



SEI Wealth PlatformSM

Advisor Center Action Guide

With the SEI Wealth Platform’s Advisor Center, you have more control than ever in initiating and monitoring transactions on behalf of your clients. Actions are presented in several locations within SEIAdvisorCenter.com.

We also recommend that you read SEI’s Operations Guide, which can be found within the Help Menu of the Advisor Center.

This guide provides an overview of the following Advisor Center features:

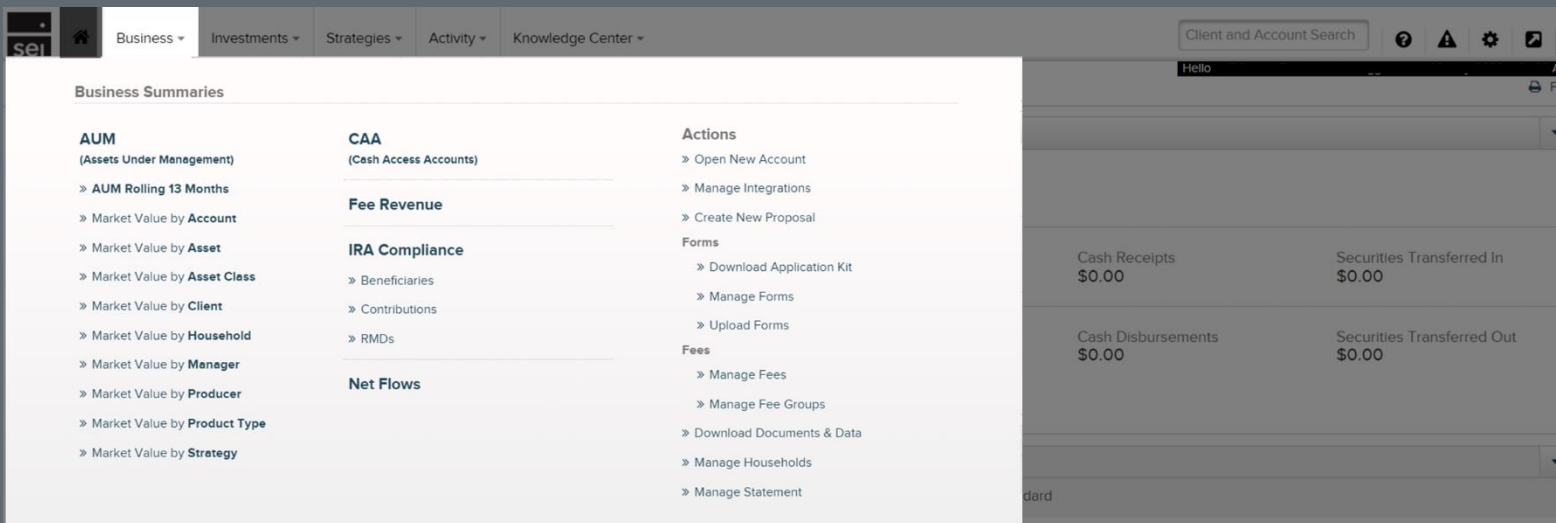
All Actions are subject to your role and entitlements as well as any broker-dealer rules.

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Business Summaries (Actions)

The following online firm-level Business Actions are available on SEI Advisor Center through the Business menu. If you are entitled, these transactions can be initiated online, providing immediate submission without waiting for the SEI Private Trust Company to process your request. At times, a form submission may still be required in place of the online action.

The Manage Forms, Manage Households, and Manage Statement actions are also available within the Household, Client, and Account levels. These actions will be covered within the Transactions and the Administration sections.



IRA Compliance > RMDs

ACTION GUIDE

- Allows you to add a Fair Market Value for new accounts.
- Allows you to submit a Disburse Cash or a Transfer Cash with the intent to send the RMD on the recurring frequency specified. Once set up, the recurring distribution will automatically update for each future year.

When will a form be needed?

- When needing to modify the Disburse Cash or Transfer Cash (*See Section 4 of the Distribution Form (IRA)*)
- When transferring cash to another SEI account where the account owner is different (*See Section 10 of the Distribution Form (IRA)*)

Open New Account

ACTION GUIDE

- Displays the applicable fields based on the selected account type, allows for saving as you go, creates a pre-assigned account number automatically, provides the option to print the application or utilize electronic signatures, and the ability to track the progress from submission to full funding.

