Legal Entity statement [Help](#)

\* = Required Field

Participant ID \* 1250 Settlement Date \* 7/30/2014

Statement Type  
☐ Participant ☐ Collateral group ☒ Legal Entity

[Search](#) [Reset](#) Display Type: ☒ Quick Search ☐ Excel

#### Legal Entity Statements for Settlement Date: 07/30/2014

DTCC Participant ID: 1250	DTCC Legal Entity: FTS TEST ACCOUNT #1	Bank: 72601206 - FTS TEST SETTLING BANK #1
NSCC Participant ID: 1250	NSCC Legal Entity: FTS TEST ACCOUNT #1	Bank: 72601206 - FTS TEST SETTLING BANK #1


Participant Account Statement	Debit	Credit	Balance
<b>DTC Totals</b>	<b>\$317,926.90</b>	<b>\$15,921,838.99</b>	<b>\$15,603,912.09 CR</b>
Activity Balance	\$0.00	\$15,047,404.00	\$15,047,404.00 CR
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$730.99	\$737,399.99	\$736,669.00 CR
Post Activity	\$0.00	\$13,579.00	\$13,579.00 CR
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$316,196.91	\$0.00	\$316,196.91 DB
<a href="#">Cross Endorsement Adjustments</a>	\$999.00	\$123,456.00	\$122,457.00 CR
<a href="#">Participant Activity Total Breakdown</a>			
<b>NSCC Totals</b>	<b>\$483,802.47</b>	<b>\$427,126.47</b>	<b>\$56,676.00 DB</b>
Activity Balance	\$418,571.48	\$110,066.57	\$308,504.91 DB
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$7,777.99	\$85.99	\$7,692.00 DB
Post Activity	\$56,565.00	\$0.00	\$56,565.00 DB
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$0.00	\$316,196.91	\$316,196.91 CR
<a href="#">Cross Endorsement Adjustments</a>	\$888.00	\$777.00	\$111.00 DB
<a href="#">Participant Activity Total Breakdown</a>			
<b>Net-Net Balances</b>	<b>\$801,729.37</b>	<b>\$16,348,965.46</b>	<b>\$15,547,236.09 CR</b>

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## Navigating through Settlement Statements

From the Legal Entity Statement, you can drill-down to see the participant account values that make up the Legal Entity obligation.

1. From the Legal Entity Statement, click the **Participant Activity Total Breakdown** link.


**Settlement Services**

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[Home](#) | [Activity](#) | [Position](#) | [Cash and Balances](#) | [Transaction Submission](#) | [Commands](#) | [Profiles](#) | [Help](#) | [PBS Links](#)

Aug 6, 2014 - 3:43:54 PM EDT

### Legal Entity statement

[Home](#) > Legal Entity statement

\* = Required Field

Participant ID \*  
1250

Settlement Date \*  
7/30/2014

Statement Type  
☐ Participant
☐ Collateral group
☒ Legal Entity

Search Reset

Display Type: ☒ Quick Search ☐ Excel

#### Legal Entity Statements for Settlement Date: 07/30/2014

DTCC Participant ID: 1250	DTCC Legal Entity: FTS TEST ACCOUNT #1	Bank: 72601206 - FTS TEST SETTLING BANK #1
NSCC Participant ID: 1250	NSCC Legal Entity: FTS TEST ACCOUNT #1	Bank: 72601206 - FTS TEST SETTLING BANK #1

Participant Account Statement	Debit	Credit	Balance
<b>DTC Totals</b>	<b>\$317,926.90</b>	<b>\$15,921,838.99</b>	<b>\$15,603,912.09 CR</b>
Activity Balance	\$0.00	\$15,047,404.00	\$15,047,404.00 CR
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$730.99	\$737,399.99	\$736,669.00 CR
Post Activity	\$0.00	\$13,579.00	\$13,579.00 CR
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$316,196.91	\$0.00	\$316,196.91 DB
<a href="#">Cross Endorsement Adjustments</a>	\$999.00	\$123,456.00	\$122,457.00 CR
<a href="#">Participant Activity Total Breakdown</a>			
<b>NSCC Totals</b>	<b>\$483,802.47</b>	<b>\$427,126.47</b>	<b>\$56,676.00 DB</b>
Activity Balance	\$418,571.48	\$110,066.57	\$308,504.91 DB
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$7,777.99	\$85.99	\$7,692.00 DB
Post Activity	\$56,565.00	\$0.00	\$56,565.00 DB
Suspenses	\$0.00	\$0.00	\$0.00
Cross Endorsements	\$0.00	\$316,196.91	\$316,196.91 CR
<a href="#">Cross Endorsement Adjustments</a>	\$888.00	\$777.00	\$111.00 DB
<a href="#">Participant Activity Total Breakdown</a>			
<b>Net-Net Balances</b>	<b>\$801,729.37</b>	<b>\$16,348,965.46</b>	<b>\$15,547,236.09 CR</b>

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A list of participants and their balances are displayed.



- To go to a specific Participant Statement, click the participant number.

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Welcome Testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 6, 2014 - 12:06:45 PM EDT

**Activity Balance by Legal Entity**

Home > Participant Accounts Statement > Activity Balance by Legal Entity

\* = Required Field

Legal Entity: 1250 | Settlement Date: 07/30/2014

**Search Results: Activity Totals - Legal Entity**

Participant	Debit	Credit	Balance
1250	\$482,914.47	\$110,152.56	\$372,761.91 DB
1255	\$0.00	\$0.00	\$0.00
1258	\$0.00	\$0.00	\$0.00

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The Participant Statement is displayed showing a breakdown of all the settlement activity that makes up the balance for that participant.

- At any time, you may go directly to a Participant Statement by entering the participant number in the **Participant ID** field and clicking **Search**.

**DTCC Settlement Services**

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Aug 6, 2014 - 12:12:14 PM EDT

**Settlement Statements: Participant Account**

Home > Participant Accounts Statement

\* = Required Field

Participant ID: 1250 | Settlement Date: 7/30/2014

Statement Type: ☒ Participant ☐ Collateral group ☐ Legal Entity

Search | Reset | Display Type: ☒ Quick Search ☐ Excel

**Participant Statements for Settlement Date: 07/30/2014**

DTCC Participant ID: 1250 | DTCC Legal Entity: 1250 - FTS TEST CP IPA #1 | Bank: 72601206 - FTS TEST SETTLING BANK #1

NSCC Participant ID: 1250 | NSCC Legal Entity: 1250 - FTS TEST CP IPA #1 | Bank: 72601206 - FTS TEST SETTLING BANK #1

Participant Account Statement	Debit	Credit	Balance
<b>DTC Totals</b>	\$730.99	\$15,786,037.99	\$15,785,307.00 CR
Activity Balance	\$0.00	\$15,047,404.00	\$15,047,404.00 CR
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$730.99	\$737,399.99	\$736,669.00 CR
Post Activity	\$0.00	\$1,234.00	\$1,234.00 CR
Suspenses	\$0.00	\$0.00	\$0.00
Totals	\$0.00	\$0.00	\$15,785,307.00 CR
<b>NSCC Totals</b>	\$482,914.47	\$110,152.56	\$372,761.91 DB
Activity Balance	\$418,571.48	\$110,066.57	\$308,504.91 DB
Fund Transfer	\$0.00	\$0.00	\$0.00
Adjustments	\$7,777.99	\$85.99	\$7,692.00 DB
Post Activity	\$56,565.00	\$0.00	\$56,565.00 DB
Suspenses	\$0.00	\$0.00	\$0.00
Totals	\$0.00	\$0.00	\$372,761.91 DB
<b>Net-Net Balances</b>	\$483,645.46	\$15,896,190.55	\$15,412,545.09 CR

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The Participant Settlement Statement


Click a hyperlink to see further details. For example, the **Activity Balance** link displays the various settlement activities that make up a participant and legal entity's end of day obligations.

You may also see:

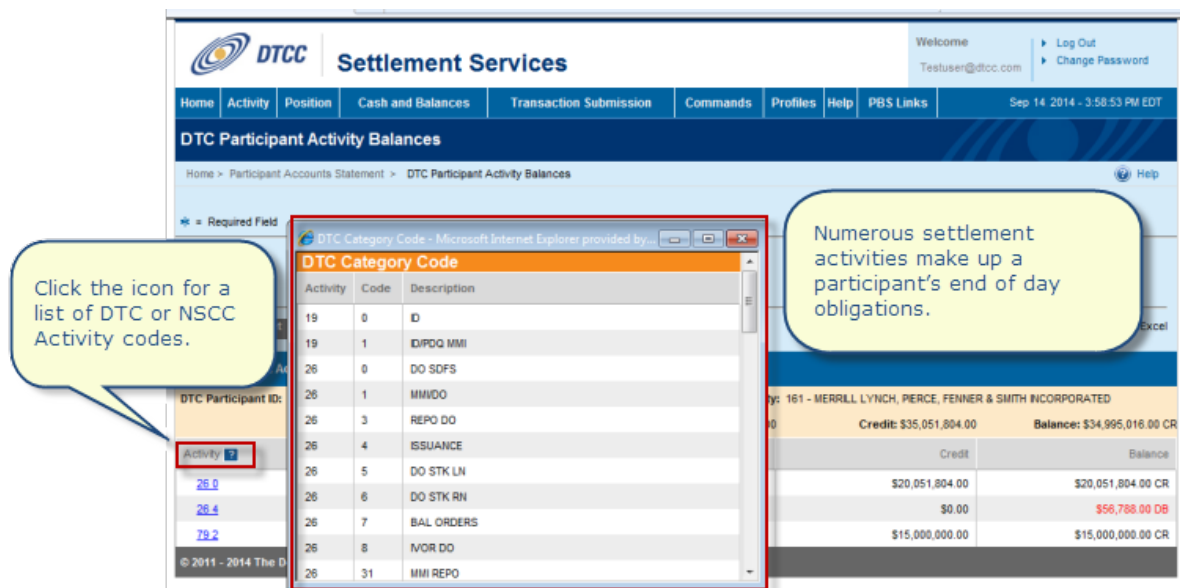
- Fund Transfers
- Adjustments
- Post Activity, and
- Suspense balances (if any).

## Viewing DTC and NSCC Activity Codes

You can view a list of DTC and NSCC activity codes.

1. Display the [Settlement Statement](#) for a participant or collateral group.
2. Under DTC or NSCC Totals, click the **Activity Balance** hyperlink.
3. Click the **Activity**  help icon.

The list opens, showing a description of the Activity and Code.



Click the icon for a list of DTC or NSCC Activity codes.

Numerous settlement activities make up a participant's end of day obligations.

Activity	Code	Description
19	0	ID
19	1	ID/POQ MMI
26	0	DO SDFS
26	1	MM/DO
26	3	REPO DO
26	4	ISSUANCE
26	5	DO STK LN
26	6	DO STK RN
26	7	BAL ORDERS
26	8	IVOR DO
26	31	MMI REPO

DTCC Settlement Services

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Sep 14, 2014 - 3:58:53 PM EDT

DTC Participant Activity Balances

Home > Participant Accounts Statement > DTC Participant Activity Balances

Required Field

DTC Participant ID: 161 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Activity 

26.0  
26.4  
79.2

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Credit: \$35,051,804.00 Balance: \$34,995,016.00 CR

Credit Balance

\$20,051,804.00 \$20,051,804.00 CR

\$0.00 \$56,788.00 DB

\$15,000,000.00 \$15,000,000.00 CR

## Fund Transfers

NSCC and DTC participants can inquire on their wire activity in the Funds Transfer page.

DTC participants can see their SPP payments and P&I withdrawals. NSCC exempt participants (who do not use a bank but settle with NSCC directly) can see the funds wired to offset net debit obligations.

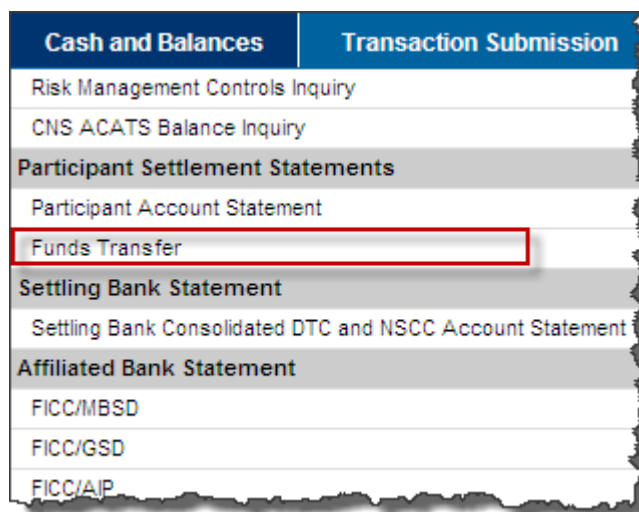
Search wires by different types such as SPP payments, P&I withdrawals, or NSCC exempt participant net debit payments.

The **net balance** of the fund transfers searched on appears here.

Participant ID	Counter Party	Incoming/Outgoing	Amount	Time	Manual ID	Comments
1250	123456789	INCOMING	\$123,456.00 CR	10:35:43	D00000	CREDIT TEST APPROVED BY D00000
1250	123456789	OUTGOING	\$123,456.00 DB	10:35:43	D00000	DEBIT APPROVED BY D00000
1250	021051274	INCOMING	\$40,000,000.19 CR	11:34:29		

### Viewing Fund Transfers

- From the Settlement Web main menu bar, under **Cash and Balances**, select **Funds Transfer**.



You can also access the page from the Funds Transfer link on the Participant and Collateral Group Statements.

- To narrow your view, select which types of wires you wish to see.

You can filter the results to see:

- SPP Returns, P&I Withdrawals or NSCC Exempt participant wires
  - Incoming or outgoing wires
  - Manual versus post activity occurring after cutoff, and
  - DTC or NSCC wires
- By default, today's figures appear. You can also view history for up to 60 days in the past.
  - To see fund transfers for the DTC collateral group, click the **Collateral Group Information** checkbox.
  - Click **Search**.

The Fund Transfers are displayed.

Participant ID	Counter Party	Incoming/Outgoing	Amount	Time	Manual ID	Comments
1250	123456789	INCOMING	\$123,456.00 CR	10:35:43	D00000	CREDIT TEST APPROVED BY D00000
1250	123456789	OUTGOING	\$123,456.00 DB	10:35:43	D00000	DEBIT APPROVED BY D00000
1250	021051274	INCOMING	\$40,000,000.19 CR	11:34:29		

- Below the search area, you can see the total debit, credit and balance for all the all wires displayed in your search results.
- Numbers shown in red are negative amounts (debits). Numbers in black are positive amounts (credits).

# Settling Bank Statements

## DTC/NSCC Consolidated Settling Bank Account Statements

### Viewing Settling Bank Statements

### Navigating through Settlement Statements

The Settling Bank Account Statement pages allow settling banks to see their end-of-day balances in one place. Each day, settling banks verify DTC end-of-day settlement figures with their participants. They acknowledge that they are in agreement with the entire net-net settlement balance which is the sum of balances for all the participant(s) they represent.

This process results in one daily net-net settlement balance (amount that is owed to DTC or amount owed from DTC).

If needed, banks may refuse to settle for specific participant(s).

Figures that appear here represent intraday balances until a single net-net balance is reached.

By default, today's figures appear. You can view history for up to 60 days in the past.

The screenshot shows the DTC/NSCC Consolidated Settling Bank Account Statements page. The page includes a navigation bar with links like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The main content area displays search results for a specific settling bank (TEST SETTLING BANK #1) for the settlement date 9/23/2014. The results are presented in a table with columns for Description, Debit, Credit, and Balance. The table shows various components like DTC Totals, NSCC Totals, Sub Totals, Fund Transfers, Adjustments, Suspenses, and Totals, leading to a final Net-Net Balance. Callouts provide additional context: one points to a 'twisty' icon for expanding/collapsing sections; another points to the 'Agree to Settle' button; a third points to the 'Refuse to settle' options; and a fourth points to the 'Net Net' balance, noting it is a debit owed to DTC.

Click the twisty to expand/collapse a section.

The "Agree to Settle" button appears after final figures are posted.

Settling banks can "Agree" or "Refuse to settle" for the participant legal entities they represent.

The "Net Net" balance here is a debit owed to DTC.

Description	Debit	Credit	Balance
DTC Totals	\$7,458.00	\$15,002,505.00	\$14,995,047.00 CR
NSCC Totals	\$4,755,057.16	\$23,108,820.75	\$18,353,763.59 CR
Sub Totals	\$4,762,515.16	\$38,111,325.75	\$33,348,810.59 CR
Fund Transfers	\$2,228,592,874.79	\$0.00	\$2,228,592,874.79 DB
Adjustments	\$0.00	\$0.00	\$0.00
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
Totals	\$2,233,365,389.95	\$38,111,325.75	\$2,195,254,064.20 DB
Net-Net Balance			Send Wire \$2,195,254,064.20 DB

Several features are universal across the Settling Bank Account Statement pages:

- For example, page layout and data elements on each page are consistent.
- Click any hyperlink to view a breakdown of that total.

- If dollar amounts are zero, then there has been no settlement activity processed for that category on that date and no link will be presented.
- Click the twisty ▶ to expand/collapse DTC or NSCC Totals.

## Viewing Settling Bank Statements

1. From the Settlement Web main menu bar, under **Cash and Balances**, select **Settling Bank Consolidated DTC** and **NSCC Account Statement**.



2. By default, today's figures appear. You can also view history for up to 60 days in the past.
3. To open the Settling Bank Statement on screen, click **Search**.
4. At any time, you can export your results to a spreadsheet. To do this, click **Excel**, then click **Search**. The Settling Bank Account Statement is displayed.

**DTCC Settlement Services**

Welcome | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Sep 24, 2014 - 4:53:38 PM EDT

**DTC/NSCC Consolidated Settling Bank Account Statements**

Home > DTC / NSCC Consolidated Settling Bank Account Statements | Help

YOUR SETT OBLIGATION IS \$8,246,138,797.33DB FOR SETT ACCOUNT 02100002 @16:45:04 | Final Figures @15:31:17

\* = Required Field

Settling Bank ID \* 72601206 | Settlement Date \* 9/24/2014

Search | Reset | Display Type: Quick Search | Excel

**Search Results: DTC / NSCC Consolidated Settling Bank Account Statements**

Settling Bank Name: FTS TEST SETTLING BANK #1

Description	Debit	Credit	Balance
DTC Totals	\$233,636.00	\$15,102,804.00	\$14,869,168.00 CR
NSCC Totals	\$4,775,057.16	\$23,158,820.75	\$18,383,763.59 CR
<u>Sub Totals</u>	\$5,008,693.16	\$38,261,624.75	\$33,252,931.59 CR
<u>Fund Transfers</u>	\$8,279,333,229.02	\$0.00	\$8,279,333,229.02 DB
<u>Adjustments</u>	\$0.00	\$1,500.10	\$1,500.10 CR
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
<b>Totals</b>	\$8,284,351,922.18	\$38,263,124.85	\$8,246,088,797.33 DB
<b>Net-Net Balance</b>			<b>Send Wire: \$8,246,088,797.33 DB</b>

☐ Agree to Settle
 ☒ Refuse to settle DTC LE Participant ID:
 ☐ Refuse to settle NSCC LE Participant ID:

**Acknowledgement Trail**

Type	Amount	Time	Signon ID
00 SENT TO BANK	\$8,246,138,797.33 DB	16:45:04	
00 SENT TO BANK	\$8,246,238,797.33 DB	16:35:04	

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## Navigating through Settlement Statements

Settling banks can drill-down from the Settling Bank Account Statements to see the “net” balances of the legal entities that make up their obligation. A breakdown of [fund transfers](#) and adjustment totals is also accessible from the account statement if there is activity.

1. From the Settling Bank Statement, click the **Activity Balances** link.



Click the **twisty** to expand/collapse a section.

The Settling Bank Account Statement

DTCC Settlement Services

Welcome TestUser@dtcc.com

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Sep 24, 2014 - 4:53:38 PM EDT

DTCC/NSCC Consolidated Settling Bank Account Statements

Home > DTC / NSCC Consolidated Settling Bank Account Statements

YOUR SETT OBLIGATION IS \$8,246,138,797.33DB FOR SETT ACCOUNT 02100002 @16:45:04 Final Figures @15:31:17

\* = Required Field

Settling Bank ID \* 72601206 Settlement Date \* 9/24/2014

Search Reset Display Type: Quick Search Excel

Search Results: DTC / NSCC Consolidated Settling Bank Account Statements

Settling Bank Name: FTS TEST SETTLING BANK #1

Description	Debit	Credit	Balance
DTC Totals	\$233,636.00	\$15,102,804.00	\$14,869,168.00 CR
Activity Balances	\$233,636.00	\$15,102,804.00	\$14,869,168.00 CR
Post Activity	\$0.00	\$100,000.00	\$100,000.00 CR
NSCC Totals	\$4,775,057.16	\$23,158,820.75	\$18,383,763.59 CR
Sub Totals	\$5,008,693.16	\$38,261,624.75	\$33,252,931.59 CR
Fund Transfers	\$8,279,333,229.02	\$0.00	\$8,279,333,229.02 DB
Adjustments	\$0.00	\$1,500.10	\$1,500.10 CR
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
Totals	\$8,284,351,922.18	\$38,263,124.85	\$8,246,088,797.33 DB
Net-Net Balance			Send Wire \$8,246,088,797.33 DB

☐ Agree to Settle
 ☒ Refuse to settle DTC LE
 ☐ Refuse to settle NSCC LE

Participant ID: Participant ID: Submit

Acknowledgement Trail

Type	Amount	Time	Signon ID
00 SENT TO BANK	\$8,246,138,797.33 DB	16:45:04	
00 SENT TO BANK	\$8,246,238,797.33 DB	16:35:04	

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A breakdown of balances for DTC or NSCC legal entities is displayed.

Your "net net" balance which is broken down below.

DTC participant balances at the legal entity level.

