Modify Investment Assignment.

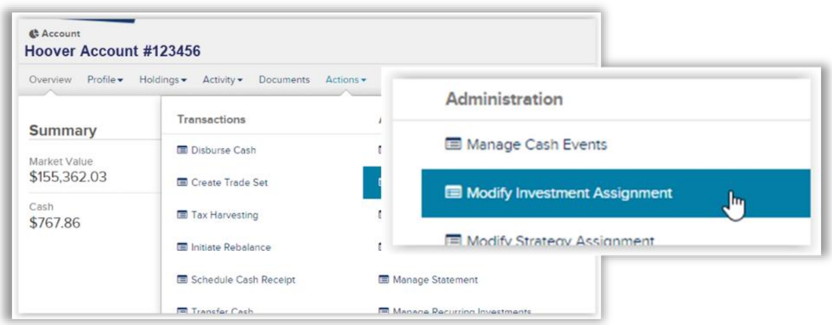
The **Modify Investment Assignment** action will allow for adding, modifying, and removing the investment strategy on the account. This includes a single strategy, multiple strategies, and multiple managers. Allows the Risk Tolerance Questions (RTQ) to be stored, which removes the need for a new Risk Tolerance Questionnaire when the modification is within the same risk level and investment cost for up to two years. 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 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.



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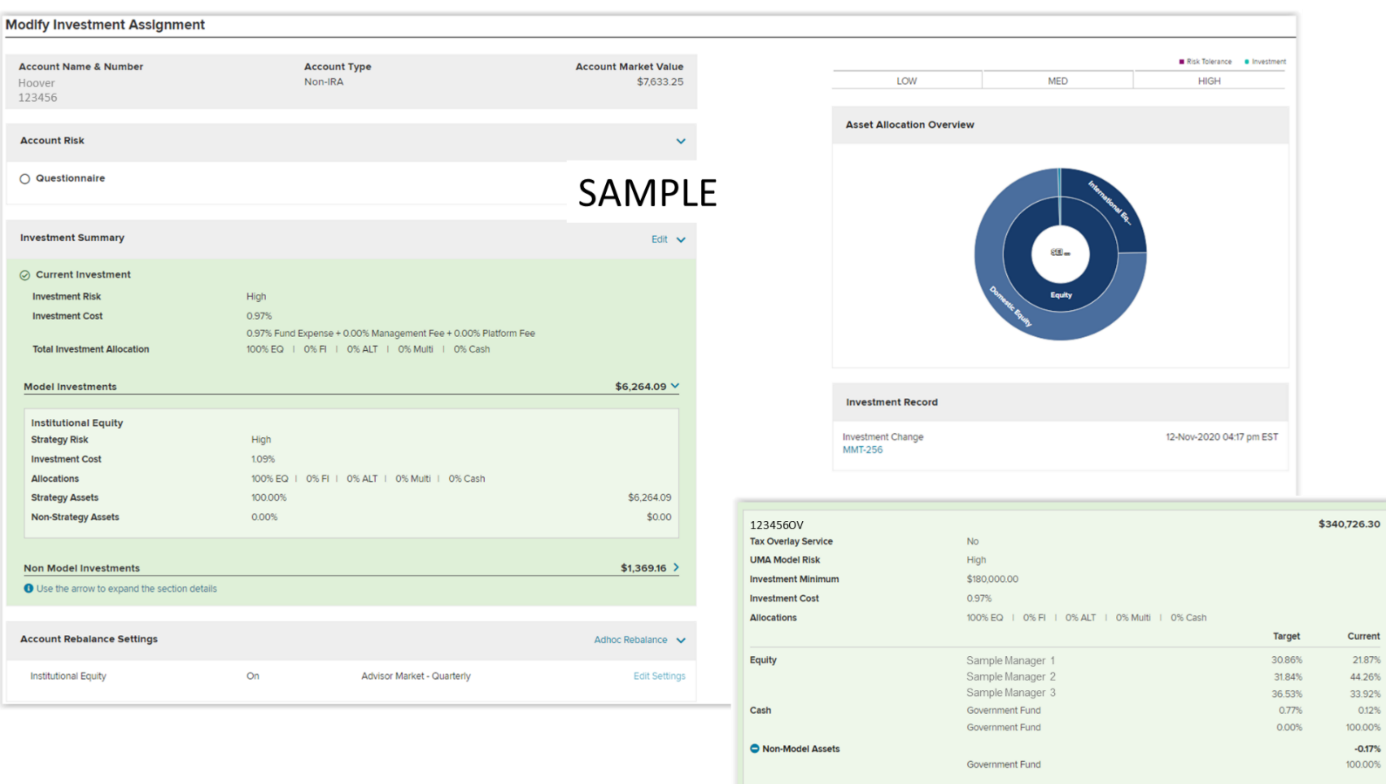
Modify Investment Assignment Overview

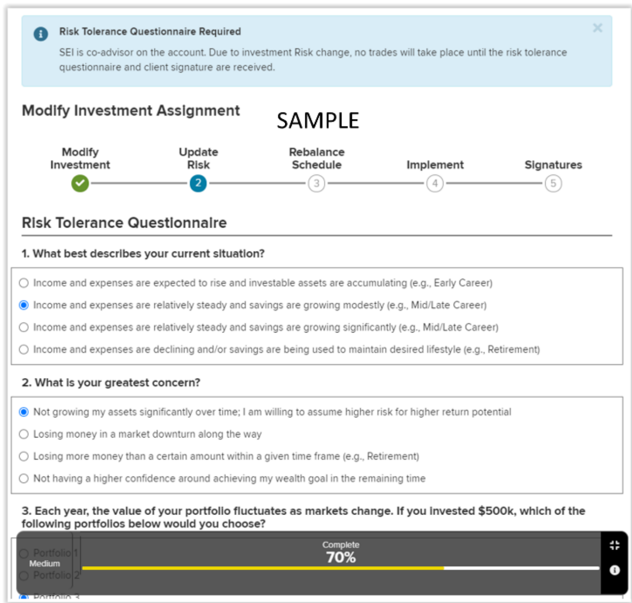
1. Displays **Account Name & Number**, **Account Type**, and **Account Market Value**. An Activity ID will also display when the strategy is going through a change.
2. **Account Risk** will display the current Risk Tolerance Questionnaire (RTQ); however, this will only apply to new RTQs added through 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** 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 on or off rebalancing for appropriate strategies. **Adhoc Rebalance** will rebalance one or all the strategies and UMA models on the account.
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.