Create New Proposal

ACTION GUIDE

- Provides an enabling technology experience that makes it intuitive to find the right investments for your clients and to produce compelling proposals that are personalized for each relationship.

Download Application Kit

ACTION GUIDE

- Application kits can be customized to bundle and download a set of blank forms to create an account-open kit
- An option to create Preassigned Account Numbers is available as well

Upload Forms

- Allows for uploading completed documents to SEI for processing
- Includes separate tabs for New Account, Investment Change, Account Maintenance, and Advisor Admin

Download Documents & Data

- Allows you to download your Bulk Statement Files, Bulk Tax Documents, Data Extracts and Submitted Paperwork.
- Account Open forms will be saved within the Submitted Paperwork section.

When will a form be needed?

- When establishing a new data feed - *eMoney Advisor Data Feed Set Up / Change Form or Financial Professional Data Service Set Up / Change Form*

Manage Fees

ACTION GUIDE

- Allows you to create fee packages (schedules). This includes Flat and Tiered amounts, with the options of Flat Amount, Flat Percentage and Tiered Percentage.
- Allows you to exclude specific assets from the fee package.
- Use the Assign Fees action to add, modify or delete a discount on an account.

When will a form be needed?

- When adding or removing an excluded asset(s) from a specific account and/or portfolio - *Fee Maintenance Form (Section 8)*
- When modifying an existing fee package - *Investment Advisor's Fee Package Form (Section 2)*

Manage Fee Groups

ACTION GUIDE

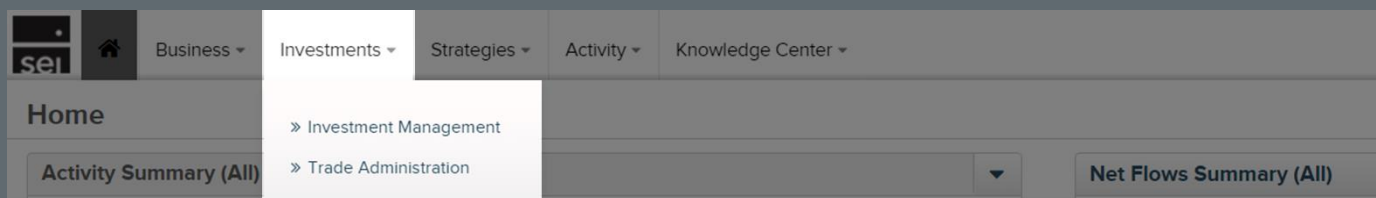
- Allows you to create a new fee group, add a fee to the group and choose how the fees will be collected across the accounts and portfolios within the fee group. Includes the ability to remove the account-level fees for the accounts that you are adding to the group.
- Allows you to modify the fee assigned to the fee group or modify the portfolios included in the fee group.
- Allows you to delete an existing fee group. Don't forget to reestablish the Advisory fee at the account level, if needed.
- The Create and Modify option includes the ability to add a new account that has been opened within the middle of a fee period.
- The Enable Fee Discount option allows for adding a discount to the entire fee group. Use the Assign Fees action to add, modify or delete a discount on an account.

When will a form be needed?

- When adding or removing an excluded asset(s) from a specific account and/or portfolio - *Fee Maintenance Form (Section 8)*
- When grouping or ungrouping accounts for the SEI Account Service Fee - *Fee Maintenance Form (Section 7)*

Investments

The Investments menu provides access to the Investment Management Dashboard.



Investment Management

- Allows the ability to view all available strategies and their usage within your firm. Strategies can be viewed as individual cards or in a table format. Details including Risk, Allocation percentages, Investment Cost, Rebalance status, Tax Overlay Service status, Investment Market Value, and Total associated accounts are displayed.
- Selecting a strategy name displays specific details regarding that strategy. In some scenarios, you will have the ability to initiate an Adhoc Rebalance, Add the strategy to one or multiple accounts, and view previous investment changes from the Investment Records.

Name and Description

- Edit the name of firm custom models.

Asset Allocation

- Edit the Current Asset Allocation and then implement the change across all accounts holding the strategy.

Rebalance Settings

- Adhoc Rebalance allows for an off-schedule rebalance of a SEI Strategy or Firm Custom Strategy (if entitled), which will immediately create a Rebalance activity and place the appropriate trades. The ability to View Estimated Trades is available for certain strategies.
- The ability to turn on or off the quarterly rebalance for certain strategies.

