

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

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**FORM 8-K**

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**CURRENT REPORT  
PURSUANT TO SECTION 13 OR 15(D)  
OF THE SECURITIES EXCHANGE ACT OF 1934**

**October 24, 2023**  
**Date of report (Date of earliest event reported)**

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**SEI INVESTMENTS COMPANY**

**(Exact name of registrant as specified in its charter)**

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**Pennsylvania**  
**(State or Other Jurisdiction  
of Incorporation)**

**0-10200**  
**(Commission  
File Number)**

**23-1707341**  
**(I.R.S. Employer  
Identification No.)**

**1 Freedom Valley Drive**  
**Oaks, Pennsylvania 19456**  
**(Address of Principal Executive Offices and Zip Code)**

**(610) 676-1000**  
**(Registrant's Telephone Number, Including Area Code)**

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Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

**Securities registered pursuant to Section 12(b) of the Act:**

<b>Title of each class</b>	<b>Trading Symbol</b>	<b>Name of each exchange on which registered</b>
Common Stock, par value \$0.01 per share	SEIC	The NASDAQ Stock Market LLC

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Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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**Item 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

On October 24, 2023, the Company's Board of Directors (the "Board") appointed Stephanie D. Miller to the Board, effective immediately, thereby filling the vacancy on the Board that resulted from Sarah W. Blumenstein not standing for re-election at the 2023 Annual Meeting of the Company's Shareholders. Ms. Miller will serve in the class of directors whose term expires at the Company's Annual Meeting of Shareholders to be held in 2024 and serve on each of the Audit and Legal and Regulatory Oversight Committees of the Board.

In connection with her appointment, Ms. Miller was granted options to purchase 7,500 shares of the Company's common stock and 766 restricted stock units ("RSUs") for Company common stock under the Company's 2014 Omnibus Equity Compensation Plan (the "2014 Plan").

The options granted to Ms. Miller have an exercise price per share of \$54.51 and vest as follows, subject to her continued service on the Board on the applicable vesting date:

- As to 50% of the shares on the later of (1) December 31 of the year which the Company has adjusted earnings before income taxes per share of \$5.00 or more, or (2) December 31, 2024; and
- As to 100% of the shares on the later of (1) December 31 of the year in which the Company has adjusted earnings before income taxes per share of \$6.25 or more, or (2) December 31, 2026;

All of the RSUs granted to Ms. Miller vest on October 24, 2026, provided that Ms. Miller is serving as a director of the Company on such date.

A press release relating to Ms. Miller's appointment, issued October 25, 2023, is filed as Exhibit 99.1 to this Current Report on Form 8-K.

**Item 9.01. Financial Statements and Exhibits.**

<u>Exhibit No.</u>	<u>Description</u>
<a href="#">99.1</a>	<a href="#">Press Release dated October 25, 2023 of SEI Investments Company.</a>
104	Cover Page Interactive Data File (embedded within the Inline XBRL document)

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**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

SEI INVESTMENTS COMPANY

Date: October 25, 2023

By: /s/ Dennis J. McGonigle  
Dennis J. McGonigle  
Chief Financial Officer



# Press release.

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*FOR IMMEDIATE RELEASE*

## **SEI Appoints Stephanie Miller to Board of Directors**

*Industry Veteran Brings Expertise Across Financial Services and Multinational Corporate Strategy*

**OAKS, Pa., Oct. 25, 2023** - [SEI](#)<sup>®</sup> (NASDAQ: SEIC) today announced that Stephanie Miller has been appointed to its Board of Directors. She joins Executive Chairman Alfred P. West, Jr. and current directors Jonathan Brassington, William Doran, Carl Guarino, CEO Ryan Hicke, Kathryn McCarthy, and Carmen Romeo. In addition to her board responsibilities, Miller will serve as a member of the Audit and Legal and Regulatory Oversight Committees.

Miller is Chief Executive Officer at [Hazeltree](#), a leading provider of treasury and liquidity management solutions for the asset management industry. With more than 25 years' experience across financial services, she has a combination of experience in traditional financial markets, digital assets, and emerging markets. She previously served as Chief Administrative Officer at Gilded, a Miami-based gold trading fintech. Prior to Gilded, she was CEO at Intertrust Group, a public Dutch Euronext company, where she led the digital transformation of the client experience and development of a robust organic and inorganic growth strategy. Miller also held executive roles at SS&C Technologies, JP Morgan, and Citco Fund Services.

### **Commenting on Miller's appointment, West said:**

"The breadth of Stephanie's experience across financial services will be invaluable to the board. Her deep knowledge of technology, operations, and asset management will provide tremendous insight as we continue to develop and execute our organic and inorganic growth strategies, seizing opportunities across our three pillars of capabilities. We're excited to welcome Stephanie to SEI's Board of Directors, and we look forward to working with her."

### **Miller said:**

"SEI sits at the intersection of technology, operations, and asset management—a unique industry position that offers incredible opportunity as our markets continue to experience the shift in the financial services landscape globally. This is an exciting time for the company, and I look forward to

supporting Al, Ryan, and the board in driving growth for SEI, our clients, communities, and shareholders.”

Miller has been widely recognized as a leader in the financial services industry. She is also a director on Hazeltree’s board and previously served as an advisor to Lukka, Inc., a fintech start-up focused on accounting, fair market approach pricing, and financial reporting for digital assets. She holds a bachelor’s in accounting and information systems from CUNY Queens College.

**About SEI®**

SEI (NASDAQ:SEIC) delivers technology and investment solutions that connect the financial services industry. With capabilities across investment processing, operations, and asset management, SEI works with corporations, financial institutions and professionals, and ultra-high-net-worth families to help drive growth, make confident decisions, and protect futures. As of June 30, 2023, SEI manages, advises, or administers approximately \$1.3 trillion in assets. For more information, visit [seic.com](https://seic.com).

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