DTCC Settlement Services

Welcome Test@dtcc.com

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Sep 24, 2014 - 5:18:55 PM EDT

DTC Activity Balance Detail By Legal Entity

Home > DTC / NSCC Consolidated Settling Bank Account Statements > DTC Activity Balance Detail By Legal Entity

SETTLEMENT FINAL FIGURES HAS OCCURRED @16:31:12 Final Figures @15:31:17

\* = Required Field

Settling Bank ID \* 72601206 Settlement Date \* 9/24/2014 Display Balances All Balances Sort Order

Search Reset Display Type: Quick Search Excel

Search Results: DTC Balance Detail by Legal Entity

Settling Bank Name: FTS TEST SETTLING BANK #1

Legal Entity	Cross Endorsement	Debit	Credit	Balance
1254	No	\$0.00	\$0.00	\$0.00
1256	No	\$2,234.00	\$0.00	\$2,234.00 DB
1257	No	\$0.00	\$0.00	\$0.00
1266	No	\$229,100.00	\$0.00	\$229,100.00 DB
1267	No	\$2,302.00	\$15,002,804.00	\$15,000,502.00 CR
1272	No	\$0.00	\$0.00	\$0.00

- To see a consolidated DTC and NSCC breakdown, click the **Subtotals** link.

DTCC Settlement Services

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Sep 24, 2014 - 4:53:30 PM EDT

DTCC/NSCC Consolidated Settling Bank Account Statements

Home > DTC / NSCC Consolidated Settling Bank Account Statements

YOUR SETT OBLIGATION IS \$8,246,138,797.33 DB FOR SETT ACCOUNT 02100002 @15:45:04 Final Figures @15:31:17

\* Required Field

Settling Bank ID \* 72601206 Settlement Date \* 9/24/2014

Search Reset Display Type: Quick Search Excel

Search Results: DTC / NSCC Consolidated Settling Bank Account Statements

Settling Bank Name: FTS TEST SETTLING BANK #1

Description	Debit	Credit	Balance
DTC Totals	\$233,636.00	\$15,102,804.00	\$14,869,168.00 CR
Activity Balances	\$233,636.00	\$15,002,804.00	\$14,769,168.00 CR
Post Activity	\$0.00	\$100,000.00	\$100,000.00 CR
NSCC Totals	\$4,775,057.16	\$23,150,820.75	\$18,375,763.59 CR
Fund Transfers	\$5,008,693.16	\$38,261,624.75	\$33,252,931.59 CR
Adjustments	\$8,279,333.229.02	\$0.00	\$8,279,333.229.02 DB
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
Totals	\$8,284,351,922.16	\$38,263,124.85	\$8,246,088,797.33 DB
Net-Net Balance			Send Wire \$8,246,088,797.33 DB

☐ Agree to Settle
 ☒ Refuse to settle DTC LE Participant ID:
 ☐ Refuse to settle NSCC LE Participant ID:

Acknowledgement Trail

Type	Amount	Time	Signon ID
00 SENT TO BANK	\$8,246,138,797.33 DB	16:45:04	
00 SENT TO BANK	\$8,246,238,797.33 DB	16:35:04	

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A breakdown of consolidated balances for DTC and NSCC legal entities is displayed.

DTCC Settlement Services

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Sep 24, 2014 - 5:23:24 PM EDT

Bank DTC and NSCC Totals by Legal Entities

Home > DTC / NSCC Consolidated Settling Bank Account Statements > DTC / NSCC Totals by Legal Entity

SETTLEMENT FINAL FIGURES HAS OCCURRED @15:31:12 Final Figures @15:31:17

\* Required Field

Settling Bank ID \* 72601206 Settlement Date \* 9/24/2014 Display Balances AB Net Balances Sort order LE

Search Reset Display Type: Quick Search Excel

Search Results: DTC and NSCC Totals by Legal Entity

Settling Bank Name: FTS TEST SETTLING BANK #1

Cross Endorsement	Legal Entity	DTC	NSCC	DTC Net Balance	NSCC Net Balance	Net Balance
No	1254	1255		\$0.00	\$2,367.81 CR	(\$2,367.81) CR
No	1256			\$0.00	\$8,370,922.95 CR	(\$8,370,922.95) CR
No	1257			\$0.00	\$1,239.92 CR	(\$1,239.92) CR
No	1266			\$0.00	\$0.00	\$0.00
No	1267			\$0.00	\$120.00 CR	(\$120.00) CR
No	1272			\$8,234.00 DB	\$8,836,443.08 CR	(\$8,836,209.08) CR

Debit: \$8,284,351,922.16 Credit: \$38,263,124.85 Balance: \$8,246,088,797.33 DB

## Affiliated FICC and AIP Settling Bank Statements

### Viewing Affiliated Settling Bank Statements

#### Acknowledge and Refuse to Settle Procedures for Affiliated Settling Banks

The Affiliated Bank Statement pages allow settling banks to see their FICC GSD, FICC MBSD, or AIP end-of-day balances in one place. Banks may acknowledge that they are in agreement with their settlement balances. If needed, banks may refuse to settle for specific participant(s).

- **GSD** (Government Securities Division of FICC) creates both end of day and intraday final net settlement balances. For example, the EOD statement is available each morning. The Intraday statement is available mid-day.

The screenshot shows the DTCC Settlement Services interface for the FICC GSD Bank Statement. The page includes a navigation bar with links like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The main content area displays the FICC GSD Bank Statement for Bank ID 72601206 and Settlement Date 10/15/2014. A callout bubble points to the 'Report Type' section, stating: 'Click **Intraday** or **End of Day** balances to view and/or acknowledge.' Another callout bubble points to the 'Agree to Settle' button, stating: 'The **Agree to Settle** button appears after End of Day and Intraday balances are posted as "received."' A third callout bubble points to the 'Submit' button, stating: 'Settling banks can "**Agree**" or "**Refuse to settle**" for the participant legal entities they represent.' The page also shows a table of settlement balances and a section for Acknowledgement for TEST Settling Bank.

Description	Amount	Adjustments	Balance
FICC GSD Totals	\$880,208,370.90 DB	\$0.00	\$880,208,370.90 DB

Type	Amount	Signon ID
SENT TO BANK	\$880,208,370.90 DB	
SENT TO BANK	\$880,208,370.90 DB	14:30:12

- **MBSD** (Mortgaged Back Securities Division) balances consist of separate net debit and credit balances that are available each morning and mid-day.

DTCC Settlement Services

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Oct 15, 2014 - 2:49:33 PM EDT

### FICC MBSD Bank Statement

Home > FICC MBSD Bank Statement

YOUR SETTLEMENT OBLIGATION IS \$13,175.30CR FOR SETTLEMENT DATE 10/15/2014

\* = Required Field

Bank ID: 72601206 Settlement Date: 10/15/2014 Report Type: ☐ Debit ☒ Credit

Search Reset Display Type: ☒ Quick Search ☐ Excel

Search Results: FICC MBSD Bank Statement

Bank Name: TEST Settling Bank

Description	Amount	Adjustments	Balance
FICC MBSD Totals	\$111,231.91 CR	\$0.00	\$111,231.91 CR

☐ Agree to Settle ☐ Refuse to settle FICC MBSD

Participant ID:

Submit

Acknowledgement for TEST Settling Bank

Type	Amount	Time
SENT TO BANK	\$111,231.91 CR	
SENT TO BANK	\$111,231.91 CR	14:30:15

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- **AIP** (Alternative Investment Products) settlement obligations are settled “gross,” with debits settled separately from credits. These are also available morning and mid-day respectively.

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Oct 15, 2014 - 2:53:30 PM EDT

### AIP Bank Statement

Home > AIP Bank Statement

YOUR SETTLEMENT OBLIGATION IS \$13,175.30CR FOR SETTLEMENT DATE 10/15/2014

\* = Required Field

Bank ID: 72601206 Settlement Date: 10/15/2014 Report Type: ☐ Debit ☒ Credit

Search Reset Display Type: ☒ Quick Search ☐ Excel

Search Results: AIP Bank Statement

Bank Name: TEST Settling Bank

Description	Amount	Adjustments	Balance
AIP Totals	\$13,175.30 CR	\$0.00	\$13,175.30 CR

☐ Agree to Settle ☐ Refuse to settle AIP

Participant ID:

Submit

Acknowledgement for TEST Settling Bank

Type	Amount	Time
SENT TO BANK	\$13,175.30 CR	
SENT TO BANK	\$13,175.30 CR	14:40:17
SENT TO BANK	\$13,175.30 CR	14:30:16

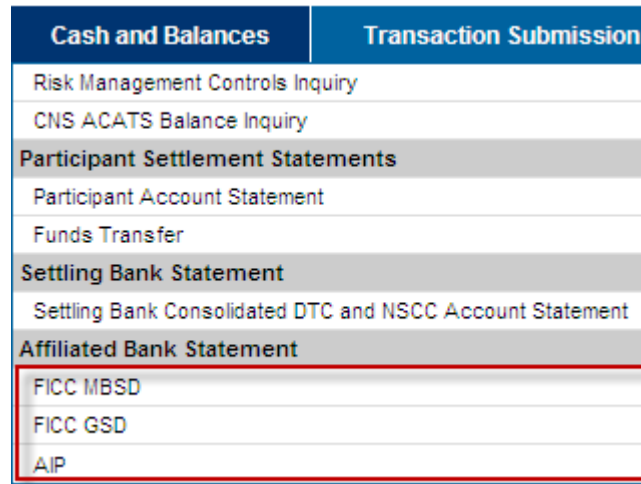
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Several features are universal across the Affiliated Bank Statement pages:

- For example, page layout and data elements on each page are consistent.
- Click any hyperlink to view a breakdown of that total.
- If dollar amounts are zero, then there has been no settlement activity processed for that category on that date and no link will be presented.

## Viewing Affiliated Settling Bank Statements

- From the Settlement Web main menu bar, under **Cash and Balances**, select the desired Affiliated Bank Statement.



- Select a **Report Type**.
  - GSD** choices are "Intraday" and "End of Day."
  - MBSD** choices are "Debit" and "Credit."
  - AIP** choices are "Debit" and "Credit."
- To view an Affiliated Bank Statement on screen, click **Search**.
- At any time, you can export your results to a spreadsheet. To do this, click **Excel**, then click **Search**.  
The Affiliated Bank Statement is displayed. Here we show you the MBSD balance for the "Credit" Report Type.

**DTCC Settlement Services**

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Home | Activity | Position | **Cash and Balances** | Transaction Submission | Commands | Profiles | Help | PUS Links | Oct 15, 2014 - 2:49:33 PM EDT

### FICC MBSD Bank Statement

Home > FICC MBSD Bank Statement

YOUR SETTLEMENT OBLIGATION IS \$13,175.30CR FOR

MBSD Debit Settlement Obligations completed 14:13  
MBSD Credit Settlement Obligations received 14:23

\* Required Field

Bank ID: 72601206 | Settlement Date: 10/15/2014

Report Type: ☐ Debit ☒ Credit

Search | Reset | Display Type: ☒ Quick Search ☐ Excel

Search Results: FICC MBSD Bank Statement

Bank Name: TEST Settling Bank

Description	Amount	Adjustments	Balance
FICC MBSD Totals	\$111,231.91 CR	\$0.00	\$111,231.91 CR

☐ Agree to Settle ☐ Refuse to settle FICC MBSD

Participant ID: [ ]

Acknowledgement for: TEST Settling Bank

Type	Amount	Time	Signon ID
SENT TO BANK	\$111,231.91	14:40:17	
SENT TO BANK	\$111,231.91 CR	14:30:15	

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**Callouts:**

- Select the balances you wish to view and/or acknowledge.
- The status of final balances appears here.
- Click to see a breakdown of this balance by participant.
- Any adjustments made by DTC Operations staff appear here.
- An MBSD Credit balance.

## Acknowledge and Refuse to Settle Procedures for Affiliated Settling Banks

When final balances are received by DTC, a status message displays on the Affiliated Bank Statement screen indicating that a balance is “received.” When this occurs, you may acknowledge the balance by clicking the **Agree to Settle** button.

Banks can refuse to settle for individual participants. Any balances you refuse to pay go back into the corresponding affiliated settling bank account at DTCC. A new recalculated balance displays (minus the refused balance). You can acknowledge the new balance by clicking the **Agree to Settle** button.

### Agree to Settle

The “agree to settle” process is the same for GSD, MBSD, and AIP. In this case, we have used AIP screen images.

1. Open the desired [Affiliated Bank Statements](#) page.
2. Ensure that the balance you wish to acknowledge is displayed. For example, to acknowledge your AIP “Debit” Report Type, you must display the AIP Debit Report Type.
3. Click the **Agree to Settle** button.

#### Note

Balances may be acknowledged one time only. If you “agree” to a balance that was already acknowledged, you will receive an error message.

DTCC Settlement Services

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Oct 15, 2014 - 2:56:13 PM EDT

### AIP Bank Statement

Home > AIP Bank Statement

YOUR SETT OBLIGATION IS \$13,175.30CR FOR SETT ACCOUNT 72601206 @14:50:18

AIP Debit Settlement Obligations completed 14:17  
AIP Credit Settlement Obligations received 14:24

\* Required Field

Bank ID \* 72601206 Settlement Date 10/15/2014 Report Type ☐ Debit ☒ Credit

Search Reset Display Type: ☒ Quick Search ☐ Excel

#### Search Results: AIP Bank Statement

Bank Name: TEST Settling Bank

Description	Amount	Adjustments	Balance
AIP Totals	\$10,235.00 CR	\$0.00	\$10,235.00 CR

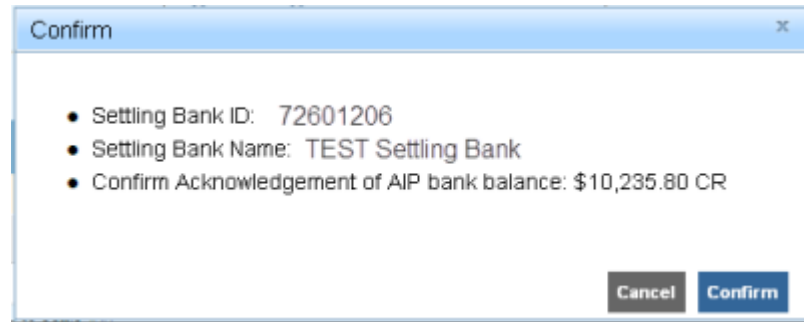
☒ Agree to Settle ☐ Refuse to settle AIP Participant ID: Submit

#### Acknowledgement for TEST Settling Bank

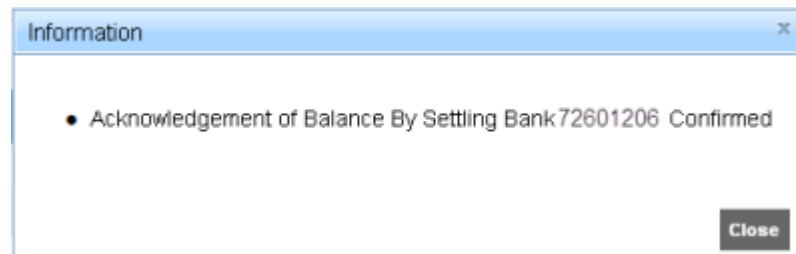
Type	Amount	Time	Signon ID
Refuse participant-1197		14:55:42	00000000
SENT TO BANK	\$13,175.30 CR	14:50:18	
SENT TO BANK	\$13,175.30 CR	14:40:17	
SENT TO BANK	\$13,175.30 CR	14:30:16	

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- Click **Submit**.  
A confirmation message displays.



- Click **Confirm**.



An acknowledgement of your balance is displayed.

### **Refuse to Settle**

The “refuse to settle” process is the same for GSD, MBSD, and AIP. In this case, we have used AIP screen images.

- Open the desired [Affiliated Bank Statements page](#).
- Ensure that the balance you wish to refuse is displayed. For example, to refuse a participant on your AIP “Debit” Report Type, you must display the AIP Debit Report Type.
- Click the **Refuse to Settle** button.
- Enter the **Participant ID** for the participant underneath the **Refuse to Settle** button.



DTCC Settlement Services

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PHS Links | Oct 15, 2014 - 2:54:56 PM EDT

### AIP Bank Statement

Home > AIP Bank Statement

YOUR SETT OBLIGATION IS \$13,175.30CR FOR SETT ACCOUNT 72601206 @14:50:18

AIP Debit Settlement Obligations completed 14:17  
AIP Credit Settlement Obligations received 14:24

\* = Required Field

Bank ID \* 72601206 | Settlement Date 10/15/2014 | Report Type ☐ Debit ☒ Credit

Search | Reset | Display Type: ☒ Quick Search ☐ Excel

Search Results: AIP Bank Statement

Bank Name: TEST Settling Bank

Description	Amount	Adjustments	Balance
AIP Totals	\$13,175.30 CR	\$0.00	\$13,175.30 CR

☐ Agree to Settle ☒ Refuse to settle AIP  
Participant ID: 1250

Submit

Click here to refuse to settle this participant's balance.

Click to submit your refusal.

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- Click **Submit**.  
A confirmation message displays.

Confirm

- Settling Bank ID: 72601206
- Settling Bank Name: TEST Settling Bank
- Confirm Refusal of AIP bank balance: \$13,175.30 CR for Participant ID 1250

Cancel Confirm

- Click **Confirm**.

Information

**IMPORTANT INFORMATION:**

Refusal of Balance by Settling Bank 72601206 for Participant 1250 Confirmed.

Close

An acknowledgement of your refusal is displayed.

#### Note

Balances you refuse to pay go back into the corresponding affiliated settling bank account at DTCC.

## Acknowledge and Refuse to Pay Procedures

After final figures processing occurs at DTC (towards the end of the day) you can acknowledge that you agree to your net-net balance by clicking the **Agree to Settle** button. This button will only appear on the screen after final figures is run. DTC displays a message on the account statement announcing when final figures processing has occurred and your “net” balance obligation.

Throughout the day, you can refuse to settle for individual DTC or NSCC participant legal entities. Any balances you refuse, go back into the DTC (02600206) or NSCC (02105128) settling bank account. A new recalculated balance displays (minus the refused balance). You can acknowledge the new balance by clicking the **Agree to Settle** button.

### Agree to Settle

1. Open the [DTC/NSCC Consolidated Settling Bank Account Statements](#) page.
2. Click the **Agree to Settle** button. This button appears after final figures is run and a message appears on the screen. When you agree to settle, you agree to settle the “net” obligation amount. This amount is the sum of all the participant legal entities balances for which you agree to settle.

Final figures message appears here.

YOUR SETT OBLIGATION IS \$902,195,254.064.2008 FOR SETT ACCOUNT 02100002 @16:45:01

Final Figures @15:31:17

\* = Required Field

Settling Bank ID: 72601206 Settlement Date: 9/23/2014

Search: [Reset] Display Type: Quick Search Excel

Search Results: DTC / NSCC Consolidated Settling Bank Account Statements

Settling Bank Name: FTS TEST SETTLING BANK #1

Description	Debit	Credit	Balance
DTC Totals	\$7,450.00	\$15,002,595.00	\$14,995,047.00 CR
NSCC Totals	\$4,755,057.16	\$23,105,620.75	\$18,353,763.59 CR
Sub Totals	\$4,762,515.16	\$38,111,325.75	\$33,348,810.59 CR
Fund Transfers	\$902,228,592.874.79	\$0.00	\$902,228,592.874.79 DB
Adjustments	\$0.00	\$0.00	\$0.00
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
Totals	\$902,233,368.389.95	\$38,111,325.75	\$902,195,254.064.20 DB
Net-Net Balance			\$902,195,254.064.20 DB

Send Wire \$902,195,254.064.20 DB

☒ Agree to Settle
 ☐ Refuse to settle DTC LE
 ☐ Refuse to settle NSCC LE

Participant ID: [ ] Participant ID: [ ]

Submit

Acknowledgement Trail

Type	Amount	Time	Signon ID
01 Acknowledge balance	\$902,195,254.064.20 DB	16:47:27	000014008

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You agree to settle this final balance amount with DTC.

Click to Agree to Settle (after final figures are posted).

Acknowledgement history.

3. Click **Submit**.  
A confirmation message displays.

Confirm

**Settling Bank ID:** 72601206  
**Settling Bank Name:** TEST SETTLING BANK 1  
**Confirm Acknowledgement of Balance:** \$902,195,254,064.20 DB

Cancel Confirm

- Click **Confirm**.

Information

**IMPORTANT INFORMATION:**  
Acknowledgement of Balance by Settling Bank72601206 Confirmed.

Close

An acknowledgement of your balance is displayed by DTC.

If desired, you may re-acknowledge your net balance by clicking the **Agree to Settle** button as many times as needed.

## Refuse to Settle

- Open the DTC/NSCC Consolidated Settling Bank Account [Statements](#) page.
- Click the **Refuse to Settle** button for the **DTC** or **NSCC** Legal Entity.
- Enter the **participant number** for the legal entity underneath the **Refuse to Settle** button.

Settlement Services
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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links
Sep 23, 2014 - 3:07:57 PM EDT

DTC/NSCC Consolidated Settling Bank Account Statements

Home > DTC / NSCC Consolidated Settling Bank Account Statements
Help

\* Required Field

Settling Bank ID \* 72601206 Settlement Date \* 9/23/2014

Search Reset Display Type: Quick Search Excel

Search Results: DTC / NSCC Consolidated Settling Bank Account Statements

Settling Bank Name: TEST SETTLING BANK 1

Description	Debit	Credit	Balance
DTC Totals	\$7,458.00	\$15,002,505.00	\$14,995,047.00 CR
NSCC Totals	\$4,785,987.16	\$23,108,820.75	\$18,322,833.59 CR
Sub Totals	\$4,793,445.16	\$38,111,325.75	\$33,317,880.59 CR
Fund Transfers	\$2,228,592,874.79	\$0.00	\$2,228,592,874.79 DB
Adjustments	\$0.00	\$0.00	\$0.00
Suspenses	\$10,000.00	\$0.00	\$10,000.00 DB
Totals	\$2,233,385,389.95	\$38,111,325.75	\$2,195,254,064.20 DB
Net-Net Balance			Send Wire \$2,195,254,064.20 DB


☒ Refuse to settle DTC LE Participant ID: 1250
☐ Refuse to settle NSCC LE Participant ID:
Submit

Click here to refuse to settle this DTC participant's balance.

