ADVISOR TECHNOLOGY

Proposal Builder.

Create personalized proposals quickly and easily

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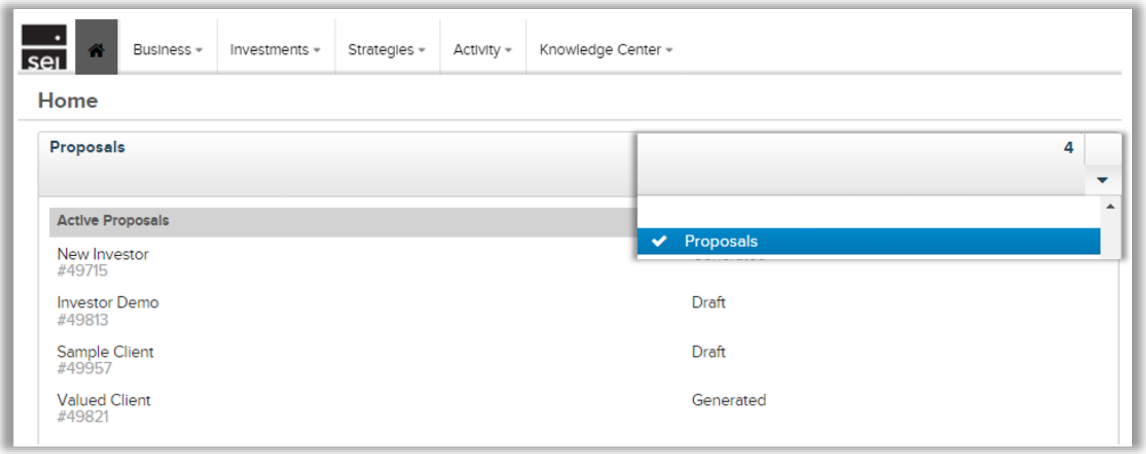
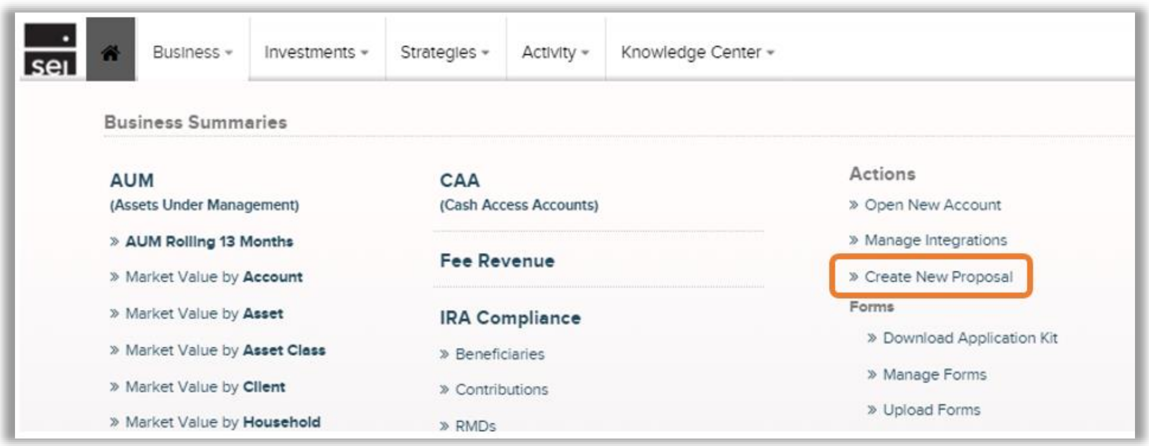
Access

There are three places to access Proposal within the SEI Wealth Platform:

Proposals portlet: On the Home screen of SEI Advisor Center, select any of the four drop down carrots and choose **Proposals** from the drop down list. This is a high-level view of any active proposals you are currently working on. You will see the total number of proposals, proposal name along with proposal ID number, and status. You can select on the Proposals header to open up the full dashboard or select any proposal from the list to access that proposal.

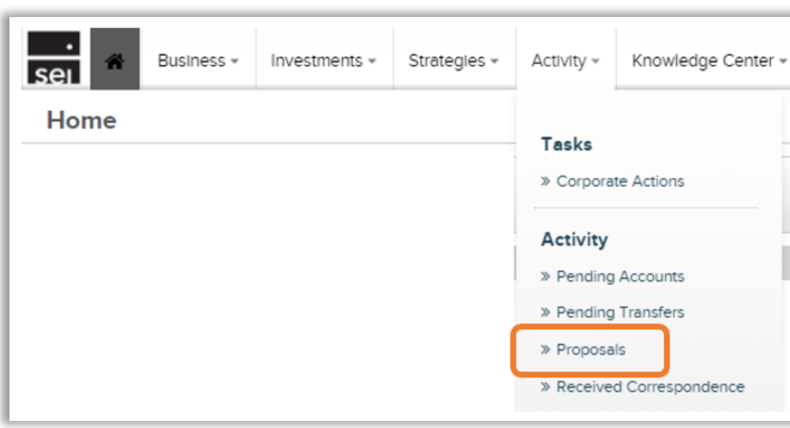


Business Menu: From the **Business** menu Actions, select **Create New Proposal**.



