



# 2023 Sustainability Report

Ready for Next



September 2023

## A message from Broadridge CEO Tim Gokey

Sustainability is at the foundation of how we operate our company. In 2023, we continued to conduct our business based on sustainable practices while expanding on our ESG goals and strategy.

With the ongoing market volatility and economic uncertainty, we believe continually improving our sustainability practices has become even more important to associate engagement, client satisfaction, and shareholder value creation. We recognize that the stronger our commitment to sustainability is both internally and in the communities around us, the more we are able to provide to the marketplace.

In 2023, we continued our commitment to transparency and fulsome reporting on our Company's ESG practices, program, strategies, and goals through publication of our 2023 Sustainability Report and annual Carbon Disclosure Project Climate Change Report, while also updating our dedicated sustainability webpages. We have expanded our climate-related risk and opportunities assessments indexed to the Task Force on Climate-related Financial Disclosures framework and disclosed consolidated U.S. workforce demographics for the second consecutive year. We have further developed and enhanced our oversight processes for ESG matters, and continue to assess and monitor Broadridge's key ESG risks and opportunities.

We also continue to pursue opportunities for economic growth that simultaneously align with having a positive impact on the environment. Our biggest opportunity to lower greenhouse gas emissions is through the services we perform on behalf of our clients who are evolving their business models, embracing digital innovation, and adopting next-generation technology. We have continued to scale and innovate digital solutions such as ProxyVote, Virtual Shareholder Meetings and Broadridge Communications Cloud<sup>SM</sup>, to name a few, that help our clients reduce their environmental impact. In fiscal year 2023, we used digitization and other technologies to drive down our Scope 3 greenhouse gas emissions and eliminate approximately 87% of paper proxy communications sent on behalf of our clients. We are well positioned to lead in the connection between digital-first products and environmental sustainability.

Our associates are our greatest asset, and we are committed to seeking out the best talent in our industry and fostering a collaborative and supportive work environment where everyone feels welcomed, everyone is empowered to do their best work, and everyone has the opportunity to develop new skills and pursue a great career. We support seven associate networks, and in 2023, we launched a new associate network, BeGreen, which provides a forum for associates to engage in environmental and sustainability matters.

Through the Broadridge Foundation, we continue to support charitable causes, develop community-focused action plans, and provide donation matching. In 2023, we continued our commitment to education for at-risk youth and partnered with Save the Children, a global non-profit organization focused on supporting children in need.

Our great efforts in ESG have been recognized through multiple awards and certifications, including being named to *FORTUNE* magazine's "World's Most Admired Companies" for the ninth time, being added as a constituent of the FTSE4Good Index Series for a second year, being recognized as one of the Best Companies to Work for in New York for a sixteenth consecutive year, and certification as a Great Place to Work<sup>®</sup> in 14 countries.

As we continue our focus on creating long-term and sustainable value for our associates, clients, and stockholders, I look forward to sharing more on our developments and achievements in sustainability.

Best regards,

A handwritten signature in black ink that reads "Tim Gokey". The signature is stylized and cursive.

**Tim Gokey**  
Chief Executive Officer

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# Sustainability Highlights

We are committed to conducting our business sustainably; this commitment is a core value of our business.

Our focus remains on integrating environmental, social and governance (“ESG”) into a sustainable business strategy by lowering our environmental footprint, fostering a safe and diverse work environment and ensuring strong governance to achieve all of our sustainability goals. We began formalizing and developing our ESG strategy and program by performing our first ESG materiality assessment in 2022, the results of which are set out on pages 4 and 5. As we continued our annual climate-related disclosure through Carbon Disclosure Project Climate Change reporting (“CDP Report”), we disclosed our first climate-related risks and opportunities assessment under the Task Force on Climate-related Financial Disclosures (“TCFD”) framework in our 2022 CDP report.

Over the past year, we continued to enhance our ESG disclosures, including our climate-related information in our 2023 CDP report, and continued developing our ESG initiatives, programs and policies. We have also expanded our TCFD climate-related risks and opportunities assessment, the results of which can be found in our 2023 CDP Report. As a testament to our sustainability efforts, for another year we have been added as a constituent of the FTSE4Good Index Series, recognized as a 2023 EPEAT Purchaser Award winner, and received multiple 2023 Great Place to Work® awards and certifications.

Below are some highlights of our sustainability initiatives and accomplishments.

## Transparency and Reporting

Over recent years, we focused on bolstering our ESG disclosures, including:

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Annual publication of a Sustainability Report with disclosures indexed to Sustainability Accounting Standards Board (“SASB”), the United Nations Sustainable Development Goals, and TCFD frameworks

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Providing regular updates on our dedicated Sustainability webpages outlining our ESG-related initiatives and progress

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Launched a dedicated Diversity, Equity, and Inclusion (“DEI”) website

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Enhanced disclosure of climate-related information in our CDP Reports

- Piloted a qualitative climate-risk assessment and disclosed key climate-related risks and opportunities indexed to TCFD in our 2022 CDP Report, and
  - Expanded such TCFD assessment and disclosure to include more facilities in our 2023 CDP Report
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Disclosure of our U.S. workforce diversity data aligned with our consolidated U.S. Equal Employment Opportunity Commission (“EEO-1”) Reporting

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# Sustainability Highlights

## Knowledge, Skills and Experience\*



## Strong Corporate Governance Practices and Policies

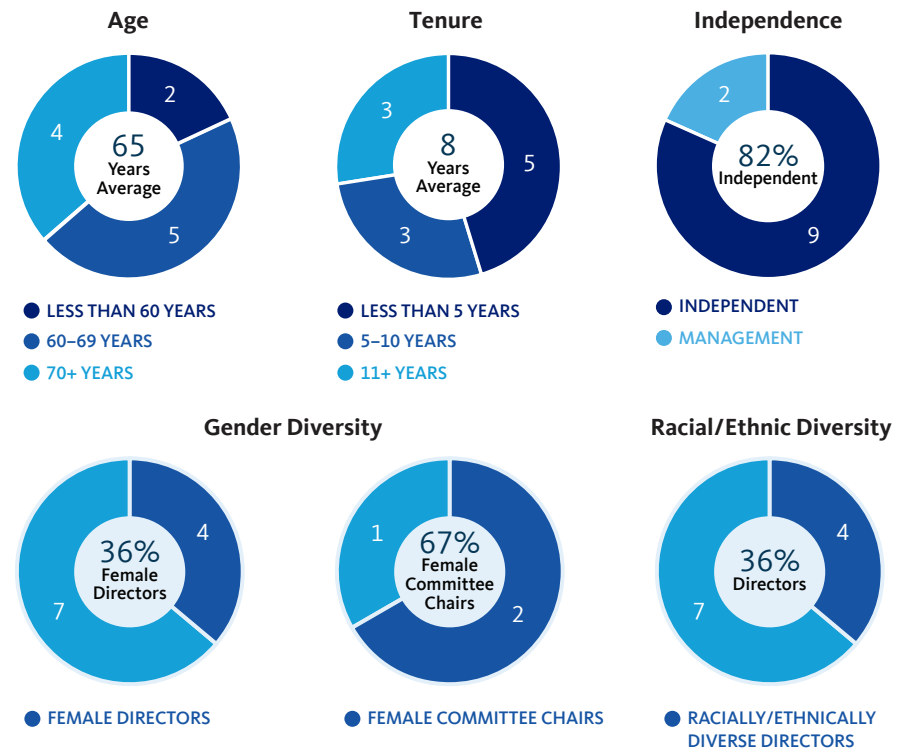
Broadridge's Board of Directors and the Governance and Nominating Committee of the Board oversee our ongoing commitment to ESG matters through regular reports from our cross-functional executive ESG Committee.

