

Create Trade Set

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Use of Feature

Create Trade Set will allow you to buy, sell, or exchange assets for a client's account via the SEI Wealth Platform Advisor Desktop. When entering a Ticker or Asset Name that is not currently subscribed, you will receive a message, stating **"No matches were found"**. If you are looking to buy an asset which has not yet been subscribed, the buy will need to be submitted to SEI using the appropriate Trading Form and you will not be able to use the screens to complete the buy.

Navigating to the Create Trade Set Action

You can access the **Create Trade Set** function by navigating to the Client or Account overview page.

Search for a client or account by using the **Client and Account Search** bar along the top of the screen. Then, select the account from the results provided.

From the client or account overview page, select **Actions**, and then select **Create Trade Set**.

The screenshot displays the SEI Advisor Desktop interface. At the top, there is a navigation bar with 'Business', 'Strategies', and 'Activity' tabs. A search bar contains the text 'hoove'. Below the navigation bar, the 'Home' section features a 'Market Value by Client (All)' table and a 'Total Fee Revenue - Rolling 15 Month' bar chart. The 'Actions' menu is open, showing various options under 'Transactions' and 'Administration'. The 'Create Trade Set' option is highlighted with a red box. The 'Pending' section on the right shows a list of accounts and their market values.

Client Name	Market Value	%
Hoover Carpet Co	\$54,491,421.19	24.63 %
Harding, Warren	\$31,580,841.98	14.28 %
Taft, Helen	\$11,978,846.22	5.42 %
Wilson, Woodrow	\$11,334,824.42	5.12 %
Coolidge, Calvin	\$10,885,495.12	4.92 %
Hoover, Herbert	\$9,457,536.92	4.28 %

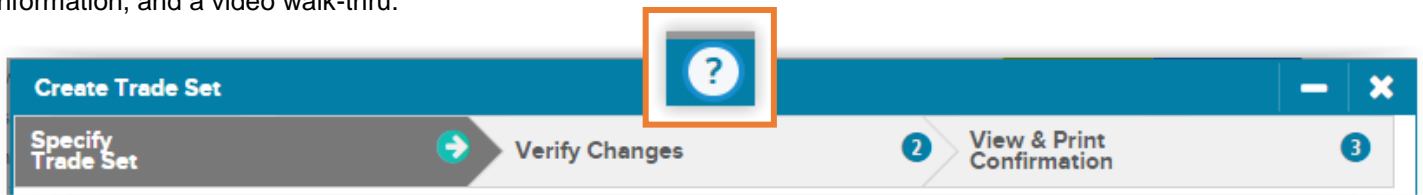
Then, the steps are:

- 1) Action Help
- 2) Selecting and Add Trades to the Trade Set
- 3) Verify Trade Set Details
- 4) Submit Trade Set
- 5) View & Print Confirmation

Each of the steps are described below.

Action Help

To access **Action Help** on Create Trade Set, select the “?” icon within the header bar of the action window. Here you will be presented with four options, including the most recent Action Guide, a guided tour of the action, Best Practice information, and a video walk-thru.



Selecting and Adding Trades to the Trade Set

- 1 **Portfolio** - Start by selecting the **Portfolio** for which you would like to process your trades. If this account has only one portfolio, the portfolio will default in the **Portfolio** section.
- 2 **Action** - Next, select the action from the **Action** dropdown. It is best practice to enter all of your sells before your buys.
- 3 **Portfolio Details** – Portfolio Market Value, Strategy, and Available Market Cash and Cash Balance will display
- 4 **Asset** - Use the **Asset** search bar to choose the assets you would like to sell. You may search by Ticker or Asset Name. A dropdown of the available assets to sell will also be available.

Once you select the asset, information about the holding will appear. Such information will include the last available price, the quantity of shares held, and the market value based on the last available price.

- 5 **Amount** - In the **Amount** dropdown, you will choose how you would like to sell the asset. Your options are: **Gross Value**, **Sell All**, and **Shares**. If you are selling a stock and choose the **Gross Value** option, the system will convert the gross value amount to sell to the next highest whole share. This means that the Gross Value amount could be more than what you specified.

When selecting **Shares**, you will then have the choice to **Specify Lots**. If yes is selected, a window will appear where you can designate which tax lots to sell.