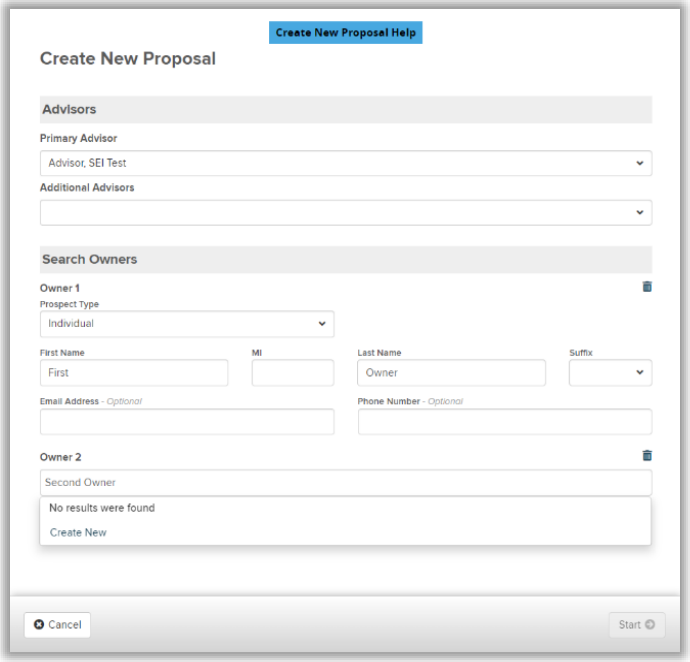
Activity Menu: Select **Activity** and then **Proposals** from the drop down list. This link will take you to the proposal dashboard where you will have the option to view and edit existing proposals or create a new one.

The proposal dashboard will be covered later in this guide.



Create New Proposal

Select **Create New Proposal** under Actions from the Business menu.



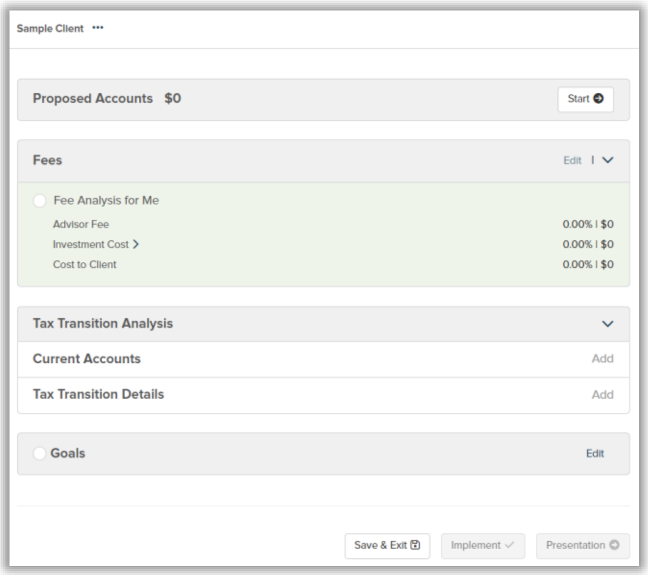
Advisors: Select the **Primary Advisor** and add an additional advisor(s) if applicable.

Search Owners: Start typing the prospect or clients name. Select the existing profile or **Create New** from the drop down.

Choose **Add Owners** to include additional owners in the proposal or use the trash can icon to remove owners.

Select **Start**.

Checklist



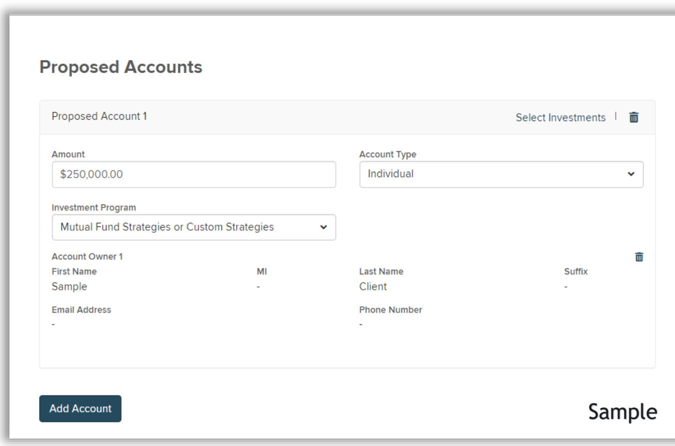
The checklist is where you will propose accounts, analyze advisor and investment cost, add current account data, conduct a tax impact, and add goals.

At this point you can **Save & Exit**. You can access the draft from the Proposals Dashboard, which we will cover later in this guide.

Proposed Accounts: **Select Start.** Fill in the proposed amount of the account and select the account type. This guide will take you through an individual account.

Select from one of 4 investment programs. If you are unsure which investment program to select please reach out to our sales or service team.

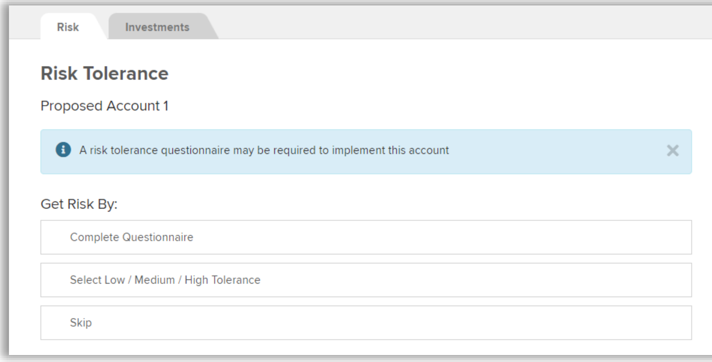
- Mutual Fund Strategies and Custom Strategies
- Managed Account Solution
- Distribution Focused Strategies
- Custom High Net Worth Strategies



Select the account owner and **Add Account**(s) if applicable.

