

July 20, 2016

Overload to Insight

Accuracy, access and efficiency in the
information-enabled family office

Presented for:

Opal Family Office and Private Wealth Forum

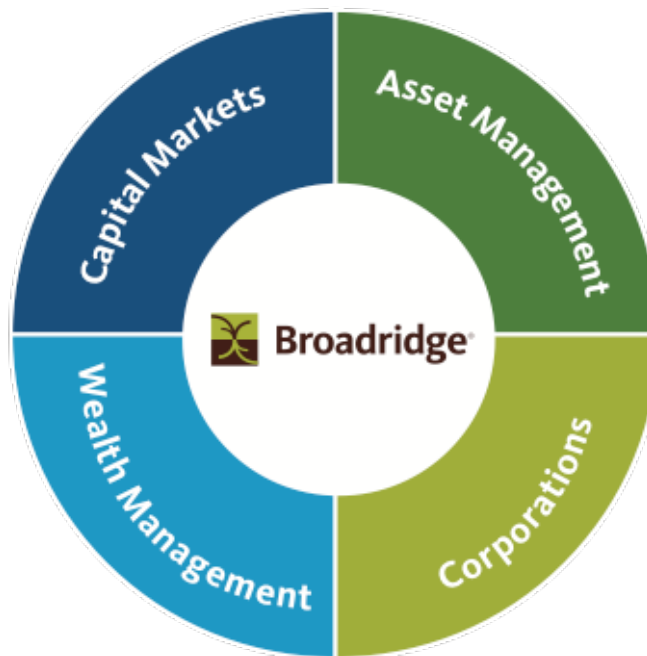


Broadridge®

Broadridge Financial Solutions

A unique vantage point on the industry and our clients' business from our presence at the center of financial services industry

- Institutional broker dealers
- Bank-owned institutional broker Dealers
- Institutional clearing houses
- Retail bank brokerage
- Small regional brokerage
- Independent advisors and RIAs
- Retail clearing houses
- Discount brokers



- Asset managers
- Investment managers
- Mutual funds
- Retirement plan providers
- Hedge funds
- Fund administrators
- Corporate issuers
- Corporate treasury

Technology and Operations Solutions	Communications Solutions	Data and Analytics Solutions
<ul style="list-style-type: none"> • Trade Management Services • Managed Services • Professional Services 	<ul style="list-style-type: none"> • Customer Communications • Regulatory Communications • Advisor Communications 	<ul style="list-style-type: none"> • Data Services • Market Intelligence and Data Analytics • Compliance and Regulatory Services

Market Leadership, Experience and Capability



\$2.69

billion revenue for FY 2015



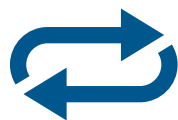
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Decades of experience
supporting the financial services
industry



