



SEI Wealth PlatformSM

Modify Investment Assignment.

Digital Model Management

Modify investment assignment.

Getting Started

The **Modify Investment Assignment** action will allow for adding, modifying, and removing the investment strategy on the account. This includes a single strategy, multiple strategies, and multiple managers. Allows the Risk Tolerance Questions (RTQ) to be stored, which removes the need for a new Risk Tolerance Questionnaire when the modification is within the same risk level. Provides Investment Cost, Risk Score, RTQ, recent modifications, plus more, all in one view.

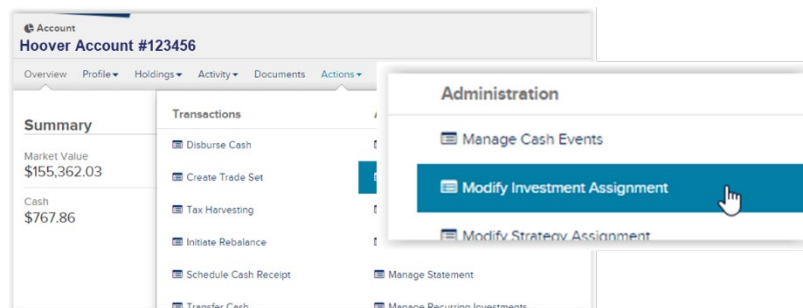
The Modify Investment Assignment action also has the ability for a client or authorized signer to electronically sign through the use of DocuSign, where applicable. The **Electronic Signature** feature is discussed in the Signature section.

Please note that existing **Risk Tolerance Questionnaires** are not stored and will need to be added through the **Modify Investment Assignment** action as a part of a future modification.

The **Change in Investment Strategy** Form includes the option to substitute funds for SEI American Funds® and SEI ETF Strategies. This is not an option during the current instance of the Modify Investment Assignment. If you do need to make a substitution, please submit your request via the form.

The term **UMA Model** that is referenced in this document represents the allocation assigned over multiple strategies or multiple managers. Previously referred to as an Overlay (over multiple portfolios).

The Modify Investment Assignment action can be launched from the Actions dropdown at the Account level.



- 1) [Modify Investment Assignment Overview \(Page 2\)](#)
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Each of the steps are described below.

Modify Investment Assignment Overview

1. Displays **Account Name & Number**, **Account Type**, and **Account Market Value**. An Activity ID will also display when the strategy is going through a change.
2. **Account Risk** will display the current Risk Tolerance Questionnaire (RTQ); however, this will only apply to new RTQs added through this action.
3. **Investment Summary** will include the Current Investment, Model Investments, and Non Model Investments. The **Edit** option is used to add, modify, or remove SEI strategies, custom strategies, and managers. Example below includes a Custody Only account and a Managed Account Solutions account. The **Create Non Model Portfolios** option will allow you to simply open an Advisor Guided, Client Directed, or Holding Money Market Portfolio
 - **Current Investment** includes Risk, Cost, and Investment Allocation
 - **Model Investment** includes the current strategy or strategies assigned to the account
 - **Non Model Investments** include a list of the assets held within the account, based on the portfolio, but outside of the strategy
4. **Account Rebalance Settings** include a listing of all the strategies on the account, with an indication of if rebalance is On or Off and when the rebalance will occur. There is an option to **Edit Settings** for this section, which will allow for turning off rebalancing for appropriate strategies. **Adhoc Rebalance** will rebalance one or all the strategies and UMA models on the account (restrictions apply).
5. **Risk** indication chart displays the Risk Tolerance and current Investment risk.
6. **Asset Allocation Overview** displays a chart of the asset allocation breakdown of the account. Hovering over this chart will display the percentages.
7. **Investment Record** displays a record of the changes that have occurred within the account. There is a drill down when selecting the Activity ID.

