

Simply aligned

Innovative technologies make everything faster, smarter and more efficient—for you and our mutual clients.

Long-term relationships are built on accuracy, trust and common interests. Over 5,000 public companies and top Am Law firms rely on Broadridge to get the job done in ways that foster long-term success.

- IPOs
- Capital Markets Disclosure
- Annual Compliance & Reporting
- Transfer Agent Services
- Data Analytics
- Annual Meeting Services
- Proxy Services
- Shareholder Engagement



■ Ensure your clients capitalize on whatever opportunity comes next



SIMPLIFY WORKFLOW WITH STATE-OF-THE-ART INNOVATION.

Data-driven technologies automate manual tasks and enable next-level productivity. Advanced document composition and filing software make document prep faster and easier than ever.



ACHIEVE UNRIVALED PRECISION AND CONTROL.

Choose a single-source service provider for unprecedented simplicity, flexibility and control. Our tenured and dedicated support specialists know the importance of 100% accuracy, 100% of the time.



ACCELERATE RESULTS.

Timing is everything. Many of our innovative solutions are already built into your clients' workflows. Expect fast turnarounds that meet and exceed any deadline.



REALIZE UNMATCHED SAVINGS AND TRANSPARENCY.

Speed translates into concrete savings for you and your clients. With transparent billing, you gain confidence every step of the way.

EXPERIENCE. EXPERTISE. RESULTS.

1 IN 3

SEC FILINGS THAT LEVERAGE OUR SOFTWARE & SERVICES

66K

EDGAR FILINGS PROCESSED EACH YEAR

10000+

PUBLICLY TRADED CLIENTS RELY ON BROADRIDGE EVERY DAY

Comprehensive solutions designed to simplify financial disclosure and corporate governance.

IPOs

Capital Markets Disclosure

Transfer Agent Services

Data Analytics

Annual Meeting Services

Proxy Services

Annual Compliance & Reporting

Shareholder Engagement



Long-term success is a done deal

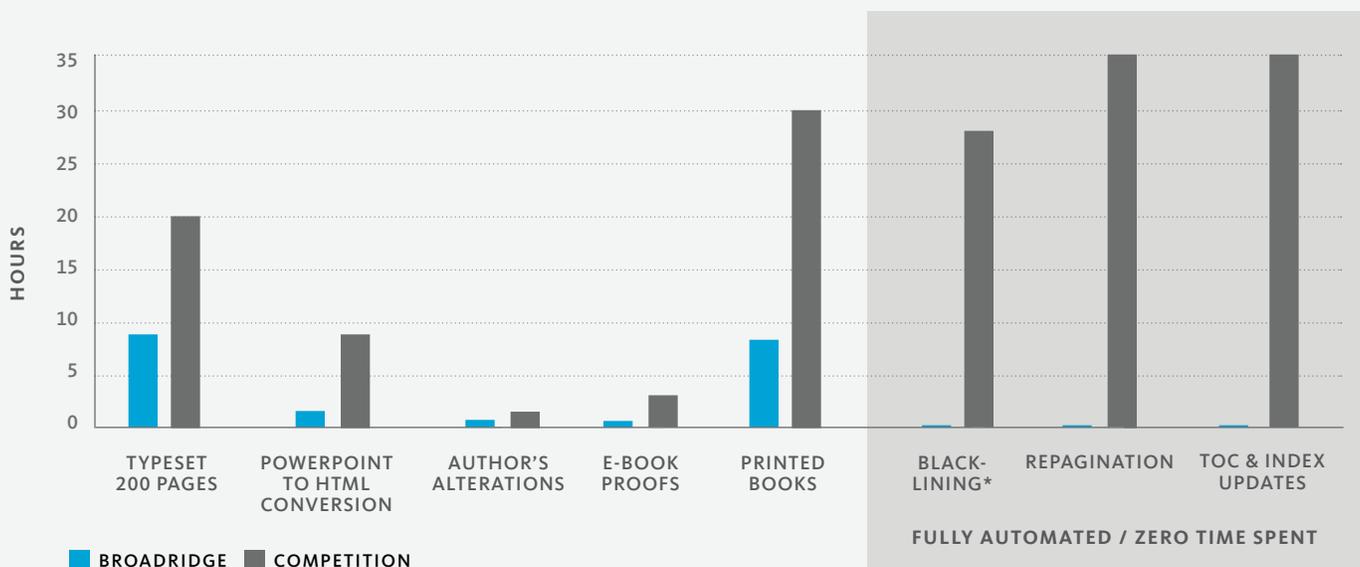
End-to-end services deliver the speed, accuracy and transparency your clients value most.

Clients rely on you every day. You need a partner who delivers on time, every time. That's why leading law firms refer Broadridge. Our next-gen innovations and data-driven technologies help clients simplify financial disclosure, navigate compliance and communicate more effectively.

We constantly invest in new technological enhancements and continue to expand our geographical footprint. Expect a singular level of hands-on service wherever your client is located. From corporate actions and IPOs, to annual meeting and proxy services, confidence stands on five decades of concrete results.

