

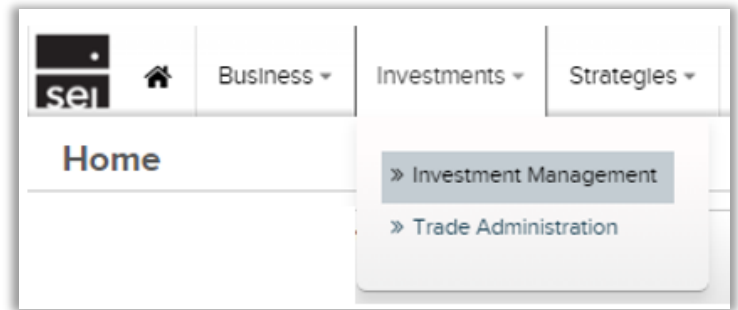
# Investment Management.



## Use of Feature

Investment Management provides the ability to view all available strategies and their usage within your firm.

You can also create, edit and archive Firm Custom Strategies. Access is subject to Broker-dealer approval and firm-approved user entitlements.

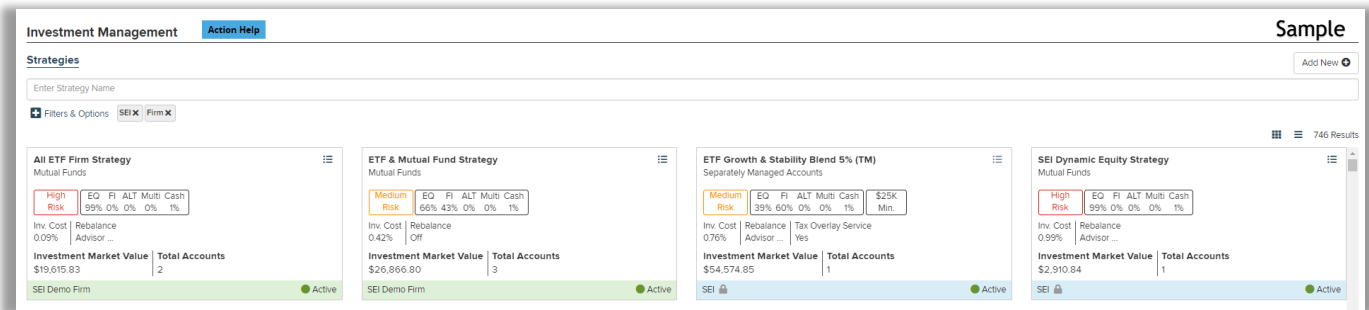


## Basic Navigation

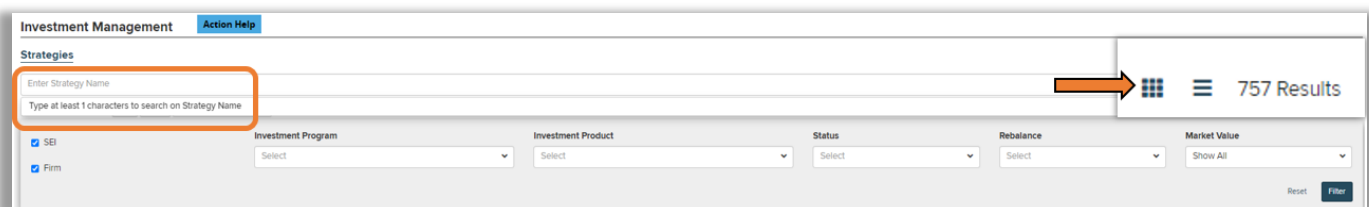
**Investment Management** can be accessed from the **Investments** dashboard in SEI Advisor Center.

## Strategies

The page displays strategy cards. Each card displays a snapshot of the strategy which includes: strategy name, risk, asset allocation, investment cost, rebalance setting, total market value of accounts, and total accounts assigned.



Search strategy names or use **Filters & Options** to filter by SEI & Firm strategies, investment program, investment product, strategy status, rebalance setting, and/or market value. Switch to a list view by selecting the list icon.



Select the strategy name hyperlink for a full page view with strategy details and a list of accounts assigned to the strategy.

The screenshot shows the 'SEI Growth Strategy' page. At the top, it displays the strategy name, investment market value (\$12,537.24), and status (Active). Below this, there are sections for 'Name and Description', 'Asset Allocation', 'Current Asset Allocation', 'Rebalance Settings', and 'Account Assignment'. The 'Current Asset Allocation' section shows a breakdown of investments by category and fund. The 'Rebalance Settings' section shows the strategy is set to 'Adhoc Rebalance'. The 'Account Assignment' section lists accounts assigned to the strategy, including 'Maureen Institutional ROTH IRA' and 'John A Investor B/O Barbara Investor IRA'. A circular chart titled 'Asset Allocation Summary' is also visible, showing the distribution of assets across different categories.

