

# Fast-tracking digital transformation through next-gen technologies

How leading firms are accelerating growth



# Digital transformation: Redefining opportunity

Discover how leading firms are improving the customer experience, creating efficiencies and driving business growth through digital transformation.

This extensive global Broadridge study explores the financial, operational and strategic benefits of digital transformation. It charts the progress of firms of different regions, sizes and sectors. And it details the approaches firms take to successfully accelerate digital transformation across various use cases and focus areas, as well as their priorities for the future.

## WHAT SHOULD YOUR FIRM DO NEXT?

Insights gleaned from interviews with C-level executives from 750 firms worldwide will help you gain a robust view of:

- The value of innovation
- The drivers of digital maturity
- The progress of your peers
- Opportunities to accelerate your success

## TABLE OF CONTENTS

1. SETTING THE STAGE	3
2. THE BUSINESS CASE	6
3. DIFFERENCES BY FIRM SIZE AND REGION	8
4. THE PATH FORWARD	12
5. NEXT-GEN TECHNOLOGIES	16
6. THE CHALLENGES FIRMS FACE	18
7. ACCELERATING INNOVATION: DON'T GO IT ALONE	20
8. ABOUT THE STUDY	21

This 2022 Broadridge Digital Transformation and Next-Gen Technology study builds on our 2021 Next-Gen Technology study. It takes a wider view of innovation in digital transformation, for more comprehensive insight into what underpins digital maturity and defines leadership, including:



Transformation of customer experiences, workflows and processes, and use of data and analytics



Adoption of next-gen technologies, AI, blockchain, the Cloud and digital (The ABCDs of Innovation®)



The strategic and organizational components of transformation

## SETTING THE STAGE

# Global study breaks down opportunities across firms of every size and stage of transformation.

Broadridge partnered with Thoughtlab Group to conduct a robust phone-based survey of senior executives from 750 firms globally.

### THE SAMPLE

#### 750 SENIOR EXECUTIVES

- 65% C-suite | 35% C-level-1 executives
- Representing APAC | EMEA | North America
- All with a solid understanding of the use of next-gen technologies at their firm

#### 10 SUB SECTORS IN FINANCIAL SERVICES AND HEALTHCARE

- Universal bank or full-service financial institution
- Broker-dealer
- Commercial or investment bank
- Hedge fund
- Insurance company
- Investment/asset manager including mutual fund/ETF manager
- Private equity/private debt
- Wealth manager
- Retail bank
- Healthcare payer

#### FIRMS OF VARIOUS SIZES (ASSETS OR AUM)

- \$1B–\$9.9B
- \$10B–\$49.9B
- \$50B–\$249.9B
- \$250B–\$499.9B
- \$500B+

[See appendix research and sample detail >>](#)



# The Broadridge Digital Transformation Maturity Framework

Broadridge bases its Digital Transformation Maturity Framework on:

1

Progress in each of the three digital focus areas

EXPERIENCES



WORKFLOWS



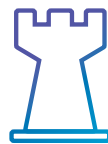
ANALYTICS



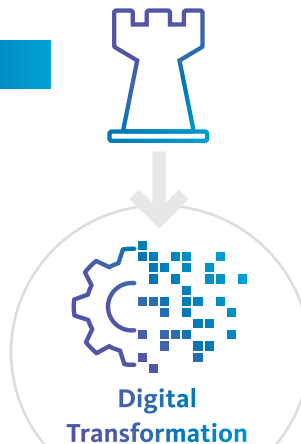
2

Progress in developing the strategic and organizational components of transformation

STRATEGY



ORGANIZATION



3

Level of implementation of key next-gen technologies that underpin digital transformation

AI



BLOCKCHAIN



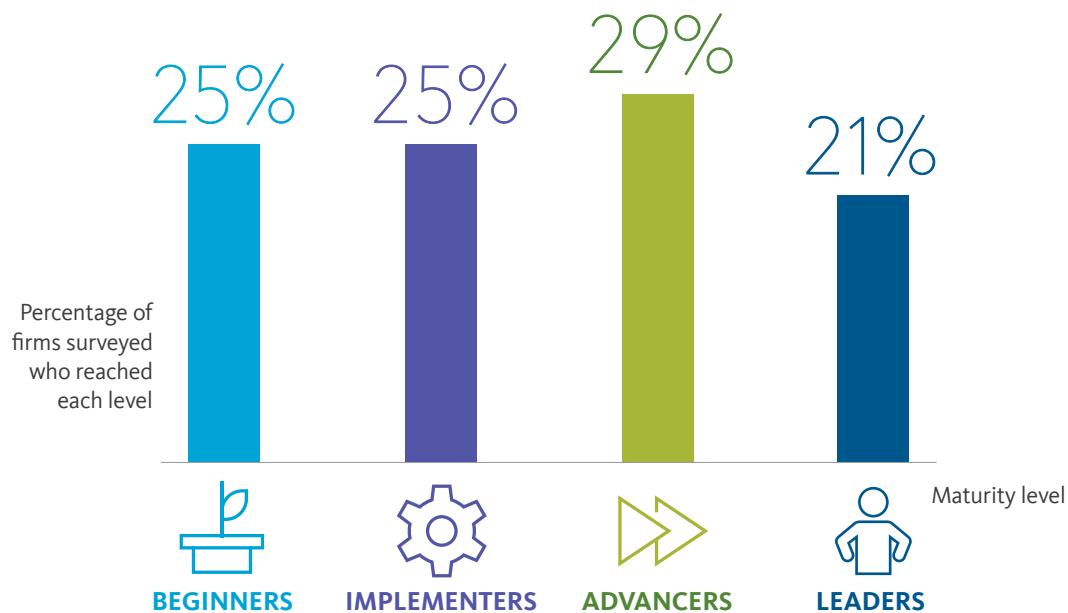
THE CLOUD



## SETTING THE STAGE

On this basis, the framework generates a Maturity Score for each firm, categorizing them as either Beginners, Implementers, Advancers or Leaders.

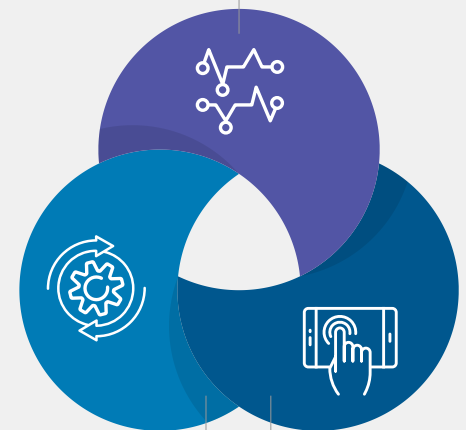
### THE DIGITAL TRANSFORMATION MATURITY FRAMEWORK



[See appendix for scoring methodology >>](#)

### INTERLOCKED REQUIREMENTS

**Powerful data management and analytics**  
fuel customer experiences, streamline workflows and guide strategic decision-making.



