



Global Investor Communication Solutions

Proxy solutions that drive efficiency, reduce cost,
mitigate risk and optimise business performance during
changing times



Broadridge®

In the face of rapidly and fundamentally changing regulations, financial firms and corporations around the world are being challenged to find new ways to manage risk, maximise efficiencies and cut costs.



Innovation to meet changing client and market requirements

With the implementation of Target-2-Securities (T2S) and other regulations impacting the post-trade landscape, it is imperative to optimise asset servicing operation models, including proxy voting.

Broadridge is transforming the provision of proxy services. Working from an enterprise level global proxy management platform and tailoring solutions for local markets allows us to drive operational performance in global capital markets.

Broadridge has a long track record of success in the provision of industry-first proxy communication solutions.

In North America, we transformed the proxy process by harmonising practices. We are now working with our clients in more than 110 market jurisdictions to deliver solutions that drive efficiency, reduce cost, mitigate risk and optimise operational performance.

Our local market end-to-end solutions include:

Direct sourcing of agendas from registrars and/or central local institutions

Broadridge provides direct sourcing of agendas in North American, Europe and Asia Pacific markets. We source agendas directly

from local markets as well as from independent specialist third parties. By the end of 2016, we will have the infrastructure and resources in place to support all European countries where client demand exists.

Agenda Creation, Translation & Distribution

Broadridge has proven expertise in agenda creation, translation and distribution. We offer intra-day vote reporting as well as intra-day agenda distribution. Combined with our existing automated vote distribution and collection processes, this process ensures the timeliness of agenda distribution with robust control.

Direct Vote Execution & Physical Meeting Attendance

Traditional vote execution and meeting attendance service models are inefficient and costly. We provide local market solutions that improve both the efficiency and cost-effectiveness of these processes.

Key benefits

Committed global market leader - for over 19 years, Broadridge has provided global proxy solutions for nearly 50 custodian and broker relationships, supporting 99% of all cross-border assets, including the assets of the top 44 global custodians.

Mutualisation - with our expertise and strong market presence, Broadridge can leverage its extensive infrastructure and pass on to our clients economies of scale that no other proxy service provider can achieve. We are committed to delivering operational and cost efficiencies that could not be achieved on an individual basis.

Smart and flexible client solutions - Broadridge offers an array of smart and flexible client solutions that provide operational efficiency

through the use of our multiple client facing tools and communication modes to simplify the management of all steps in the proxy process including:

- ProxyEdge®- Broadridge's suite of electronic voting services that help simplify the management of institutional proxies.
- ICSonline - provides issuers with online access to information and services that support proxy and securityholder communication processing needs.
- Consolidated Data Feed - automates the collection of data from multiple sources.
- Investor Mailbox - creates transparency for all constituents in the 'communication supply chain'.

We also provide value add services that address local market and client requirements, including:

- Power of Attorney solicitation based on client holdings
- Agenda Search reporting of potential corporate events on proxy agendas
- Corporate Action Library
- Vote Confirmation
- Securities Class Actions and Tax Reclaim

Leveraging economies of scale to drive efficiency and cost effectiveness, built on a foundation of operational excellence, are fundamental to doing business in the new world.

The Broadridge Difference

Account management and client servicing excellence

Best-in-class client servicing from full-time dedicated account teams based in multiple worldwide locations

Delivery of operational and cost efficiencies

Fully automated, award-winning solutions for proxy distribution and vote processing infrastructure

Advanced, leading solutions

Significant, ongoing investments in technology and resources to help firms meet regulatory requirements and prepare for market change

Committed global market leadership

Supporting proxy processing globally since 1996, including all top 10 global custodians

Value-add services

A wide range of support for all your institutional clients' needs

Robust security and business continuity model

Highest standards of cybersecurity and business continuity measures to minimise the risk of data, compliance and reputational risk

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About Broadridge

Broadridge Financial Solutions, Inc. (NYSE:BR) is the leading provider of investor communications and technology-driven solutions for broker-dealers, banks, mutual funds and corporate issuers globally.

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