

Pending Transfers.

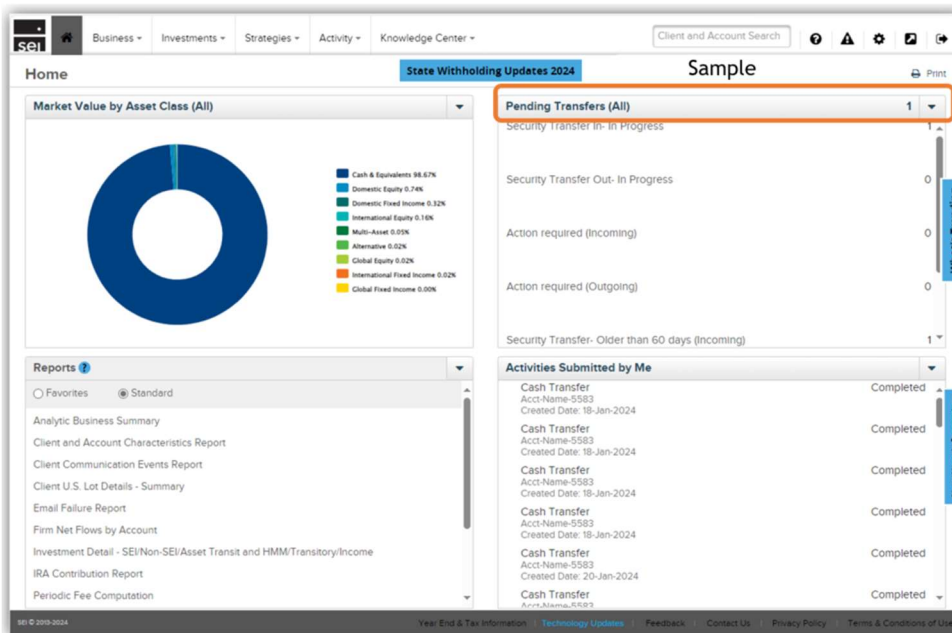


Overview

The **Pending Transfers Dashboard** provides transfer status, client and account information, estimated market values, counterparty details, transfer type, financial advisor, and notes pertaining to incoming and outgoing external transfers.

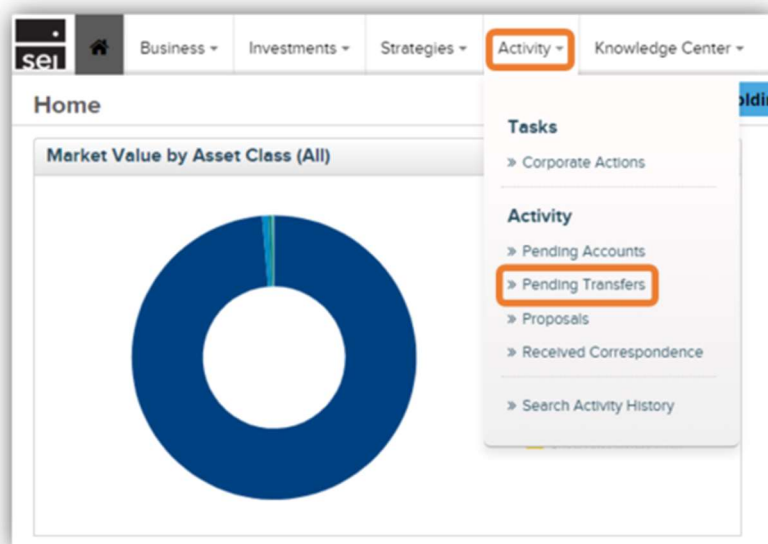
Navigating to the Pending Transfers Dashboard

The **Pending Transfers Dashboard** can be launched from either the **Pending Transfers** home page portlet, or from within the Activity dropdown, by selecting **Pending Transfers**.



The **Pending Transfers** home page portlet displays a summary of transfers in progress, items that require action, dated transfers, and recently completed transfers.

