

# Beneficial issuer guidebook

A guide to Broadridge's beneficial issuer services



# Welcome to the beneficial issuer guidebook

Thank you for your interest in our services! Broadridge provides public companies with the strategic approach they need to effectively reach their shareholders. With decades of proxy processing, shareholder communications experience, and state-of-the-art technology, we can help make managing your proxy and investor communications as simple and efficient as possible.

Our commitment to continuous growth and improvement is evidenced by the SSAE 18 examinations of our service. Additionally, we hold an ISO 9001:2015 certification (Quality Management System) and an ISO 27001:2022 certification (Information Security Management System), both internationally recognized growth and improvement standards.

We are committed to supporting your investor communication needs throughout the year.

To access your company's proxy campaign information, or set up your mailing campaign, please visit: [MyService.Broadridge.com](https://MyService.Broadridge.com).

### **Login information:**

**Username:** Your email address

**Password:** If you have forgotten your password, click on "Forgot Password" on the login page to reset it.

### **Requesting access:**

If you do not have access, only an officer of your company can request it. Please send an email to [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com) and include the following details:

- Company's name
- CUSIP number
- User's name
- Email address
- Phone number

### **Additional support availability:**

Monday through Friday from  
9:00 AM to 6:00 PM Eastern Time

**Email:** [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com)

**Call:** +1 631-254-7067 option 2

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## Planning

Planning is a vital first step in any proxy campaign, providing the structure and foresight needed to manage timelines, materials, and meeting requirements effectively.

### Things to consider

#### Material printing

- Do you know who is printing your material?
- Broadridge offers typesetting, edgarization, print services, and proxy design.

#### Shareholder annual meeting

- Are you hosting a physical or virtual shareholder annual meeting?
- Broadridge can provide numerous Virtual Meeting options.

#### Record date

- Must be two business days in advance.
- Will your record date and meeting dates allow for enough time to mail via Notice and Access?

#### Broker search results

- Due to investors moving in and out of positions, the results of the preliminary Broker Search could be significantly different from the final results that you receive on the record date.

#### Analytical reports

- Analytical Reports (e.g., Notice and Access Cost Benefit Analysis, Share Range Analysis) can help you develop a cost- and time-effective mail strategy.

#### Create a campaign

- We have improved the look and functionality of our Client Portal.
- Simplified keys steps provide easier action to create a new campaign, edit your campaign, view the voting agenda, and if using Notice and Access, approve the Notice card.

The Broadridge Client Portal is a secure, realtime command center for managing your proxy campaign from start to finish. Click “Set Up/Edit a Campaign” to enter your record date/ Meeting date, select your mailing type, and follow the prompts to confirm the campaign.



## Choose a model of distribution

When planning for your upcoming annual or special meeting you have the option to deliver proxy materials by one of two methods.

### Full-set proxy model

With the Full-Set Proxy model, all shareholders are sent a hard copy set of your meeting materials.

By default, shareholders receive their materials in hard copy form through the Postal Service. However, shareholders can affirmatively consent to receive their materials by electronic delivery. Broadridge maintains each shareholder's preference in a database and delivers materials according to shareholder preference.

### Notice and Access model

The SEC Notice and Access or "E-Proxy" rules provide the opportunity to leverage technology and reduce the cost associated with the shareholder meeting process. Instead of a full-set proxy package, you can mail a Notice of Internet Availability to the majority of your shareholders that will direct them to a website where they can access shareholder materials, vote their shares, and request hard copies of the materials.

There are several factors to consider in making the choice to implement Notice and Access:

- Whether you fully adopt the Notice and Access model
- Use a full-set model
- Even use a combined targeted approach that blends

Notice of Internet availability mailings in combination with a full-set mailing (stratification).

The company is responsible for supplying shareholder materials to be mailed as well as reimbursing nominees (i.e., banks and brokers) for their reasonable costs to distribute the materials.

There are notifications that need to be completed to initiate the Notice and Access process. Please be sure to notify Broadridge as soon as you make the decision to utilize Notice and Access.

If you choose the Notice and Access model, take the following actions:

- Send a Notice of Internet Availability of Proxy Materials to shareholders at least 40 calendar days prior to the meeting date.
- Post proxy materials on a publicly accessible website other than the SEC's EDGAR site. Refer to the Solutions and Services section about our webhosting service.
- Provide hard copy materials upon request for one year after the shareholder meeting.
- File the proxy materials with the SEC prior to mailing the Notice of Internet Availability.
- **Note:** Shareholders can elect to continue to receive hard copy of materials.

