

# 5 steps to streamlined proxy voting

Execute votes that reflect your firm's values—faster and more efficiently than ever before.





# Bring insight and efficiency to the proxy voting process

With thousands of meetings, complex proposals, shifting market conditions and evolving regulations to consider all at once, casting proxy votes to maximize shareholder value can seem like an insurmountable challenge.

## But it doesn't have to be.

Broadridge's Proxy Policies and Insights provides user-friendly web tools that apply comprehensive data, analytics and automation to the proxy voting process. Now with our five core capabilities, you can seamlessly meet institutional fiduciary responsibilities faster than ever to intelligently streamline your proxy voting.



These capabilities combined with data-driven automation enable you to raise productivity, simplify workflows and execute accurate, efficient voting decisions that align with your corporate goals and values.

## PROXY POLICIES AND INSIGHTS – 5 CORE CAPABILITIES

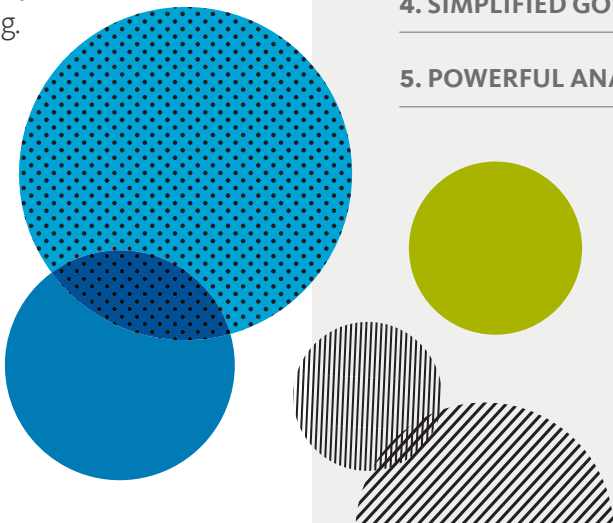
1. CUSTOMIZED GUIDELINES

2. AUTOMATED RESEARCH

3. IN-DEPTH REPORTS

4. SIMPLIFIED GOVERNANCE

5. POWERFUL ANALYTICS



## Take control of proxy voting with customized guidelines

Voting on behalf of millions of clients requires clearly defined, data-driven guidelines for each proposal category. Broadridge Proxy Policies and Insights lets you to define policies focused on key considerations and potential areas of concern, and set specific guidance for proposal categories.

### **ESTABLISH A BASELINE WITH INDUSTRY BEST PRACTICES**

Establish policies that are consistent with your fund's investment objectives. Existing guidelines can be adapted or used as references to create new custom guidelines according to your voting profiles.

### **BUILD A STABLE DECISION-MAKING FRAMEWORK**

Custom guidelines for proposal types mean informed decision making and value-aligned voting across specific categories, such as:

- Election of Directors
- Say on Pay
- Ratification of Auditors
- ESG Proposals
- And many more

### **AUTOMATE THE EASY DECISIONS, AND SIMPLIFY THE TOUGH ONES**

We'll analyze each proxy against your policies, so you spend less time on each vote—while confirming that each decision aligns with your proxy policy guidelines. Proxy Policies and Insights also provides the business rule that powers the guideline during the voting workflow, for each proposal.



# Customized guidelines make aligning ESG values easy

We analyze and confirm that each decision aligns with your ESG guidelines, goals and values.

## KEEP YOUR FIRM VALUE ALIGNED

Align with other ESG conscience funds and complete proxy voting fiduciary responsibility with the MSCI template that includes 50 of the top MSCI ESG rated funds and New ESG score:

- Funds have filed an N-PX and the largest amounts of holdings
- All funds rated AAA or AA
- Voting guidelines based on prior year vote records of the 50 identified funds
- Displayed in ProxyEdge as an integrated recommendation option

## SHAREHOLDER VALUE TEMPLATE MIMICS PREFERRED VOTING PATTERNS

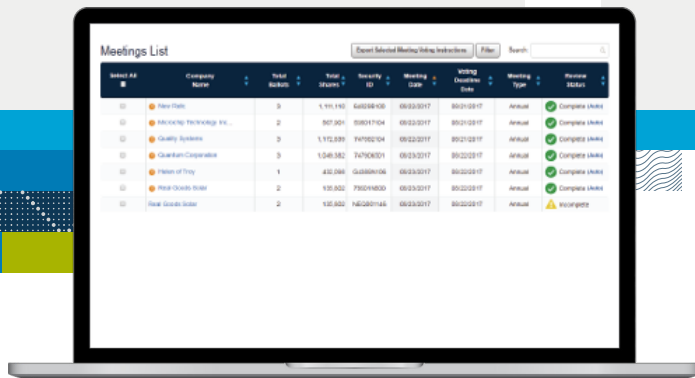
Automatically aligns your voting pattern with those of the top 30 fund families by assets under management. The Shareholder Value Template is comprised of:

- Publicly disclosed vote records of the top 30 fund families
- Fund selected by assets under management
- Aligned voting policies according to the industry's best practices

## CUSTOM VOTING GUIDELINE ADHERES TO VOTING POLICIES

Work with your client service representative to create customized voting rules at the proposal category level to mimic your organization's unique voting policies:

- One-time set up
- Display in ProxyEdge as an integrated recommendation option
- Access to Proxy, Policies and Insights add-on Platform
- Detailed voting history across institutional investors
- Access details from the proxy statement such as executive pay, board member information, etc.
- Create reports to benchmark voting results against large institutions and/or your peers



*Broadridge makes it easy to create, implement and manage a custom policy and voting guidelines that are based on your institution's principles, promote good governance and enhance value for your shareholders.*

## Automate research to obtain deeper insights

Better insights drive more informed decisions.

