

# Electronic Signature through DocuSign. Client Version



SEI has partnered with **DocuSign** to allow you to electronically sign documents. Here is what you need to know to complete the Electronic Signature process through **DocuSign**.

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Prior to accessing the document for electronic signature, you will need to complete an authentication process. This authentication process is provided by DocuSign and follows either a **Knowledge Based** or **PIN** authentication process.

**Knowledge Based Authentication:** Distributions, Transfer actions, and forms to move money outside of your account or outside of SEI have stringent signature requirements. As such, the SEI process utilizes DocuSign's "knowledge-based" authentication method. You will be asked to answer a series of questions regarding items such as affiliated address, relatives, old residences, etc. Please note, these questions are generated automatically by DocuSign using information from public records. Neither your advisor nor SEI can see or control the authentication questions.

**PIN Authentication:** Actions and Forms that are used to request changes within your account, such as trades or strategy (model) changes, use an access code as the authentication method. Those codes are delivered to you via phone call or SMS (text), based on the advisor's choice.

**Document Expiration Time:** You will need to complete the electronic signature process prior to its expiration time. If you fail to electronically sign the document before it expires, it will be cancelled. Your Financial Advisor's office will need to resubmit the transaction.

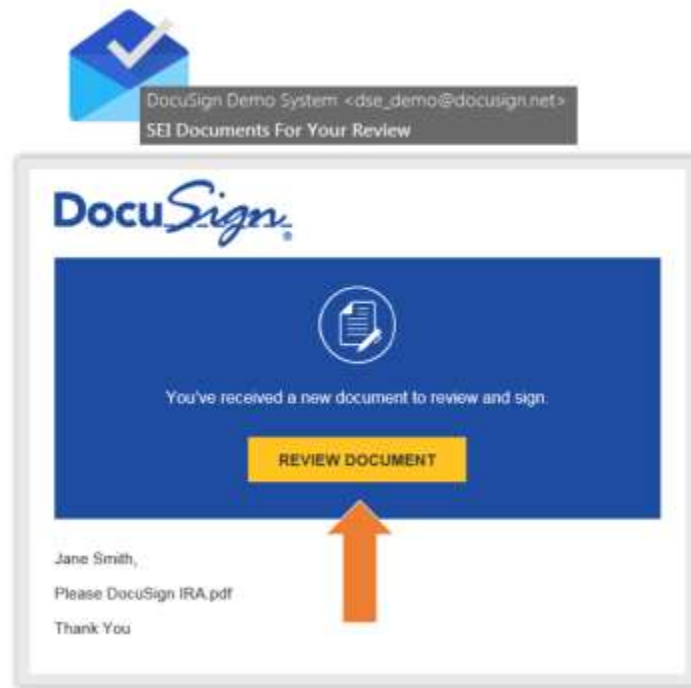
- If your DocuSign request is sent to you **via email**, the expiration time is based on the scheduled date of the transaction (can be from 1-10 days). It's best to provide the electronic signature on the same date it was sent to you, especially if the transaction is for a cash distribution.
- If you are receiving the DocuSign request **in person**, will need to provide your signature as soon as the session is opened for you by your Financial Advisor's office.

**Declining the Document:** Once you successfully authenticate your identity and view the document, you may choose to not sign the document. If you decline the document, a message will be sent back to your Financial Advisor's office, which will cancel the request. Your Financial Advisor's office will need to resubmit the transaction.

**Multiple Signers:** The process is the same as described below, except that you will follow the order your Financial Advisor's office ordered the signers. Once the first signer completes their electronic signing process, an email will then be sent to the next signer.

## Your DocuSign Process

You will receive an email from DocuSign stating that an SEI Document is ready for your review. The email will include your name, the document name, and a **REVIEW DOCUMENT** button. Select the **REVIEW DOCUMENT** button to start the electronic signature process.



**Knowledge Based Authentication:** You will need to fill in the **Personal Information** section in order to generate the list of questions to verify your identity. It is recommended, but not required, to also provide the Last 4 digits of the Social Security Number and the Date of Birth. By entering this additional information, the questions generated will be more specific to you. Once the information is filled-in, select the **NEXT** button.

A screenshot of a web form titled "Security Requests from Sender". The form is divided into two sections: "Required Information (Home Address)" and "Optional Information". The "Required Information" section includes fields for "Name: Jane Smith", "Street 1: 1 Demo Dr", "Street 2:", "City: Oaks", "State: PA", and "Zip: 19456". The "Optional Information" section includes fields for "Last 4 digits of SSN: 1234" and "Date of Birth: 01 / 01 / 1900". A yellow box highlights the "Last 4 digits of SSN" and "Date of Birth" fields. An orange arrow points to the "NEXT" button at the bottom left of the form.

