

Frequently Asked Questions.



This document was created to answer all questions that were asked during our Proposal Builder Webinar which took place April 4, 2024.

Q: I am a new advisor partnering with SEI, will SEI help me generate proposals until I am familiar with the technology?

A: SEI is happy to help you get up and running on the proposal tool. You can reach out to your internal sales contact for help. They can also provide you with any materials or learning content that you need to get comfortable with the system.

Q: Can you tell me about the customization features for the presentation output?

A: Proposal Builder provides the ability to include a firm custom logo, customize background image, and colors on the Proposal and Investment Policy Statement (IPS) cover pages. You also have the ability to include firm custom content. The Presentation checklist allows you to choose whether to include or exclude whole sections or specific pages of content. You can make the settings your default if you always use the same collection of pages.

Q: How does the tax transition analysis feature work?

A: Upload a spreadsheet of tax lots currently held by the investor and the system will compare those holdings to the selected proposed investments. An overlap analysis will be performed to show estimated tax consequences. A detailed spreadsheet as well as PDF report is generated which shows which lots would be retained and which would be sold.

Q: What is the latest exciting enhancement and can you tell us an enhancement we have to look forward to?

A: The latest enhancement is the ability to implement a proposal directly into Digital Account Open. Up to 10 accounts can be moved to Digital Account Open. The basic account details, Investment Selection, selection of non-model portfolios, and Risk Tolerance Questionnaire details will flow into the account checklist.

Next key initiative is the redesign of the generated PDFs. We are updating the colors and fonts to create modern look and feel.

Q: Is SEI planning integration with any outside risk analysis tools?

A: There is no integration with outside risk tools, but the SEI Risk Tolerance Questionnaire (RTQ) is incorporated into Proposal. The RTQ is an option in proposal even if that account does not require the RTQ during account opening. If you complete the RTQ in proposal and use the Implement feature, the RTQ answers will automatically populate in Digital Account Open.

Q: Can you compare current investments with a new proposed investment within Proposal Builder?

A: This feature is on our roadmap.

Q: Can a client electronically sign the Investment Policy Statement (IPS)?

A: Electronic signature is currently not part of the proposal tool and is planned in the future. Today you can include the IPS PDF as part of the Third Party Paperwork section within Digital Account Open to craft a consolidated eSign ceremony with the account paperwork. This will also make the document available for future reference in Advisor Center.

Q: Can you add a firm custom model(s) to proposals?

A: Yes - You can find your firm custom strategies within Proposal Builder via the Favorites tab within Investment Selection.

Q: Can you generate an IPS when using a firm custom model?

A: Yes

Q: Where can I view a sample of the output?

A: There are previews of each section on the presentation checklist and you could run a sample proposal.

Q: If you are using multiple strategies in one account, can you see the overall allocation prior to generating the proposal?

A: There are previews on the presentation checklist page that will show the asset allocation breakdown prior to generation.

Q: Why do some accounts require a RTQ and others do not?

A: This is dependent on each individual investment program, broker dealer requirements, and program agreements.