**Seamless customer experiences** drive client satisfaction and revenue growth.

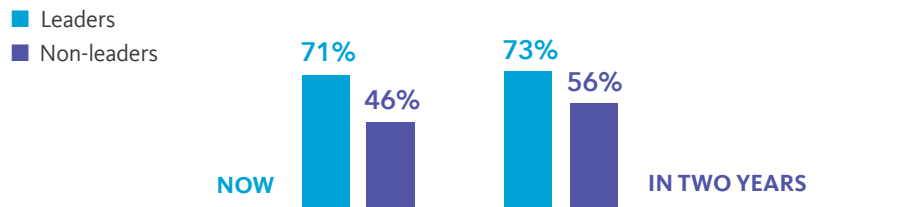
**Efficient back-end processes and workflows** underpin customer experiences and create operational efficiencies.

## THE BUSINESS CASE

# Why is digital transformation so essential?

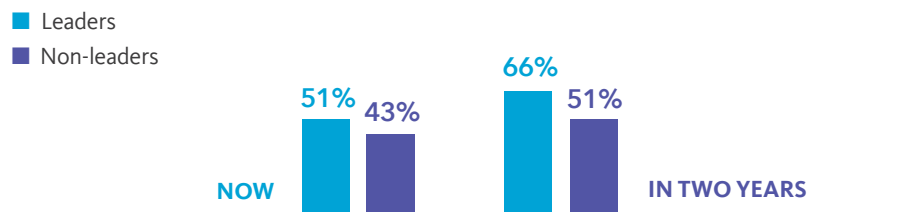
Leaders report significant advantages. They are 1.5 times more likely to report increased revenues from digital transformation.

### INCREASED REVENUE



Firms also report improved return on digital investments as they advance in digital transformation.

### IMPROVED PROFITABILITY



Q: How is a focus on digital transformation and next-gen technologies creating value for your company now, and how do you expect them to create value (or continue to create value) over the next two years? (Applies to both charts above.)

### DIGITAL TRANSFORMATION DRIVES PERFORMANCE IMPROVEMENTS ACROSS THE CUSTOMER LIFE CYCLE.

*“With digital transformation, significant improvements have been made to fraud detection, customer loyalty, and trade and investment analysis for optimizing returns.”*

—CHIEF OPERATING OFFICER, COMMERCIAL OR INVESTMENT BANK, GERMANY

*“We have streamlined a lot of internal systems to reduce long-term costs and are also realizing incremental revenues, improving investment performance and enhancing the customer experience.”*

—CHIEF INVESTMENT OFFICER, ASSET MANAGEMENT FIRM, U.S.

*“Digital transformation, integrated into all aspects of operations, procedures, and strategy, has helped us to quickly identify customer needs and strengthen efficiency overall.”*

—CHIEF TECHNOLOGY OFFICER, INSURANCE COMPANY, BELGIUM

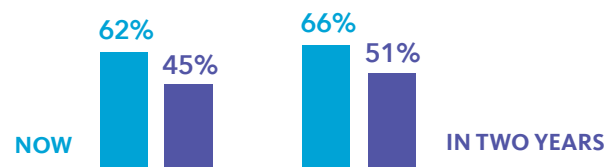


## THE BUSINESS CASE

As firms advance in digital maturity, they often find that a focus on data and analytics improves strategic decision-making.

### IMPROVED PLANNING AND DECISION-MAKING

■ Leaders  
■ Non-leaders

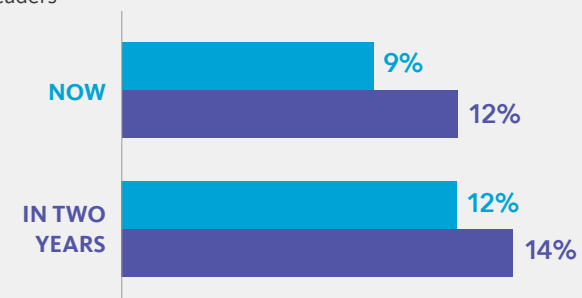


Q: How is a focus on digital transformation and next-gen technologies creating value for your company now, and how do you expect them to create value (or continue to create value) over the next two years?

Leaders plan to increase the percentage of their overall annual IT budget devoted to digital transformation over the next two years. Non-Leaders expect to increase their spending on transformation to an even greater percentage as they strive to close the gap.

### AVERAGE % OF TOTAL IT BUDGET INVESTED IN DIGITAL TRANSFORMATION AND NEXT-GEN TECHNOLOGY SOLUTIONS

■ Leaders  
■ Non-leaders



Q: What percentage of your company's total annual IT budget (including your central IT and enterprise-wide budgets) does your company currently invest in digital transformation and next-gen technologies and solutions? What percentage do you expect to spend two years from now?

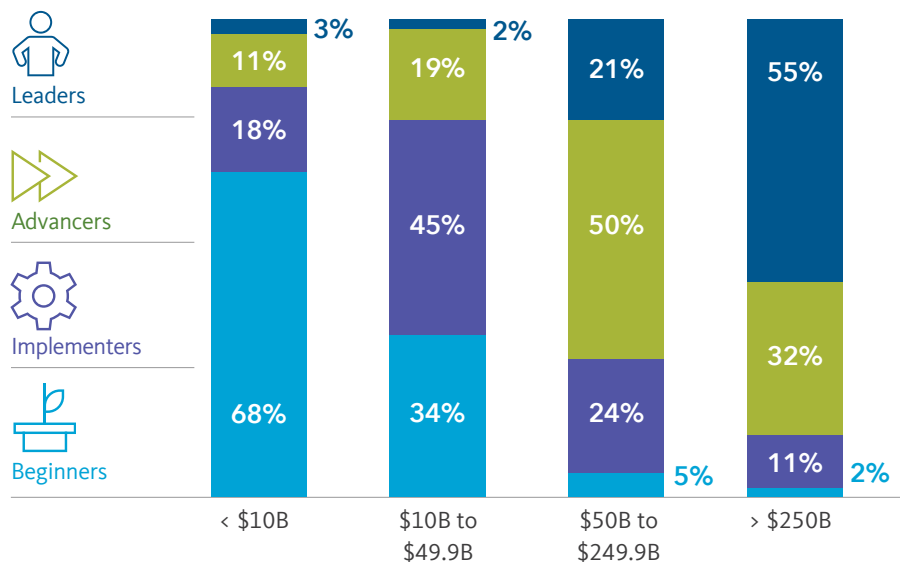
## DIFFERENCES BY SIZE AND REGION

# A closer look at firm characteristics uncovers key differences.

### SIZE

As expected, greater digital transformation maturity levels correlate with larger firm size. However, firms of all sizes have an opportunity to transform their business models in the face of rapid change.

#### TOTAL ASSETS/ASSETS UNDER MANAGEMENT (AUM)\* (% of firms at each maturity stage)



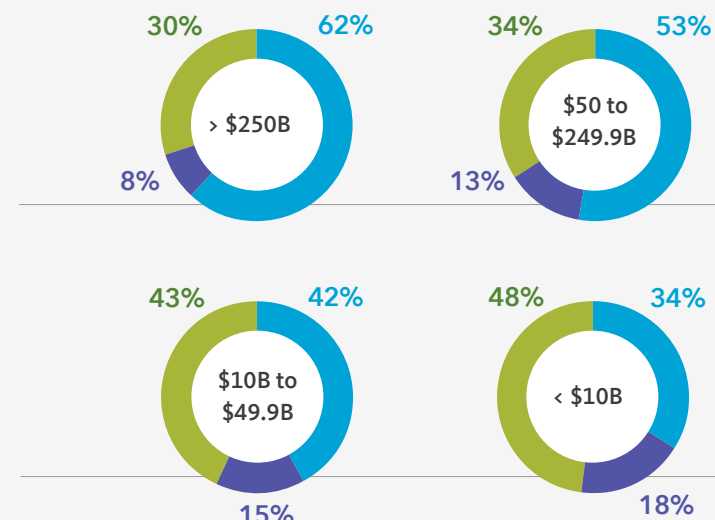
\*Total assets (sell side) and total assets under management (buy side)

During the pandemic, larger firms were also more likely to accelerate digital transformation—further widening the maturity gap.