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.

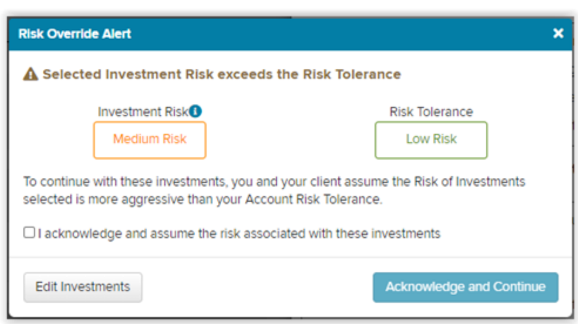
The **Risk Tolerance Questionnaire** is built into the Modify Investment Assignment workflow. The **Update Risk** workflow step will include the Risk Tolerance Questions and a Heads-Up Display provides the progress and risk.



Electronic Signatures are available within the **Signatures** workflow step. If you choose not to utilize electronic signatures, a print option is available. See the **Signatures** section below for more details.

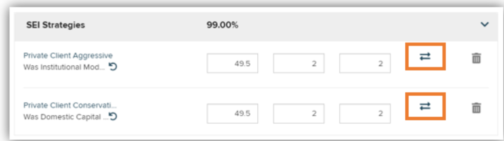
Please note that no trades will take place until the risk tolerance questionnaire and client signature are received.

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.

