# Why Broadridge? Your Partner for Fiduciary Compliance

As the industry evolves to new fiduciary standards, only one partner helps drive operational excellence to manage risk, accelerate growth and deliver real business value.

### Expertise



## Capabilities



#### Validate

- Fund Suitability
- Share Class Suitability
- IRA Rollovers

The end-to-end solutions that can turn compliance into your competitive advantage.



#### Communicate

- Real-time Disclosure
- Multichannel Delivery
- Secure Document Archival



- Compensation Management
- Account Reconciliation
- Commission Payments
  and Billing

### Connections

With relationships across the financial services sector, Broadridge boasts a 97% client revenue retention rate.

150M

Advisors and Broker Dealers 950+ Banks and Brokers 550+ Mutual Funds 10,000 Employees Worldwide 110M Individual Accounts 31,000+ CUSIPs via direct link



Insights

Your single source for the latest trends, information and best practices.

# DOL, Best Interest and Fiduciary Resource Center: **broadridge.com/DOL-solutions**





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