### Additional thoughts



- The SEC permits your company and soliciting persons to include explanatory materials with their Notice of Internet Availability mailings to shareholders.
- Ten calendar days or more after sending the Notice of Internet Availability, your company may send a proxy card, a second votable notice or Vote Instruction Form to shareholders via a reminder mailing.
- The Notice and Access model cannot be used for business combination transactions (i.e. merger)



### Full-set proxy model



#### Step 1: Planning

Per SEC Rule 14a-13, notify Broadridge of your record date and meeting date at least 20 calendar days prior to the record date.

- Record date must be a business day (no holidays, no weekends).



#### Step 2: Distribution

SEC filings should be completed and documents posted to a website prior to Broadridge receiving the materials. Broadridge mails within five business days following receipt of materials and/or instructions.



#### Step 3: Voting

A 15-Day Initial Vote report will be issued so long as Broadridge mails more than 25 calendar days prior to your meeting.

### Notice and Access timeline



#### Step 1: Planning

Beneficial shareholder records are returned three business days after record date.



#### Step 2: Distribution

Notice must be created/approved seven business days prior to the 40th day to ensure that Broadridge can mail your notices on time, in order to stay in compliance.



#### Step 3: Voting

Finalize timeline after consulting legal counsel, bylaws, articles of incorporation.



#### Step 4: Fulfillment

Fulfillment requests for hard copy materials: up to 365 days after meeting.



## Record and meeting date notification

Submit the following via [MyService.Broadridge.com](https://myservice.broadridge.com):

- Record date
- Meeting date
- Class of stock
- Model of distribution – Notice and Access or Full-Set

## Proxy checklist (Prior to receiving hard copy materials)

- One sample of the final proxy card in PDF to [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com)
- PDFs of documents if Broadridge is webhosting or your URL link(s)
- List of enclosures
- Material delivery date to Broadridge and mail method/postage selection
- Surplus disposition

Prior to notifying Broadridge of your mailing, please ensure Broadridge has your company's correct corporate contacts, by submitting the Corporate Issuer Profile form.

## Delivery options

**For Full-Set mailings:** You'll receive estimated shareholder count and sets required; it does not include spoilage.

**For Notice and Access:** You'll receive estimated material count for those shareholders who requested full packages and the option to stratify a population to receive full packages; notice quantity excludes spoilage and fulfillment requests.

Please refer to the Delivery Guidelines & Spoilage chart available on [MyService.Broadridge.com](https://myservice.broadridge.com)

## Broker search date notification

- **SEC Rule 14a-13:** notify banks/brokers at least 20 business days prior to record date (fulfilled by notifying Broadridge).
- Use [MyService.Broadridge.com](https://myservice.broadridge.com) for efficiency.

## Stock exchange record date notification

- If listed, notify your exchange (e.g., NYSE) per their rules; broker search does not satisfy exchange requirements.

## Material request and record date confirmation

- Three business days after your record date notification: preliminary Material Request email.
- Three business days after official record date: Record date confirmation notice via email and online.



## USPS Mailer Identification (MID)

- USPS requires a six- or nine-digit MID for Full Service Intelligent Mail® that identifies the sender and the receiver of the mail piece count. Provide your MID; contact [MSSC@USPS.gov](mailto:MSSC@USPS.gov) or via phone: 1-800-522-9085; or Broadridge could obtain it for you.

## Broadridge postage calculator

- [MyService.Broadridge.com](https://www.broadridge.com/MyService/Broadridge.com) > Tools > Estimated Postage Calculator.
- There are many factors that will contribute to final postage rates.
- USPS Standard Mail Drop Ship: potential savings on certain weights/piece counts by drop shipping to USPS facilities.

## Postage options and delivery alternatives

<b>USPS First-Class Mail®</b>	3–6 business days	≤13 oz
<b>USPS Priority Mail®</b>	2–4 business days;	required for >13 oz First-Class
<b>USPS Standard Mail®</b>	7–14 business days, up to 3 weeks;	≥200 pieces or 50 lbs.; recommend mailing 30–35 days before meeting
<b>First-Class Alternative</b>	UPS-based, 4–7 business days;	non-letter package; ≥1 oz; ≥16 oz becomes Priority Alternative
<b>Standard Mail Drop Ship/ Non-Drop Ship</b>	Criteria/fees apply;	Bound Printed Matter if ≥16 oz; Parcel if ≥3/4" thick

### Note



If you have chosen the USPS First-Class Mail rate, and the materials are 13 ounces or greater, Priority postage rate will be used. If the thickness of material is also 3/4 inches or more, the package is considered Parcel and will mail via USPS Priority Parcel.