Click to submit your refusal.

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4. Click **Submit**.  
A confirmation message displays.

A dialog box titled "Confirm" with a close button (X) in the top right corner. It contains the following text:

**Settling Bank ID:** 72601206

**Settling Bank Name:** FTS TEST SETTLING BANK #1

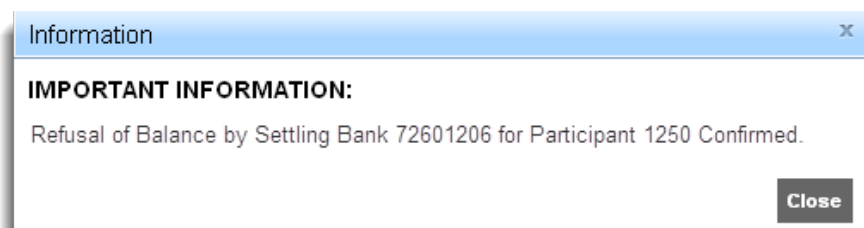
**Confirm Refusal of NSCC Balance:** \$50,311.94 CR

**Legal Entity Number:** 1250

**Participant Accounts under legal entity:** 1255 1250

At the bottom right, there are two buttons: "Cancel" and "Confirm". The "Confirm" button is highlighted with a red border.

5. Click **Confirm**.

A dialog box titled "Information" with a close button (X) in the top right corner. It contains the following text:

**IMPORTANT INFORMATION:**

Refusal of Balance by Settling Bank 72601206 for Participant 1250 Confirmed.

At the bottom right, there is a button labeled "Close".

An acknowledgement of your refusal is displayed by DTC.

# STOCK LOAN / REPO ADJUSTMENTS

## About Stock Loan / Repo Adjustments

Clients may enter memo adjustments to the income-tracking portion of a stock loan or repurchase agreement.

**DTCC** | Settlement Services

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Feb 7, 2020 - 1:49:23 PM EST

Home / Stock Loan/Repo Adjustments Submission

### Stock Loan/Repo Adjustments Submission

**Participant Input**

Originating Participant Id \*  
1250

Adjustment Type \*  
☒ Stock Loan  
☐ Repo

**Participant Details**

Contra Participant	CUSIP	Quantity	Increase/Decrease	Comments
1258	868686866	75	+ / -	Stock Loan Adjustment
1260	868686866	50	+ / -	Stock Loan Adjustment

+ Add Row

Submit

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After submitting an adjustment, your contra party is able to approve or reject it.

**DTCC** | Settlement Services

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Log Out  
Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Feb 7, 2020 - 1:52:41 PM EST

Home / Stock Loan/Repo Adjustments Activity / Search Results

## Stock Loan/Repo Adjustments Activity

**Participant Search**

Participant Id \*  
1260

Participant Type \*  
☐ Originating  
☒ Contra

Cusip

Status \*  
☒ Unapproved  
☐ Cancelled  
☐ Approved

Adjustment Type \*  
☒ Stock Loan  
☐ Repo

Contra can Approve or Cancel.

Select to see Unapproved, Cancelled, and / or Approved adjustments.

**Participant Details**

Approve Adjustment Cancel Adjustment

	Originating	CUSIP	Quantity	Action +/-	Status	Adjustment Type	Approver's Comments	Submitter Comments
<input checked="" type="checkbox"/>	00001250	868686865	60	+	Unapproved	Stock Loan	Approved for +60	Stock Loan adjustment
<input type="checkbox"/>	00001250	868686865	50	+	Unapproved	Stock Loan		Stock Loan Adjustment

1 to 2 of 2 << >> Page 1 of 2

Click to see details.

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## How It Works

1. The originating participant enters a stock loan or repo adjustment.
2. The contra party approves or cancels the stock loan or repo adjustment.
3. Adjustments submitted and not approved or cancelled will remain in the system for up to 20 business days and then are removed from the Settlement Web and no longer actionable.
  - a. If the adjustment is removed from the system prior to the desired approval, clients would need to enter a new adjustment on the Stock / Loan Repo Adjustment Submission page.
  - b. Adjustments that have been approved or canceled remain for an additional two days and then are removed and no longer able to be viewed on the Stock Loan / Repo Adjustment Activity page.

### Tip:

Adjustments approved within the last 60 business days may be viewed in the [Settlement Activity Inquiry](#) page. Search via activity code "210" for stock loan and "211" for repo.

4. Secondary approval is available for stock loan / repo adjustments, requiring someone other than the individual who entered the adjustment to approve it. To set up this feature, use the **Secondary Transaction Approval** page under the **Profiles** menu.
5. Bulk upload of stock / loan repo adjustments, approvals, and cancellations using a spreadsheet is available. To utilize this feature, access the templates from the [Getting Templates](#) help topic. To upload your data, use the **Settlement Transaction File Upload** page under the **Transaction Submission** menu.

# Submitting Stock Loan / Repo Adjustments

Clients may enter memo adjustments to the income-tracking portion of a stock loan or repurchase agreement.

**DTCC Settlement Services** | Welcome | Testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Feb 7, 2020 - 1:49:23 PM EST

Home / Stock Loan/Repo Adjustments Submission

## Stock Loan/Repo Adjustments Submission

**Participant Input**

Enter a memo adjustment for a stock loan or REPO.

Originating Participant Id \*

Adjustment Type \* ☒ Stock Loan ☐ Repo

**Participant Details**

Contra Participant	CUSIP	Quantity	Increase/Decrease	Comments
<input type="text" value="1258"/>	<input type="text" value="868686866"/>	<input type="text" value="75"/>	+ / -	<input type="text" value="Stock Loan Adjustment"/>
<input type="text" value="1260"/>	<input type="text" value="868686866"/>	<input type="text" value="50"/>	+ / -	<input type="text" value="Stock Loan Adjustment"/>

+ Add Row Enter up to 5 adjustments.

**Submit**

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## To Submit Stock Loan / Repo Adjustments:

1. From the Transaction Submission menu, select **Stock Loan / Repo Adjustments**.
2. Your firm's ID is displayed by default as the **Originating Participant Id**. Multi-account users must select one account number from the list of IDs.
3. Click either the **Stock Loan** or **Repo** radio button to indicate the adjustment type.
4. Enter the ID for the **Contra Participant**.
5. Enter a valid **CUSIP**. This value must contain nine alphanumeric characters.
6. Enter a **Quantity** for the adjustment.
7. Indicate if this is a debit or credit by clicking the **‘+’ Increase** or **‘-’ Decrease** radio button.
8. Optionally enter a **Comment**.
9. To enter additional adjustments, click the **Add Row** button.

### Tip:

[Bulk upload](#) of stock loan / repo adjustments, approvals, and cancellations using a spreadsheet is available.

10. Click **Submit**.
  - A “Submission Successful” message displays. The adjustment is now available for approval by the contra party.



## Stock Loan/Repo Adjustments Submission



### Submission Successful

Submission has been successful and all data has been entered.

[View your recently submitted entries.](#)



#### Participant Input

Click here to inquire on the status of the adjustments.

**Originating Participant Id**  
00001250

**Originating Participant Description**  
FTS IPA #1

**Adjustment Type**  
Stock Loan

- Responsive messages and warning banners ensure that correct entries are submitted.

**DTCC**
Settlement Services

Welcome  
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Home
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Position
Cash and Balances
Transaction Submission
Commands
Profiles
Help
PBS Links
Feb 11, 2020 - 8:24:20 AM EST

Home / Stock Loan/Repo Adjustments Submission / Submission

## Stock Loan/Repo Adjustments Submission

**Incorrect information. Please try again.**

**Participant Input**

**Originating Participant Id**  
00001250

**Originating Participant Description**  
FTS IPA #1

**Adjustment Type**  
Stock Loan

**Participant Details**

Contra Participant	CUSIP	Quantity	Increase/Decrease	Comments
1258 - FTS A/C #5	868686866 - LI TEST CORP +	35	Increase	Submitting stock loan adj
1259 - FTS A/C #6	868686866 - LI TEST CORP +	45	Decrease	Adjustment to stock loan -45

Cusip must be 9 characters

Add Row

Incorrect entries are held back prompting you to make corrections one field at a time.

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- If you have established a [Secondary Approval profile](#), another user at your firm must approve the adjustment before it will be visible for approval by the contra party.

**DTCC** Settlement Services

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Log Out  
Change Password

Home / Activity / Position / Cash and Balances / Transaction Submission / Commands / Profiles / Help / PBS Links / Feb 11, 2020 - 12:25:22 PM EST

Home / [Stock Loan/Repo Adjustments Submission](#) / Submission

## Stock Loan/Repo Adjustments Submission

**Accepted. Pending Secondary Approval**

Submission has been successful and all data is now pending Secondary Approval for Adjustment.

Secondary Approval means another user at your firm must approve the adjustment before it will appear on the Stock Loan / Repo Activity page.

**Participant Input**

<b>Originating Participant Id</b> 00001250	<b>Originating Participant Description</b> GOLDMAN	<b>Adjustment Type</b> Stock Loan
---	---	--------------------------------------

**Participant Details**

Contra Participant	CUSIP	Quantity	Increase/Decrease	Comments
00001258	868686866 - LI TEST CORP +	5	Increase	

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To learn more, refer to [“About Stock Loan / Repo Adjustments”](#) and [“Viewing, Approving, and Cancelling Stock Loan / Repo Adjustments.”](#)

## Viewing, Approving, and Cancelling Stock Loan / Repo Adjustments

Clients may approve and cancel stock loan / repo adjustments entered by the originating participant.

**DTCC Settlement Services**

Welcome  
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Log Out  
Change Password

Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Feb 7, 2020 - 1:52:41 PM EST

Home / Stock Loan/Repo Adjustments Activity / Search Results

## Stock Loan/Repo Adjustments Activity

**Participant Search**

Participant ID \*  
1260

Participant Type \*  
☐ Originating
 ☒ Contra

Cusip

Status \*  
☒ Unapproved
 ☐ Cancelled
 ☐ Approved

Adjustment Type \*  
☒ Stock Loan
 ☐ Repo

**Participant Details**

Approve Adjustment Cancel Adjustment

	Originating	CUSIP	Quantity	Action +/-	Status	Adjustment Type	Approver's Comments	Submitter Comments
<input checked="" type="checkbox"/>	00001250	868686865	60	+	Unapproved	Stock Loan	Approved for +60	Stock Loan adjustment
<input type="checkbox"/>	00001250	868686865	50	+	Unapproved	Stock Loan		Stock Loan Adjustment

1 to 2 of 2 Page 1 of 2

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### To View Adjustments:

- From the Activity menu, select **Stock Loan / Repo Adjustments**.
- Enter the Participant ID relating to your search.
- Indicate a Participant Type for the ID you entered in Step 2 by clicking the **Originating** or **Contra** radio button.  
To see adjustments you submitted, click "Originating." To see the contra party's side, click "Contra."
- Indicate the adjustment type by clicking **Stock Loan** or **Repo**.
- Click the checkbox(es) for the adjustment statuses you wish to display.

#### Note:

The default is "Unapproved," but you may select additional (multiple) statuses.  
You may only take action on unapproved adjustments.

- To narrow your results, optionally enter a CUSIP.
- Click **Search** to display your results in the Participant Details action grid.  
The actions that may be taken on adjustments differ based on your search. For example:
  - If you entered a search as the contra, you are able to approve or cancel an adjustment.

**Participant Details**


Approve Adjustment Cancel Adjustment

- If you entered a search as the originating participant, you are able to cancel any unapproved adjustments you entered.

Participant Details	
Approve Adjustment	Cancel Adjustment

- Adjustments that have already been approved or cancelled appear as read-only in the grid.

Contra	CUSIP	Quantity	Action +/-	Status	Adjustment Type	Approver's Comments	Submitter Comments
00001260	868686866	60	+	Approved	Stock Loan	Approved for +60	Stock Loan adjustment
<input type="checkbox"/> 00001250	868686866	75	+	Unapproved	Stock Loan		Stock Loan Adjustment

- To download your results, click the  download icon.


Stock Loan Repo Adjustments Activity							
Date Feb 7, 2020, 1:55:13 PM							
Contra	Pai	CUSIP	Quantity	Action +/-	Status	Adjustme	Approver
00001260	868686866	60	+	Unapprov	Stock Loan		Submitter Comments
00001260	868686866	50	+	Unapprov	Stock Loan		Stock Loan adjustment
00001258	868686866	75	+	Unapprov	Stock Loan		Stock Loan Adjustment

### To Approve or Cancel Adjustments:


- Search for and display the unapproved adjustments you wish to approve or cancel. See [“To View Adjustments”](#) for more information.
- Select the adjustments to be either approved or cancelled by clicking their check boxes.
- The **Comment** field becomes editable after clicking the check box next to an entry. Optionally, enter a comment of up to 25 characters.


#### Note:

Contras must enter a comment to cancel an adjustment.

- The actions that may be taken differ based on your search:
  - To approve the selected adjustments, click **Approve Adjustment**.
  - To cancel the selected adjustments, click **Cancel Adjustment**.
- A confirmation message displays. Click **Yes** to complete the approval or cancellation.
- The results are responsive to your entry.
  - A green check  mark appears next to adjustments that have been successfully approved or cancelled.

Originating	CUSIP	Quantity	Action +/-	Status	Adjustment Type	Approver's Comments	Submitter Comments
<input checked="" type="checkbox"/> 00001250	868686866	60	+	APPROVED	Stock Loan	Approved for +60	Stock Loan adjustment
<input type="checkbox"/> 00001250	868686866	50	+	Unapproved	Stock Loan		Stock Loan Adjustment

- A red  icon appears next to adjustments requiring corrections. Hover your mouse over the icon to see the reason for the error.

	Contra	CUSIP	Quantity	Action +/-	Status	Adjustment Type	Approver's Comments	Submitter Comments
<input checked="" type="checkbox"/>		Comments is required	60	+	Approved	Stock Loan	Approved for +60	Stock Loan adjustment
			75	+	Unapproved	Stock Loan		Stock Loan Adjustment

1 to 2 of 2    <<    Page 1 of 1    >>

**Tip:**  
To perform bulk uploads of submissions, approvals, and cancellations, consider using the [upload template](#).

To learn more, refer to “[About Stock Loan / Repo Adjustments](#)” and “[Submitting Stock Loan / Repo Adjustments](#).”

# TRANSACTION FILE UPLOADS

---

## About Uploads

DTC's Settlement Transaction File Upload application provides participants with the ability to submit multiple transactions via a single file upload into DTCC's Settlement system.

You can choose to upload one of the following transaction types:

- Deliver Orders
- Payment Orders
- Segregations/Release of Segregations
- Investment IDs/Release of Investment IDs
- Memo Segregations
- MA/NA Moves
- Collateral Loans
- Stock Loan / Repo Adjustments

**Get the Settlement Transaction Templates**

---

### Note

Templates are available for download in the Settlement Web online Help.

---

## Understanding Settlement Uploads

First, create the transaction file from one of the templates available above.

After your file has been created, you can use the [Settlement Transaction File Upload](#) page to submit your settlement transactions to Settlement Web. This page allows you to browse for the CSV file on your computer or LAN and then click Submit to send it to DTCC.

After the upload is complete, you will see a [Results](#) page. Here, you can see how many records from your uploaded file were submitted into Settlement Web. You can also see how many were rejected, and follow a link to view those rejected records.

From the Results page, you can access the File Upload Status Inquiry page. This page allows you to view a status record of all updates by participant number for a particular date.

From the [File Upload Status Inquiry](#) page, you can opt to view detail pages for three categories:

- Total Records on File,
- Rejected Records, and
- Records Submitted for Processing.

The information on any of these three pages can be printed or exported to an Excel spreadsheet which maps to that transaction type's upload template. The page for rejected records will also contain error messages that explain the reason for each rejection, which can be exported to excel for correction and resubmission.

All uploaded transactions will be stored in the system for 60 days. Secondary transaction approval is available for settlement uploads.

## Getting Templates

Templates are available for the transactions (and all their subtypes) shown below in the online Help. Each transaction's input type is identified by a "BTID," or Business Transaction Identifier. The BTID that you submit determines the type of settlement transaction being submitted and ensures that the correct rules apply

### Deliver Order

#### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
DO01	Valued Deliver Order
DO02	Free Deliver Order
DO03	Depository Receipt Cancellation Instructions Valued Deliver Order (for processing with reason code 300 and 301 only)
DO04	Depository Receipt Cancellation Instructions Free Deliver Order (for processing with reason code 300 and 301 only)
DO05	IPO Valued Deliver Order
DO06	IPO Free Deliver Order
DO08	FED Deliver Order
DO09	Security Holder Tracked Valued Deliver Order
DO10	Security Holder Tracked Free Deliver Order

## Payment Order

### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
PO01	Security Payment Order
PO02	Premium Payment Order

## Segregation

### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
SG01	Segregation
SG02	Release of Segregation

## Memo Segregation

### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)



BTID	Description
MS01	Memo Segregation

### Investment ID

#### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
IN01	Investment ID
IN02	Release of Investment ID

### MA/NA Movements

#### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
MN01	Position Movements between MA/NA Account

### Free or Valued Pledge Activity

#### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
PL01	Valued Pledge
PL02	Free Pledge
PL03	Valued Release Return
PL04	Free Release Return
PL05	Valued Release Request
PL06	Free Release Request
PL07	Valued Release Request Approve/Cancel
PL08	Free Release Request Approve/Cancel

### FED Pledge Activity

#### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)
[View BTID-Specific Validation](#)

BTID	Description
FP01	FED Free Pledge
FP02	FED Free Release Request

OCC Pledge Activity

Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

[Get the Template](#)

[View BTID-Specific Validation](#)

BTID	Description
OP01	OCC Free Pledge
OP02	OCC Options Release of Deposit Request
OP03	OCC Options Release of Deposit Third Party Approval/Cancel by OCC Clearing Member
OP04	OCC Options Release of Deposit Request Approval/Cancel
OP05	OCC Free Release Return

## Stock Loan / Repo Adjustment

Use this template to upload and submit stock loan / repo adjustments and to approve and cancel adjustments.

---

### Note

The links in the images below are for the online help version of this guide. If you are reading the PDF version, please refer to the online Help to download templates and see BTID-specific validation.

---

**Get the Template**

**View BTID-Specific Validation**

**Example of How to Fill Out**

BTID	Description
SL01	Stock Loan Adjustment
RP01	Repo Adjustment
SL02	Stock Loan Adjustment. Used for Approval/Cancellation
RP02	Repo Adjustment. Used for Approval/Cancellation

## Settlement Transaction Upload Tips – Dos and Don'ts

### Do

1. When creating and updating an input file in MS Excel, always use the provided XLS Upload Template (file type \*.xls) and then save the file as a CSV (file type \*.csv) before submitting. Files must be submitted using the .CSV (Comma Separated Values) file extension.
2. Format each column as defined in DTCC 5.24 Deliver Orders (DOI1/DOI 5) Function User's Guide to avoid data incompatibility. For example, even though a CUSIP could be numeric, format it in Excel as text, since the field's format is defined as Character in the Function User's Guide.
3. BTID and Version columns (first and last columns) must always be populated. Transaction types are determined by BTIDs.
4. Make sure that each file contains between 1 - 5,000 records or the entire file will be rejected.
5. Make sure that all records are of the same transaction type: for example, you cannot have records for payment orders in the same file as deliver orders. However, you can have different subtypes of one basic transaction type in the same file.
6. Populate all required fields for all records. See the transaction templates for more information on required fields per BTID.

### Don't

1. Do NOT reopen and edit an existing CSV file in Excel to update it. Always recreate the CSV file from an XLS file. See item 1 under Do section above.
2. Do NOT mix transaction types in a file. Any transaction with a BTID that doesn't map to the transaction type selected on the screen will reject.
3. Do NOT use carriage control (ALT + ENTER keys). ALT + ENTER is not an allowable character combination.
4. When generating the CSV file programmatically, there should NOT be a comma after the version number and the last character of each record (row) should be a new line character (\n) to mark the end of the record.

# Uploading Settlement Transactions

Use the Settlement Transaction File Upload feature to upload a group of transactions of a similar type.

