

Full Service Mutual Fund Proxy Solutions

Leveraging our experience to pave the way for the future of your shareholder communications

For over 30 years, Broadridge has worked collaboratively with our mutual fund, annuity, REIT, closed-end fund and ETF clients providing innovative proxy campaigns that deliver quick and efficient proposal passage. As a leader in the investor communications market, we manage the majority of proxies voted by shareholders across brokerages, investment firms and corporate issuers each year enabling us unparalleled access into the voting trends and preferences of shareholders.

Deep knowledge of shareholders

Drawing insights from the voting data collected from working with more than 450 mutual funds, we strategically analyze all voting segments to deliver targeted shareholder communications.

- Leverage the experience we gain from nearly 800 mutual fund campaigns we conduct annually, touching more than 30 million individual shareholders.

Leadership in investor communications

Every business day, Broadridge distributes millions of regulatory reports and proxy materials at a scale that enables us to apply the best practices in document configuration and distribution methodologies for our clients.

- Access the capabilities of a partner that each day mails over 8 million regulatory documents and sends 1.5 million electronic communications.

Innovative technology

Drawing Shareholder communications preferences continue to change and many of our clients are realizing the benefit of providing more ways for their shareholders to vote. Broadridge is committed to furthering its leadership in introducing innovations to increase investor engagement and process efficiencies.

- Utilize the technology platform that enables us to eliminate over 40% of physical mailings through suppression, preference management and electronic delivery.

Expert guidance throughout each proxy campaign

We are a full service provider with deep expertise managing all aspects of the campaign including strategy development, mail, tabulation, electronic delivery, inbound/outbound telephone calling and all necessary project activities.

- Partner with our proxy team members who each have an average Broadridge tenure of 9 years and together bring 150 years of experience in advising leading mutual funds on through proxy campaigns.

Services built on the high levels of security and business continuity

Broadridge is recognized as a trusted partner committed to providing state-of-the-art data security practices and technology to safeguard valuable shareholder information. We support our clients through their Board assessment and certification requirements – providing necessary documentation from our ISO 2001/9001/27001 certifications, SSAE 16 audit, Sarbanes-Oxley reviews to FFIEC audits.

- Rely on a firm that conducts proxies every day without interruption and is 1 of only 7 companies in the U.S financial services industry that is ISO Certified.



Broadridge®

Partner with Broadridge to Leverage our Insight and Experience

Broadridge knows registered and beneficial shareholders better than any other proxy service provider. As a result we can identify key accounts and analyze the shareholder base to deliver greater planning accuracy and campaign control to increase voter participation. We see trends, know broker habits and look at historical returns across all aspects of the shareholder base, whether directly held or in omnibus accounts.

More shareholders are electing to receive proxy materials electronically. With over 30 million electronic consents on file, we changed the way we reach shareholders. Our approach is designed to achieve quorum using the optimal strategies which include mail, institutional and broker relationships, pre-calling communications and outbound calling.

Innovative Partner. First to deliver:

- Mobile voting
- 1-click QR code voting
- Internet voting
- Pre-record date ballots
- Proportionate voting for IRAs
- Institutional voting
- Notice & Access Solution
- Householding
- Consolidated ballots

Key Insights:

- Across the industry today, outbound calling on average represents 15% to 20% of the shares voted on any given proxy campaign.
- 1 in 3 U.S. homes no longer maintain a landline, opting to use a cellular phone instead; while 75% of Americans have a smart phone and 25% have a tablet.
- Votes attained via outbound calling campaigns are becoming more difficult to capture; while electronic voting now on average represents over 35% to 40% of the shares voted in a campaign.
- Mobile voting can result in more engaged shareholders. With the introduction of mobile voting, we have seen that 30% of shareholders using the application had not voted in any previous proxy.

As of January 30, 2013