All First-Class Alternative envelopes are processed as non-letter-sized packages. The package weight requirement to qualify for this cost-saving mail method is a minimum of one ounce. If the package weight is 16 ounces or it will be indicated on the invoice as Priority Alternative.

**Notice:** If no mail class is chosen, default mail method is First-Class Alternative when material is received more than 15 days before meeting. If Broadridge receives proxy materials 15 days or less before the meeting, the default mail method is USPS First-Class.

## Foreign delivery:

1. First-Class Economy Blend (12–18 days)
2. IPA (5–7 days)
3. UPS courier (2–3 days)

For international destinations, USPS First-Class Mail, Priority Mail, and Overnight services are the only accepted postal options under existing customs agreements between the United States and participating countries.

## Stratified postage options

- Separate populations by share amount with different mail classes or distribution types (e.g., ≥10,000 shares via First-Class Alternative; others via Standard; or full packages to ≥10,000 shares and notices to the rest).
- Basic Service default: ≥20,000 shares and holders outside continental US via First-Class unless instructed otherwise.

## Spoilage chart

To prevent delays and reprints please review the spoilage chart available on [MyService.Broadridge.com](https://www.broadridge.com/MyService/Broadridge.com).



## Distribution

Distribution ensures timely, accurate, and compliant delivery of proxy materials to shareholders, supporting transparency, engagement, and cost-effective communication.

### Things to consider

- **Mailer Identifier (MID):** Your MID is required to stay in compliance with the USPS.
- **Material mailing:** We mail material directly to the shareholders on behalf of many banks and brokers; we may mail a large portion of your materials.
- **ShareLink® Service:** One-stop-shop approach providing material to registered and beneficial shareholders and also non-Broadridge broker clients.

### Mailing process (pre-, during, post-)

- Validate agenda information and VIF/Notice language, mailing instructions.
- We use National Change of Address (NCOA) to ensure packages are mailed to the shareholder's current address.
- Review printed addresses for clarity; hourly Quality Control checks on insertions; reconcile package counts pre-/post-mailing vendor handoff.
- Householding and consolidation; optimize postal discounts.

### Full-set proxy

- Mail within five business days from receipt of materials/instructions (SEC 14b-1/14b-2). Electronic delivery emails are released once hard copy mailing is completed.

### Hand insertion

- Additional fees for hand insertion/folding/nesting/nonstandard USPS dimensions (assessed case by case).

### Accelerated Mail Date (AMD)

- Guarantees earlier mail than standard five business days for a rush fee.

### Mail preference management and savings

- **Maintain preferences:** electronic delivery, householding, Notice and Access.

#### Note



Mail envelope, Business Reply Envelope (BRE), and Voting Instruction Form (VIF) add one ounce to package weight.



## Notice and Access distributions

- **Notice (First initial notice card):** You may stratify a population to receive full packages.
- **Full package (hard copy):** Within five business days materials/instructions after SEC filing.
- **Fulfillment:** Within three business days of request if Broadridge Inventory Management is used; otherwise, may take longer)

## Additional material handling

- **Folding:** per-piece charge if folding required; recommend printers half-fold letter-sized to 6” x 9” to reduce postage and avoid delays.

## Mail preference management details

- **Electronic delivery:** consented shareholders receive email notices with voting links; failure letters mailed if e-delivery bounces.
- **Consolidation:** multiple accounts, same holder/same broker receive one VIF set and one material set.
- **Householding:** one package per household (same last name/address) with separate VIFs; prior consent required.
- **ProxyEdge®:** electronic voting to institutions/money managers; one electronic set.
- **Managed account processing:** delegate voting to manager; “explode” votes back to underlying accounts for reporting.



## Voting

Voting is a critical part of corporate governance, ensuring shareholder voices are accurately captured, reported, and compliant with SEC and NYSE regulations.

### Things to consider

- **Regulations:** SEC and NYSE rules affect director elections and executive compensation.
- **Vote reports:** Reports are available only after mailing is completed.
- **Low votes:** Broadridge has tools for in-house solicitation if returns are low.
- **ShareLink® model:** Final Vote Report, complete Tabulation/Reporting for beneficial and registered; reconciled daily reports.
- **Inspector of Election:** This is available upon request.