Select Investments:

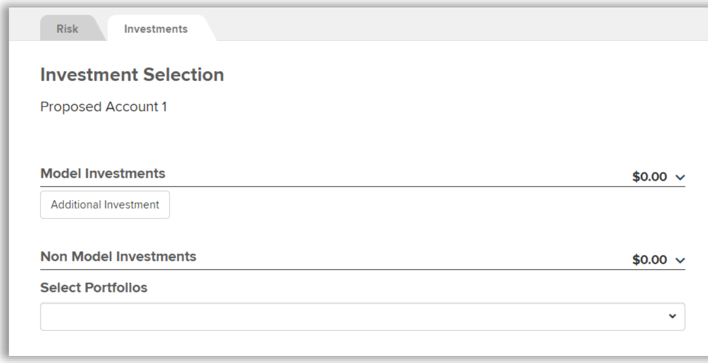
Risk Tolerance



You have 3 ways to choose to get risk:

- **Complete Questionnaire** – Complete 10 questions to calculate risk
- **Select Low / Medium / High** – Choose risk level. Use this approach to quickly translate output from 3rd party risk tools
- **Skip** – You can skip risk altogether

Investments



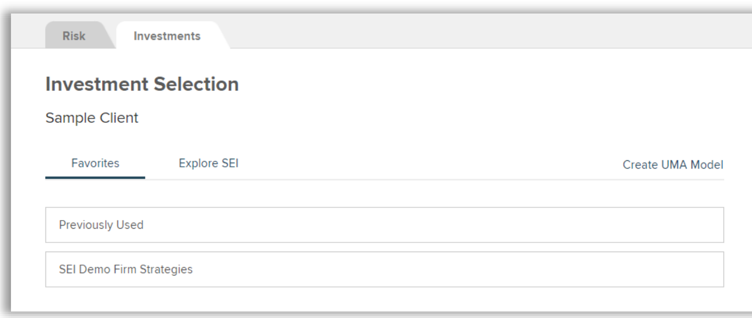
- **Model Investments** – Select Additional Investment

- **Non Model Investments** – Select the Portfolios drop down. Choose from Advisor Guided, Asset Transit, Client Directed, and Holding Money Market. The available options will vary based on Investment Program and broker dealer rules.

Investment Selection

Once you select Additional Investment you are brought to the Investment Selection screen. There are 2 ways to search for models: Favorites and Explore SEI.

Favorites:



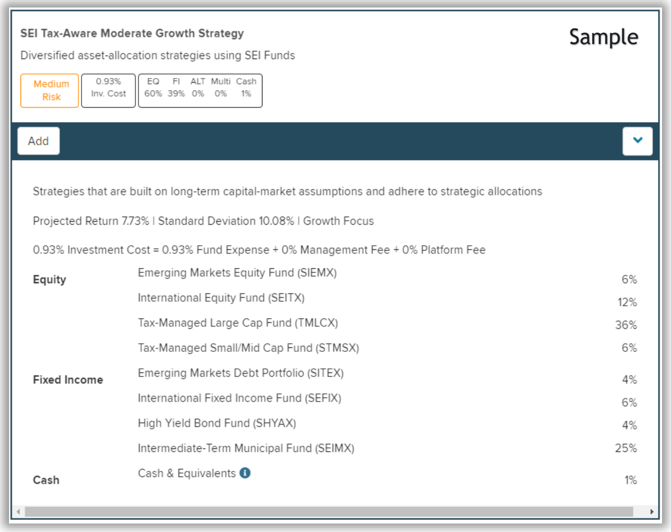
- **Previously Used** - Will populate over time as Proposal Builder learns your most frequently used models

- **Firm Strategies** – Firm created models will be available automatically after creation

Explore SEI: Filter and sort by one or more options.

- **Investment Program** – Options will vary and are based on your selection from the Proposed Accounts section
- **Target Funding Range** – Select a dollar range to ensure you're presented with models for which the investment minimum can be met
- **Risk** – Select risk tolerance on the scale to sort results
- **Objective** – Select investment approach to sort results

The investments shown will match the criteria you have selected. Hover over the investment to **Add** the model to the proposed account or **Expand** to view investment details.

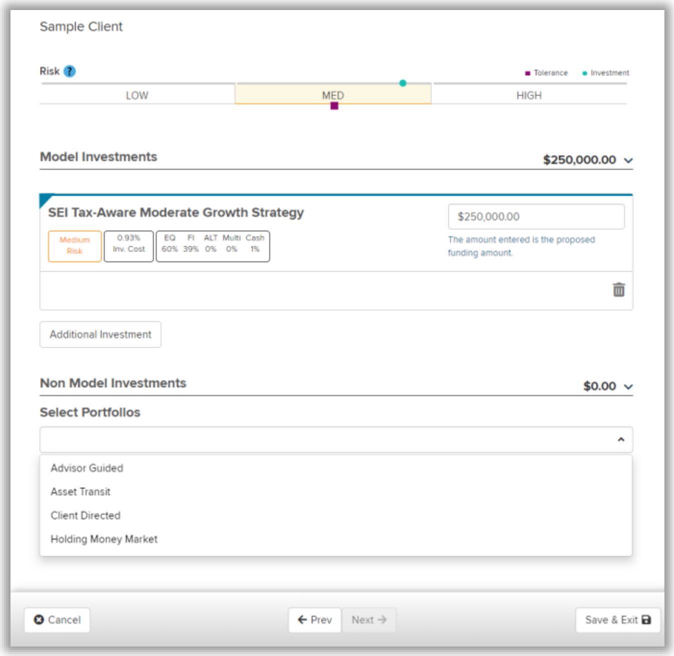


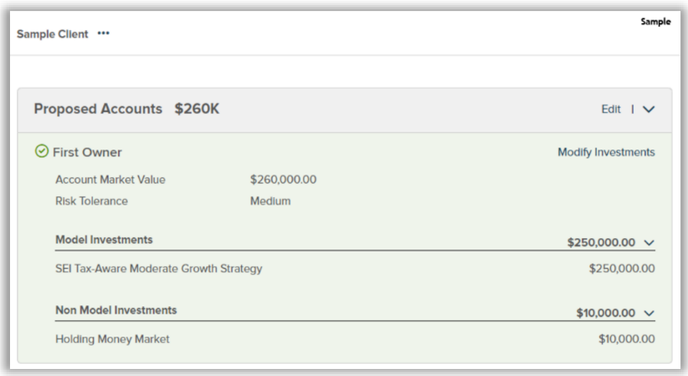
The investment details will provide: risk, investment cost, asset allocation, projected return, standard deviation, and holdings.