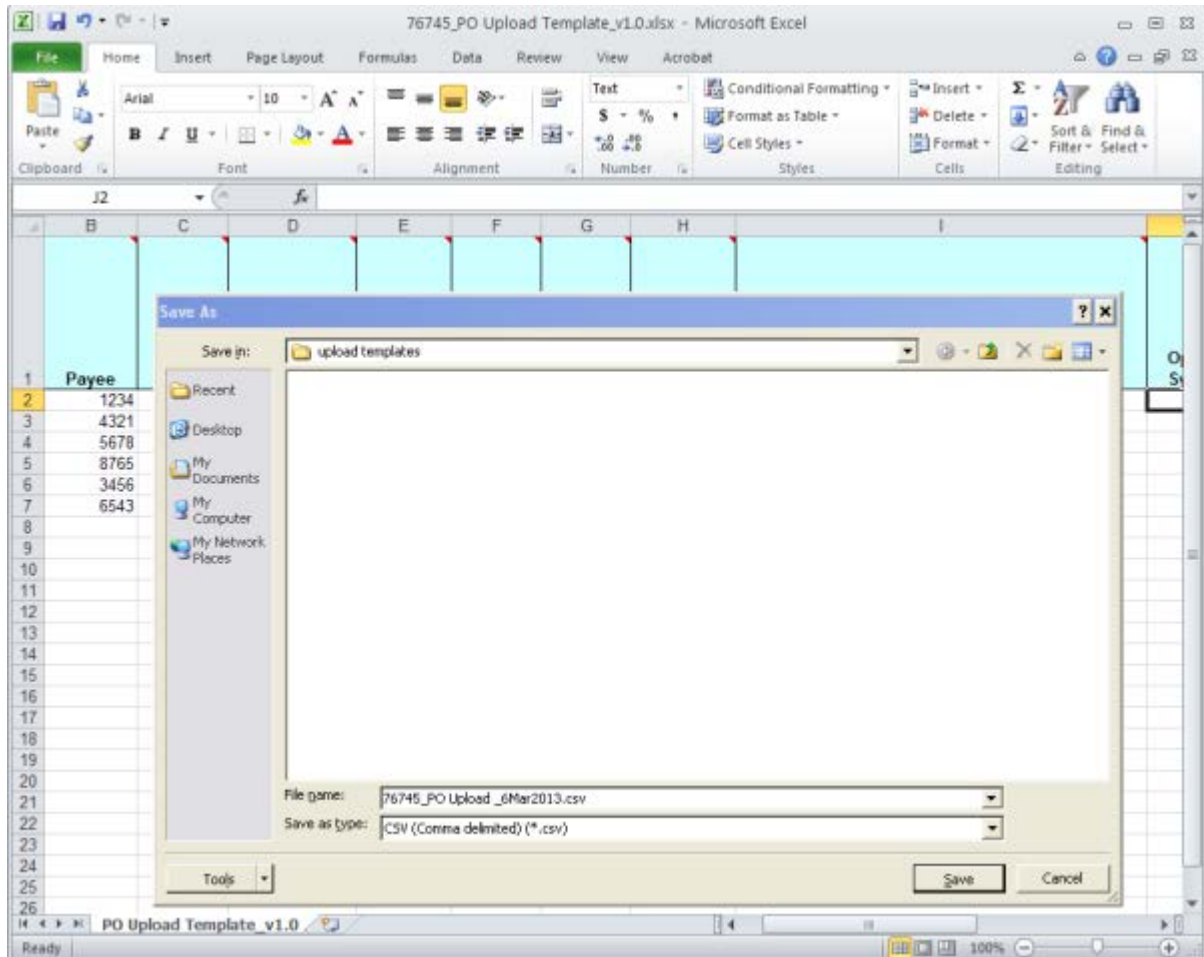
1. Create in advance your input file using the template appropriate to a single transaction type (see [Getting Upload Templates](#)) and save the file in comma separated value (CSV) format.

---

**Note**

When you save an Excel spreadsheet file (XLS) in CSV format, all formatting is lost.

---



- From the Settlement Web main menu bar, under Activity, select **Settlement Transaction File Upload**.



The Settlement Transaction File Upload page appears.

- From the drop-down menu, select the Transaction Type for the transactions you are uploading.

#### Tip

The type you indicate here must match the transaction types you upload.



- Click the **Browse** button to locate the file you want to upload. Type an optional file identification number in the **File Identifier** field (if you want to track the file after it's uploaded). Click the Submit button to upload the file. The **Settlement Transaction File Upload Results** page appears.

Use the upload fields to upload another CVS file.

Click to view the status of this and earlier uploads.

Click a link in one of these columns to view a list of Submitted, Accepted, and Rejected records.

View the upload details for the CSV file you just submitted.

Time	Tracking Number	File Name	Status	Report Reason if Applicable	Records Submitted for Processing	Records Accepted	Records Rejected
13:28:18	10004	DTCC_WebServicesUploadTemplate_v1.0.csv	Pending Submission		4	2	2

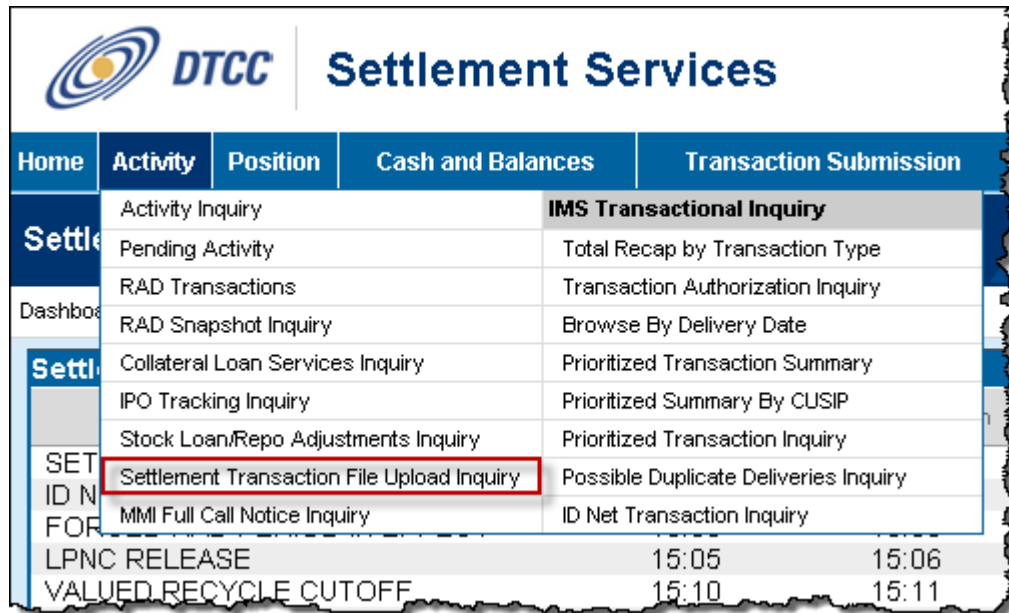
View the details of your upload here. You can also access a list of rejected records or view the results of [earlier uploads](#).



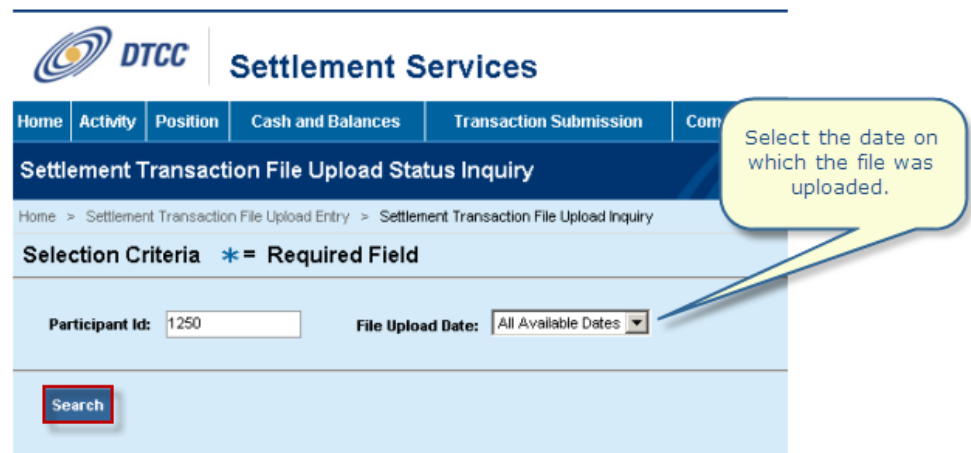
## Inquiring about Settlement Transaction Uploads

Once you have uploaded your settlement transactions, you can view their status in Settlement Web.

1. From the Settlement Web main menu bar, under Activity, select **Settlement Transaction File Upload Inquiry**.



The **Settlement Transaction File Upload Inquiry** page appears.



2. Select either a specific file upload date or **All Available Dates** and click **Search**.  
The bottom of the page displays your inquiry results.

**DTCC Settlement Services**

Welcome Test@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction | Profiles | Help | PDS Links | Dec 20, 2012 - 1:35:06 PM EST

**Settlement Transaction File Upload Status**

Home > Settlement Transaction File Upload Entry > Settlement Transaction File Upload Status

**Selection Criteria \*** = Required Field

Participant Id: 1250 | File Upload Date: All Available Dates

**Tracking Number** is a system-generated number attached to each file.

**File type** identifies the transaction type of the records in this file.

Click a link in these columns to view a list of **Total, Accepted, Submitted, and Rejected** records.

Signon	Date	Submission Time	Tracking Number	File Type	User File Id	File Name	Upload Status	Reason	Total Records in File	Records Accepted for Processing	Records Rejected	Records Submitted for Processing
4000000000	12/20/2012	13:26:18	10004	DO	DOtest	O:\sh...ent release 3up load help\upload template s 11_9_2012ent076745_DO Upload Template_v1.0.csv	Completed		4	2	2	2
4000000000	12/20/2012	12:34:12	10003	DO		Q:\H_ADM...745 - Settlement Web - Input Capabilities\Test Data\76745_DO Upload_BO_v1.0.csv	Completed		3	2	3	2
4000000000	12/20/2012	12:13:33	10002	PO	TestSPO 203	Q:\Application Landscape\orkarea\GeshuTestData\PO SPO_Template_vwithData.csv	Completed		1	1	0	1
4000000000	12/20/2012	11:54:03	10001	PO	TestSPO	Q:\Application Landscape\orkarea\GeshuTestData\PO SPO_Template_vwithData.csv	Completed		1	1	0	1

3. View the status of your search results here:

- **In Progress.** The system is still performing file checks and data validation.
- **Pending Submission.** Validation has been performed; eligible records are waiting to be submitted for processing.

**Note**

If a record needs secondary approval, the record will also stay in Pending Submission status until the transaction is approved. See Secondary Transaction Approval for more information.

- **Completed.** Eligible records were submitted for processing.
  - **Rejected.** The entire file did not pass some of the system's basic checks and all records have been rejected.
  - **Failed.** The file was not processed due to a system error.
4. Click a **Records Rejected** link to view rejected records.

The screenshot shows the 'Settlement Transaction File Upload' page with the 'Records Rejected' tab selected. The page displays feed information and a table of rejected records. Callouts provide the following explanations:

- Feed Information:** This area displays general file information, such as the total number of rejected records. (Points to the 'Records Displayed: 2' text)
- Print Results:** Click to print these results. (Points to the 'Print Results' button)
- Export to Excel:** Click to export this data to Excel. (Points to the 'Export to Excel' button)
- Record Number:** The rejected record's sequential number in the original file. (Points to the 'Record Number' column header)
- Error Messages:** The reason why this record was rejected. (Points to the 'Error Messages' column header)
- Business Transaction Identifier:** The Business Transaction identifier for this transaction. (Points to the 'CUSIP' column header)

Record Number	Error Messages	BTID	Customer Reference No.	Delivery	Receiver	Cusip	Security Quantity	Money Amount	Currency Code	Reason Code	Settlement Date	Process on Settlement Date only Indicator	CMO Factor	Comments
2	Receiver is chilled for valued DOs	DO01		1250	1234	456200101	20	100		30	12/03/2012			
3	CUSIP is chilled for DO	DO01		1250	1250	456200AA9	20	100		30	12/03/2012			

- Click the **Export to Excel** button to download the records displayed on the page into an XLS file that opens in a spreadsheet.

#### Note

Downloading allows you to fix and re-upload rejected records.

# RECEIVER AUTHORIZED DELIVERY (RAD)

## Introduction to Receiver Authorized Delivery

RAD allows receivers to review and either approve or cancel incoming deliveries before they are processed. You can route the following transaction types through RAD:

You can route the following transaction types through RAD:

- Deliver orders (DOs)
- Payment orders (POs)
- Valued pledges
- Omgeo (ID deliveries )

### RAD Profiles

As a receiver, you can set up RAD profiles and limits to customize which of your transactions are routed to RAD. For example, you may route equity, MMI, corporate/muni bonds, and stock loan deliver orders.

#### Note

RAD profiles are for receivers only.

The screenshot shows the DTCC Settlement Services web application. The main heading is "IMS Receiver Authorized Delivery". Below this, there is a "Limits Configuration" section. A search bar is present with a "Receiver ID" field containing "0000". Below the search bar, there are buttons for "Search", "Reset", and "Download RAD Limit Details". Two callouts are present: "Set a global limit." pointing to the "Global Limits" tab, and "Set a bilateral limit." pointing to the "Bilateral Limits" tab. The "Limits Configuration" section includes a table with the following data:

Profile Type	Limit Type in Effect	Limit in Effect	Bilateral in Effect
DO - MMI	Global Limit	76,000,000	Yes
DO - Equity	DTC Default	7,500,000	Yes
DO - Corporate Bond	DTC Default	7,500,000	Yes
DO - Muni Bond	DTC Default	7,500,000	Yes
DO - Stock Loan	DTC Default		No
Payment Orders	DTC Default	500,000	Yes

## RAD Limits

RAD allows you to set dollar limits for deliver orders and payment orders so that, if a transaction is above a limit, it will be routed to the RAD queue for approval or cancellation.

There are three types of RAD limits: DTC default limits, global limits, and bilateral limits. DTC default limits will be followed unless you specify otherwise. You can define your own limits to be higher than the DTC limit by using a global limit (that applies to all of your counterparties) or a bilateral limit (that applies to specific counterparties). Participants are allowed to create RAD limits below DTC's RAD limits, but should note that DTC will always process transactions against the higher value.

### Concurrent Global and Bilateral Limits

Both global and bilateral RAD limits may be set to "Active" simultaneously. In practice, this means that an account can have a global RAD limit for most counterparties, while having a higher or lower bilateral limit for specific counterparties.

The general rules for RAD limits are:

- DTCs default limits are in effect if no other limit is set up by you.
- If you set up global limits, they override default limits, unless they are below DTC default limits.
- If you set up bilateral limits, they override global or DTC default limits unless they are below DTC default limits.

Additional notes on these limits include:

- A global limit that is set at a higher value than DTC's default limits allows transactions with settlement values that are greater than DTC's default limits but less than the participant-defined global limits to receive a passive approval and be submitted to DTCC's settlement system for further processing.
- Bilateral limits allow the receiver to set a single value that is applied to a specific contra party. Similar to global limits, bilateral limits set at a higher value than DTC's default limits allow transactions from the specified deliverer to be passively approved up to the participant-defined limit.
- You are not required to set up a global limit simultaneously with a bilateral limit. You may set up a bilateral limit without establishing a global limit.

## Secondary Approval Required

All profile updates require a secondary-user approval. This means that the approving user cannot be the same person who created or updated the profile. You can create and update your profile at any point during the day for immediate implementation upon approval.

## Transaction Processing Capabilities

Within the RAD Transactions screen, you may process multiple RAD approvals and/or cancels on the same screen.

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transactions

**Search Criteria** \* = Required Field

Participant ID \* 1250 Asset Class All Transaction Type All Transaction Side Receiver Transaction Status Unapproved Display Type ☐ List ☒ Grid ☐ Excel

Business Date \* 03/27/2012 CUSIP ID Net All Contra

Search Reset

**RAD Transaction Inquiry Search Results as of Mar 27, 2012 - 11:12:16 AM**

Filters

To approve multiple transactions, select **Bulk Approval** from the **Command** drop-down menu and then click the **Cmd** button.

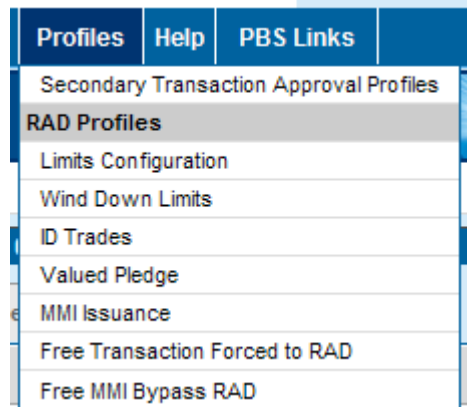
To approve a single transaction, right-click the transaction, and select **Approve Transaction**.

Transaction ID	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reason Code	Transaction Status	ATP Status	MMI Index	Principal
C54P031770309755	Audit		03/27/2012						AME	077	Unapproved	RGRN		
C54E32F63894A83			03/27/2012						AME	077	Unapproved	MAKD		
C54E32F638211AA			03/27/2012						AME	077	Unapproved	MAKD		
C54E32F636C9FD2C	EQUITY		03/27/2012						AME	077	Unapproved	MAKD		
C54E32F63177F	EQUITY		03/27/2012						AME	077	Unapproved	MAKD		

For more information on working with RAD transactions, see [Creating/Updating/Viewing/Approving a RAD Profile](#); [The RAD Profiles](#); and [Working with RAD Transactions](#).

## The RAD Profiles

You can access the RAD profiles by mousing over the Profiles option on the Settlement Web menu bar.



Click any of the RAD profile types to [add](#), [view](#), [edit](#), [delete](#), or [approve](#) a profile.

Settlement Web Tool	Menu Item	About This Profile
<b>RAD Limits Configuration Tool</b>	<a href="#">Limits Configuration</a>	<p>Use the Limits Configuration tool to activate either global or bilateral limits payment orders or deliver order types.</p> <p>Note that many profile types are included under two categories of "Limits Configuration":</p> <ul style="list-style-type: none"> <li>• Global Limit RAD (Deliver Order, Payment Order)</li> <li>• Bilateral Limit RAD (Deliver Order, Payment Order)</li> </ul>
<b>Global Limit RAD</b>	Limits Configuration ("Global Limits" tab)	Use this tab to configure global limits for deliver orders (for MMI, Equity, Corporate Bond, Muni Bond, and Stock Loan asset classes) and payment orders.
<b>Bilateral Limit RAD</b>	Limits Configuration ("Bilateral Limits" tab)	Use this tab to configure bilateral limits for deliver orders (for MMI, Equity, Corporate Bond, Muni Bond, and Stock Loan asset classes) and payment orders.
<b>MMI Limits</b>	Limits Configuration ("DO — MM")	<p>Use this profile to establish RAD profile limits specifically for MMI activity. You may establish <a href="#">global</a> and <a href="#">bilateral</a> limits.</p> <p>Note that the current MMI default limits are set to \$0. If a limit is set that is higher than \$0, any transactions valued between \$0 and that limit would bypass RAD.</p>
<b>Equity Limits</b>	Limits Configuration ("DO — Equity")	<p>Use this profile to establish RAD profile limits specifically for equities activity. You may establish <a href="#">global</a> and <a href="#">bilateral</a> limits.</p> <p>If no Equity profile has been created, all equities transactions will be subject to DTC's default limits (unless an existing Stock Lending profile exists, see below).</p>

<b>Corporate Bond Limits</b>	Limits Configuration ("DO — Corporate Bond")	<p>Use this profile to establish RAD profile limits specifically for corporate bond activity. You may establish <a href="#">global</a> and <a href="#">bilateral</a> limits.</p> <p>If no Corporate Bond profile has been created, all corporate transactions will be subject to DTC's default limits.</p>
<b>Muni Bond Limits</b>	Limits Configuration ("DO — Muni Bond")	<p>Use this profile to establish RAD profile limits specifically for municipal bond activity. You may establish <a href="#">global</a> and <a href="#">bilateral</a> limits.</p> <p>If no Muni Bond profile has been created, all muni transactions will be subject to DTC's default limits.</p>
<b>Stock Lending Limits</b>	Limits Configuration ("DO — Stock Loan")	<p>Use this profile to establish RAD profile limits specifically for stock loan and stock loan return activity. You may establish <a href="#">global</a> and <a href="#">bilateral</a> limits.</p> <p>If no Stock Loan profile has been created, all Stock Lending transactions will be subject to the applicable DO profile limits.</p> <p>The following Reason Codes apply to this profile:</p> <ul style="list-style-type: none"> <li>• 10 — Stock Loan</li> <li>• 20 — Stock Loan Return</li> <li>• 260 — OCC Stock Loan</li> <li>• 270 — OCC Stock Loan Return</li> <li>• 280 — ADR Stock Loan (Untracked)</li> <li>• 290 — ADR Stock Loan Return (Untracked)</li> <li>• 600 — Collateral DO</li> <li>• 610 — Collateral DO Return</li> <li>• 704 — OCC Stock Loan (Untracked)</li> <li>• 706 — OCC Stock Loan Return (Untracked)</li> <li>• 220 — Repo Tracking</li> <li>• 230 — Repo Tracking Return</li> <li>• 630 — Repo with Memo Decrease</li> <li>• 640 — Repo Return with Memo Decrease</li> </ul>
<b>Wind Down profile</b>	Wind Down profile	<p>DTC has the ability, at its discretion, to apply RAD to all DOs and POs initiated by a "Wind-Down" participant, regardless of value.</p> <p>A receiving participant has the option to raise the DTC-set RAD limits through use of the Wind Down Limits profile, but if it does so, there will be no matched reclaims permitted to override controls.</p>
<b>ID Trades profile</b>	ID Trades	<p>You can optionally set up an ID Trade Configuration profile in Settlement Web.</p> <p>If no ID Trades profile has been created, default limits would not apply and the ID trades would bypass RAD entirely.</p> <p>At this time, DTC does not have internal RAD limits for ID trades.</p>



<b>Valued Pledge profile</b>	Valued Pledge	<p>Use this profile to route all your valued pledges to RAD. This allows you to review and approve securities being pledged by another participant as collateral before your settlement account is debited (and the pledgor's account is credited) for the transaction.</p> <p>This profile is created for a pledgee by the associated participant. If no Valued Pledge profile has been created, default limits would not apply and the valued pledges would bypass RAD entirely.</p> <p>Updates to this profile can be set up to take effect immediately, or they can be set up to take effect on a future business date.</p>
<b>RAD MMI Issuance profile</b>	MMI Issuance	<p>Use this profile to route all your pending valued MMI issuances and any new issuances submitted after 2:00 p.m. eastern time to RAD.</p> <p>If no RAD MMI Issuance profile has been created, DTC limits will still apply.</p> <p>Updates to this profile can be set up to take effect immediately, or they can be set up to take effect on a future business date.</p>
<b>Free Transaction After 5pm Forced to RAD profile</b>	Free Transaction Forced to RAD	<p>Use this profile to route all your free receives (DOs) input after 5:00 p.m. eastern time to RAD.</p> <p>Updates to this profile can be set up to take effect immediately, or they can be set up to take effect on a future business date.</p>
<b>Free MMI Bypass RAD profile</b>	Free MMI Bypass RAD	<p>Use this profile to have free MMI Deliver Orders (DOs) for specific deliverers automatically bypass RAD.</p>
<b>Free Pledge RAD profiles</b>	Global Free Pledge Forced to RAD, Bilateral Free Pledge Forced to RAD.	<p>Pledgee banks can use these global or bilateral profiles to route all free pledges to RAD.</p> <p>If no Free Pledge RAD profile has been created, default limits would not apply and the free pledges would bypass RAD entirely.</p> <p>Transaction eligibility for the new free pledge profiles is limited to activity code 51 (free pledges) only.</p>