Our core business' governance solutions enable effective corporate governance for our clients. We are focused on fostering our own strong corporate governance practices to promote a culture of integrity, sustainable business and long-term value creation.

Please see our 2023 Proxy Statement for more information on our corporate governance policies and practices available at the Company's Investor Relations website at [broadridge-ir.com/financials/proxy-statements](https://broadridge-ir.com/financials/proxy-statements).

### BOARD REFRESHMENT AND BOARD DIVERSITY\*

Through our ongoing Board refreshment efforts, three highly qualified directors have joined our Board in the past few years. Women represent 36% of our Board, while women and ethnically or racially diverse members represent over 60% of our Board.

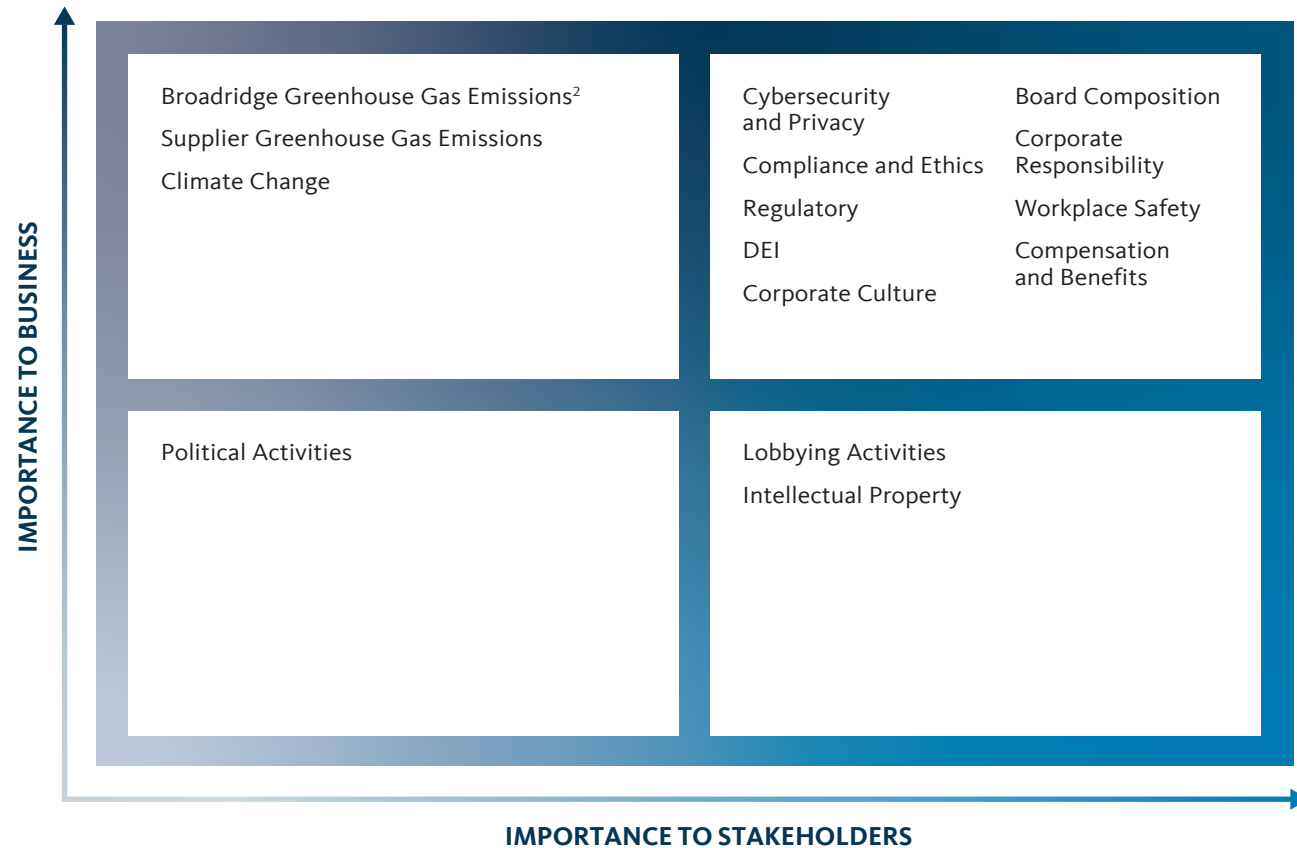


\* As of the Company's 2023 annual meeting of stockholders, one director will be retiring pursuant to the Company's mandatory retirement policy. The information above excludes the retiring director.

# Sustainability Highlights

## ESG MATERIALITY ASSESSMENT<sup>1</sup>

We performed a materiality assessment to inform the Company’s sustainability reporting and strategy. We solicited input from Company leaders regarding how ESG risks and opportunities could potentially affect the Company from the perspective of what is important to our key stakeholders as well as what is important to Broadridge as an enterprise. The assessment was completed during fiscal year 2022 and captures the ESG issues deemed to be important to the Company as of that time.



- (1) Our ESG materiality assessment was designed to identify the most relevant, or material, issues from an ESG perspective, which is a broader standard than that used in our financial disclosures. The use of “material” when referring to ESG topics throughout this report is intended to flag the most important issues from our ESG assessment. It does not speak to the materiality of those issues to Broadridge as a whole.
- (2) Broadridge Greenhouse Gas Emissions results include feedback on questions on renewable energy, energy efficiency, air quality, and water consumption.

# Sustainability Highlights

## ESG MATERIALITY ASSESSMENT (CONTINUED)



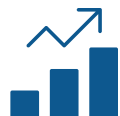
### 1. Identified key stakeholders

Identified the key stakeholders of the Company. For the 2022 materiality assessment, we focused on investors and analysts, regulators, employees, public companies, banks and brokers, institutional investors, mutual funds, communities where we work and live, investment advisers, and Broadridge as an enterprise.