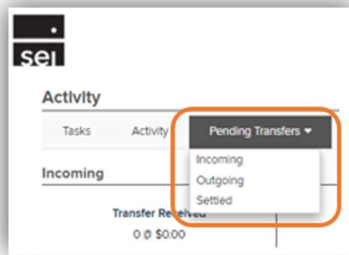
You can select the **Pending Transfers** header bar to be taken to the **Pending Transfers Dashboard**, or you can select any of the summary options to be taken to the Pending Transfers Dashboard filtered for that specific information.



Selecting **Pending Transfers** from the Activity dropdown will take you directly to the **Pending Transfers Dashboard**.

Pending Transfers Dashboard

The **Pending Transfers Dashboard** provides three different views for external asset transfers: **Incoming**, **Outgoing**, and **Settled**.



If you select the **Pending Transfers** header bar, or select **Pending Transfers** from the Activity dropdown, you'll be taken directly to the **Incoming** view. You can select a different view from the **Pending Transfers** dropdown.

Incoming

The **Incoming Transfer Dashboard** displays the status of incoming transfers being processed by the SEI Transfers Team from an external counterparty.

The **Status Summary Bar** will be displayed across the top of the dashboard.

| Incoming | | | | | | |
|---------------------------------|-------------------------------|--|--|---|---------------------------------------|------------------------|
| Transfer Received 0 @ \$0.00 | Action Required 0 @ \$0.00 | In Process - Submitted to Counterparty 0 @ \$0.00 | In Process - Received at Counterparty 1 @ \$24,067.75 | Settled - Awaiting Cost Basis 0 @ \$0.00 | Cost Basis Not Received 0 @ \$0.00 | Complete 0 @ \$0.00 |

Sample

Transfer Received: Total number of pending transfers and market value.

Action Required: Total number of pending transfers requiring action from the firm for the transfer to proceed. The notes field on the transfer would be used to communicate the issue.

In Process-Submitted to Counter Party: Total number of pending transfer requests that have been submitted to the Counterparty by the SEI Transfers Team.

In Process- Received at Counterparty: Total number of pending transfers for which the SEI Transfers Team has received a response from the Counterparty.

Settled- Awaiting Cost Basis: Total number of pending transfers for which the asset(s) has been received by SEI, and the SEI Transfers Team is awaiting the cost basis details from the Counterparty.

Cost Basis Not Received: Total number of transfers for which no cost basis information has been received for one or more assets in the transfer after 30 days. The transfer will be considered complete and will be shown in this section for 7 calendar days.

Complete: Transfers awaiting cost basis will be listed here once cost basis is received for all assets in the transfer. Transfers that are not awaiting cost basis will be listed here when all assets in the transfer have been settled. Completed transfers will be shown in this section for 7 calendar days following settlement.

You can click on each of the statuses in the **Status Summary Bar** to quickly filter for pending incoming transfers with that status.

Below the **Summary Bar** will be a table displaying all incoming transfers. You can use the Filters & Options feature to narrow down the listed transfers.

The table displays the Estimated Market Value, Counterparty Delivering Account Number, Transfer Type (ACAT or Non-ACAT), Status, Servicing Relationship, and Next Follow-Up Date for each pending incoming transfer.

| Filters & Options | | | | | | | Sample | | 1 Results \$24,067.75 | |
|--|------------------------|--|---------------|---------------------------------------|--|---------------------|--------|--|-------------------------|--|
| Description | Estimated Market Value | Counterparty Delivering Account Number | Transfer Type | Status | Servicing Relationship | Next Follow Up Date | | | | |
| Sample Client Name Sample Account Name & Number Days Old: 129 Last Follow Up: 10-Jul-2023 Most Recent Note: Monitoring for the cash to sweep from the liquidation. Notes | 2 @ \$24,067.75 | xxxxxxx A51 17 | ACAT | In Process - Received at Counterparty | Financial Advisor 1 - Sample Advisor Name | 17-Jul-2023 | | | | |

You can select **Notes** at the bottom of the Description for each transfer to view all notes from the SEI Transfers Team, as well as any responses from the servicing financial advisor's office.

