Broadridge®

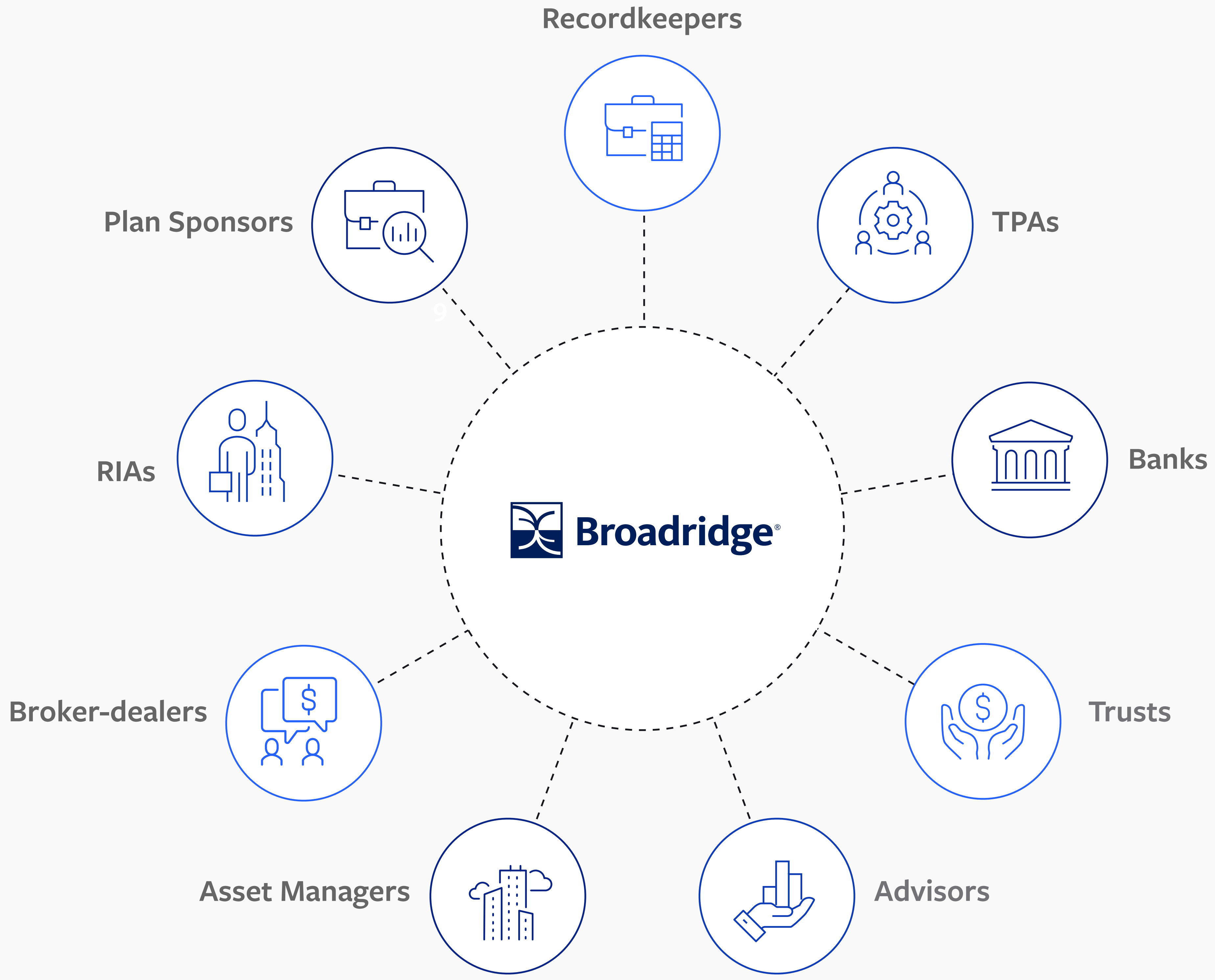
Strengthen client relationships and grow market share

Drive business forward with trusted Retirement and Workplace solutions.

Our industry faces continuous margin pressure and operational challenges — while client demands rise every day.

Constant innovation will help you stay ahead. Broadridge can help transform your business in ways others can't. Tap into a full spectrum of specialized technologies and services designed to help you manage client relationships and grow market share. We offer a full line of solutions to help you be ready for whatever challenges come next.

Delivering confidence as a trusted partner



ABOUT MATRIX TRUST COMPANY

Matrix Trust Company, established in 2002 and now a subsidiary of Broadridge Financial Solutions, Inc., provides services such as named trustee, directed trustee, discretionary trustee, custodian, sub-custodian, and paying agent for qualified and non-qualified plans, foundations, endowments, OPEB trusts, and HSAs/HRAs. Matrix Trust Company retains an independent, certified public accounting firm to conduct SOC 1 Type 2 internal audits of its procedures and controls. Matrix Trust does not provide recordkeeping services, investment management, or investment advisory services directly. We consider you a partner, not a competitor.

