

Transform Your Workflow for Operational Efficiency, Risk Reduction and Cost Savings

THE CURRENT STATE: MANUAL, SILOED AND INEFFICIENT

The financial services industry faces numerous operating model challenges. Today, the process of resolving settlement failures between sell-side and buy-side firms is manual and prone to error and inefficiency. It involves offline and time-consuming communications between multiple counterparties. This leads to greater operational risk, siloed communication channels, and a challenging user experience, which has been underscored by the volatility in the securities markets over the past year.

With the Central Securities Depository Regulation (CSDR) coming into effect by February 2022, the industry needs a solution that significantly reduces exceptions and effectively addresses the new regulation's requirements.

THE NEW STATE: AUTOMATED, COLLABORATIVE AND EFFECTIVE

The Strategic Gateway for Settlement Workflow aims to bridge operational gaps that currently exist in multi-party exception management with a collaborative approach. The solution combines Broadridge's industry-leading post-trade platforms and data with AccessFintech's cloud-based operations and data workflow. This ensures that sell-side firms achieve significant efficiencies such as cost savings, risk mitigation, faster remediation, and a seamless experience for their buy-side clients.

The Broadridge and AccessFintech Strategic Gateway for Settlement Workflow provides the ideal solution for firms to transform the way in which multi-party settlements work today – creating a synergized ecosystem for the industry.

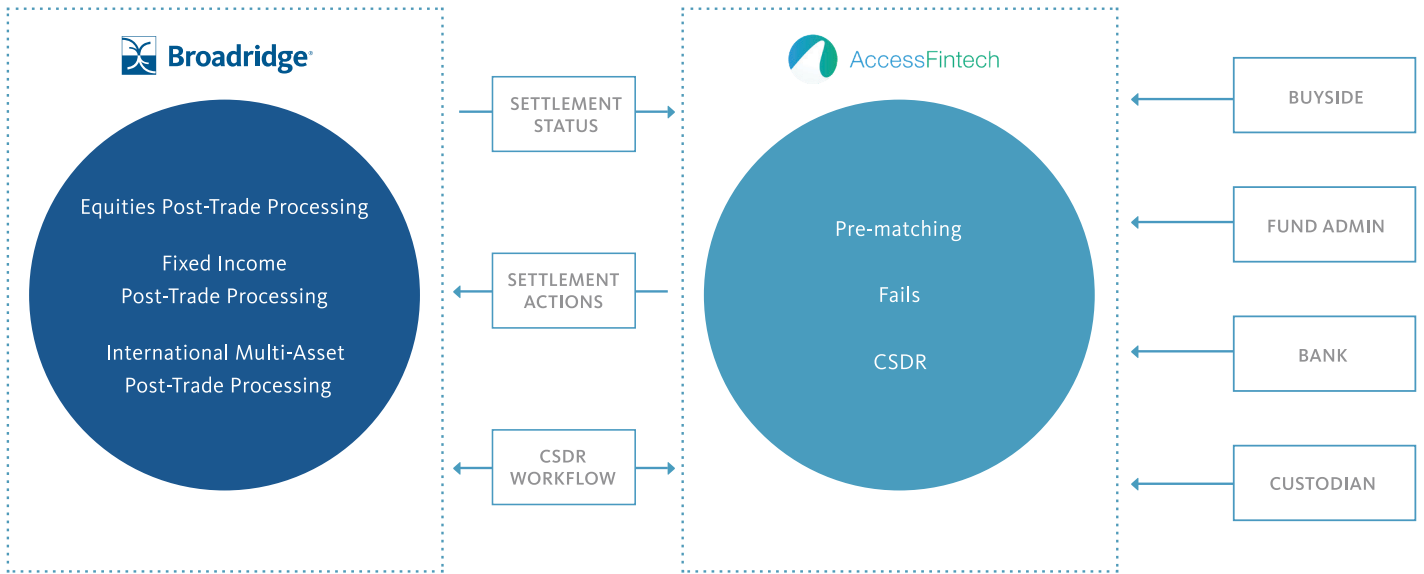
The Strategic Gateway for Settlement Workflow enables banks, broker-dealers, prime brokerages, and custodians to:

- Reduce operational risk by ensuring high-quality, consistent data powers a real-time view of multi-party exceptions and enables prioritization
- Investigate and resolve settlement exceptions on AccessFintech's UI, with direct connectivity to Broadridge's post-trade platforms
- Benefit from a faster, cost-effective integration of data and implementation experience
- Collaborate with a global network of participants and share data securely with multiple counterparties, accessing Broadridge's expansive sell-side network
- Automate the workflow using AccessFintech Synergy and transform firms' ability to compare data and resolve multi-party settlement exceptions and issues efficiently



The Strategic Gateway for Settlement Workflow, consists of two components:

1. An Adaptor component to access consistent, high quality data from Broadridge post-trade platforms, reducing operational risk and enabling faster, more cost-effective integration and onboarding
2. A Workflow component to enable execution of actions from AccessFintech's UI in Broadridge post-trade platforms, transforming the experience of resolving multi-party settlement fails

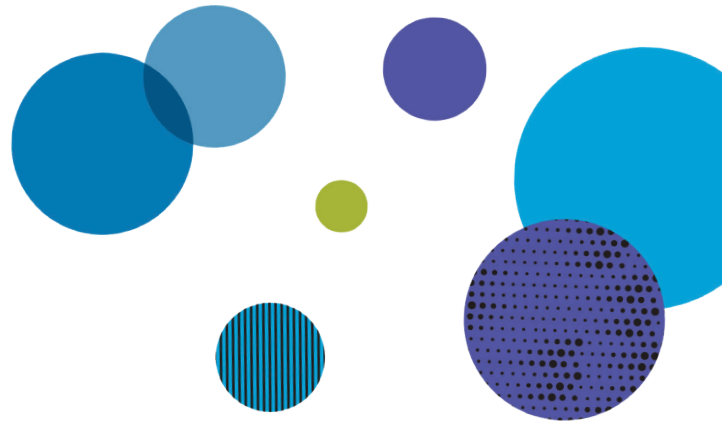


About AccessFintech

AccessFintech' Synergy Network enables optimization of cross organization processes. This is achieved through collaboration, the use of data, workflow and shared technology access. By enabling users to collaborate on data, it transforms operations to simplify and speed workflows, reduce liquidity risk, and provide valuable benchmarking insights.

The Synergy network is built of leading financial institutions with a critical mass of data, participants and solutions where more than a billion transactions are now being processed every month.

For further information please go to AccessFintech.com.



About Broadridge

Broadridge, a global Fintech leader with over \$4.5 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and intelligence. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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