The diagram illustrates the process of viewing account notes. On the left, a table description for a transfer is shown. The 'Notes' link at the bottom of the description is highlighted with an orange box. An orange arrow points from this box to a larger 'Account Notes' window on the right. This window displays a list of notes and actions related to the transfer, including:

- Notification: AI NONE** (12-Jul-2023 10:58 AM EDT): Monitoring for the cash to sweep from the liquidation.
- Action Required: F** (11-Jul-2023 10:10 AM EDT): Called TIAA with Allison to liquidate the TIAA 2055 Retirement Fund. It will be in cash tomorrow and will go out in the weekly sweep on Monday. Response Complete
- Action Required: Elits** (10-Jul-2023 1:56 PM EDT): SEI is unable to hold the 1838.352 shares of TIAA CREF Lifecycle 2055 Fund (CUSIP 87245M194), therefore they will be ineligible for transfer. Emailed the advisor.
- Notification: System Generated** (30-Jun-2023 6:35 AM EDT): The ACAT transfer has been received by the delivering counterparty and is now in process. Anticipated delivery is to allow 5-7 business days for the receipt of all assets/cash to be completed via Automated Customer Account Transfer Service (ACATS).
- Notification: System Generated** (29-Jun-2023 3:13 PM EDT): This transfer has been sent to the delivering counterparty via the Automated Customer Account Transfer Service (ACATS).
- Notification: System Generated** (29-Jun-2023 9:30 AM EDT): Transfer request has been received and the transfer is currently under review to be processed.

The 'Account Notes' window includes a 'Cancel' button and the word 'Sample' at the bottom.

You can also select the Client Name to view the full details of the transfer.

| Filters & Options | | | | | | | Sample | | 1 Results \$24,067.75 | |
|--|------------------------|--|---------------|---------------------------------------|--|---------------------|--------|--|-------------------------|--|
| Description | Estimated Market Value | Counterparty Delivering Account Number | Transfer Type | Status | Servicing Relationship | Next Follow Up Date | | | | |
| Sample Client Name Sample Account Name & Number Days Old: 129 Last Follow Up: 10-Jul-2023 Most Recent Note: Monitoring for the cash to sweep from the liquidation. Notes | 2 @ \$24,067.75 | xxxxxxx A51 17 | ACAT | In Process - Received at Counterparty | Financial Advisor 1 - Sample Advisor Name | 17-Jul-2023 | | | | |

This view will display the most recent note with a link to all notes, the status of the transfer, the total percentage of expected assets received, and a breakdown of the pending transfer by individual asset, to include any asset-specific notes.

Incoming
 ← Back to Pending Transfer: Incoming
 Pending Transfer: Sample Client Name | Sample Account Name | Account Number
 Sample

Most Recent Note
 07-12-2023 | Notes
 NONE Monitoring for the cash to sweep from the liquidation.

Status: In Process - Received at Counterparty
 Total Assets: 2

40%

Estimated Shares: 1,838
 Market Value: \$24,067.75

| Asset | Estimated Shares | Market Value | Method | Status |
|---|------------------|--------------|--------|----------------------------|
| TIAA CREF Lifecycle 2055 Fund CUSIP : 87245M194 , CUSIP : 87245M194 Notes No Notes Found | 1,838 | \$0.00 | ACAT | Open Progress: 0% |
| US Dollar CURRENCY : USD Notes No Notes Found | 0 | \$24,067.75 | ACAT | Complete Progress: 100% |

Action Required Status

If the status of a transfer is listed as **Action Required**, the details of the action needed to be taken will be found in the **Notes** for the transfer.

