

Diversity, Equity, and Inclusion Policy

Broadridge is committed to providing an equitable and inclusive workplace and environment in which every associate feels connected to our organization and which empowers associates to do and bring their best to work. We believe that associates can only do their best when they feel safe, understood, and valued. Creating this associate experience requires us to remove any barriers and take deliberate action to cultivate diversity, equity, and inclusion.

At Broadridge, our ability to succeed and innovate within a global market is driven by our ability to develop and engage associates across multiple backgrounds, perspectives, and identities and further our company's values:

- **Client Centric** – We are committed to delivering exceptional services to our clients every day.
- **Respectful** – We respect the thoughts and ideas of all individuals.
- **Engaged** – We focus on engaging fully in everything we do.
- **Accountable** – We take personal ownership and pride in everything we do.
- **Trustworthy** – We always strive to do the right thing.
- **Entrepreneurial** – We use innovation to solve the industry's complex problems.

Our Inclusiveness Pledge outlines our commitment to advance diversity, equity, and inclusion within our workforce, workplace, and community and guides how we engage with our associates, our clients, and the communities in which we live and work.

Our Commitment

1. **Value every associate's unique attributes**—including their gender identity, ethnicity, age, marital status, sexual orientation, socio-economic status, religion, physical ability, mental ability, and expression—and how those attributes may provide them with a different, useful perspective.
2. **Create an environment where everyone feels accepted** and can bring their authentic self to work.
3. **Build upon our existing efforts to increase diversity within our workforce** through the hiring of underrepresented groups, including women, members of the LGBTQIA+ community, people with disabilities, people of color, and veterans.
4. **Ensure fair recruiting, hiring, compensation and promotion processes and procedures** to reduce unconscious bias and structural barriers.
5. **Incorporate diverse representation in everything we do.** We will not be satisfied until we are able to recognize and engage the unique talents of each associate every day.

What DEI means to Broadridge

Diversity, equity, and inclusion (DEI) are often grouped, yet each letter in the acronym represents a unique lever to creating a winning and engaging culture at Broadridge.

At Broadridge, we define DEI as:

- *Diversity* - The value we each bring shaped by our different experiences and backgrounds.

- *Equity* - A winning environment, free of unfair and inappropriate barriers, that enables us to all reach our full potential.
- *Inclusion* - A culture where you can feel and be respected and involved as you are.

Diversity, equity, and inclusion empower us to attract, retain, and maximize the best talent available for our workforce.

What DEI means for our work as a company

At Broadridge, a crucial part of our focus on driving long-term growth and value is a commitment to strong corporate citizenship. As a result, we embrace the concept of the Service-Profit Chain, which directly connects associate engagement, client satisfaction, and the creation of shareholder value. When our associates are engaged, they provide high-caliber service to satisfied clients, leading to strong outcomes for our shareholders.

We put this concept to work in our internal policies and practices and the communities that we serve, just as we do for our valued clients. We are also committed to leveraging our commercial ecosystem to advocate for and support DEI initiatives with our clients, shareholders, and suppliers.

What does DEI look like in action for us

Being “Ready for Next” means our approaches to talent, culture, and the marketplace are equipped for innovation. Therefore, those three areas serve as pillars to uphold and sustain our DEI strategy:

- **Talent:** Attract, hire, develop, and retain a diverse workforce representative of the global communities in which we live and work—at all levels of the organization.
- **Culture:** Implement strategies, policies, and practices that increase the inclusion and belonging of associates across level, department, tenure, social identity, and background.
- **Marketplace:** Design strategies, processes and systems to leverage our commercial ecosystem to advocate for DEI with our clients, suppliers, advisors, shareholders, and surrounding communities.

These three strategic pillars allow us to attract and grow the best talent, provide our associates with what they need to thrive, and guide our efforts and investments to advance DEI in the market and our communities.

Oversight of DEI

Chief Diversity Officer

Our Chief Diversity Officer designs and implements a holistic diversity, equity, and inclusion strategy, and partners with our business units to develop the resources and competencies needed to drive this strategy. Our Chief Diversity Officer is a member of our Executive Leadership Team as well as the Executive Diversity Council. In those roles, she provides regular updates to our Chief Executive Officer and Board of Directors. In addition, the Chief Diversity Officer serves as an advisor on global initiatives, such as our Associate Networks and our recruitment and compliance efforts. The Chief Diversity Officer is also responsible for building cross-company resources to enable sharing of insights and best practices.

Executive Diversity Council

Our Executive Diversity Council represents all of the regions in which we do business and our Associate Networks. Chaired by our President, the Executive Diversity Council meets quarterly and provides insight and recommendations on critical DEI-related opportunities and challenges. The Executive Diversity Council is also responsible for measuring our progress against our goals.

The Compensation Committee of our Board of Directors has oversight over human capital management matters, including initiatives and programs that concern our culture, talent, recruitment, retention, and associate engagement. In addition, our Chief Human Resources Officer and/or Chief Diversity Officer report to our Board periodically on our initiatives and progress on diversity, equity, and inclusion practices. The Board annually reviews the company's executive talent, including the company's leadership bench and succession planning.

DEI Council

Broadridge's DEI Council is chaired by the Chief Diversity Officer and comprises a diverse group of leaders across geographic regions and business disciplines including corporate and business functions. Members of the Council are expected to have demonstrated a consistent interest in fostering a diverse, equitable, and inclusive environment at Broadridge. The DEI Council works to listen, assess, and recommend actions and initiatives to foster a more diverse, equitable, and inclusive culture at Broadridge. The DEI Council serves as an advisory and implementation group to the Office of the Chief Diversity Officer and the Executive Diversity Council.

Fair Treatment of Associates

Broadridge provides equal employment opportunities to all associates and applicants for employment without regard to race, color, religion, sex (including sexual orientation, gender identity or expression and pregnancy), marital status, national origin, ethnic origin, social origin, age, disability, genetic information, or military or veteran status and other protected characteristics. Improper interference with the ability of Broadridge's associates to perform their expected job duties is not acceptable.

Unlawful discrimination is never acceptable, and decisions cannot be based on prejudices of any kind. We prohibit discrimination based on race, color, religion, sex (including sexual orientation, gender identity or expression and pregnancy), marital status, national origin, ethnic origin, social origin, age, disability, genetic information, or military or veteran status and other protected characteristics. Making employment-related decisions, including recruitment, hiring, placement, promotion, termination, transfer, leaves of absence, compensation and benefits, and training, based on any of these traits is not allowed; such decisions must be based on an individual's skills, knowledge, performance, talent, and capabilities.

See [Code of Business Conduct and Ethics, Equal Employment Opportunity and Policy Against Discrimination and Harassment Policy \(U.S.\) and Anti-Discrimination Policy \(UK\)](#).

Reporting Inappropriate Conduct

If an associate believes that they or another individual has been subjected to conduct prohibited by our Policy, the associate is urged and expected to report the relevant facts promptly. Associates are encouraged to start with their manager and report any conduct prohibited by the Policy.

If concerns still exist after speaking with local management or the associate is uncomfortable talking with their manager, other resources are available such as our Human Resources Business Partners and the Broadridge Ethics Hotline at (201) 714-3500 or (800) 669-0661. The Broadridge Ethics Hotline is available 24/7, and where permitted by local law, associates may contact them anonymously.

Independent of the resource used, all comments, questions, and concerns are taken seriously—we take prompt action and prohibit retaliation against anyone who raises a matter in good faith. The investigation will be managed as confidentially as is practical given the situation. Any violation of this Policy will be subject to corrective action, up to and including termination.

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