

# Summary of Business Continuity Program

September 2022



## Overview

Broadridge Financial Solutions, Inc. (“Broadridge” or the “Company”) is committed to establishing and maintaining comprehensive disaster recovery and business continuity planning programs which will ensure the timely and effective recovery of mission critical business functions.

Broadridge maintains a Business Continuity Program which is staffed with full time, highly qualified disaster recovery and business continuity planning professionals. Testing and review of the plan with recovery team members are required annually and when material changes have been made to the plan.

Some of the major components of this program include:

Business Impact Analysis	Alternate Processing Sites	Risk Assessment	System and Data Backup
Disaster Avoidance	Work Group Recovery	Crisis Management	Disaster Recovery Testing

The foundation of any Disaster Recovery and Business Continuity Plan consists of a solid disaster avoidance strategy. Broadridge’s avoidance strategy includes:

<p><b>Power Protection</b></p> <ul style="list-style-type: none"> <li>- Uninterruptible power supply systems</li> <li>- Permanent Diesel generators</li> <li>- Redundant power lines to the facility</li> </ul>	<p><b>Facility Security</b></p> <ul style="list-style-type: none"> <li>- 24 x 7 x 365 security staff monitoring</li> <li>- Extensive Digital Closed-Circuit TV monitoring</li> <li>- State of the art fire detection, alarm and suppression systems</li> <li>- Computerized building access control with Photo ID required</li> <li>- Biometric hand geometry scanning devices securing access to production server farms</li> </ul>	<p><b>Data and Infrastructure Backups</b></p> <ul style="list-style-type: none"> <li>- Mainframe high availability solution</li> <li>- Mission critical system and data backup</li> <li>- Redundant network connectivity for critical data and voice communications</li> <li>- Diverse Carrier Class Internet Service Providers</li> </ul>
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## Purpose

The Business Continuity Program is designed to provide immediate response and subsequent recovery from any unplanned business interruption, such as loss of utility service, building evacuation or catastrophic event such as a major fire. Broadridge has Business Continuity Plans for each business unit which provide an overview of the requirements, strategies and proposed actions necessary to rapidly and effectively recover business operations following such an event.

## Scope

The Business Continuity Program focuses on the following subject areas as outlined by the Disaster Recovery Institute International:

### 1. Project Initiation and Management

Establish the need for a Business Continuity Management Process or Function, including resilience strategies, recovery objectives, business continuity and crisis management plans and including obtaining management support and organizing and managing the formulation of the function or process either in collaboration with, or as a key component of, an integrated risk management initiative.

### 2. Risk Evaluation and Control

Determine the events and external surroundings that can adversely affect the organization and its resources (facilities, technologies, etc.) with disruption as well as disaster, the damage such events can cause, and the controls needed to prevent or minimize the affects of potential loss. Provide cost-benefit analysis to justify investment in controls to mitigate risks.

### 3. Business Impact Analysis

Identify the impacts resulting from disruptions and disaster scenarios that can affect the organization and techniques that can be used to quantify and qualify such impacts. Identify time-critical functions, their recovery priorities, and inter-dependencies so that recovery time objectives can be set.

### 4. Developing Business Continuity Management Strategies

Determine and guide the selection of possible business operating strategies for continuation of business within the recovery point objective and recovery time objective, while maintaining the organization's critical functions.



## 5. Emergency Response and Operations

Develop and implement procedures for response and stabilizing the situation following an incident or event, including establishing and managing an Emergency Operations Center to be used as a Command Center during the emergency.

## 6. Developing and Implementing Business Continuity and Crisis Management Plans

Design, develop, and implement Business Continuity and Crisis Management Plans that provide continuity within the recovery time and recovery point objectives. Planning also includes restoration back to the primary production facility.

## 7. Awareness and Training Programs

Prepare a program to create and maintain corporate awareness and enhance the skills required to develop and implement the Business Continuity Management Program or process and its supporting activities.

## 8. Maintaining and Exercising Plans


Pre-plan and coordinate plan exercises. Evaluate and document plan exercise results. Develop processes to maintain the currency of continuity capabilities and the plan document in accordance with the organization's strategic direction. Verify that the Plan will prove effective by comparison with a suitable standard, and report results in a clear and concise manner.

## 9. Crisis Communications

Develop, coordinate, evaluate, and exercise plans to communicate with internal stakeholders (employees, corporate management, etc.), external stakeholders (customers, shareholders, vendors, suppliers, etc.) and the media (print, radio, television, Internet, etc.).

## 10. Coordination with External Agencies

Establish applicable procedures and policies for coordinating continuity and restoration activities with external agencies (local, state, national, emergency responders, etc.) while ensuring compliance with applicable statutes or regulations.



The Business Continuity Plans under the Business Continuity Program have been developed to:

- Provide an organized and consolidated approach to managing response and recovery activities following any unplanned incident or business interruption, including procedures to return back to the primary workplace and production facilities, avoiding confusion and reducing exposure to error.
- Provide prompt and appropriate response to any unplanned incident, thereby reducing the impacts resulting from short term business interruptions.
- Recover essential business operations in a timely manner, increasing the ability of the company to recover from a damaging loss to the facility. Provide a smooth transition back to the primary production facility after the incident has been resolved.

The Business Continuity Plans are also designed to create a state of readiness that will provide an immediate response to any of the following incident scenarios:

- Any incident causing physical damage such as fire, smoke or water damage.
- Any incident which indirectly effects facility access such as storm closure, emergency building evacuation due to bomb threat, or external threat such a fire to a nearby facility.
- Impending or unexpected regional disaster such as hurricane or impending flood;
- Any external incident, which potentially could cause a business interruption, such as loss of electrical or telecommunications service.

## Business Continuity Program Management Team

Broadridge's Business Continuity Program Governance Team has oversight over the Company's Business Continuity Program and establishes the Business Continuity Program standards and requirements. Each business unit of the Company has a BC Champion that assesses and creates Business Continuity Plans specific to their business unit in compliance with the standards set by the Business Continuity Program Governance Team. Members of the Business Continuity Program Governance Team are active in Business Continuity industry organizations and keep updated on industry standards and best practices.

## Integrated Planning Approach

It is the goal of the Business Continuity Program to establish planning programs synergistic with Broadridge's other risk management and governance programs and frameworks, including Crisis Management, Emergency Response, Risk Management and Safety, Physical and Electronic Security, Facilities, Human Resources, Information Technology.

## Business Continuity Planning Life Cycle

Business continuity planning is a continuing process and Broadridge's Business Continuity Program is strategically developed involving employees at all levels within the Company. Plan components are tested, rehearsed and reviewed on a regular basis to reflect the dynamics of the business.



Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive digital transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

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