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Comprehensive Broadridge solutions

Drive accuracy and efficiency with streamlined trust operations

Aggregate, reconcile, and process trust and custodial transactional data with a highly automated platform.

- Utilize Matrix Trust Company for custodial and sub-custodial trustee services — directed or discretionary.
- Improve account oversight with real-time visibility into plan holdings, disbursements, and transaction details.
- Allocate the time you save toward growing, retaining, and strengthening client relationships with a trusted partner operating behind the scenes.

The Matrix Platform: Facilitate the exchange of information needed for trust and custodial services as well as trading functions.

Trust and Custody Services: Access efficient cashiering and back-office operational services.

Proven reach: We service over 280,000+ retirement accounts, including 401(k), 403(b), non-qualified, and pension plans.

Discover more

Trust and Custody
Sub-custody

Recordkeepers | TPAs | Banks | Trusts

Broaden your capabilities with an automated next-gen trading platform

Access the trading interfaces, daily reconciliation, real-time visibility, and results needed to help you grow your business.

- Trade 30K+ mutual funds, fractional ETFs, and CITs on a single, robust platform.
- Leverage an intuitive front-end portal that delivers everything you need to manage your plans effectively.
- Increase accuracy and efficiency with a complete suite of streamlined trading solutions with comprehensive fee recapture.
- Gain the automation and reporting capabilities required to better manage sweep, liquidity, cash, and treasury portfolios via a single portal.

The Money Market Portal: Count on Broadridge to negotiate trading agreements, open new accounts, and handle trade executions and settlements on your behalf while you retain full ownership of your positions.

Mutual Fund, ETF, and CIT Trading Platform: Achieve straight-through trade processing with industry-leading automation for both custodial and non-custodial assets. Reduce errors, streamline entry time, and support daily reconciliation.

Discover more

Money Market Portal

Broadridge

Attract and retain valuable employees and clients

Support the unique needs of even your most complex clients when you add alternative employer-sponsored retirement plans to your offerings.

- Perform efficient, seamless processing of defined benefit plan services, from pension payment through tax reporting and withholding.
- Count on an experienced staff with over 25+ years dedicated to non-qualified plan services.
- Gain support for corporate-owned life insurance (COLI) and bank-owned life insurance (BOLI) servicing and reporting with paying agent services that include participant tax reporting and a 1041 informational letter.
- Tap into lower plan costs and take the complexities out of Pooled Employer Plans (PEPs).

Non-Qualified Plan Administration Platform: From trading to discretionary trust services, rely on the leading provider of Rabbi Trust solutions to meet the unique retirement needs of key executives and select employees.

Defined Benefit and Pension Plan Services: Utilize directed trustee services for your cash balance, traditional pension, or profit-sharing plans. Choose whether custody of assets is held by the trustee or held away. Benefit from streamlined trading, contribution processing, benefit payment distributions, tax reporting, revenue collection, and reporting on one defined benefit platform.

Pooled Employer Plans (PEP): Accelerate time to market to quickly realize the cost savings that right-fit PEPs can provide to small businesses. Broadridge is your proven partner for comprehensive PEP management, performance reporting, and compliance services.

Discover more

Non-Qualified Plans

Pooled Employer Plans

Differentiate your practice

Deploy customized, advisor-managed retirement-plan strategies that add flexibility, competitive pricing, and expanded opportunities for investment managers.

- Add variety and flexibility when you utilize funds outside of the plan's core lineup.
- Rebalance and update investment selections and allocations as you choose.
- Turn to our expert team for answers about valuations, expenses, and dividends.
- Gain transparency required to meet plan fiduciary obligations.

Unitized Managed Accounts (UMAs): Create a plan-specific daily fund, typically with funds outside of the core investment lineup. UMAs are unitized at the individual plan level, comprised of equity, fixed-income, or employer-stock investments, and provide plan-specific historical performance.

ModelTool(k)it™: Gain operational efficiencies when you enable investment managers to directly access, create, and manage plan-level strategies. This solution applies to mutual funds, ETFs, and CIT-based model portfolios, and segregates assets to avoid creating an unregistered mutual fund.

Separately Managed Accounts (SMAs): Achieve a high level of customization when required. Our SMAs allow for stocks, bonds, options, limited partnerships, certificates of deposit, and mortgage-backed securities. They can be custodied on an approved Advent Custodial Network platform of your choice.

Employer Stock Unitization: Unitized company stock portfolios allow plans to hold their employer stock within a retirement plan. Unitization happens at the individual plan level and offers daily liquidity for participants invested in the company stock.

Discover more

ModelTool(k)it™

Comprehensive Unitization Services

Stand out and offer more

Set your firm apart, streamline your operations, and expand the availability of your funds. We bring flexibility, insight, and know-how to every step as we help you develop, design, implement, and optimize CITs within retirement plans.