### Discretionary vs. non-discretionary proposals

- Brokers (NYSE members) may exercise discretionary voting on routine proposals per NYSE Rule 452 if:
  - Proposal is deemed routine by NYSE
  - Mailing completed  $\geq 15$  calendar days prior to meeting
  - Mailing includes notice of meeting, Proxy Statement, financial statements
  - Broker participates in discretionary voting
- Banks (non-members) do not have discretionary voting rights.
- Non-routine proposals cannot receive broker discretionary votes.
- Broadridge cannot change routine/non-routine rulings; NYSE determines. Contact NYSE for changes.

### Regulatory changes

- Broker discretionary voting eliminated for all director elections.
- Say-on-Pay and compensation proposals are non-routine.

**Note:** Not all brokers participate in discretionary voting; plan accordingly.

### Proportional voting

- Some brokers apply proportional voting to uninstructed shares for routine items; calculated from instructed shares' distribution; typically issued two business days prior to meeting; recalculated as needed.

### Majority and plurality voting

- Plurality: top vote-getters elected; could be as low as one favorable share.
- Majority: nominees must receive a majority of votes cast.

**Note:** Consult NYSE before including routine/non-routine statements in Proxy Statement.

### Proxy vote reporting and status

- **MyService.Broadridge.com** displays unaudited summary tallies; not for tabulation.



## Voting instruments

### Notice of Internet Availability

- Required for shareholders not pre-consented to hard copy or email.
- Directs to ProxyVote.com for materials, voting, and requests.
- Educational insert is allowed.

### Proxy card language and Vote Instruction Form (VIF)

- VIF mirrors proxy card; includes meeting info, control number, proposals, options, account/shares, addresses, enclosures, signature box.
- Email final proxy card PDF to [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com) with company name and CUSIP.
- Broadridge applies NYSE rules for routine/non-routine coding.

During creation of the VIF, Broadridge follows the rules and guidance provided by NYSE to determine if a proposal should be routine or non-routine. Before including language in your Proxy Statement that describes if brokers can use their discretionary authority to vote, please contact the NYSE to ensure your understanding is accurate. Broadridge's obligation is to keep our brokers (NYSE members) compliant. Broadridge would be happy to provide guidance if asked, but suggest you contact NYSE directly.

### Follow-up VIF mailing

- Reminder or amendment mailings; can target non-voters/large holders; standard turnaround completion is 48 hours from material delivery.

### Product highlight: ProxyVote.com

- Customizable branding/colors/logo; embed video; link to VSM and pre-meeting questions; adaptable by holder type.

## Vote return options

- Internet: ProxyVote.com until 11:59 PM ET day before meeting/cutoff
- Telephone: number on VIF/Second Notice; cutoff same as internet
- Mail: VIF via BRE; option for Priority Return Service
- Legal proxy: Beneficial holders request via bank/broker to vote in person

## Vote reports

- 15-Day Initial Vote Report: if mailed  $\geq 25$  calendar days before meeting, first issued 15 days prior meeting date
- 10-Day Initial: if mailed  $< 25$  but  $\geq 15$  days prior meeting date, first issued 10 days prior meeting date
- Daily Supplemental if shareholders vote
- Day before Meeting: after 5:00 PM ET
- Day of Meeting: ~8:00 AM and ~12:00 PM ET

Initial vote report is cumulative; supplemental reports show only new votes.



# Invoicing

Invoicing ensures accurate tracking, transparency, and timely payment for services rendered, supporting efficient financial management and compliance.

## Things to consider:

- Up to four invoices:
  - Estimated postage (prepayment if >\$10K)
  - Processing
  - Up to two vote return invoices
- Special delivery requirements:
  - **For portal uploads:** [Electronicuploads@broadridge.com](mailto:Electronicuploads@broadridge.com) (lead time required)
  - **For POs:** email PO# to [AR-Issuer@ar.broadridge.com](mailto:AR-Issuer@ar.broadridge.com)
  - **Copies of Invoices and W-9s:** [BSG.Invoices@Broadridge.com](mailto:BSG.Invoices@Broadridge.com); phone call inquiries +1 631-254-7422
- Prepayments may include Envelopes/Form/BRE based on prior year's invoice.