Modify Investment Assignment

1. Account Name & Number: Hoover 123456 | Account Type: Non-IRA | Account Market Value: \$7,633.25

2. Account Risk: Questionnaire

3. Investment Summary: **Current Investment** (High Risk, 0.97% Cost) | **Model Investments** (\$6,264.09) | **Non Model Investments** (\$1,369.16)

4. Account Rebalance Settings: Institutional Equity (On, Quarterly)

5. Risk Indication: LOW, MED, HIGH

6. Asset Allocation Overview: Donut chart showing Institutional Eq., Equity, and Government Fund.

7. Investment Record: Investment Change MMT-256 (12-Nov-2020 04:17 pm EST)

3. 1234560V (\$340,726.30): Tax Overlay Service (No), UMA Model Risk (High), Investment Minimum (\$180,000.00), Investment Cost (0.97%), Allocations (100% EQ, 0% FI, 0% ALT, 0% Multi, 0% Cash)

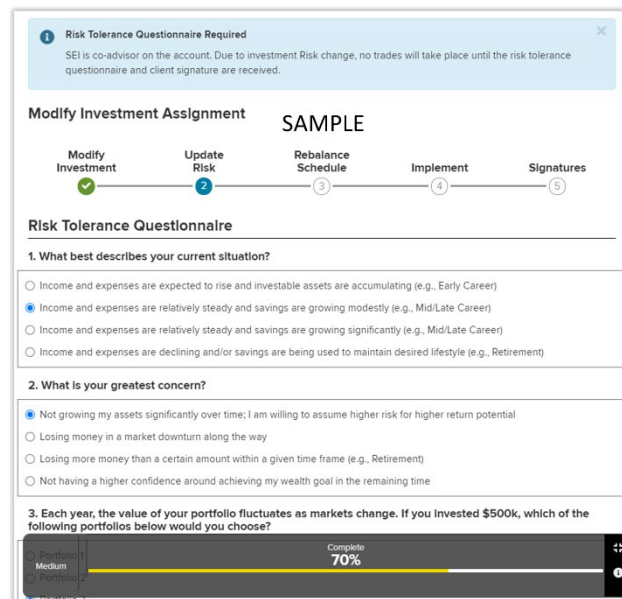
		Target	Current
Equity	Sample Manager 1	30.86%	21.87%
	Sample Manager 2	31.84%	44.26%
	Sample Manager 3	36.53%	33.92%
Cash	Government Fund	0.77%	0.12%
	Government Fund	0.00%	100.00%
Non-Model Assets	Government Fund		-0.17%
			100.00%

Account Risk

If applicable, the **Account Risk** will be stored to the account. If this is the first time modifying the account strategy, or if it has been over two years since the last questionnaire has been completed, the Questionnaire will be needed regardless if the modification matches the current risk of the account. Once stored, a client signature will not be needed if the new strategy matches the account's current investment risk.



The screenshot shows a dropdown menu titled "Account Risk" with a downward arrow on the right. Below the title, there is a single option: "Questionnaire (Not Started)" with a radio button to its left.

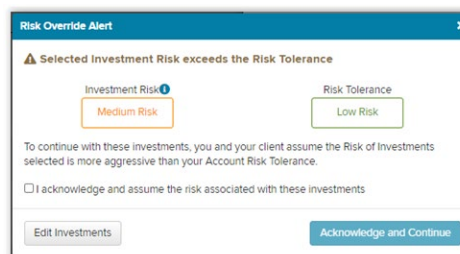


The screenshot displays the "Risk Tolerance Questionnaire Required" notification and the "Modify Investment Assignment" process. The process is shown as a sequence of five steps: 1. Modify Investment (checked), 2. Update Risk (active), 3. Rebalance Schedule, 4. Implement, and 5. Signatures. Below this, the "Risk Tolerance Questionnaire" is shown with three questions:

1. What best describes your current situation?
 - Income and expenses are expected to rise and investable assets are accumulating (e.g., Early Career)
 - Income and expenses are relatively steady and savings are growing modestly (e.g., Mid/Late Career)
 - Income and expenses are relatively steady and savings are growing significantly (e.g., Mid/Late Career)
 - Income and expenses are declining and/or savings are being used to maintain desired lifestyle (e.g., Retirement)
2. What is your greatest concern?
 - Not growing my assets significantly over time; I am willing to assume higher risk for higher return potential
 - Losing money in a market downturn along the way
 - Losing more money than a certain amount within a given time frame (e.g., Retirement)
 - Not having a higher confidence around achieving my wealth goal in the remaining time
3. Each year, the value of your portfolio fluctuates as markets change. If you invested \$500k, which of the following portfolios below would you choose?
 - Progress bar showing "Complete 70%" and "Medium" risk level.

