



Uncovering opportunities

The power of operational excellence
to drive business growth



Broadridge[®]

BROADRIDGE AT A GLANCE

Broadridge is the leading provider of investor communications and technology-driven solutions for wealth management, asset management and capital markets firms. We help clients drive operational excellence to manage risk, accelerate growth and deliver real business value. Our technology-driven solutions power the entire investment lifecycle, enabling our clients to successfully manage the complexity and operational requirements of today's capital markets. Broadridge is also at the forefront of multi-channel communications, strengthening our clients' capabilities to communicate with their clients and investors and meet regulatory requirements.



The financial industry demands excellence

Today, global financial institutions face a range of challenges — meeting customer expectations in a fast-changing digital world, complicated by shifting regulations, increasing competition and rising costs. As a result, these organizations find themselves under tremendous pressure to transform their operations and business models.

Now, more than ever, firms need partners that can help them solve their business challenges and realize new growth potential while navigating through ever-evolving regulatory requirements.

For decades, Broadridge has earned the confidence of leading financial organizations with our ability to think proactively and act innovatively, while delivering scale, reliability and mission-critical functionality.

We've helped our clients grow and gain flexibility to expand into new markets, differentiate products and generate new revenue streams, all while enhancing the customer experience.

Working in and across financial services

Wealth management | Asset management | Capital markets



*Broadridge processes more than \$5 trillion (USD)
in fixed income and equity trades every day.*

True operational excellence drives business value and growth

The steadfast belief that operational excellence is a critical factor in driving growth guides every solution Broadridge provides, as we work side-by-side with many of the world's leading global institutions.

It begins with our extensive network of people and technology along with data analytics and innovative communications platforms. We then take the time to thoroughly understand our clients' needs, so we can precisely engineer each solution. The goal is to free up resources, capital and talent to be used more productively.

For Broadridge clients, operational excellence means more than efficiency. It's a pathway to increased opportunity. Putting our solutions to work, they can focus on growing their businesses through a deeper level of insight and intelligence.

CASE IN POINT: EXPANSION OF TRADING SOLUTIONS FUELS GROWTH

Situation

To retain its competitive advantage, a global institutional broker wanted to penetrate new markets and deepen client relationships at every phase of the trading lifecycle.

Broadridge solution

U.S. equities clearance and settlement technology and outsourcing quickly enabled the client to become self-clearing. Our hosted solutions and back-office operations support helped the client minimize technology and overhead costs while improving its customer value proposition.

Result

A greater focus on customer service and the ability to reach broader markets created significant growth opportunities.

A unique perspective in step with industry needs

A clear understanding of the forces affecting financial firms is essential for those who want to retain a competitive edge. Working with institutions and regulators across the industry and across the world, gives us a unique vantage point. Because of this, clients increasingly look to Broadridge to identify key industry trends, best practices and insights — and help leverage that knowledge to turn obstacles into opportunities.

More effective client communications

The digitization of communications gives consumers more choice and flexibility in the way they interact with financial information. Broadridge sees the potential of this transformation. Digitization can be an opportunity to build stronger relationships, gather critical business intelligence, gain wallet share, grow assets and reduce costs. This is why so many firms work with us to optimize every aspect of their communications — including marketing and regulatory communications, statements, trade confirmations, and investor and retirement plan education.

Greater capabilities at a lower cost

The mutualization of capabilities is enabling the creation of shared standards, flexibility, better risk management and cost reduction across the industry. The value to our clients is a service model that offers real-time efficiency in trading and operations. Clients of all sizes can benefit from this model.

The power of data and analytics

Supporting decisions and effectively executing critical functions can put a significant strain on resources. The key is to get a clearer view of the business and its customers.

With data at the core of what we do, Broadridge brings relevant information and analytics together to help clients gain transparency and insight into shareholder mindsets and behavior. Our enterprise data capabilities work to enhance regulatory compliance, make forecasting more accurate, enable precise ROI analyses and institute more defined processes for managing and auditing fee arrangements.



Broadridge enables two billion multi-channel communications to investors annually.

**CASE IN POINT:
ANALYTICS UNCOVER NEW
BUSINESS OPPORTUNITIES**

Situation

A leading national retail brokerage wanted to expand third-party fund families offered across its channels and create additional revenue streams.

