

Activities vs Transactions.



Activities

Once an action is submitted, an activity is created. The activity provides an activity ID number, information about the activity submitted, and the status of the activity. Activities are the instructions for the system to follow.

Examples of Activities include:

- Submitting a Disburse Cash action
- Uploading a form through the Manage Forms action

There are some cases when additional activities are created based on the options selected while completing the action.

Example of a Disburse Cash activity:

- If you submit a Disburse Cash action, while selecting Existing Cash, the system will only create a Cash Distribution activity
- If you submit a Disburse Cash action, while selecting Raise Cash, and the account does not have enough available cash, the system will create a Cash Distribution activity, a Raise Cash activity, and Sell activities.

Example of a Submitted Form activity:

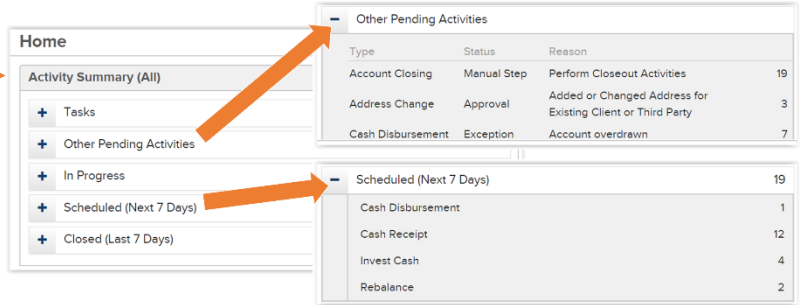
- If you submit a form through the Manage Forms action, the system will only create a Submitted Form activity. The activity will display as complete once the form is received by the SEI Private Trust Company.
- Depending on the form that was submitted, the SEI Private Trust Company will enter the action in the system, which will create a separate activity.

Description	Details	Status & Reason	Initiator / Created Date	Due Date & Time	Activity ID
Trade Set	Snow, Jennifer Jennifer & Sam Snow JTWROS Producer: Grey, Ryan	In Progress	Biasco, Ben 04-Aug-2017 11:41:17 AM EDT	04-Aug-2017 11:59:59 PM EDT	9749695
Submitted Form	DEMO Elm Tree Financial Services	Waiting For Esigature	Biasco, Ben 03-Aug-2017 12:45:46 PM EDT	04-Aug-2017 12:00:00 AM EDT	9748820
Submitted Form	DEMO Elm Tree Financial Services	Waiting For Esigature	Biasco, Ben 03-Aug-2017 02:25 AM EDT	03-Aug-2017 12:00:00 AM EDT	9747391
Address Change	Taft, William Hoover Producer: Jones, G	Waiting For Esigature	Biasco, Ben 02-Aug-2017 03:04:19 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747760
Cash Disbursement Gross: \$1,000.00 Net: \$900.00	Hoover, Herbert Herbert Hoover IRA Transitory Cash (Capital) Producer: Grey, Ryan	In Progress	Biasco, Ben 02-Aug-2017 02:59:32 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747743
Submitted Form	Hoover, Herbert Herbert Hoover IRA Producer: Grey, Ryan	Completed	Biasco, Ben 02-Aug-2017 02:55:07 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747738

Activity Views

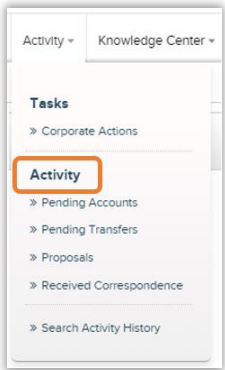
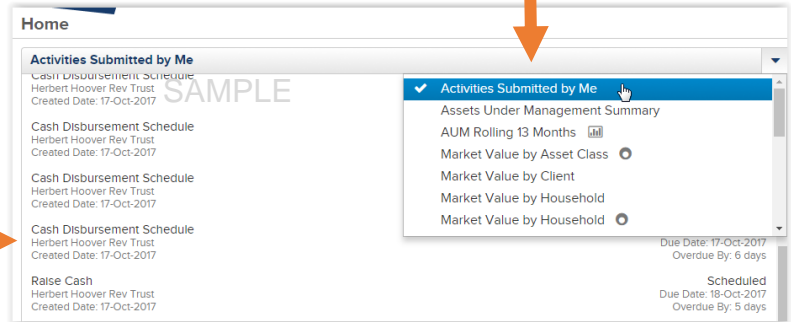
Activities can be viewed from multiple locations including the Home page, the Activity Dashboard, and the Recent Activities and Activity sections on the Household, Client, and Account snapshots.

The Activity Summary Home page portlet will provide a summary view of activities based on their status with the ability to expand a category, and then by selecting, you will be navigated to the Activity page with that selection filtered.



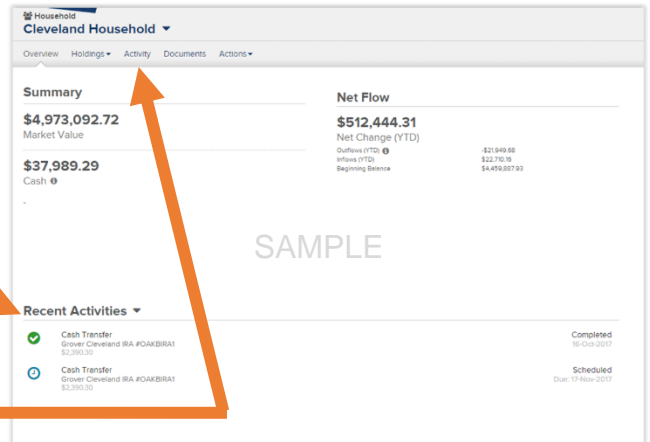
For a quick view from the Home page, select **Activities Submitted by Me** from the portlet dropdown.

