



Electronic signature requirements.

This document outlines the requirements for submitting transactions utilizing Electronic Signatures. SEI does allow firms to submit transactions with an external version of certain electronic signature provider.

SEI's Embedded DocuSign (i.e. within the SEIAdvisorCenter.com website)

It is recommended that firms utilize SEI's embedded version of DocuSign. The Activity created provides a tracking audit and when the client electronically signs the document, a certificate of completion from DocuSign is automatically included in the activity, and an optional email communication can be sent to the submitter.

When is SEI's DocuSign required?

SEI requires that Distribution* requests (cash or in-kind) that require a client signature, whether it be a Third-Party or a First-Party with no Standing Instructions, to follow SEI's DocuSign process for electronic signature. SEI's DocuSign process is built into the available Online Actions, including the Manage Forms Launch action found on the SEIAdvisorCenter.com website.

By submitting the Distribution through these actions, the client will follow SEI's knowledge based authentication (KBA) process provided by DocuSign.

**Includes when the Account Closing check box is indicated on the Distribution form.*

Which third-party electronic signature providers does SEI accept?

As of May 2022, there are five third-party eSignature providers accepted by SEI:

- › DocuSign
- › OneSpan
- › SIGNix
- › Citrix RightSignature
- › Adobe Sign

For these providers, either the firm has their own version or they are affiliated with a Broker Dealer or RIA Home Office that utilizes these as a part of their workflow.

Do we allow a Third-Party Electronic Signature on another custodian's paperwork?

SEI does allow Account Closings or Partial Transfers on another custodian's paperwork with the client's electronic signature when accompanied by one of the following:

1. An "eConsent and Acknowledgment" section signed by the third-party custodian, holding SEI harmless.
2. A Medallion Signature Guarantee provided by the third-party custodian.

Which forms can be submitted from a Third-Party Electronic Signature provider?

With the exception of the scenarios listed below, all Monetary Forms, Non-Monetary Forms, and Account Applications are **eligible** to be submitted with a third-party electronic signature. Forms must be uploaded to SEI Advisor Center and will not be accepted if faxed or mailed.

- › Distribution requests referenced in the ‘When is SEI’s DocuSign required?’ section.
- › Forms requiring a physical (wet) signature are not eligible for any electronic signature.

What if multiple clients are required to electronically sign?

For Account Open, Individual, Joint, and Trust accounts will allow for electronic signature to the primary and joint owners, and multiple trustees. When adding multiple signers, there is the ability to designate the signing order in most scenarios.

SEI’s DocuSign process will not allow the ability to add multiple clients for electronic signatures to maintenance forms at this time*.

**If you are utilizing a Third-Party Electronic Signature provider that allows for this, SEI will accept the form.*

Which forms are not Electronic Signature eligible through SEI’s DocuSign or any of the acceptable Third-Party Electronic Signature providers?

The following forms listed below must be completed with a physical (wet) signature only:

- › Account Registration Change Form
- › Agent Authorization - Power of Attorney Form
- › Cash Access Account (CAA) and Securities Back Line of Credit (SBLOC) maintenance forms (CAA/SBLOC applications, however, are eligible for electronic signature)
- › Certificate of Controlling Party and Beneficial Owner Form
- › Corporate/Organization/Partnership Resolution Form
- › Irrevocable Stock or Bond Power Form
- › Name Change Form
- › Signature Card Form
- › Trustee Certification Form

The following combination of Distributions and Closings “Due to Death” must be completed with a physical (wet) signature only:

- › Inherited IRA Beneficiary Election Form and related Distribution Form (IRA)
- › Transfer on Death (TOD) Payment to Beneficiary Form and related Distribution Form (Non-IRA) or SEI Asset Transfer Form (In-Kind)
- › Any Distribution or Account Closing Due to Death (assets leaving SEI)

Once the physical (wet) signature is obtained from the client, the form must be uploaded within the SEI Advisor Center