



## Smart Document Fulfillment<sup>®</sup>

### Highlights

Personalized and consolidated package containing all trades made by an investor in a day

Trade confirmations are consolidated by investor account into one mailing

Trade confirmations are delivered together with all trade-related required documents

Provides end-to-end solution for POS Stage 3 requirements when combined with Smart Advisor<sup>™</sup>

A personalized cover letter to each investor reinforces the Dealer's/Broker's branding

Document fulfillment suppression for subsequent trades when an investor has already received a current disclosure document

Secure data processing and fulfillment facilities

### Automated Transaction Driven Document Delivery

Smart Document Fulfillment is a distributed data processing, digital print and e-delivery service. It is the first timely, cost-effective, print-on-demand fulfillment process for delivering trade confirmations and related documents to investors.

*Relevant information in a single package — Investors are provided with consolidated trade confirmations and, when required, Fund Facts and other required documents. Only information relevant to an investor's trade is digitally assembled, printed, bound together, and mailed as a single package.*

Disclosure requirements for investment funds continue to evolve as securities regulators strive to provide investors with timely and relevant information about their investments. Smart Document Fulfillment identifies when investors must receive documents – for example, based on rules around the timing of a transaction, the nature and timing of the last document sent to the investor, and the timing of the last regulatory filing. The system examines each mutual fund trade, and, based on the account fulfillment history, determines if an investor has already received a current document. The system automatically suppresses delivery if the investor has already received the document.

Smart Document fulfillment, integrated with Smart Advisor, addresses the POS Stage 3 requirements to support pre-sale delivery exceptions of Fund Facts in limited circumstances. Smart Advisor is Broadridge's document delivery platform for advisors. It enables pre-sale delivery of Fund Facts.

This combined solution enables tracking of pre-sale delivery of Fund Facts and reconciles them with transaction data for delivery with transaction confirmations.

## Smart Library® – Document Repository

Smart Document Fulfillment accesses documents from Broadridge's Smart Library, our proprietary repository for all SEDAR compliance documents and client-specific private library documents. Also, Broadridge has agreements with several mutual fund companies to subsidize all or part of the cost of printing Fund Facts, as part of the Smart Document Fulfillment service. As a result, you can be confident you are cost-effectively delivering current information to your investors.

## Integration with other solutions

Broadridge's processing solutions continue to evolve to meet new and changing regulations and investors communication needs. Smart Document Fulfillment is integrated with Smart Advisor, the POS Stage 3 compliant communication platform that enables the distribution and tracking of marketing and regulatory documents sent from advisors to their clients.

## Contact Us

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## About Broadridge

Broadridge's integrated solutions connect the global financial market and its participants through the timely, relevant exchange of information. Leveraging our first-to-market information technology solutions, we bring issuers, banks and brokerage firms, mutual fund managers, and institutional and retail investors together – interactively and cost-effectively.

Our Investor Communication Solutions division provides integrated solutions to brokers, dealers and mutual fund companies by delivering pre-sale, point-of-sale and post-sale communications to investors. Broadridge's Brokerage Processing Services division is the premier supplier of securities processing systems in Canada and a leader on the global stage.

By combining our leading technological infrastructure with our regulatory and investor relations expertise, we offer our clients solutions that are unparalleled in the industry. Broadridge connects more brokers, dealers and fund companies to their investors than anyone else. We invite you to learn more about our products and services, and how we can help make your business smarter.

Contact us today.



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