

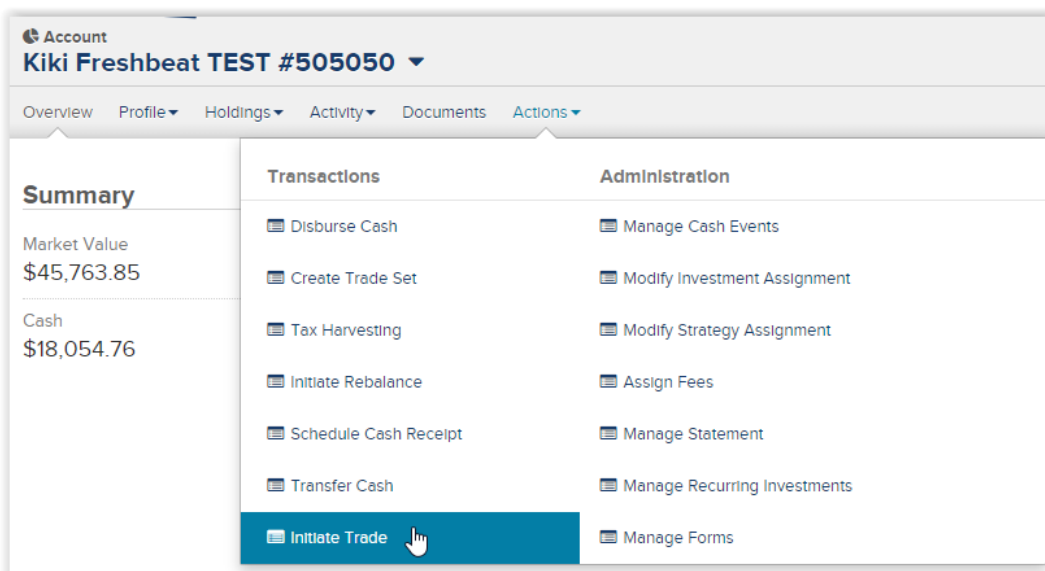
Initiate Trade.



Initiate Trade

The **Initiate Trade** action allows for Buy, Sell, Raise, or Invest based on the portfolio settings. A combination of these options are allowed as you build the Proposed Trade Instructions. The Current Account Details section displays the Model and Non Model Investments.

The **Initiate Trade** action can be found at the Account level and will launch in a separate tab of the browser.



Action Help

Select the Action Help button for access to this guide and scenario based guided tours.

Create Trade
Guided Help

1

Create Trade

2

Implement

Current Account Details

| Account Name & Number | Account Type | Account Market Value |
|-----------------------|---------------|----------------------|
| Kizy 896760 | Inherited IRA | \$80,942.76 |

Proposed Trade Instructions [Update Account Values](#) | [Reset](#)

| Pre-Trade Cash Balance | Projected Cash Balance | Account Market Value |
|------------------------|------------------------|----------------------|
| \$12,313.28 | - | \$80,942.76 |

Create Trade

The Create Trade section includes a workflow graph that displays where you are in the process. The Client Account Details section includes details about the account, the model(s) on the account, and any non-model holdings, which are grouped within portfolios.

Trading options will be available based on if there is a model/manager or individual assets.

- Individual portfolios all have the option to Invest, Raise, or Raise and Transfer (cash). Reference the Raise and Invest Cash Methods guide for more information on how each of these options will process based on the Models/Managers and individual portfolios.
- Within the individual portfolios, there may be the option to Add an asset to the portfolio, Buy more of an existing asset, Sell an existing asset, or Sell and Transfer (cash) for an existing asset.

Model Investments

The Model Investments section includes all individual portfolios with a model or manager assigned. When multiple models/managers are grouped within a UMA (overlay), that option will display. Investment information is available, including risk, allocation, available cash, and total market value. Expanding the Show Allocations option, displays the Target and Current allocation percentages.

Model Investments \$170,852.65

Institutional Moderate Growth & Income \$170,852.65

Low Risk EQ FI ALT Multi Cash Available Cash
0% 0% 0% 0% 99% \$170,834.72

Show Allocations

Invest Raise Raise and Transfer

Non Model Investments \$218,287.94

Advisor Guided (Capital) \$222,844.73

Available Cash \$92.23

Search for Assets to Add to This Portfolio

Enter Asset Name

Show 8 Assets

Non Model Investments

The Non Model Investments section includes all individual portfolios without a model or manager assigned. Available cash and total market value is displayed. Expanding the Show Asset option, displays the individual assets held within the portfolio, the Share (Qty) amount, and Market Value.

Trading Options

Below describes the options available based on the Model and Non Model Investments

Invest - Allows for investing cash across the assets held in the portfolio

Raise - Allows for raising cash across the assets held in the portfolio

Raise and Transfer - Allows for raising cash across the assets held in the portfolio and transferring the cash into a different portfolio

Assets to Add to This Portfolio - Allows for buying a new asset within the portfolio. If the portfolio is not subscribed to by SEI, a message will state “This asset requires additional setup before it can be added to an investment. Please contact your service team for details, 1-800-734-1003.” and you will need to contact the Service team to request the asset to be set up for trading.