Once you **Add** the model investment you will be able to add an **Additional Investment**(s). You may also add Non Model Portfolios.

Enter the proposed funding amount next to each model and non-model investment you have added.

Save & Exit once you have added all of the proposed investments. Use the **Trash Can** icon to remove investments and select Prev to go back to the Risk Tolerance screen.

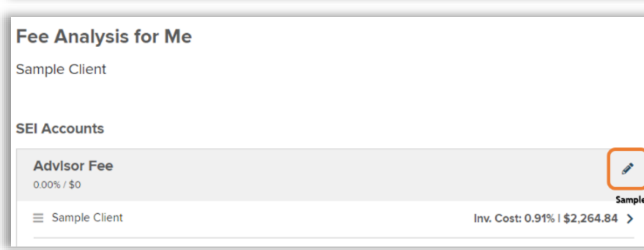




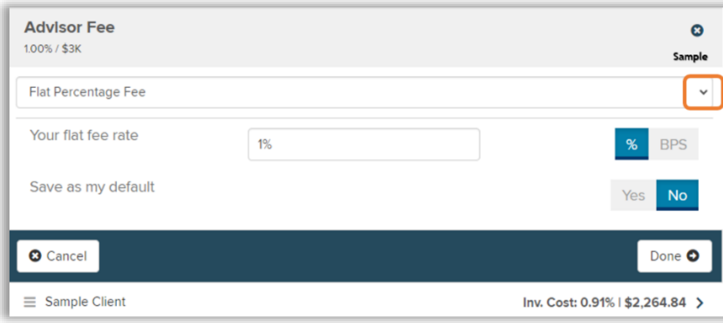
Fees

Fee Analysis for Me: This feature allows you to view all details related to Advisor Fees and Investment Cost (Fund Expenses + Management Fees + Platform Fees). To assign an advisor fee select **Edit**.

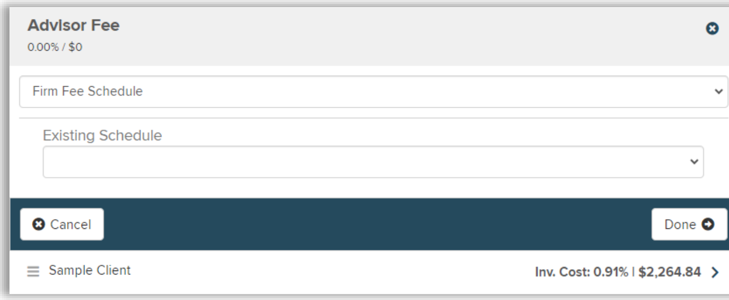
By default you will see an Advisor Fee of 0%. Select the **Pencil** to edit the advisory fee.



Flat Fee - Enter the flat fee rate by either percentage or basis points and then select **Done**.

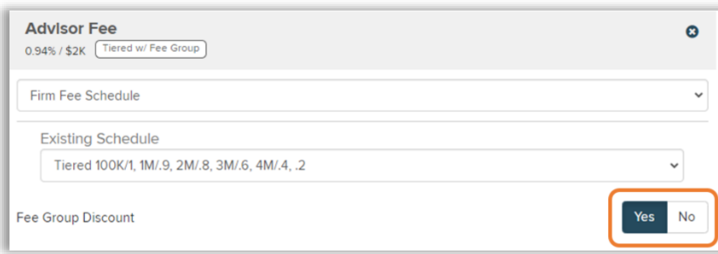


Firm Fee Schedule – Select the drop down and change to Firm Fee Schedule. Select from your firm's existing tiered or banded schedule(s).

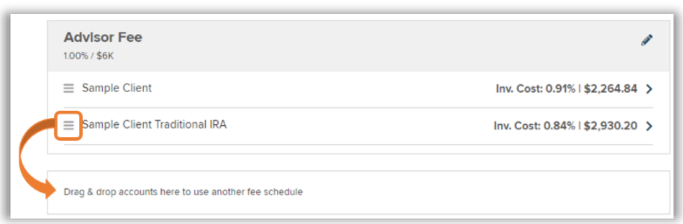


If you need to create a new Firm Fee Schedule, you can create one using the Manage Fees action from the Business menu. It will then be available for assignment within Proposal Builder automatically.

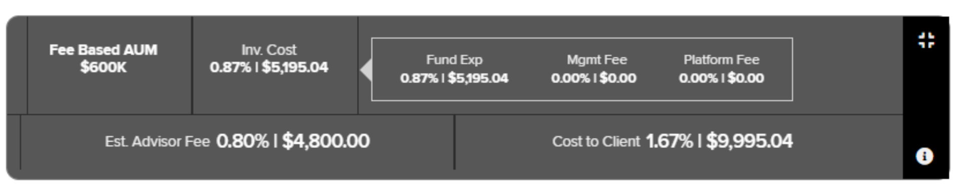
When selecting a tiered or banded firm fee schedule you have the option to select Yes for Fee Group Discount. By selecting Yes the Advisor Fee amount will be calculated based on the aggregate total of estimated funding values rather than by individual account.



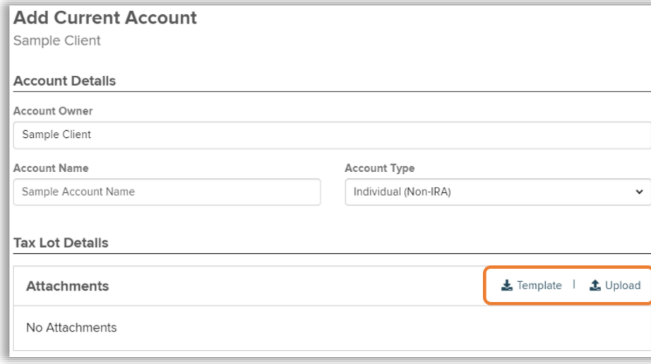
You can apply different fee schedules to each account by dragging an account to the drop box using the grip icon. An additional box labeled Advisor Fee 2 will appear.