TIME IS MONEY. AVERAGE TIME SPENT CREATING AND FINALIZING A 200 PAGE DOCUMENT.

Our advanced disclosure management technologies free up resources at every step.





■ Tools that accelerate Capital Markets disclosure

Give your clients the value, convenience and flexibility of the industry's only true end-to-end solution for capital markets transactions. Our advanced document composition, production and SEC filing technologies automate routine tasks, which minimize risk and associated cost. Fast turnaround means less time waiting for you and the deal team.

RELY ON EXPERT GUIDANCE AND FLAWLESS EXECUTION:

- Prepare and file transactional documents.
- Virtual deal room for multi-party M&A and other due diligence.
- Document print and distributions to shareholders.

COVERS EVERY TYPE OF CORPORATE ACTION:

- Mergers and Acquisitions
- Tender Offers
- Debt + Equity Offerings
(Public and Private)
- REITS
- Bankruptcies
- CMBS & ABS Markets

■ Everything you need to simplify the IPO process

Helping clients take their company public creates exciting opportunities and unique challenges. With so much at stake, it's essential to get it right. Let Broadridge execute for your clients, from pre-IPO planning to long-term investor engagement.

DOCUMENT COMPOSITION AND EDGAR SYSTEM

- Single-source platform exports into typeset, HTML, EDGAR, Print PDF, Web PDF and Word, eliminating the risk of multiple versions.
- Enables multiple compositors to work in the same document simultaneously, reducing wait time.
- Automatic blacklining, repagination and table of contents updates accelerates execution and eliminates associated per-page cost.

VIRTUAL DATA ROOM TECHNOLOGY

Streamline multi-party due diligence and control access to sensitive documents with our ultra-secure data room services.

- Enable investors to download large document sets with a single click.
- Detailed reporting delivers valuable insight into reader activity, even after documents are downloaded.
- For added control, remote expiration tools enable you to "detonate" documents (i.e. restrict access) at any time.

TRANSFER AGENT SERVICES

- Only provider that manages both registered and beneficial holders.
- Seamless onboarding process.
- Intuitive and easy-to-use shareholder management portal.



PRECISE &
SUCCESSFUL
EXECUTION

Make sure your clients meet every deadline in support of their corporate actions.

■ Corporate governance solutions that are smart, simple and strategic

Experience the convenience and confidence that comes with our comprehensive suite of corporate governance solutions. When you refer Broadridge, you give your clients a single point of accountability. Having only one service provider to manage means reduced complexity and maximum efficiency.

ANNUAL COMPLIANCE

Choose the easy-to-use, cost-effective way to create compliance documents. Powerful software solutions enable you or your clients to generate, complete, review and file financial statements and other SEC forms securely in minutes. Select our advanced EDGAR filing software or outsource everything to Broadridge experts. Your clients decide how much or how little of the process to manage on their own.

PROFILE™ COMPLIANCE SOFTWARE

- Used to make one out of three SEC EDGAR filings.
- Proven solution for HTML transactional work.
- Natively handles XBRL compliance.
- The preferred solution by top tier law firms.

TRANSFER AGENT SERVICES

Take advantage of the only Transfer Agent that can support both beneficial and registered shareholders. Single-source servicing maximizes efficiency—reducing the time, cost and effort needed to manage shareholder communications. Your clients will benefit from a dedicated, responsive Relationship Management Team as well as a US-based Call Center. Plus, access on-demand information about issuer shares and shareholders via our secure, easy-to-use portal.

CORPORATE ACTIONS

Rely on precise and successful execution in support of mergers, acquisitions, IPOs and other corporate actions. Broadridge has pioneered the use of digital capabilities, dual record date processing and engagement strategies, while helping companies consolidate all their shareholder constituents together to eliminate duplication and save costs. Our robust solution includes consultation, compliance, communications, distribution, share processing, tracking and reporting services.

- Exchange Agent
- Escrow Agent
- Warrant Agent
- Stock Splits
- Rights Offerings
- Paying Agent

PROXY AND ANNUAL MEETING SERVICES

Consolidate the entire proxy process with an efficient, cost-effective solution that reaches both registered and beneficial shareholders. From initial planning and data processing through distribution, voting and the annual meeting, our technology and service streamlines the process at every step. Now you can help clients simplify logistics and control costs — while enhancing shareholder engagement.

- **Enhanced proxy design.** Transform basic disclosures into compelling shareholder communications. We make it simple, with flexible, cost-effective designs and professional templates that can be customized with your client's logo, brand and messaging.
- **Virtual shareholder meeting.** Enable clients to conduct annual meetings online via streaming audio or video. Our virtual environment can authenticate attendees and enable validated shareholders to submit questions and vote their shares.

For more information about how we can help you deliver for your clients, please visit us at www.broadridge.com/corporate-issuer/lawfirms or contact us at +1 (844) 364-4966.

Broadridge, a global fintech leader with over \$4 billion in revenue and part of the S&P 500 Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

broadridge.com

Ready for Next

Communications
Technology
Data and Analytics



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