| Description | Estimated Market Value | Counterparty Delivering Account Number | Transfer Type | Status | Servicing Relationship | Next Follow Up Date |
|---|------------------------|--|---------------|-----------------|--|---------------------|
| Sample Client Name Acct-Name-8363 15 Portfolio-1 (Capital) Days Old: 97 Last Follow Up: 01-Nov-2023 Most Recent Note: Counterparty is still stating a 1035 exchange form is needed Emailed the advisor | 0 @ \$0.00 | xxxxxxx 10020 | Non-ACAT | Action Required | Financial Advisor 1 - Sample Advisor Name | 08-Nov-2023 |

Account Notes

Upload

Respond to Action Required...

Cancel Add Note

Notification: T [Avatar] 01-Nov-2023 3:57 PM EDT
Counterparty is still stating a 1035 exchange form is needed Emailed the advisor

Notification: T [Avatar] 30-Oct-2023 3:35 PM EDT
contacted counterparty on 10-25 we will follow up on 11-1 to check for an update they are going to re-review the paperwork

Action Required: N [Avatar] 23-Oct-2023 12:40 PM EDT
Emailed the advisor for an update

Notification: T [Avatar] 16-Oct-2023 1:10 PM EDT
received a call back and the counterparty stated we were given the wrong information for this type of policy they need a 1035 Exchange from Emailed the advisor

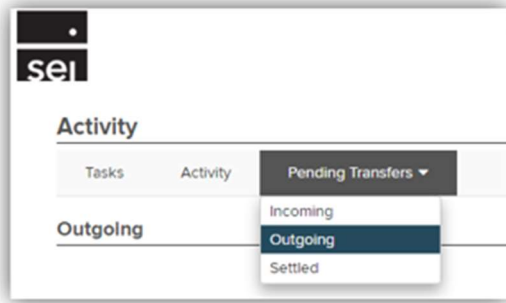
Notification: T [Avatar] 16-Oct-2023 12:40 PM EDT
Per counterparty this was approved and a check will go out within the next 7-10 business days SEI will monitor for receipt

Notification: T [Avatar] 09-Oct-2023 10:52 AM EDT
Per counterparty the paperwork that was resent was received on 9-28 associate is going to have the processing team check that paperwork to see if it is in good order. SEI will continue to follow up

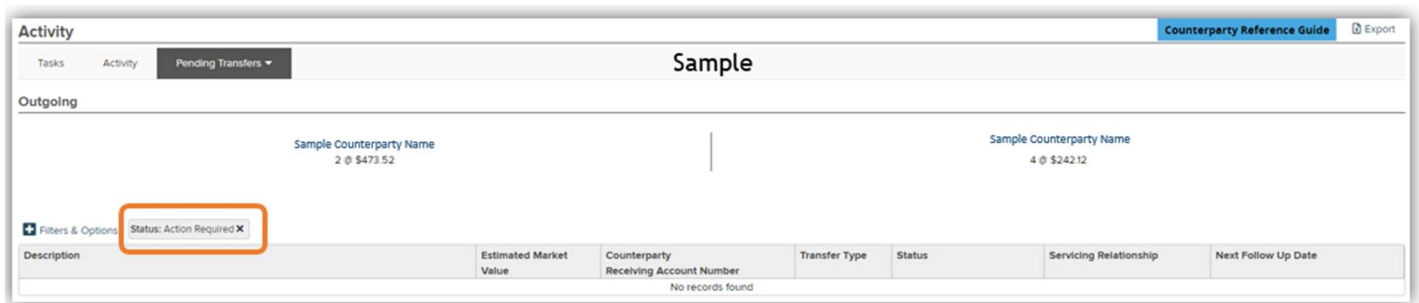
Cancel Save

The **Account Notes** screen will display the actions needed to be taken to proceed with the transfer. You can also add a response from this screen to communicate with the SEI Transfers Team, as well as upload any needed documentation, such as account statements for the delivering account.