#### BY SIZE

(AUM or assets\*)

■ Faster ■ No impact ■ Slower



Q: In your view, how has the pandemic affected your firm's operating model and next-generation technology strategy?



## DIFFERENCES BY SIZE AND REGION

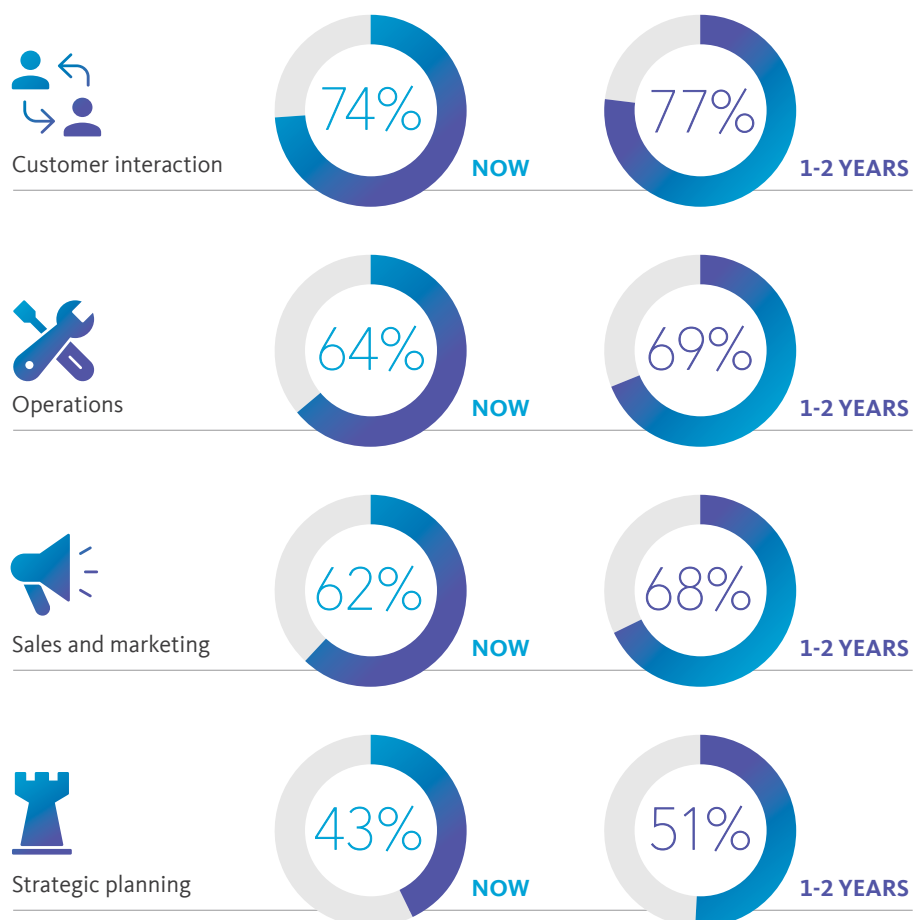
### SIZE

Firms at all size tiers and maturity levels share the same top priorities.

Leaders are more unified on citing these priorities among their top three.

### TOP FOUR DIGITAL TRANSFORMATION PRIORITIES

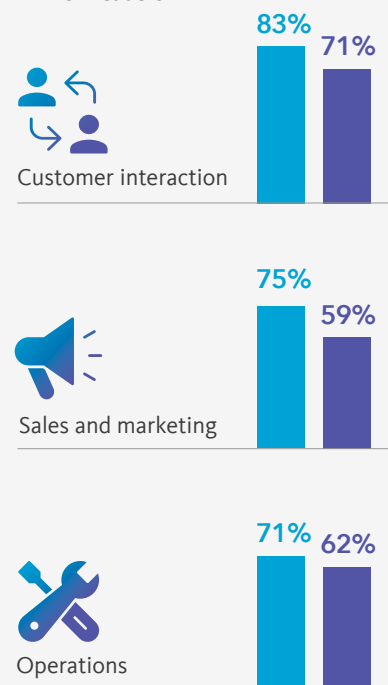
(% of firms prioritizing these business activities or processes)



### TOP THREE DIGITAL TRANSFORMATION PRIORITIES

(% of firms prioritizing)

■ Leaders  
■ Non-leaders



*“We are able to gain a 360-degree perspective of all customer interactions across all channels, allowing us to accelerate the shift to a customer-centric operation.”*

—CHIEF FINANCIAL OFFICER/FINANCIAL DIRECTOR, HEDGE FUND, U.S.

*“We have been using advanced monitoring tools and technology solutions to track and understand a customer’s mindset so that we can offer them personalized services according to their needs.”*

—CHIEF INFORMATION OFFICER, RETAIL BANK, CANADA

Q: Which business activities and processes are you prioritizing for improvement through digital transformation now and which ones will you prioritize, or continue to prioritize over the next two years? Select all that apply.

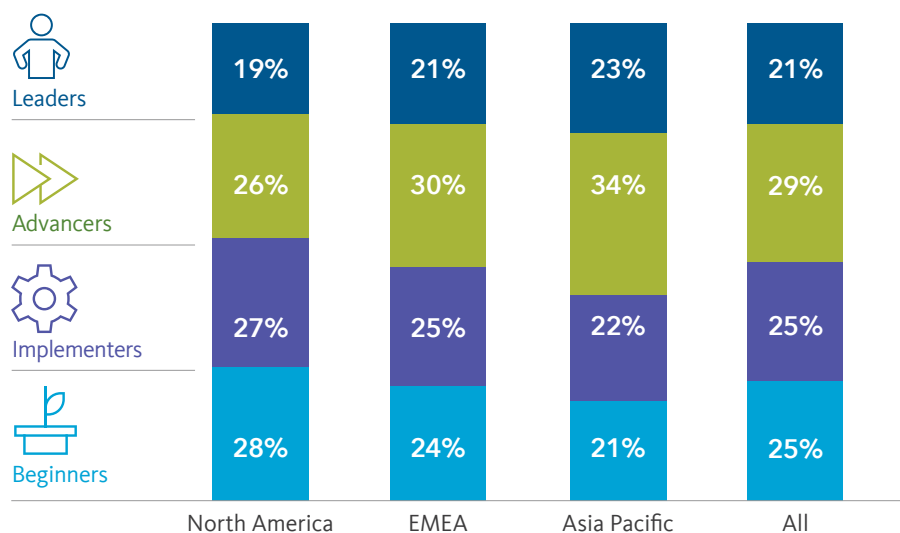
## DIFFERENCES BY SIZE AND REGION

### GEOGRAPHY

There is relative consistency in maturity across regions, though Asia Pacific has a higher percentage of firms in the later stages of digital transformation.

