

Best-in-class compliance and document management solutions.

**YOUR TRUSTED SOURCE
FOR CAPITAL MARKETS,
COMPLIANCE AND SHAREHOLDER
COMMUNICATIONS SOLUTIONS**

MORE EFFICIENCY, MORE CONVENIENCE AND MORE VALUE

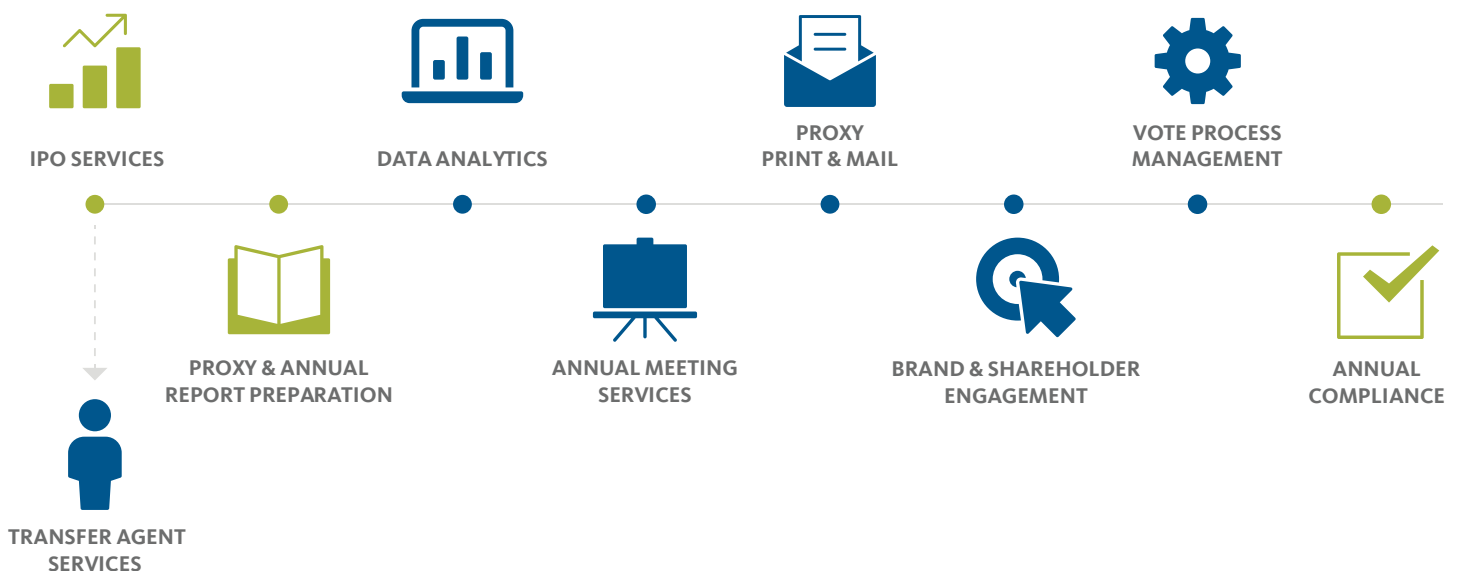
With the acquisition of Summit Financial Disclosure, Broadridge now provides the industry's only true single-source solution for all your document management, SEC compliance and shareholder communications needs. Whether you're about to go public, managing disclosure documents, planning your annual meeting or communicating with shareholders, we can help you do more, with less effort, at lower cost. Our full range of services now includes:

- Document composition (typesetting, EDGAR HTML and XBRL)
- Filing with SEC
- Proxy and annual meeting services
- Online voting
- Data, analytics and shareholder engagement strategy and tactics

A SIMPLE, SMART, STRATEGIC APPROACH

Broadridge simplifies the entire disclosure and communications lifecycle with a single, seamless process. Intuitive solutions, expert guidance and data-driven insights are always right at your fingertips.

A single source, end-to-end solution



MEETING ALL YOUR COMPLIANCE AND SHAREHOLDER COMMUNICATIONS NEEDS, FROM DATA TO DISTRIBUTION

Together, Summit and Broadridge combine innovative technology, deep expertise and exceptional service to help you from disclosure creation to distribution:

Become more efficient

Navigate SEC regulation and complex procedures such as notice and access, meeting every deadline with an end-to-end solution.

Simplify workflow

Benefit from a simpler, seamless experience as we handle every step of the process.

Maximize control

Maintain oversight while ensuring the safety and security of shareholder data.

Boost results

Increase engagement using enhanced proxy design, real time insights and augmented shareholder communications.

Reduce costs

Streamline disclosure preparation and filing with smart technology. Maximize postage and print savings, and drive savings to your bottom line.

EXPERIENCE THE VALUE OF SINGLE-SOURCE SIMPLICITY

Enjoy the speed and convenience of a more streamlined, efficient process. Our unique, single-source solution eliminates complexity so you can achieve deeper insight, greater transparency and better governance—while enriching the shareholder experience.

OUR EXPANDED SUITE OF INNOVATIVE SERVICES



IPO Services

- Virtual dataroom
- IPO composition
- EDGAR and SEC filing
- Roadshow distribution
- Share Certification



Proxy Print & Mail

- On-demand printing
- Targeted and reminder mailings
- Stratification and consolidation



Transfer Agent Services

- Shareholder services
- Stock transfers
- Corporate actions
- Call center



Brand & Shareholder Engagement

- Customized communications.
- Enhanced packaging
- Branded vote and virtual meeting Uis



Proxy & Annual Report Preparation

- Enhanced Proxy design
- Annual report and earnings release design
- HTML/XBRL
- SEC filing



Vote Process Management

- ProxyVote™ online voting
- Daily vote insight
- Master tabulation



Data Analytics

- Shareholder insight
- Trend analysis
- Retail engagement communication strategy



Annual Compliance

- Full service and software for SEC EDGAR and XBRL filing for:
 - 10, Qs, 8Ks
 - Other SEC filings



Annual Meeting Services

- Proxy processing
- Virtual meeting
- Registration and attendance management
- Inspector of Elections

Broadridge, a global fintech leader with over \$9 billion* in market capitalization, provides communications, technology, data and analytics solutions. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth. *As of November 2017

broadridge.com

Ready for Next

Communications
Technology
Data and Analytics