Select **Adhoc Rebalance** to submit an immediate rebalance for all accounts assigned to the strategy.

Select View **Estimated Trades** to see total estimated buys/sells, market value, and net gain/loss.

The screenshot shows two side-by-side screens. The left screen is titled 'Estimated Trades' and displays a table with columns for 'Account/Investments', 'Total Buys/Sells', 'Market Value', and 'Net Gain/Loss'. It lists accounts like 'John A Investor IRA' and provides detailed data on buys and sells for various securities. The right screen is titled 'Adhoc Rebalance' and shows a summary of the rebalancing process for the 'SEI Dynamic Equity Strategy'. It lists the available cash, the rebalancing schedule, and the next rebalancing date (24-Jun-2024). It also shows the total value of the strategy and the non-model investments.

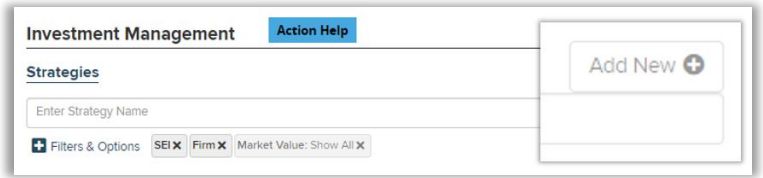
Expand the account to see a list of the estimated assets to be bought and sold.

**Export** the estimated trades if needed.

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## Create a New Firm Custom Strategy

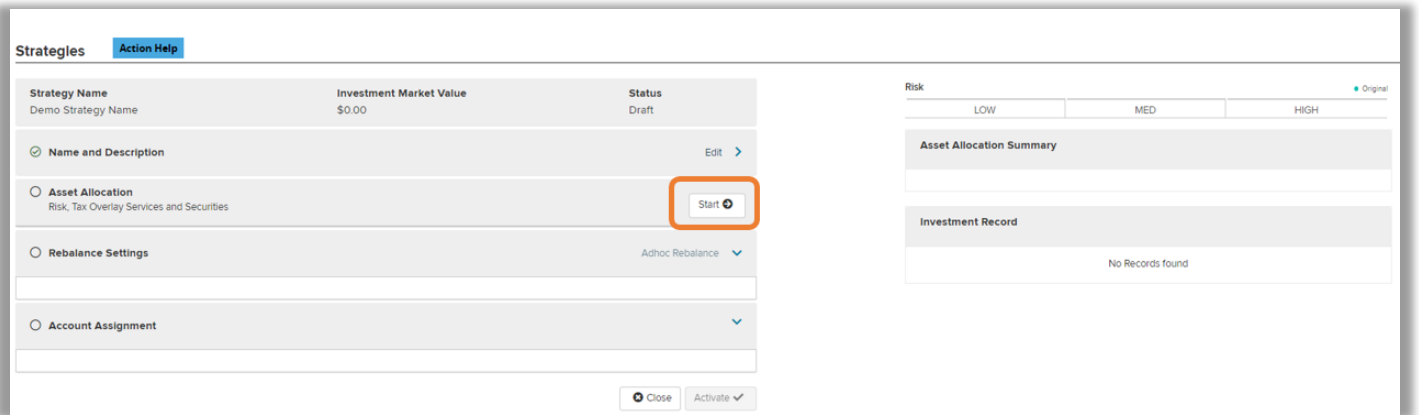
Select **Add New** at the top right hand corner of the screen. Access is subject to Broker-dealer approval and firm-approved user entitlements.