#### DIGITAL TRANSFORMATION MATURITY LEVELS

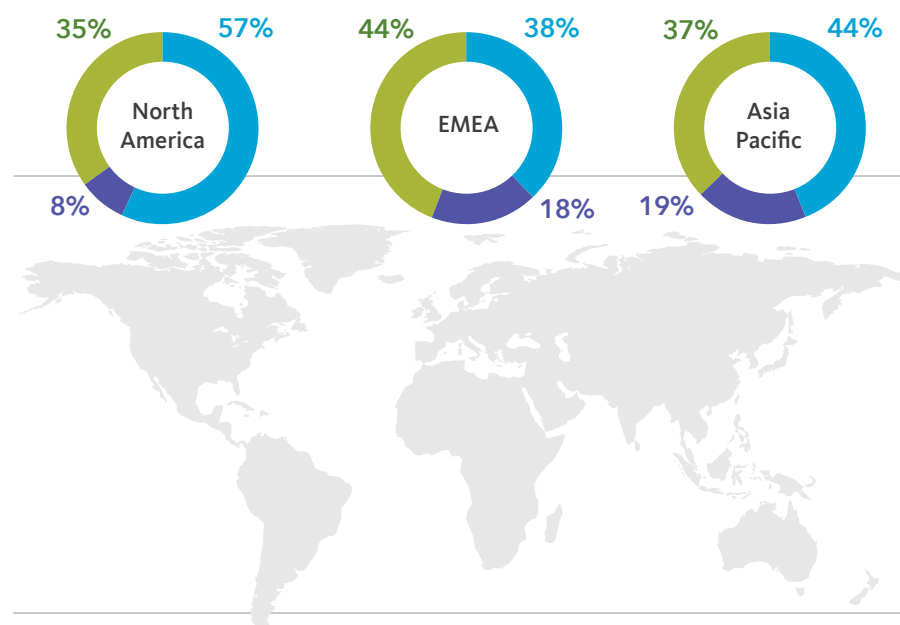
(% of firms)



A shift may be coming, however. A higher percentage of firms in North America report that they are accelerating the pace of change.

#### PACE OF IMPLEMENTATION

■ Faster ■ No impacts ■ Slower



Q. In your view, how has the pandemic affected your firm's operating model and next generation technology strategy? Pace of change

## DIFFERENCES BY SIZE AND REGION

### SECTOR

Firms vary widely in digital maturity level by sector.



Note: Numbers per sector may not add to 100% due to rounding.

# How will your firm capitalize on the benefits of digital transformation?

The roadmap should include a strategy for driving the three key areas of digital transformation (Experiences, Workflows and Analytics), and the activities that underpin them.



## EXPERIENCES

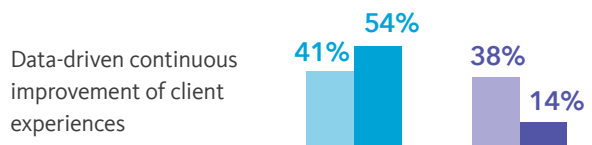
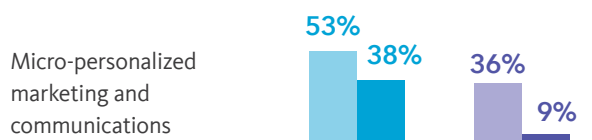
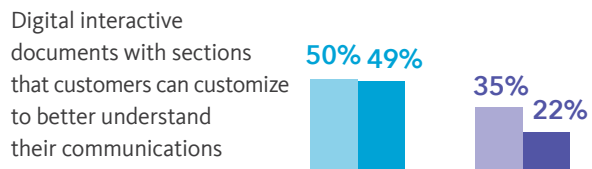
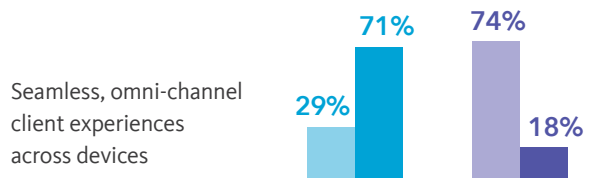
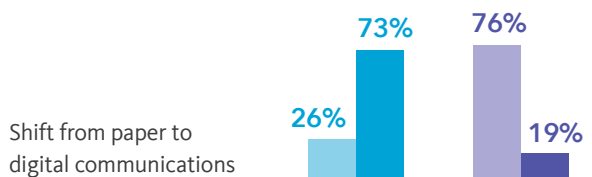
Firms are advancing rapidly in digitalizing communications and customer experiences, with more than half of Leaders and Non-leaders already at the mid to advanced stages of implementation.

### PROGRESS IN KEY ACTIVITIES UNDERPINNING DIGITAL TRANSFORMATION OF CUSTOMER EXPERIENCE

(% of firms)

Leaders, mid-implementation  
Leaders, advanced implementation

Non-leaders, mid-implementation  
Non-leaders, advanced implementation



Q: How much enterprise-wide progress has your company made in the following areas of digital transformation and how much progress do you expect to make in two years? Rank each element by implementation stage.

#### HOW DO YOU DEFINE PAPERLESS?

Many organizations have ambitions of shifting their entire customer base from paper to digital communications; however, the value proposition for the customer to do so is often lacking. To accelerate adoption, revisit the digital communications experience.

*“Interactive documents and personalized communications play a key role in improving the customer experience.”*

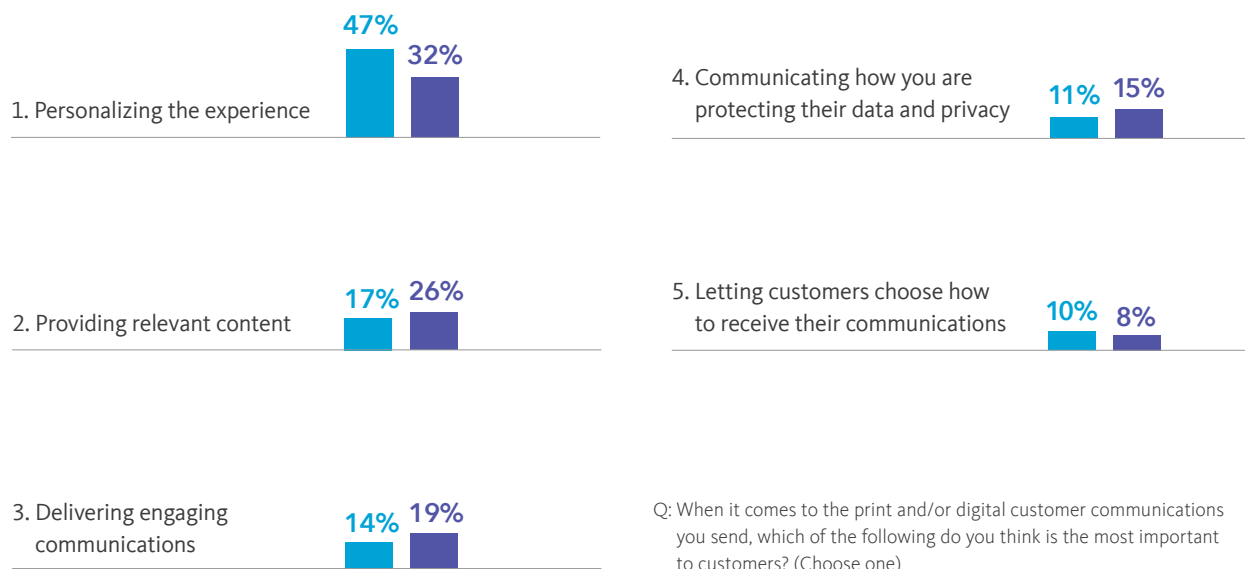
—CHIEF MARKETING OFFICER  
INSURANCE COMPANY, CHINA

## CRAFTING EFFECTIVE COMMUNICATIONS

Across paper and digital communications, firms feel that personalization is most important to their customers.

