

Rules-Based. Focused. Proactive.

Broadridge Compliance and Surveillance: The more efficient way to mitigate risk and protect your firm's interests.

Defend against risk with an intelligent, rules-based compliance and surveillance solution. Designed with vast industry expertise and hands-on user input, this data-driven engine automatically flags anomalous behavior and minimizes false positives, providing the accuracy and efficiency required for more confident compliance.

A COMPREHENSIVE, PROACTIVE APPROACH TO COMPLIANCE AND SURVEILLANCE

The Broadridge Compliance and Surveillance solution is a multi-asset platform built to help broker-dealers surveil and monitor a wide range of activity.

Focus compliance where it's needed.

Leverage efficient, comprehensive visibility and targeting across your firm based on risk.

Identify trends that deviate from the firm's rules.

Process more data than the human eye can see, quickly and accurately.

Apply automated rules-based rigor.

Gain smarter compliance with less effort through an automated approach.

Increase accuracy.

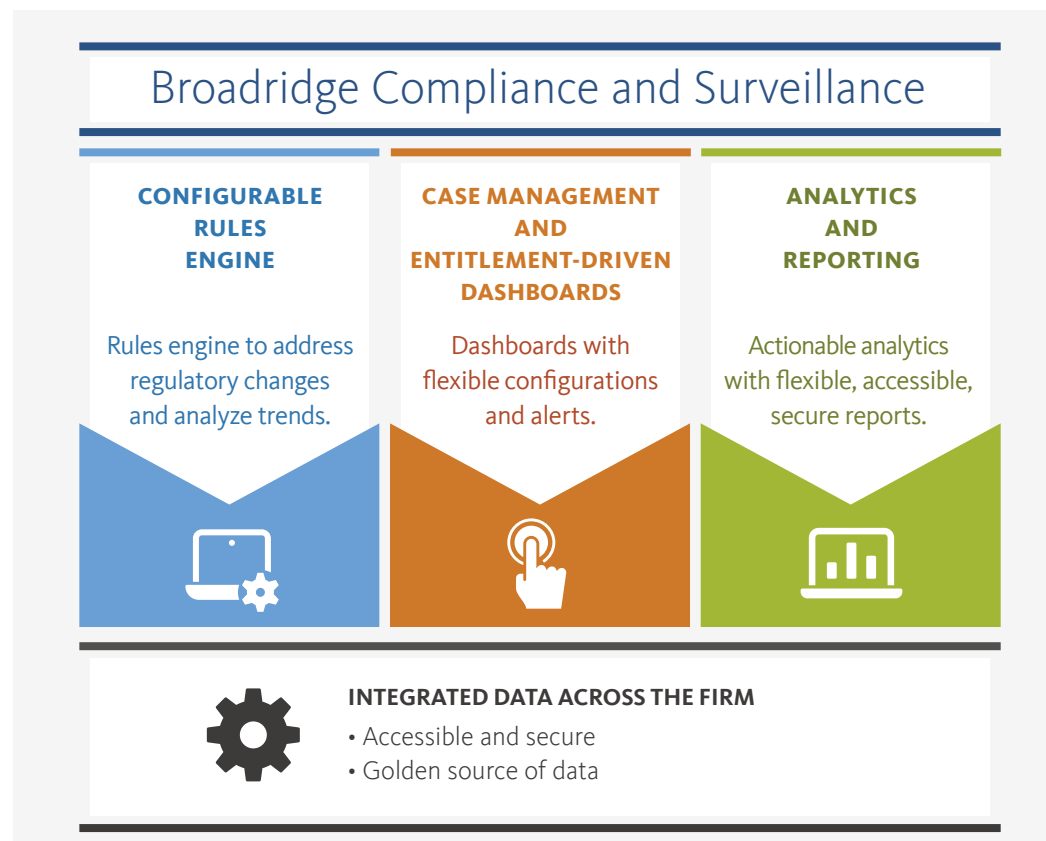
Apply an efficient data-driven engine to minimize human error.

Create reports quickly and easily.

Use the intuitive dashboard to rapidly produce reports configured to your custom parameters.

Increase your compliance confidence.

Broadridge puts advanced technology at your fingertips.



Protect your firm in a rapidly changing compliance landscape

Compliance today is more challenging than ever. Rising SEC and FINRA standards, changing markets and client requirements, evolving asset classes and system integration challenges—these often overwhelm legacy tools. Manual processes, brute force and random sampling rarely provide the necessary visibility.

Wealth management firms need an automated, rules-based and focused solution that is also flexible enough to adjust to changing requirements, conditions and systems. The Broadridge Compliance and Surveillance solution offers this flexibility and more, helping firms to efficiently spot behavioral trends that could lead to potential violations.

ACHIEVE CENTRALIZED AND EFFICIENT CASE MANAGEMENT.

Increase accuracy and efficiency in your compliance and surveillance efforts across your entire firm. An automated, rules-based solution with access for varying levels of users delivers actionable insights. An intuitive dashboard and flexible, configurable rules engine make compliance and report customization easy across differing workflows. Minimize current risks while a predictive analytics engine works to identify red flags to protect your business interests.

- Flexible, shareable dashboards
- Configurable rules library and workflow capabilities
- Actionable data-driven analytics to flag potential issues
- Customizable reporting
- Capture of all case activity and related content and comments
- Secure, accessible audit trail and document storage

PROACTIVELY IDENTIFY AND MONITOR:

- Changes in asset risk profiles
- Case management workflows
- Holistic view of held-away assets
- Advisor activities
- Pre- and post-rules and trends
- Risky or anomalous behavior
- Compliance violations
- Updated regulatory requirements
- Investment opportunities

DISCOVER HOW YOU CAN CONFIDENTLY KEEP YOUR FIRM IN COMPLIANCE WITH BROADRIDGE COMPLIANCE AND SURVEILLANCE.

Contact your Account Representative or visit us online at broadridge.com/resource/wealth-compliance-and-surveillance-solution

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