

Broadridge Client Centric Compliance Management



*A Seamless Solution for Client
Focused Reforms*

READY-BY-DESIGN FOR ENHANCED COMPLIANCE

With Broadridge's customer-centric, single-data, real-time design, you'll be ready not just for The Client-Focused Reforms [CFR] in 2021, but for whatever comes next. Our open architecture platform eases and expedites any major change, market or regulatory, while insulating and preserving the value in your legacy systems.

ENTERPRISE-WIDE BENEFITS

- **Fast-track compliance:** Pre and Post trade compliance enabled through product, portfolio, user attributes and automated workflows to back-office.
- **Be client-centric:** Data models and transaction flows designed to allow enterprise to capture client-level and underlying account data.
- **Enable omni-channel:** Seamless service across all sales channels. Administer MFDA and / or IIROC products on a single platform, with a consolidated view of client holdings across channels, in real time.
- **Liberate your people:** Release branches and advisors to focus on sales and proactive advice.
- **Cut costs:** Eliminate redundancy. Streamline operations. Expedite product development.

TAILOR THE INVESTMENT EXPERIENCE

Tailor the investment experience to client risk and time horizon in a single, integrated omni-channel data environment. Rules and modules include integrated MFDA / IIROC and OSFI regulatory streams; any-product/any-plan enablement; account onboarding with KYC / IPS; in-stream compliance and audit.

GAIN GREATER CONTROL THROUGH PERMISSION-BASED ROLES

Use permission-based rules to set advisor entitlements on customers and transactions. Track training recency. Broadridge Compliance Management's fully configurable rules can also be attached to underlying fund product families.

ACTION DATA – TRIGGER AND TRACK

Action data with alerts generated by activities or timing; trigger activities such as rebalancing, communicating, or limiting advisor activities. All actions are trackable for audit and compliance purposes; client and advisor reporting uses data as a single source.

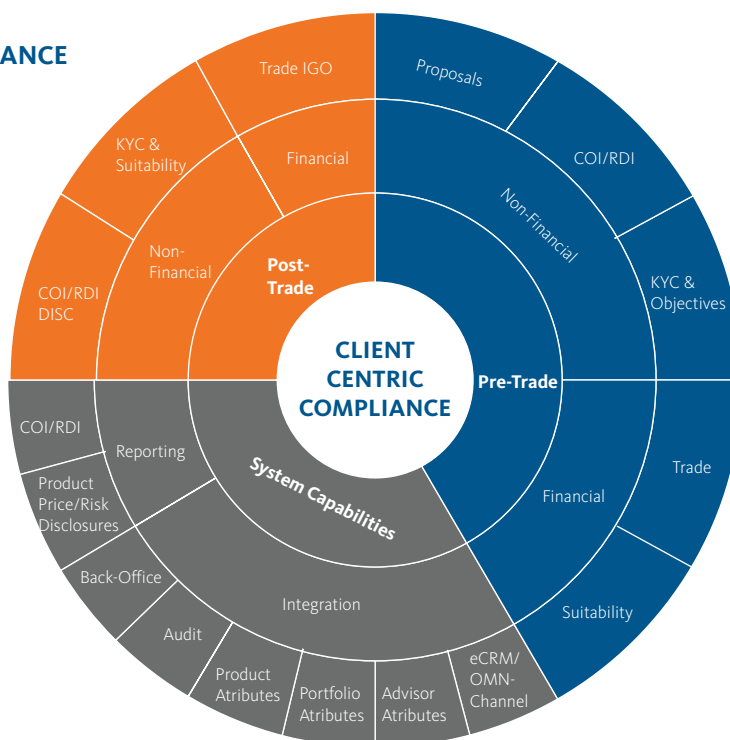
INNOVATE AT WILL

Create your own customized products; package business attributes as you wish; deliver customized statements, recorded in real time with today's marketplace data. Distribute products to your investors through the channels they choose.

FULLY INTEGRATED CLIENT-CENTRIC COMPLIANCE

SIMPLIFY, AUTOMATE, EXPEDITE

- Integrated, real time system
- Pre- and Post-trade compliance enabled through enterprise-wide product, portfolio, and user attributes, with automated workflows to back office
- Real-time pre-trade, post-trade and book of record integration
- Client centric data model



CSA REFORM	SUMMARY OF ADVISOR AND FIRM RESPONSIBILITIES
Know Your Client (KYC)	<ul style="list-style-type: none"> • Expansion of required KYC information • Requirement to confirm KYC with client • Periodic, event-driven KYC information updates
Know Your Product (KYP)	<ul style="list-style-type: none"> • Understand and communicate products, risks and pricing to clients
Suitability	<ul style="list-style-type: none"> • Provide investment suitability at a client level • Review suitability with any changes to client KYC, life-stage, or material change in product held • Provide notation on files of strategy recommendation, reviewed range of alternatives, and strategies not recommended for the client • Manage liquidity and concentration risk
Conflict of Interest and Relationship Disclosure Information (RDI)	<ul style="list-style-type: none"> • Conflicts of interests and referral relationship disclosure must be declared • Client's interests are paramount to conflicts of interest and relationship disclosure • Documentation and tracing of COI / RDI will be required
Misleading Communications	<ul style="list-style-type: none"> • Firms must ensure advisors do not mislead clients re titles and qualifications
Training and Controls	<ul style="list-style-type: none"> • Advisors are trained on products; training currency is monitored; only advisors current on a product may sell it • Products are fully disclosed, and risks are transparent • Audit and tracking procedures are put in place

Broadridge, a global Fintech leader with over \$4 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.



broadridge.com

Ready for Next



Communications
Technology
Data and Analytics