Please note that no trades will take place until the risk tolerance questionnaire and client signature are received.

When the new investment risk does not match the risk of the risk tolerance questionnaire, an option to acknowledge and assume the risk associated with these investments will be available. The overridden risk will then be stored for future investment change decisions.



The screenshot shows a "Risk Override Alert" dialog box. It contains a warning icon and the text: "Selected Investment Risk exceeds the Risk Tolerance". Below this, there are two boxes: "Investment Risk" with "Medium Risk" and "Risk Tolerance" with "Low Risk". The text below reads: "To continue with these investments, you and your client assume the Risk of Investments selected is more aggressive than your Account Risk Tolerance." There is a checkbox labeled "I acknowledge and assume the risk associated with these investments". At the bottom, there are two buttons: "Edit Investments" and "Acknowledge and Continue".

Investment Summary – Edit

1. **Modify Investment Assignment** Workflow will display the steps needed to complete the assignment. Example below includes a Custody Only account and a Managed Account Solutions account.
2. **Risk** indication chart displays the Risk Tolerance and current Investment risk.
3. **Model Investments**
 - **Add to UMA** will allow you to add multiple strategies/managers and create a UMA Model
 - **Edit** will allow you to add to or edit the strategies or managers within a UMA Model
 - **Replace** will allow you to replace the existing strategy with a different strategy. Replace is also used to move from a Managed Account Solutions product to a Mutual Fund Implementation and vice versa
 - **Edit Preferences** will allow you to assign State Preferences for Bonds.
 - The **Trash Can** icon will allow you to delete the strategy.
4. **Non Model Investments**
 - **Replace** will allow you to add a strategy and use the existing assets to fund it (not available when cash is held in a Holding MMKT or Asset Transit portfolio).
5. **Additional Investment** will allow you to add a strategy to the account, which will need to be funded after completion.

Modify Investment Assignment (SAMPLE)

1. Modify Investment → 2. Rebalance Schedule → 3. Implement

2. Risk: LOW | MED | HIGH (Risk Tolerance: ■ Investment: ■)

3. **Model Investments**

Institutional Equity

Low EQ FI ALT Multi Cash
0% 0% 0% 0% 0%

Add to UMA Replace

4. **Non Model Investments**

Portfolio-1 (Capital)

N/A 0.38% Inv. Cost

Show 6 Assets

Replace

5. **Additional Investment**

Modify Investment Assignment (SAMPLE)