Account Assignment

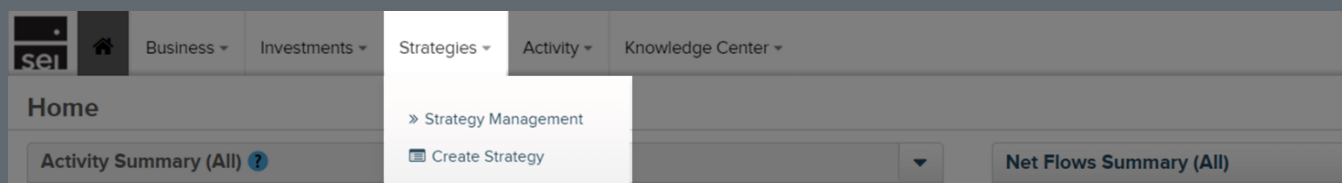
- An option to Add the current strategy to one or multiple accounts.

Trade Administration

- Provides a list of all open limit orders and an option to cancel orders. Modifying orders is not available at this time.

Strategies

The Strategies menu provides access to the Strategy Management Dashboard as well as a quick link for creating new firm-level custom strategies.



Strategy Management *(to be discontinued)*

- Allows the ability to view all available strategies and their usage within your firm. If you are entitled to firm-level strategy management, you will also be able to create, copy, modify and delete custom strategies. The Strategy Management dashboard will be replaced with the Investment dashboard in the near future.
- **The new Investment Management dashboard will take the place of the Strategy Management dashboard.**

Create

- A new firm custom strategy may be created for the use of a single portfolio within the account. Enter the strategy name, rebalance option, assets and target percentages. To save time, copy an existing strategy and make changes. Once created, use the Modify Strategy Assignment action to apply the new strategy.

Modify

- An existing firm custom strategy may be modified by updating the rebalance option, assets or target percentages. Once modified, an option to rebalance all accounts with the assigned strategy will be available.

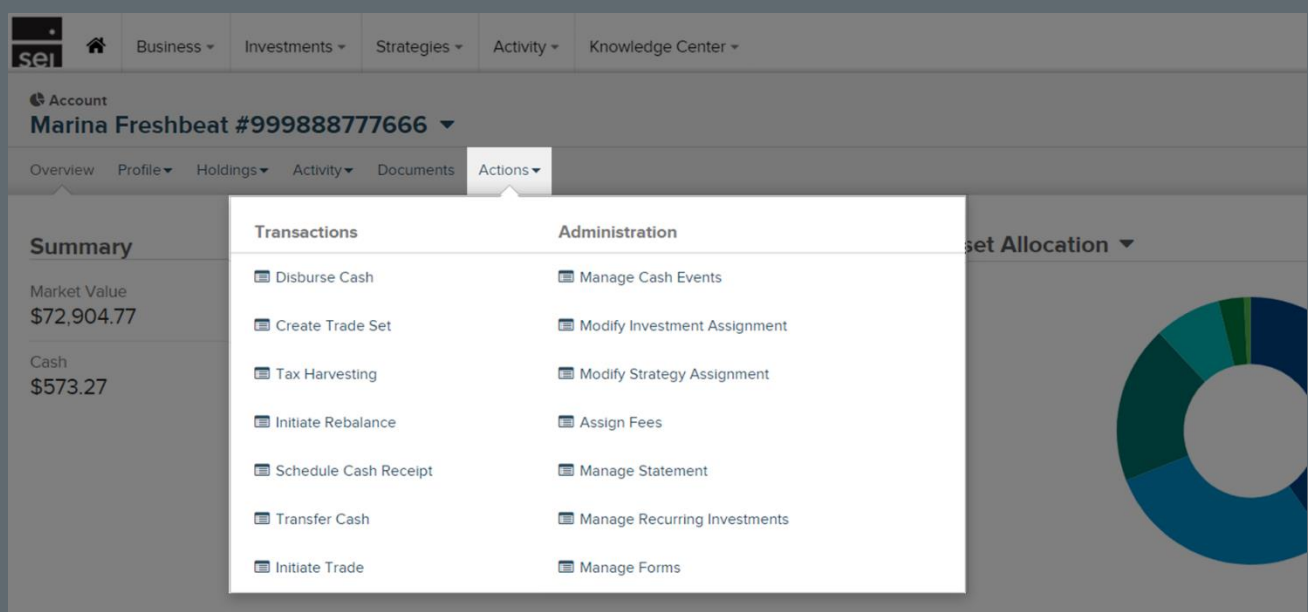
Delete

- An existing firm custom strategy may be deleted if it is no longer in use. To delete a firm custom strategy, there must be no accounts assigned to that strategy, and the strategy must be set to Inactive. To make a strategy inactive, select Modify and change the status to Inactive.