### WHAT FIRMS BELIEVE MATTERS MOST TO CUSTOMERS WHEN IT COMES TO THE COMMUNICATIONS THEY SEND (% of firms)

■ Leaders  
■ Non-leaders

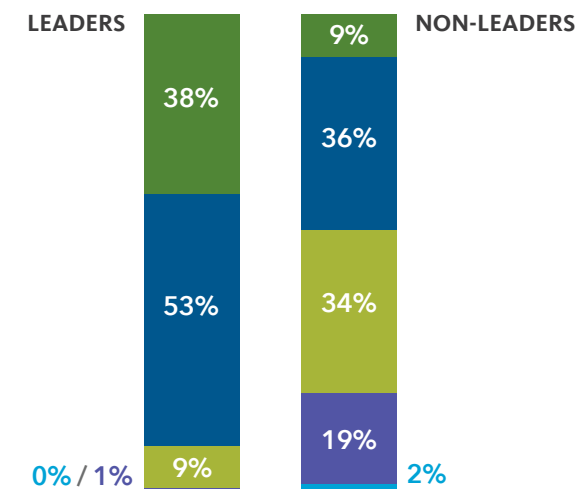


In another Broadridge study, 3,000 consumers in North America cited that companies using plain language (49%) was most important to them, followed by companies providing relevant content (42%), and summarizing the most important items to know (42%).

Most leaders are in the later stages of implementing micro-personalization capabilities.

### MICRO-PERSONALIZED MARKETING AND COMMUNICATIONS UNIQUE TO EACH USER (% of firms at each stage of implementation)

■ Not considering  
■ Early implementation  
■ Advanced implementation  
■ Planning stage  
■ Mid-implementation



*“We have adopted a data-centric approach that incorporates the use of machine learning to provide hyper-personalized solutions to our customers.”*

—CHIEF FINANCIAL OFFICER/FINANCIAL DIRECTOR,  
WEALTH MANAGER, U.S.





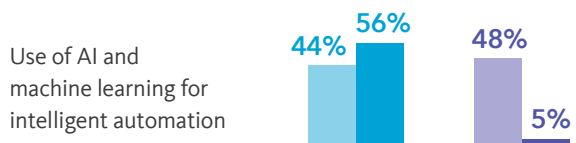
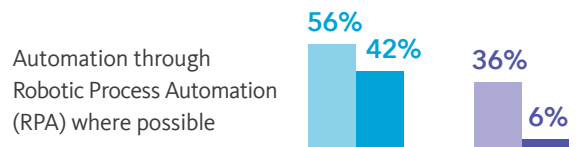
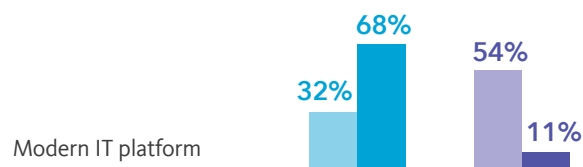
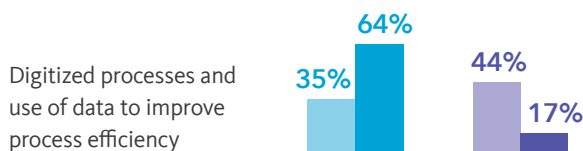
## WORKFLOWS

Increased transaction volumes, the growing complexity of regulatory requirements and the drive for efficiencies make workflow digitization and automation essential. Leaders recognize this: More than 90% are in the later stages of workflow digitization. Yet, legacy systems continue to inhibit transformation, and many manual and paper-based processes still remain for both Leaders and Non-leaders alike.

### PROGRESS IN KEY ACTIVITIES UNDERPINNING DIGITAL TRANSFORMATION OF WORKFLOWS

(% of firms)

■ Leaders, mid-implementation   ■ Non-leaders, mid-implementation  
■ Leaders, advanced implementation   ■ Non-leaders, advanced implementation



Q: How much enterprise-wide progress has your company made in the following areas of digital transformation and how much progress do you expect to make in two years?



### CASE IN POINT: MACHINE LEARNING APPLIED TO RECONCILIATIONS

Firms often grapple with time-consuming and manual reconciliation of transactional and customer data. Using machine learning, it's possible to increase match-rate performance, reduce the time and cost of managing breaks and achieve a significant decrease in manual effort.

*"We can now automate complex workflows across multiple applications very quickly and provide rapid support to meet customer needs."*

—HEAD OF BUSINESS UNIT/DIVISION,  
COMMERCIAL OR INVESTMENT BANK, CHINA

## THE PATH FORWARD



### DATA AND ANALYTICS

Advanced use of digitized data and analytics is fundamental to all aspects of digital transformation. It fuels strategic decision-making, helping to identify risks and opportunities, as well as ways to optimize processes across the front, middle and back office and enhance customer journeys.

More than 90% of Leaders have reached the later stages of implementation of data and analytics but Non-leaders lag in this key capability.

#### PROGRESS IN KEY ACTIVITIES UNDERPINNING DIGITAL TRANSFORMATION OF DATA AND ANALYTICS

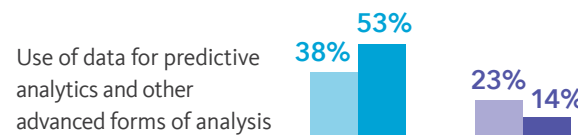
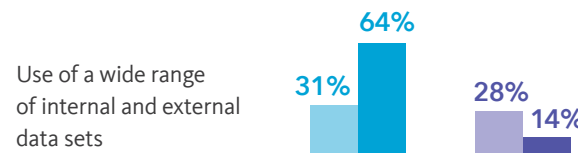
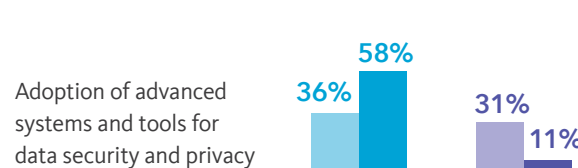
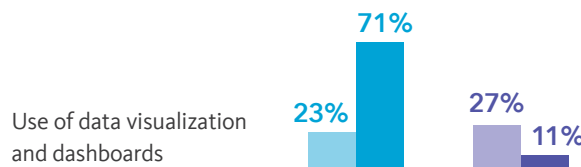
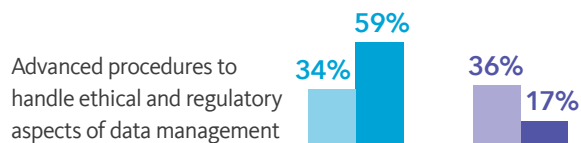
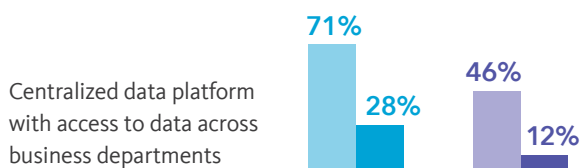
(% of firms)

Leaders, mid-implementation

Leaders, advanced implementation

Non-leaders, mid-implementation

Non-leaders, advanced implementation



Q: How much enterprise-wide progress has your company made in the following areas of digital transformation, and how much progress do you expect to make in two years?