1. Modify Investment → 2. Update Risk → 3. Rebalance Schedule → 4. Implement → 5. Signatures

2. Risk: LOW | MED | HIGH (Risk Tolerance: ■ Investment: ■)

3. 123456 UMA Model 10.Jan.2021 11.13 \$340,726.30

High \$180K Min. 0.97% Inv. Cost EQ FI ALT Multi Cash
100% 0% 0% 0% 0%

Show Less

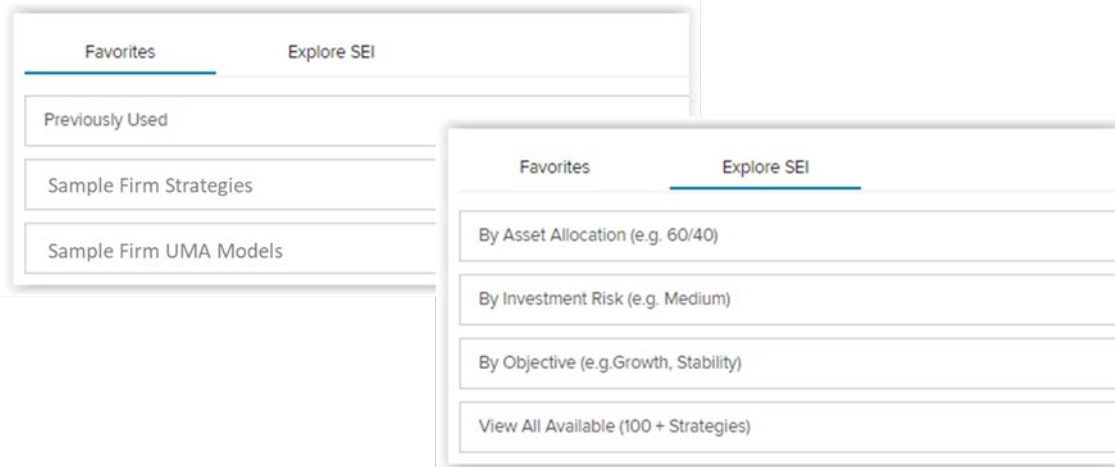
Category	Asset	Percentage
Equity	Sample Manager 1	30.86%
	Sample Manager 2	31.84%
	Sample Bond	36.53%
Cash	Government Fund	0.77%
	Government Fund	0%

Edit Replace Edit Preferences

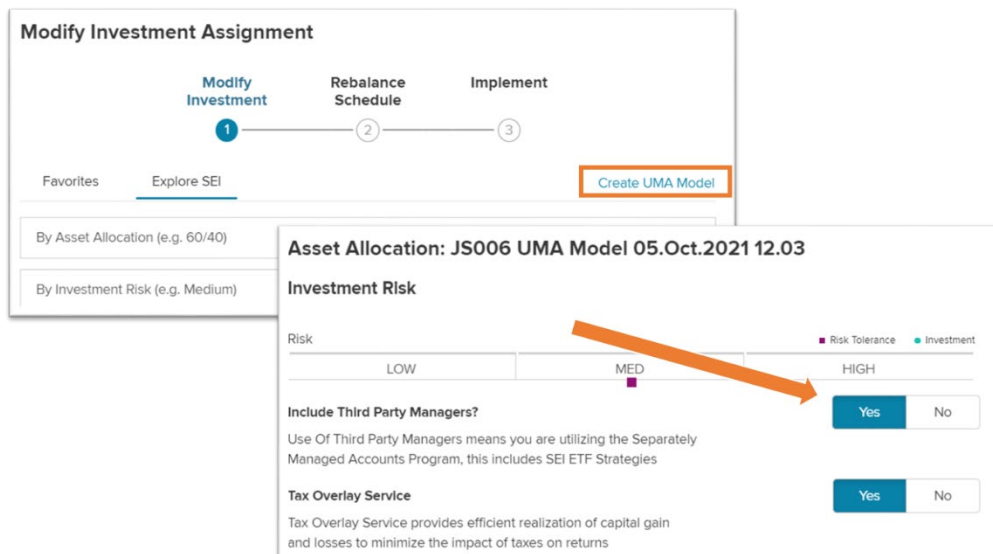
5. **Additional Investment**

Additional Investment	Total	Min	Fund Exp
View Estimated Tr	\$426K	\$250K	0.47%
			Mgmt Fee 0.38%
			Platform Fee 0%
			Inv Cost 0.85%