Online Transactions (Actions)

The following online transactions are available on SEI Advisor Center through the Actions menu. If you are appropriately entitled, these transactions can be initiated online, providing immediate submission without waiting for the SEI Private Trust Company to process your request. There may be times when a form is still required to be submitted in place of the online action.

Actions are the same at the Client and Account levels.



Disburse Cash

ACTION GUIDE

- Allows you to send cash from the account to the address of record, client’s bank account and third-party account. This can be done by using existing cash, raising cash based on the defaults of the portfolio(s) or selling a specific asset. You can send the cash from a specific portfolio or from multiple portfolios.
- Electronic signature may be required under certain conditions.

When will a form be needed?

- When initiating a distribution from a 403(b) account - *403(b) Distribution Form*
- When requesting to modify a current required minimum distribution (RMD) - *Section 5 of the Distribution Form (IRA)*
- When submitting a distribution for a client enrolled in the RMD Services, and the RMD should not auto recalculate - *Section 5 of the Distribution Form (IRA)*
- When sending a distribution to the account owner's bank account when no standing instructions are on file and electronic signature is not being utilized - *Distribution Form (IRA and Non-IRA)*
- When sending a distribution to a third party and electronic signature is not being utilized - *Distribution Form (IRA and Non-IRA)*
- When sending a distribution to another SEI account with a different account owner - *Section 10 of the Distribution Form (IRA and Non-IRA)*
- When selecting the state withholding as 100% - *Section 4 of the Distribution Form (IRA)*
- When closing an account - *Section 4 of the Distribution Form (IRA and Non-IRA)*
- When the distribution has been submitted via the Disburse Cash action and a client signature is required (occurs when a broker-dealer does not allow for SEI's Electronic Signature process) - Select the **For signature verification only** check box and provide the Activity ID number that was provided when submitting the Disburse Cash action. Additionally, you only need to have the client sign in section 12 of the Distribution Form (IRA and Non-IRA). No additional distribution details are required.

Initiate Rebalance

ACTION GUIDE

- Allows for an off-schedule rebalance of a SEI Strategy or Firm Custom Strategy (if entitled), which will immediately create a Rebalance activity and place the appropriate trades.

When will a form be needed?

- When rebalancing the Multi-Portfolio Allocation (Overlay) on a Non-Managed account - *Section 4 of the Portfolio/Overlay Creation and Maintenance Form*
- When rebalancing the Multi-Portfolio Allocation (Overlay) on a Managed account - *Section 4 of the Managed Strategy: Monetary Change Form*

Schedule Cash Receipt

ACTION GUIDE

- Allows for set up and invest of a cash receipt (also known as AIP or Auto Invest Program) to a specific portfolio. This action provides the ability to specify the portfolio, amount, frequency, date and investment methods. Includes a One Time option.
- Electronic signature may be required under certain conditions.

When will a form be needed?

- When creating a new Schedule Cash Receipt, when no standing instructions are on file and electronic signature is not being utilized - *Automatic Investment Program (AIP) Form (IRA and Non-IRA)*
- When modifying an existing recurring cash receipt, when no standing instructions are on file and electronic signature is not being utilized - *Automatic Investment Program (AIP) Form (IRA and Non-IRA)*

Tax Harvesting

ACTION GUIDE

- Used to evaluate unrealized gain/loss positions belonging to a client. The action allows you to place trades on any of those positions, often for offsetting a gain or loss the client previously realized during the tax year.

When will a form be needed?

- When tax-loss harvesting for a Managed Account - *Managed Accounts Solutions: Tax-Loss Harvesting Form*
- When creating, modifying or deleting an Automatic Investment Program (AIP) for a Qualified Plan - *Automatic Investment Program (AIP) (Qualified Plan) Form*

Create Trade Set (to be discontinued)

ACTION GUIDE

- Allows you to place buys, sells, invest cash and raise cash within in the same trading set. Trading can be placed within a single portfolio or across multiple portfolios within an account.
- **The new Initiate Trade action is now available and will take the place of the Create Trade Set action.**

Initiate Trade

ACTION GUIDE

- Allows you to place buys, sells, invest cash and raise cash within in the same trading set. Trading can be placed within a single portfolio or across multiple portfolios within an account.

