

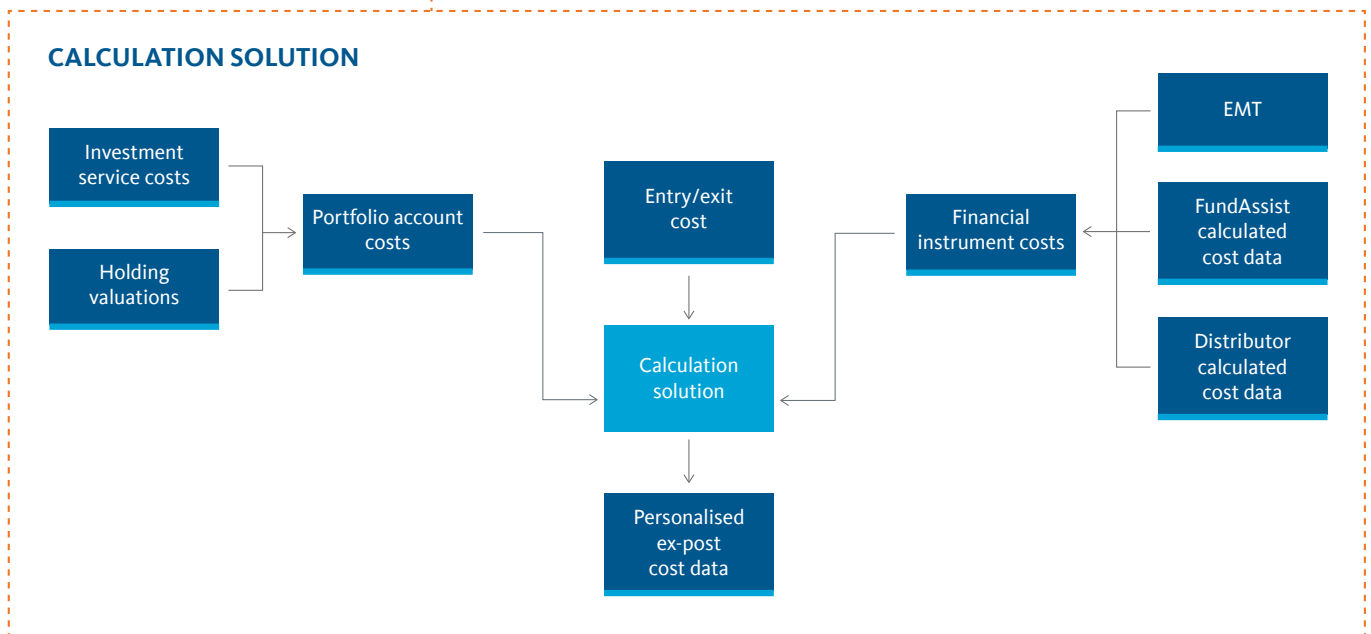
A straight through process to comply with the MiFID II Article 50 requirements

Helping distributors to meet the requirements to produce ex-post costs and charges statements for their clients

HOW CAN BROADRIDGE HELP?

- Exceptional depth of expertise to help firms navigate the complexities of MiFID II and other European regulations
- Proven track-record for the high quality delivery of regulatory solutions, on time and on budget
- Reduced operational risk through a highly efficient, integrated end-to-end solution
- Flexible solution for the calculation of personalized ex-post costs and the production of ex-post statements
- Single-supplier relationship for a best-in-class strategic solution, backed by the highest standards of service

