

# Broadridge for Public Finance



Operational services and solutions for institutional investment funds

# Insight, Efficiency and Compliance Across the Investment Organization

Fully integrated services and solutions for investment accounting, data management, business intelligence and financial reporting

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Multi-asset class coverage and global market capabilities

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Broad functions and controls designed to help clients effectively and efficiently pass regular financial and operational audits

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Advanced workflow automation and straight through processing across the back, middle and front offices to add accuracy and efficiency

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Unique service-focused delivery model to enhance solution quality and value

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Fiduciaries of public funds have a unique set of responsibilities—to meet performance measures while upholding the highest standards of public service. Investment insight and activity must go hand-in-hand with compliance, as both are equally essential to the fiduciary role. But this balancing act requires a foundation of complicated processes and procedures that grow with regulatory and constituent requirements. Over time, supporting them requires specialized tools and experience.

Broadridge understands the investment management needs of the public finance market and provides targeted solutions to meet them. The country's leading treasuries and public investment organizations have relied upon our solutions for decades. We are uniquely equipped to provide technology and guidance to service complex investment pools, retirement plans and operating funds according to industry and internal standards.

Broadridge Investment Accounting is a complete solution for the management and administration of institutional investment funds. It supports efficient, accurate and compliant investment management and fulfillment of fiduciary responsibilities across the organization. From robust reports for the chief investment officer and cash management for treasury to real-time, actionable data for the accounting and reconciliation teams, Broadridge Investment Accounting provides everyone with the resources needed to fulfill their roles according to internal and external rules and regulations.

The solution combines leading-edge technology with professional and responsive services. Its foundation is Broadridge's sophisticated, end-to-end platform with fully integrated data management, accounting and reporting.

Enhanced by services from Broadridge's experienced accounting and support teams, our platform provides extensive global market capabilities, including but not limited to:

- Portfolio accounting
- Investment and cash management
- Financial data management
- LGIP and commingled fund operations
- Short-term investment fund management
- Secure, internet participant access portals
- Collateral management
- Compliance and risk management
- Integrated investment general ledger
- Real-time business intelligence reporting and analytics

Broadridge helps fiduciaries take every measure to manage investments and operate according to public standards... and the transparency to demonstrate it.

### Support for audit compliance

Public investment organizations are held to the highest standards of control, accuracy and efficiency—and a major function of the fiduciary role is to demonstrate that these standards are being met by passing regular financial and operational audits. Broadridge helps fiduciaries take every measure to manage investments and operate according to public standards, providing our clients with confidence in their ability to meet internal and governmental audit requirements at any given time—and the transparency to demonstrate it.

Audit compliance capabilities of Broadridge Investment Accounting include:

- Independent book-of-record and shadow accounting
- Integrated financial data management
- Market data services
- Role-based permissions and controls
- Audit trails of all system activity
- Board-quality reporting

### Automated efficiency and accuracy

The large, complex funds typically managed by public investment organizations involve extensive operational processes—from data management and reporting to accounting and administration. With a mandate to operate within budgetary constraints, many organizations struggle to support these processes due to limited resources. Broadridge Investment Accounting maximizes resources and reduces overhead by automating key investment management processes.

The solution provides advanced workflow automation and straight through processing across the back, middle and front offices. It automatically receives, processes, aggregates, evaluates, stores and delivers information when and where it is needed. This vastly reduces, even eliminates, the need for manual intervention, freeing staff to focus on mission-critical functions and improving organization-wide effectiveness and efficiency.

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\$1.7  
TRILLION

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The country's leading treasuries and retirement systems manage more than \$1.7 trillion in public funds on Broadridge's investment accounting platform.

### Service-focused delivery model

Broadridge's unique delivery model is focused on service to enhance quality and value for our clients. Our extensive experience in public finance has resulted in unparalleled expertise, innovation and thought leadership in this space. The Broadridge team includes some of the country's foremost experts in public fund accounting and management, who are directly accessible to enhance and support the solution. The platform is delivered as a service (SaaS) so the latest technology is always up and running and well-supported. With services and technology from a single source, the quality and efficiency of the solution are heightened and ensured.

Across North America, more retirement systems and state treasuries rely on our platform to support investment operations and fulfill fiduciary responsibilities than any other solution.

#### Contact Us

To further discuss Broadridge's solutions for the public finance market, please call us at +1 856 797 1200 or email [solutions@qedfs.com](mailto:solutions@qedfs.com).

#### About Broadridge

Broadridge, a global fintech leader with over \$8 billion\* in market capitalization, 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.

\*As of August 2017