### 2. Created a list of important and relevant ESG risks, opportunities and issues

Created a list of important and relevant ESG risks, opportunities and issues applicable to Broadridge or its stakeholders. We considered current ESG risks and opportunities based on our TCFD assessment, emerging sustainability trends, SASB, the United Nations Sustainable Development Goals, stakeholder requests for information, rater/ranker evaluations, peer reporting, news articles and the Company's regulatory filings.



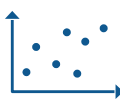
### 3. Evaluated relevance to Broadridge's business

Considered whether, and the degree to which, the identified ESG risks, opportunities and issues could potentially affect Broadridge's business, financial condition, operating results, prospects or stock price. This included a survey of input from Company leaders regarding how ESG risks and opportunities could potentially affect the Company and our TCFD assessment.



### 4. Evaluated importance to stakeholders

Considered whether, and the degree to which, the identified ESG risks, opportunities and issues may affect or be of interest to Broadridge's key stakeholders. This included a survey of input from Company leaders, discussions with Enterprise Risk Management and Business Continuity Planning Program teams and investor calls.



### 5. Mapped issues on a matrix

Mapped each ESG risk, opportunity and issue according to the scores generated in steps 3 and 4 to populate an initial ESG materiality matrix. Each stakeholder category was equally weighted.



### 6. Established material issues and addressed with enhanced disclosure

Identified and assessed ESG risks, opportunities and issues identified in steps 3 and 4 and addressed certain topics with enhanced disclosure such as expanded climate reporting in our 2022 CDP Report and focused disclosure in our updated sustainability website.

For more detailed information on our Governance initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/governance](https://broadridge.com/about/sustainability/governance).

# Sustainability Highlights

## Attracting and Retaining the Most Talented Associates and Strengthening our Communities

We focus on attracting, developing and retaining the most talented associates in the industry. We strive to create an environment where every associate can bring their authentic self to a workplace that fosters engagement, diversity and a focus on client service. DEI, associate and community engagement, and health and safety are woven into everything we do.

- Support seven Associate Networks, including BeGreen, newly launched in 2023, which provides a forum for associates to educate, encourage, and empower one another to improve our sustainability



- Advanced DEI programs and initiatives, including publication of our DEI Policy, and maintained a component of compensation tied to DEI for each member of our Executive Leadership Team
- Increased our employee engagement score to 81% overall favorable rating in fiscal year 2023 in the annual Great Place to Work® survey, with 83% of our associates stating that Broadridge is a “great place to work”
- Supported charitable causes and community focused action plans with a special focus on access to quality education for at-risk youth through the Broadridge Foundation and introduced our first global corporate social responsibility partnership with Save the Children
- Enabled associate community service efforts through our Volunteer Time Off and Matching Gift Program, with increased associate participation and volunteer hours in 2023

For more detailed information on our Social initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/social](https://broadridge.com/about/sustainability/social).



The five Broadridge associate athletes currently competing with the U.S. National Team

We are also proud to be an Official USRowing Partner, supporting USRowing and the U.S. Women’s National Team and continuing our elite athlete management program. Through this program, we provide a position to gain valuable work experience in a flexible work environment and economic support for up to five women U.S. rowing national team hopefuls during their time training for world championship, Olympic, and Paralympic competition.



# Sustainability Highlights

## A Commitment to Sustainability

We recognize the importance of addressing climate change and improving our environmental footprint. We are committed to helping our clients through our smart supply-chain management, while also improving our own energy consumption and waste production behaviors.

- Reported Scope 1 and 2 emissions data capturing company-wide Broadridge offices, facilities, and data centers across 128 sites
- Reported all 15 categories of Broadridge's Scope 3 emissions
- Received limited assurance by an independent third party on our Scope 1, 2, and top Scope 3 emissions data beginning with our fiscal year 2022
- Developing a plan to reach net zero greenhouse gas emissions by 2050
- Continued digitization initiatives for our clients, significantly reducing paper communications sent on behalf of our clients

For more detailed information on our Environmental initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/environmental](https://broadridge.com/about/sustainability/environmental).

## 2023 Awards and Achievements

**RECOGNIZED 2008–2023**  
**Best Companies to Work for in New York**  
New York State Society for Human Resource Management



**RECOGNIZED & CERTIFIED 2023**  
**Great Place to Work®**  
(United States, Czechia, Canada, France, Germany, India, Ireland, Japan, Philippines, Poland, Romania, Singapore, Sweden, and the United Kingdom)



**RECOGNIZED 2013–2022**  
**Best Places to Work for LGBTQ+ Equality**  
Human Rights Campaign Foundation



**2022–2023 Constituent of the FTSE4Good Index Series**



FTSE4Good

**Recognized as a 2022 and 2023 EPEAT Purchaser Award winner**  
an accomplishment which highlights our commitment to sustainable electronics procurement





# 2023 Sustainability Performance Tables\*

## General

Company Information (as of June 30, 2023)	Quantity
Total full-time employees	Approximately 14,700 full-time associates
Employees employed in U.S.	48%
Employees employed outside the U.S.	52%
Employees employed in Europe	11%
Employees employed in APAC	37%
Countries	21
Total revenues	\$6.06 billion
Market capitalization	\$19.7 billion

## Environmental <sup>1</sup>

For more detailed information on our Environmental initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/environmental](https://broadridge.com/about/sustainability/environmental).

Greenhouse Gas (GHG) Emissions Indicator	Scope	Unit	Quantity
<b>Scope 1 Emissions <sup>2</sup></b>	Global	MTCO <sub>2</sub> e	<b>12,468</b>
HFC	Global	MTCO <sub>2</sub> e	61.2
CO <sub>2</sub>	Global	MTCO <sub>2</sub> e	12,264.1
CH <sub>4</sub>	Global	MTCO <sub>2</sub> e	5.7
N <sub>2</sub> O	Global	MTCO <sub>2</sub> e	7
Mobile emissions	Global	MTCO <sub>2</sub> e	130.21
<b>Scope 2 Location-based Emissions <sup>3</sup></b>	Global	MTCO <sub>2</sub> e	<b>38,129</b>
<b>Total Scope 1 and 2 Emissions</b>	Global	MTCO <sub>2</sub> e	<b>50,597</b>
<b>Scope 3 Emissions <sup>4</sup></b>			
Purchased goods and services	Global	MTCO <sub>2</sub> e	567,888
Downstream transportation and distribution	Global	MTCO <sub>2</sub> e	710,186
<b>Total Scope 1 and 2 Emissions Intensity</b>	Global	MTCO <sub>2</sub> e /unit total revenue	<b>0.000088625</b>
Energy consumption from fossil fuel	Global	MWh/GJ	67,211.5/241,961.4
Energy consumption from grid electricity	Global	MWh/GJ	84,488.8/304,159.7
Energy consumption from renewables	Global	MWh/GJ	1,322.5/4,760.9
<b>Total energy consumed</b>	Global	MWh/GJ	<b>153,022.8/550,882.0</b>

(1) For more information, please see our 2023 CDP Report available at [broadridge.com/about/sustainability/](https://broadridge.com/about/sustainability/).

