Broadridge

Broadridge Client Centric Compliance Management

A Seamless Solution for Client Focused Reforms

READY-BY-DESIGN FOR ENHANCED COMPLIANCE

With Broadridge's customer-centric, single-data, real-time design, you'll be ready not just for The Client-Focused Reforms [CFR] in 2021, but for whatever comes next. Our open architecture platform eases and expedites any major change, market or regulatory, while insulating and preserving the value in your legacy systems.

ENTERPRISE-WIDE BENEFITS

- **Fast-track compliance:** Pre and Post trade compliance enabled through product, portfolio, user attributes and automated workflows to back-office.
- **Be client-centric:** Data models and transaction flows designed to allow enterprise to capture client-level and underlying account data.
- **Enable omni-channel:** Seamless service across all sales channels. Administer MFDA and / or IIROC products on a single platform, with a consolidated view of client holdings across channels, in real time.
- **Liberate your people:** Release branches and advisors to focus on sales and proactive advice.
- **Cut costs:** Eliminate redundancy. Streamline operations. Expedite product development.

TAILOR THE INVESTMENT EXPERIENCE

Tailor the investment experience to client risk and time horizon in a single, integrated omni-channel data environment. Rules and modules include integrated MFDA / IIROC and OSFI regulatory streams; any-product/any-plan enablement; account onboarding with KYC / IPS; in-stream compliance and audit.

GAIN GREATER CONTROL THROUGH PERMISSION-BASED ROLES

Use permission-based rules to set advisor entitlements on customers and transactions. Track training recency. Broadridge Compliance Management's fully configurable rules can also be attached to underlying fund product families.

ACTION DATA – TRIGGER AND TRACK

Action data with alerts generated by activities or timing; trigger activities such as rebalancing, communicating, or limiting advisor activities. All actions are trackable for audit and compliance purposes; client and advisor reporting uses data as a single source.

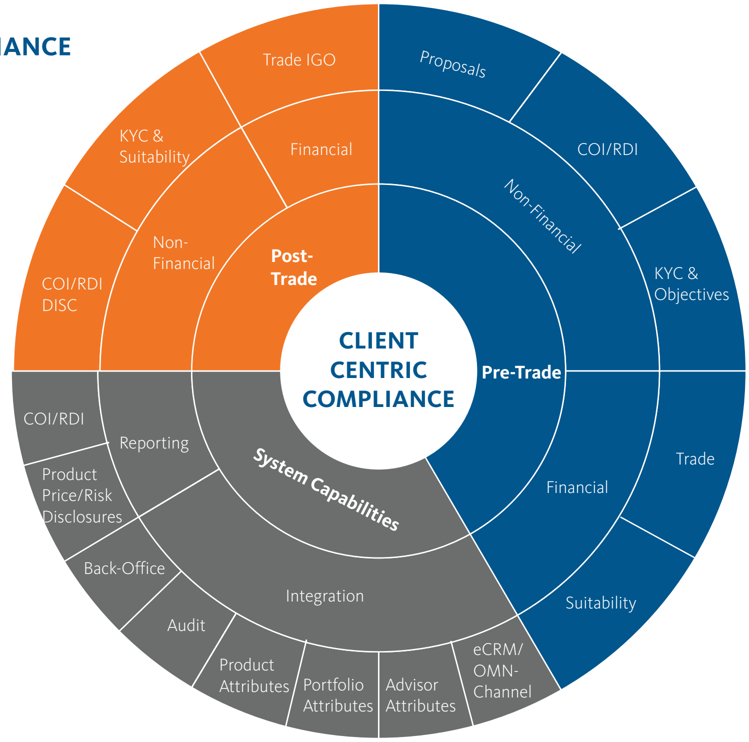
INNOVATE AT WILL

Create your own customized products; package business attributes as you wish; deliver customized statements, recorded in real time with today's marketplace data. Distribute products to your investors through the channels they choose.

FULLY INTEGRATED CLIENT-CENTRIC COMPLIANCE

SIMPLIFY, AUTOMATE, EXPEDITE

- Integrated, real time system
- Pre- and Post-trade compliance enabled through enterprise-wide product, portfolio, and user attributes, with automated workflows to back office
- Real-time pre-trade, post-trade and book of record integration
- Client centric data model



CSA REFORM	SUMMARY OF ADVISOR AND FIRM RESPONSIBILITIES
Know Your Client (KYC)	• Expansion of required KYC information • Requirement to confirm KYC with client • Periodic, event-driven KYC information updates
Know Your Product (KYP)	• Understand and communicate products, risks and pricing to clients
Suitability	• Provide investment suitability at a client level • Review suitability with any changes to client KYC, life-stage, or material change in product held • Provide notation on files of strategy recommendation, reviewed range of alternatives, and strategies not recommended for the client • Manage liquidity and concentration risk
Conflict of Interest and Relationship Disclosure Information (RDI)	• Conflicts of interests and referral relationship disclosure must be declared • Client's interests are paramount to conflicts of interest and relationship disclosure • Documentation and tracing of COI / RDI will be required
Misleading Communications	• Firms must ensure advisors do not mislead clients re titles and qualifications
Training and Controls	• Advisors are trained on products; training currency is monitored; only advisors current on a product may sell it • Products are fully disclosed, and risks are transparent • Audit and tracking procedures are put in place

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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