

# Regulatory communications, simplified.

Comply cost-efficiently while enhancing the customer experience from one solution.

## LEADING ASSET MANAGERS, FUND PROVIDERS AND INSURERS RELY ON BROADRIDGE TO GAIN A COMPETITIVE EDGE.

Regulatory communications are no longer seen as one-off projects, but as critical marketing touchpoints in the overall product and customer lifecycles. From the initial prospectus through updates, notifications and proxy campaigns, it's not enough to "get it done". It needs to be done right.

**Broadridge provides the comprehensive approach that makes it easy to simplify regulatory compliance.**

- Effective Data Management
- Timely, Accurate Content
- Efficient Client-Centric Delivery
- Detailed Reporting
- Robust Solutions

## REGULATORY COMMUNICATION SOLUTIONS



# Efficient compliance means better results.

## MANAGE ALL YOUR REGULATORY COMMUNICATIONS ON A SINGLE PLATFORM.

Get the right regulatory communications to customers using our data-driven omni-channel solutions. Now, you can streamline compliance, reduce costs and improve the customer experience.

### SALES ENABLEMENT AND COMMUNICATIONS

Empower your sales teams with up-to-date content using Broadridge ContentHub. Support your sales enablement, distributed marketing and collateral fulfillment initiatives.

Accelerate business results with the technology to meet regulatory needs.

- Archive, update, share and print all of your communications from one place.
- Personalize digital content and create custom kits on-demand.
- Manage and synchronize digital assets.
- Control user access and permissions.
- Ensure your audience has the latest approved documents—by product type and jurisdiction.

#### Manage and deliver information that's compliant and relevant

- Streamlined print and digital content management
- Syncs with CRM and Digital Asset Management systems
- Ensures brand consistency and compliance
- Centralized, up-to-date content

### POST SALE FULFILLMENT

Simplify how you meet investor disclosure requirements for first- and second-dollar obligations.

Leverage a single-source solution for greater control and cost efficiency.

- Access the latest, most accurate data with the power to normalize feeds from multiple lines of business and disparate systems.
- Connect to efficient regulatory communications with no need to update legacy systems.
- Leverage best practice, value-added, proprietary innovations that reduce print, paper and postage costs and minimize inventory waste.

#### Gain added value from proprietary tools that streamline the online investor experience

- Experience Manager
- Prospectus Express®
- Investor Mailbox
- Consent Management
- Variable Products Express
- Preference Database

### SHAREHOLDER COMMUNICATIONS

Engage with shareholders more efficiently and cost-effectively.

Turn to a centralized, single-source provider and optimize both registered and beneficial shareholder communications.

- Simplify shareholder communications—from document creation through SEC filing and delivery.
- Standardize multiple data feeds, applying suppressions, householding and custom client business rules.
- Reduce print costs and improve quality with a fully managed process.
- Increase shareholder engagement by leveraging the digital channels investors want and by using unique, high-impact packaging.
- Centralize billing and reporting.

#### Value-added services increase operational efficiency and compliance

- Document Composition, Design and Filing
- Document Hosting
- Enhanced Emails and Packaging
- Intelligent Insertion
- Investor Mailbox
- Managed Print
- StreetLink

### PROXY SERVICES

A smarter way to get the vote.

Reach quorum efficiently and cost-effectively.

- Ensure the campaign closes on time, on budget—accurately and securely.
- Leverage one platform and a proactive, single point of contact for efficiency, accuracy and accountability.
- Deliver a better shareholder experience: Send high-impact proxy materials via the methods shareholders prefer.
- Compose and design documents with capabilities for typesetting, EDGAR HTML and XBRL.

#### Optimize your campaign with value-added services

- Enhanced Packaging
- Document Composition, Design and Filing
- Innovative Call Center
- Targeted Reminders
- ProxyVote™
- Mobile Voting
- Customized Print
- Investor Mailbox

### INVESTOR EXPERIENCE AND ENGAGEMENT

Reimagine the investor experience.

Grow mind and wallet share with technology-driven solutions that support investors on their terms.

- Drive deeper investor engagement with relevant, contextual content delivered to the channels of their choice.
- Leverage artificial intelligence and machine learning to grow your business and cut costs.
- Overcome paperless adoption plateaus with our network effect.
- Gain insights with data analytics and dashboards.

#### Improve the experience across the investor life cycle

- Omni-channel delivery
- Communications management
- Information management
- Control and administration

### TAKE THE NEXT STEP

See how you can communicate and comply more effectively with Broadridge.

To learn more, contact us by phone at **+1 (866) 359-0456** or online at **[broadridge.com](http://broadridge.com)**.

Ready for Next