Also, when selling a stock, the **Time In Force** option will appear. The options are **Good For The Day**, **Good Till Cancelled**, and **Good Till Date**. The default is **Good Till Cancelled**.

Good For The Day and **Good For The Date** would only apply when using an order type other than Market Order.

- 6 **Order Types** - The **Order Type** dropdown will give you the option to choose the different order types available based on the asset. The options that would appear may be **Market Order** or **Limit Order**. The default method is **Market Order**.
- 7 **Add to Trade Set** - Once you have finished filling out the information, select the **Add to Trade Set** button. This will add the trade to your Create Trade Set and allow you to add any additional trades.

Once finished with adding your sells, begin to add any buys.

PLEASE NOTE: If you do not specify any buys, the amount from the sells will buy into the portfolio's Money Market fund for which the sells were placed. If you are buying assets without selling assets, as long as there is enough Money Market cash to cover the buy, you do not need to place an offsetting trade. If you would like the proceeds of your sell to buy into the Money Market or if you need to use the Money Market of a different portfolio, you will need to add a **Transfer Cash In** or **Transfer Cash out** for the portfolio into which you would like to buy or sell.

Asset - Once you have selected the **Buy Asset** option, Use the **Asset** search bar to search by Ticker or Asset Name. When entering a Ticker or Asset Name that is not currently subscribed, you will receive a message, stating **“No matches were found”**. If you are looking to buy an asset which has not yet been subscribed, the buy will need to be submitted to SEI using the appropriate Trading Form and you will not be able to use the screens to complete the buy.

After you have selected the asset, information about the asset, such as the last available price, will appear.

Amount - Next, make a selection from the **Amount** dropdown. The options are **Gross Value, % of Proceeds, Shares,** and **With Remainder.**

Similar to selling a stock by using the Gross Value option, when buying a Stock by using the Gross Value option, the system will convert the gross amount to buy to the next lowest whole share. This means that the Gross Value amount could be less than what you specified.

The **% of Proceeds** is used to designate a percentage of the cash amount to be used to purchase assets. Once selected, this will become the default for any additional Buys and either the percentages will need to equal 100% or the **With Remainder** option will need to be used.

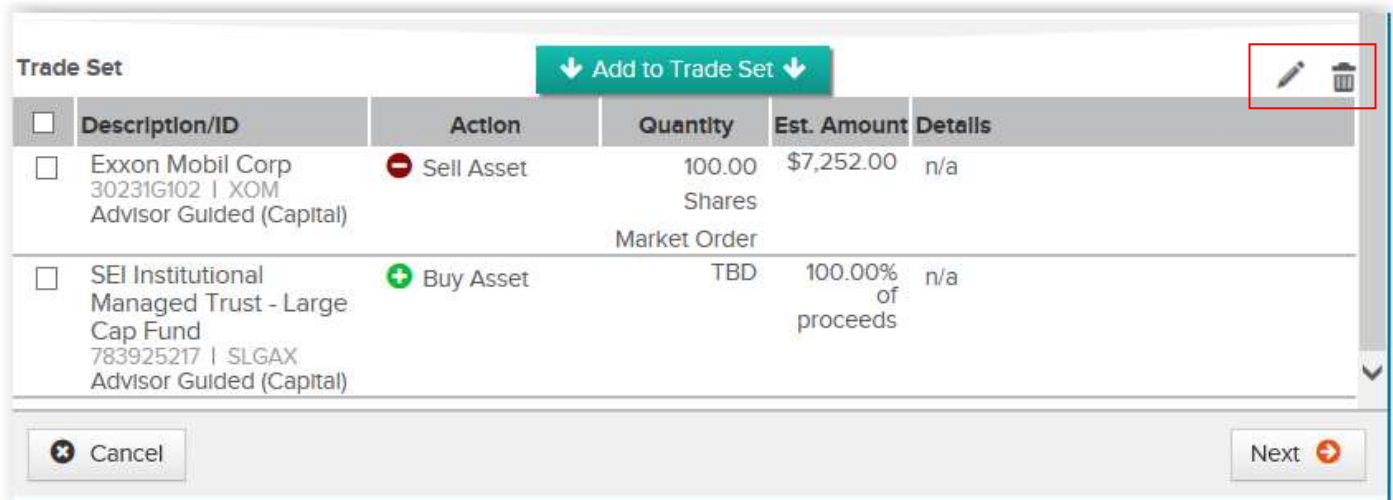
This option would also be used for **Exchanges**. You may exchange one or more assets to one or more assets. The ability to exchange by shares or value is available for SEI Funds. For Non SEI Funds, the ability to exchange is only available if using value.

