



Five Must-Have Capabilities That Simplify Proxy Voting

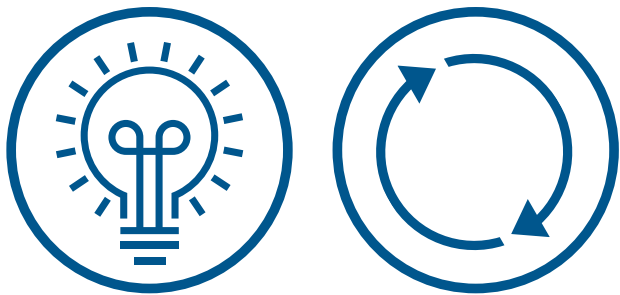
Execute votes that reflect your firm's values — faster and more efficiently than ever.



Drive better governance and deliver value for your shareholders.

For, against, or abstain. There are only three ways to exercise a proxy vote, but countless ways to reach the decision. There are thousands of meetings, and many more complex proposals to evaluate, while factoring unique market dynamics and regulations into the equation. A wide range of corporate objectives and distinctive governance styles must be taken into consideration, and different voting deadlines must be met.

Small wonder then, that for institutional investors, casting proxy votes in a way that maximizes shareholder value can seem like an insurmountable challenge. But it doesn't have to be.



By combining actionable intelligence with simplified workflows, firms can execute votes aligned with their unique goals.

With five core capabilities, institutions can increase productivity, simplify workflows and execute accurate, efficient voting decisions aligned with corporate goals:

1. Customized Guidelines
2. Automated Research
3. In-Depth Reports
4. Simplified Governance
5. Powerful Analytics

Take control of proxy voting with customized guidelines.

Voting on behalf of clients requires thoughtful, thorough analysis, each and every time. A clearly defined policy and consistent, data-driven guidelines simplify the voting process by highlighting key considerations, flagging potential areas of concern, and providing specific guidelines for each proposal category.

- Election of Directors
- Say on Pay
- Ratification of Auditors
- Proxy Access
- And many more

▼ ACTION ITEMS

Begin with industry best practices.

Existing guidelines offer a comprehensive, proven foundation that is fully compliant with industry best practices. Based on long-term perspective and real-world experience, they can be adapted or used as a point of reference in creating custom guidelines.

Establish a consistent decision-making framework.

Finely-tuned guidelines for specific proposal types across key categories make it easy to exercise care and diligence in decision making, while exercising votes in accordance with corporate values.

Broadridge makes it easy to create, implement and manage a custom policy and voting guidelines that are based on your institution's principles, promote good governance and enhance value for your shareholders.

Meetings List								
Export Selected Meeting Voting Instructions				Filter	Search: <input type="text"/>			
Select All	Company Name	Total Ballots	Total Shares	Security ID	Meeting Date	Voting Deadline Date	Meeting Type	Review Status
<input type="checkbox"/>	New Relic	3	1,111,110	648298100	08/22/2017	08/21/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Microchip Technology Inc...	2	567,901	595017104	08/22/2017	08/21/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Quality Systems	3	1,172,839	747582104	08/22/2017	08/21/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Quantum Corporation	3	1,049,382	747906501	08/23/2017	08/22/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Helen of Troy	1	432,098	G4388N106	08/23/2017	08/22/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Real Goods Solar	2	135,802	75601N500	08/23/2017	08/22/2017	Annual	✓ Complete (Auto)
<input type="checkbox"/>	Real Goods Solar	2	135,802	NEQ001146	08/23/2017	08/22/2017	Annual	⚠ Incomplete

Automate research to obtain deeper insights.

Even with a robust policy and voting guidelines in place, decision-making is a complex, dynamic process. Due diligence requires careful scrutiny of annual reports, SEC filings, media and more. However, given the size and diversity of their holdings, institutions often find that obtaining access to accurate, timely information when and where it's needed is not a simple task.

Broadridge transforms research into an effortless, efficient experience with instant access to a wealth of data inputs. Search, filter, sort, and pinpoint the precise information you need in just a few keystrokes.

▼ ACTION ITEMS

Eliminate the need to search.

Institutions can minimize the operational burdens of proxy voting with data aggregation tools that place the precise information required for decision making in a single location. This includes data from Broadridge ProxyEdge (domestic and global), the SEC's EDGAR system (daily filings), corporate web sites and other public information.

Drive better informed decisions.

Circumstances may arise when guidelines can't provide a clear-cut decision, and raw data does not yield sufficient clarity. In these cases, advanced analytics capabilities save time and effort by pinpointing which proposals require special consideration. They also provide the ability to drill down into available data, revealing new insights that can help resolve thorny issues.

Enable collaboration.

Export proposed vote instructions and supporting research to other governance team members or fund managers for approval.