*“Tracking the user journey and using historical data, we offer new and customized products and services to our customers.”*

—CHIEF INFORMATION OFFICER, RETAIL BANK, CANADA

#### HOW CAN NON-LEADERS BRIDGE THE GAP TO ACCELERATE TRANSFORMATION AND CATCH UP?

Data management and analysis is one of the most challenging aspects of enterprise-wide digital transformation. Most firms turn to external providers to gain access to specialized expertise, resources and visualization tools.

#### USE OF EXTERNAL PROVIDERS FOR DATA AND ANALYTICS

Mostly external providers

Roughly equal

Mostly build in-house



Q: Approximately what percentage of solutions in each area of digital transformation do you develop in-house vs. using external technology providers?

#### CASE IN POINT: DATA MANAGEMENT

New software products are helping firms transform their business performance. By harnessing vast amounts of data and employing machine learning, they can help to predict client needs and create more personalized and customized client experiences.

## NEXT-GEN TECHNOLOGIES

# Firms are increasingly turning to AI, blockchain and the Cloud to drive their digital transformation.

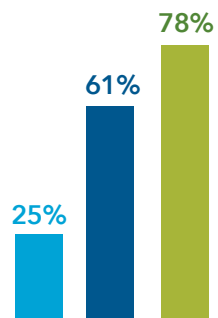
Within two years, more than two-thirds of firms expect to achieve mid to advanced implementation across all three technologies. This marks a major leap forward since our last annual survey.

### PROGRESS IN IMPLEMENTING NEXT-GEN TECHNOLOGIES (mid or advanced)

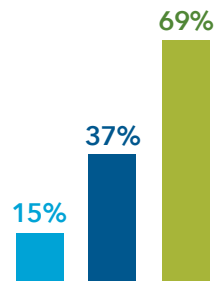
- Last year
- Now
- Next year



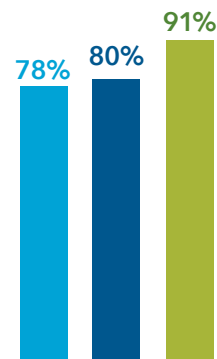
AI



BLOCKCHAIN



THE CLOUD

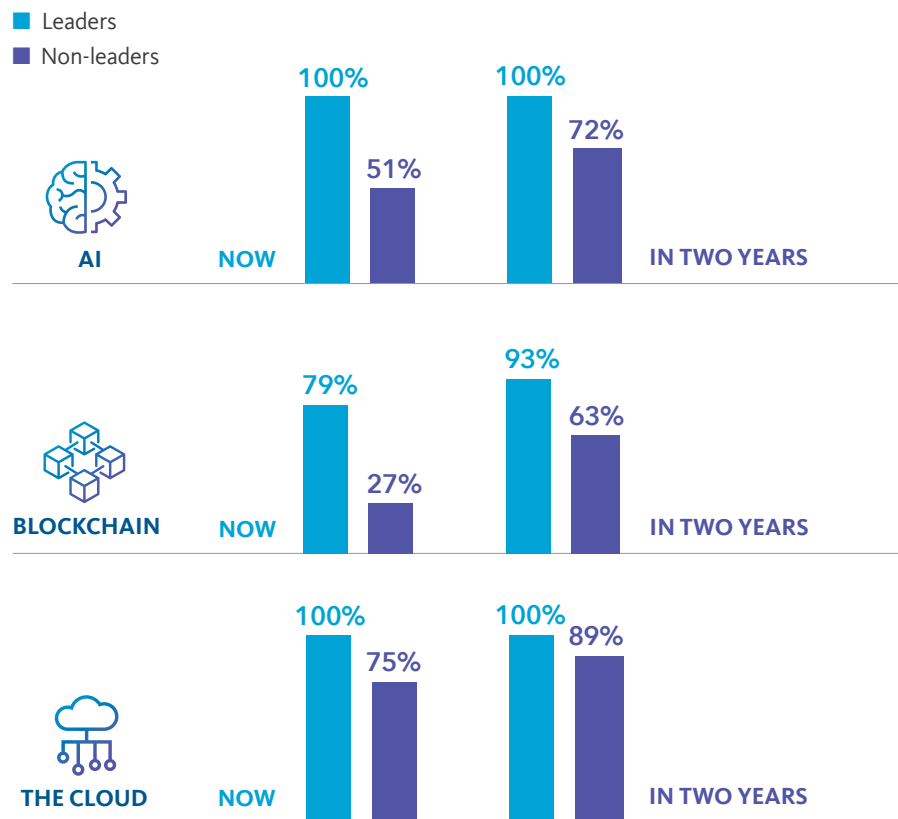




## NEXT-GEN TECHNOLOGIES

Leaders have all reached the later stages of implementation for AI and the Cloud. Four in five Leaders have advanced this far with blockchain as well. However, most Non-leaders have not reached these later stages—and don't expect to within the next two years.

### PROGRESS IN IMPLEMENTING NEXT-GEN TECHNOLOGIES: LEADERS VS. NON-LEADERS (mid or advanced)



## THE CHALLENGES COMPANIES FACE

# Digital transformation is not a journey with a start, middle and end. It is an ongoing process.

Firms must continually evolve their business models and value propositions with next-gen technologies. But this requires a culture of innovation that enables rapid adaptation.

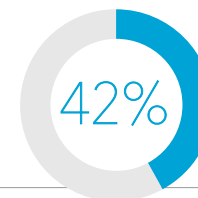
### TECHNOLOGICAL CHANGE

Keeping up with technological change is the most frequently cited digital transformation challenge. The pace of that change is only going to increase. Advances in AI are leading to a new generation of more powerful solutions. The rise of quantum computing could also drive a new wave of opportunities we cannot yet imagine. Firms require a clear and adaptable strategy to keep up with these trends.

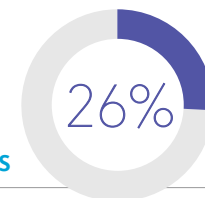
### IMPACT OF THE PACE OF TECHNOLOGICAL CHANGE

■ Leaders  
■ Non-leaders

The pace of technological change makes it hard for our staff to keep up



LEADERS



NON-LEADERS

Q: Which are the biggest challenges in achieving your digital transformation and implementing next-gen technologies at your company? Select up to three.

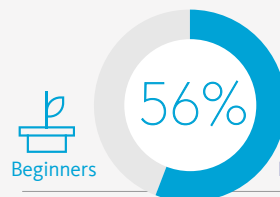
### THE BENEFITS OF MUTUALIZATION

As financial firms digitally reinvent their businesses and move to modernize their core operations, many look to mutualization\* of critical but non-differentiating functions. This allows them to reduce costs and overall transformation risks, accelerating time-to-market. It also frees up management attention and other critical resources that can be devoted to other core needs.

