

# Regulatory compliance, simplified.

## SOLUTIONS FOR ASSET MANAGERS, MUTUAL FUNDS AND ETF PROVIDERS

With each new rule and regulation, compliance becomes more complex. Broadridge understands. From our unique position as an industry hub, we help simplify regulatory compliance from every perspective. Data-driven, efficient and secure, our solutions provide the insights, tools and services you need to assess, report and deliver in today's regulatory environment.

### Data and Financial Reporting

Simplify compliance with actionable, accurate and timely information. Adapt to regulatory changes, monitor compliance risks and gain greater visibility into your operations with our flexible, cost-effective platform.

### Regulatory Communications

Comply efficiently while enhancing the customer experience. Create and deliver accurate, consistent experiences in the most efficient way—across multiple channels, including print, e-delivery, online and mobile.

## DATA AND FINANCIAL REPORTING

## REGULATORY COMMUNICATIONS



# Simplify regulatory compliance from every perspective: Data, reporting and communications.

## DATA AND FINANCIAL REPORTING

### Actionable information that simplifies compliance

- Strategic, customized solutions
- Timely, accurate data
- Effective, efficient tools

Stay focused on your core business while meeting tax and regulatory requirements. Our team of specialists provide operational expertise and products that streamline data collection, analysis and reporting.

### 15 (c) Fund Board Reporting Best-in-class expense performance benchmarking

Provide fund directors with the information they need to fulfill responsibilities and stay compliant. Expense and performance data based on fund peer groups helps ensure the most accurate view of your funds.

- The most comprehensive and powerful data and analytics
- Access to both Lipper and Morningstar data
- Clearer comparisons with more granular data
- Accurate, independent and objective fee reporting

### 22c-2 Shareholder Compliance Automated compliance monitoring and reporting

Minimize risk in an increasingly complex regulatory environment. Our rules-based compliance solution aggregates data across intermediary platforms, flagging potential SEC trading violations in real time.

- Aggregate data across intermediary platforms
- Analyze omnibus accounts and direct shareholder accounts
- Report trading exceptions and resulting actions
- Identify shareholders engaged in market timing and other trading patterns

### Shareholder Concentration: Global Tax Reclaim Accurately file dividend reclaim forms and state tax apportionment

Ensure greater accuracy in global tax reclaim and state tax reporting. Save time and minimize errors with up-to-date data delivery—including visibility into core shareholder information and countries of residence.

- Shareholder concentration accounts, shares, assets, and percentages by country
- Automatically file dividend reclaim forms and calculate state sales factors
- Meet varied reporting requirements of the state and territory tax codes
- Enables users to create municipality sales factor reports based on ZIP codes

### Shareholder Concentration: Liquidity Risk and Auditor Independence Evaluate and monitor risk effectively

Auditor Independence Rule 2-01: Ensure that auditors of your firm have no conflict of interest (not holding more than 10% of a fund). Liquidity Risk Monitoring Rule 22e-4: Identify when any one shareholder has a large holding.

- Collects shareholder data from all necessary data sources
- Shareholder positions are analyzed for ownership percent
- Eliminates any conflict-of-interest concerns

### Intermediary Fee Management Streamline complexity and amplify intelligence

Eliminate manual processes, enable faster reconciliation and provide a full audit trail by managing intermediary fees with a single, standardized system. Streamline operations across the entire management cycle for improved efficiency and transparency.

- Calculates complex fee structures associated with any fee payments
- Streamlines payment processing with multi-level workflow
- Analyze product and business line profitability
- Allocate fees across multiple cost centers

## REGULATORY COMMUNICATIONS

### Communicate and comply more effectively.

- Document composition, filing and delivery
- Centralized, data-driven approach
- Optimized, multi-channel fulfillment

Get the right regulatory communications to the right customers. Our data-driven solutions simplify compliance, reduce costs and deliver a consistent customer experience across print, e-delivery, online and mobile.

### Pre-Sale Fulfillment Simplify delivery for compliance and investor satisfaction

Build a marketing and sales practice that's systematically compliant. Be confident that the right users have the right access to the latest approved documents—by product type and jurisdiction.

- Design print and digital communications that meet regulatory compliance policies
- Control the level of customization or standardization for variable data
- Manage and synchronize digital assets to distribute the most accurate content
- Streamline document composition plus HTML/EDGAR and SEC filings

### Post-Sale Fulfillment Focus on your core business instead of compliance

Meet investor disclosure requirements for first- and second-dollar obligations, without increasing costs or burdening shareholders.

- Keep up with the latest SEC filings
- Automate the production and distribution of materials, applying logic and business rules
- Simplify web presentation by linking product contracts to related subaccounts online
- Reduce print, paper and postage costs and minimize inventory waste

### Shareholder Communications Send ongoing communications more efficiently and cost-effectively

Overcome the challenges of legacy systems and inefficient processes. Turn to a centralized, single-source provider and optimize both registered and beneficial shareholder communications.

- Streamline document composition, filing and fulfillment via print and e-delivery
- Standardize multiple data feeds, applying suppressions and custom business rules
- Increase shareholder engagement
- Centralize billing to improve cash flow and eliminate chargeback hassles

### Mutual Fund Proxy Reach quorum efficiently and cost-effectively

Unparalleled planning and execution help you deliver a successful proxy outcome. One platform and a single point of contact provide efficiency, accuracy and accountability.

- Deliver a successful campaign and get the vote
- Ensure the campaign closes on time, on budget, with accuracy and security
- Compose and deliver proxy materials via channels that shareholders prefer, whether print or digital
- Attention-getting materials foster greater engagement and loyalty

Contact us today: Visit [broadridge.com](http://broadridge.com) or call +1 844 447 7694.

Ready for Next