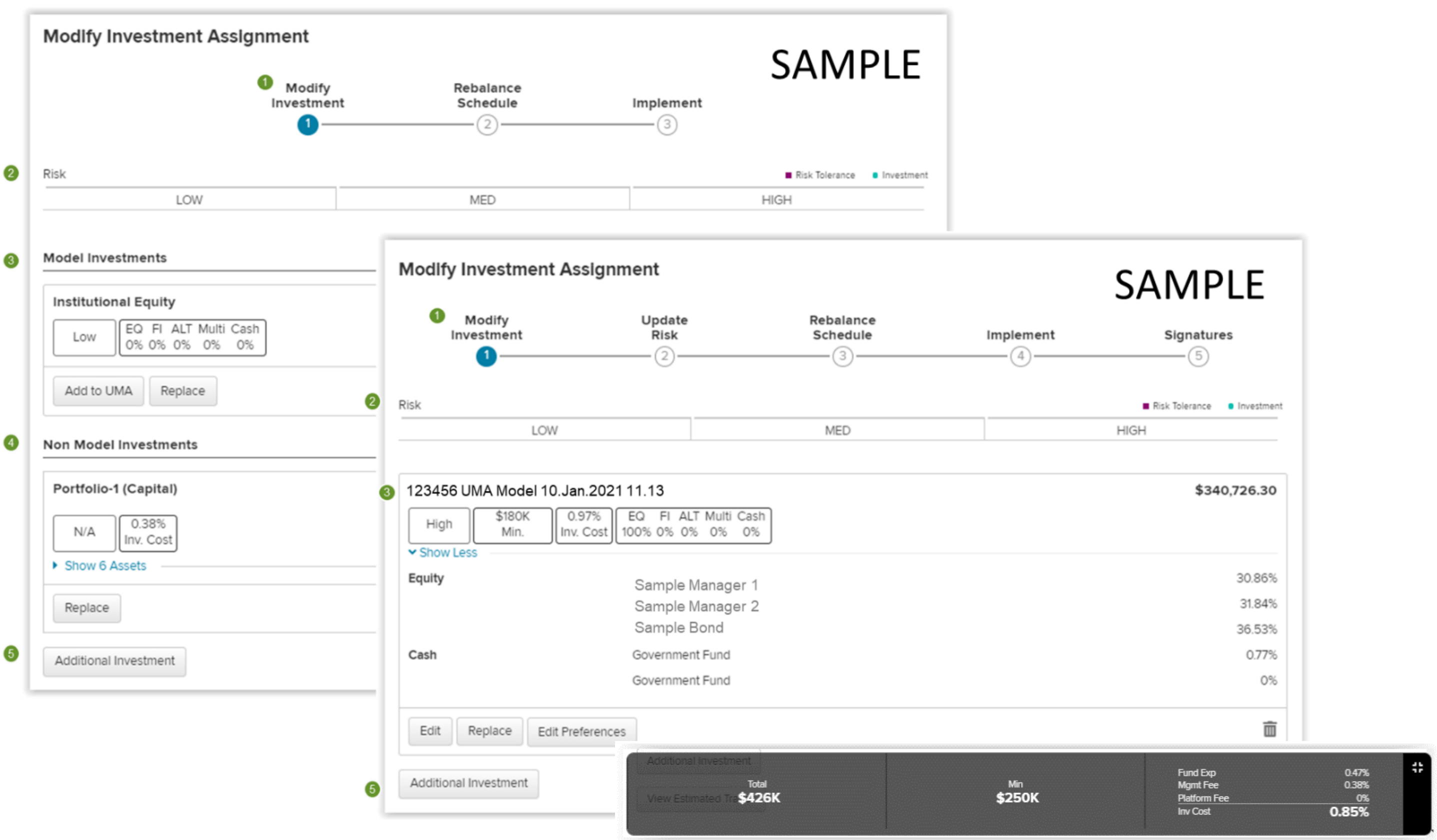


Investment Summary - Edit

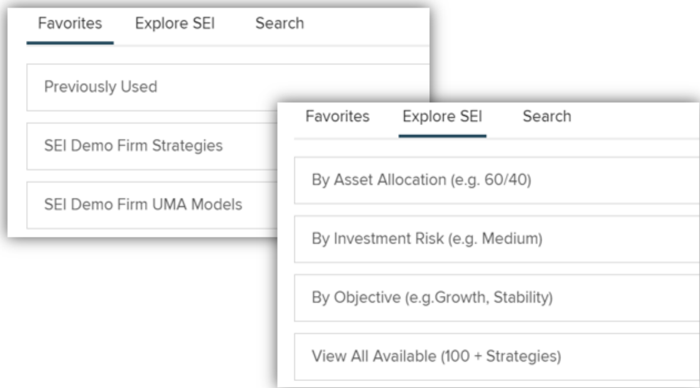
1. **Modify Investment Assignment Workflow** will display the steps needed to complete the assignment. Example below includes a Custody Only account and a Managed Account Solutions account.
2. **Risk** indication chart displays the Risk Tolerance and current Investment risk.
3. **Model Investments**
   - **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. Within **Edit**, when editing a non-managed UMA Model, you have the ability to swap one strategy for another using the **Investment Swap**



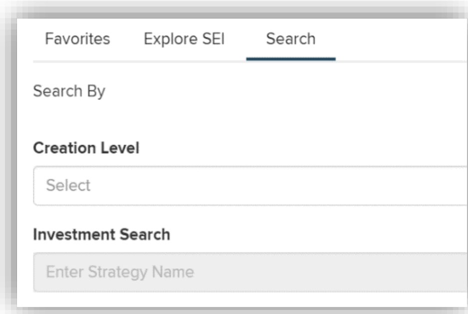
   - **Replace** will allow you to replace the existing strategy with a different strategy. Replace is also used to move from a Managed Account Solutions product to a Mutual Fund Implementation and vice versa
   - **Edit Preferences** will allow you to assign State Preferences for Bonds.
   - **Trash Can** will allow you to delete the strategy and either hold the assets or move to cash
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.



The **Replace**, and **Additional Investment** buttons will display the **Favorites, Explore SEI,** and **Search** 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.



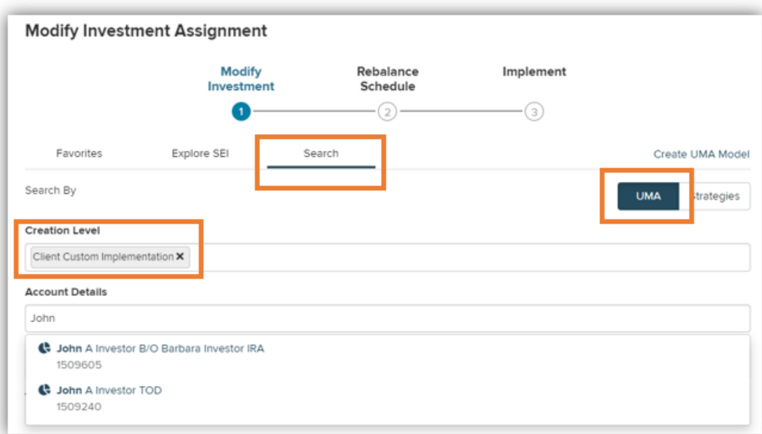
The **Search** tab allows you to create a template of a UMA Model allocation that is currently assigned to an account and apply it to another account.



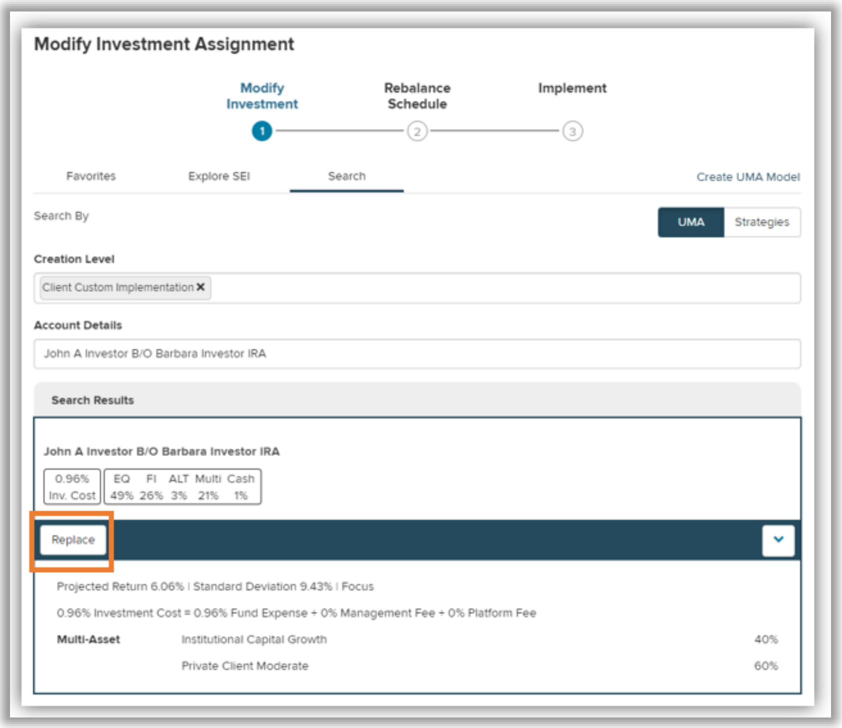
Click on the **Search** Tab.