(2) Scope 1 emissions are direct GHG emissions that occur from sources that are controlled or owned by an organization.

(3) Scope 2 emissions are indirect GHG emissions associated with the purchase of electricity, steam, heat, or cooling.

(4) Scope 3 emissions are the result of activities from assets not owned or controlled by the reporting organization, but that the organization indirectly impacts in its value chain.

Scope 3 emissions include all sources not within an organization's Scope 1 and 2 categories. Broadridge has estimated all 15 categories of potential Scope 3 emissions, finding that its purchased goods and services, and downstream transportation and distribution are material to our business.

\* All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Environmental (Continued)

Greenhouse Gas (GHG) Emissions Indicator (continued)	Scope	Quantity
Independent third-party verification of environmental data and level of assurance	Global	Yes, limited assurance

Environmental Impact of Digital and Eco-Friendly Services	Quantity
Digital suppression rates of delivery of paper proxy communications	87%
Number of virtual shareholder meetings hosted	2,425

## Social

For more detailed information on our Social initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/social](https://broadridge.com/about/sustainability/social).

### Workforce Diversity

See the Company's U.S. workforce diversity data attached hereto as [Annex 1](#)

Corporate and Other Giving	Donation Amount
Matching Gift Program	\$793,700
Broadridge Foundation	\$982,500
Other Company and associate donations	\$1,452,334
<b>Total Donations</b>	<b>\$3,228,534</b>

Non-Profit Partnerships and Associate Service Initiatives	Impact
<b>Total Broadridge Associates Volunteer Hours</b>	11,481
<b>Thurgood Marshall College Fund</b>	
Number of scholarships for college students provided by Broadridge	24
<b>Virtual Enterprises</b>	
Number of students impacted directly by Broadridge associates	2,476
<b>NPower</b>	
Number of NPower alumni employed at Broadridge	13
<b>SIFMA Foundation</b>	
Number of students impacted by Broadridge's funding, community leadership, and associate engagement	29,270
Number of Broadridge associate volunteers	259

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Social (Continued)

Non-Profit Partnerships and Associate Service Initiatives (continued)	Impact
<b>Sri Vidhyas Centre for the Special Children</b>	
Number of students served	138
<b>MV Foundation-Residential Bridge Camps (information below represents total numbers since the establishment of the foundation)</b>	
Number of students pursuing higher education above 10th grade	172
Number of students who have successfully transitioned from bonded labor into our “pre-education” system	138

Associate Engagement	Quantity
Broadridge’s annual Great Place to Work® survey was completed in December 2022. Global associates hired prior to July 1, 2022 were invited to share feedback on their individual experiences at Broadridge. Survey responses were collected and aggregated by the Great Place to Work Institute, Inc., a global authority on high-trust, high-performance workplace cultures, to keep our associates’ feedback confidential and protect anonymity.	
Associate engagement score	81%
Number of participants	9,797
Survey response rate	75%

Training and Leadership Programs	Quantity	Associates Participating	Hours Completed
<b>Ethics and Compliance Training<sup>5</sup></b>	6 programs	95%+	24,759
Code of Business Conduct and Ethics			
Security Awareness Fundamentals			
Data Privacy			
Anti-Harassment and Discrimination			
Enterprise Risk Management			
Business Continuity Planning			
<b>Learning and Development</b>			
Connected Workplace	10 e-learning courses	1,225	267
Technology Skills Development	Over 8,800 courses	1,626	27,822
eLearning Curriculum	Over 8,500 online courses	7,330	45,525
Financial Services	Over 200 tutorials	516	1,566
Additional e-learning and bespoke courses	Over 130 courses	7,349	16,031

(5) This list represents training required globally and done annually except Security Awareness Fundamentals training is conducted quarterly. Additional ethics and compliance training such as Anti-bribery and Corruption and Antitrust training is required for specific roles and geographies.

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Social (Continued)

Training and Leadership Programs (continued)	Quantity	Associates Participating	Hours Completed
<b>Career Enrichment and Leadership Development</b>	7 programs annually	716	19,207
Individual Leadership		288	6,048
Leading People: Advanced		88	1,804
Leading People: Foundations		169	3,803
World Class Product Management		60	1,696
Talent Acceleration Program		30	3,450
Agile Certified Practitioner		47	1,551
ExecOnline		39	855

Labor Practices	Quantity
Labor unions/collective bargaining agreements/works councils	None of our U.S. employees are represented by a labor union. In some countries outside the U.S., we have works councils or we are required by local law to enter into and/or comply with industry-wide collective bargaining agreements.
Percentage of associates covered by works councils	3.0%

Awards	Scope/Country	Year
<b>Great Place to Work® certified</b>	India	Certified 2018–2023
	U.S. and Canada	Certified 2019–2023
	UK and Ireland	Certified 2021–2023
	Romania, Poland, Singapore and Japan	Certified 2022–2023
	Czechia, France, Germany, Sweden and Philippines	Certified 2023
Best Workplaces™ in Fintech (India) (Great Place to Work®)	India	2021-2023
Best Workplaces™ (UK) (Great Place to Work®)	UK	2023
Best Workplaces™ in Financial Services and Insurance (UK) (Great Place to Work®)	UK	2023
Best Workplaces™ for Wellbeing (UK) (Great Place to Work®)	UK	2023
<b>Best Companies to Work For in New York — NY State Society for Human Resource Management</b>	U.S.	2008–2023
<b>Best Places to Work for LGBTQ Equality — Human Rights Campaign Foundation</b>	Global	2013–2022

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Governance

For more detailed information on our Governance initiatives, policies, and programs, please see the Sustainability section of our website at: [broadridge.com/about/sustainability/governance](https://broadridge.com/about/sustainability/governance).

