

# ARE YOU KEEPING UP?

In the past decade, the number of annual fund CUSIP filings has increased by nearly 60%. Keeping up with the filing changes on your fund shelf can be a challenge without an automated solution in place – one that combines data and digital to improve compliance and operational efficiency.

## THE PROBLEM

35,000  
Fund CUSIPs

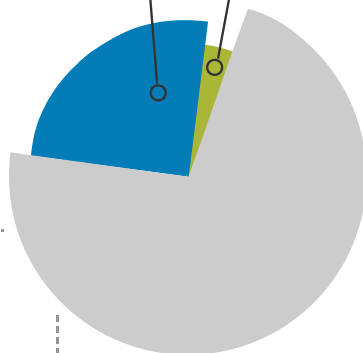
Currently there are 35,000 mutual fund and ETF CUSIPs on the SEC's EDGAR system.

18%

On the busiest days, over 18% of fund CUSIPs submit a change which amounts to over 6,300 new filings.

4%

On an average day, 4% of fund CUSIPs submit a change on EDGAR.



3,000,000

In the past decade, there have been nearly 3 million new CUSIP filings on EDGAR.

Have you kept track of all the changes relevant to you? Not having access to the most recent data and documents of fund filings can lead to NIGO trades and customer dissatisfaction – or even civil lawsuits.

## THE SOLUTION



**Broadridge®**

**Broadridge Virtual Document Library**

The industry's only electronic data warehouse with a complete online library of prospectuses and related disclosure documents sourced directly from EDGAR each business day.

Deliver web access to current compliance information at every stage of the investor life cycle.

**Pre-Sale:** Enables brokerage firms to give visitors on their own corporate website access to Broadridge's virtual document library.

**Point-of-Sale:** Enables financial firms to give an individual investor an electronic link to the appropriate documents after the investor makes an online transaction.

**Post-Sale:** Enables financial firms to collect and maintain e-consents, automating e-delivery of ongoing regulatory materials and significantly reducing costs.

Broadridge automates compliance updates and improves operational efficiency with an integrated regulatory solutions platform for print, e-delivery, web and mobile.



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