The heads up display provides summary information on the Advisor Fee, Investment Cost and Cost to Client.



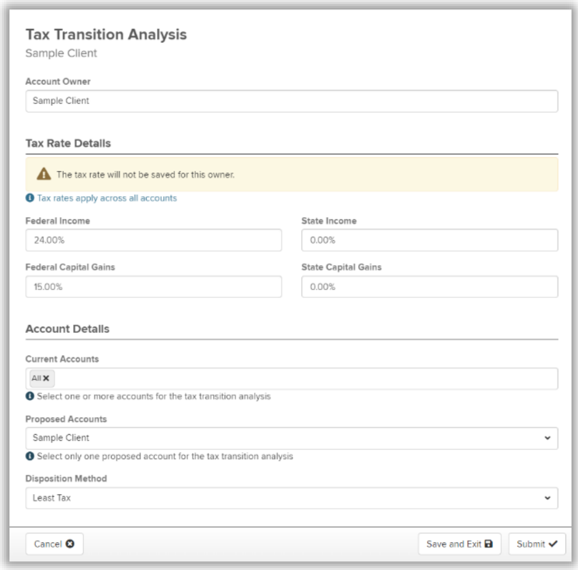
Current Accounts - Optional



Add your client's current taxable held away account so you can perform a tax transition analysis.

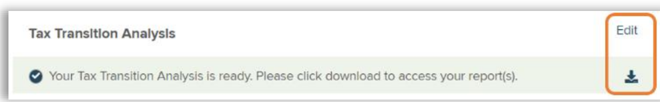
Upload an Excel file with your client's taxlot details. Select the **Template** for general instructions and to view the required Excel file fields.

Tax Transition Analysis - Optional

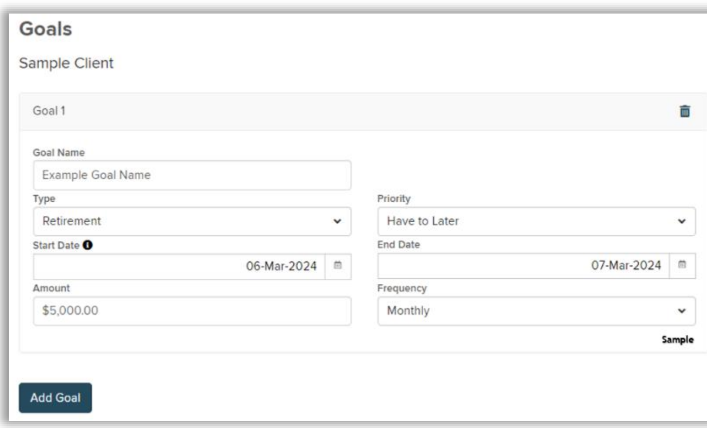


Add the account owner. Edit the tax rate details to more accurately estimate the client impact. Select the current and proposed account(s). Change the disposition method if needed. Select **Submit**.

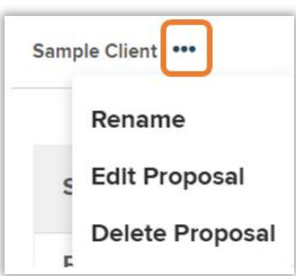
From the checklist you may edit the tax transition analysis and download your report. The report will contain estimated tax cost, estimated tax savings, and short & long term gain/loss.



Goals - Optional



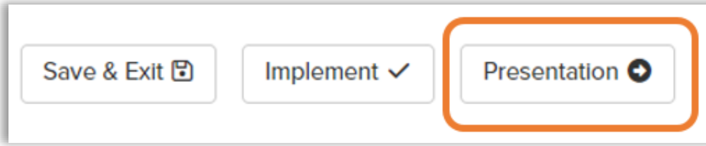
You have the option to add goals to the proposal, at this time you can add up to 2 goals. Enter a goal name, select goal type and priority from the drop down. Enter a start and end date, amount, and frequency.



The ellipses (three dots) at the top of the checklist will allow you to **Rename** the proposal, **Edit** the proposal or **Delete** the proposal.

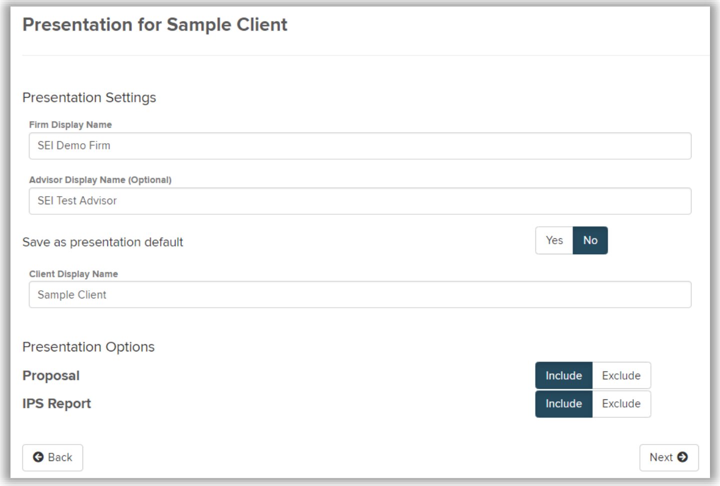
Presentation Settings

Select **Presentation** to begin personalizing the Proposal and Investment Policy Statement (IPS) PDF output.



