

## **Broadridge Responses to SIFMA Recommended COVID-19 Questions**

### **1. Does your organization have a pandemic plan to respond to and recover from mass absenteeism events, such as COVID-19?**

**Yes.** The well-being of our associates and our ability to fulfill client service commitments are our highest priorities.

The Broadridge Pandemic/COVID-19 Committee continues to track the latest developments of the COVID-19 pandemic. We review guidelines and situational updates daily from the World Health Organization (WHO), the Centers for Disease Control and Prevention (CDC), the U.S. Department of Health & Human Services (HHS), and APAC and EMEA local government health authorities. We continue to be actively engaged with the Securities Industry and Financial Markets Association (SIFMA), providing industry information updates.

Broadridge's focus has been to operate under existing business continuity plans with particular consideration to the unique nature of this virus. Areas of focus and actions implemented include, but are not limited to, the following:

- Communications and associate awareness – COVID-19 associate portal with all of the latest information
- Client Communications – COVID-19 Client portal with all of the latest information
- Travel restrictions and advisories; prescribed quarantines
- Social distancing planning and implementation
- Enhanced facility preparedness and disinfecting standards
- Medical Department infection control and response programs
- PPE for associates (masks, gloves, sanitizers, etc.)
- Temperature taking at production facilities
- Human Resources guidelines specific to COVID-19
- Visitor and vendor health declaration procedures
- Associate work from home (WFH) as per Business Continuity
- Contingency plans for the continuance of critical business activities
- Vendor preparedness and validation

### **2. In the event of mass absenteeism, have you developed a plan on potentially scaling back 'non-critical' services that may be provided?**

As part of our Business Continuity Plans (BCP), we have plans to prioritize and deliver mission critical client services first and non-critical services as a secondary objective. Each area is assessed for criticality.

With respect to supporting our critical services:

- Our data centers are built with redundancy and can operate and be managed remotely from numerous geographic locations.

- With operations and technology redundancy across regions, Broadridge generally has the ability to shift critical services to multiple geographic locations in the event of significant business disruption.
- Our active staffing worldwide, follow-the-sun support, lights-out data centers, multiple print/production sites and robust work from home programs via Broadridge laptops and secure VPN gives us the confidence to deliver services based upon mass absenteeism.

**3. As part of the pandemic plan, does your organization have strategies that include transferring work and work remote capabilities?**

**Yes.** Our COVID-19 business continuity plan includes the options to transfer operations to alternate sites and work from home capabilities. Please see Question 2 for a review of our service model backbone.

**4. Have they been tested as part of the ongoing COVID-19 threat or in the past 6 months?**

**Yes.** The transfer of work to alternate locations and work from home (WFH) capabilities were exercised in March 2020, August 2019 and March 2019. We successfully conducted a BCP stress test of our WFH capabilities with no issues to report.

Currently, we have over 9,000 associates productively working from home successfully with a host of Broadridge managed collaboration tools and security controls in place.

**5. Has your organization taken precautions to mitigate the spread of COVID-19?**

**Yes.** The well-being of our associates and our ability to fulfill client service commitments are our highest priorities.

Precautions have been taken to mitigate the spread of COVID-19 including the following:

- Broadridge moved to 100% remote working on March 18, except for staff who are required to be on-site to perform essential services in New York and across North America.
- We have reduced our on-site staffing levels for those who are performing functions that are deemed essential services under various government orders to minimize the number of people in the facility at one time and to accord with social distancing.
- We are leveraging our technology and operational capabilities to load balance to the greatest extent possible across several facilities so that locations like Long Island, New York that have high community concentrations of the virus can assign staff at reduced levels to maximize social distancing.
- Social distancing planning and implementation
- Strict separation of shifts
- Enhanced facility preparedness and disinfecting standards
- Medical Department infection control and response programs
- Contact tracing for suspected and confirmed cases of COVID-19
- PPE for associates (masks, gloves, sanitizers, etc.)
- Temperature taking at production facilities
- Human Resources guidelines specific to COVID-19
- Visitor and vendor health declaration procedures
- Contingency plans for the continuance of critical business activities

- Communication of good hygiene practices to associates
- Travel restrictions and advisories; prescribed quarantines

**6. For employees that may have had exposure, have steps within your organization been taken to quarantine them for a specific duration?**

**Yes.** The health and safety of our employees, their families, and our community are our highest priority and we have implemented the most stringent safety and disinfecting measures in our facilities to help prevent the spread of the virus. When we become aware that an associate has tested positive for COVID-19, we notify people who were in direct contact with them with instructions to self-quarantine at home for 14 days and contact their personal physician for additional medical guidance. In addition, all associates in the office location are made aware. We have also implemented extensive medical evaluations with our Medical Departments and contact tracing for suspected and confirmed cases of COVID-19.

**7. Is there currently an impact to any of your organization's locations?**

**Broadridge is operational around the globe.** We have experienced no material disruptions to the critical work we do for our clients. Broadridge staff who are not required to be on-site to perform essential services in New York and across North America moved to 100% working remotely on March 18th. On-site production staff who are performing functions that are deemed essential services are currently operating at reduced staffing levels to minimize the number of people in the facilities and maximize social distancing. We are leveraging our technology and operational capabilities to load balance to the greatest extent possible across several facilities so that locations like Long Island, New York that have high community concentrations of the virus can assign staff at reduced levels to maximize social distancing.

**8. If responded yes to question #7, describe which recovery strategies your organization has activated and the effectiveness.**

Not applicable. Broadridge remains operational across the globe.

**9. Does the location currently impacted directly support our contracted products/services?**

Not applicable. Broadridge remains operational across the globe.

**10. Have steps been taken to address any potential impacts associated with fourth parties that support your operations from a pandemic perspective?**

**Yes.** We have sent out COVID-19 questionnaires to all our critical vendors. To date we have not been informed of any issue that would interrupt normal service and processing by our vendors.

Our operation teams work closely with our critical vendors on a daily basis to ensure potential impacts are mitigated. Our Enterprise Vendor Management Team plays an active role on our Pandemic/COVID-19 Committee providing information updates from our critical vendors. We continue to partner and keep open the channels of communication with our vendors to ensure uninterrupted operations and services to our clients. In many cases we source multiple vendors/suppliers to reduce risk.

**11. What is being done to ensure your fourth parties can continue to support the contractual obligations to you as a customer?**

We continue to meet with our critical vendors to get updates on the impact of COVID-19 with respect to contractual obligations and services provided to Broadridge.

We require our critical vendors to track and report on their significant subcontractors and their pandemic preparedness. To date, our BCP requests to our vendors have uncovered no issues.

**12. Has your organization identified critical processes that are dependent on the knowledge of limited individuals and have you developed relevant contingency plans?**

**Yes.** We have performed this exercise.

Our critical processes are identified in our Business Impact Analysis. Business Continuity Plans consider the resources and knowledge base required to execute critical functions. As part of our BCP we would separate individuals to diverse locations.