Outgoing

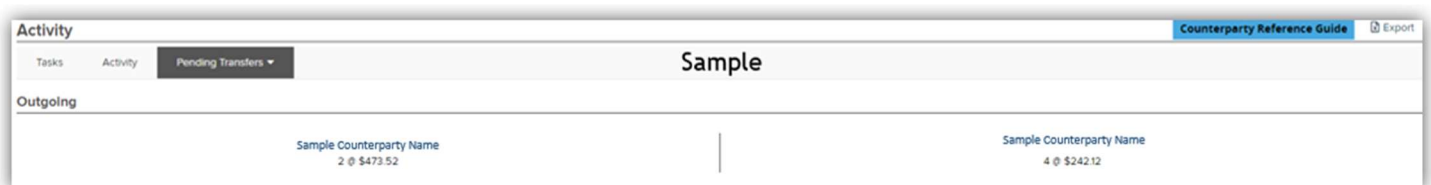


The **Outgoing Transfers Dashboard** displays all transfers in the process of being delivered to an external counterparty. The page will default to showing only transfers with a status of **Action Required**. You can view all active outgoing transfers by closing the **Action Required** filter.



The **Summary Bar** displays up to four counterparties with active transfers or transfers completed in the last seven calendar days. If you have outgoing transfers to more than four counterparties, the four with the largest dollar values will be the four displayed in the **Summary Bar**.

Beneath each counterparty name you'll find the number of pending (or recently completed) transfers to that counterparty along with the total value of those transfers. You can click on a counterparty name to filter the transfers for only that counterparty.



Below the **Summary Bar** will be a table displaying all outgoing transfers (if you have closed the Action Required filter). You can use the Filters & Options feature to narrow down the listed transfers.

The table displays the Estimated Market Value, Counterparty Receiving Account Number, Transfer Type (ACAT or Non-ACAT), Status, Servicing Relationship, and Next Follow-Up Date for each pending outgoing transfer.

| Description | Estimated Market Value | Counterparty Receiving Account Number | Transfer Type | Status | Servicing Relationship | Next Follow Up Date |
|--|------------------------|---------------------------------------|---------------|---------------------|----------------------------------|---------------------|
| <p>Sample Client Name Sample Account Name Sample Account Number Days Old: 66 Last Follow Up: 03-Nov-2023 Most Recent Note: The delivery request is now in process. Please allow 2-3 business days for the delivery of all assets/cash to be completed via the Automated Customer Account Transfer Service (ACATS). Notes</p> | 0 @ \$0.00 | Sample Counterparty Name 2444 | ACAT | Delivery In Process | Sample Financial Advisor Name | 07-Nov-2023 |
| <p>Sample Client Name Sample Account Name Sample Account Number Days Old: 66 Last Follow Up: 03-Nov-2023 Most Recent Note: A request for a delivery to another counterparty has been received via the Automated Customer Account Transfer Service (ACATS). Notes</p> | 1 @ \$87.33 | Sample Counterparty Name 244 | ACAT | Transfer Received | Sample Financial Advisor Name | 10-Nov-2023 |
| <p>Sample Client Name Sample Account Name Sample Account Number Days Old: 66 Last Follow Up: 03-Nov-2023 Most Recent Note: The delivery request is now in process. Please allow 2-3 business days for the delivery of all assets/cash to be completed via the Automated Customer Account Transfer Service (ACATS). Notes</p> | 0 @ \$0.00 | Sample Counterparty Name 239 | ACAT | Delivery In Process | Sample Financial Advisor Name | 07-Nov-2023 |

The statuses you may see for outgoing transfers are:

- **Transfer Received:** Transfers Received is the first status a transfer receives when the SEI Transfers Team enters the transfer.
- **Action Required:** Action Required is used when the transfer is not in good order and requires action from the firm for the transfer to proceed. **The notes field on the transfer would be used to communicate the issue just like incoming transfers.**
- **Delivery Submitted:** Delivery Submitted is used to indicate that the SEI Transfers Team has initiated the transfer with the counterparty.
- **Delivery Received:** Delivery Received indicates that the SEI Transfers Team has received acknowledgement from the counterparty of their transfer request.
- **Complete:** The record will show a Complete status when all assets in the transfer have been settled. Completed records will show within the Pending Transfer Dashboard for 7 calendar days following settlement.