Buy - Allows for buying additional shares for an existing asset

Sell - Allows for selling shares from an existing asset

Sell and Transfer - Allows for selling shares from an existing asset and transferring the cash into a different portfolio

Invest Raise Raise and Transfer

Search for Assets to Add to This Portfolio

Enter Asset Name

Buy Sell Sell and Transfer

Proposed Trade Instructions

The Proposed Trade Instructions section includes the Pre-Trade Cash Balance, Projected Cash Balance, and Account Market Value. Following the selection of a trading option, the proposed trades will display and allow for further instructions to be included.

After all proposed trade details have been included; it is recommended that the Update Account Values link be selected. This will insure all of the trades and cash are aligned, and the Projected Cash Balance will update.

| Proposed Trade Instructions | | | Update Account Values | Reset |
|-------------------------------|-------------------------------|-----------------------------|---------------------------------------|-----------------------|
| Pre-Trade Cash Balance | Projected Cash Balance | Account Market Value | | |
| \$165,305.11 | - | \$389,140.59 | | |

i Projected Cash Balance value will be calculated upon clicking the 'Update Account Values' link. This value is stale until the "Update Account Values" link is selected.

Different fields are available to customize the trading instructions, including Selling and Buying quantities, Raising and Investing instructions, and Transferring options.

Model Investments

| Institutional Moderate Growth & Income | Pre-Trade Cash Balance | Projected Cash Balance |
|--|------------------------|------------------------|
| | \$170,834.72 | - |

Raise Cash: Raise Amount: Trading Method:

Raise and Transfer To: Transfer All Transfer Partial

Transfer To:

Holding MMKT (Capital):

Non Model Investments

| Holding MMKT (Capital) | Pre-Trade Cash Balance | Projected Cash Balance |
|------------------------|------------------------|------------------------|
| | -\$5,621.84 | - |

Investment Options:

Raise and Transfer From (Transfer All):
Institutional Moderate Growth & Income
\$20,000.00

When all of the Proposed Trade Instructions are complete, select Continue to review the order. Remember to select the Update Account Values link. This will confirm all of the proposed trades and update the Projected Cash Balance.

| Proposed Trade Instructions | | | Update Account Values | Reset |
|-------------------------------|-------------------------------|-----------------------------|---------------------------------------|-----------------------|
| Pre-Trade Cash Balance | Projected Cash Balance | Account Market Value | | |
| \$165,305.11 | \$145,305.11 | \$389,140.59 | | |

Implement the Trade Instructions

An Estimated Trades graph will provide details on the Total Buys/Sells and Net Gain/Loss. Once the order has been reviewed, select the Implement button to submit the Trade Instructions.

| Account/Investments ▲ | Total Buys/Sells | | Market Value | | | Net Gain/Loss | | |
|--|----------------------|--------------|-----------------------|---------------|--------------|--------------------------------|-------------|-----------------|
| <ul style="list-style-type: none"> Kizy #896760 Institutional Moderate Growth & In... ⚠️ | \$0.00 | \$2.15 | \$389,140.59 | | | -\$0.19 | | |
| | | | | | | Short: -\$0.19 Long: \$0.00 | | |
| | \$0.00 | \$2.15 | \$170,852.65 | | | -\$0.19 | | |
| | | | | | | Short: -\$0.19 Long: \$0.00 | | |
| | Total Buys \$ | | Total Sales \$ | | | Net Gain/Loss \$ | | |
| Securities ▲ | Shares | Price | Proceeds | Shares | Price | Proceeds | Gain | Loss |
| SESVX ⚠️ | | | | 0.015 | 24.43 | 0.37 | | -0.02 |
| SHYAX ⚠️ | | | | 0.177 | 6.13 | 1.09 | | -0.08 |
| SIEMX ⚠️ | | | | 0.066 | 10.38 | 0.69 | | -0.09 |
| Holding MMKT (Capital) | | | | | | -\$4,554.64 | | Short: Long: |

A Confirmation pop up window will appear with the Activity ID. There is an option to print this confirmation for your records. The activity can be viewed from the Activity status page.

Confirmation
✕

✔️ Your changes have been **Successfully Submitted**. Please visit the Activity status page.
 Activity ID is **MMT-4662** Submitted by | on **25-Aug-2022 10:27 am EST**

Trade Implementation Print

| | | |
|----------------------------------|---------------------|-----------------------------|
| Account Name & Number | Account Type | Account Market Value |
| Kizy 896760 | Inherited IRA | \$389,140.59 |

Model Investments

| | | |
|---|-------------------------------|-----------------------------------|
| Institutional Moderate Growth & Income | Pre-Trade Cash Balance | Projected Cash Balance |
| | \$170,834.72 | \$150,834.72 |
| Raise Cash | Raise Amount | Trading Method |
| Yes | \$20,000.00 | Overweighted (Exhaust Cash First) |

Raise and Transfer To
(Transfer All)

Holding MMKT (Capital)
\$20,000.00

Non Model Investments

| | | |
|-------------------------------|-------------------------------|-------------------------------|
| Holding MMKT (Capital) | Pre-Trade Cash Balance | Projected Cash Balance |
| | -\$5,621.84 | \$14,381.81 |
| Investment Options | Leave as Cash | |

Raise and Transfer From
(Transfer All)

Institutional Moderate Growth & Income
\$20,000.00

Done ✔️

If you have questions regarding the Initiate Trade action, please contact the SEI Service Team at 800-734-1003