When will a form be needed?

- When placing individual buys/sells for a MAS account - *Trade Form*
- When placing trades for a DFS account - *Trade Form*
- When placing a buy for an asset that has not yet been subscribed to - *Trade Form*

Transfer Cash

ACTION GUIDE

- Allows you to transfer cash between portfolios within an account or across accounts where the account owners match. Cash received into the transferred portfolio can be invested or left in the money market cash.
- Cash will invest once the cash is transferred and swept into the money market fund.
- Electronic signature may be required under certain conditions.

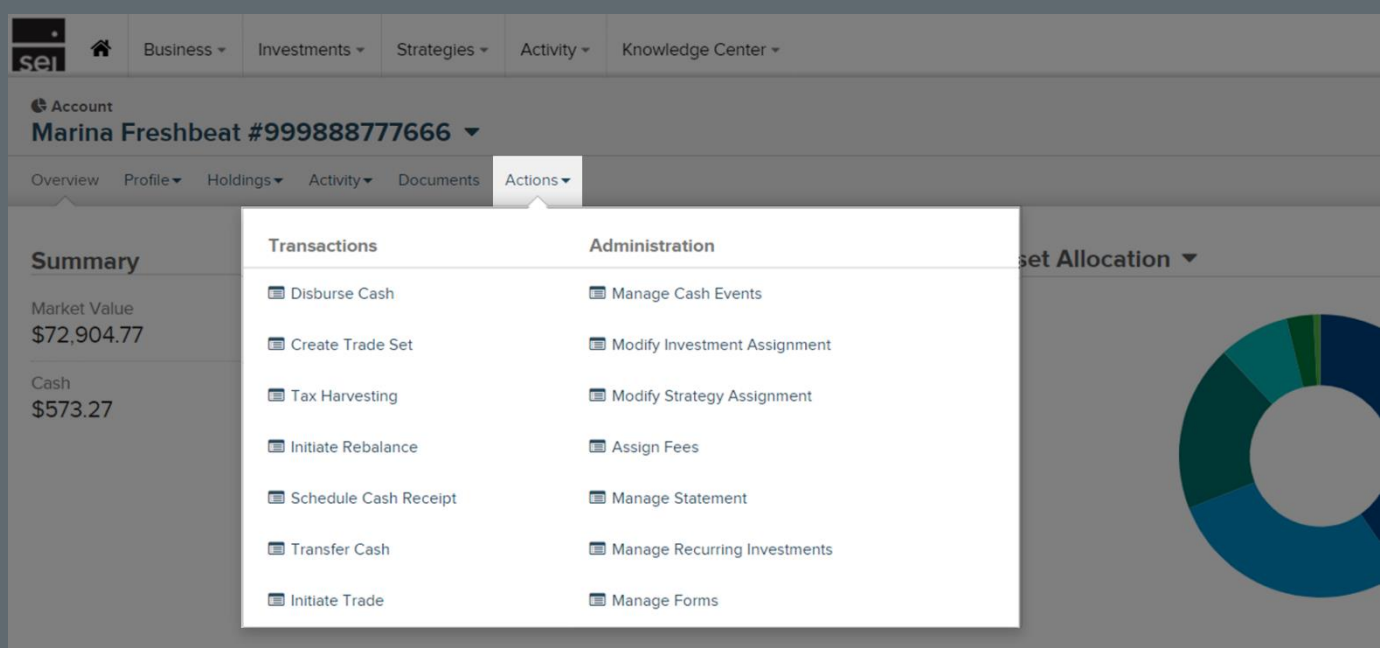
When will a form be needed?

- When transferring cash to another SEI account where the account owner is different - *Section 10 of the Distribution Form (IRA and Non-IRA)*
- When transferring cash to another SEI account where the account owner matches, and when selecting the state withholding as 100% - *Section 4 of the Distribution Form (IRA)*

Online Administration (Actions)

The following online administrations are available on SEI Advisor Center through the Actions menu. If you are appropriately entitled, these transactions can be initiated online, providing immediate submission without waiting for the SEI Private Trust Company to process your request. There may be times when a form is required to be submitted/uploaded in place of the online action.