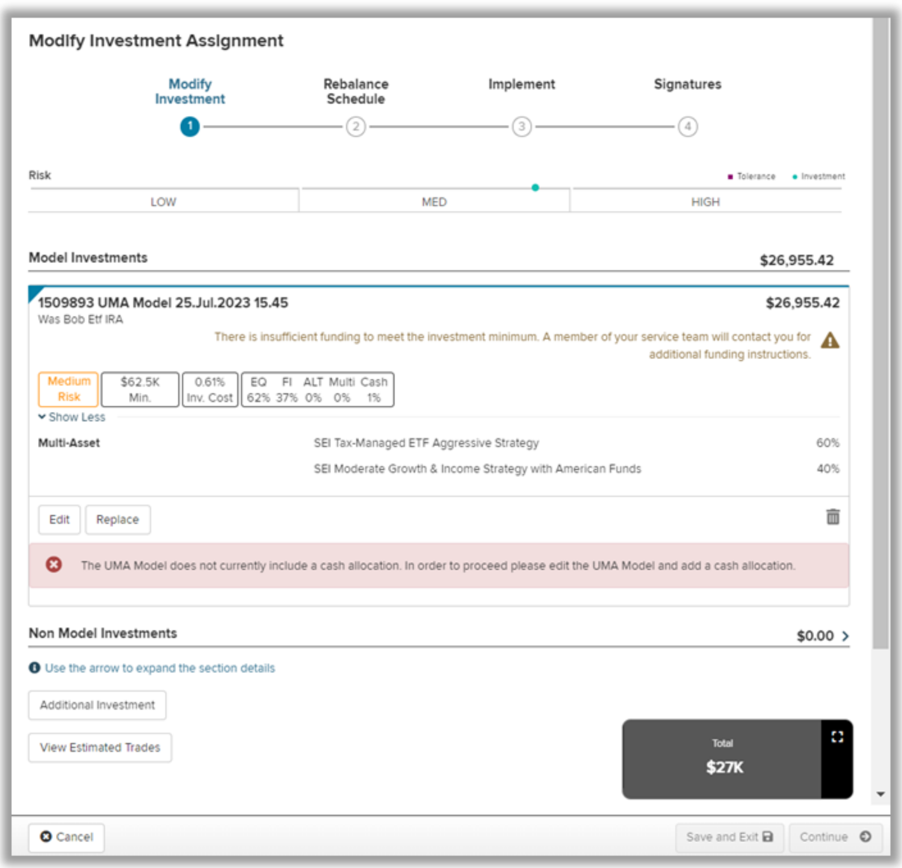
Creation Level: Select Client Custom Implementation

Account Details: Search for another account number or name that has a UMA Model allocation that you would like to use as a template.



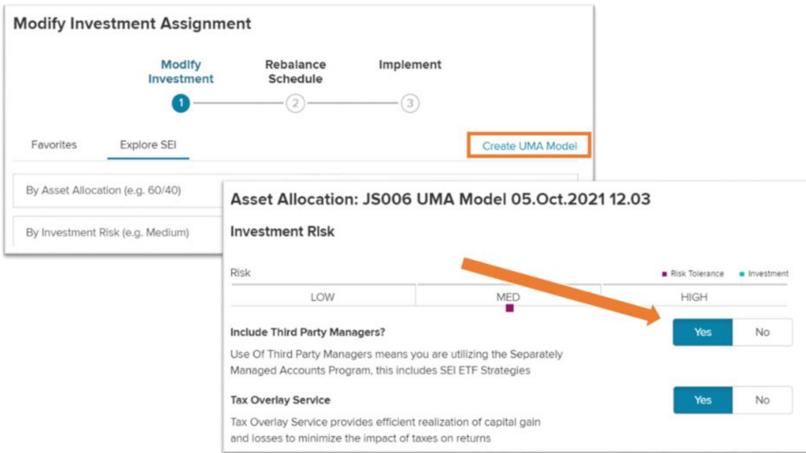
After selecting the account that you want to use as a template, select **Replace.**





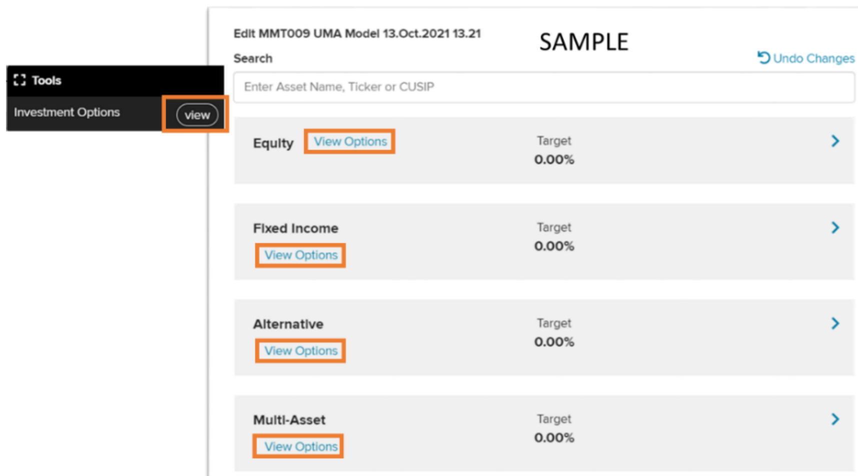
The investment summary will show the UMA Model Allocation. The user can edit the allocation to make changes or continue.