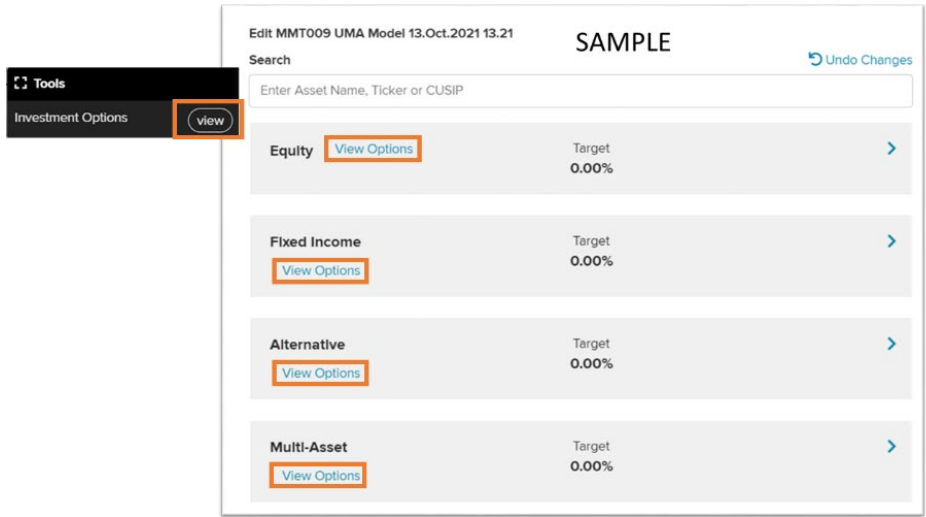
The **Replace**, and **Additional Investment** buttons will display the **Favorites** and **Explore SEI** tabs. The **Favorites** tab will display Previously Used and the Firm's custom strategies. The **Explore SEI** tab will display different options for selecting strategies and managers based on Asset Allocations, Investment Risk, Objective, and View All Available.



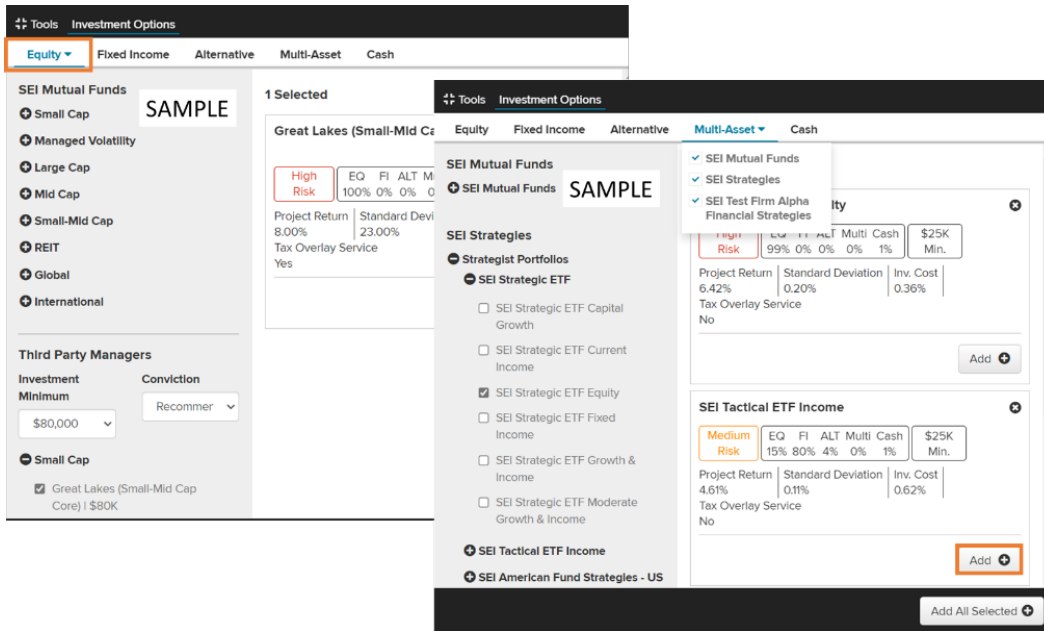
Using **Replace**, you can also replace an existing strategy with a UMA Model by selecting **Create UMA Model**. This is also used to switch between Managed Account Solutions product types and Mutual Fund Implementation products and vice versa. You will need to indicate whether you want to **Include Third Party Managers** and use the toggle for **Yes** or **No**.