## Global Limits

To perform this action	Do this
<b>Set a new global limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>New</b> radio button in the <b>Action</b> column next to the profile (asset type) you are setting a limit for.</li> <li>2. Type the dollar amount of the limit in the <b>New Global Limit</b> column.</li> <li>3. Type any comments about this limit in the <b>Comments</b> box.</li> <li>4. Click <b>Submit</b>.</li> </ol> <p>Any new profiles will not be available until they have been approved by a qualified user.</p>
<b>View an existing global limit</b>	<ul style="list-style-type: none"> <li>• See the Limits Configuration or Global limits tabs.</li> <li>• Click the <b>Download RAD Limit Details</b> button to export a spreadsheet showing any global and bilateral active limits between the receiver and different deliverers.</li> <li>• Click the <b>Audit</b> link on the right to view this profile's audit trail, including approval information and links to comments.</li> </ul>
<b>Edit an existing global limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>New</b> radio button in the <b>Action</b> column next to the limit you are editing.</li> <li>2. Type the limit amount in the <b>New Global Limit</b> field.</li> <li>3. Type any comments about this limit in the <b>Comments</b> box.</li> <li>4. Click <b>Submit</b>.</li> </ol> <p>Any edited profiles will not be available until they have been approved by a qualified user.</p>
<b>Delete an existing global limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Delete</b> radio button in the <b>Action</b> column next to the limit you are removing.</li> <li>2. Click <b>Submit</b>.</li> </ol> <p>Any deleted profiles will not be removed until this has been approved by a qualified user.</p>
<b>Approve or reject a global limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Profile Changes Awaiting Approval</b> tab on the right.</li> <li>2. Click the <b>Approve</b> or <b>Reject</b> check box to the left of each applicable limit profile.</li> <li>3. Click <b>Submit</b>. A pop-up box asks if you are sure you want to approve/reject the profile.</li> <li>4. Click <b>Confirm</b>.</li> </ol> <p>New or edited profiles become effective as soon as they have been approved by a qualified user. The approver must be someone other than you.</p>

HomeActivityPositionCash and BalancesTransaction SubmissionCommandsProfilesHelpPBS Links

Oct 17, 2013 - 1:48:01 PM EDT

IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Limits Configuration

HelpPrint

Receiver ID \*  
D125

Deliverer ID

SearchResetDownload RAD Limit Details

Search Results

Receiver ID: 0000 / TEST PARTICIPANT

Limits ConfigurationGlobal LimitsBilateral LimitsProfile Changes Awaiting Approval

Displaying 2 itemsPage 1

ACTION		Profile Type	Limit Type	Deliverer	Current Limit Amount	New Limit Amount	Status	Comments	Audit
Approve	Reject	DO - Equity	Global	All		76,000,000	Pending Approval		<a href="#">Audit</a>
		DO - MM	Bilateral	125 - SAMPLE		525,000	Pending Approval		<a href="#">Audit</a>

Page 1

SubmitReset

Click this tab to approve or reject any pending global and bilateral limits configuration profiles.

## Bilateral Limits

To perform this action	Do this
<b>Set a new bilateral limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Add New Bilateral Limit</b> button below the table.</li> <li>2. Type the participant number of the counterparty in the <b>Deliverer ID</b> field.</li> <li>3. Type the amount of each limit you wish to set in the <b>New Bilateral Limit</b> field next to the appropriate profile type.</li> <li>4. Type any comments about each limit in its associated <b>Comments</b> field.</li> <li>5. Click <b>Submit</b>.</li> </ol> <p>Any new limits will not be available until they have been approved by a qualified user.</p>
<b>View an existing bilateral limit</b>	<ul style="list-style-type: none"> <li>• See the <b>Bilateral Limits</b> tab.</li> <li>• Click the <b>Download RAD Limit Details</b> button to export a spreadsheet showing any global and bilateral active limits between the receiver and different deliverers.</li> <li>• Click the <b>Audit</b> link on the right to view this profile's audit trail, including approval information and links to comments.</li> </ul>
<b>Edit an existing bilateral limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Select</b> radio button next to the deliverer whose limit(s) you want to edit.</li> <li>2. Click <b>Update</b>.</li> <li>3. Click the <b>New</b> radio button next to each limit that you want to edit. You can edit multiple limits at once.</li> <li>4. Type the amount of each limit in the <b>New Bilateral Limit</b> field next to the appropriate profile type.</li> <li>5. Type any comments about each limit in its associated <b>Comments</b> field.</li> <li>6. Click <b>Submit</b>.</li> </ol> <p>Any edited limits will not be available until they have been approved by a qualified user.</p>
<b>Delete an existing bilateral limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Select</b> radio button next to the limit you want to delete.</li> <li>2. Click <b>Update</b>.</li> <li>3. Click the <b>Delete</b> radio button next to each profile type limit that you want to remove. You can delete multiple limits at once.</li> <li>4. Click <b>Submit</b>.</li> </ol> <p>Any deleted limits will not be removed until this has been approved by a qualified user.</p>
<b>Approve or reject a bilateral limit</b>	<ol style="list-style-type: none"> <li>1. Click the <b>Profile Changes Awaiting Approval</b> tab on the right.</li> <li>2. Click the <b>Approve</b> or <b>Reject</b> check box to the left of each applicable limit profile.</li> <li>3. Click <b>Submit</b>. A pop-up box asks if you are sure you want to approve/reject the profile.</li> <li>4. Click <b>Confirm</b>.</li> </ol> <p>New or edited profiles become effective as soon as they have been approved by a qualified user. The approver must be someone other than you.</p>

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Oct 17, 2013 - 1:48:01 PM EDT

### IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Limits Configuration

Receiver ID \*  Deliverer ID

[Search](#) [Reset](#) [Download RAD Limit Details](#)

Search Results

Receiver ID: 0000 / TEST PARTICIPANT

[Limits Configuration](#) [Global Limits](#) [Bilateral Limits](#) [Profile Changes Awaiting Approval](#)

Displaying 2 items Page 1

ACOM		Profile Type	Limit Type	Deliverer	Current Limit Amount	New Limit Amount	Status	Comments	Audit
<input type="checkbox"/>	<input type="checkbox"/>	DO - Equity	Global	All		76,000,000	Pending Approval	<input type="text"/>	<a href="#">Audit</a>
<input type="checkbox"/>	<input type="checkbox"/>	DO - MMI	Bilateral	125 - SAMPLE		525,000	Pending Approval	<input type="text"/>	<a href="#">Audit</a>

[Submit](#) [Reset](#)

Page 1

## Working with Limits Configuration

The Limits Configuration page contains four tabs.

DTCC Settlement Services

Welcome user@test.com [Log Out](#) [Change Password](#)

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Oct 8, 2013 - 10:11:49 PM EDT

### IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Limits Configuration

Receiver ID \*

[Search](#) [Reset](#) [Download RAD Limit Details](#)

Search Results

Receiver ID: 0000/TESTCOMPANY

[Limits Configuration](#) [Global Limits](#) [Bilateral Limits](#) [Profile Changes Awaiting Approval](#)

Profile Type	Limit Type in Effect	Limit in Effect	Bilateral in Effect
DO - MMI	Global Limit	76,000,000	Yes
DO - Equity	DTC Default	7,500,000	Yes
DO - Corporate Bond	DTC Default	7,500,000	Yes
DO - Muni Bond	DTC Default	7,500,000	Yes
DO - Stock Loan	DTC Default		No
Payment Orders	DTC Default	500,000	Yes

This tab	Contains this information/Allows you to do this
<b>Limits Configuration</b>	This is a summary of all your DO and PO profiles. It displays the limit type and limit amount in effect, as well as whether each limit is global or bilateral.
<b>Global Limits</b>	This is where you can add, view, edit, or delete global limits by profile (asset) type. You can perform multiple actions at once on this page.

	Global limits apply to all of your counterparties unless you have specified bilateral limits for a particular participant. Your global limits will override the DTC limits unless the DTC limits are higher.
<b>Bilateral Limits</b>	<p>This is where you can add, view, edit, or delete bilateral limits for different counterparties by profile (asset) type. You can perform multiple actions at once on this page.</p> <p>Bilateral limits override any global limits you have set.</p>
<b>Profile Changes Awaiting Approval</b>	Here, you can see a list of all profile changes — both <a href="#">global</a> and <a href="#">bilateral</a> — that need approval in order to become active. You cannot approve your own profile changes.

Please note that the Limits Configuration tool allows you to download a spreadsheet showing your global and bilateral limits across all deliverers.

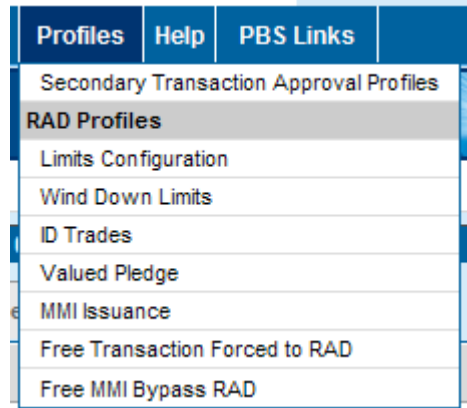
The screenshot shows the 'IMS Receiver Authorized Delivery' interface. A yellow callout bubble points to the 'Download RAD Limit Details' button, stating: 'Download limits in a spreadsheet.' Below the button, a Microsoft Excel spreadsheet is open, displaying the 'RAD Limit Details for 1250[1].xls' file. The spreadsheet has columns for Receiver, Deliverer, and various limit types (DO - MM, DO - Equity, DO - Corporate Bond, DO - Muni Bond, DO - Stock Loan, Payment Orders). The data is organized into rows for different deliverers (1/NICK TEST1, 2/NEW PART, 3/TEST, 4/CS&B AC, 5/GOLDMAN).

Receiver	Deliverer	DO - MM	DO - Equity	DO - Corporate Bond	DO - Muni Bond	DO - Stock Loan	Payment Orders
1250/FTS PA #1	1/NICK TEST1	7,500	25,000,000	25,000,000	25,000,000	500,000	Yes
1250/FTS PA #1	2/NEW PART	7,500	25,000,000	25,000,000	25,000,000	500,000	No
1250/FTS PA #1	3/TEST	7,500	25,000,000	25,000,000	25,000,000	500,000	Yes
1250/FTS PA #1	4/CS&B AC	7,500	25,000,000	25,000,000	25,000,000	500,000	
1250/FTS PA #1	5/GOLDMAN	7,500	25,000,000	25,000,000	25,000,000	500,000	

## Creating/Updating/Viewing/Approving a RAD Profile

From the Profiles menu, click the RAD profile you want to work with.

Click [here](#) for an explanation of the RAD profiles.



You are presented with a page for the profile type you selected.

There are two types of profiles.

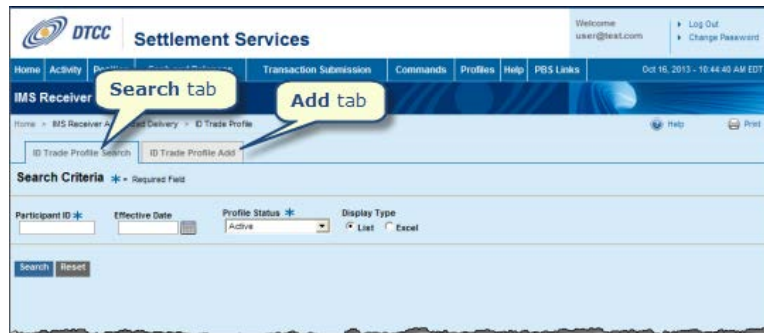
1. The Limits Configuration profiles allow you to set specific dollar limits for deliver and payment orders. [Read more.](#)

The screenshot shows the DTCC Settlement Services web application. The user is logged in as 'user@test.com'. The navigation bar includes links for Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The current page is 'IMS Receiver Authorized Delivery > Limits Configuration'. A search bar is present with a 'Receiver ID' field containing '0000'. Below the search bar, there are tabs for 'Limits Configuration', 'Global Limits', 'Bilateral Limits', and 'Profile Changes Awaiting Approval'. The 'Limits Configuration' tab is active, displaying a table of profile types and their associated limits.

Profile Type	Limit Type in Effect	Limit in Effect	Bilateral in Effect
DO - MMI	Global Limit	76,000,000	Yes
DO - Equity	DTC Default	7,500,000	Yes
DO - Corporate Bond	DTC Default	7,500,000	Yes
DO - Muni Bond	DTC Default	7,500,000	Yes
DO - Stock Loan	DTC Default		No
Payment Orders	DTC Default	500,000	Yes

Two callout boxes are overlaid on the image: 'Set a global limit.' pointing to the 'Global Limits' tab, and 'Set a bilateral limit.' pointing to the 'Bilateral Limits' tab.

- Other profiles allow you to either route transactions to or bypass RAD.



2. See the table below for your next step.

To perform this action	Do this
<b>Work with Limits Configuration</b>	<p>Enter the Receiver ID and click Search.</p> <p>Click below to see further steps.</p> <ul style="list-style-type: none"> <li><a href="#">Add, view, edit, delete, or approve a global Limit</a></li> <li><a href="#">Add, view, edit, delete, or approve a bilateral Limit</a></li> <li><a href="#">Learn more about the Limits page.</a></li> </ul>

For all other profiles:	
<b>Create a profile</b>	<ol style="list-style-type: none"> <li>Click the profile's <b>Add</b> tab on the right.</li> <li>Enter the required information and any comments about this profile.</li> <li>Click <b>Add</b>. Your new profile will not be active until it has been approved by another qualified user.</li> </ol>
<b>View an existing profile</b>	<ol style="list-style-type: none"> <li>Enter the required Search criteria in the <b>Search</b> tab on the left.</li> <li>Click <b>Search</b>. All profiles associated with this participant number are displayed.</li> <li>Click the <b>Audit</b> link on the right to view this profile's audit trail, including approval information and links to comments.</li> </ol>



<b>Edit an existing profile</b>	<ul style="list-style-type: none"> <li>a) Enter the required Search criteria in the <b>Search</b> tab on the left.</li> <li>b) Click <b>Search</b>. All profiles associated with this participant number are displayed.</li> <li>c) Click the <b>Action</b> radio button to the left of the profile you want to edit.</li> <li>d) Click <b>Update</b>. A pop-up window containing profile information appears.</li> <li>e) Enter the new profile information.</li> <li>f) Click <b>Update</b>.</li> </ul> <p>Any edited profiles will not be available until they have been approved by a qualified user.</p>
<b>Approve a profile</b>	<ul style="list-style-type: none"> <li>a) Enter the required search criteria in the <b>Search</b> tab on the left. Be sure to set the <b>Profile Status</b> to "Pending Approval."</li> <li>b) Click <b>Search</b>. All pending profiles associated with this participant number are displayed.</li> <li>c) Click the <b>Action</b> radio button to the left of the profile you want to approve.</li> <li>d) Click <b>Approve</b>. A pop-up window containing profile information appears.</li> <li>e) Enter any comments, if applicable.</li> <li>f) Click <b>Approve</b>.</li> </ul> <hr/> <p><b>Note</b></p> <p>The profile must be approved by another qualified user.</p> <hr/>

# Working with RAD Transactions

## Searching RAD Transactions

The RAD Transaction page lets you view and search for related transactions. You can:

- Search for RAD transactions and filter your results;
- Implement command processing (bulk approvals, single approvals, and single cancellation of transactions).

To enter a RAD Transactions search:


1. From the **Activity** menu on the Navigation bar, select **RAD Transactions**.

The screenshot shows the DTCC Settlement Services web application. The top navigation bar includes 'Home', 'Activity', 'Position', 'Cash and Balances', 'Transaction Summary', 'Ends', 'Profiles', 'Help', and 'PBS Links'. The 'Activity' menu is open, showing options like 'Activity Inquiry', 'Pending Activity', 'RAD Transactions' (highlighted with a red box and a callout bubble), and 'RAD Snapshot Inquiry'. The callout bubble says 'Select RAD Transactions to begin your search.' Below the menu, the 'Search' section contains various search criteria: Participant ID (1250), Asset Class (All), Transaction Side (Receiver), Transaction Status (All), IMS TID, ID Control Number, Business Date (12/15/2017), CUSIP, ID Net (No), and Transaction Type (All, DO-MITS, DO-LIMITS, NDO, DO, PO, VALUED PLEDGE, FREE PLEDGE). There are 'Search' and 'Reset' buttons, and a 'Display Type' selector (List, Grid, Excel).

The RAD Transactions page appears.

2. In the Search Criteria section of the page, enter your search criteria.

The screenshot shows the DTCC Settlement Services web application. The top navigation bar includes 'Home', 'Activity', 'Position', 'Cash and Balances', 'Transaction Summary', 'Ends', 'Profiles', 'Help', and 'PBS Links'. The 'Activity' menu is open, showing options like 'Activity Inquiry', 'Pending Activity', 'RAD Transactions' (highlighted with a red box and a callout bubble), and 'RAD Snapshot Inquiry'. The callout bubble says 'Search RAD transaction activity by the categories below.' Below the menu, the 'Search Criteria' section contains various search criteria: Participant ID (1250), Asset Class (All), Transaction Side (Receiver), Transaction Status (All), IMS TID, ID Control Number, Business Date (12/15/2017), CUSIP, ID Net (No), and Transaction Type (All, DO-MITS, DO-LIMITS, NDO, DO, PO, VALUED PLEDGE, FREE PLEDGE). There are 'Search' and 'Reset' buttons, and a 'Display Type' selector (List, Grid, Excel).

<b>Participant ID</b>	<i>Required.</i> If you have only one participant ID, it appears here by default.
<b>Asset Class</b>	<i>Optional.</i> "All" is the default for this field. If you select "MMI," the MMI Index Principal field appears.
<b>Transaction Type</b>	<i>Optional.</i> You can refine your search by transaction type. "All" is the default for this field.
<b>Transaction Side</b>	<i>Optional.</i> You can refine your search by Receiver or Deliver. "Receiver" is the default for this field.
<b>Transaction Status</b>	<i>Optional.</i> You can refine your search by transaction status. "Unapproved" is the default for this field.
<b>Business Date</b>	The current date appears by default and should not be changed. You can search RAD transactions for the current date only.
<b>CUSIP</b>	<i>Optional.</i> You can enter a CUSIP number manually or use the CUSIP look-up tool  to select one.
<b>ID Net</b>	<i>Optional.</i> "All" is the default for this field.
<b>Contra</b>	<i>Optional.</i> You can refine your search by selecting a Contra Participant ID.
<b>IMS TID</b>	<i>Optional.</i> Select to limit your search to a single transaction using the Inventory Management System Transaction ID.
<b>ID Control Number</b>	<i>Optional.</i> The nine-digit ID Control Number is DTCC's Tradesuite™ ID service identifier for transactions in which a confirm has been generated through Tradesuite™ ID. Clients may populate this field with a control number to identify any ID transactions.

**DTCC** | Settlement Services | Welcome | testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Nov 28, 2017 - 5:11:05 PM EST

### IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Asset Class **MMI** | Receiver All | Status All | IMS TID | ID Control Number |

Business Date \* 11/28/2017 | CUSIP | ID Net No | Contra | **MMI Index Principal** All |

Transaction Type: \* ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

**Search** **Reset** | Display Type: ☒ List ☐ Grid ☐ Excel

**Search Results** Activity w/Comments Lens

This is the last page of data that satisfies your search criteria.

Displaying 2 items | Page 1

Approve	Action	Cancel	Reverse	Transaction ID/ ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reason Code	RAD Status	ATP Status	MMI Index Principal	Audit
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">456456456</a>	EQUITY	NDO	11/28/2017	1260		868686866	600	40,000.00	NPTS	030	Unapproved			<a href="#">Audit</a>
, SD: 102317, AUTO102022129																		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">456456456</a>	EQUITY	NDO	11/28/2017	1260		868686866	600	40,000.00	NPTS	030	Unapproved			<a href="#">Audit</a>
, SD: 102317, AUTO102030222																		

**Submit** | Page 1

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3. Select the display type.

**DTCC** | Settlement Services | Welcome | testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Dec 15, 2017 - 8:25:55 PM EST

### IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

**Search Criteria** \* = Required Field

Participant ID \* 1250 | Asset Class All | Transaction Side Receiver | Transaction Status All | IMS TID | ID Control Number |

Business Date \* 12/15/2017 | CUSIP | ID Net No | Contra |

Transaction Type: \* ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

**Search** **Reset** | Display Type: ☒ List ☐ Grid ☐ Excel

Select the display type for your search results.

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- Choose **List** under **Display Type** to display your search results online (on the same page, just below the Search Criteria section). This is the default display type.

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Nov 28, 2017 - 5:11:05 PM EST

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

Help Print

**Search Criteria** \* = Required Field

Participant ID\*: 1250 Asset Class: All Transaction Side: Receiver Transaction Status: All IMS TID: ID Control Number: Business Date\*: 11/28/2017 CUSIP: ID Net: No Transaction Type: ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Search Reset Display Type: ☒ List ☐ Grid ☐ Excel

**Search Results** Activity w/Comments Lens

Displaying 7 items

Night deliver orders may be reversed prior to the start of the night cycle.