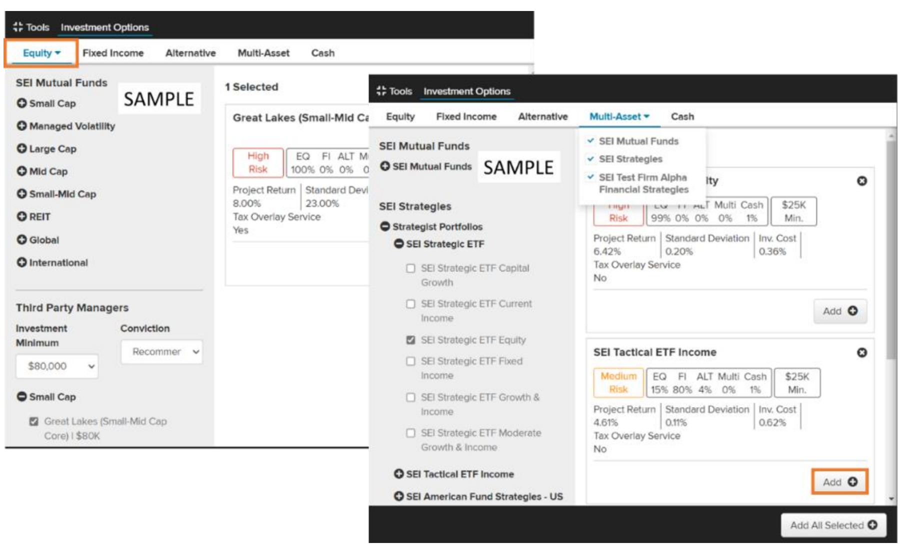
*Please note if the UMA Model allocation does not contain an allocation to cash, the user will be required to add a minimum of 1.00% before proceeding.



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.**

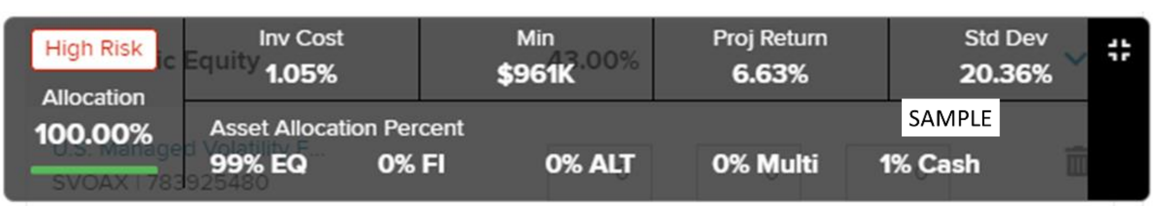
The **Edit** button will allow you to add, remove, or modify the assets, strategies, or managers within the UMA model. You can simply update targets within the allocation or select **View** or **View Options** to find new investments to add to the allocation. Selecting either of these buttons will open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





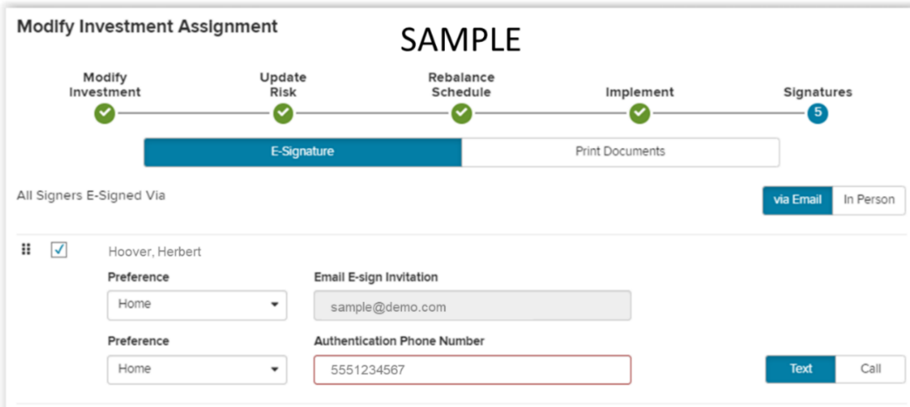
SEI assets, SEI Strategies, ETF Strategies, Managers, etc. can be found within the Asset Class tabs and by expanding the Sub Classification results.

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.

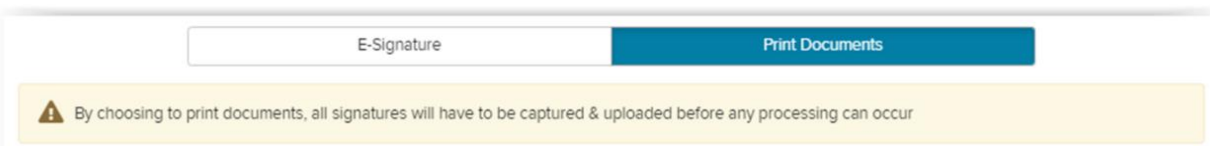


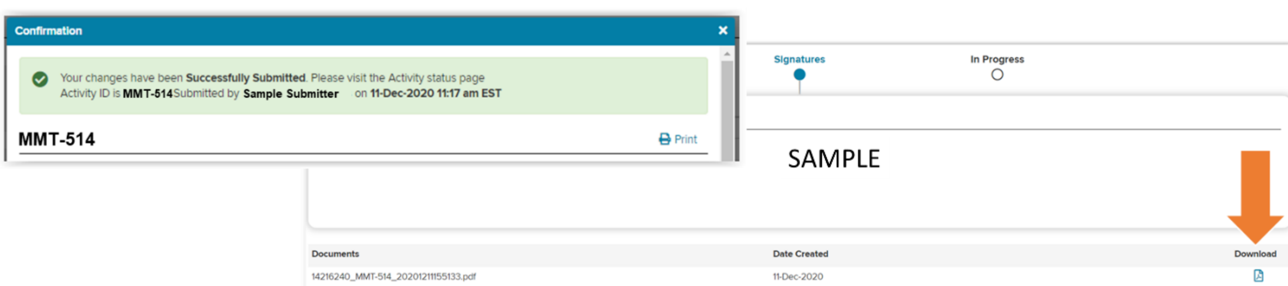
Signature

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.