Our comprehensive CIT services include:

- Fund accounting and unitizations services for daily valuation.
- Transfer agency and shareholder accounting.
- Audited financial statements.
- Fund fact sheets and fund performance reporting.
- Oversight of investment managers and the investments within the fund.

Trustee and Investment Management: Matrix Trust Company serves as trustee, administrator, advisor for CIT funds, and engages sub-advisors with a variety of management styles from passive to active. Our team provides fiduciary oversight, in-house fund accounting, shareholder administration and settlement, performance, audited annual financial reports, and customizable fact sheets.

Platform consolidation: CITs are available on any qualified plan platform and can reduce the administrative load of running models. Matrix Trust Company has agreements in place with most of the major platforms to support our CIT trading.

Discover more

Collective Investment Trusts

Retain account balances of all sizes

Avoid losing assets through rollovers, force-outs, and terminations with a cost-effective alternative to managing IRAs on a 401(k) system.

- Utilize a state-of-the-art-platform with a vast investment universe and robust digital capabilities.
- Enlist Broadridge as custodian to simplify plan rollovers.
- Choose from fully outsourced or white-labeled options to fit your needs.
- Integrate seamlessly into your existing infrastructure regardless of your market segment or system capabilities.

Fully outsourced Safe Harbor IRA: Remove the burden of establishing a plan-by-plan Safe Harbor process by automating the establishment of IRA rollovers under Safe Harbor provisions. This allows companies to automatically move terminated participants from their plan by creating an IRA on their behalf with Matrix Trust Company, which includes access to an account holder website, service support, and fulfillment of SECURE 2.0 requirements.

White-labeled comprehensive IRA solution: Gain unparalleled flexibility in investment selection, advice, education, and custody options for IRA accounts while highlighting your brand. We combine the IRALOGIX recordkeeping platform with custodial services from Matrix Trust Company to provide an end-to-end solution with easy, paperless account set-up and management, electronic document filing, a mobile-friendly digital interface, e-signatures, and more.

Discover more

Individual Retirement Accounts

Broadridge

Streamline critical fee-management processes

Centralize fee data, automate workflows, and utilize sophisticated reporting dashboards to simplify revenue optimization and increase fee accuracy.

- Make accurate, timely payments to RIAs, TPAs, and other partners.
- Streamline critical fee processes to implement an effective client billing workflow.
- Address compensation levelization requirements in alignment with the DOL rule.

Compensation Payment Solutions: Rely on us to automate your advisor payment process. Centralize and streamline your process across recordkeepers and home offices by flowing payments through Broadridge Compensation Payment Services.

Revenue Recapture Service: Entrust Broadridge to automate mutual fund revenue workflows on behalf of client accounts, and to negotiate and maintain mutual fund agreements.

Level Fee Compensation Service: Choose industry-standard efficiency for levelizing broker-dealer compensation in alignment with DOL rule fiduciary requirements.

Discover more

Compensation Payment Solution

Level Fee Compensation Service

Recordkeepers | TPAs | Banks | Trusts | Advisors

Transform your communications process

Automate and consolidate your communications in an all-in-one platform that seamlessly supports the entire benefit-communications ecosystem.

- Drive greater enrollment and participation with a turnkey automated workflow that streamlines and personalizes communications at every step.
- Create highly relevant, client-centric communications that make it easy for participants to act.
- Nurture lasting relationships by delivering the right communications at the right time for every milestone.
- Take the complexity out of staying compliant with changing regulations as you automate regulatory notices and disclosures.
- Continuously capture and analyze engagement metrics via a user-friendly dashboard to pinpoint opportunities for improvement.
- Allocate the time you save toward growing, retaining, and strengthening client relationships.

Discover more

MarCom CX

Campaign Tool

MarCom CX: Create customized content at scale using adaptive, automated workflows. Map out complex end-to-end journeys with MarCom CX personalization tools and real-time analytics.

Campaign Tool: Use our self-service marketing platform for personalized collateral. Customize content designs, workflows, and distribution. Print on demand.

Innovate to your advantage

Diversify and drive your business forward with ever-evolving Retirement and Workplace solutions from Broadridge. These specialized technologies and services can help you strengthen and manage client relationships as you grow market share.

Harness Broadridge innovations to transform your business.

To learn more about our solutions and services or to schedule a demonstration, please contact us at:

Sales@Broadridge.com

or call +1 855 252 3822

Broadridge Financial Solutions (NYSE: BR) is a global technology leader with the trusted expertise and transformative technology to help clients and the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients — driving operational resiliency, elevating business performance, and transforming investor experiences.

Our technology and operations platforms process and generate over 7 billion communications per year and underpin the daily trading of more than $10 trillion of securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 14,000 associates in 21 countries. For more information, please visit www.broadridge.com.

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Ready for Next