Cybersecurity and Data Privacy	Scope	Quantity
Number of material cybersecurity breaches	Global	0
Global Privacy Policy	Global	Yes
NIST Cybersecurity Framework utilization	Global	Yes
<b>Certifications/Ratings</b>	Certain products and solutions. Learn more about our <a href="#">Information Security</a> .	
Business units, core applications and facilities ISO 27001 certified		
Cloud Security Alliance Security Trust Assurance and Risk Level 2 Certification (Managed Cloud Services/Highest Standard)		
Payment Card Industry Data Security Standard Annual Certification		
HITRUST CSF Certification		
<b>Examinations/Assessments</b>		
SOC Examinations		
Certain of Broadridge's products and services are examined at least annually against the SSAE-18 Service Organization Controls ("SOC") reporting standard by independent third-party auditors. These examinations cover controls for data security as applicable to in-scope trust service criteria for each service. Broadridge receives SOC 1 Type 2 and SOC 2 Type 2 reports covering these products and services.		
Audit Committee of Board of Directors provided with quarterly third-party cybersecurity assessment	Global	Yes
Tabletop Exercise with third party	Global	Bi-annual
Management Cybersecurity Council	Global	Yes
Cybersecurity Liability Insurance	Global	Yes
Liabilities and Fines Related to Data Privacy	Scope	Quantity
Private civil litigation	Global	\$0
Enforcement/regulatory actions	Global	\$0

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Governance (Continued)

Liabilities and Fines Related to Anti-competitive Behavior Regulations	Scope	Quantity
Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations	Global	\$0

### Compliance Program

#### Policies

The following policies are available on our website at: [broadridge.com/about/sustainability/governance](https://broadridge.com/about/sustainability/governance).

Anti-Bribery Policy	Yes
Anti-Harassment and Anti-Discrimination Policies	Yes
Code of Business Conduct and Ethics	Yes
Diversity, Equity and Inclusion Policy	Yes
Environmental Policy	Yes
Global Privacy Policy	Yes
Human Rights Statement of Commitment	Yes
Insider Trading Policy	Yes
Political Contributions Policy	Yes
Related Party Transactions Policy	Yes

#### Compliance Program Audits and Training

Regular Audits of Ethical Standards	We perform risk assessments and review and update our Ethics and Compliance program, including training for our associates. The Company's internal audit group annually reviews certain aspects of the Ethics and Compliance program, administration of the Company's ethics hotline, and the procedures designed to establish compliance with the Code of Business Conduct and Ethics.
Employee Training on Ethical Standards	All of the Company's part-time and full-time associates, including certain of our vendors and consultants, are required to complete annual training on our Code of Business Conduct and Ethics.
Confidential Ethics Hotline	Broadridge has a confidential Ethics Hotline, in addition to other methods, to report ethics, policy, legal, or other concerns. Anyone who has knowledge of potential misconduct, unethical activity, or violations of Broadridge policies, procedures or applicable laws and regulations must promptly report such activity. Reporting can be done anonymously, where permitted by law.

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## Governance (Continued)

<b>Board of Directors<sup>(1)</sup></b>	
Size of the Board	11
Independent directors on Board	9 (82%)
Independent directors Audit Committee	8 (100%)
Independent directors Compensation Committee	3 (100%)
Independent directors Governance and Nominating Committee	3 (100%)
Separate CEO and Board chair	Yes
Independent Board chair	No
Independent lead director	Yes
Women directors on Board	4 (36%)
Racially or ethnically diverse directors on Board	4 (36%)
Overall Board diversity	7 (64%)
Average age	65 years
Average tenure	8 years
Mandatory retirement age	72 (unless director has served on the Board for less than eight years)
Audit Committee members limited to three public company audit committees	Yes
Annual Board and Committee self-assessments	Yes
Orientation program for new directors	Yes
Classified board	No
<b>Voting and Stockholders Rights</b>	
Poison Pill	No
Equal voting rights (one vote per share)	Yes
Majority voting standard	Yes
Proxy access by-law provision	Yes
Right to call special meeting	Yes

(1) As of the Company's 2023 annual meeting of stockholders, one director will be retiring pursuant to the Company's mandatory retirement policy. The information above excludes the retiring director.

\*All data provided is for fiscal year 2023 unless otherwise noted.



# 2023 Sustainability Performance Tables\*

## Governance (Continued)

### Oversight of ESG

Board Level: The Board of Directors and the Governance and Nominating Committee of our Board oversee Broadridge's ongoing commitment to ESG matters.

Management Level: Our Environmental, Social and Governance Committee, a cross-functional executive committee of the Company (the "ESG Committee"), reports regularly to the Governance and Nominating Committee and annually to the Board on ESG matters. The ESG Committee also assists senior management of Broadridge in (a) setting general strategy relating to ESG matters, (b) developing, implementing and monitoring initiatives and policies based on that strategy, (c) overseeing communications with associates, investors and other stakeholders with respect to ESG matters, and (d) monitoring and assessing developments relating to, and improving Broadridge's understanding of, ESG matters.

### Political Involvement

Political Action Committee	Yes
Political Contributions Policy	Yes
Political contributions disclosure	Yes (See <a href="https://www.broadridge.com/resource/political-contributions-disclosure">broadridge.com/resource/political-contributions-disclosure</a> )

### Compensation Governance Practices

Say on pay voting support	91.6% (2022)
Robust stock ownership and holding period guidelines applicable to Board and officers	Yes
Double-trigger change in control plan	Yes
Prohibition on hedging, pledging and short sales	Yes
Clawback Policy for executive compensation	Yes
Annual Board compensation limits	Yes

#### Associate compensation

Variable performance-based component to pay/annual employee bonus plan or performance-based variable pay for all employees

We utilize a performance-based compensation approach with a portion of every associate's compensation tied to client satisfaction goals, which reinforces our commitment to the Service-Profit Chain and rewards associates for their contributions to Broadridge's overall client satisfaction performance.

\*All data provided is for fiscal year 2023 unless otherwise noted.