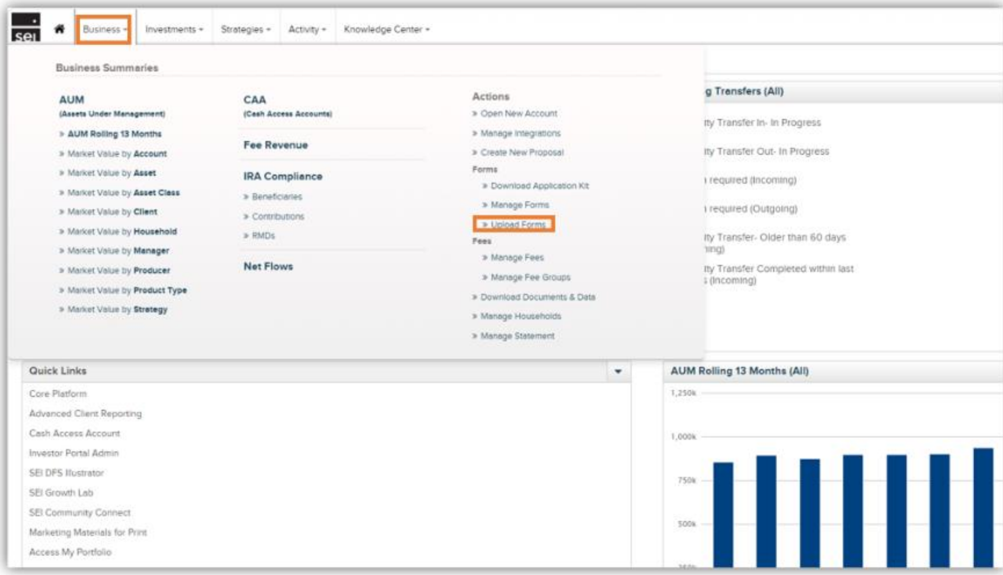


When electronic signatures are not used, the **Print Documents** option is available. When choosing the print documents option, all signatures will have to be captured & uploaded before any processing can occur. You will need to download the document provided on the **Activity Status Signatures** page,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

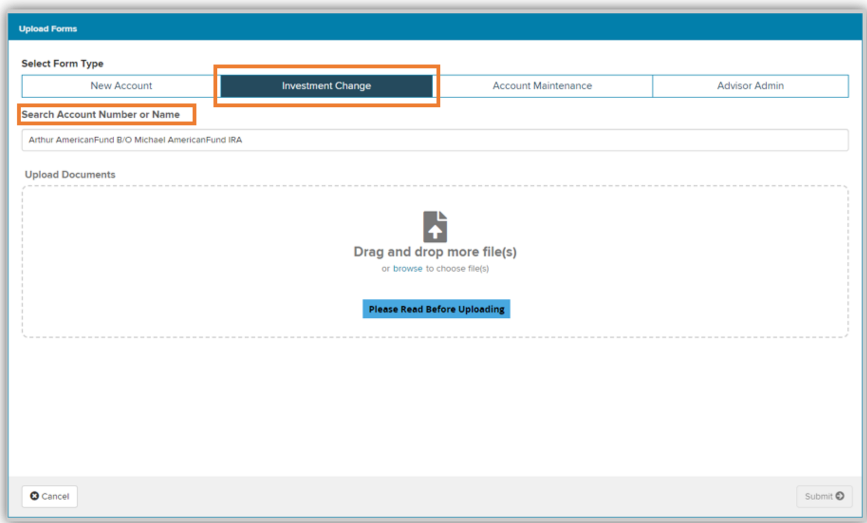




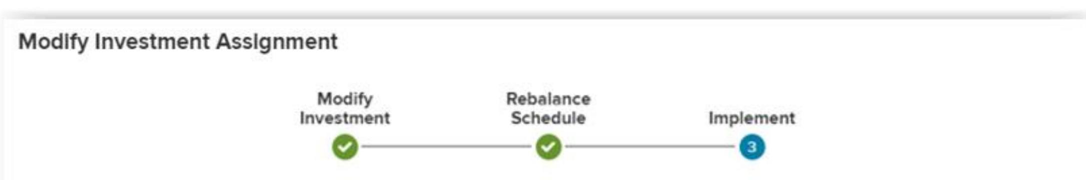
To upload your signed document, navigate to the **Business** tab on your SEI Advisor Center dashboard. From the drop down menu, under **Forms**, choose **Upload Forms**. Be sure you are choosing **Upload Forms** rather than Manage Forms to ensure your activity is completed successfully.



On the **Upload Forms** window, choose **Investment Change**, then search for the account using the **Account Number or Name.** Once the account is chosen, you'll be given the option to **Upload Documents**.

