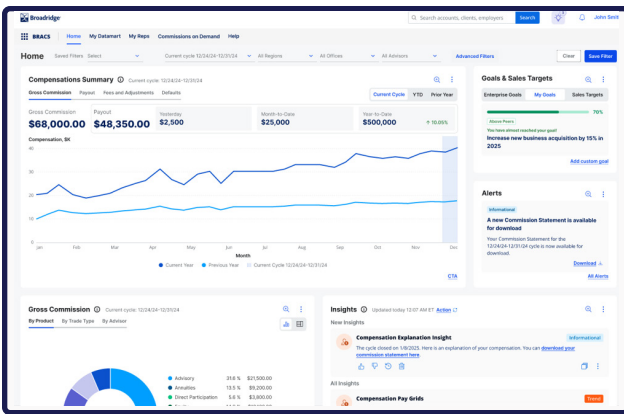


Broadridge Advisor Compensation

A secure, SaaS solution to improve compensation operations and elevate the advisor experience.

Broadridge helps firms modernize how they onboard, compensate, and manage advisors in the face of rapid industry evolution. Our cloud-based solution enables firms to manage complex compensation models, reduce operational burden, and gain the control and visibility needed to make faster, more informed decisions with confidence.

Advisor Dashboard






Why firms choose Broadridge

Compensation has evolved. Firms are designing increasingly tailored models to attract, retain, and incentivize advisors—while volumes, audit expectations, and data dependencies continue to scale.

Our solution enables firms to:

- Support differentiated compensation strategies without increasing operational workload
- Reduce reliance on manual adjustments and exception handling
- Gain enhanced visibility into payouts, performance, and controls
- Benefit from continuous innovation through a shared SaaS model
- Drive value across the organization with role-specific tools for field and home office users

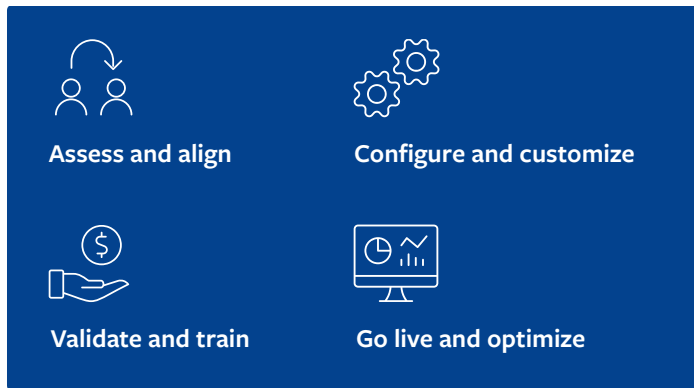
How Broadridge Advisor Compensation delivers value

<p>Operate with confidence </p>	<p>Enable a better advisor experience </p>	<p>Scale intelligently </p>
<p>Configurable workflows and integrated data validation help improve accuracy and reduce risk</p> <p>Built-in audit trails, reporting, and licensure validation support auditability, controls, and accountability</p> <p>Fewer exceptions free up teams to focus on higher-value work</p>	<p>Clear payout visibility and intuitive dashboards build trust and transparency</p> <p>Faster access to compensation data speeds issue resolution</p> <p>Actionable insights help identify growth, performance, and retention opportunities</p>	<p>Cloud-hosted infrastructure supports regular enhancements and shared innovation</p> <p>Flexible rules and grids adapt quickly to changing business needs</p> <p>Seamless integration with custodians, clearing partners, third-party systems, and the Broadridge Wealth Platform creates a unified data ecosystem</p>

Capabilities

- **Enhanced workflows:** Reduce manual intervention across payouts, reconciliation, and cycle closes with robust workflows and self-service tools
 - **Intelligent insights:** Turn data into action with the option for predictive analytics and AI-powered insights for faster, smarter decisions
 - **Flexible architecture:** Scale securely with cloud-based infrastructure built for continuous innovation and integration, benefiting from faster updates, enhanced support, and regular releases
- Stronger integrations:** Connect seamlessly with custodians, clearing partners, 3rd party and inhouse systems, and Broadridge Wealth systems for a unified data ecosystem
- **Built-in resilience:** Benefit from higher stability and automated quality assurance through our modern platform delivery model

Your upgrade journey is simple, guided, and supported



The future of advisor compensation

A modern platform that combines stability with innovation, delivering seamless connectivity, continuous enhancements, and a flexible foundation built to evolve with your business

Broadridge Financial Solutions (NYSE: BR) is a global technology leader with trusted expertise and transformative technology to help the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients—driving operational resiliency, elevating business performance, and transforming investor experiences.

Our technology and operations platforms process and generate over 7 billion communications per year and underpin the daily average trading of over \$15 trillion of equities and fixed income trades. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 15,000 associates in 21 countries.

For more information about us, please visit [Broadridge.com](https://www.broadridge.com)

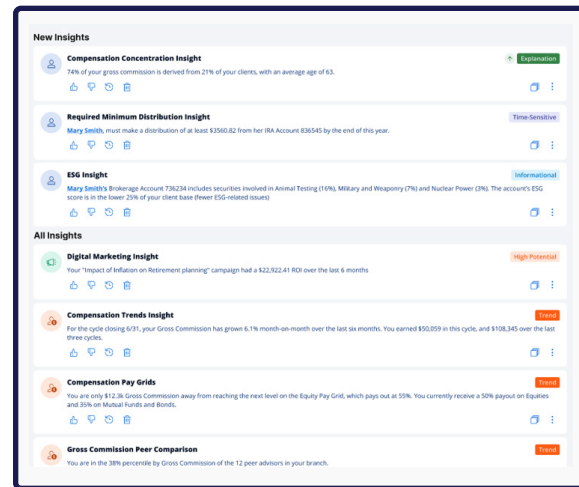


Results

Broadridge Advisor Compensation delivers measurable improvements:

- Faster compensation cycles through streamlined, integrated processes
- Reduced over- and under-payments with stronger monitoring and controls
- Fewer errors and exceptions as manual work is minimized
- Greater visibility for both home office and field teams
- Improved advisor experience through clearer reporting and faster resolution
- Simplified data management across reconciliation, analytics, and integrations

AI Insights



Contact

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for more information or a quick demo