# 2023 Sustainability Performance Tables\*

## INDEXING SASB — Software & IT Services

Metric	SASB Code	Data/Description			
		Item	Territory	Unit	Quantity
<b>Environmental Footprint of Hardware Infrastructure</b>					
(1) Total energy consumed, (2) percentage grid electricity, (3) percentage renewable	TC-SI-130a.1	(1) Total energy consumed (includes energy consumed from fossil fuel)	Global	GJ	550,882.0
		(2) Percentage grid electricity	Global	%	55.2
		(3) Percentage renewable	Global	%	0.9
<b>Data Privacy &amp; Freedom of Expression</b>					
Description of policies and practices relating to behavioral advertising and user privacy	TC-SI-220a.1	See <a href="#">Information Security and Privacy</a> and <a href="#">Overview of Information Security and Global Privacy Programs</a>			
Total amount of monetary losses as a result of legal proceedings associated with user privacy	TC-SI-220a.3	\$0			
List of countries where core products or services are subject to government-required monitoring, blocking, content filtering, or censoring	TC-SI-220a.5	Our core products and services are not subject to government-required monitoring, blocking, content filtering, or censoring.			
<b>Data Security</b>					
Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards	TC-SI-230a.2	See <a href="#">Information Security and Privacy</a> and <a href="#">Overview of Information Security and Global Privacy Programs</a>			
<b>Recruiting &amp; Managing of Global Diverse and Skilled Workforce</b>					
Percentage of employees that are (1) foreign nationals and (2) located offshore	TC-SI-330a.1	(1) Approximately 4% of our full-time associates are foreign nationals who require an employment visa to work in the country in which they are employed.			
		(2) 52% of full-time employees are located offshore of the U.S.			
Employee engagement as a percentage	TC-SI-330a.2	81%			
Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff, and (3) all other employees	TC-SI-330a.3	Please see the Company's U.S. workforce diversity data included herein as <a href="#">Annex 1</a>			
<b>Intellectual Property Protection &amp; Competitive Behavior</b>					
Total amount of monetary losses as a result of legal proceedings associated with anticompetitive behavior regulations	TC-SI-520a.1	\$0			

\*All data provided is for fiscal year 2023 unless otherwise noted.

# Annex 1

## U.S. Workforce Diversity\*

We strive to increase diversity in our workforce with a focus on hiring, retaining and developing diverse talent. The consolidated data below is as of December 25, 2022 and was developed to align with EEO-1 reporting obligations. It is a snapshot in time of our U.S. workforce demographics and is based on specific race, ethnicity and job categories prescribed by the U.S. federal government. These categories may exclude certain races and ethnicities. Also, these job categories are not necessarily representative of how our industry or Broadridge's workforce is organized or how we track our progress. Further, Broadridge is a U.S.-headquartered global company with a large percentage of our workforce based outside of the U.S. To align with government reporting requirements, data in the below data uses traditional gender categories of male and female. However, we honor and appreciate that gender identity can be nonbinary. Although it is impossible to capture the diversity of Broadridge's workforce in a single chart, we publish this data because we want to be transparent about the diversity of our U.S.-based workforce, and we recognize the value of public disclosure of standardized data across companies.

Job Categories	Hispanic or Latino		Not Hispanic or Latino												Overall Total
	Male	Female	Male						Female						
	Hispanic or Latino	Hispanic or Latino	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	Native America	Two or More Races	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	Native America	Two or More Races	
Executive/Senior Level Officials and Managers	14	3	344	12	0	55	1	3	107	7	1	24	0	0	571
First/Mid-Level Officials and Managers	56	44	602	42	3	176	0	15	243	23	0	42	1	9	1256
Professionals	110	103	1104	82	1	469	4	20	616	90	1	220	3	31	2854
Technicians	8	3	28	7	0	24	1	1	6	2	0	8	0	1	89
Sales Workers	2	0	72	2	0	5	0	2	26	0	0	1	0	1	111
Administrative Support Workers	127	196	228	115	3	90	6	14	239	111	4	95	2	13	1243
Craft Workers	11	0	27	0	0	0	0	0	0	0	0	0	0	0	38
Operatives	55	111	46	69	8	98	3	11	53	41	5	94	2	3	599
Laborers and Helpers	63	17	86	17	3	37	0	4	8	4	0	4	0	0	243
Service Workers	2	0	4	1	0	0	0	1	1	1	0	0	0	0	10
<b>Grand Total</b>	<b>448</b>	<b>477</b>	<b>2541</b>	<b>347</b>	<b>18</b>	<b>954</b>	<b>15</b>	<b>71</b>	<b>1299</b>	<b>279</b>	<b>11</b>	<b>488</b>	<b>8</b>	<b>58</b>	<b>7014</b>

\* Excludes 79 associates for whom we were unable to obtain information and thus excluded for purposes of race, gender and ethnicity in this chart.

# 2023 Task Force on Climate- related Financial Disclosures Index

## Governance

Disclosure	Reference or Report Section
<p>Disclose the organization’s governance around climate-related risks and opportunities.</p>	<p>Our Board of Directors and the Governance and Nominating Committee of our Board oversee Broadridge’s ongoing commitment to environmental, social and governance matters (“ESG Matters”), including climate-related risks and opportunities, relevant to Broadridge. In addition, two of Broadridge’s Board members have been deemed to have competence on climate-related issues.</p> <p>Our management-led ESG Committee regularly reports to the Governance and Nominating Committee and annually to the full Board on ESG matters. The ESG Committee also assists the senior management of Broadridge in:</p> <ol style="list-style-type: none"> <li>1. Setting general strategy relating to ESG matters,</li> <li>2. Developing, implementing, and monitoring initiatives and policies based on that strategy,</li> <li>3. Overseeing communications with associates, investors, and stakeholders with respect to ESG matters, and</li> <li>4. Monitoring and assessing developments relating to, and improving Broadridge’s understanding of, ESG matters.</li> </ol> <p>The ESG Committee is responsible for reviewing both internal and external targets, metrics, and goals related to ESG. For example, the ESG Committee is currently reviewing and developing a plan to reach net zero greenhouse gas emissions by the year 2050. In addition, the ESG Committee is also working to seek validation of near- and long-term emissions reduction targets by the Science Based Targets initiative (“SBTi”) by May 2024. We have also reviewed our climate-related initiatives and goals with the Governance and Nominating Committee of the Board and the full Board.</p> <p><i>For additional information, please reference Broadridge’s 2023 CDP Report responses to questions C1.1. and C1.2.</i></p>

# 2023 Task Force on Climate- related Financial Disclosures Index

## Strategy

Disclosure	Reference or Report Section
<p>Disclose the actual and potential impacts of climate-related risks and opportunities on the organization’s businesses, strategy, and financial planning where such information is material.</p> <ul style="list-style-type: none"> <li>(a) Describe the climate-related risks and opportunities the organization has identified over the short, medium, and long term.</li> <li>(b) Describe the impact of climate-related risks and opportunities on the organization’s businesses, strategy, and financial planning.</li> <li>(c) Describe the resilience of the organization’s strategy, taking into consideration different climate-related scenarios, including a 2°C or lower scenario.</li> </ul>	<p>In 2023, Broadridge completed a climate risk assessment for fiscal year 2023 as described in <a href="#">Appendix A</a> attached hereto.</p> <p>As a result of the climate risk assessment, we have identified certain potential climate-related risks and opportunities set forth in <a href="#">Appendix B</a> and disclosed in our 2023 CDP Report responses to question C2.2a and C2.4a.</p> <p>Currently climate-related risks to our business do not reach the threshold of substantive financial or strategic impact on Broadridge’s business. For example, we anticipate that potential acute physical impacts of climate change identified in our 2023 CDP Report do not substantially impact our revenues or have a long-term impact on our facilities and operations. However, we continue to monitor potential future physical and transition risks and assess integration of long-term climate-related risks into the Company’s Enterprise Risk Management (“ERM”) framework and Business Continuity Planning (“BCP”) program.</p> <p><i>For additional information please reference Broadridge’s 2023 CDP Report responses to questions C2.1, C2.2, C2.3, C2.4, C3.1, C3.2, C3.3, and C3.4.</i></p>