Modify Contact Information is available at the Client levels. Assign Fees is available at the Account level. All others are available at both the Client and Account levels.



Manage Forms

ACTION GUIDE

- Used to launch a form for submission or printing, or uploading a filled-out form for submission. Forms utilize LaserApp to prefill the information when available.
- Electronic signature may be required under certain conditions.
- Fillable PDF forms are available from the Launch option.
- See the Manage Forms section on Page 16 for additional information.

Manage Cash Events

ACTION GUIDE

- Allows you to modify or delete a recurring cash event while seeing a side-by-side compare of what you are modifying.
- Available recurring events include distributions, transfers and cash receipts.
- Electronic signature may be required under certain conditions.

When will a form be needed?

- Cash disbursement: When changing the Payment Method, when changing the Pay To information and when electronic signatures are needed - *Distribution Form (IRA and Non-IRA)*
- Cash transfer: When changing the Transfer To account, when changing the Source of Funds, when changing the Use of Funds and when electronic signatures are needed - *Distribution Form (IRA and Non-IRA)*
- Cash receipt: When changing the Banking Information, when changing the Investment Cash options and when electronic signatures are needed - *Automatic Investment Program (AIP) Form (IRA and Non-IRA)*

Manage Households

ACTION GUIDE

- Allows for grouping multiple clients together for viewing purposes. You can Change, Create and Delete Households. New Households are immediately created and searchable.
- Available for viewing within the Advanced Client Reporting website.
- All documents (tax forms, statements, forms) are available for viewing.

Manage Recurring Investments

ACTION GUIDE

- Used to create a scheduled Recurring Investment from the DCA (dollar-cost averaging) portfolio to a strategy within an account. Can be set up based on a specific amount or length of term.

Modify Contact Information

ACTION GUIDE

- Allows you to change, add or remove the address, phone number or email address for a client.

When will a form be needed?

- When adding a new address with the intent to change it to the legal address - *Address Change Form*

When will the Client need to take action?

- When modifying an email address with an assigned purpose (electronic delivery of statement) the client will need to make this update on the [AccessMyPortfolio.com](https://www.accessmyportfolio.com) website.

Manage Statement

ACTION GUIDE

- Allows you to change a statement's destination address, add a statement package to an account or group of accounts or add a statement package to an existing statement group.

When will a form be needed?

- When modifying the address for contact purpose other than statements - *Contact the SEI Wealth Platform Service Team for specific forms*
- When creating a statement with a frequency other than quarterly - *Section 3 of the Statement Update Form*
- To modify a statement assigned to an account or group of accounts - *Section 3 of the Statement Update Form*
- When modifying the accounts assigned to an existing statement group - *Section 4 of the Consolidated Statement Set Up/Change Form*
- To delete an existing statement group - *Section 4 of the Consolidated Statement Set Up/Change Form*

Modify Strategy Assignment (to be discontinued)

ACTION GUIDE

- Allows you to replace or remove a strategy on an account's portfolio while allowing for immediate rebalance or waiting until the next quarterly rebalance.
- **The new Modify Investment Assignment action will take the place of the Modify Strategy Assignment.**

Modify Investment Assignment

ACTION GUIDE

- Allows you to add, modify, and remove 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.
- Allows the ability for a client or authorized signer to electronically sign through the use of DocuSign, where applicable.

When will a form be needed?

- When substituting funds for SEI American Funds and SEI ETF Strategies - *Change in Investment Strategy Form (IRA and Non-IRA)*

Assign Fees

ACTION GUIDE

- Used to replace, add or remove an existing fee package on an account and/or fee group.
- Used to add, modify or delete a discount to an account.
- SEI Private Trust Company will continue to add the account-level fees per the application.

When will a form be needed?

- When adding or removing an exclude asset(s) from a specific account and/or portfolio - *Fee Maintenance Form (Section 8)*

Manage Forms

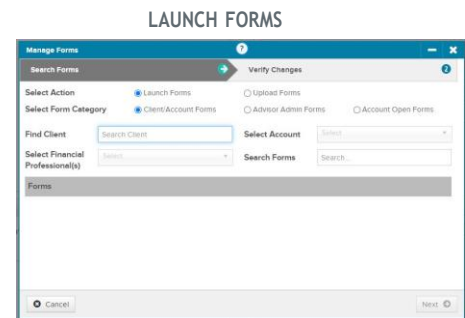
For any transactions or actions that you are not able to complete via online actions, you have the capability to submit forms via the Manage Forms action. When searching for a form, the results will display based on that account's product and account type only. Submitting a form will create an activity that can be tracked and saves the document so that you can view it anytime.