You will now be given six questions generated by DocuSign via public records as a means to authenticate your identity. None of this information is provided to your Financial Advisor's office or SEI. Once you answer the questions, select the **SUBMIT ANSWERS** button.

**Security Requests from Sender**

**ID Check - Identification Questions**

These questions are being generated as a means of an identity check requested by the document sender. None of this information is provided to the document sender or to anyone except you.

Which of the following street addresses in Russellville have you ever lived at or been associated with?

1815 East 13th Street  2118 South Verona Avenue

250 Hollow Lane  310 East Gum Street

21 Sunfish Court  None of the above or I am not familiar with this property

Which of the following people have you known?

Al Sautner  Walter Schindler

Charles Bots  William Scherer

Lamar Oden  I do not know ANY of the people listed

Which of the following corporations have you ever been associated with?

Brg Properties  Rhodetech Incorporated

Forest Park Zoological Society  Wvva House Stores Inc The

Metropolitan Technology Solutions  None of the above

In which of the following counties have you ever lived or owned property?

Faulkner, Arkansas  Rutland, Vermont

Henry, Illinois  Windsor, Vermont

Randolph, Illinois  I have never lived in any of these counties

Which of the following corporations have you ever been associated with?

1124 West Dekata Condominium Association  Mortgage Square

Bell County Industrial Foundation  Southern Star Wood Display Cases

Manor Incorporated  None of the above

Which of the following people have you known?

Bernard Singer  Jeffrey Wyman

Gerald Helber  Leonard Kang

Hetta Linder  I do not know ANY of the people listed

Please answer all of the questions provided.

**SUBMIT ANSWERS**

**Signing your Documents**

You did not answer the ID Verification questions correctly, so you cannot access these documents.

For more information or help in gaining access to this document please contact the sender:

email: [15151515@seic.com](mailto:15151515@seic.com)  
SEI Investments  
v: [8007622070](tel:8007622070) @seic.com

We've also sent a message to the sender to notify them of this status.

**EXIT**

**Please note:** To pass authentication, you must answer at least four questions correctly. If four or more are answered incorrectly, you will fail authentication. If only three questions are answered correctly, you will be presented with three additional questions. You must answer at least two of these additional questions correctly to proceed. In the case of a failed authentication, the document will not be accessible and your Financial Advisor's office will need to resend the request.

## PIN Authentication

You will need to either receive a **phone call** or **text message** to the phone number provided. Your Financial Advisor's office has selected one of these options based on your preferences.

**Phone Authentication:** The phone number that was provided by the sender will be displayed, and by selecting the **CALL** button, you will receive an automated phone call.

**Phone Authentication**  
The sender has selected phone authentication.

1. Choose a phone number where you can receive a phone call, and select the "Call" button below.
2. You will receive a phone call, and will be prompted to provide a code and speak your name.

Authenticating Signer Name: **Jane Smith**

Please select a phone that you currently can answer to authenticate:

+1 5555551212

If you are not near a phone to authenticate you, select "Cancel", and return when you are near one of the above phones.

You will enter or speak the **Authentication Code** provided on the DocuSign website into your phone and provide your name. Once you successfully provide the authentication code and name, the screen will automatically open up the document.

**Security Requests from Sender**

Phone Authentication  
**Call Placed. Your phone should ring within 10 seconds.**

When your phone rings, you must enter the following Authentication Code into your phone.

**Authentication Code: 787466**

Once you enter the code in response to the telephone prompt, and provide a voice sample, you will be authenticated.

If your phone does not ring within a minute, select "Back" and ensure you have entered the correct phone information.

**Text Authentication:** The phone number that was provided by the sender will be displayed, and by selecting the **SEND SMS** button, you will receive a text message.


**SMS Authentication**  
In order to access this document, you need to confirm your identity using your mobile phone.

1. Choose a phone number below and select the "Send SMS" button to receive a text message.
2. Enter the access code on the following page.

Authenticating Signer Name: **Jane Smith**

Please select a phone that can receive text messages so you can authenticate:

+1 5555551212

 **SEND SMS** **CANCEL**

If you do not have access to your mobile phone at this time, select "Cancel" and retry when you have access.

You will enter the authentication code you received via text into the **SMS Authentication** field and then select the **CONFIRM CODE** button.