Broadridge solution

A powerful portal that uses cutting-edge analytics to give unprecedented access and visibility into mutual fund asset and sales information across the firm's RIA, retail, retirement and trust channels.

Result

The client is able to offer better service, uncover new business opportunities and drive growth. With the simplified exchange of information between mutual fund families and distributors, data was transformed into valuable insight that benefits the entire industry.



Broadridge provides transparency into the distribution of over 90% of mutual fund and ETF assets.

A 50-year commitment to setting the standard

For over five decades, Broadridge has had an intimate knowledge of the market that's helped to set the standard in financial services. From our origins in transaction processing for a single client, Broadridge has grown to be a strategic partner for leading financial institutions and public companies, worldwide. Our reliable operating platforms handle millions of trades involving trillions of dollars every day and more than two billion investor communications per year.

The same entrepreneurial spirit that set the tone for our culture and values, carries through today. It is evidenced in the way we continuously strive to solve problems for our clients and the way we work side-by-side with them to find new opportunities.

Broadridge takes pride in our 99% client retention rate, which stems from our belief that the Service Profit Chain is the foundation of our success. Broadridge invests in 6,400 associates worldwide because they produce outstanding results for our clients — and that's what earns us their confidence. This emphasis on outcomes, our hands-on knowledge of client operations, along with our big-picture understanding of the financial industry come together to make Broadridge unique.

We've helped clients innovate through an ever-changing financial landscape, supporting the industry through significant shifts in market cycles and periods of intense regulatory activity. It's all part of our heritage — and our commitment to the highest level of service and results for many years to come.

Broadridge has more than 6,400 associates in 13 countries around the world.



1960s

Broadridge began as the brokerage services business of ADP in 1962 with one client processing an average of 300 trades per night.

Client base expands throughout the decade.

1970s

Modifies and enhances brokerage securities processing. Expands operations into Canada.

1980s

Becomes the largest full-service brokerage processor with ~80% of the service market.

Creates offering for the investor communications business, which serves over 30 major clients in the first year.

Uses operational expertise to re-architect the laborious, time-consuming proxy process.

Broadridge is a NYSE traded company with over five decades of experience and 99% client retention.

**CASE IN POINT:
REDUCED RISK ENHANCES MARKET SEGMENT GROWTH**

Situation

A prominent global financial services firm needed to mitigate risk and improve efficiency when dealing with complex tax withholding regulations.

Broadridge solution

Broadridge's Tax Managed Services, backed by a comprehensive network of people, technology and strategic relationships, allowed for seamless consolidation of multiple ledgers and technology platforms. In addition, our single solution allowed numerous labor-intensive back-office reporting and withholding functions to be streamlined.

Result

The firm benefited not only from reduced risk and technology costs, but enhanced business value. Our client was also able to deliver a better experience and grow an important market segment.



1990s

Introduces Internet proxy voting and digital delivery of shareholder communications and begins processing regulatory mailings and proxies for mutual funds.

Investor Communications business obtains ISO 9002 certification.

Enhances global trade processing and rolls out Gloss, a multi-instrument, multi-currency trading and settlement system.

2000s

Broadridge Financial Solutions becomes a publicly traded company in 2007.

The new publicly traded company expands offerings in print solutions, electronic voting platforms, tax services, business process outsourcing, mutual funds and retirement solutions.

Receives ISO 9000 certification for brokerage processing system and ISO 27001 for superior information security.

2010s

Broadridge grows through acquisition to offer client solutions in data management, mutual fund processing, proxy and shareholder communications, and fee and expense management.

Enters the transfer agency and international reconciliation business and creates mobile voting business.


Expands offerings to buy-side clients.

Leverages research and company expertise to address key industry trends.

Potential meets reality

Our job is to look beyond the task at hand — to see potential and make it a reality. Our ability to earn our clients' confidence is anchored in our deep expertise across the full spectrum of global technology, operations and investor communications. It's brought to fruition through a unique combination of hard work, skilled associates, innovative processes and industry insight.

Working tirelessly to develop far-reaching, proactive solutions makes us an industry leader — and the preferred partner for financial institutions and public companies worldwide.



Broadridge is a leader in corporate governance activities, facilitating the shareholder meeting voting process for over 70% of shares voted globally.

Find out how Broadridge can transform potential into reality for your business.

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