Launch Forms - Client/Account & Advisor Admin Forms

- Client/Account Forms will allow you to specify your client and account prior to selecting the applicable forms.
- Advisor Admin Forms will ask you to select Financial Professional(s) (Financial Advisor).

Launch Forms - Account Open Forms *(to be discontinued)*

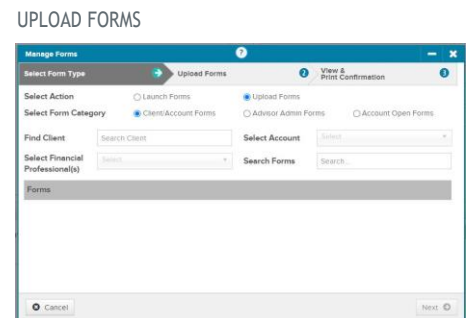
- **Account Open Forms should no longer be used. Launch the Open New Account action.**



Upload Forms

You will no longer need to fax forms to SEI Private Trust Company.

- Allows you to upload a form directly to the SEI Wealth Platform for submission.
- Client/Account Forms will allow you to specify your client and account prior to selecting the applicable forms.
- Advisor Admin will ask you to select a Financial Professional(s) (Financial Advisor).
- Account Open Forms should not be used. Upload applications to the New Account tab of the Upload Forms action



When using the search field, the results will filter the forms displayed based on the account type.

Uploading a form requires you to specify the form you will be uploading and attach the form from your computer. The form will then route to SEI's specific processing queues for quicker processing, therefore bypassing the manual process of indexing the form based on faxing or mailing the form to SEI.

Electronic Signatures through DocuSign

SEI utilizes DocuSign to obtain electronic signatures for completing Advisor Center online actions and SEI Private Trust Company forms. When submitting your request through the Advisor Center's online actions, a (digital) form will be generated so the client can electronically sign. This process can take place in person or remotely.

Prior to accessing the document for electronic signature, your client will need to complete an authentication process. This authentication process is provided by DocuSign and follows either a Knowledge-Based or PIN authentication process.

Dual/Pin/Access Code Authentication

Actions and forms that are used to request changes within an account use an authentication code as the authentication method. Those codes are delivered for input to your client's phone or by text message (SMS) based on the firm user's choice.

Knowledge-Based Authentication

Actions and forms to move money outside of the account or outside of SEI utilizes DocuSign's "knowledge-based" authentication method. The user answers a series of questions such as affiliated address, relatives, old residencies, etc.

Documents Saved for Your View

Once your client(s) electronically signs the document, the activity status in the Advisor Center is updated and the action can proceed. The signed document and a DocuSign Certificate of Completion will be attached to the activity as well.

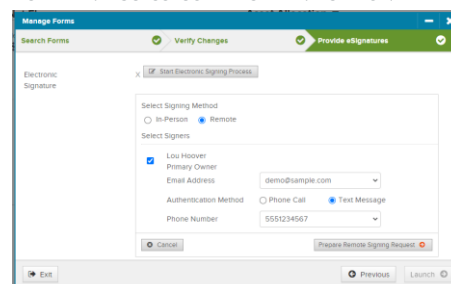
Email Notifications

If you are the submitter of the action, you have the ability to receive an email notification letting you know when your client either signs or cancels a document that you sent to them for electronic signature. From within the Preferences icon, check the documents requiring electronic signature have been signed or canceled box.

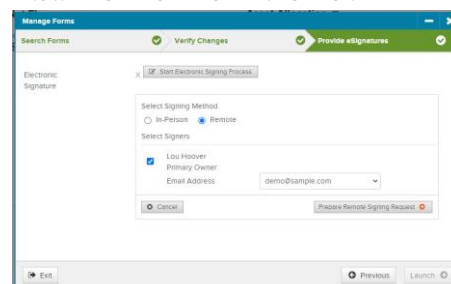
Cancellation and Decline

If a document has been sent to your client and has not been signed, you will need to contact SEI to begin the cancellation process. Your client also has access to decline, which will begin the cancellation process. In both cases, the activity's status will be updated to "Pending Cancellation" and the original submitter will need to cancel the activity. For electronic signatures started with the Account Open or Modify Investment Assignment actions, you do have the option to resend for client signatures.