## Estimated postage invoice

- Based on prior year's postage; adjust for Notice and Access if first time.
- Due upon receipt; remit via ACH/Fedwire preferred.
- **Questions:** [AR-Issuer@ar.broadridge.com](mailto:AR-Issuer@ar.broadridge.com).

## Processing invoice (within two weeks after mailing)

### Includes

- Processing fee (NYSE regulated)
- Preference management (NYSE regulated)
- Intermediary nominee coordination (NYSE regulated)
- Postage processing fees
- Bulk processing/drop shipment fees
- Envelopes/forms
- Notice and Access processing fee (NYSE regulated)
- Notice and Access optional services
- Failure letters (no paper/postage elimination fees charged)

## Invoice payment

- Net 30 days (estimated postage due upon receipt).
- **Payment methods:** Fedwire, ACH, Check (include CUSIP and invoice numbers; include remittance stub).
- **For email/electronic delivery setup or questions:** [AR-Issuer@ar.broadridge.com](mailto:AR-Issuer@ar.broadridge.com) or dial: +1 631-254-7422.

## Vote return invoice (within two weeks after meeting)

### Includes

- Internet/Telephone/Mail votes
- ProxyEdge® votes
- Notice and Access fulfillment (prior-year: 15 days after prior meeting through 365 days; current year: up to 14 days after current meeting)



## Solutions and services

### Contact

- **Email:** [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com)
- **Call:** +1 631-254-7067 (option 2)
- **John Dunn**, Head of Issuer Sales: +1 621-766-7365

### Simplify the Annual Meeting process

#### **Registered shareholder distribution (ShareLink®)**

- Manage registered mailings; dedicated team; end-to-end proxy process.

#### **EDGAR, Proxy Design, and Print Services**

- Typesetting, EDGAR conversion; SEC filing, print and distribution; affordable design; print right-sized quantities.

#### **Accelerated Mail Date (AMD)**

- Prioritized tender to postal vendor for expedited turnaround.

#### **Inventory management (Notice and Access only)**

- Secure warehousing to fulfill requests up to one-year post-meeting.

#### **Interactive online document conversion**

- Enhanced e-formats for AR/Proxy; responsive, searchable, navigable; direct voting links.

#### **Webhosting**

- Public posting of proxy materials per Notice and Access rule; efficient shareholder access.

#### **Shareholder meeting registration and validation**

- Register/verify attendees (registered and beneficial); security; insight for planning/execution.

#### **NOBO lists**

- Request and download via [Broadridge.com](https://www.broadridge.com)
- **Requirements:** company officer signature, notarized attestation, email to [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com).
- Security token delivered 4 business days post-record date; list available within 5 business days post-record date. Broadridge is required to validate the release of NOBO list with an authorized office of the issuer under our security protocol. If Broadridge is unable to validate the release of a NOBO list, the security token will be put on hold, and the office of the issuer must email us from company`s email domain for status update in order to release the list.

#### **Vote tabulation and reporting (stock transfer agent and registered clients only)**

- Comprehensive, reconciled, audited daily reports covering all segments when Broadridge handles registered and beneficial mailing.

#### **Inspector of Election (stock transfer agent and registered clients only)**

- Independent Inspector available.



## Engage shareholders and promote your brand

### Vote Connect

- Automated pre-communications/reminder call program with custom messages; target by population/time frame.

### Open enrollment website

- Collect e-delivery consents; consents stored and applied to future mailings.

### Virtual shareholder meeting (VSM)

- Online or hybrid meetings; live vote and Q&A; multiple options available.

### Shareholder data services

- Insights across ownership, ranges, history, projections, opportunity, timing; guide engagement strategy.

### Proxy Vote branding

- Customize voting site/emails; integrate logo/messaging; VSM and e-delivery enrollment.

### Follow-up (reminder) mailing

- **Notice and Access:** optional second Notice 10 days after initial Notice (with votable form); additional enclosures allowed.
- **Full-Set:** follow-up at any point to boost voting/send amendments.
- **Emails-only:** reminders to e-delivery shareholders.

### Additional proxy resources

- Analytical reports: meeting statistics, cost analysis on [MyService.Broadridge.com](https://MyService.Broadridge.com).

### Non-mailing data reporting

- Request form (officer-signed) required; email to: [BSGIssuerServices@Broadridge.com](mailto:BSGIssuerServices@Broadridge.com).