Not all institutions have the in-house resources to quickly digest and analyze the vast quantities of data in proxy statements. Due diligence and decision-making are complex, dynamic processes that require the automated scrutiny of annual reports, SEC filings, media and more. That's why we aggregate essential data and place it at your fingertips for easy filtering and analysis.

### ELIMINATE SEARCHES

Automated data aggregation minimizes the proxy voting burden by putting all decision-making data in a single location. This includes data from Broadridge ProxyEdge (domestic and global), the SEC's EDGAR system (daily filings), corporate web sites and other public information.

### DRIVE BETTER INFORMED DECISIONS

Advanced analytics identify proposals requiring special consideration even when raw data can't. Leverage this deep data dive capability to resolve complex issues.

### ENABLE COLLABORATION

Export proposed vote instructions and supporting research to other governance team members or fund managers for approval.



Essential data extracted



Easy access to data filtering and analysis



Generate and share reports

*Proxy Policies and Insights makes it easy to review relevant data on every meeting and proposal.*

## Generate custom reports of voting activity

Identify current guidelines that need to be revised or updated. Compile reports by criteria such as date range, voting group or proposal type and provide board members ongoing insight into voting trends.

### **ENSURE VOTING CONSISTENCY AND VALUE ALIGNMENT**

Once guidelines are in place, ensure that votes fully align with corporate values. Complete audit history compares each vote to internal guidelines, voting instructions and management recommendations.

### **SMALL VOTING TEAMS, BIG PRODUCTIVITY**

Store voting history to build institutional knowledge and create efficiencies for your voting team.



# Simplified governance with streamlined workflows

Bring more insight and less effort to the proxy voting process. Proxy Policies and Insights automates administrative functions—keeping track of meeting dates and voting deadlines, obtaining proxy statements and generating reports—so that you’re free to concentrate on making the right decision in less time.

### STREAMLINE VOTING

A single screen consolidates and organizes everything you need for faster, smarter decision making. Simply log in to view a comprehensive list of upcoming meetings, complete with detailed information including:

- Company name
- Total shares
- Meeting date
- Meeting type
- Total ballots
- Security ID
- Voting deadline
- Review status

### FACILITATE COLLABORATION

Proxy Policies and Insights’ export option gives you the power to share insights, research and propose vote instructions with other governance team members or fund managers for approval.

### CAST VOTES WITH CONFIDENCE

Highlight the voting preference for each proxy question. When your review is complete, the voting instructions are automatically viewable in ProxyEdge®.

### GENERATE ACCURATE REPORTS IN SECONDS

Sophisticated reporting and records management provides unmatched visibility into your voting history. Instantly see how your votes compare to your proxy, instructions and management recommendations. Customize reports by proposal category and date range, and present them to your board.

Select All	Company Name	Total Ballots	Total Shares	Security ID	Meeting Date	Voting Deadline Date	Meeting Type	Review Status
<input type="checkbox"/>	Global Indemity	2	419,753	039919101	09/14/2016	09/13/2016	Special	Review Incomplete
<input type="checkbox"/>	Global Indemity	2	419,753	NEG000382	09/14/2016	09/13/2016	Special	Review Incomplete
<input type="checkbox"/>	Network 1 Technologies	2	444,444	84121N105	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Iron	2	753,986	465741106	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Natrans Famous	1	629,829	632347100	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	03763A207	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	NAIF013895	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Barnes and Noble	1	61,728	067774109	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	NAIF013871	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Heritage Global	1	728,365	42727E103	09/14/2016	09/13/2016	Special	Review Incomplete



## Trend analytics keep voting and values aligned

Proxy Policies and Insights analytics help institutions understand their voting practices and how those voting decisions impact shareholder value over the long term.

### **ACTIONABLE INTELLIGENCE TO SUPPORT VOTING DECISIONS**

Understand how governance developments shape current domestic and global proposals and reveal emerging trends, such as:

- Securities that have proposals in a given category
- How institutional peers vote on specific categories or proposals
- Which issuers have the same shareholder proposals year over year

### **ANALYZE YOUR VOTING RECORD**

When oversight responsibilities include a post-season review of proxy voting, analytics can provide deeper insight, answering questions such as:

- Do votes consistently align with established policies?
- When votes do not align, what is the reason?
- What percentage of votes were cast with management, or against?
- How often do votes support shareholder proposals?

### **BENCHMARK VOTING OUTCOMES**

See how your voting decisions compare with your peers. Does your policy mirror current consensus on good governance, or is it time to update your voting guidelines?





## Five must-have capabilities, one efficient solution

Broadridge Proxy Policies and Insights provides the data, research and analysis that allows you to focus on your fiduciary responsibility to shareholders—all in a single, easy-to-use platform. With one end-to-end solution you can simplify governance, enhance research, streamline voting, expedite reporting and share insights across your organization.

### RELY ON THE TRUSTED PROXY EXPERTS

Broadridge is the leading provider of investor communications, technology-driven solutions, and data and analytics for broker-dealer, wealth management, asset management and capital markets firms. We help our clients drive operational excellence to manage risk, accelerate growth and deliver real business value. Our industry-leading suite of proxy communications and voting solutions reduce costs and deliver greater efficiencies for thousands of corporate issuers, mutual funds and broker-dealers throughout North America.

Broadridge is not a proxy advisor and the Proxy Policies and Insights service will not include any Broadridge recommendation as to the manner in which a client should vote or the factors that a client should consider when voting on any issue, candidate or ballot proposition.

To learn more about Broadridge Proxy Policies and Insights or to schedule a demonstration, please contact us at +1 855 252 3822, or visit our website at [broadridge.com](http://broadridge.com).

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