Click the check box next to each transaction that you want to approve or cancel.

Click **Audit** for a transaction to view additional transaction information.

Approve	Action	Reverse	Transaction ID	Asset Class	Transaction Side	Transaction Status	IMS TID	ID Control Number	Quantity	Amount	DPTS	030	Approved	MAKD	Audit
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D381A52C9F959F82	EQUITY	NDO	11/28/2017	229	868686866	15	1,525.00	DPTS	030	Approved	MAKD	<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	456456456	EQUITY	NDO	11/28/2017	229	868686866	600	40,000.00	NPTS	030	Unapproved		<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	456456456	EQUITY	NDO	11/28/2017	229	868686866	600	40,000.00	NPTS	030	Unapproved		<a href="#">Audit</a>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	234567891	EQUITY	NDO	11/28/2017	229	458140100	2,000	40,000.00	NPTS	030	Unapproved		<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	123456789	EQUITY	NDO	11/28/2017	229	458140100	1,000	40,000.00	NPTS	030	Unapproved		<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D236F1C9F7619168	EQUITY	DO	11/28/2017	15	456788108	14,000	100,000.00	DPTS	000	Unapproved	RGRN	<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	555555555	CBONDS	NDO	11/28/2017	229	P17625AB3	10	10.00	NPTS	030	Unapproved		<a href="#">Audit</a>

Submit

Page 1

- Choose **Grid** under **Display Type** to display your search results as scrollable, paginated search results with a customized number of returned transaction records. You can also sort and filter your results.

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Dec 12, 2017 - 3:27:12 PM EST

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

**Search Criteria** \* = Required Field

Participant ID \* 1250  
Business Date \* 12/12/2017  
Transaction Type: \* ☐ All ☐ DO-MITS ☐ DO-LIMITS ☒ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Asset Class All  
CUSIP  
Transaction Side Receiver  
ID Net No  
Transaction Status All  
Contra  
IMS TID  
ID Control Number

Search Reset

Filter your results.

Customize the display of your results.

Display Type: Approve multiple transactions.

**RAD Transaction Inquiry** Search Results as of Dec 12, 2017 - 3:27:12 PM EST Activity w/Comments Lens Customize Grid Bulk Approve @Cmd

Filters Apply Reset Page 1 of 1

Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	NPTS	030	Unapproved	ATP Status	MMI Index	Principal
D332B213556B2162	CBONDS	NDO	12/12/2017	229		P17625AB3	10	10.00	NPTS	030	Unapproved			
.. SD: 092717,														
D350F65C211FF5C	EQUITY	NDO	12/12/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved			
.. SD: 102317, AUTO102030222														
D350E039818FB46B	EQUITY	NDO	12/12/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved			
.. SD: 102317, AUTO102022129														
D34F71A731A99B63	EQUITY	NDO	12/12/2017	229		458140100	2,000	40,000.00	NPTS	030	Unapproved			
.. SD: 102017,														
D34F717D46446361	EQUITY	NDO	12/12/2017	229		458140100	1,000	40,000.00	NPTS	030	Unapproved			
.. SD: 102017,														

Records Per Page: (maximum of 100) 10  
Record Limit: (maximum of 2000) 250  
Set

Right-click an individual transaction to approve, cancel, or display audit details.

- Choose **Excel** under **Display Type** to download your results as an Excel spreadsheet. When you execute your search, you will be prompted to save the spreadsheet.

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Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Dec 12, 2017 - 1:42:59 PM EST

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

**Search Criteria** \* = Required Field

Participant ID \* 1250  
Business Date \* 12/12/2017  
Transaction Type: \* ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Asset Class All  
CUSIP  
ID Net No  
Transaction Side Receiver  
Transaction Status All  
IMS TID  
ID Control Number

Search Reset

Display Type: ☐ List ☐ Grid ☒ Excel

**RAD Transaction Inquiry** Search Results as of Dec 12, 2017 - 1:42:59 PM EST Activity w/Comments Lens Customize Grid Bulk Approve Cmd

Filters Apply Reset Page 1 of 1

Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reason Code	Transaction Status	ATP Status	MMI Index Principal
Comments													
D350F05C211FFF5C	EQUITY	NDO	12/12/2017	229		888888888	800	40,000.00	NPTS				
.. SD: 102317, AUTO102030222													
D350ED39818FB46B	EQUITY	NDO	12/12/2017	229		888888888	800	40,000.00	NPTS				
.. SD: 102317, AUTO102022129													
D350F05C211FFF5C	EQUITY	NDO	12/12/2017	229		458140100	2,000	40,000.00	NPTS	030	Unapproved		

Do you want to save RAD Transaction Inquiry Results\_1513104306740244125.xls (6.42 KB) from dtcc.com?

Save Cancel

Select Save to download as an Excel file.

#### 4. Click **Search**.

The RAD Transactions page displays your search results in the display type selected.

#### Quick Tips

- In the grid display type, right-click on an individual transaction row to access audit details for that transaction.
- In the list display type, click the **Audit** link for additional transaction details.
- Click on column headers in the grid display type to sort the data in ascending or descending order.

For more information on further refining your results, see [Filtering RAD Transactions](#).

For viewing additional transaction information, see [Displaying RAD Audit Details](#).

For information on performing actions on transactions, see [Approving RAD Transactions](#) and [Canceling RAD Transactions](#).

## Filtering RAD Transactions

You can filter your RAD Transactions results to display only the data you want to view.

### To filter your RAD Transactions search results:

1. Retrieve your search results by selecting **Grid** under **Display Type**. See [Searching RAD Transactions](#).
2. Hover your mouse over the column of data you want to filter.  
A text box appears that allows you to set up a filter for that column.

The screenshot shows the DTCC Settlement Services interface. The top navigation bar includes links for Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The user is logged in as testuser@dtcc.com. The main section is titled "IMS Receiver Authorized Delivery" and "Transaction Inquiry".

**Search Criteria:**

- Participant ID: 1250
- Asset Class: All
- Transaction Side: Receiver
- Transaction Status: All
- IMS TID:
- ID Control Number:
- Business Date: 12/12/2017
- CUSIP:
- ID Net: No
- Contra:
- Transaction Type: ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

**Search Results:** Search Results as of Dec 12, 2017 - 3:35:17 PM EST. Display Type: ☐ List ☒ Grid ☐ Excel.

**Filters:** Amount: 10.00. **Apply** **Reset** Page 1 of 1

Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input	Reason	Transaction Status	ATP Status	MMI Index Principal
D350F85C211FFF5C	EQUITY	NDO	12/12/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved		
.. SD: 102317, AUTO102030222													
D350ED39818FB46B	EQUITY	NDO	12/12/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved		
.. SD: 102317, AUTO102022129													
D34F71A731A99B63	EQUITY	NDO	12/12/2017	229		458140100	2,000	40,000.00	NPTS	030	Unapproved		
.. SD: 102017,													
D34F717D46446361	EQUITY	NDO	12/12/2017	229		458140100	1,000	40,000.00	NPTS	030	Unapproved		
.. SD: 102017,													
D332B213558B2162	CBONDS	NDO	12/12/2017	229		P17625AB3	10	10.00	NPTS	030	Unapproved		
.. SD: 092717,													
D236F1C9F7619168	EQUITY	DO	12/12/2017	15		456788108	14,000	100,000.00	DPTS	000	Unapproved	RGRN	
DDD, RRR, SD: 102516, NON IPO DO FROM NON MERRILL 15 TEST BY JR													

3. Enter your filter criteria.
4. Click **Apply** to apply the filters to the column.  
Your search is filtered according to the filter criteria you applied. Your filtered criteria will be displayed in the box directly above the grid, on the left-hand side of the page.

### Quick Tips

- When filtering columns containing values, you can choose from a drop down to filter  $>$ ,  $<$ , or  $=$  to the value in the text box.
- Click **Reset** to return the grid to the original set of search results and clear the filtered criteria display in the box above the grid.
- Double-click a single transaction record to open additional information on that transaction.



## Displaying RAD Audit Details

RAD audit details are composed of the historical information related to the transactions. RAD audit details will have the participant ID and the time when any action was taken on that particular transaction.

**To display your RAD audit details in the grid display type:**

1. Retrieve your search results by selecting **Grid** under **Display Type**. See [Searching RAD Transactions](#).
2. In the search results, click the **Audit** link in the far right column for an individual transaction.

**DTCC Settlement Services** Welcome testuser@dtcc.com | Log Out | Change Password

Home | Activity | Position | Cash and Balances | Transaction Submission | Commands | Profiles | Help | PBS Links | Nov 28, 2017 - 5:11:05 PM EST

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

**Search Criteria** \* = Required Field

Participant ID: 1250 | Asset Class: All | Transaction Side: Receiver | Transaction Status: All | IMS TID: | ID Control Number: 456456456

Business Date: 11/28/2017 | CUSIP: | ID Net: No | Contra: | Transaction Type: ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Search Reset | Display Type: ☒ List ☐ Grid ☐ Excel

**Search Results** Activity w/Comments Lens

This is the last page of data that satisfies your search criteria.

Displaying 2 items | Page 1

Approve	Action Cancel	Reverse	Transaction ID/ ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reas Co	Audit	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">456456456</a>	EQUITY	NDO	11/28/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved	<a href="#">Audit</a>
,, SD: 102317, AUTO102022129															
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">456456456</a>	EQUITY	NDO	11/28/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved	<a href="#">Audit</a>
,, SD: 102317, AUTO102030222															

Submit | Page 1

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The RAD Transaction Audit Information page appears.

RAD Transaction Audit Information for D236F1C9F7619168							
State Code	Prior State Code	State Update Time	Create Date	Program Name	Function Name	User ID	Reason
UNPR		2017-10-20 15:02:25.499203	2017-10-20	IMB300	SWEB	00123456	
AUTH	UNPR	2017-10-20 20:00:38.959221	2017-10-20	IMB620	IBSR		
RSUB	AUTH	2017-10-20 20:00:38.980377	2017-10-20	IMB400	IBSR		
RDPR	RSUB	2017-10-23 18:45:21.270565	2017-10-20	IMBRADRP	EOD		
AUTH	UNPR	2017-10-23 19:36:06.239943	2017-10-20	IMB620	IBSR		
RSUB	AUTH	2017-10-23 19:36:06.245744	2017-10-20	IMB400	IBSR		
RDPR	RSUB	2017-10-24 10:45:17.430045	2017-10-20	IMB400	IBSR		

Click **Close** to return to search results screen.

Close

**To display your RAD audit details in the list display type:**

1. Retrieve your search results by selecting **List** under **Display Type**. See [Searching RAD Transactions](#).
2. In the search results, right-click the transaction and select **Audit**.

**RAD Transaction Inquiry** Search Results as of Nov 28, 2017 - 5:48:37 PM EST Activity w/Comments Lens Customize Grid Bulk Approve Cmd

Filters Apply Reset Page 1 of 1

Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reason Code	Transaction Status	ATP Status	MMI Index Principal
D381A52C8F969F62	EQUITY	.. SD: 1126				868686866	15	1,525.00	DPTS	030	Approved	MAKD	
D350F65C211FF	EQUITY	NFO	11/28/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved		
D350ED39818F	EQUITY	NFO	11/28/2017	229		868686866	600	40,000.00	NPTS	030	Unapproved		
D34F71A731A99B63	EQUITY	NDO	11/28/2017	229		458140100	2,000	40,000.00	NPTS	030	Unapproved		
		.. SD: 102017,											
D34F717D46446361	EQUITY	NDO	11/28/2017	229		458140100	1,000	40,000.00	NPTS	030	Unapproved		
		.. SD: 102017,											
D236F1C9F7619168	EQUITY	DO	11/28/2017	15		456788108	14,000	100,000.00	DPTS	000	Unapproved	RGRN	
		DDD , RRR , SD: 102516, NON IPO DO FROM NON MERRILL 15 TEST BY JR											
D332B213558B2162	CBONDS	NDO	11/28/2017	229		P17625AB3	10	10.00	NPTS	030	Unapproved		
		.. SD: 092717,											

The RAD Transaction Audit Information page appears.

**RAD Transaction Audit Information for D350F65C211FFF5C**

State Code	Prior State Code	State Update Time	Create Date	Program Name	Function Name	User ID	Reason
UNPR		2017-10-20 15:02:25.499203	2017-10-20	IMB300	SWEB	00123456	
AUTH	UNPR	2017-10-20 20:00:38.959221	2017-10-20	IMB620	IBSR		
RSUB	AUTH	2017-10-20 20:00:38.980377	2017-10-20	IMB400	IBSR		
RDPR	RSUB	2017-10-23 18:45:21.270565	2017-10-20	IMBRADRP	EOD		
AUTH	UNPR	2017-10-23 19:36:06.239943	2017-10-20	IMB620	IBSR		
RSUB	AUTH	2017-10-23 19:36:06.245744	2017-10-20	IMB400	IBSR		
RDPR	RSUB	2017-10-24 10:45:17.433045	2017-10-20	IMB400	IBSR		

Click **Close** to return to search results screen.

Close

For more information, see [Approving RAD Transactions](#) and [Canceling RAD Transactions](#).

## Approving and Canceling RAD Transactions

If you have the appropriate permission level, you can approve or cancel transactions in RAD.

### List Display Type

1. Retrieve your search result by selecting **List** under Display Type: See [Searching RAD Transactions](#).
2. Click the **Approve** or **Cancel** check box next to a transaction to select it.

#### Note

Night Deliver Orders may be reversed by checking the Reverse check box next to an NDO transaction.

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Dec 19, 2017 - 6:33:40 PM EST

IMS Receiver Authorized Delivery

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

Search Criteria \* = Required Field

Participant ID \* 1250 Asset Class All Transaction Side Receiver Transaction Status All IMS TID ID Control Number

Business Date \* 12/19/2017 CUSIP ID Net No Contra 1260

Transaction Type: \* ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Search Reset Display Type: ☒ List ☐ Grid ☐ Excel

Search Results Activity w/Comments Lens

Displaying 3 items Page 1

Approve	Action Cancel	Reverse	Transaction ID/ ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quantity	Amount	Input Source	Reason Code	RAD Status	ATP Status	MMI Index Principal	Audit
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	239B6F98A7981362	EQUITY		12/19/2017	1260		878739101	4,100	4,510.00	BALO	620	Unapproved			<a href="#">Audit</a>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D39B6F98A7981362	EQUITY		12/19/2017	1260		778529107	2,000	27,480.00	BALO	620	Unapproved			<a href="#">Audit</a>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	D39B6F98A7981362	EQUITY		12/19/2017	1260		302771100	27,200	176,750.00	BALO	620	Unapproved			<a href="#">Audit</a>

Submit Page 1

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3. Click **Submit**.
4. The Approve/Cancel/Reverse window opens. If desired, add comments next to the transaction.

RAD Transaction Approve/Cancel/Reverse

Action	Type	Amount	Quantity	Contra	Third Party	
Approve		4,510.00	4,100	1260		878739101
Approve		27,480.00	2,000	1260		778529107
Cancel		176,750.00	27,200			71100

Type a Comment. To copy the comment to all transactions, click **Apply All**.

This is the requested approval.

Apply All ☐

Click **Submit** to process the transactions.

Submit Reset Cancel

- Click **Submit**.

A confirmation message displays showing the number of transactions accepted and rejected.

### Grid Display Type

- Retrieve your search results by selecting Grid under Display Type. See [Searching RAD Transactions](#).
- To approve or cancel single transactions, right-click the transaction and select **Approve Transaction** or **Cancel Transaction**. Proceed to step 4.
- To approve multiple transactions, select **Bulk Approve** from the **Command** drop-down menu and then click the **Cmd** button.

A confirmation message appears. Click Confirm.

### Note

You may also reverse multiple Night Deliver Orders. Display the NDOs in your search results and select Bulk Reverse.

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Home Activity Position Cash and Balances Transaction Submission Commands Profiles Help PBS Links Nov 28, 2017 - 5:48:37 PM EST

**IMS Receiver Authorized Delivery**

Home > IMS Receiver Authorized Delivery > Transaction Inquiry

Search Criteria \* = Required Field

Participant ID \* 1250 Asset Class All Transaction Side Receiver Transaction Status All IMS TID ID Control Number

Business Date \* 11/28/2017 CUSIP ID Net No Contra

Transaction Type: \* ☒ All ☐ DO-MITS ☐ DO-LIMITS ☐ NDO ☐ DO ☐ PO ☐ VALUED PLEDGE ☐ FREE PLEDGE

Search Reset

Display Type: ☐ List ☒ Grid ☐ Excel

Select Grid as the display type.

**RAD Transaction Inquiry Search Results as of Nov 28, 2017 - 5:48:37 PM EST** Activity w/Comments Lens Customize Grid Bulk Approve Cmd

Filters Apply Reset

Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	Contra	Third Party	CUSIP	Quant	on	ATP Status	MMI Index Principal		
D381A52C8F969F62	EQUITY	DO	11/28/2017	1260		868686866	15	1,525.00	DPTS	030	Approved	MAKD
D350F65C211F	EQUITY	NDO	11/28/2017	1260		868686866	600	40,000.00	NPTS	030	Unapproved	
D350ED39818F	EQUITY	NDO	11/28/2017	1260		868686866	600	40,000.00	NPTS	030	Unapproved	
D34F71A731A99B63	EQUITY	NDO	11/28/2017	1260		458140100	2,000	40,000.00	NPTS	030	Unapproved	
D34F717D46446361	EQUITY	NDO	11/28/2017	1260		458140100	1,000	40,000.00	NPTS	030	Unapproved	
D236F1C9F7619168	EQUITY	DO	11/28/2017	1260		456788108	14,000	100,000.00	DPTS	000	Unapproved	RGRN
D332B213558B2162	CBONDS	NDO	11/28/2017	1260		P17625AB3	10	10.00	NPTS	030	Unapproved	

To approve or cancel a single transaction, right-click the transaction and select an action.

To approve multiple transactions, select Bulk Approve from the Command drop-down menu and then click the Cmd button.

Audit  
Approve Transaction  
Cancel Transaction

- The Command Center window appears. Type any additional information in the **Comments** field and then click **Submit Command**.  
When prompted, confirm the submission and click **OK**.

RAD Transaction submission

### Command Center

Command : Approve  
 Click **Submit Command** to submit approval, cancel or reversals.

Comments :

All	Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	ContraThird Party	CUSIP	Quantity	Amount	Input Source	Reason Code	Transaction Status	ATP Status	MMI Index Principal	Comments	Com St
<input checked="" type="checkbox"/>	D350F65C211FFF5C	EQUITY	NDO	11/28/2017	1260	868686866	600	40,000.00	NPTS	030	Unapproved			SD: 102317, AUTO102030222	

Click **Close** to return to the search results without submitting the command.

Single transaction approval Command Center

RAD Bulk Transaction submission

### Command Center

Command : Approve  
 Click **Submit Command** to submit approvals.

Comments :

All	Transaction ID/ID Control Number	Asset Class	Type	RAD Processing Date	ContraThird Party	CUSIP	Quantity	Amount	Input Source	Reason Code	Transaction Status	ATP Status	MMI Index Principal	Comment
<input type="checkbox"/>	D381A52C8F969F62	EQUITY	DO	11/28/2017	1260	868686866	15	1,525.00	DPTS	030	Approved	MAKD		SD: 1128
<input checked="" type="checkbox"/>	D350F65C211FFF5C	EQUITY	NDO	11/28/2017	1260	868686866	600	40,000.00	NPTS	030	Unapproved			SD: 1023, AUTO102030
<input type="checkbox"/>	D350ED39818FB46B	EQUITY	NDO	11/28/2017	1260	868686866	600	40,000.00	NPTS	030	Unapproved			SD: 1023, AUTO102022
<input checked="" type="checkbox"/>	D34F71A731A99B63	EQUITY	NDO	11/28/2017	1260	458140100	2,000	40,000.00	NPTS	030	Unapproved			SD: 1020
<input checked="" type="checkbox"/>	D34F717D46446361	EQUITY	NDO	11/28/2017	1260	458140100	1,000	40,000.00	NPTS	030	Unapproved			SD: 1020, DDD, RRR

Click **Close** to return to the search results without submitting the command.

Bulk approval Command Center

A confirmation message displays showing the number of transactions accepted and rejected.

## Using the RAD Snapshot

The RAD Snapshot Inquiry page allows you to view and search totals/subtotals for pending, approved, and canceled RAD transactions. The results are categorized by transaction type: Deliver Orders (DOs) - MMI and non-MMI, Payment Orders (POs), and ID Trades - MMI and non-MMI.

### To enter a RAD Snapshot Inquiry search:

1. From the **Activity** menu on the Navigation bar, select **RAD Snapshot Inquiry**.

The screenshot shows the DTCC Settlement Services navigation bar. The 'Activity' menu is open, displaying a list of options: Activity Inquiry, Pending Activity, RAD Transactions, and RAD Snapshot Inquiry. The 'RAD Snapshot Inquiry' option is highlighted with a red box. A callout bubble points to this option with the text 'Select RAD Snapshot Inquiry to begin your search.' Below the menu, there are search criteria fields for Collateral Group and Participant ID, with a 'Search' button and a 'Reset' button. The footer includes copyright information for 2011-2017 The Depository Trust & Clearing Corporation.

The RAD Snapshot Inquiry page appears.

The screenshot shows the RAD Snapshot Inquiry page. The 'Search Criteria' section has a legend indicating that an asterisk (\*) denotes a required field. There are two radio buttons: 'Collateral Group' and 'Participant ID'. The 'Participant ID' radio button is selected. Below the radio buttons are input fields for 'Collateral Group' and 'Participant ID'. The 'Participant ID' field contains the value '1250'. A red box highlights the radio buttons, and a callout bubble points to them with the text 'Select to search by Collateral Group or Participant ID.' Below the input fields are 'Search' and 'Reset' buttons. The footer includes copyright information for 2011-2017 The Depository Trust & Clearing Corporation.