# 2023 Task Force on Climate- related Financial Disclosures Index

## Risk Management

Disclosure	Reference or Report Section
<p>Disclose how the organization identifies, assesses, and manages climate-related risks.</p> <ul style="list-style-type: none"> <li>(a) Describe the organization’s processes for identifying and assessing climate-related risks.</li> <li>(b) Describe the organization’s processes for managing climate-related risks.</li> <li>(c) Describe how processes for identifying, assessing, and managing climate-related risks are integrated into the organization’s overall risk management.</li> </ul>	<p>Broadridge approaches climate-related risks and opportunities in the same way that it addresses other risks and opportunities. From a risk perspective, we annually assess our risks in the context of producing our risk factor disclosures, through our ERM framework and BCP program. We have an ERM framework that annually assesses our enterprise risks. This program is overseen by our risk committee comprised of senior executives, including our President, Chief Financial Officer, Chief Legal Officer, Corporate Secretary, Chief Compliance Officer, and includes representatives of various functions across the Company. It is led by an ERM Program Manager who leads a review of the top risks across the enterprise.</p> <p>The goal of the ERM process is to provide an ongoing procedure, affected at all levels of the Company across each business unit and corporate function, to identify and assess risk, monitor risk, and agree on mitigating action. As part of this annual review, the risk committee considers what the material risks are for the Company, and ranks those risks relative to each other. Risks relating to business interruption risks due to the impact of climate change and emerging regulations are subject to this annual process, in the context of the Company’s top risks. In addition to the ERM process, we conducted a risk materiality analysis and specifically considered climate risks in the context of an assessment of our material ESG issues. The process involved asking all of the members of our Executive Leadership Team and business and functional leaders to help identify the top risks and opportunities across the Company, based on a range of more than 25 topics.</p> <p>Broadridge also monitors applicable regulations and disclosure requirements, such as the proposed SEC climate disclosure rules. Our facilities and regulatory teams assess compliance with regulations applicable to our facilities and monitor potential state climate-related reporting and transparency requirements. We continuously look to improve our operational efficiencies while also reducing our carbon footprint through our responsible and eco-friendly supply chain.</p> <p>See also “Governance” above for Board and ESG Committee oversight on ESG matters.</p> <p><i>For additional information please reference Broadridge’s 2023 CDP Report responses to questions C2.1, C2.2, C2.3, and C3.3.</i></p>

# 2023 Task Force on Climate- related Financial Disclosures Index

## Metrics and Targets

Disclosure	Reference or Report Section
<p>Disclose the metrics and targets used to assess and manage relevant climate-related risks and opportunities where such information is material.</p> <p>(a) Disclose the metrics used by the organization to assess climate-related risks and opportunities in line with its strategy and risk management process.</p> <p>(b) Disclose Scope 1, Scope 2, and, if appropriate, Scope 3 greenhouse gas emissions, and the related risks.</p> <p>(c) Describe the targets used by the organization to manage climate-related risks and opportunities and performance against targets.</p>	<p>Broadridge committed to the SBTi as of May 2022 and as part of this we are a Business Ambition for 1.5°C campaign member. In order to meet this commitment, we plan to set a target by May 2024, including a near-term target to be submitted to SBTi for validation. We will reference the minimum specified rate by SBTi of 4.2% per year over the next five years, or an equivalent reduction in carbon intensity depending on the SBTi target approach we choose to adopt.</p> <p>We are setting our target base year to be our 2023 fiscal year.</p> <p>Broadridge is currently reviewing and developing a plan to reach net zero greenhouse gas emissions by the year 2050, including a near-term target to be submitted to SBTi for validation, backed by a comprehensive approach to develop detailed emission reduction roadmaps.</p> <p>The risks of Broadridge’s current Scope 1, Scope 2, and majority of our Scope 3 emissions are minimal from a financial perspective. For our Scope 1, 2 and 3 emissions information, please see Broadridge’s 2023 CDP Report sections C6 and C7.</p> <p><i>For additional information please reference Broadridge’s 2023 CDP Report responses to questions C4.1, C4.2, C5.1, C5.2, C5.3, C6.1, C6.2, C6.3, C6.4, C6.5, C6.7, C6.10, C7.1, C7.2, C7.3, C7.5, C7.6, C7.9, C8.1, and C8.2.</i></p>



# Appendix A

## Climate Risk Assessment

The Task Force on Climate-related Financial Disclosures recommendations call for businesses to consider their strategic plans against climate-related risks. The Intergovernmental Panel on Climate Change (“IPCC”) and International Energy Agency (“IEA”) are prominent reference sources for future climate risks over a time horizon of 20 to 30 years.

The below sources were considered to test both physical and transition climate-related risks to certain Broadridge locations over the short, medium and long term. Edgewood (New York), Markham (Canada), El Dorado Hills (California), and sites in Bangalore and Hyderabad (India) were used as a sample to review risk exposure.

Reference 1	Physical risks associated with a slow, weak transition - Warming of 2.6-4.8°C by 2100
Overview	Based on the IPCC “business as usual” pathway (RCP8.5). Represents a world with stable economic development and steadily rising global carbon emissions, with CO <sub>2</sub> concentrations reaching ~1370 ppm by 2100 and global mean temperatures increasing by 2.6–4.8°C relative to 1986–2005 levels.
Description	RCP8.5 assumes climate-related policies already announced by key governments which do not pursue decarbonization to align with the objectives of the Paris Agreement. Whilst the development and deployment of low carbon technologies is maintained, unabated use of fossil fuels continues to play a significant role in the international energy system. Physical risks intensify as atmospheric CO <sub>2</sub> and global temperatures rise.
Example Physical Risk Trends	<ul style="list-style-type: none"> <li>• Potential exposure to higher temperatures due to climate pattern changes.</li> <li>• Water restrictions due to the extended duration of drought conditions.</li> <li>• Onset of hurricanes and tropical storms.</li> <li>• Flooding associated with cyclone and monsoon events.</li> <li>• Extended Fire Seasons due to California’s drought conditions.</li> </ul>
Reference 2	Transition risks - Warming of 1.5°C by 2100
Overview	Based on the IEA Net Zero Emissions by 2050 pathway (“NZE”). Represents a pathway to achieve net zero emissions by 2050 from the perspective of the global energy system, considering supply and use of energy across regions and sectors.
Description	NZE assumes global investment in clean energy technologies and innovation of clean electrification, improvements in energy efficiency curb demand for electricity and fuels of all kinds, and global transition from coal production and fossil fuel dependence to reduce methane emissions.
Example Transition Risk Trends	<ul style="list-style-type: none"> <li>• Risk of developing a weak reputation of corporate citizenship surrounding climate-related issues and regulations.</li> <li>• Potential for litigation around climate-related issues.</li> <li>• Additional taxes, higher costs and potential fines associated with municipal emissions reduction goals.</li> <li>• Increased Cost of Goods and supply chain interruptions are expected based on manufacturing delays, increased fuel, and inflation rates.</li> <li>• Cost impact to CapEx to be determined if LED conversion is mandated and enforced improvement to current dust mitigation for the operations shredding/recycling program.</li> </ul>