\$5

trillion in daily securities
processed



97%

client revenue retention rate



70

countries for which multi-
asset post-trade processing
is supported



30

million customer accounts
custodied on our platforms



+2

billion investor communications
distributed each year



+300

Financial Institution partnering
with us for operational
enhancement



Virtually unlimited choice of
solutions and services

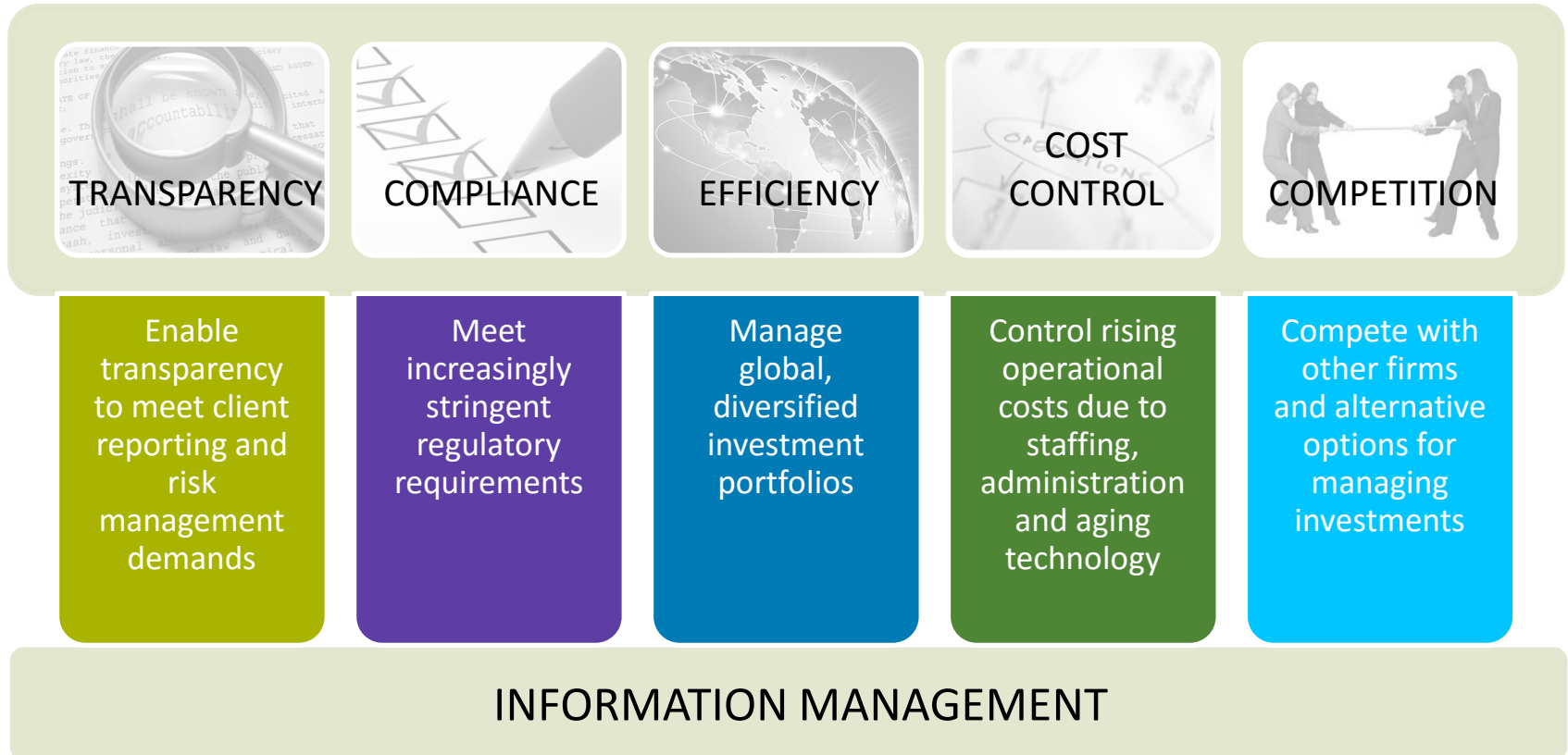


Presentation Overview

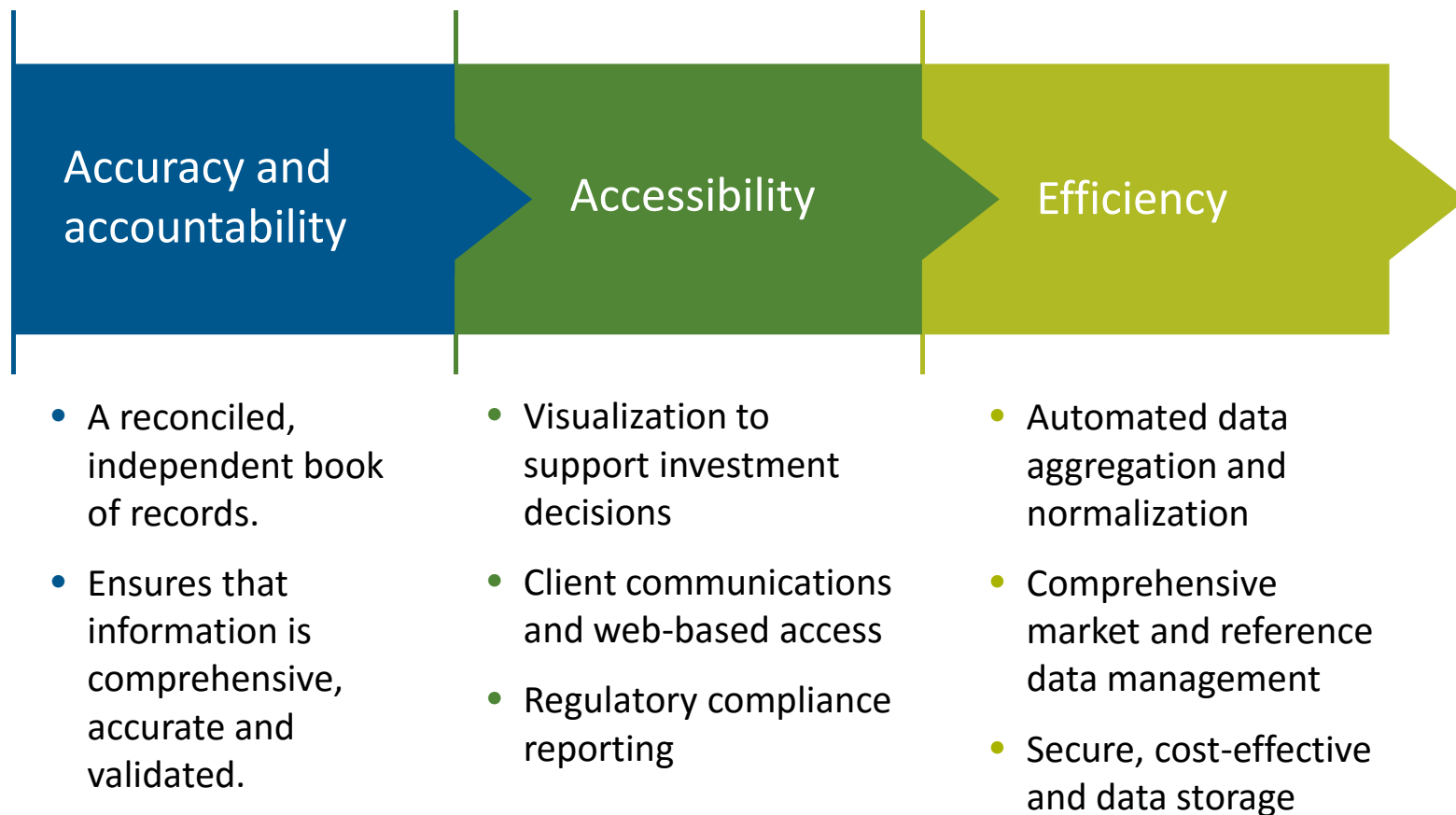
- Operational overload and the information connection
- The information-enabled family office
- Case in point: Sterling Trustees
- The emerging model: Technology-enabled services
- Questions and answers
- Contact information

Operational Overload and the Information Connection

Operational challenges require family offices and all asset management firms to manage, account for, control and disseminate information



The Information-Enabled Family Office



The U.S. holds more than 30% of the world's data and the investment services industry holds almost four times the overall average share per firm.



Case in Point: Sterling Trustees

Sterling Trustees has added \$1.8 BILLION IN AUM over 6 YEARS with NO ADDITIONAL INVESTMENT in staff or technology infrastructure.

Profile

- South Dakota Trust Company serving high-net-worth families
- 75 advisors and 35 custodians globally

Challenges

- Producing accurate client investment data
- Monitoring and measuring client portfolios
- Operational and client reporting
- Staffing and training
- Integrating front-office tools (SalesForce)
- Managing technology and information needs

Solution

- Data aggregation
- Reference data management (security master, pricing, corporate actions, reconciliation)
- Book-of-record accounting
- Operational and client reporting

Benefits achieved

- Renewed focus on core capabilities
- Scalable operational infrastructure
- Minimal overhead costs
- Limited internal IT support or expert staff

The Emerging Model: Managed Investment Operations

A managed platform of hosted technology and expert services
from the global leader in investment operations





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