

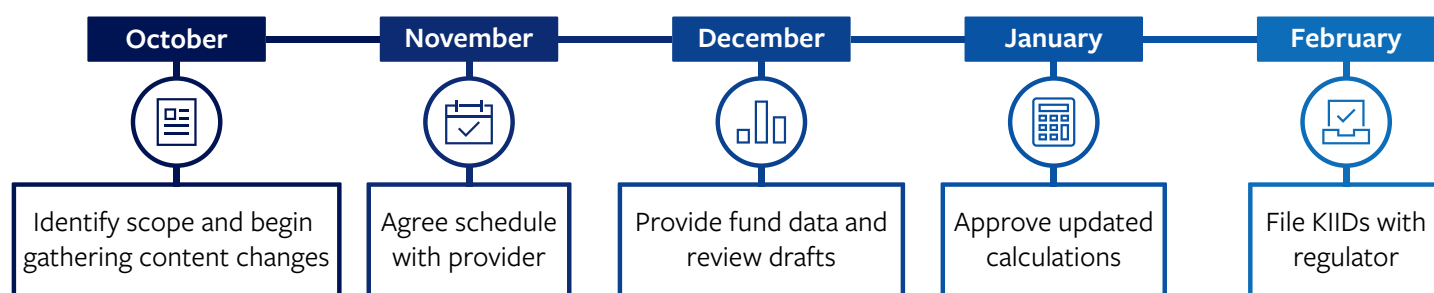
Five tips for a successful KIID refresh

As February begins, Broadridge Fund Communication Solutions is busy working on the colossal task of ensuring our clients' UCITS KIIDs are in place for the annual update.

Key Investor Information Documents (KIIDs) are essential client-facing marketing documents which require asset managers to gather input from many internal departments, such as risk, marketing, and compliance, as well as external third parties such as administrators and lawyers. With a 35 business day window to create tens of thousands of KIIDs, Broadridge has a tried and tested process in place enabling our clients to remain fully compliant.

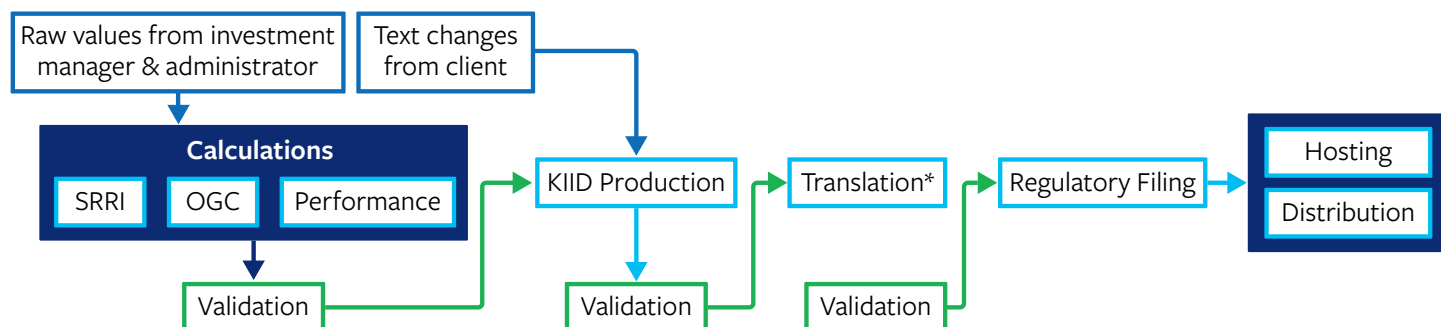
1 - START EARLY

Begin gathering your data well in advance, we suggest October, and then work closely with your provider through to February.



2 - ONE PROVIDER, ONE PROCESS

To keep things simple for you work with a single provider who can manage every step. Below is the end-to-end process we have been refining with our clients over many years.



*Optional step

3 - CHECK, CHECK AND CHECK AGAIN

Uses a rigorous validation and sign-off system with a complete audit trail so you can ensure that any KIIDs filed with the regulator or distributed have been validated with confidence. Here are some key steps in our process:



Experience of building validation schemas from inception of regulation



Robust control environment



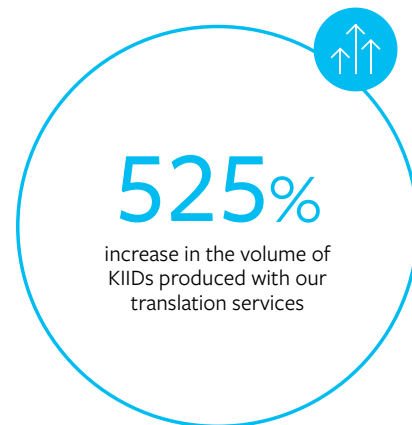
Disciplined project management



Accountable and responsive client service team

4 - TRANSLATE FOR INTERNATIONAL AUDIENCES

翻訳する, Tradurre, Översätt or translate your KIIDs into numerous languages. Even though there is no regulatory requirement to translate a UCITS KIID, some companies deem it as necessary for their shareholders. We can deliver translated UCITS KIIDs in multiple languages, all created by our in-house team of translation experts.



5 - FUTURE-PROOF AGAINST REGULATORY CHANGE

Access expert advice to meet the challenges of regulatory change. Broadridge is actively engaged in industry working groups and forums to ensure that we stay ahead of the ever-changing regulatory backdrop, so our clients can trust that they are always in line with the latest requirements and guidance.



The British government now considers European Economic Area (EEA) states as “equivalent” under their new Overseas Funds Regime (OFR) meaning they will be recognised for trade and marketing in the UK (although mainly for new funds).



Funds registered in the UK prior to Brexit will have their exemptions extended by a year which will entail another UCITS KIID refresh for them in 2025.



Be alert to regulatory changes at the end of 2026. The UK UCITS will be replaced with Consumer Composite Investments (CCIs).

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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