SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF** SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Sharma Sanjay	2. Date of Event Requiring Statement (Month/Day/Year) 01/24/2023		3. Issuer Name and Ticker or Trading Symbol <u>SEI INVESTMENTS CO</u> [ SEIC ]						
(Last) (First) (Middle) ONE FREEDOM VALLEY DRIVE			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give Other (specify title below) below) See Remarks*		wner (specify	<ul> <li>5. If Amendment, Date of Original Filed (Month/Day/Year) 02/10/2023</li> <li>6. Individual or Joint/Group Filing</li> </ul>			
(Street) OAKS PA 19456					below)		(Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One		
(City) (State) (Zip)							Reporting Person		
Table I - Non-Derivative Securities Beneficially Owned									
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	Form: D	n: Direct Own or Indirect		ature of Indirect Beneficial nership (Instr. 5)		
Common Stock	Stock			E	)				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)									
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securit Underlying Derivative Securit (Instr. 4)		4. Convers or Exerc	cise	se Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
	Date Exercisable	Expiration	Title	Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)	5)	
Option to Purchase Common Stock	12/31/2015	12/10/2023		4,500	33.7	6	D		
Option to Purchase Common Stock	12/31/2018	12/10/2023	Common Stock	4,500	33.7	6	D		
Option to Purchase Common Stock	12/31/2017	12/09/2024	Common Stock	7,500	40.64	4	D		
Option to Purchase Common Stock	02/23/2022	12/09/2024	Common Stock	7,500	40.64	4	D		
Option to Purchase Common Stock	12/31/2017	12/08/2025	Common Stock	10,000	53.34	4	D		
Option to Purchase Common Stock	12/31/2018	12/08/2025	Common Stock	10,000	53.34	4	D		
Option to Purchase Common Stock	12/31/2017	12/13/2026	Common Stock	12,500	49.6	3	D		
Option to Purchase Common Stock	12/31/2019	12/13/2026	Common Stock	12,500	49.6	3	D		
Option to Purchase Common Stock	02/23/2022	12/12/2027	Common Stock	10,000	71.12	2	D		
Option to Purchase Common Stock	12/31/2021	12/12/2027	Common Stock	10,000	71.12	2	D		
Option to Purchase Common Stock	02/23/2022	12/11/2028	Common Stock	10,000	48.4	7	D		
Option to Purchase Common Stock	12/31/2021	12/11/2028	Common Stock	10,000	48.4	7	D		
Option to Purchase Common Stock	02/22/2022	12/09/2029	Common Stock	10,000	64.4	3	D		
Option to Purchase Common Stock	12/31/2021	12/09/2029	Common Stock	10,000	64.4	3	D		
Option to Purchase Common Stock	12/31/2022	12/08/2030	Common Stock	17,500	56.54	4	D		
Option to Purchase Common Stock	(2)	12/08/2030	Common Stock	17,500	56.54	4	D		
Option to Purchase Common Stock	(3)	12/10/2031	Common Stock	11,250	60.4	6	D		
Option to Purchase Common Stock	(4)	12/10/2031	Common Stock	11,250	60.4	6	D		

Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)							
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr.
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative or Indire	Direct (D) or Indirect (I) (Instr. 5)	
Option to Purchase Common Stock	(5)	12/05/2032	Common Stock	12,500	61.81	D	
Option to Purchase Common Stock	(6)	12/05/2032	Common Stock	12,500	61.81	D	

## **Explanation of Responses:**

1. Includes 1,270.1939 shares owned in the Issuer's Employee Stock Purchase Plan and 2,500 shares in the form of restricted stock units received as employment compensation.

2. Vest on December 31 of the year in which the Issuer attains an adjusted pre-tax earnings per share of \$5.35 or more, but not earlier than the fourth anniversary of the date of grant, in each case based upon audited financial statements of the Issuer and subject to certain adjustments.

3. Vest on December 31 of the year in which the Issuer attains an adjusted pre-tax earnings per share of \$5.75 or more, but not earlier than the second anniversary of the date of grant, in each case based upon audited financial statements of the Issuer and subject to certain adjustments.

4. Vest on December 31 of the year in which the Issuer attains an adjusted pre-tax earnings per share of \$7.00 or more, but not earlier than the fourth anniversary of the date of grant, in each case based upon audited financial statements of the Issuer and subject to certain adjustments.

5. Vest on December 31 of the year in which the Issuer attains an adjusted pre-tax earnings per share of \$5.00 or more, but not earlier than the second anniversary of the date of grant, in each case based upon audited financial statements of the Issuer and subject to certain adjustments.

6. Vest on December 31 of the year in which the Issuer attains an adjusted pre-tax earnings per share of \$6.25 or more, but not earlier than the fourth anniversary of the date of grant, in each case based upon audited financial statements of the Issuer and subject to certain adjustments.

## **Remarks:**

Note: This Amendment No. 1 to Form 3 is being filed to correct the number of shares owned by the reporting person as of January 24, 2023. The number of shares has been increased by 9,000 shares that the reporting person had received prior to such date upon exercise of an employee stock option (which option was not listed in Table II of the original Form 3) and decreased by 1,270.1939 shares that the reporting person holds in the Issuer's Employee Stock Purchase Plan and that were inadvertently double counted in the original Form 3. In addition, Table II is corrected herein to indicate that tranches of options expiring on December 12, 2027, December 11, 2028 and December 9, 2029 that were shown in the original Form 3 as not yet vested in fact vested on December 31, 2021. \*Executive Vice President and Global Head of Private Banking & Wealth Management, SEI

<u>/s/ Sanjay Sharma by</u>	
Diane M. Gallagher,	04/05/2023
attorney in fact	
** Signature of Reporting Person	Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 5 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.