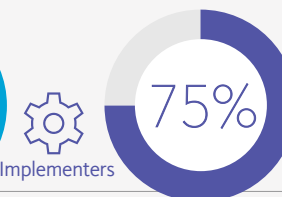
\*Mutualization is an approach through which participants share in the benefits of an industry solution provided by a reliable, trusted and independent third party. This allows participants to quickly gain access to new technologies, scalability and resilience while saving time, money and risk.

### MY FIRM SEEKS TO MUTUALIZE CRITICAL BUT NON-DIFFERENTIATING FUNCTIONS

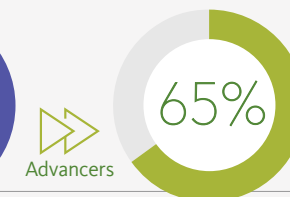
(% who agree by maturity stage)



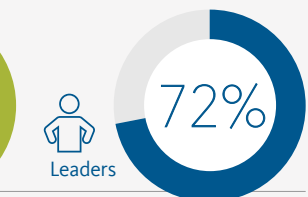
Beginners



Implementers



Advancers



Leaders

Q: My firm seeks to mutualize critical but non-differentiating functions, such as back-office processing or regulatory reporting, to reduce costs and risks. This means wherever possible using industry solutions and platforms provided by independent third parties.

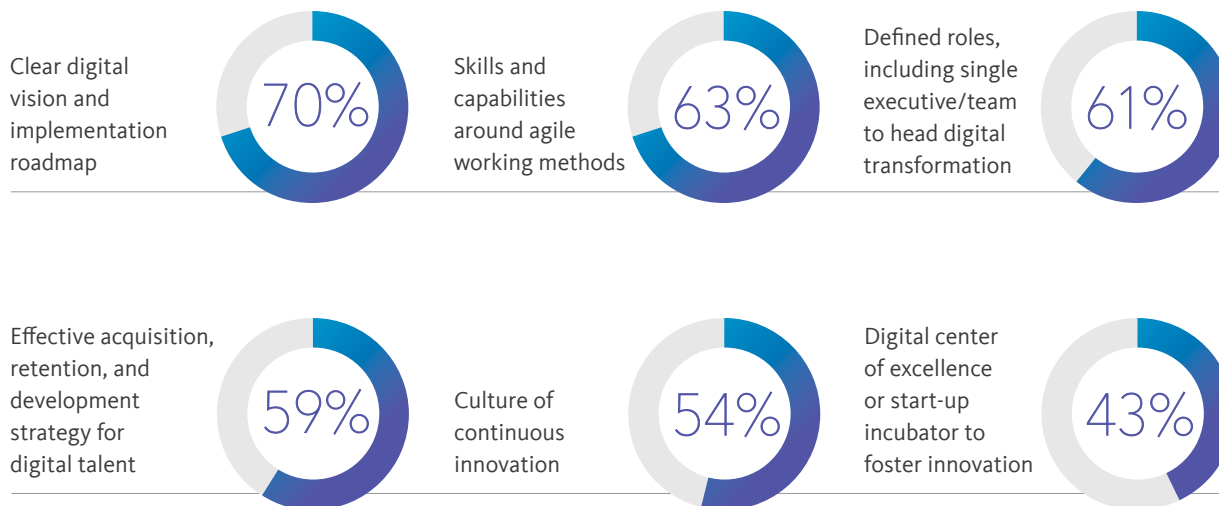


## THE CHALLENGES COMPANIES FACE

### TALENT AND CULTURE

Effective digital transformation requires more than just next-gen technologies. Firms need the right talent, mindset and culture. This starts with a consistent digital vision and roadmap, and a robust talent acquisition strategy.

#### PROGRESS IN SUPPORTING TRANSFORMATION THROUGH TALENT, MINDSET AND CULTURE (% of firms achieving mid to advanced implementation)

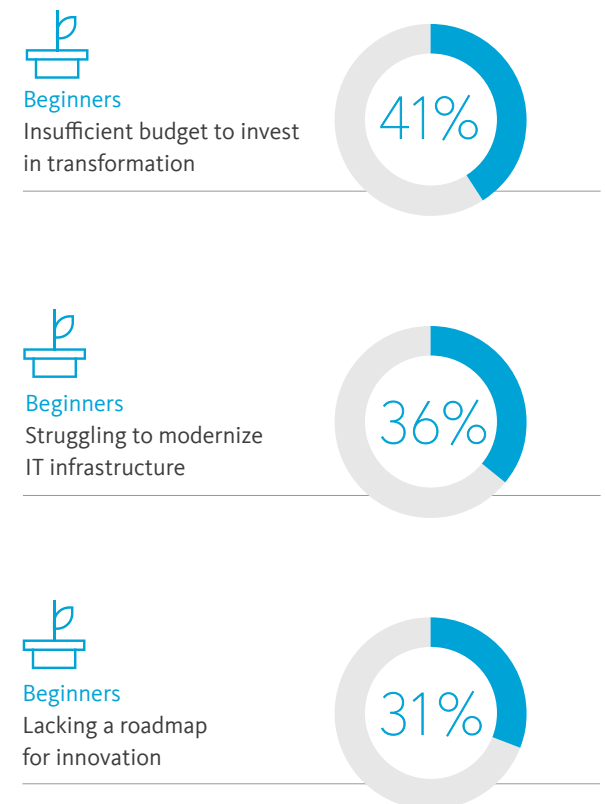


Q: How much enterprise-wide progress has your company made in the following areas of digital transformation?

### INFRASTRUCTURE AND ROADMAP

The top challenges among Beginners are funding digital transformation, modernizing infrastructure and lacking a roadmap for innovation.

#### TOP CHALLENGES TO DIGITAL TRANSFORMATION FOR BEGINNERS



### ECOSYSTEM BENEFITS

Firms with insufficient resources for an internal center of excellence or internal innovation function can benefit by leveraging the wider ecosystem of Fintech providers. This approach offers a reliable source of innovative solutions and platforms built on next-gen technologies.

Even firms with mature internal innovation functions frequently benefit from the outside thinking and innovative new products and platforms Fintechs can provide.

## ACCELERATING INNOVATION: DON'T GO IT ALONE

# Forward-thinking firms recognize they cannot innovate quickly enough on their own.

Instead, they leverage networks offered by the wider Fintech ecosystem.

### Broadridge can help.

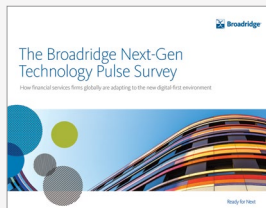
Broadridge helps clients accelerate digital transformation. We do this from our vantage point at the center of financial services, delivering the value of our network, including data, a range of innovative solutions and our expertise. This helps clients mutualize the costs and risks of innovation and feel confident about the future.

