REGULATORY SOLUTIONS

Broadridge®

Simplify suitability analysis for Reg BI compliance

OPTIMIZE FUND EVALUATIONS AND SHARE-CLASS RECOMMENDATIONS

- Automate fund analysis and comparisons within the same fund category
- Recommend the most cost-efficient share class
- Increase the awareness of available funds for consideration
- Utilize a quantitative scoring methodology to enhance fund analysis and recommendations
- Integrate into trade workflows across broader wealth platforms using single sign-on

BRING TRANSPARENCY TO MUTUAL FUND RECOMMENDATIONS

Regulation Best Interest (Reg BI) places new burdens on broker-dealers and registered representatives. Broadridge helps lighten their load. By automating mutual fund analysis, firms can increase fund awareness among their registered representatives, allowing them to home in on funds best suited for their clients.

MAKE FUND COMPARISONS MORE COMPREHENSIVE

With FundPOINT®, a desktop compliance and suitability tool, registered representatives can search by CUSIP, ticker or fund name and automatically receive a list of comparable funds within the same fund category. FundPOINT monitors over 30,000 CUSIPs from the EDGAR system daily and tens of thousands of documents each year. This ensures Reg BI compliant fund and asset-class analysis and recommendations.

GAIN EFFICIENCY VIA INTEGRATED WORKFLOWS

FundPOINT's modular design allows firms to leverage its proprietary applications. Firms can also opt to integrate FundPOINT data into their order-entry workflows. Data can then automatically pre-populate, which reduces re-keying, expediting analysis and saving valuable time.

COMPLIANCE MADE SIMPLE

- Recommend the right share class
- Easily integrate with existing CRM systems
- Automate workflows including calculation, documentation and archive
- Ensure breakpoints, waivers and rights of accumulation are factored appropriately
- Link data points directly to the source prospectus
- Data updated daily from EDGAR compared to peer group

REG BI OBLIGATIONS

Form CRS | Duty of Care | Compliance | Conflict of Interest | Disclosure

FundPOINT

Make best interest a competitive advantage

FundPOINT® puts greater power at the registered representative's fingertips. Its user-friendly dashboard makes it easy to run fund rules against investor-specific parameters and calculate best-interest recommendations.

KNOW THE SCORE

FundPOINT's suitability analysis includes the Broadridge Fi360® Fiduciary Score. This proprietary algorithm quantitatively calculates scores based on 11 key criteria, including historical performance, expense ratio, risk metrics and style consistency. It helps firms optimize their product shelf for "best interest" fiduciary standards and achieve greater confidence in Reg BI compliance.

Funds with a better fiduciary score provided better median results than their peers with lower levels of risk.

— Empirical research analyzed by the Center for Financial Planning & Investment California State University, Northridge

LET TECHNOLOGY AND DATA DRIVE FEE TRANSPARENCY

Proprietary FundPOINT technology calculates, documents and archives fund comparisons and recommendations. Contributing factors, fees, rules and asset-class assessments are readily available for internal and regulatory review. Additionally, FundPOINT can re-create analyses as of a point-in-time, leveraging our comprehensive historical data points. This is useful for auditing purposes and provides transparency around past recommendations.

Compliant recommendations made simple

Automatically access the right data

Streamline workflows for best interests

Know the Fi360 Fiduciary Score

Document and archive recommendations

PROVIDE YOUR REPRESENTATIVES WITH THE INSIGHT TO SUCCEED

See how easy it is to gain new insight, confidence and transparency.

Visit broadridge.com/regbicomply or contact your Broadridge representative for a demo today.

Broadridge, a global Fintech leader with over $4 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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Ready for Next

Communications
Technology
Data and Analytics

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