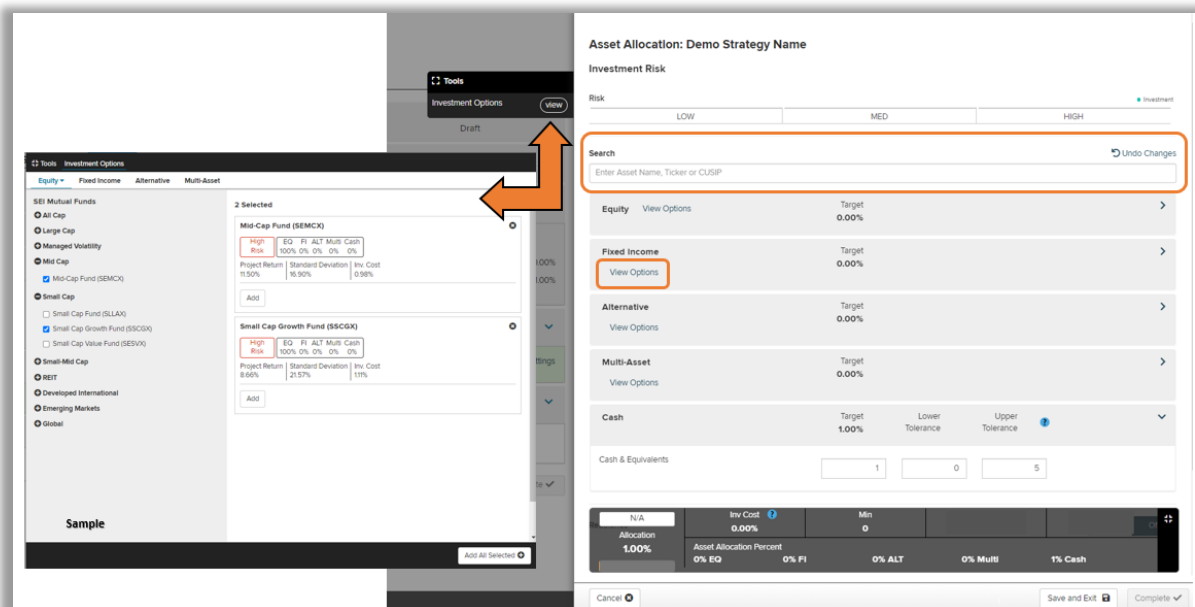
Enter your unique firm custom **Strategy Name**.  
Select **Create**.



Select **Start** to begin searching and adding assets to your strategy.



Our Asset Allocation screen provides various ways to search for assets. Use the **Search** and enter an Asset Name, Ticker, or Cusip. Open **Investment Options** in the Tools box or select **View Options** next to an asset allocation category to view SEI assets.



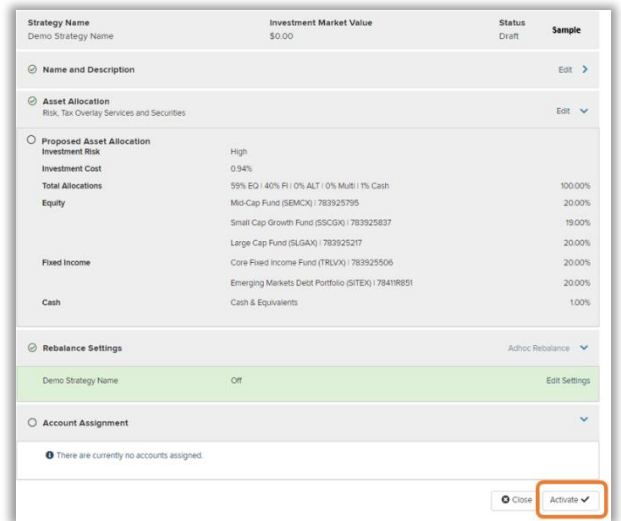
Add assets and their target percentage until you reach 100% allocation, including the minimum required cash. Select if you would like the model to **Rebalance**.

The heads up display at the bottom of the page will keep track of total model allocation, investment cost, and asset allocation percent.

Select **Complete** once you have made your selections.  
 Select **Save and Exit** to create a draft you can come back to and complete at a later time.

Once you select Complete you will see a preview of your selections. Edit your rebalance settings if needed. Select **Activate** to create the model.

Tip: To assign the strategy to an account use the **Modify Investment Assignment** action at the account level.

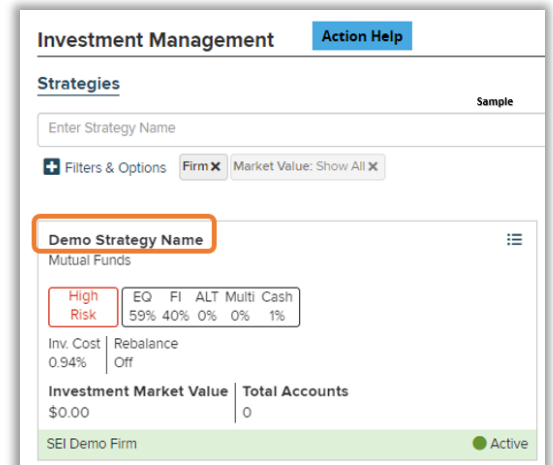


### Edit a Firm Custom Strategy

Investment Management gives you the ability edit the asset allocation, rebalance settings, and which accounts are currently assigned to the strategy. Any changes made to the strategy will be reflected in all accounts the strategy is assigned to.