## Additional solutions

### Stock transfer agent and registrar solutions

- Client/Shareholder portals, U.S.-based call centers, onboarding checks, transparent contracts, scalable platform, ISO 27001 security.

### Non-proxy (interim) shareholder communication mailings

- Quarterly/annual reports, prospectuses, info statements, press releases.

### Analytical reports include:

- Geographic surveys (US/International)
- Standard/custom share range (pre/post-suppression; voted/unvoted; NOBO/OBO)
- Voted/Unvoted share range (active jobs pre-meeting)
- Broadridge bank/broker listing

### Corporate actions

- Communications for M&A, IPOs, splits; impactful online experiences.

### Workiva partnership

- Integrated print capability for Proxy, 10-Qs, 10-Ks.



## Broadridge hours and delivery guidelines

### **Broadridge Financial Solutions**

51 Mercedes Way  
Edgewood, NY 11717  
Receiving Office: +1 631-254-7297  
24-Hour Direction Hotline: +1 631-254-7553

### **General receiving hours**

- May–February: Mon–Fri 8:00 AM–4:00 PM (Closed Sat/Sun)
- March–April: Mon–Fri 6:30 AM–4:00 PM (Closed Sat/Sun)

Delivery after 4:00 PM post next Business Day. Deliveries may be diverted to a nearby warehouse. No COD/Bill-to-Recipient.

Electronic shipment notification: [TheHut@Broadridge.com](mailto:TheHut@Broadridge.com)  
(Subject: “Broadridge Delivery [Trucking Company/Printer]”).  
Attach Manifest/Packing Slip.

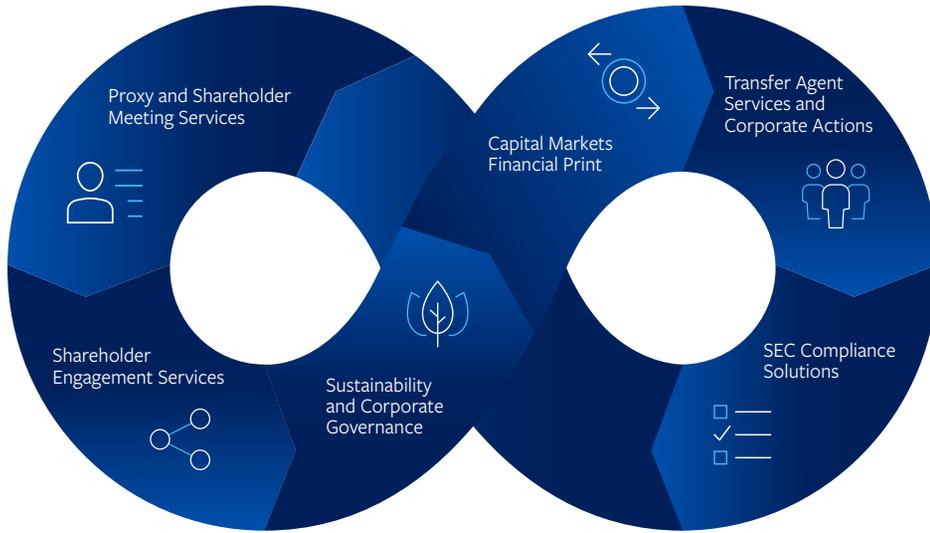
### **Guidelines**

- Manifest/packing slip (one per shipment) required (UPS/FedEx/DHL); mixed enclosures box: place packing slip on top.
- Skids:
  - Max: 42”W x 48”L x 50”H
  - Good quality; shrink-wrap  $\geq 3$  times
  - Use “Power Pack”/“Gaylord” for 10,000–200,000 pieces; cardboard wrap, wood top, shrink-wrap, bands in both directions
- If no cardboard wrap: corner boards, wood top, at least four turns of shrink-wrap, banding both directions
- Do not load skids sideways in trailer
- List dimensions (LxWxH) on power packs

### **Please do not:**

- Wrap materials individually, in sets, or in plastic
- Put separators between pieces
- Full box/bundle counts (except partials)

Skids should have crossbeam supports front/back and be wrapped properly.



We empower corporate issuer clients with trusted expertise and the transformative data and technology to help them optimize engagement with investors, regulators and capital markets.

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Our technology and operations platforms process and generate over 7 billion communications per year and underpin the daily average trading of over \$15 trillion of equities and fixed income trades. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 15,000 associates in 21 countries.

[Broadridge.com](https://www.broadridge.com)



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