The **With Remainder** option will use the remaining cash amount received from the sells to buy that asset.

Select the **Reinvestment Method** for this asset.

Add to Trade Set: Once you have finished filling out the information, select the **Add to Create Trade Set** button.

The Trade Set section will show all of the trades that you have added.



The screenshot shows a 'Trade Set' window with a table of trades. At the top right, there are two icons: a pencil (edit) and a trash can (delete), both highlighted with a red box. Below the table are 'Cancel' and 'Next' buttons.

<input type="checkbox"/>	Description/ID	Action	Quantity	Est. Amount	Details
<input type="checkbox"/>	Exxon Mobil Corp 30231G102 XOM Advisor Guided (Capital)	Sell Asset	100.00 Shares Market Order	\$7,252.00	n/a
<input type="checkbox"/>	SEI Institutional Managed Trust - Large Cap Fund 783925217 SLGAX Advisor Guided (Capital)	Buy Asset	TBD	100.00% of proceeds	n/a

Pencil / Trash Can icons - There are two icons in the upper right of this section. The **Pencil** icon is used to edit an existing trade, and the **Trash Can** is used to delete an existing trade.

By selecting the check box to the left of a trade and then selecting the Pencil icon, you will see the trade reappear in the upper section. You can now make any changes and add the trade back to the Create Trade Set by selecting the **Add to Create Trade Set** button.

To delete a trade from your Create Trade Set, simply select the check box to the left of a trade and select the **Trash Can**.

Verify Changes

Once finished with building your Trade Set, select **Next**. You will be taken to the **Verify Changes** page, where you will see the Sells and Buys broken into the Sell Side and the Buy Side sections. Use this page to review the trades that you have added. The Sell Side section will show the estimated total amount of the sells that you are about to place and the Buy Side section will show the estimated total amount of the buys that you are about to place. The estimated trade and settlement dates will also show in the details section.

If the Buy Side is showing a lesser total amount than the Sell Side, the remainder of the Sell Side cash will buy into that portfolio's Money Market fund.

If any changes need to be made, select the **Previous** button to return to the **Specify Trade Set** page.

Create Trade Set ?

Specify Trade Set ✓ Verify Changes → View & Print Confirmation 3

Verify Changes

Client Name	AccountName	Account Number
Coolidge, Calvin	Calvin Coolidge & Grace Coolidge TEN COM	ELM000000081

Sell Side

Description/ID	Action	Quantity	Est. Amount	Details
Exxon Mobil Corp 30231G102 XOM Advisor Guided (Capital)	➖ Sell Asset	100 Shares Market Order	Gross: \$8,226.00 Net: \$8,225.86	Est. Trade Date 16-Jun-2017 Est. Settlement Date 21-Jun-2017
Total Est. Amount:			Gross: \$8,226.00	
			Net: \$8,225.86	

Buy Side

Description/ID	Action	Quantity	Est. Amount	Details
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✖ Cancel Previous Submit Trade Set ➔

Submit Trade Set

When finished reviewing your Create Trade Set, select **Submit Trade Set**. By selecting the **Submit Trade Set** button, the Create Trade Set will route to the firm's Authorized Approver. If your firm is not utilizing approvals, these trades will be processed. You will now be on the **View and Print Confirmation** page.

View & Print Confirmation

The **View & Print Confirmation** page will show the Client and Account number, who the activity was submitted by, and the date and time it was submitted. Your **Activity ID** will be shown at the top and this page can be printed for your records. When finished viewing this page, select the X in the upper right corner and you will be taken back to the **Account** page.

You can view the Create Trade Set, and individual trades, by navigating to the **Recent Activities** section on the **Overview** tab, or the **Activity List** on the **Activities** tab within either the **Client** or **Account** context. The Activity ID can also be viewed from the firm level **Tasks Dashboard and Activities Dashboard**.

Create Trade Set ?

Specify Trade Set ✓ Verify Changes ✓ View & Print Confirmation ✓

View & Print Confirmation

✔ Your trade set was **successfully submitted** Activity ID is **9666504**. Submitted by **Blasco, Ben** on **16-Jun-2017 09:30 AM**.