Activities that were submitted by you will be listed based on the past 7 days and will provide the Activity Type, Account number, and Created date.



For a Firm level view of activities, select **Activity** from the Activity dropdown.

For a quick view from the Household, Client, or Account snapshots select **Recent Activities** from the bottom dropdown.



For a full view of activities, select **Activity** from the Household, Client, or Account menu bar.

Activity Management

The Firm level Activity Dashboard and Household, Client, and Account Activity views provide activity information with the ability to filter, sort by different criteria, and print the view.

- 1 **Filters & Options** allows for entering a specific search criteria, one or multiple activity types, a specific status, and different date ranges. Select Search to apply the changes.
- 2 **Description** displays the activity name and depending on the activity, additional amounts.
- 3 **Details** displays the firm name, client name, account number, and primary advisor when applicable.
- 4 **Status & Reason** provides the current status of the activity and in some cases, the reason the activity is in that status.
- 5 **Initiator / Created Date** displays the user that submitted the activity and the date it was submitted.
- 6 **Due Date & Time** displays a system generated date and time, however these dates are not utilized at this time.
- 7 **Activity ID** displays the identification number assigned to the activity. This number can be searched and referenced. In the case of a Submitted Form activity, you may also see a paperclip icon, which will display the actual form submitted.

The screenshot displays the SEI Activity Management interface. At the top, there is a navigation menu with 'Home', 'Business', 'Investments', 'Strategies', 'Activity', and 'Knowledge Center'. A 'Home' modal window is open, showing 'Received Correspondence (All)' with 'No Data to Display'. Below this, the 'Activity' dashboard is visible, featuring a 'Filters & Options' section with various search criteria. A table of activities is shown below, with columns corresponding to the numbered callouts in the text above.

2 Description	3 Details	4 Status & Reason Description	5 Initiator / Created Date	6 Due Date & Time	7 Activity ID	Actions
Trade Set	Snow, Jennifer Jennifer & Sam Snow ,JTWROS Producer: Grey, Ryan	In Progress	Biesco, Ben 04-Aug-2017 11:41:17 AM EDT	04-Aug-2017 11:59:59 PM EDT	9749695	
Submitted Form	DEMO Elm Tree Financial Services	Waiting For Esignature	Biesco, Ben 03-Aug-2017 01:45:46 PM EDT	04-Aug-2017 12:00:00 AM EDT	9748820	
Submitted Form	DEMO Elm Tree Financial Services	Waiting For Esignature	Biesco, Ben 02-Aug-2017 09:12:25 AM EDT	03-Aug-2017 12:00:00 AM EDT	9747391	
Address Change	Taft, William Howard Producer: Jones, George	Approval Second Approval for Maintain Address	Biesco, Ben 02-Aug-2017 03:04:19 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747760	
Cash Disbursement Gross: \$1,000.00 Net: \$900.00	Hoover, Herbert Herbert Hoover IRA Transitory Cash (Capital) Producer: Grey, Ryan	In Progress	Biesco, Ben 02-Aug-2017 02:59:32 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747743	
Submitted Form	Hoover, Herbert Herbert Hoover IRA Producer: Grey, Ryan	Completed	Biesco, Ben 02-Aug-2017 02:55:07 PM EDT	03-Aug-2017 12:00:00 AM EDT	9747738	

Transactions

Transactions refer to the actual processed actions that took place based on the activity created.

An example would be:

- A specific asset being sold or delivered in/out
- A withdraw from an account as a result of an Advisory Fee or Cash Disbursement activity

The Transaction view provides a summary breakdown, the ability to filter, the transactional details, and the ability to export or print the view.

- 1 **Summary** displays the total amounts for different categories based on the date range selected.
- 2 **Filters & Options** allows for searching based on a specific portfolio, transaction types, categories, and date range. Select Search to apply the changes.
- 3 The **Display Table** provides the transactions based on the Filters & Options selected. The Transaction Value displays the actual amount of the specific transaction.

The screenshot displays the Transaction view for the account 'Herbert Hoover IRA #ELM000000130'. The interface includes a navigation menu, a summary section, a filters and options section, and a table of transactions.

Summary:

- Market Value: \$4,200,778.04
- Cash: \$495,755.01
- Net Flows: 088.68
- Withdrawals: -\$1,763.00
- Security Purchases: -\$4,985.07

Filters & Options:

- Portfolio: [Empty]
- Category: All
- Date Range: 08/08/2017 to 08/25/2017

Transaction Table:

Transaction ID	Category	Type	Description / ID	Account / Portfolio	Trade Date / Settlement Date	Transaction Value (Gain/Loss)
9693400	Withdrawals Fees	One Time fee	US Dollar USD	Herbert Hoover IRA #ELM000000130 Transitory Cash (Capital) No Strategy	08-Aug-2017 08-Aug-2017	-\$263.00
9693401	Security Sales	Sell	Government Fund (SEXXX) 783965593 SEXXX	Herbert Hoover IRA #ELM000000130 Delaware LCG (Capital) No Strategy	08-Aug-2017 08-Aug-2017	\$263.00 263 @ \$1
9693402	Withdrawals Cash Disbursements	Cash Disbursement	US Dollar USD	Herbert Hoover IRA #ELM000000130 Transitory Cash (Capital) No Strategy	15-Aug-2017 15-Aug-2017	-\$1,500.00
9691722	Security Sales	Sell	Government Fund (SEXXX) 783965593 SEXXX	Herbert Hoover IRA #ELM000000130 Delaware LCG (Capital) No Strategy	15-Aug-2017 15-Aug-2017	\$1,500.00 1,500 @ \$1

One important difference to note about Activities and Transactions is that “activities” have an estimated value and “transactions” will always contain the actual value.