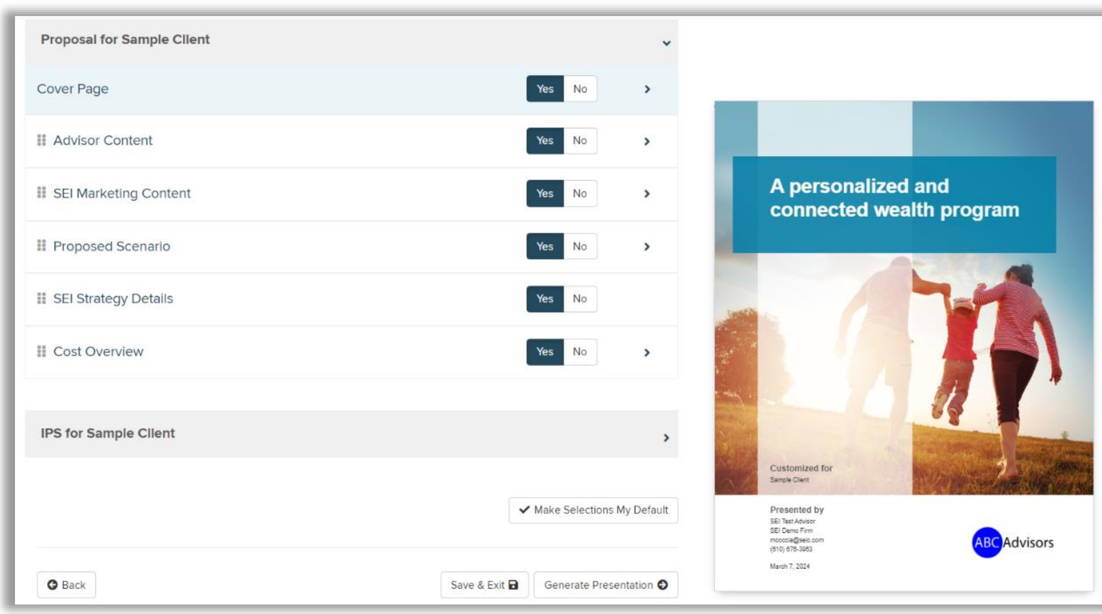
Presentation Settings: If needed you can edit the firm and advisor display name and save as a default. You may also edit the client display name.

Presentation Options: Include or Exclude the Proposal and IPS. Select **Next**.

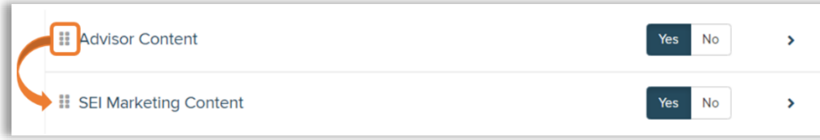


Presentation Checklist

The presentation checklist allows you to further personalize the Proposal and IPS and preview your selections in real time. Each document is organized into sections and each section can be included or excluded. Expand to view sub-sections and/or configuration options.

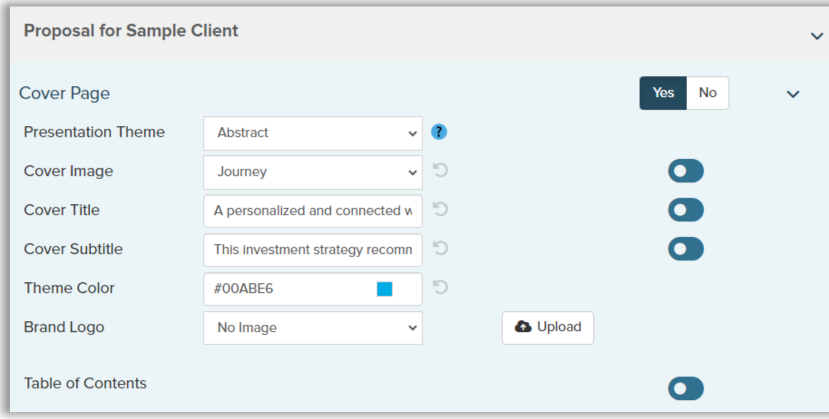


Sections can be re-ordered by selecting the grip icon.



Proposal & IPS Cover Page:

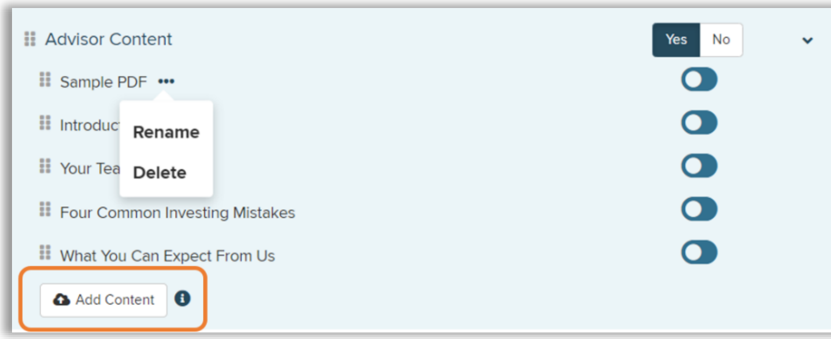
The cover page allows you to personalize each proposal through a diverse set of cover images, including a custom image, and a cover title. The remaining options allow you to brand the proposal by selecting your colors and upload your logo.



Advisor Content:

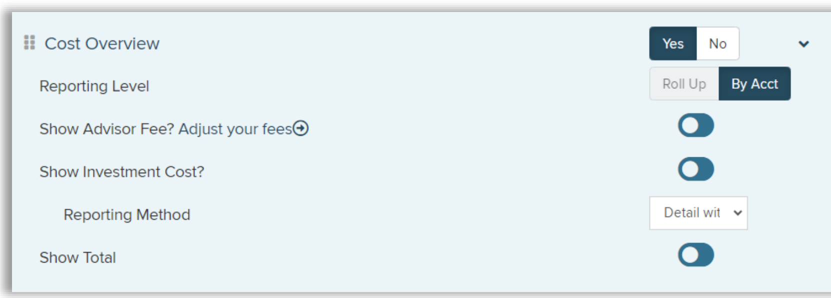
Add your own custom content by selecting **Add Content**. Up to 10 PDFs can be uploaded.

