

Streamline manufacturing and distribution services

The Broadridge Funds Transfer Agency Solution

Gain a strategic advantage with the innovative and integrated Broadridge Funds Transfer Agency Solution. This fully integrated system includes trust accounting, general ledger and complete back office support. This multi-company solution operates on a single platform to provide large financial institutions and third-party administrators increased speed to market and improved cost efficiencies.

THE LEADING SOLUTION FOR INTEGRATED ASSET MANAGEMENT, ROBUST ORDER PROCESSING AND FLEXIBLE PRODUCT CAPABILITIES.

- Surpass competitors with support for Front-End, Deferred, and No Load fund families all in one instance
- Accelerate product launches with built-in compliance tracking for all account types
- Easily outsource regulatory and tax technology compliance to focus on business growth
- Manage multiple fund companies on a single platform with complete back-office support
- Multi-company support boosts efficiency for large financial institutions and third-party administrators

EXECUTE OMNI-CHANNEL SUPPORT ACROSS THE ENTIRE FIRM

The Broadridge Funds Transfer Agency Solution eliminates the need for multiple satellite programs or systems. Create cost efficiencies by reducing the need to reconcile inconsistent processes. Streamline distribution across multiple lines of business and channels including direct sales, fundserv direct, partner distributors or white label fund dealers. Automatically filter channels, workflows and business rules to accelerate business delivery of product and processing modifications. A single, efficient system integrates investor recordkeeping, account maintenance, tax reporting and statements.

OPTIMIZE COST-EFFICIENCY USING SCALABLE TECHNOLOGY

With seamless integration to Broadridge dealer distribution systems and the Broadridge Wealth Platform, a single platform delivers transformational cost savings and enhanced efficiency. With the Broadridge Funds Transfer Agency Solution, most traditional TA business and exception processing functions are automated and initiated from within the dealer system, significantly reducing TA operations complexity, resource requirements and risk. Comprehensive STP with automated error correction processing further improves cost and time savings.

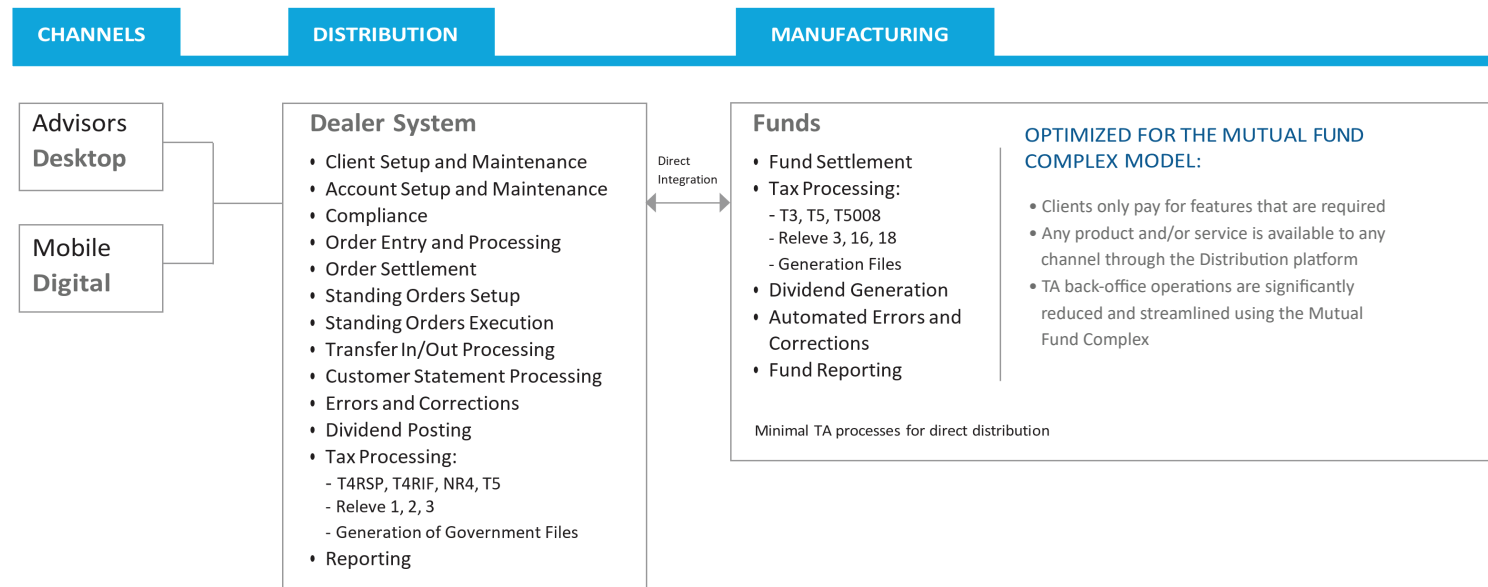
BROADRIDGE REDUCES THE COMPLIANCE BURDEN

Full regulatory and tax support with parameter-driven product compliance features. Regulatory changes are made once and filtered through to business workflows without additional coding or implementation. Online compliance for KYC and KYP processes with support for all account types. By relying on Broadridge to assure regulatory and tax technology compliance, you allow your staff to focus on what matters most, growing your business.

ACCELERATE OPERATIONAL EFFICIENCY WITH A SINGLE PLATFORM

Broadridge delivers a single, consolidated Wealth Platform designed to modernize your ecosystem and ensure future success. The Broadridge Wealth Platform empowers with a flexible, scalable ecosystem. Firms can utilize the full platform or individual components on the same normalized data and system framework. You can easily integrate Broadridge capabilities, proprietary tools, or any third-party applications.

The Broadridge Funds Transfer Agency Solution is optimized for Broadridge enterprise distribution systems and designed to address the specific needs of financial institutions who have integrated manufacturing and distribution services.



Detailed Specifications		
<p>Multi company support for an unlimited number of fund issuers on a single system.</p> <ul style="list-style-type: none"> Support for a wide range of fund products including front-end, deferred and no-load fund families Mutual fund trusts and corporations, new funds and white label products created on demand 	<p>Run all your asset management businesses on one system. A strategic advantage for large financial institutions and third party administrators.</p>	
<p>Full regulatory and tax support with parameter-driven product compliance features. Regulatory changes are made once and filter through to business workflows without additional software coding or implementation.</p> <ul style="list-style-type: none"> Online compliance and KYC, KYP processes Regulatory and functional support for all account types including non-registered, registered and RESP/RDSP grant plans 	<p>Save cost and time by outsourcing the increasing regulatory and tax compliance burden to Broadridge allowing your staff to focus on growing business. Be nimble and shorten implementation cycles.</p>	
<p>Proven modern, scalable technology with 'always available' online processing. Highly configurable products, regulatory rules and business workflow attributes are parameterized. Changes are made through real-time configuration that automatically filters to channels and workflows.</p> <ul style="list-style-type: none"> Complete back office support including settlement, reconciliation and dividend processing Built on standard API, multi-threaded online and batch services Integrated seamlessly with Broadridge Wealth Platform 	<p>Easily maintained and cost efficient with the ability to integrate with enterprise systems, eliminate system downtime, and the API exposes business functions that allow you to create customized user interfaces.</p>	