To view the full details of the transfer, you can click on the client name.

| Description | Estimated Market Value | Counterparty Receiving Account Number | Transfer Type | Status | Servicing Relationship | Next Follow Up Date |
|--|------------------------|---------------------------------------|---------------|---------------------|-------------------------------|---------------------|
| Sample Client Name Sample Account Name Sample Account Number Days Old: 66 Last Follow Up: 03-Nov-2023 Most Recent Note: The delivery request is now in process. Please allow 2-3 business days for the delivery of all assets/cash to be completed via the Automated Customer Account Transfer Service (ACATS). Notes | 0 @ \$0.00 | Sample Counterparty Name 2444 | ACAT | Delivery In Process | Sample Financial Advisor Name | 07-Nov-2023 |

This view will display the most recent note with a link to all notes, the status of the transfer, the total percentage of assets that have been delivered to the counterparty, and a breakdown of the pending transfer by individual asset.


SEI
Sample

Outgoing

← Back to Pending Transfer: Outgoing

Pending Transfer: Sample Client Name | Sample Account Name | Sample Account Number

| Most Recent Note | Status | Total Assets |
|--|-------------------|--------------|
| 11-03-2023 System Generated A request for a delivery to another counterparty has been received via the Automated Customer Account Transfer Service (ACATS). Notes | Transfer Received | 1 |



0% 20% 100%

| Asset | Estimated Shares | Market Value | Method | Status |
|--------------------------|------------------|--------------|--------|--------|
| US Dollar CURRENCY : USD | 0 | \$8733 | ACAT | Open |

Notes No Notes Found

Market Value: \$87.33

Progress: 20%

Settled

Activity
Sample

Tasks Activity Pending Transfers ▾

Incoming

Outgoing

Settled

Transfer Received 4 @ \$926.01 Action 7 @ \$

The **Settled Dashboard** will display completed transfers and counterparty details. The page will default to show the last 12 months. To view a different date range, you can select Filters & Options and select a range that falls within the last 18 months.