Use the 3 dots to **Rename** or **Delete** your custom content.



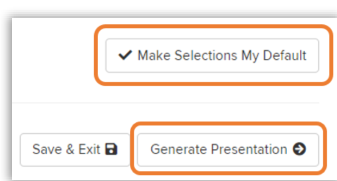
Cost Overview:

Customize how the cost page is displayed within the proposal output PDF. Use the quick link to adjust your advisory fee.



- Reporting Method – Allows you to select the level of detail to be shown on the Cost Overview
  - Detail with Fund Expenses – Displays the investment cost details including both Management Fee and Fund Expense
  - Detail w/out Fund Expenses – Only includes the Management Fee (if applicable) portion of the investment cost
  - Summary with Fund Expenses - Includes both the Management Fee and Fund Expense total percentage but displays as one line item “Investment Cost”

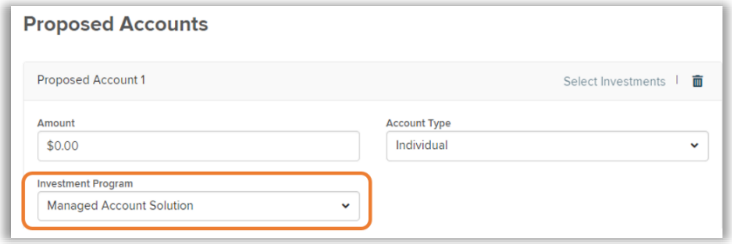
If you wish to reuse your selections going forward, make your selections the default. Select **Generate Presentation** to generate the PDFs.



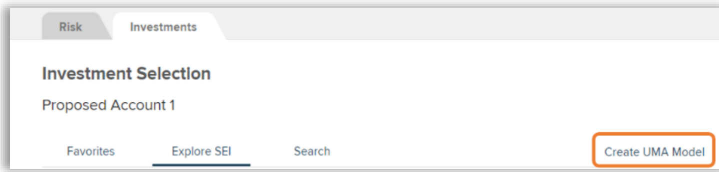
Investment Selection – Managed Accounts

Individual money managers can be accessed through a Unified Managed Account Model (aka UMA model).

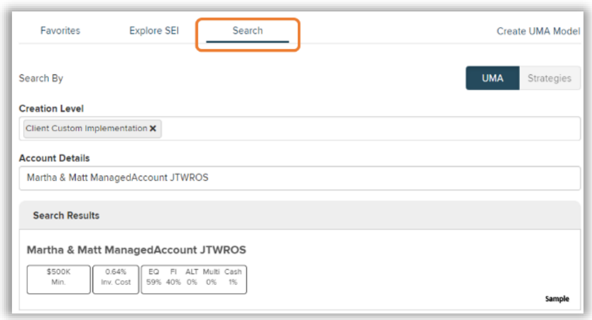
Within Proposed Accounts select Managed Account Solution as the Investment Program.



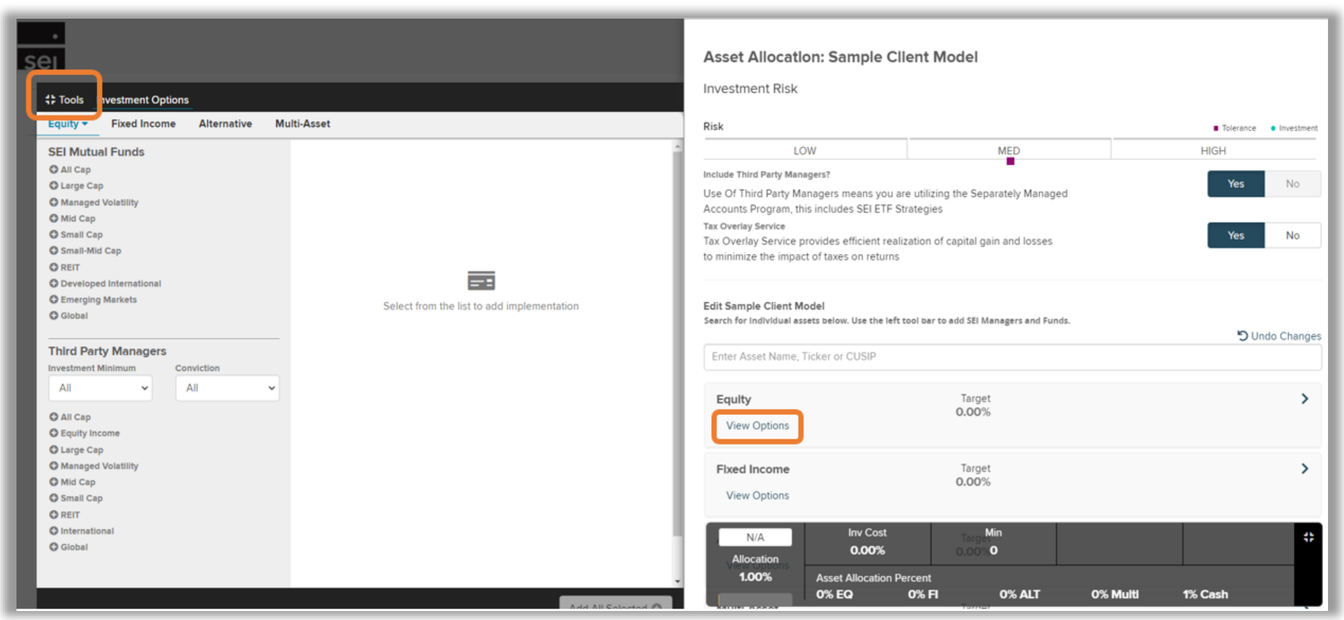
On the Investment Selection page you can select an SEI model(s) or **Create UMA Model**.