Navigate to **Investment Management** via the **Investments** tab in Advisor Center, and filter for **Firm**. Search the strategy name.

Select the strategy name hyperlink.



Select **Edit** in the Asset Allocation Section.



From the Modify Investment page, you can make changes to the strategy.

- Use the search to look for assets
- Edit target allocation %
- Use the trash can icon to delete assets
- Select the Investment Options View in the Tools box to search SEI assets by asset class
- Change the rebalance setting
- View the asset allocation comparison to see the original and new asset allocation side by side
- Reset to the original allocation when needed
- Add or edit Firm Investment Management Fee
- Implement once you have completed your changes

The screenshot displays the 'Modify Investment' interface. On the left, there are two donut charts comparing 'Original Asset Allocation' and 'New Asset Allocation'. Below these are two tables of asset classes and their percentages. On the right, there is a 'Search' section with a table of assets and their target allocations. At the bottom right, there are 'Save and Exit' and 'Implement' buttons.

Asset Class	Original Allocation	New Allocation
Mid-Cap Fund (SEMCK)	20%	24%
Large Cap Fund (SLGAX)	20%	30%
Small Cap Growth Fund (SSCGX)	19%	5%
Emerging Markets Debt Portfolio (SITEX)	20%	20%
Core Fixed Income Fund (TRLVX)	20%	20%
Cash & Equivalents	1%	1%

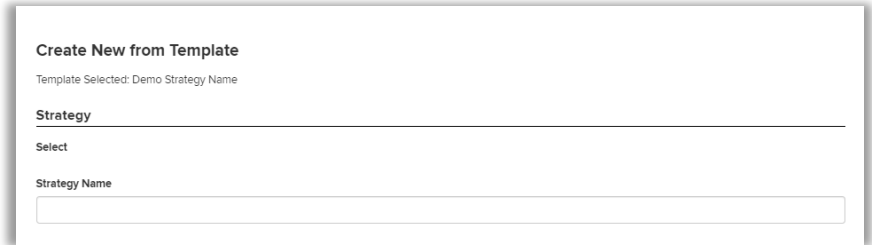
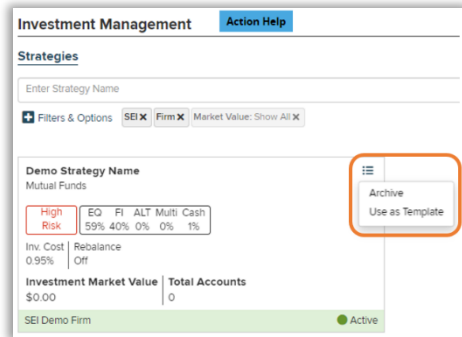
Asset Class	Current	Target	Lower Tolerance	Upper Tolerance
Domestic Equity	59.00%	59.00%		
Mid-Cap Fund (SEMCK)	20.00%	24.00%	5	5
Large Cap Fund (SLGAX)	20.00%	30.00%	5	5
Small Cap Growth Fund (SSCGX)	19.00%	5.00%	4.99	5

To add or edit a **Firm Investment Management Fee**, toggle the Investment Management Fees section to **On**, then complete the **Fee Amount** and **Fee Basis**. Access to this feature is subject to Broker-Dealer approval, if applicable, and firm approved user entitlements.

The screenshot shows the 'Investment Management Fees' section. It includes a toggle switch for 'On' and 'Off'. Below are input fields for 'Fee Amount', 'Fee Minimum - Optional', and 'Fees Basis'. The 'Fees Basis' dropdown is set to 'Average Daily Market Value'.

## Use a Strategy as a Template

Use an existing strategy as a template to create a new strategy. You can use both Firm strategies and SEI non-managed strategies as templates. Locate a strategy and select the icon in the right hand corner of the strategy card. Select **Use as Template**. Create a new unique strategy name and then Edit the strategy.



## Archive a Firm Custom Strategy

Locate the strategy and check to make sure no accounts are assigned to the strategy. Select the icon in the right hand corner of the strategy card, select **Archive**. A confirmation will appear, select **Proceed**.

You will then receive an alert to confirm that you would like to archive the strategy. You will select **Proceed** to move forward. Now the strategy you have archived will appear in grey and have a status of **Archived** in the bottom right of the strategy snapshot.

A strategy cannot be re-activated once archived, however you can use an archived strategy as a template to create an active version of the strategy using a new strategy name.