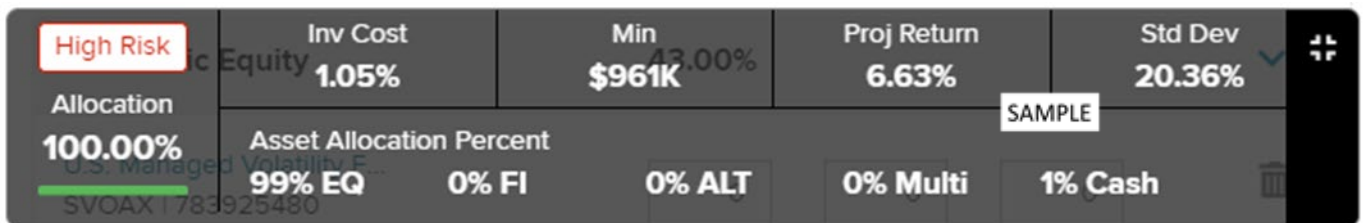
The **Edit** button will allow you to add, remove, or modify the assets, strategies, or managers within the UMA model. You can simply update targets within the allocation or select **View** or **View Options** to find new investments to add to the allocation.



Selecting either of these buttons will open the Tools flyout. SEI assets, SEI Strategies, ETF Strategies, Managers, etc. can be found within the Asset Class tabs and by expanding the Sub Classification results.



As strategies and managers are modified or added, the **Heads-Up Display** will update to provide the total market value of the strategy, any minimum requirements, and the percentages of the Fund Exposure, Management Fee, Platform Fee, and Investment Cost.



Signature

When a client signature is required, the **Modify Investment Assignment** action will allow for SEI's electronic signature process through DocuSign. This action follows the Pin Authentication process for both Text message and phone Call options. Learn more about SEI's electronic signature process through DocuSign by searching for 'DocuSign' within the Help Menu of SEI Advisor Center.

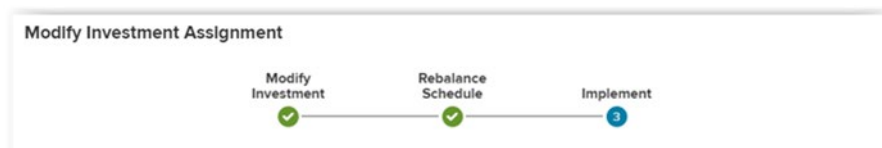
The screenshot shows the 'Modify Investment Assignment' workflow with five steps: Modify Investment, Update Risk, Rebalance Schedule, Implement, and Signatures. The 'Signatures' step is highlighted with a blue circle containing the number 5. Below the workflow, there are two buttons: 'E-Signature' (highlighted in blue) and 'Print Documents'. Underneath, there are options for 'All Signers E-Signed Via' with 'via Email' and 'In Person' buttons. A list of signers is shown, with 'Hoover, Herbert' selected. For this signer, there are two 'Preference' dropdown menus (both set to 'Home'), an 'Email E-sign Invitation' field with 'sample@demo.com', and an 'Authentication Phone Number' field with '5551234567'. There are also 'Text' and 'Call' buttons.

When electronic signatures are not used, the **Print Documents** option is available. When choosing the print documents option, all signatures will have to be captured & uploaded before any processing can occur. You will need to download the document provided on the **Activity Status Signatures** page, and then once signed, upload the signed document on SEI Advisor Center.

This screenshot shows the 'Print Documents' button highlighted in blue. Below it is a yellow warning box with a triangle icon and the text: 'By choosing to print documents, all signatures will have to be captured & uploaded before any processing can occur'.

The screenshot shows a 'Confirmation' window with a green checkmark and the text: 'Your changes have been Successfully Submitted. Please visit the Activity status page. Activity ID is MMT-514 Submitted by Sample Submitter on 11-Dec-2020 11:17 am EST'. Below this is a 'Print' button. To the right, there is a 'Signatures' section with a blue dot and 'In Progress' with a white circle. Below this is a 'SAMPLE' label and a table with columns 'Documents' and 'Date Created'. The table contains one row: '14216240_MMT-514_2020121105133.pdf' and '11-Dec-2020'. A 'Download' button is next to the document name, and a large orange arrow points down towards it.