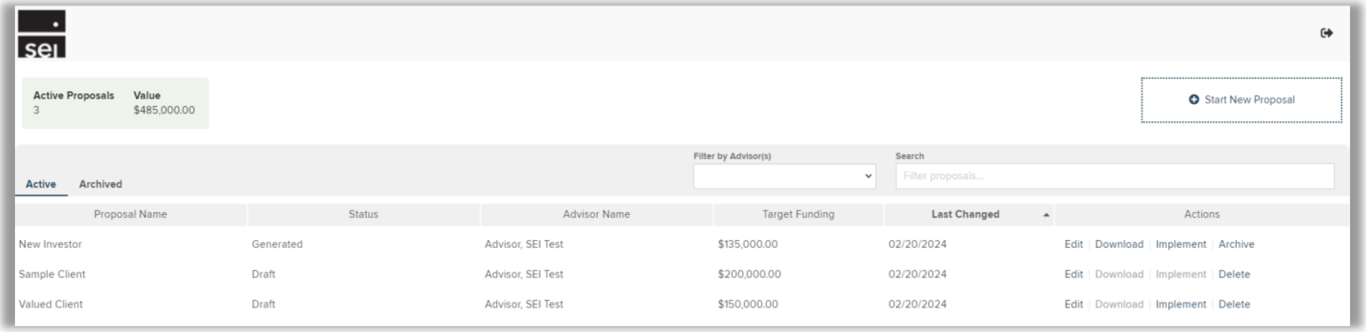
You can also copy the UMA model from another client account by using the **Search**. At creation level select **Client Custom Implementation** from the drop down and search for the account.



Once you select Create UMA Model you will be taken to a blank Asset Allocation page where you can open the Investment Options in the Tools box or select View Options next to an asset allocation category. Search and add managers, strategies, and assets until you reach 100% allocation. The heads up display at the bottom of the page will keep track of total model percent allocation, investment cost, minimums, and asset allocation.



Proposal Dashboard



The proposal dashboard provides summary information for active proposal(s) you and your team are working on. You can filter by Advisor, search for a specific proposal, or sort columns by selecting the column name.

The dashboard has two views, and as you progress through the proposal workflow, the proposal's status in the dashboard will change:

Active:

Draft: Some data entry has been completed, but a presentation has not yet been generated.

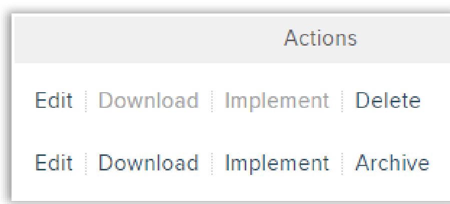
Generated: Data entry is complete, and a presentation has been generated.

Archived:

Implemented: Your client accepted the proposal, and you have begun implementing it.

Archived: You and your client decided not to proceed with the proposal.

Actions



Edit: Selecting Edit will allow you to modify and make changes to the proposal.

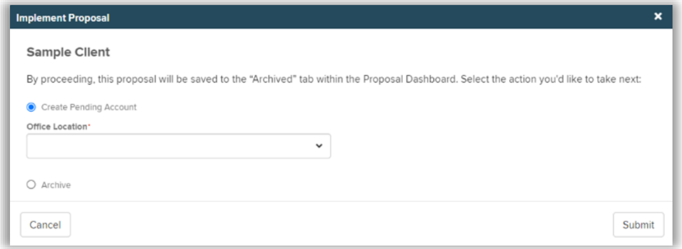
Download: Selecting Download will allow you to get a copy of a proposal you have already generated a presentation for and saved.

Delete: You can delete a proposal as long as a presentation has not been generated, for example, you worked on data capture for the proposal but never actually selected to generate a presentation.

Archive: Moves the proposal off of the Active view without implementing to digital account open.

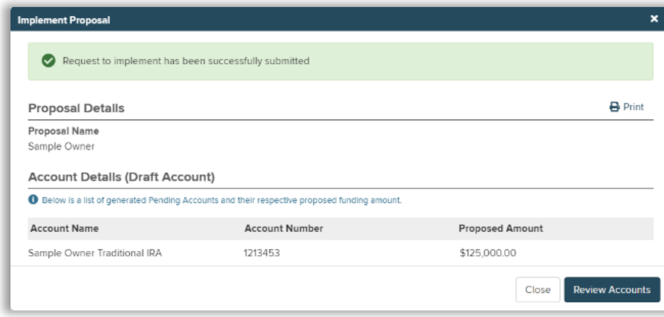
Implement: Selecting Implement will change the Status to "Implemented" and the proposal will be saved to the Archive tab within the Proposal Dashboard.

Select **Create Pending Account** to move forward with opening the account(s).



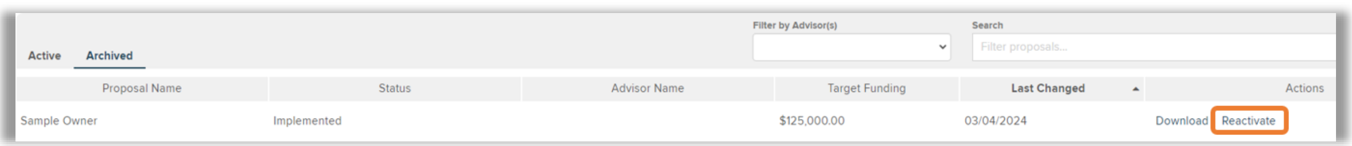
You will be presented with a confirmation screen which displays the preassigned account number for the pending account(s).

Select **Review Accounts** and you will be directed to the pending accounts dashboard within digital account open.



Once you implement a proposal into digital account open, the proposal will be moved to the archived tab within the proposal dashboard. You will be able to download or reactivate the proposal.

You should reactivate the proposal if you need to make any changes. Reactivating the proposal will delete the pending account(s). Proposals can only be reactivated when accounts are in Draft or Awaiting Advisor Approval status.



You may also implement the proposal at the bottom of the checklist.