**Let's talk. Broadridge can help you increase the pace of your digital transformation and enhance your business with next-gen technologies.**

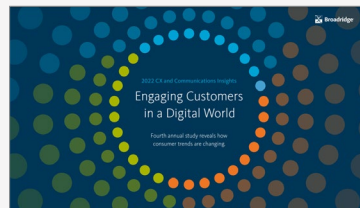
**To find out more visit**  
**[broadridge.com/resource/digital-transformation](https://broadridge.com/resource/digital-transformation) > >**

#### FURTHER READING

The Broadridge 2021 Next-Gen Technology Pulse Survey >>



[2022 CX and Communications Insights](#) >>



## ABOUT THIS STUDY

### About the research and survey sample

To understand how financial services companies are digitally transforming and adopting AI, blockchain, and Cloud technologies, Thoughtlab Group conducted a comprehensive CATI survey (computer assisted telephone interviews) on behalf of Broadridge in September to November 2021 of senior executives at 750 companies in 10 financial sub sectors across 18 countries.

The respondents were primarily C-level (65%) and included the CEO, COO, CFO and CIO, as well as other executives with a perspective on the use of next-gen technologies. Respondents were screened to ensure that they had sufficient knowledge of the use of these technologies in their firms.

The total assets (sell side) or AUM (buy side) of companies in the sample ranged from \$1 billion to over \$500 billion.

The survey examined next-generation technology investments and performance results and included questions to allow Thoughtlab Group economists to develop a maturity framework.

#### RESPONDENTS BY TITLE

35%

Head of Business Unit

19%

CIO/CTO/CDO

15%

CEO/MD/COO

12%

Chief Marketing/Consumer

10%

CFO

7%

Chief Strategy/Innovation

2%

Chief Investment Officer

#### RESPONDENTS BY SUB SECTOR

11%

Universal Banks

11%

Broker-Dealer

11%

Banks

11%

Asset Manager

11%

Wealth Manager

11%

Hedge Funds

11%

Private Equity

11%

Insurance

7%

Retail Bank

5%

Health-care Payer

## ABOUT THIS STUDY

### Respondent profile

#### COUNTRIES

<b>Asia Pacific</b>	<b>25%</b>
Australia	4%
China	7%
Hong Kong SAR	4%
Japan	6%
Singapore	4%
<b>EMEA</b>	<b>28%</b>
Belgium	2%
Denmark	1%
France	4%
Germany	4%
Luxembourg	2%
Netherlands	2%
Norway	1%
Spain	2%
Sweden	2%
Switzerland	3%
UK	4%
<b>North America</b>	<b>47%</b>
Canada	9%
US	38%

#### INDUSTRY SECTORS

Universal bank	11%
Broker-dealer	11%
Banks	11%
Asset manager	11%
Wealth manager	11%
Hedge funds	11%
Private equity	11%
Insurance	11%
Retail bank	7%
Healthcare payer	5%

#### INDUSTRY SECTOR COMPOSITION

**Universal bank:** Full-service financial institutions

**Banks:** Commercial and investment banks

**Insurance firms:** Range of types

**Asset manager:** Institutional asset management firms and those producing mutual funds and ETFs

**Wealth manager:** Family offices, financial advisory firms, registered financial advisors, private banks, wealth management arms of universal banks

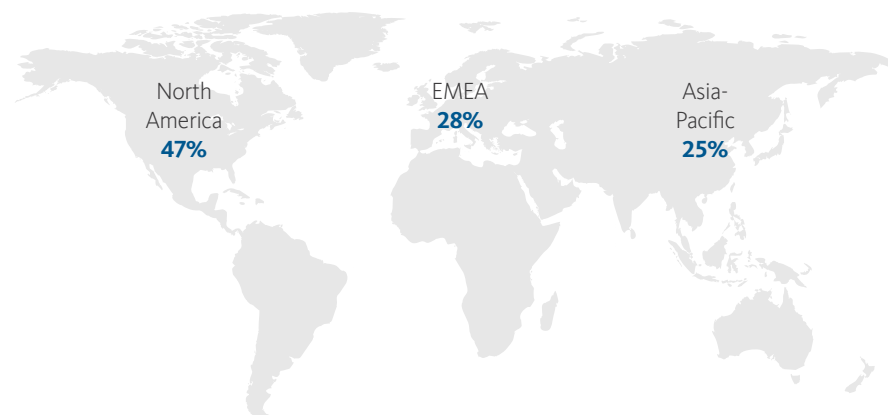
**Private equity:** Private equity firms and private debt

**Hedge fund:** Range of types

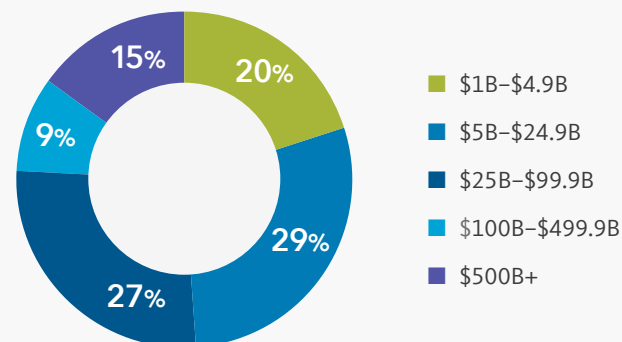
**Retail bank:** Direct to consumer basic banking services

**Healthcare payer:** Entities that pay for healthcare services rendered

#### RESPONDENTS BY REGION



#### FIRMS BY ASSET/AUM SIZE



# The Broadridge Digital Transformation Maturity Framework

Respondents were asked to report their progress toward achieving 24 different digital-transformation competencies across six categories. Their responses were then weighted to assign each firm an overall maturity level: Beginner, Implementer, Advancer or Leader.

### THE DIGITAL TRANSFORMATION MATURITY FRAMEWORK SCORING CRITERIA

#### FOCUS AREAS

60%

#### Digitized communications and client experiences 20%

- Shift from paper to digital
- Seamless omni-channel client experiences
- Digital interactive documents with sections that customers can customize to better understand their communications
- Micro-personalized marketing and communications
- Data-driven continuous improvement of client experiences

#### Digitized processes and work experiences 16%

- Process digitization
- Modern IT platform
- Robotic process automation (RPA)
- AI/machine learning for intelligent automation

#### Data and analytics 24%

- Centralized data platform
- Advanced procedures for data-management compliance
- Use of data visualization
- Advanced tools for data security and privacy
- Broad usage of internal and external data
- Use of predictive analytics

#### UNDERLYING CAPABILITIES

40%

#### Organizational

10%

- Acquisition and retention of digital talent
- Digital skills development
- Defined roles for managing transformation

#### Strategic

10%

- Culture of continuous innovation
- Vision and implementation roadmap
- Digital center of excellence

#### Technological

20%

- AI
- Blockchain
- The Cloud

### PROGRESS IMPLEMENTATION STAGES

Respondents selected one of four stages\* to indicate their progress toward each competency.

#### 1. Planning stage

Developing plans, building internal support and a business case

#### 2. Early implementation stage

Conducting pilots, starting to implement plans and using a few simple applications

#### 3. Mid-implementation stage

Using in key parts of the business, starting to scale applications across the enterprise, seeing some performance gains

#### 4. Advanced implementation stage

Multiple use cases, moving toward enterprise-wide adoption, driving major performance gains and business transformation

\*Or not considering/not applicable





To scan, simply open the camera app on your mobile device and point the camera at the QR code.

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

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