

Global Securities Class Action Services

KEY BENEFITS

- Ensure investors' satisfaction by properly filing and recovering funds on all claims for which they are entitled
- Fulfill fiduciary obligations and obtain the proper entitlement
- Focus on your core business by allowing Broadridge to handle the research, filing and claim payment distribution
- Access real-time reports to monitor and track settlements, offering complete transparency to investors

IS MY SECURITIES CLASS ACTION FILING PROCESS AS EFFICIENT AS POSSIBLE? HAVE I LEFT MONEY ON THE TABLE FOR MY FIRM OR CLIENTS? AM I MEETING ALL MY FIDUCIARY RESPONSIBILITIES?

In today's competitive marketplace, customer satisfaction is paramount to business and fiduciary responsibility is a top priority. As securities class actions become an increasing area of focus and opportunity for investors, the financial community must be able to claim these recoveries and enable investors to take advantage of the billions of dollars in settlements that go unclaimed each year.

Broadridge's Global Securities Class Action Services provides you with the infrastructure and market leading technology to achieve an operational advantage and end-to-end recovery services.

Accurate Identification – Broadridge built the only complete record date file for proxy, regulatory and corporate action events and we have added the global reach, infrastructure and technology to identify and capture all Global Securities Class Action cases.

Unparalleled Technology – Our proprietary technology analyzes and matches all investment positions to identify recovery opportunities for each security relevant to every case and subsequent investor.

Filing Standards – We set world-class standards to ensure accurate reporting of positions, trades and data in the required format for all Claims Administrators.

Precise Allocation and Distribution – We perform loss calculations for each filing with a thorough reconciliation process to ensure recovery distribution from the Claims Administrator matches the loss calculated ensuring accurate allocation and subsequent distribution (check, wire, or ACH).

SOLUTION FEATURES

- An intuitive on-line user portal with comprehensive, secure access
- Standard U.S. settled, opt-out, non-U.S. opt-in, foundation and direct or group action opportunities obtained from a continuously growing list of over 600 data sources
- Daily update alerts and transparent monitoring of securities class actions progress
- Robust reports on current and historic activity and claim status
- Review of impending proof of claim deadlines and size of settlement fund

- Complete and comprehensive coverage from sources which include many of the world's largest global custodians, asset managers, private banks, pension funds, and hedge funds, spread widely across Americas, EMEA and Asia Pacific
- Data security and reliability

SECURITIES CLASS ACTIONS NOTIFICATIONS

Broadridge can reach all impacted investors by distributing a custom branded notice via paper or electronic form to each impacted shareholder across the firm's customer base.

Key benefits

- Reduces the risk of a missed settlement or investor notification
- Improves customer experience and participation as the mailings will be branded from the firm
- Protects your customer data, as Broadridge will not release any names or addresses to third parties
- Takes advantage of existing systems and functions in place with our existing relationship to track and process class actions
- Continues service with a trusted outsourcing provider

THE BENEFITS OF BROADRIDGE

Broadridge has more than 50 years of expertise in providing technology driven solutions to our clients. With offices in 16 countries and over 10,000 associates, we can provide a complete picture of all global securities class action cases.

Broadridge has the infrastructure, technology and world-class standards to provide end-to-end recovery services for investors in every jurisdiction to meet your fiduciary responsibilities.

Explore the opportunities with Broadridge at broadridge.com or email us at GCAR@broadridge.com or call us at +1 855 252 3822.

Broadridge, a global fintech leader with over \$9 billion* in market capitalization, 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. *As of November 2017

broadridge.com

Ready for Next

Communications
Technology
Data and Analytics

