

# Document Management Solutions

## OUR NEW DOCUMENT MANAGEMENT AND SEC EDGAR SOLUTION STREAMLINES REGULATORY COMPLIANCE MANAGEMENT FOR MUTUAL FUNDS.



Maximize control



Transparent billing with no hidden fees



Fast turnaround and convenient service



Flexible delivery model



Stay in compliance



Consolidation of all documents with one provider

## SINGLE-SOURCE EFFICIENCY, CONVENIENCE AND VALUE

Experience convenience and control with the only true single-source solution for all your document management, SEC compliance and regulatory communications needs. We offer full-service composition and design services for complex projects as well as self-service software to help you manage the preparation of your prospectuses and financial reports, other regulatory SEC documents, with less effort, at lower cost. Our services include:

- Full service document composition and self-service software flexibility
- EDGAR HTML conversion and SEC filing for your prospectuses, financial reports and other regulatory documents
- Team of CPAs experienced in XBRL Mutual Fund Risk and Return
- Design and translation services
- On-demand and offset print capabilities

## ENSURE ACCURACY AND COMPLIANCE EACH TIME YOU FILE.

Count on us to streamline and simplify your compliance with SEC disclosure requirements. We are the second largest filer with the SEC and successfully process over 60,000 filings each year. Whether you choose self-service or let us perform the heavy lifting, our flexible delivery model lets you work the way that works best for you.

## LIGHTNING FAST, INNOVATIVE SOFTWARE

Create your documents quickly and accurately with PROfile, our proprietary HTML/XBRL document composition and SEC filing software. Make changes once and our software automatically updates your content in every format: HTML, XBRL, Typeset, PDF and MS Word.

## DEDICATED STAFF AT YOUR SERVICE 24/7

We stay on top of regulatory changes to keep you in compliance. Our team of service specialists, SEC filing experts and licensed CPAs are tenured and experienced in all aspects of the document disclosure process. They are available 24 hours a day to address your service requests promptly, precisely and confidentially.

## A SIMPLE, SMART, STRATEGIC APPROACH

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

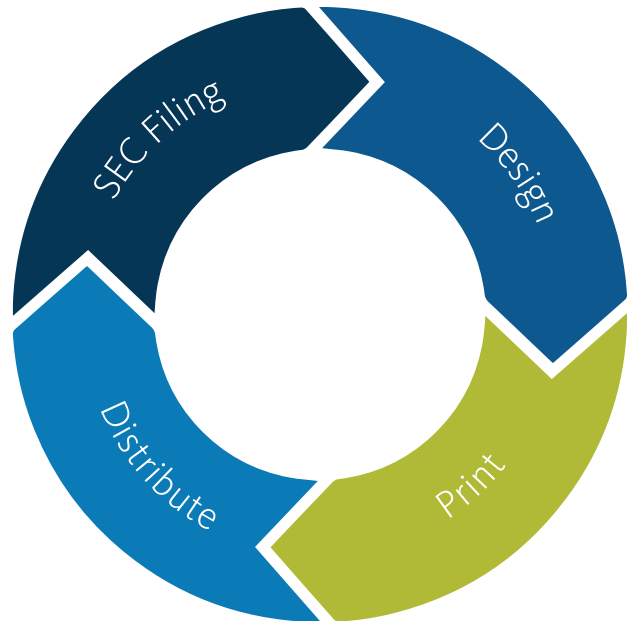
### Maximize control

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

### Reduce costs

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

To learn more, please contact your Broadridge representative, or call us toll-free at +1 844 364 4966 or e-mail us at: [info@broadridge.com](mailto:info@broadridge.com).



Broadridge, a global fintech leader with \$4 billion in revenue, 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.

[broadridge.com](http://broadridge.com)

Ready for Next

Communications  
Technology  
Data and Analytics