When client signatures are not needed, the **Signature** step in the workflow will not display and the modifications will occur when implemented.



Account Rebalance Settings and Rebalance Schedule

This section will display the strategy on the account, along with if the strategy is turned **On** or **Off** for rebalancing. The rebalance can be turned **On** or **Off** from the **Edit Settings** link. Please note: the ability to turn Off a SEI strategy is unavailable.

The screenshot shows the 'Modify Investment Assignment' interface for a 'SAMPLE' account. The 'Account Rebalance Settings' section is highlighted with an orange box and an arrow pointing to a modal window titled 'Edit Rebalance Settings'. The modal displays the 'Rebalance Schedule' for 'Sample Strategy Name' with a frequency of 'Advisor Market - Quarterly'. It includes 'On' and 'Off' toggle buttons and a 'Submit' button. The background interface shows various investment details and a progress indicator.

As a part of the **Modify Investment Assignment** workflow, there is a **Rebalance Schedule** step. This step in the workflow allows for turning **On** or **Off** the rebalance for the strategy.

1. When multiple strategies display, this top option will allow for turning all, either **On** or **Off**
2. Allows for turning that strategy's rebalance **On** or **Off**

The screenshot shows the 'Rebalance Schedule' step in the 'Modify Investment Assignment' workflow for a 'SAMPLE' account. The workflow progress bar indicates that 'Modify Investment' and 'Update Risk' are completed, while 'Rebalance Schedule' is the current step (3), followed by 'Implement' (4) and 'Signatures' (5). The 'Rebalance Schedule' section features a blue header and two 'On'/'Off' toggle buttons. Below this, a form displays the account details: '123456 UMA Model 10.Jan.2021 11.13', 'Rebalance Frequency' set to 'Advisor Market - Quarterly', and another 'On'/'Off' toggle button.

Investment Record and Activity IDs

Activity IDs created by the **Modify Investment Assignment** action will display with MMT preceding a numeric value (Ex. MMT-123). This Activity ID is displayed under the **Investment Record**, within the **Activity Status** page, and on the Firm, Household, Client, and Account Activity pages. The activity ID is also displayed in the top left corner of the **Modify Investment Assignment** action when the activity is in a **Draft** or **In Progress** status. Selecting the Activity ID will open the **Activity Status** page.

An **Activity Status** page is available to view when selecting the Activity ID. The **Activity Status** page will provide additional information regarding the **Investment Change**, the **Signature** status, and the **In Progress** status. A printable form is available to **Download** at the bottom of the page.

Activity Actions

From the **Signature** stepper of the **Activity Status** you'll have the option to perform two actions; **Edit** or **Delete**. **Edit** will take you back to the Modify Investment Assignment action to make changes. **Delete** will allow you to cancel the Investment Change. Also, if the request is in a Pending electronic signature status, you will also have the option to **Resend Notification**, which will re-trigger another DocuSign email to your client.\

Please note: These actions are only available on the **Signature** stepper as shown below.

The screenshot displays the 'Activity Status' interface for 'MMT-378: In Progress'. The main header shows 'SAMPLE' and a 'Print' button. Below this, account details are listed: 'Account Name and Number' (John L. Smith, MMT006), 'Account Type' (Non-IRA), 'Account Market Value' (0.00), and 'Advisors' (Steckiel, Alan). An 'Action' dropdown menu is highlighted with an orange box, containing 'Edit' and 'Delete' options. Below the account details, a progress bar shows 'Investment Change' (checked), 'Signatures' (active), and 'In Progress' (unchecked). A 'Form Upload' section shows 'Pending Upload'. A large orange arrow points from the 'Action' menu down to the 'Signatures' stepper. Below the progress bar, a table lists signers: 'Smith, John L.' with 'Sample' as the email address. A 'Resend Notification' button is highlighted with an orange box and an arrow pointing to it from the left. A 'Download' button is also visible in the bottom right corner.

Signer Name	Signer E-mail Address
Smith, John L.	Sample



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Building better financial futures, together.

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