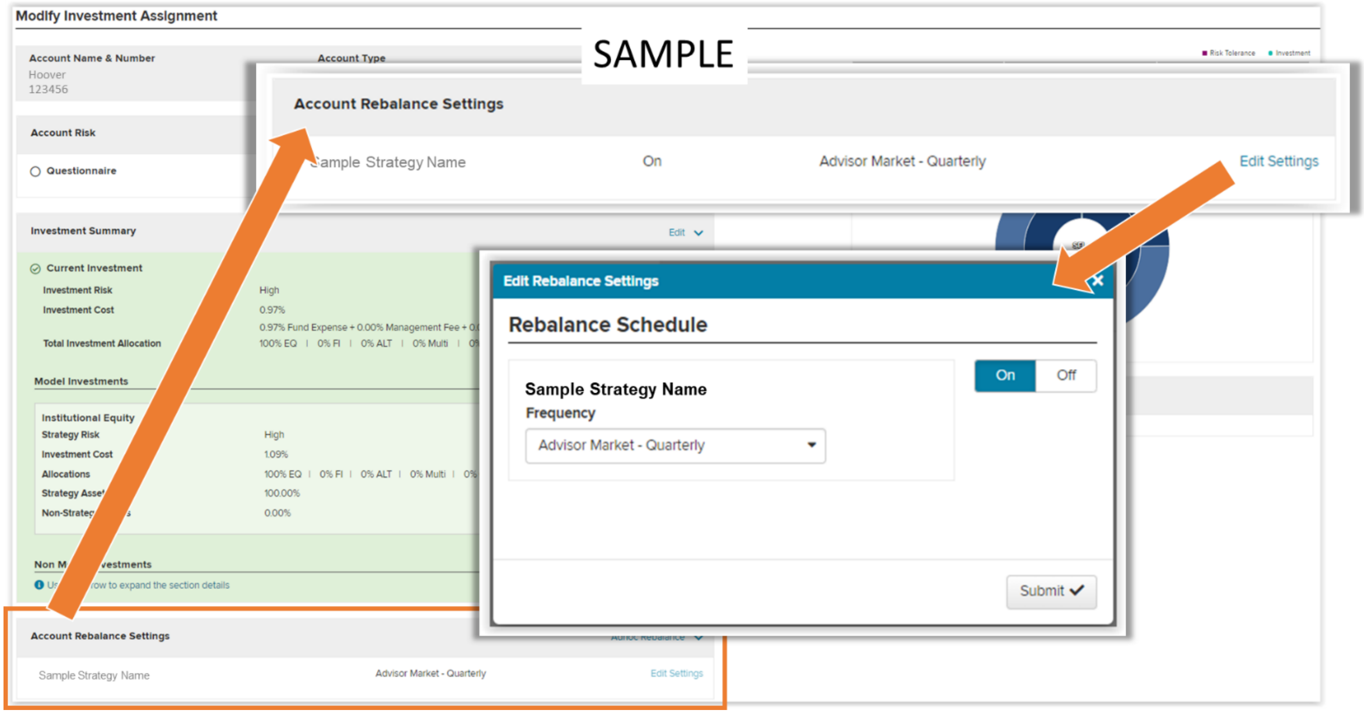


When client signatures are not needed, the **Signature** step in the workflow will not display and the modifications will occur when implemented.



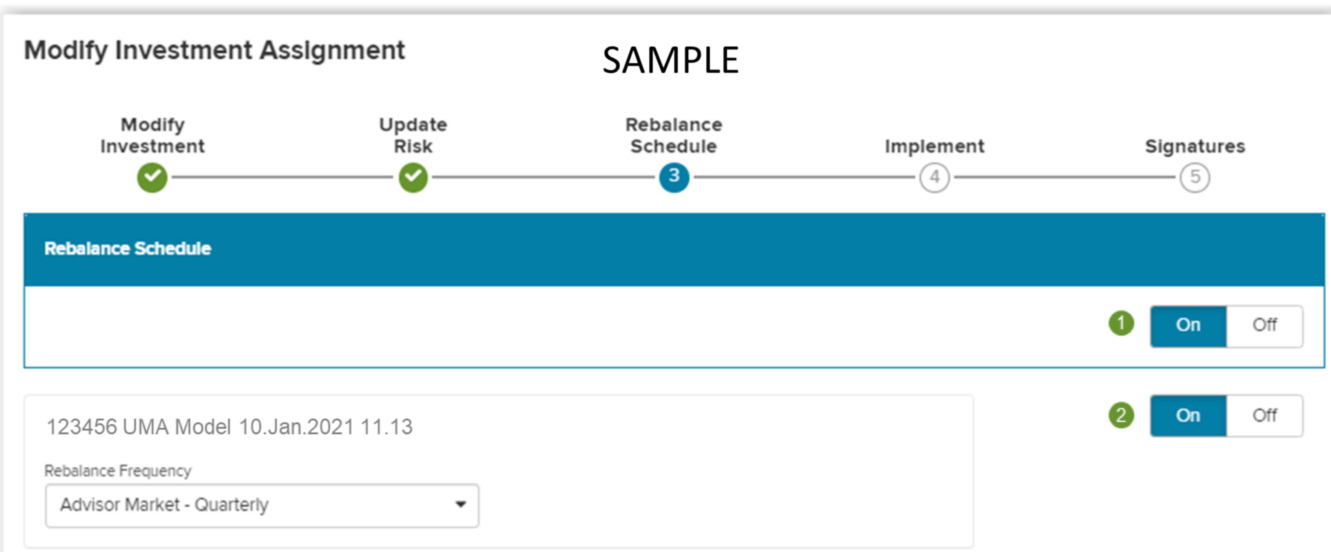
Account Rebalance Settings and Rebalance Schedule

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 an SEI strategy is unavailable.



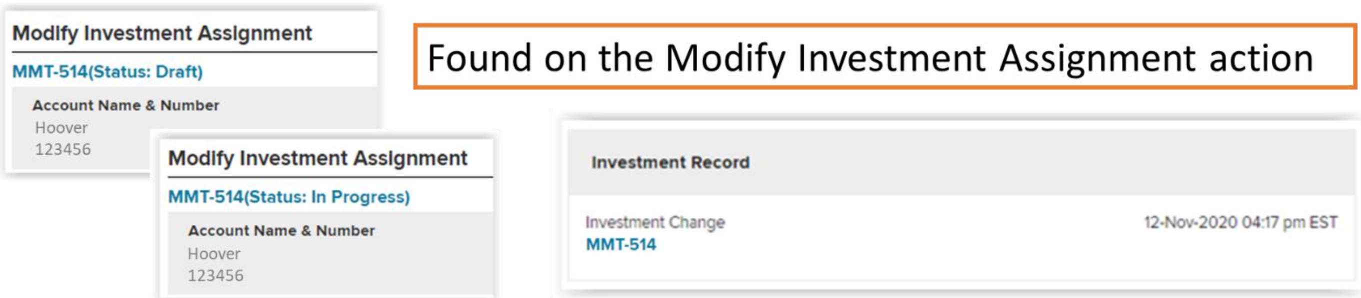
As a part of the **Modify Investment Assignment** workflow, there is a **Rebalance Schedule** step. This step in the workflow allows for turning **On** or **Off** the rebalance for the strategy.