Generate customized reports of voting activity.

Foster confidence in every decision with accurate data and detailed reports. Provide board members with ongoing insight into voting trends, and help them identify current guidelines that need to be revised or updated.



Compile reports according to specific criteria such as date range, voting group or proposal type.

▼ ACTION ITEMS

Ensure voting consistency.

Once guidelines are in place, it's important to understand how they are being used. A complete audit history shows how each vote compares to internal guidelines, voting instructions and management recommendations, and helps to ensure that votes are fully aligned with corporate values.

Make small voting teams more productive.

Store voting history to build institutional knowledge and create efficiencies for your voting team.

Broadridge's reporting capabilities make it easy to analyze, package and present data in a meaningful context for any audience, including charts for presentations or spreadsheets for further analysis.

Simplify governance with streamlined workflows.

Automating administrative functions — such as keeping track of meeting dates, monitoring voting deadlines, and obtaining proxy statements — can do more than save time and effort. It also concentrates attention exactly where it belongs: on the voting decision.



▼ ACTION ITEMS

Integrate voting functions in a single dashboard.

Manage the proxy voting process with a dashboard that consolidates and organizes all the information you need for faster, smarter decision making. Sort and filter the list by the criteria of your choice. See the dates of upcoming meetings, access research, and review voting guidelines with just a few clicks. Monitor voting deadlines, and check voting status all in one location.

Share information.

Distribute insights, research and proposed voting instructions with other governance team members or fund managers for approval.

Cast votes with confidence.

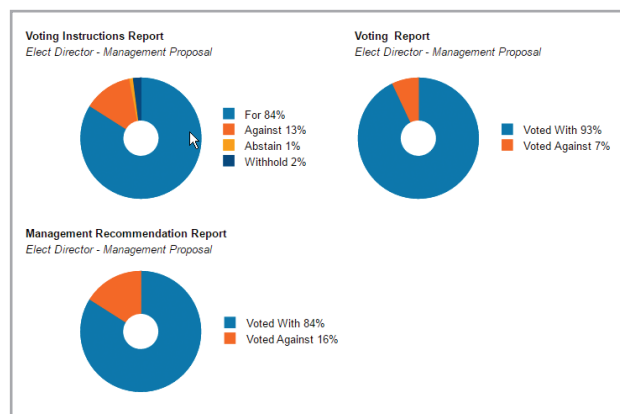
Highlight the voting preference for each proxy question. When your review is complete, the voting instructions are automatically viewable in ProxyEdge®.

Broadridge provides a single, efficient platform to support your entire governance program, from development of custom guidelines to automated research, collaboration, voting, in-depth analysis and reporting.

Analyze trends to see the big picture.

The powerful analytics of Proxy Policies and Insights help institutions understand their voting practices, and see how those voting decisions impact shareholder value over the long term.

Broadridge combines comprehensive insights and analysis with more effective ways to manage and administer votes.



▼ ACTION ITEMS

Get actionable intelligence to support voting decisions.

Understand governance developments shaping current domestic and global proposals, and reveal emerging trends such as:

- Securities that have proposals in a given category
- How institutional peers have voted on specific categories or proposals
- Which issuers have the same shareholder proposals year over year

Analyze your voting record.

When oversight responsibilities include a post-season review of proxy voting, analytics can provide deeper insight, answering questions such as:

- Do votes consistently align with established policies?
- When votes do not align, what is the reason?
- What percentage of votes were cast with management, or against?
- How often do votes support shareholder proposals?

Benchmark voting outcomes.

See how your voting decisions compare with your peers. Does your policy mirror current consensus on good governance, or is it time to update your voting guidelines?

Five must-have capabilities, one efficient solution.

Broadridge Proxy Policies and Insights provides the data, research and analysis that allows you to focus on your fiduciary responsibility to shareholders — all in a single, easy-to-use platform. With one end-to-end solution you can simplify governance, enhance research, streamline voting, expedite reporting and share insights across your organization.

Learn More:

Discover an easier way to execute votes that align with your proxy policy guidelines. For a detailed demonstration or more information, please contact us at +1 800 353 0103, or visit our website at broadridge.com.

Turn to the trusted proxy experts.

Broadridge is the leading provider of investor communications, technology-driven solutions, and data and analytics for broker-dealer, wealth management, asset management and capital markets firms. We help our clients drive operational excellence to manage risk, accelerate growth and deliver real business value. Our industry-leading suite of proxy communications and voting solutions reduce costs and deliver greater efficiencies for thousands of corporate issuers, mutual funds and broker-dealers throughout North America.



© 2017 Broadridge Financial Solutions, Inc., Broadridge and the Broadridge logo are registered trademarks of Broadridge Financial Solutions, Inc.



broadridge.com