DUAL/PIN/ACCESS CODE AUTHENTICATION



KNOWLEDGE-BASED AUTHENTICATION



Forms Not Available for Electronic Signature

The following forms cannot be electronically submitted with eSignature. The forms are available to launch from the Manage Forms action, and once a client signature is obtained, they can be uploaded through the Manage Forms action.

- Account Registration Change Form
- Agent Authorization - Power of Attorney Form
- Cash Access Account (CAA) and Securities Back Line of Credit (SBLOC) maintenance forms. *(CAA/SBLOC applications, however, are eligible for electronic signature)*
- Certificate of Controlling Party and Beneficial Owner Form
- Corporate/Organization/Partnership Resolution Form
- Irrevocable Stock or Bond Power Form
- Name Change Form
- Signature Card Form
- Trustee Certification Form

The following combination of Distribution and Closings “Due to Death” must be completed with a physical (wet) signature only:

- Inherited IRA Beneficiary Election Form and related Distribution Form (IRA)
- Transfer on Death (TOD) Payment to Beneficiary Form and related Distribution Form (Non-IRA) or SEI Asset Transfer Form (In-Kind)
- Any Distribution or Account Closing Due to Death (assets leaving SEI)

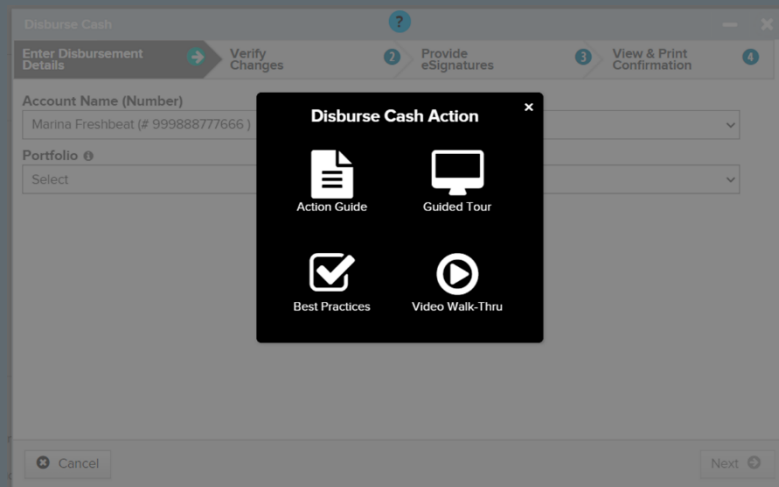
Please Note

- The Liquidation/Cash Transfer Form may be submitted via the Manage Forms action; however, the sending custodian may require an original signature.
- The SEI Wealth Platform User Registration/Change Form is not available within the Manage Forms action and can be found under the Resources tab of the Help Menu.
- Letter of Intent / Letter of Indemnity (LOI) are unavailable for upload via the Manage Forms action. If an LOI is needed, confirm with the SEI Service Team that a specific form cannot be used and/or if the instructions can be emailed.

Learn more about electronic signature through DocuSign by searching “esignature” or “docusign” from within the Help Menu. An Advisor and Client version document with additional details and screenshots is available.

Help Menu

SEI is committed to providing you with the support and educational materials needed to help you optimize your online experience. To ensure you have the answers you need at the moment you need them, the Advisor Center is equipped with an interactive online help tool designed to give you just-in-time guidance available 24/7.



Action Help

If you begin an online action such as Disburse Cash, Manage Statements, Modify Fees, etc., the action window will gray out the background, and the Help Menu will be unavailable. To access information on actions, select the “?” icon within the header bar of the action window. Here you will be presented with four options:

- **Action Guide** - Review the most recent guide for that action, which will provide information and screenshots pertaining to that action.
- **Guided Tour** - Similar to Tour Page, the SEI Advisor Center will begin in-depth, self-paced instructions. Unlike the Tour Page feature, Guided Instructions are intended to be used in tandem with the initiation of an actual transaction. It is important to understand that Guided Instructions are not tours. Selecting submit, send, complete, etc. will initiate a real transaction.
- **Best Practices** - Review important prerequisite information that you should know before you begin an online transaction. This includes important information, scenarios when a form is required, additional documents and electronic signature information. Often, you can find answers to your transactional questions within these sections.
- **Video Walk-Thru** - Watch the most recent webinar, which has been edited and made available for that specific online action.



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