SEI
Sample

Tasks Activity Pending Transfers ▾

Settled


Filters & Options Date Range: Last 12 Months X

Incoming Assets

Total Amount

\$69,988,271.02

Total Assets



Settled

Filters & Options Date Range: Last 12 Months X

Servicing Relationship

Servicing Relationship Search

Transfer Type

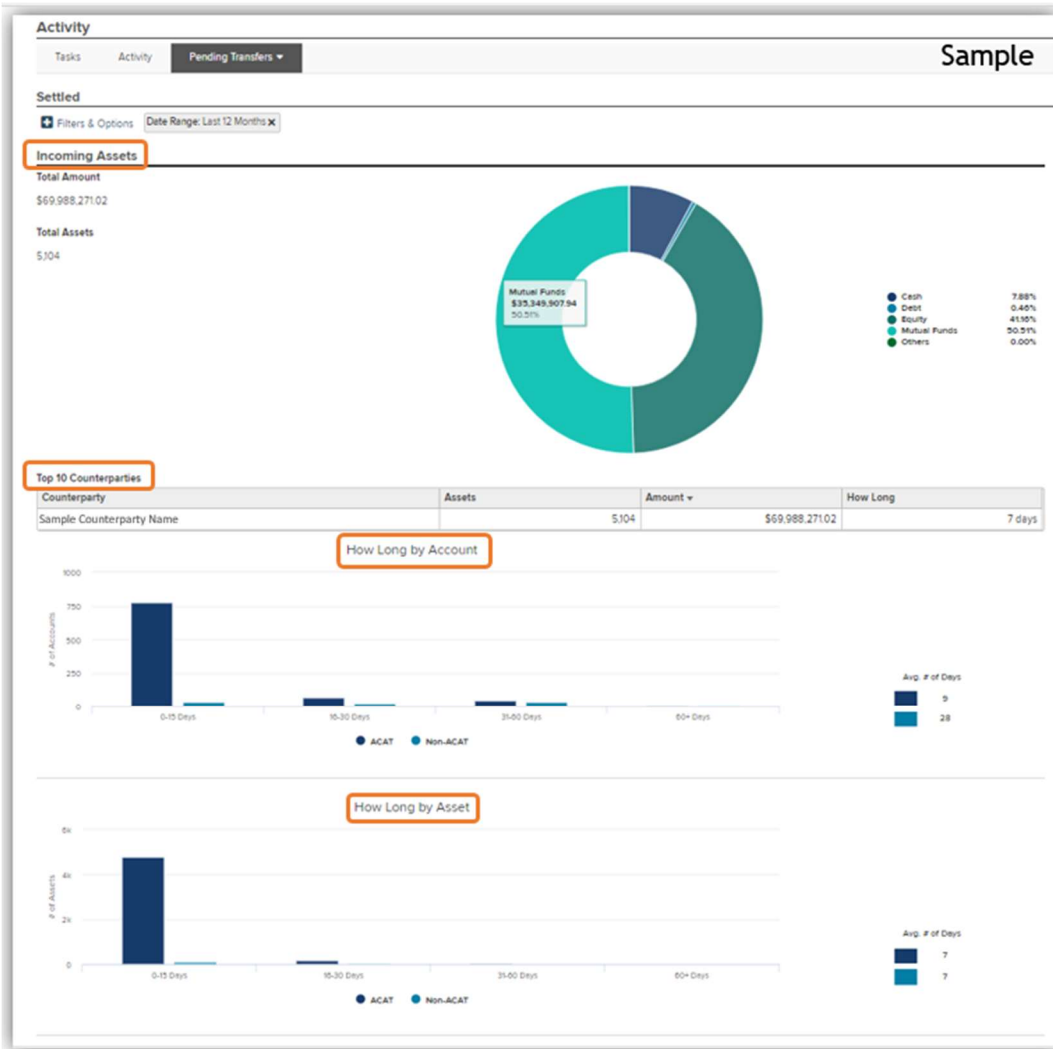
Select Value

Date Range

Please enter a range within the last 18 months.

Reset Filter

The left column displays the **Incoming** assets (Free Receipts) that have completed during the selected date range.

