

ProxyEdge®

Complete proxy management from voting through reporting

With increasing requirements for advisors and managers to comply with SEC regulations regarding proxy voting procedures and record keeping, ProxyEdge® is the internet solution that helps clients achieve compliance and streamline voting with minimal effort.

ProxyEdge is an electronic voting solution that simplifies the proxy management process. The system helps manage meeting notification, voting, tracking, mailing, reporting, record maintenance and vote disclosure rules enacted by the SEC.

Key benefits

- Manage, track, reconcile and report proxy voting through electronic delivery of ballots
- Vote electronically, eliminating paper proxies
- Reduce paper and reduce your carbon footprint
- Satisfy SEC requirements regarding vote reporting and record keeping
- Improve control and efficiencies with automated voting rules and integrated vote recommendations

Complying with Dodd-Frank requirements

The Dodd-Frank Wall Street Reform and Consumer Protection Act amends the Securities Exchange Act of 1934. Section 14A (15 USCS § 78n-1) is new and provides for a nonbinding shareholder vote on executive compensation, also known as the “say-on-pay vote.”

Who is affected?

All institutional investors with over \$100 million in discretionary assets, typically 13F filers.

What is required?

You will be required to file Form N-PX annually to disclose proxy votes related to executive compensation proposals.

What are the challenges facing institutional investors?

The process of identifying, isolating and filing on specific say-on-pay proposals takes additional time, resources and can create compliance risk if there are any errors or missed deadline dates.

How can Broadridge help?

We maintain a complete proposal code list and can utilize your voting captured in ProxyEdge to compile the information for you and automatically file with SEC on your behalf.

ProxyEdge is tiered in three service levels: Standard, Premier and Integrated Recommendation Service

The Integrated Vote Recommendation service provides direct access to full research reports & vote recommendations from industry experts. Clients can create and execute vote instructions based on third party recommendations.



Broadridge®

ProxyEdge Tiered Service Levels

FEATURES	STANDARD	PREMIER	INTEGRATED RECOMMENDATION SERVICE
Paper Reduction	✓	✓	✓
Voting Views & Options	✓	✓	✓
Email Alert	✓	✓	✓
Reporting	✓	✓	✓
Multiple User Access & Customization	✓	✓	✓
Third-Party Research	✓	✓	✓
Advanced Voting Options		✓	✓
Policy Management		✓	✓
Advanced Standing Instructions		✓	✓
Record Keeping & Advanced Reporting		✓	✓
Vote Recommendation			✓
Research Reports			✓
Vote Execution			✓

For a detailed demonstration or more information, please contact us at +1 800 353 0103, or visit our website at broadridge.com.