2. Select either **Collateral Group** or **Participant ID**, and type an ID in the appropriate field.
3. Click **Search**.

The RAD Snapshot Inquiry results page appears.

**DTCC**
**Settlement Services**

Welcome  
testuser@dtcc.com

Log Out  
Change Password

Home
Activity
Position
Cash and Balances
Transaction Submission
Commands
Profiles
Help
PBS Links
Nov 28, 2017 - 5:52:44 PM EST

**RAD Snapshot Inquiry**

Home > IMS Receiver Authorized Delivery > Snapshot Inquiry

Help
Print

**Search Criteria** \* = Required Field

☐ Collateral Group
☐ Participant ID

Collateral Group
Participant ID  
1250

Search
Reset

**Receiver Authorization Balances**

Participant: 1250 Best Broker

Click an amount to go to the RAD Inquiry Search results screen with pre-filled search criteria.

**Net Balances**

	Receive Balances (Debits)			Deliver Balances (Credits)		
Net Balance	Pending	Canceled	Approved	Pending	Canceled	Approved
239,748,568.70 CR	<a href="#">260,010.00</a>	<a href="#">0.00</a>	<a href="#">1,525.00</a>	<a href="#">240,000,449.70</a>	<a href="#">0.00</a>	<a href="#">9,654.00</a>

**Balances by Transaction Type**

**Deliver Order Balances**

	Receive Balances (Debits)			Deliver Balances (Credits)		
Asset Type	Transaction types	Canceled	Approved	Pending	Canceled	Approved
MMI	0.00	0.00	0.00	0.00	0.00	0.00
Non-MMi	260,010.00	0.00	1,525.00	240,000,449.70	0.00	9,654.00
Total	260,010.00	0.00	1,525.00	240,000,449.70	0.00	9,654.00

**Payment Order Balances**

Total	0.00	0.00	0.00	0.00	0.00	0.00
-------	------	------	------	------	------	------

**ID Trade Balances**

MMI	0.00	0.00	0.00	0.00	0.00	0.00
Non-MMi	0.00	0.00	0.00	0.00	0.00	0.00
Total	0.00	0.00	0.00	0.00	0.00	0.00

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## Quick Tips

- Click amounts that appear as links in the Net Balances section to access the RAD Inquiry Search result page. Your participant ID, status (approved, canceled, pending), and transaction side (receiver, deliver) will be pre-filled in the search criteria.

For more information on your RAD search results, see [Searching RAD Transactions](#)



# RISK MANAGEMENT CONTROLS INQUIRY

---

## Introduction to Risk Management Controls Inquiry

The Risk Management Controls Inquiry (RMCI) function allows you to view the current settlement balance or Risk Management Control-related balances for your collateral group.

You can also view your:

- Settlement Progress Payments (SPP) and Principal & Interest (P&I) available balances
- Net debit caps
- Debit peak averages
- Pending transactions
- Unapproved transactions

## About Risk Management Controls

Risk management controls protect you from the inability of one or more participants to meet their settlement obligations. DTC employs four primary risk management controls when processing securities:

- **Collateralization**

Ensures that your account has sufficient collateral for DTC to liquidate if you fail to pay your settlement obligation should you become insolvent. DTC's collateralization procedures prevent the completion of transactions that would cause your net debit to exceed the total available collateral in your account.

- **Net Debit Cap**

Imposes a limit to the amount of debit you can incur at any point during the processing day. Net debit caps help ensure that DTC can complete settlement, even if a participant fails to settle.

- **Largest Provisional Net Credit (LPNC) for Money Market Instruments (MMIs)**

Prevents your risk management controls from being overridden if a failed MMI issue transaction is reversed. LPNC procedures ensure that both a money market instrument issuer's default and a participant's failure to settle do not expose DTC to loss and liquidity risks.

- **Issuer/Participant Number (IPN) Collateral Control**

Enables DTC to monitor collateral received in a participant's account related to that participant. IPN will link to a participant's account securities related to it and withhold from the participant any collateral value associated with the security. IPN only applies to Issuing Paying Agents (IPAs) that issue their own MMIs. IPN control does not affect a participant's net debit or its LPNC calculations.

# About Net Debit Caps and Debit Peaks

## Net Debit Caps

Net debit caps help ensure that DTC can complete settlement even if a participant fails to settle. They are based on your net debit history at DTC and automatically rise or fall relative to the average of your highest intra-day net debit peaks. A net debit cap, recalculated daily, is applied to your account to limit the settlement net debit you could incur at any point during a processing day.

Before completing a transaction in which you are the receiver, DTC calculates the resulting effect the transaction would have on your account and determines whether your resulting net balance would exceed your net debit cap. Any transaction that would cause your net settlement debit to exceed your net debit cap is placed on a pending (recycling) queue until another transaction creates credits in your account.

## Debit Peaks

DTC monitors the levels of your net settlement debits during each business day and records the highest net debit.

**Risk Management Controls Inquiry**

Home > Risk Management Controls Inquiry Print Results

**Search Criteria** \* = Required Field

Participant ID \*  
1250

**Search**

**Risk Management Balances**

Participant: 1250 / ABC BROKER Collateral Group: 1254 ABC BROKER LTD

Settlement Progress Payments (SPP) and Principal and Interest (P & I) Available Balances

Largest Participant Balance in Collateral Group	0.00
Participant Balance	0.00 SPP Return and P & I Withdrawal Wire Instruction on File: Yes

Current and Simulated Collateral Monitor Balance

Current Collateral Monitor

Largest Provisional Net Credits (LPI)	0.00
ID NET - Net Collateral Debit	ID NET - Net Collateral Credit: 0.00

Simulated Collateral Monitor

Net Debit Cap	999,999,999.99	<a href="#">View Debit Peaks</a>
---------------	----------------	----------------------------------

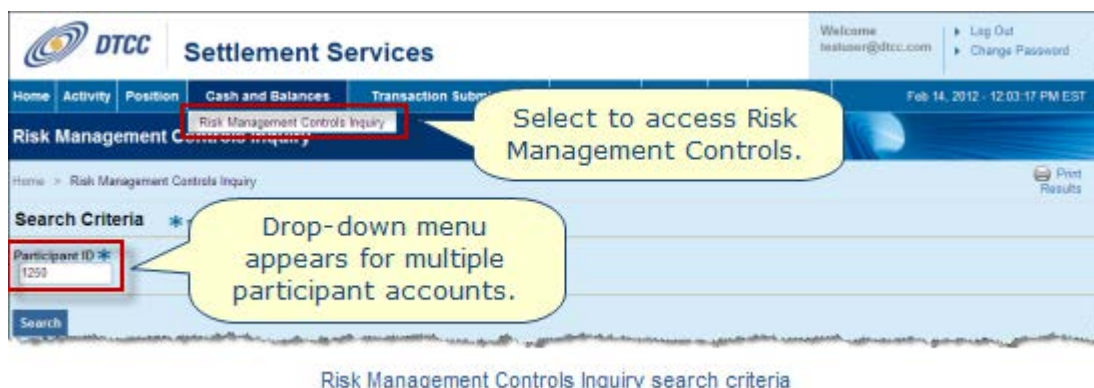
Current and Simulated Net Balances

Current Net Balance	0.00
---------------------	------

Risk Management Controls Inquiry net debit cap view

## Entering Your Risk Management Controls Inquiry Search

You can use the Risk Management Controls Inquiry search to view a summary of your critical risk management controls.




### **To perform a Risk Management Controls Inquiry search:**

1. From the **Cash and Balances** drop-down menu on the Settlement Web's navigation bar, select the **Risk Management Controls Inquiry** option.  
A search screen appears that allows you to access the status of critical controls.
2. To access the information:
  - If you have a single participant ID, the search result will be displayed as a default.
  - If you have multiple participant IDs, choose a participant ID from the drop-down menu.
3. Once you submit your search, the risk controls and balances for the chosen participant ID will be displayed.  
For more information on viewing your balances, [click here](#).

## Viewing Balances

The Risk Management Controls Inquiry function allows you to view the current settlement balance or risk management control-related balances for your collateral group.

To learn more about the views that are displayed, *scroll down and click the corresponding green highlighted links*  in the image below.

### **Note**

The links in the image below are for the online help version of this guide. If you are reading the PDF version, please find this material in the pages just following this one.

**Risk Management Controls Inquiry**

Home > Risk Management Controls Inquiry Print Results

**Search Criteria** \* = Required Field

Participant ID \*  
1250

**Search**

To learn more, click the highlighted links below.

**Risk Management Balances**

Participant: 1250 / ABC BROKER Collateral Group: 1254 ABC BROKER LTD

Settlement Progress Payments (SPP) and Principal and Interest (P & I) Available Balances

Largest Participant Balance in Collateral Group 0.00

**Participant SPP and P&I Balances** P & I Withdrawal Wire Instruction on File: Yes

Current and Simulated Collateral

Current Collateral Monitor

Largest Provisional Net Credits (LPNC) Totaled (0.00)

ID NET - Net Collateral Debit (0.00) ID NET - Net Collateral Credit 0.00

Simulated Collateral Monitor 35,131,810,667.85

Net Debit Cap

Net Debit Cap 0.00 **View Debit Peaks**

Current and Simulated Net Balances

Current Net Balance 0.00

Largest Provisional Net Credits (LPNC) Totaled (0.00)

ID NET - Net Debit Balance (0.00) ID NET - Net Credit Balance 0.00

Simulated Net Balance 0.00

Net Potential Balances

Current Net Balance	Net Pending Balance	Net Unapproved Balance	Net Potential Balance
0.00	0.00	194,410,039,128.53 DB	194,410,039,128.53 DB

**Pending Transaction Balances**

	Net Debits	Net Credits	Net Pending Balance
<b>Pending for Positions</b>	0.00	0.00	0.00
<b>Pending for Collateral</b>		0.00	0.00
<b>Pending for Debit Cap</b>		0.00	0.00
<b>Total Pending</b>		0.00	0.00

Links to the Pending Activity

**Transaction Balances Pending Approval**

	Net Credits	Net Unapproved Balance
<b>Unapproved in RAD</b>	98,505,396.47	194,410,039,128.53 DB
Unapproved Value Pledge Req	0.00	0.00
IPA Held MMA Maturity Presentment	0.00	0.00
<b>Total Unapproved</b>	194,508,544,525.00	194,410,039,128.53 DB

Unapproved balances in RAD

**Total Pending and Unapproved Transaction Balances**

	Net Debits	Net Credits	Net Pending and Unapproved Balance
<b>Total Pending and Unapproved</b>	194,508,544,525.00	98,505,396.47	194,410,039,128.53 DB

Risk Management Controls Inquiry balances view

### Quick Tips

- After entering your search, your participant and collateral group IDs will be displayed at the top of the page above the search results.
- The **Pending Transaction** links will take you to the Pending Activity Inquiry function in Settlement Web. For more information on the Pending Activity function, click [here](#).
- The **IPA Held MMA Maturity Presentment** link will take you to the **IPA Held** tab in the Pending Activity function in Settlement web. For more information on the IPA Held tab, click [here](#).

- DTC tracks collateral in your account by a control position called the *Collateral Monitor (CM)*. At the opening of each business day, your CM is credited with your Participants Fund deposit. At all times, the CM reflects the amount by which the collateral in your account exceeds the net debit in your settlement account. In other words, the CM equals the sum of the value of your collateral and net settlement obligation.
- DTC established a *simulated Collateral Monitor (CM)* to show your excess collateral after LPNC procedures are applied to your account. DTC calculates your simulated CM by subtracting your LPNC from your actual CM.

## Viewing Balances: SPP and P&I

To return to the **Viewing Balances** in Risk Management Controls Inquiry main page, [click here](#).

The SPP and P&I section of the Risk Management Controls Inquiry screen allows you to view the available Settlement Progress Payments and Principal & Interest (SPP and P&I) balances. It provides information to help you decide if you want to withdraw funds and, if so, how much. The screen displays the amount available for withdrawal and whether or not you have wire instructions for each participant number displayed under the collateral group.

Risk Management Balances		
Participant: 1250 / ABC BROKER		Collateral Group: 1254 ABC BROKER LTD
Settlement Progress Payments (SPP) and Principal and Interest (P & I) Balances		
Largest Participant Balance in Collateral Group		
Participant SPP and P&I Balances	9,999,999,999.99	SPP Return and P & I Withdrawal Wire Instruction on File: Yes

Participant balance displayed as hyperlink.

Participant balance amount with hyperlink

Risk Management Balances		
Participant: 1250 / ABC BROKER		Collateral Group: 1254 ABC BROKER LTD
Settlement Progress Payments (SPP) and Principal and Interest (P & I) Balances		
Largest Participant Balance in Collateral Group		
Participant Balance	33,333.33	SPP Return and P & I Withdrawal Wire Instruction on File: Yes

No link

Value only display

Participant balance amount as a value

## Quick Tips

- The participant balance amount can be displayed as a value with a hyperlink or only as a value. A hyperlink is displayed if you meet all four of the criteria below.
  - You are the signed-on participant.
  - The participant balance has \$100,000 or more available to withdraw.
  - Wire instructions are on file.
  - Your role includes collateral group authority.



- After clicking on the hyperlink, you are taken to the SPP and P&I Withdrawal Request screen. On this new page, you can view all participants with at least \$100,000 available to withdraw in the collateral group. SPP and P&I Balances are displayed in descending dollar value order.

### Viewing Balances: View Debit Peaks

To return to the **Viewing Balances** in Risk Management Controls Inquiry main page, [click here](#).

To view the dollar amount of the highest net debit for the listed date, click on the hyperlink on the Risk Management Controls Inquiry balances view. You will be transferred to the Debit Peak function and asked to input your data.

**Risk Management Controls Inquiry**

Home > Risk Management Controls Inquiry Print Results

**Search Criteria** \* = Required Field

Participant ID \*  
1250

**Search**

**Risk Management Balances**

Participant: 1250 / ABC BROKER Collateral Group: 1254 ABC BROKER LTD

Settlement Progress Payments (SPP) and Principal and Interest (P & I) Available Balances

Largest Participant Balance in Collateral Group	0.00
Participant Balance	0.00 SPP Return and P & I Withdrawal Wire Instruction on File: Yes

Current and Simulated Collateral Monitor Balance

Current Collateral Monitor

Largest Provisional Net Credits (LPI)	
ID NET - Net Collateral Debit	ID NET - Net Collateral Credit 0.00

Simulated Collateral Monitor

Net Debit Cap	
Net Debit Cap	999,999,999.99 <a href="#">View Debit Peaks</a>

Current and Simulated Net Balances

Current Net Balance	0.00
---------------------	------

Risk Management Controls Inquiry net debit cap view

## Viewing Balances: Unapproved Balances in RAD

To return to the **Viewing Balances** in Risk Management Controls Inquiry main page, [click here](#).

The Unapproved Balances in RAD screen displays all Participants Net Unapproved Balances within the Collateral Group that are pending Receiver Authorized Delivery (RAD) approval.

**Risk Management Controls Inquiry**

Breadcrumbs: Home > Risk Management Controls Inquiry > Unapproved Balances in RAD

Unapproved Balances in RAD

Collateral Group: 1254 ABC BROKER LTD Last Update Time: 13:41:17

Collateral Group Net Unapproved Balances in RAD

Net Debits	Net Credits	Net Unapproved Balance
194,508,544.525.00	98,505,396.47	194,410,039,128.53 DB

Participant Net Unapproved Balances in RAD (To view transaction details use the RAD Transaction Inquiry)

This is the last page of data that satisfies the criteria.

Displaying 2 items

Participant	Debit	Credit	Net Unapproved Balance
1250	194,508,544.525.00	98,505,396.47	194,410,039,128.53 DB
1254	0.00	0.00	0.00

Page 1

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Unapproved balances in RAD

### Quick Tips

- The screen displays your total balances for the Collateral Group for unapproved transactions in RAD, including RAD, IRAD, and ID transactions.
- The screen displays a separate total balance for each participant within the Collateral Group under the summary information.
- To return to the **Risk Management Controls Inquiry** screen, use the breadcrumbs at the top of the display.
- If you would like to see specific transaction details, use the Settlement Web navigation bar to access the **RAD Transaction Inquiry** function. For more information, see **Error! Reference source not found.**

# BUSINESS TERMS

# A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

#

<b>1200 account</b>	Sponsored participant account for a DTCC internal account that is used for wire transfer between it and other banks. Its primary purpose is to record unidentified or misdirected incoming funds transfers (intercepts) from the FLU System.
<b>888 account</b>	DTC account for CNS transactions.

A

<b>ABA</b>	<b>American Bankers Association.</b> The ABA number is used to identify almost all settling bank accounts within the FFS System.
<b>ABS</b>	<b>Asset-Backed Security.</b> Bonds or notes backed by loan paper or accounts receivable originated by banks, credit card companies, or other providers of credit and often "enhanced" by a bank letter of credit or by insurance coverage provided by an institution other than the issuer. (Dictionary of Finance and Investment Terms)
<b>access coordinator</b>	An individual employee or agent of a participant organization, responsible for establishing and maintaining the identities and entitlements (such as function eligibility) of the organizations operators.
<b>accreted CMO factor</b>	A factor that assigns a plus (+) or minus (-) value to a security for cash adjustments on collateralized mortgage obligation bonds.
<b>accrual period</b>	The period of time that asset-backed security trades settle with distribution.
<b>activity code</b>	A code that identifies an activity.
<b>activity research tools</b>	A group of tools to research transaction activity. You can research by participant, collateral group, pledged activity, short positions, payment orders, and rejected and dropped activity.
<b>activity type</b>	Terminology for pre cutoff, post cutoff, or adjustment activity type.
<b>actor</b>	A role that a user plays in relation to the system. Typical actors are DTCC participants, settling banks, and DTCC internal settlement staff.
<b>Actual Expiration Date</b>	The date that a UIT rollover or in-kind redemption expires as stated in the terms of the affected issues, or the date on which a voluntary offer or provisions expires as stated in the offering documents or the terms of the affected issues.
<b>adjustments</b>	Adjustment transactions that happen before cutoff.



<b>ADR</b>	<b>American Depositary Receipt.</b> Receipt for the shares of a foreign-based corporation held in the vault of a U.S. bank and entitling the shareholder to all dividends and capital gains. (Dictionary of Finance and Investment Terms)
<b>Amortized</b>	A loan in the process of liquidation via installment payments.
<b>assumed subscription price</b>	A price determined by the agent to follow for payment pending notification of the final or actual price.
<b>ATP</b>	<b>Account Transaction Processor.</b> ATP processes settlement automatically. The ATP system accepts transactions that represent changes in the quantity or status of a participant's positions, updates DTCs master files, and creates files for use as input to other applications. For example, if a participant made a funds transfer ATP would record the funds transfer, update the participant's positions, and also update the participant's collateral monitor.

**B**

<b>basic subscription</b>	The exercise of rights entitling the holder to receive new underlying securities upon the surrendering of rights and payment of the subscription cost.
<b>book transfer</b>	When the value of securities is transferred from one account to another but no securities change hands.
<b>book value</b>	Value at which an asset is carried on a balance sheet.

**C**

<b>call with/without interest</b>	Securities redeemed with/without accrued interest before maturity.
<b>canceled</b>	Status indicating that a request has been canceled by a participant.
<b>cash and stock merger</b>	The exchange of one company's security/CUSIP for another company's security/CUSIP and cash at a preset rate.
<b>cash merger</b>	The exchange of one company's security/CUSIP for cash at a preset rate.
<b>chill</b>	A systemic way DTC can prohibit you from processing certain activities. For example, a valued delivery chill will prevent you from making valued deliveries from your account.
<b>CIL</b>	<b>Cash-In-Lieu.</b>
<b>closing date</b>	The date on which the Underwriting Department will distribute an issue to the underwriters DTC participant account for book-entry delivery and settlement upon notification by both the underwriter and the issuer that an issue has closed. Also referred to as the distribution date.

<b>CMO</b>	<b>Collateralized Mortgage Obligation.</b> A mortgage-backed security bond that separates mortgage pools into different maturity classes, called tranches. This is accomplished by applying income (payments and prepayments of principal and interest) from mortgages in the pool in the order that the CMOs pay out. Tranches pay different rates of interest and typically mature in 2, 5, 10, or 20 years. Issued by the Federal Home Loan Mortgage Corporation (Freddie Mac) and private issuers, CMOs are usually backed by government-guaranteed or other top-grade mortgages and have AAA ratings.
<b>CNS</b>	<b>Continuous Net Settlement.</b> The system used by the National Securities Clearing Corporation (NSCC) to settle NYSE, AMEX and NASDAQ trades.
<b>CNS long exemptions (levels 4)</b>	Represents the position that the participant is expected to receive from CNS (the 888 account).
<b>CNS short exemptions (levels 1+2)</b>	Represents exempted positions that the participant is expected to deliver to CNS. The participant can lift a level 1 exemption by processing a delivery to the 888 account (CNS). A level 2 exemption can be lifted by a broker-to-broker Deliver Order, a designated deposit, or a designated pledge.
<b>COD</b>	<b>Certificate On Demand.</b>
<b>collateral</b>	Any cash or securities in your account designated as Net Addition (NA).
<b>collateral group</b>	A related group of participant accounts. Collateral groups are bound together by internal DTCC rules for settlement and collateral processing.
<b>collateral monitor</b>	DTC tracks collateral in participant accounts using a control position called the Collateral Monitor (CM). At the opening of each business day, each CM is credited with the participants Fund deposit. At all times, the CM reflects the amount by which the collateral exceeds the net debit in the settlement account. DTC maintains sufficient collateral in your account to liquidate in the event you fail to pay your settlement obligation or become insolvent.
<b>collateral value</b>	The market value of a security less the applicable DTC haircut.
<b>component securities</b>	Two or more securities that comprise a unit.
<b>conditional tender</b>	A holder placing conditions on the acceptance of its tender by instructing that a minimum number of shares be accepted in the event of a proration.
<b>contra</b>	The other side of a participant transaction. Whenever a security is moved, one side gets a credit and the other a debit.
<b>contra-CUSIP</b>	The CUSIP used to indicate your tendered position (representing instructions submitted by Participants to surrender securities). For example, a contra-CUSIP is set up to complete a reorganization function.
<b>corporate action</b>	Any mandatory action not categorized as one of the above (e.g., bankruptcy).