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**

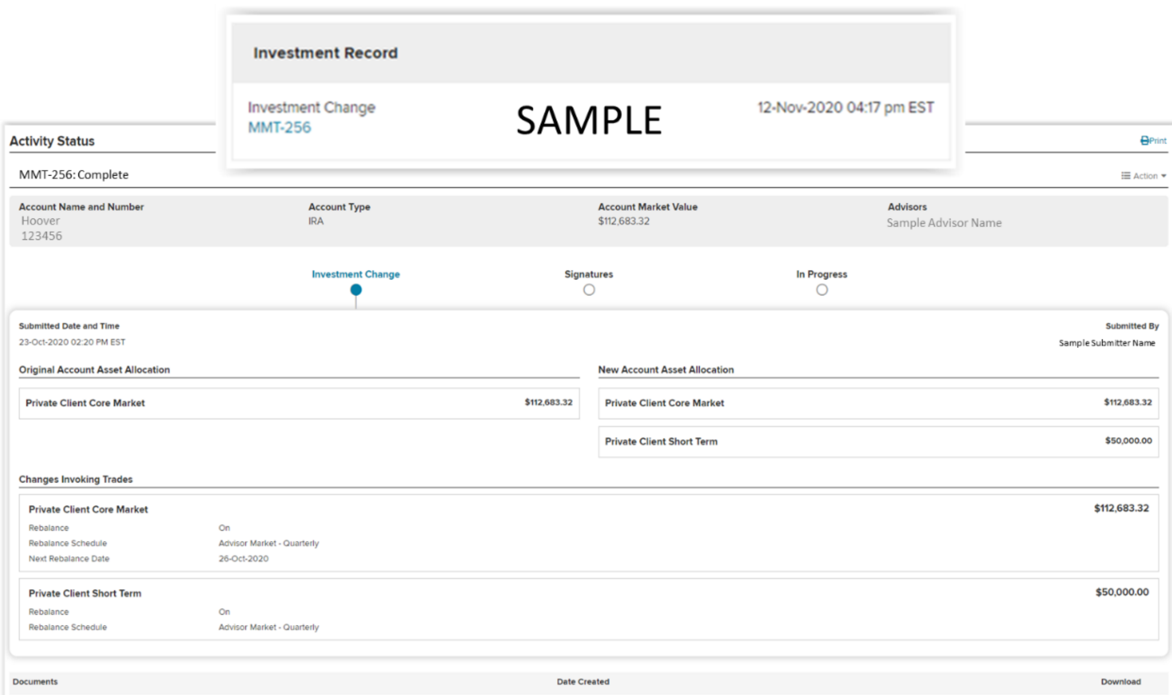


Investment Record and Activity IDs

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.



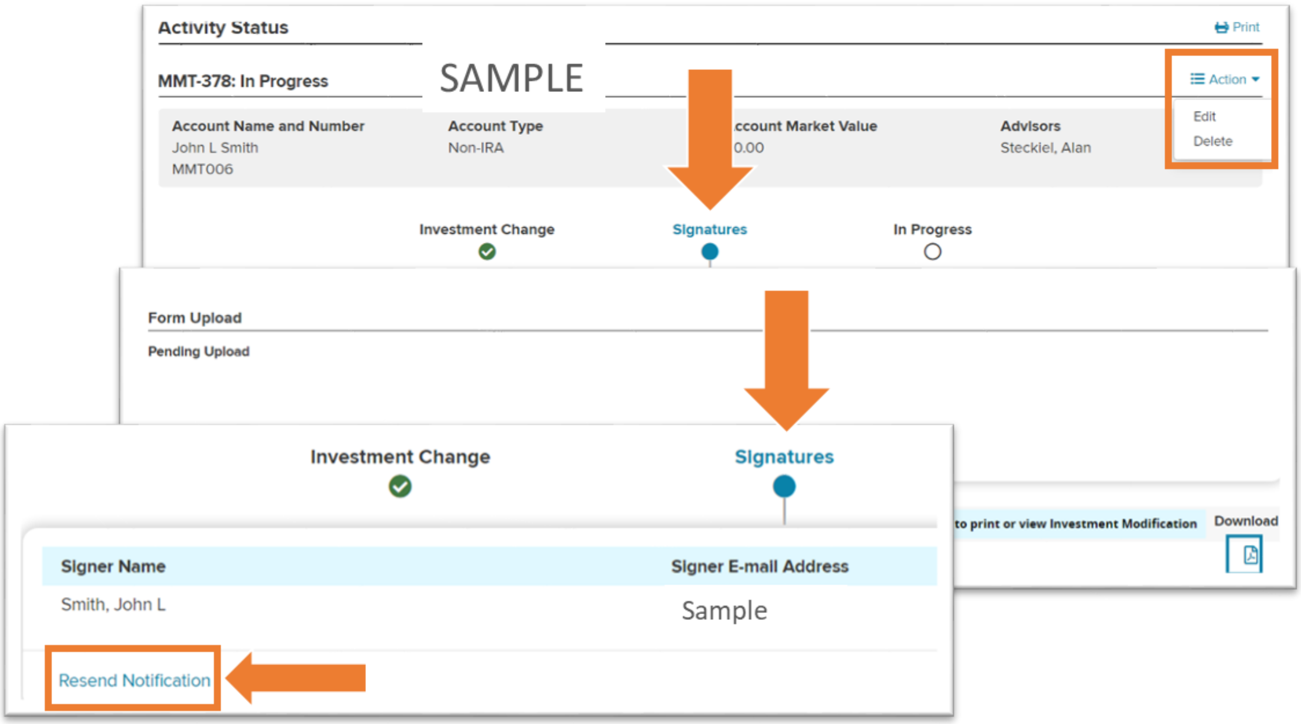
An **Activity Status** page is available to view when selecting the Activity ID. The **Activity Status** page will provide additional information regarding the **Investment Change**, the **Signature** status, and the **In Progress** status. A printable form is available to **Download** at the bottom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



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