HOW IT WORKS



THE EX-POST COSTS & CHARGES DISCLOSURE STATEMENT MUST BE DELIVERED TO INVESTORS NO LATER THAN APRIL 30TH, 2019

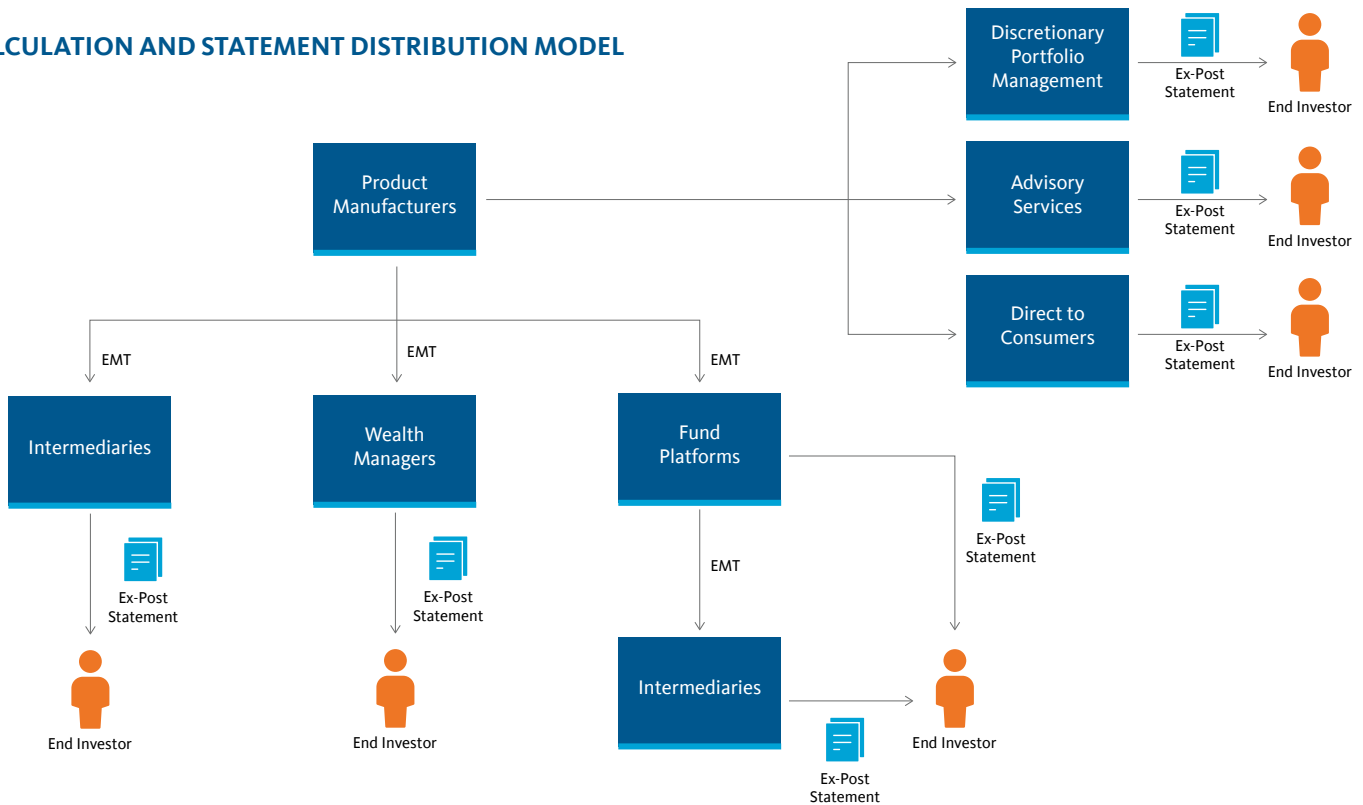
THE REGULATORY REQUIREMENT

Under Article 50 of the MiFID II Delegated Regulation, an investment firm is obliged to “provide annual ex-post information about all costs and charges related to both financial instruments and ancillary services where they have recommended or marketed the financial instruments, or, where they have provided the client with the KID/KIID in relation to the financial instrument and they have or had an ongoing relationship during the year.”

WHO THE REGULATION WILL IMPACT?

- Platforms
- Intermediaries
- Wealth managers
- Discretionary managers
- Segregated & separate account providers
- Fiduciary account managers
- Robo advisors
- IFAs
- Some fund manufacturers

CALCULATION AND STATEMENT DISTRIBUTION MODEL



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The Article also states that the information must be provided to the investor on a personalised basis and be based on actual incurred costs. The information takes the format of an Ex-post Costs and Charges Statement. The statement must also show the actual cumulative effect that these costs have on the return on investment for the investor.

TO LEARN MORE REGARDING FUNDASSIST EX-POST COSTS AND CHARGES SOLUTION, PLEASE CONTACT US OR VISIT OUR WEBSITE FOR MORE INFORMATION:

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