<b>cross endorsement</b>	Settlement that takes place between DTC and its National Securities Clearing Corporation (NSCC) counterpart.
<b>current net balance</b>	A participant collateral group's net amount payable to DTC (if a negative balance appears) or the net amount payable to the participant (if a positive amount appears).
<b>CUSIP</b>	<b>Committee on Uniform Security Identification Procedures.</b> The identification number created by the American Banking Associations Committee on Uniform Security Identification Procedures (CUSIP) to uniquely identify issuers and issues of securities and financial instruments. The CUSIP number consists of nine digits; the first six digits identify the issuer and have been assigned to issuers in alphabetic sequence, and the next two characters (alphabetic or numeric) identify the issue. The ninth digit is the check digit.
<b>cutoff</b>	The end of trading activity for that business day.

## D

<b>DD</b>	<b>Data Distribution Box.</b> A receptacle located in the central delivery area of DTC used for distributing hard-copy reports and notices to participants.
<b>declaration date</b>	The date on which the issuer declares the income distribution, the record date, and the payable date.
<b>deliverer</b>	The party that delivers the security (also known as the seller).
<b>DO</b>	<b>Deliver Order.</b> The term used to define a book-entry movement of shares of a particular security between two DTC participants.
<b>DPAL</b>	<b>Dividend Position And Allocation History.</b>
<b>drops</b>	Transactions that do not complete and are dropped due to insufficient position, risk management controls, etc.
<b>DRP</b>	<b>Dividend Reinvestment Program.</b> Automatic reinvestment of shareholder dividends in more shares of the company's stock. (Dictionary of Finance and Investment Terms)
<b>DRS</b>	<b>Direct Registration Service.</b>
<b>DTC</b>	<b>The Depository Trust Company.</b> With the National Securities Clearing Corporation (NSCC), DTC provides trade settlement. DTC and NSCC are part of The Depository Trust & Clearing Corporation.
<b>DTC Cover Protect Expiration Date</b>	The last day you can cover your protects and surrender rights through DTC pursuant to Notices of Guaranteed Delivery. This date may be earlier than the date established for this purpose by the offeror.
<b>DTCC</b>	<b>The Depository Trust &amp; Clearing Corporation.</b> The holding company of The Depository Trust Company (DTC) and The National Securities Clearing Corporation (NSCC).

<b>DTCC desktop</b>	Home page for the DTCC portal. All available PTS web functions can be accessed from this page.
<b>DTCC user</b>	DTCC Settlement and Systems staff. An internal user in the DTCC wire room.
<b>dual member</b>	Terminology for shared participant accounts at DTC and NSCC.
<b>due bill</b>	A check equivalent to the distribution amount or an IOU entitling the receiver to the distribution.

## E

<b>estimated factor</b>	A value substituted for the true factor when the true factor is not yet public. This is usually the last known factor, and is needed to determine the dollar value of a trade that takes place during the delay period.
<b>ex-date</b>	The first date on which a security trades without the income distribution. Normally, the ex-date is two business days prior to record date.
<b>ex-distribution</b>	The first date on which a security trades without the income distribution. Also known as the ex-dividend or the ex-date.
<b>ex-dividend</b>	A trade that is settling without the distribution.
<b>exchange offer</b>	An offer to surrendered securities in exchange for securities, or a combination of securities and cash.
<b>expiration date</b>	The date that rights expire (become worthless).
<b>exposure</b>	The difference between the value of the securities being surrendered and the value of the entitlement to be received.

## F

<b>FAST</b>	<b>Fast Automated Securities Transfer.</b> An arrangement between DTC and transfer agents to eliminate the movement of securities certificates. By signing the Balance Certificate Agreement with DTC, agents agree to maintain DTC-eligible inventory in the form of jumbo certificates registered in the name of DTCs nominee name, Cede & Co. DTC and FAST agents electronically reconcile the results of participant's daily deposit and withdrawal activities.
<b>FFBI</b>	PTS function code for the Bulletin Board Inquiry sub-function.
<b>FFFI</b>	PTS function code for the Funds Transfer function.
<b>FFPS</b>	PTS function code for the participant Statement function.
<b>FFPS1</b>	PTS function code for the participant account Statement Activity Balances sub-function.

<b>FFPS2</b>	PTS function code for the participant account Statement Activity Totals sub-function.
<b>FFRR</b>	PTS function code for the Reversal Return Request function.
<b>FFS</b>	<b>Federal Funds System.</b>
<b>FFXA</b>	PTS function code for the Cross Endorsement Adjustment Inquiry sub-function.
<b>FLU</b>	DTCCs Fedwire Link System. FLU transfers payments between DTCC and the FRBNYs Fedwire system.
<b>FPWR</b>	PTS function code for the P/I Withdrawal Request function.
<b>FRBNY</b>	<b>Federal Reserve Bank of New York.</b>
<b>free account</b>	General DTC participant account.
<b>FTWS</b>	<b>Foreign Tax Withholding Service.</b>

## G

<b>group user</b>	A signon ID assigned to a service bureau that enables an external user to view information about multiple participant accounts.
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## H

<b>haircut</b>	A formula for the reduction in the collateral value of a security based on its relative price volatility. The haircut varies according to the class of a security, its market risk, and its time to maturity.
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## I

<b>information agent</b>	An agent retained by the offeror to distribute the offering material and answer shareholder questions. Also referred to as Proxy/Soliciting Agent.
<b>initial distribution</b>	The delivery of shares of a new issue from the Lead Manager and Syndicate Members to their customers. Shares are considered Initial Distribution shares until they are sold on the secondary market.
<b>interim period</b>	DTCs term for the Due Bill Period.
<b>IPO</b>	<b>Initial Public Offering.</b> A corporation's first offering of stock to the public. In an IPO, a corporation must comply with registration requirements of the Securities and Exchange Commission (SEC).
<b>IVORS</b>	<b>Involuntary Redemptions and Sales.</b> DTC product that allows a Unit Investment Trust (UIT) holder to surrender whole and fractional units for value via book-entry.

## J

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## K

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## L

<b>lead manager</b>	The institution that organizes and leads a syndicate of underwriters in purchasing and distributing shares of an offering to investors. Also known as lead underwriter.
<b>legal entity</b>	A legal primary account used for settling purposes.
<b>Letter of Transmittal</b>	The document signed by the security holder in which it agrees to tender its securities pursuant to the terms of the offer. It contains information about the certificates and quantity being tendered, as well as where and to whom the payment should be made.
<b>liquidation</b>	The dismantling of a company with the distribution of securities and/or cash to creditors first (bondholders).
<b>LOC</b>	<b>Letter Of Credit.</b> Instrument or document issued by a bank guaranteeing the payment of a customer's drafts up to a stated amount for a specified period. (Dictionary of Finance and Investment Terms)
<b>long allocations</b>	Deliveries from NSCCs Omnibus account #888 as a result of NSCCs Continuous Net Settlement (CNS) system.
<b>LPNC</b>	<b>Largest Provisional Net Credit.</b> A control that ensures that reversing a failed Money Market Instrument (MMI) issue transaction does not cause your Risk Management Controls to be overridden.
<b>LPNC/MMI issuer</b>	The Largest Provisional Net Credit (LPNC)/Money Market Instrument (MMI) issue in which the participant incurred its largest provisional net credit.
<b>LPNC/MMI issuer name</b>	The name of the issuer of the Largest Provisional Net Credit (LPNC)/Money Market Instrument (MMI) issue for that day.

## M

<b>MA</b>	<b>Minimum Amount.</b> Securities in your account that are not considered collateral.
<b>MAD900</b>	All-inclusive eligibility check on the mainframe (API on the mainframe).
<b>made</b>	Status indicating that a request has been completed in ATP.
<b>mandatory tender with retainment</b>	The exchange of bonds for cash; however, holders can elect to keep, or retain, their bonds.

<b>manual ID</b>	The identification number of the user that made a transaction.
<b>market value</b>	The prior day's closing price of a security for security valuation purposes.
<b>memo segregation</b>	Free account memo segregation is an inventory control mechanism that allows you to protect fully-paid-for customer securities in your general free account. Memo segregation also allows you to protect anticipated fully-paid-for positions. Positions that have been designated as memo segregated positions have a memo seg counter on them.
<b>miscellaneous holdings</b>	Holdings such as stock loans and repurchase agreements.
<b>mortgage-backed/monthly put</b>	An early redemption feature that allows the holder to elect to sell the bonds back to the issuer on a monthly basis according to specified priorities.
<b>MMI</b>	<b>Money Market Instrument.</b> Debt securities such as commercial paper or medium-term notes.

## N

<b>NA</b>	<b>Net Additions.</b> DTCs classification for securities in your account that are considered collateral. Securities that are received vs. payment are automatically designated as NA because the receiver has not yet paid for these securities.
<b>name change</b>	The changing of a company name. The CUSIP for the security may or may not change as well.
<b>NDFS</b>	<b>Next Day Funds.</b>
<b>NDO</b>	<b>Night Deliver Order.</b> A DO input on the day prior to settlement. A reduced rate is charged for NDO transactions.
<b>net debit cap</b>	The maximum debit amount a participant's collateral group may incur.
<b>net pending balance</b>	The amount of debit and credit if all pending transactions complete.
<b>net potential balance</b>	The collateral groups current net balances plus net pending and unapproved totals.
<b>net unapproved balance</b>	The total of your unapproved balances.
<b>non-IPO (other position)</b>	Amounts in your other position accounts that are IPOs.
<b>NSCC</b>	<b>National Securities Clearing Corporation.</b> DTC and NSCC are part of The Depository Trust & Clearing Corporation.

## O

<b>odd lot preference</b>	A feature that allows the offeror to accept odd lot tenders in full, without proration.
<b>offeror</b>	The party making the offer.

<b>omnibus account 888</b>	DTC account for CNS transactions.
<b>optional dividend</b>	A dividend for which the shareholder has several options regarding how it will receive distribution (e.g., cash, additional shares, or a combination).
<b>optional repayment</b>	A feature of a bond that entitles the holder to elect to surrender the bond for cash during a predetermined time period with a predetermined payable date.
<b>oversubscription</b>	A provision in a rights offer that allows a holder who fully exercises the basic subscription to subscribe to one or more additional shares, subject to the availability of additional shares.

## P

<b>P/I</b>	<b>Principal and Interest.</b>
<b>participant</b>	The external owners of DTCC that use the depository's services. Participants are the only corporate entities that can maintain position and settlement balances at the depository.
<b>payable date</b>	The date on which the income is paid to security holders.
<b>payment</b>	Cash and/or securities in return for tendered securities.
<b>PDA</b>	<b>Pending Delivery Account.</b> An account reserved to satisfy pending deliveries. At a certain time the pending delivery account is released and pending transactions have access to these shares. You can release positions reserved in your pending delivery account for transactions that are recycling for risk management controls.
<b>PEND</b>	Pending Activity code. PEND allows you to view a list of all your pending transactions. A pending transaction is one that was submitted to DTC for processing but was not processed because of a position deficiency, a collateral deficiency, or a debit cap deficiency. You can also use PEND to cancel a transaction or place it on hold.
<b>pending</b>	A transaction that cannot be completed so it is recycled. A transaction that has become a pending transaction.
<b>pending for collateral</b>	The debit and credit amounts of transactions currently pending for collateral.
<b>pending for debit cap</b>	The debit and credit amounts of transactions currently pending for debit cap.
<b>pending for position</b>	The debit and credit amounts of transactions currently pending for position.
<b>pending transaction</b>	A transaction that was submitted to DTC for processing but was not processed because of a position deficiency, a collateral deficiency, or a debit cap deficiency.
<b>pledged</b>	Pledged securities are used as collateral for a loan or for some other purpose. They are moved from the pledgor's general free account to



	the pledgor's pledged account, which prevents them from being used to complete other transactions.
<b>PO</b>	<b>Payment Order.</b> A transaction in which a participant charges another participant for changes in value for outstanding stock loans or option contract premiums.
<b>post activities</b>	Activity that happened after cutoff.
<b>post-cutoff activity</b>	Original or adjustment transactions that take place after cutoff.
<b>pre-cutoff activity</b>	Original or adjustment transactions that take place before cutoff.
<b>Proration</b>	The percentage used to allocate oversubscription of rights. Also, the percentage of exchanged or tendered securities accepted based on the terms of the offer.
<b>protect period</b>	The period after the expiration of an offer during which securities may still be tendered (pursuant to a Notice of Guaranteed Delivery or other required documents submitted to the Tender Agent prior to the expiration of the offer).
<b>PTA</b>	<b>Pending Transactions Account.</b> The account containing pending transactions. Transactions that recycle as a result of risk management controls cause position to be reserved in your pending transactions account.
<b>PTS</b>	<b>Participant Terminal System.</b>

## Q

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## R

<b>RAD</b>	<b>Receiver Authorized Delivery.</b> A control mechanism that allows you to review transactions prior to processing. It limits the exposure of misdirected or erroneously entered DOs, POs and Pledges.
<b>reason</b>	The reason for Pend or Status on Cancel requests.
<b>recap</b>	In the Settlement Services application, both P/I and Funds Transfer provide Recap pages that display how many transactions were requested, how many were sent, how many were canceled, and the dollar amounts.
<b>receiver</b>	The party that receives the security (also known as the buyer).
<b>reclaim</b>	The return of a deliver order or payment order received by a participant.
<b>reclamation</b>	The return of a deliver order or payment order received by a participant.

<b>record date</b>	The date on which the holder of a security must be registered on the books of the issuer in order to receive the income distribution on the payable date.
<b>redemption</b>	Transaction in which a UIT holder surrenders units to the Transfer Agent for value. See also Cash Redemption and In-Kind Redemption.
<b>registered holder</b>	The party that is on the books of the issuer as owning the security.
<b>relinquishment</b>	A feature of a bond that allows you to elect to give up your optional repayment right. This provision is often available for securities on which you pay a fee for the repayment provision. You receive a new non- option bond bearing the fixed rate interest payment from which the put fee would otherwise be deducted.
<b>reorganization</b>	Reorganization refers to corporate actions related to securities issued by either a corporation or government agency.
<b>repurchase agreements</b>	An agreement between two parties that allows the seller of securities to later repurchase them at an agreed-upon price.
<b>requested</b>	Status indicating that a request has been entered via the P/I Withdrawal Request function.
<b>reverse split</b>	The exchange of a company's security/CUSIP for the same company's new security/new CUSIP at a preset rate. This reduces the number of shares outstanding.
<b>RMC</b>	<b>Risk Management Controls.</b> The controls, primarily net debit cap and collateral that are used to provide protection to all DTC participants against the inability of one or more participants to settle their net settlement obligation.
<b>round-up</b>	A provision that permits a record date owner of the underlying security to roundup the quantity of rights the owner would otherwise receive in the rights distribution, to an amount that allows the owner to purchase one additional share in lieu of a fractional share. This is exercised between the record date and the distribution date of the rights distribution. In lieu of a round-up privilege, the terms of the rights offer may provide a step- up privilege.
<b>RVP NA</b>	<b>Receive Versus Payment.</b> A sub-counter of your NA position that indicates how much of your NA position was received versus payment during the current day.

## S

<b>SDFS</b>	<b>Same Day Funds Settlement System.</b> A service of DTC for the book-entry settlement of securities delivered against payment in Fed Funds.
<b>sealed bid tender offer</b>	An offer allowing securities owners to choose the price at which they are willing to tender their securities. This is submitted in a sealed bid and sometimes must be within limits prescribed by the offeror. The offeror normally reserves the right to accept or reject any or all tenders.

<b>segregation</b>	A control mechanism that allows you to protect securities on deposit at DTC that have been fully paid for by the participant's customer. When you segregate securities they are moved from your free account to your segregation account and will remain there until released back to your free account.
<b>sent</b>	Status indicating that a withdrawal request has been sent to FRBNY via FLU.
<b>separation date</b>	The date the components of a unit can be traded separately.
<b>SET</b>	Settling Banks payments sent to DTCC to meet their net debit obligation.
<b>settlement activity code</b>	Settlement code that represents a type of money/security activity. For example, 26 is a Deliver Order, 78 is a Payment Order.
<b>settlement date</b>	The date on which the trade settles, usually three business days after the trade date.
<b>settlement sub activity code</b>	Sub-activity codes break down activity codes into additional detail. For example, when the activity code for a Deliver Order (26) is combined with the sub-activity code for an MMI (01), you have an MMI Deliver Order (2601).
<b>settling bank</b>	In order for DTCC to settle participant transactions under the SDFS system, it is necessary to settle with a "control" account called a Settling Bank. The Settling Bank account contains "net-net" value for the participant accounts responsible for settling. DTCC settles directly with this account instead of with the individual participant accounts. It is also a bank participant that settles for itself and may settle for other participants, including other bank participants.
<b>SPP</b>	<b>Settlement Progress Payment.</b> An incoming wire sent by a legal entity to post against one of its participant accounts. SPP is used for pre-funding participant accounts. When a Legal Entity wants to return an incoming wire, it initiates a procedure called Reversal/Return request. The reversal request is treated like an outgoing fund transfer from the FFS application to the FRBNY.
<b>short @130% position value</b>	The short position value of the securities in a transaction that is 130% of its value. The value is calculated by multiplying the number of short shares by its current market value, plus a 30% penalty.
<b>short covers</b>	Deliveries to NSCCs Omnibus account #888 as a result of NSCCs Continuous Net Settlement (CNS) system.
<b>simulated collateral monitor</b>	Your collateral groups actual Collateral Monitor (CM) reduced by its LPNC.
<b>simulated net balance</b>	A participant collateral groups net balance minus its LPNC. Either DB or CR appears to the right of the amount to indicate debit or credit.
<b>simulated net balance</b>	The debit or credit value of your collateral groups net balance reduced by its LPNC.
<b>source</b>	The originating source of a transaction.

<b>step-up</b>	A provision in an offer that permits you, when you exercise your basic subscription, to subscribe to one additional share of the underlying security in lieu of a fractional share.
<b>stock loan</b>	A loan from one participant to another based on securities pledged as collateral.
<b>stock merger</b>	The exchange of one company's security/CUSIP for another company's security/CUSIP or securities at a preset rate.
<b>stock split</b>	A stock distribution usually of 25% or more of what the shareholder owns. It usually has an ex-date of the first business day after the payable date.
<b>subscription price</b>	The cost to subscribe to one share of the underlying security.
<b>subscription rate</b>	The number of rights that must be exercised to subscribe to one share of the underlying security.
<b>suspense</b>	Participant balances that remain unsettled on the settlement date.
<b>syndicate</b>	A group of investment banks assembled by a lead manager to underwrite a new issue.

## T

<b>TA</b>	<b>Transfer Agent.</b> Usually a commercial bank that acts as a "trustee" for the sponsor. The TA creates an IVORS database record for UIT CUSIPs. It can also enter and modify settlement information for the transactions originated by participants, and cancel participants transactions.
<b>target security</b>	The security that is the subject of a Voluntary Offering.
<b>tender agent</b>	The agent authorized by the offeror to act on its behalf to receive acceptance documents and securities that are the subject of the offer, and make distributions of payments.
<b>total net balance</b>	Comprised of the total balance of settlement activity codes 084, 087, and 088.
<b>trade coupon</b>	For variable rate issues, the coupon rate used to consummate the trade.
<b>trade date</b>	The date the trade was executed.
<b>trade factor</b>	The factor applicable to a trades black out period.
<b>tranch</b>	A risk maturity class, or other class, into which a multi-class security such as a Collateralized Mortgage Obligation (CMO) is split. For example, the typical CMO has A, B, and C tranches representing fast pay, medium pay, and slow pay bonds.
<b>transaction date</b>	The date a transaction is entered into the system.
<b>transaction ID</b>	The number that identifies a transaction.

<b>true factor</b>	The actual amount of principal remaining on the mortgages underlying the CMO/ABS. This is also known as the principal factor, and is used to compute the amortized value.
<b>turnaround counter</b>	Represents the position that the participant can deliver regardless of the Memo Seg counter (turnaround position ignores Memo Seg).

## U

<b>UIT</b>	<b>Unit Investment Trust.</b> An investment vehicle representing a portfolio of securities such as corporate, municipal, or government bonds, mortgage-backed securities, preferred or common stock. Unit holders receive both principal and income payments in proportion to the number of units they own.
<b>unapproved in IRAD</b>	Debit and credit amounts of unapproved transactions with CUSIPs classified as indexed principal.
<b>unapproved in RAD</b>	Debit and credit amounts of transactions currently unapproved for Receiver Authorized Delivery (RAD).
<b>unapproved value pledge release request</b>	Debit and credit amounts of unapproved value pledge release request transactions.
<b>unvalued transaction</b>	Unvalued security additions that do not carry related payment obligation with the receipt of securities. They include: <ul style="list-style-type: none"> <li>• Deposits</li> <li>• Free release of pledged securities</li> <li>• Receipt of a free DO</li> <li>• Releases of segregated securities</li> <li>• Free pledges</li> </ul>
<b>unwinding</b>	The process of reversing transactions back to the original deliverers.

## V

<b>VRDO</b>	<b>Variable Rate Demand Obligation.</b> Note representing borrowings (usually from a commercial bank) that is payable on demand and that bears interest tied to a money market rate, usually the bank prime rate. (Dictionary of Finance and Investment Terms)
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## W

<b>wire room</b>	DTCC Settlement department.
<b>WT</b>	<b>Withdrawal By Transfer.</b> Positions in physical certificates withdrawn from DTC for re-registration in the participants or customers name.

## X

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Y

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Z

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