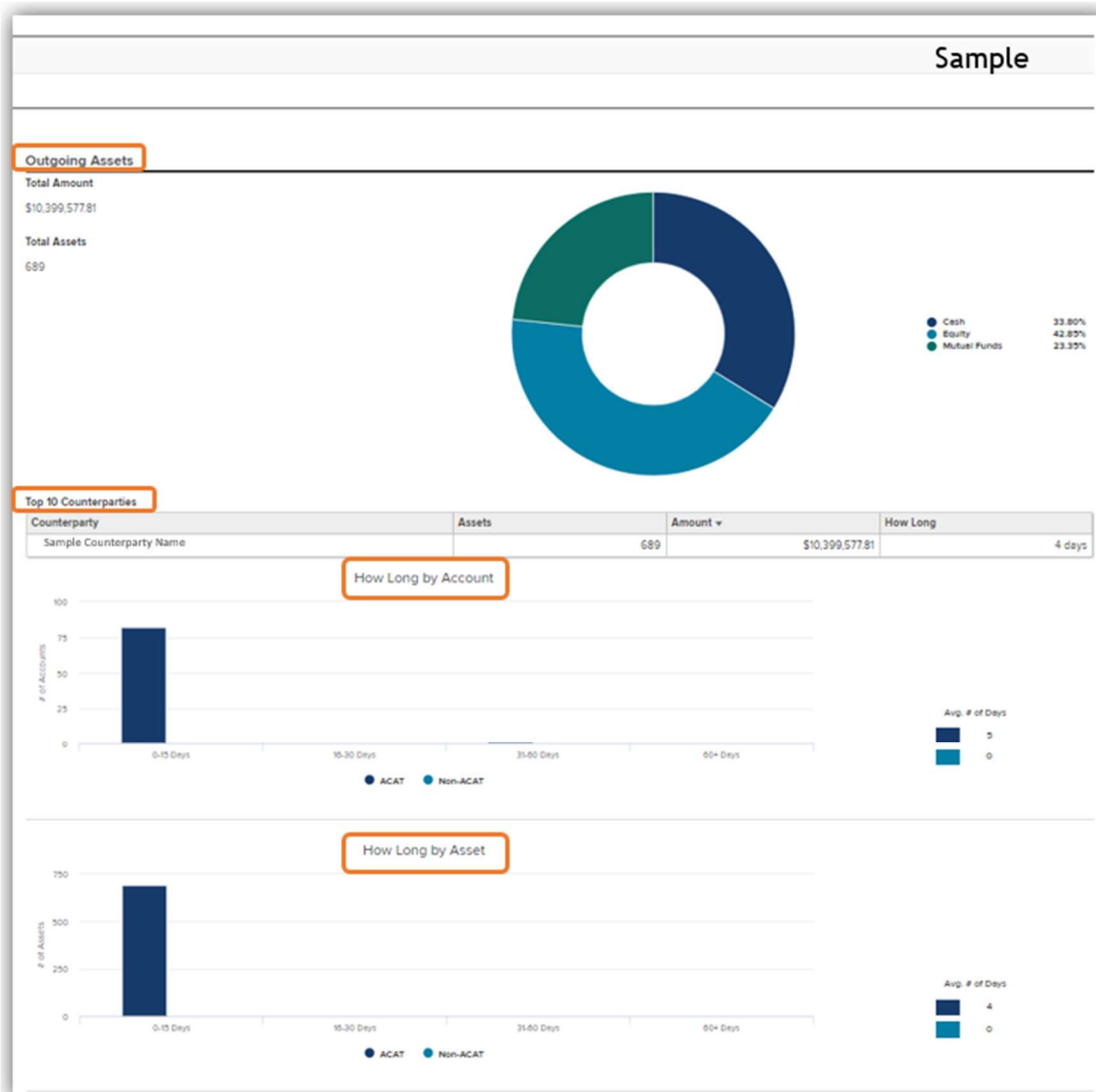


The top section displays the total value received, as well as the total number of assets received.

The center will show the top ten delivering counterparty names with the number of assets and total value of the assets received from that counterparty, along with the average length of time it took for the transfers to complete.

The bottom section displays **How Long by Account** (the average number of accounts with completed incoming transfers within the listed time periods) and **How Long by Asset** (the average number of assets settled within the listed time periods). These values are further broken down by ACAT and Non-ACAT.

The right column displays the **Outgoing** assets (Free Deliveries) that have completed during the selected date range.



The top section displays the total value delivered, as well as the total number of assets delivered.

The center will show the top ten receiving counterparty names with the number of assets and total value of the assets delivered to that counterparty, along with the average length of time it took for the transfers to complete.

The bottom section displays **How Long by Account** (the average number of accounts with completed outgoing transfers within the listed time periods) and **How Long by Asset** (the average number of assets delivered within the listed time periods). These values are further broken down by ACAT and Non-ACAT.

Items of Note

The completed transfer information is based on the processing date which SEI received the request.

Completed transfers are still included when cost basis may not have been received, but the asset(s) have settled in the client account.