# Appendix B

## Overview of Climate Risks and Opportunities

### Transition and liability risks as a result of transition to a low carbon economy

#### Policy and legal

- Current regulations
  - Risks related to compliance with facility-based regulations are current regulations on Broadridge's radar. As such, our VP, Facilities and Real Estate and local office managers monitor and manage compliance of our North American facilities with applicable environmental laws, including wastewater management, diesel fuel and air emissions, and OSHA standards for air and water quality.
  - Our facility located in Markham, Ontario has been subject to a Canadian federal carbon tax since 2019. The carbon charges apply to fossil fuels which includes gasoline and natural gas. Our offices and operations located in the United Kingdom are subject to the Energy Savings Opportunity Scheme, Streamlined Energy and Carbon Reporting and a Climate Change Levy.
- Emerging regulations
  - *Enhanced emissions reporting obligations* - Broadridge has governance processes in place monitoring all SEC regulations and disclosure requirements; and, we are aware of the current discussions that are taking place with respect to the SEC's Climate Disclosure Proposal. Once the proposal is finalized, we will work on preparing our disclosures in accordance with the finalized proposal.
  - *Increased carbon policy* - States including New York, where our Edgewood facilities are located, may adopt carbon reduction goals that could apply to our businesses. This could result in additional taxes, higher costs, and potential fines for our businesses if we do not adhere to applicable state regulations.
- Exposure to climate-related litigation - Increased climate-related compliance costs, reporting requirements, claims, and litigation could have an impact on Broadridge. We currently do not have any material environmental-related litigation and do not anticipate any in the near future.

### Physical risks resulting from the changes in climate

#### Acute

Our large Indian offices are located in Bangalore and Hyderabad, which are monsoon-prone areas. Heavy rain and surface winds may cause water logging or seepage as well as prolonged grid power outages that could damage our Indian offices, related infrastructure and utilities systems. At this time, we believe the diesel back-up generators that are currently in these locations are sufficient to address this risk.

Our Edgewood, New York offices and printing facilities are located in areas that may be subject to hurricanes, fires, snowstorms and flooding. Historically, very few hurricane warnings materialized into an actual hurricanes. Occasional fires occur in surrounding areas which have created health risks. Snowstorms can impact commuting and transit routes. The Edgewood site may also be subject to flooding. None of the above has had a material impact on our Edgewood operations. On occasion, installed flood pumps at our Edgewood site are used to address flood risks and heavy rainfall. These pumps are already built into the cost of operations.

## Appendix B

Our Markham, Canada facility may be subject to extreme snow, ice and windstorms which can lead to power outages. However, storms are infrequent and have not yet had a material impact on our operations. In the event of an extreme weather event in which we would lose power for a prolonged period of time, we have dual power grid feeds, two 400 kilo-volt-amperes (kVA) uninterruptible power supply (UPS) units and three back-up generators in place to maintain business as usual activities.

Our El Dorado Hills, California facility is located near El Dorado National Forest where wildfires due to drought conditions have occurred. Prolonged fire seasons (May-November) due to California droughts create drier conditions and increase the risk of County/ State fires and poor air quality due to smoke contamination. As a result of poor air quality, risks include temporary staffing reductions and operating expense increases for building maintenance (e.g. HVAC equipment increased filter changes). According to the National Integrated Drought Information System, a continued focus on water conservation measures and fire prevention efforts will need to be maintained. California has experienced a severe 3-year drought period, with the majority of 2022 being rated a Severe Drought condition and 45% of El Dorado County at stage D3-Extreme Drought conditions. We are expecting state-wide water conservation efforts along with increased operating expenses due to higher water costs.

Due to the possibility of these acute climate events, we have robust business continuity plans in place. Our business units have established and maintain disaster recovery and business continuity plans, which ensure the timely and effective recovery of mission-critical business functions in the event of a disaster. Our business continuity plans have been developed based on guidelines of the Disaster Recovery Institute International, and our program is staffed with full-time disaster recovery and BCP professionals.

### **Chronic**

Global warming is a chronic physical risk affecting our properties globally. Our Indian offices and certain North American facilities are subject to water stress and certain of our U.S. and Canadian facilities are also subject to risks resulting from a rise in sea level and rise in temperatures. These chronic physical risks can result in increased running hours of generators and HVAC systems which may lead to high diesel, power, and water consumption. These physical risks can also create health and safety risks for our employees.

### **Opportunities**

#### **Products and services**

We are well positioned to lead in the connection between digital-first products and environmental sustainability. Our products help our clients lower their environmental footprints within the traditional “take, make, and throw away” model in order to reduce waste and mitigate greenhouse gas emissions. We offer numerous e-delivery products that replace paper communications as well as suppression methods that decrease mailed paper volumes. Our solutions, such as Virtual Shareholder Meetings, Digital Proxy, Regulatory Mutual Fund Communications, and the Broadridge Customer Communications Cloud, promote sustainability by reducing resource input and waste output.

#### **Reputation and enhanced climate disclosure**

We continue to focus on enhancing our climate performance and disclosure. We are developing a plan to reach net zero greenhouse gas emissions by the year 2050. We are planning to set a date at which we will achieve this goal, including a near-term target to be submitted to SBTi for validation, backed by a comprehensive approach to develop detailed emission reduction roadmaps. In May 2022, we committed to a Business Ambition of 1.5°C with SBTi. In order to meet this commitment, we plan to set a target by May 2024. We will reference the minimum specified rate by SBTi of 4.2% per year over the next five years, or an equivalent reduction in carbon intensity depending on the SBTi target approach we choose to adopt. In addition, we have disclosed our climate-related risks and opportunities in our 2023 CDP Report and obtained independent third-party assurance of our Scope 1, 2, and top Scope 3 emissions.



Ready for Next

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