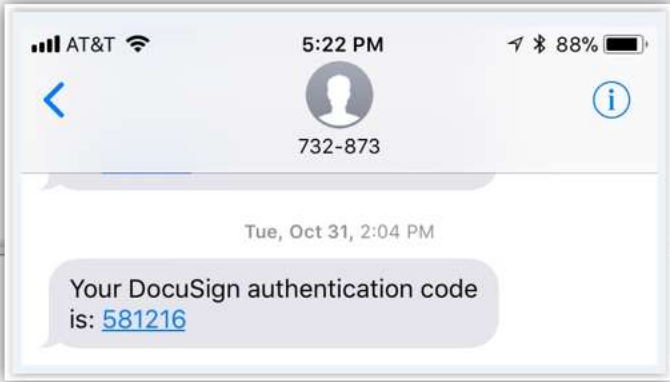
**Security Requests from Sender**

**SMS Authentication**  
An SMS message has been sent to your mobile phone. You should receive it momentarily.

Enter the code you received in the SMS message in the field below and press Confirm Code.

**CONFIRM CODE** **CANCEL**

If you do not receive an SMS message, select "Cancel", verify the phone number and try sending the SMS message again.



Once the authentication process is complete, you will have access to the document. First, you will **agree** to use electronic records and signatures and then select **CONTINUE**.



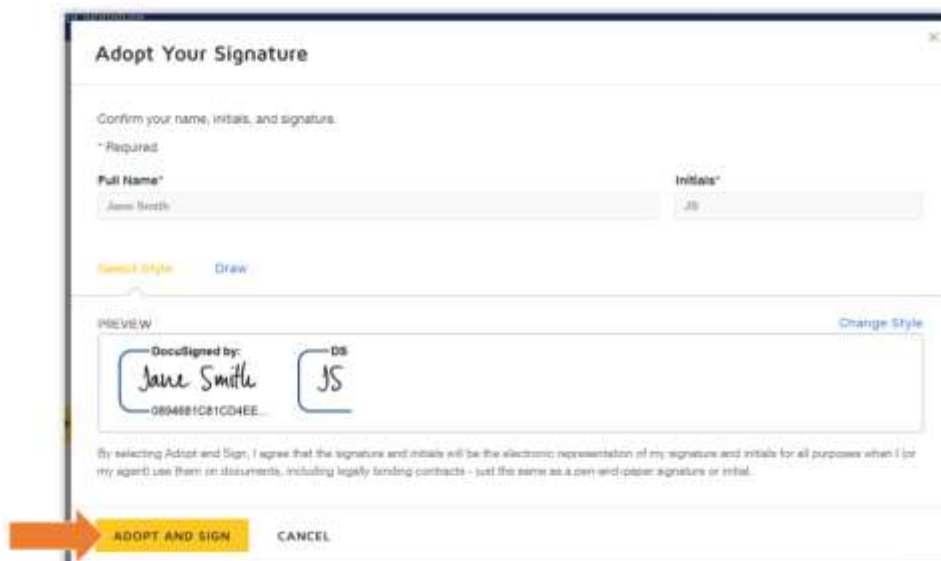
By selecting **START**, you will be guided to the signature line.



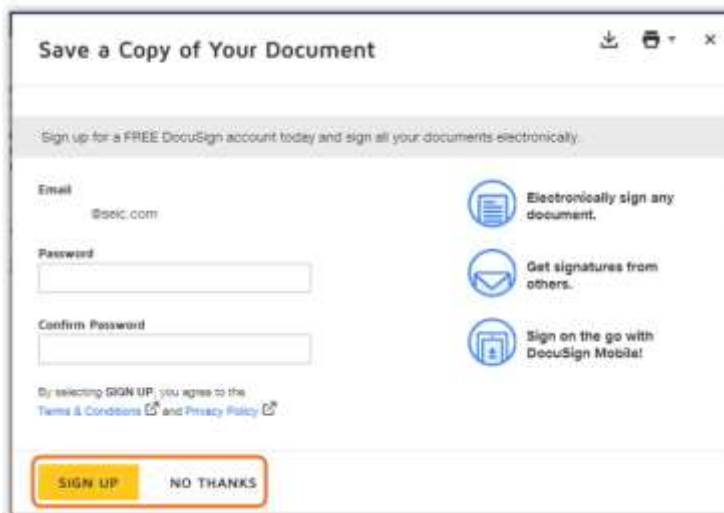
Selecting **Sign** will open up the **Adopt Your Signature** page.



Select the **ADOPT AND SIGN** button to confirm the electronic signature.



The electronic signature will populate on the signature line and you will select **FINISH** to complete the process.



You can sign up for a free DocuSign account, which will provide access to all of the documents that you have signed. You will still receive an emailed copy of your signed documents once all signatures are complete whether or not you have a DocuSign account.

This will complete the electronic signature process and the document will be sent back to SEI for processing.

**You're done!**  
Thanks for using DocuSign.  
After all recipients finish signing, you will receive an email with a link to the document.