

BROKER/DEALER SOLUTIONS



Highlights

Addresses POS Stage 3 regulations

Assists with CRM2 pre-sale disclosure

Integrates into existing advisor desktops

Document delivery tracking

Regulatory and marketing delivery platform

Delivery preference management

Intuitive workflow

Enables targeted campaigns

Scalable from stand-alone, branded web-based systems to enterprise-wide configuration

In-depth analytics for document viewing

Administrative console

Smart Advisor®

Desktop communication platform

Smart Advisor is an innovative digital investor communication platform that enhances efficiency and effectiveness for financial advisors. The solution is a delivery system that allows investment professionals to access and deliver relevant documents to investors for compliance, regulatory communications, marketing and sales campaigns. With access to thousands of documents via the proprietary Smart Library® document repository, advisors can be sure they are delivering current documents to their investors every time.

Smart Advisor accesses Broadridge's proprietary libraries for regulatory and private content while leveraging the industry leading Smart Document Fulfillment System, enabling the distribution and tracking of regulatory, marketing and sales materials between advisors and their investors.

Smart Advisor allows advisors to send any document based on client delivery preference – electronically, print and deliver or mail – saving significant time and cost at the corporate firm level. Investors preferring to receive electronic materials will be provided with a link to a branded web page that effectively displays content on both desktops and mobile devices.

Regulatory
disclosure

Marketing
information

Smart Advisor

One-to-one or
one-to-many

Document delivery
tracking

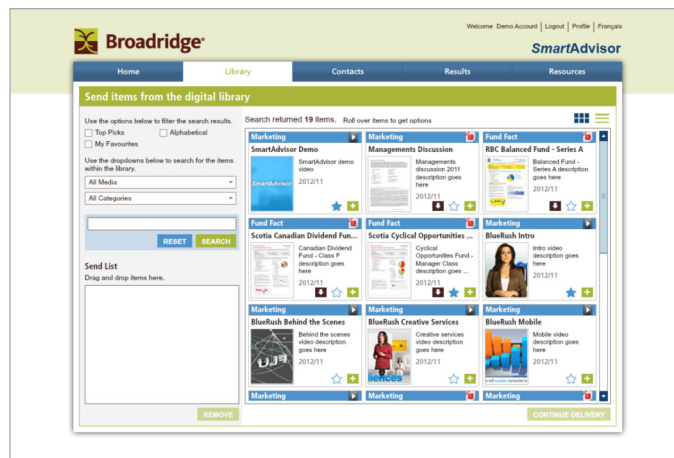
The solution's intuitive workflow engine allows investment professionals to create sophisticated personalized one-to-one or one-to-many communications. The ability to create groups of investors with similar investment objectives provides efficiencies for investment professionals and investors. Comprehensive compliance and activity reporting allows investment professionals and administrators to track communications down to the individual investor and advanced administration capabilities allow firms to fully permission content and control system access.

Smart Advisor empowers financial advisors with efficient communication tools and gives investors access to the communications they need, when they need it, and in the form they want to receive it.

Investor communication management, delivery and tracking



Delivery Tracking



Digital Content

About Broadridge

Broadridge's integrated solutions connect the global financial market and its participants through the timely, relevant exchange of information. Leveraging our first-to-market information technology solutions, we bring issuers, banks and brokerage firms, mutual fund managers, and institutional and retail investors together – interactively and cost-effectively.

Broadridge Investor Communication Solutions provides integrated solutions to brokers, dealers and mutual fund companies by delivering pre-sale, point-of-sale and post-sale communications to investors. Broadridge Brokerage Processing Services is the premier supplier of securities processing systems in Canada and a leader globally.

By combining our leading technological infrastructure with our regulatory and investor relations expertise, we offer our clients solutions that are unparalleled in the industry. Broadridge connects more brokers, dealers and fund companies to their investors than anyone else. We invite you to learn more about our products and services, and how we can help make your business smarter.

Contact us today.

Broadridge

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