



Consent Management Service

Combine proxy and annual report delivery for greater efficiency and a better investor experience

Highlights

Compliance with NI 54-101 and NI 51-102

Reduced print and postal costs

Accurate communications budgeting

Enhanced investor experience

Automated process drives efficiency

Integrated investor preference management – shareholder identification, preference management, consent management

Broadridge maintains a robust investor preference management infrastructure on behalf of market participants. With the introduction of Notice and Access in Canada and an array of flexible solutions for issuer communications, investors have more choices than ever before, including material selection, delivery method, and method of access to information. We have designed our systems to let investors select their preferences, improving their level of engagement while helping to reduce costs for issuers. In supporting both Notice and Access and traditional print and electronic delivery models, Broadridge accommodates over 10,000 possible combinations of investor choice preferences.

Broadridge introduced our Consent Management Service as a component of our investor preference management solutions. Through the service, we collect investor consents regarding investor preference for receipt of annual and/or interim financials on the Voting Instruction Form. For those investors who opt-in, Broadridge sends the requested financial reports (e.g. annual report and/or Management’s Discussion and Analysis) in the proxy package. This approach demonstrates the convergence of National Instrument 51-102 and National Instrument 54-101, and represents a significant savings opportunity for issuers.

Efficient delivery

Reduced print and postal expense

Consent Management Service

Accurate processing

Better investor experience

With our Consent Management Service, you can add a consent question for annuals, interims or both directly on the Voting Instruction Form, via our Internet voting platform, ProxyVote, or our telephone voting platform. We then distribute the financial reports as requested in the next proxy mailing or provide a mailing file to you or your agent.

Broadridge provides you with a single-source solution to manage investor preferences: Here are the key features of our consent management service:

- Investor consents are collected in advance of your following year's proxy mailing
- Early search and record date material volumes – Broadridge provides a report of the number of financial reports that are required to fulfill the consents from the previous year or advance consent collection
- Secure, automated opt-in collection using a unique investor identifier and barcodes on Voting Instruction Forms (VIFs) and opt-in forms
- Immediate availability of list of consents – no backlog resulting from manual processing
- Investor consents applied to only existing investors – no stale mail list is used
- Store investor consent data and optimize opt-in solicitations
- Project management by an experienced Broadridge project manager

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.

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

Broadridge

Investor Communication Solutions, Canada

T: 905 507 5100



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