

# BROADRIDGE BUSINESS CONTINUITY PROGRAM SUMMARY

## Introduction and Purpose

The Broadridge Financial Solutions (“Broadridge” or “Company”) Business Continuity Program (“BCP”) is designed to provide operational stability by aligning to regulatory standards and industry best practices. The program aims to minimize disruptions to critical business functions, prioritizing service availability, security, and reliability. By safeguarding the health and safety of associates, contractors, and visitors, Broadridge maintains trust and delivers dependable solutions to its clients.

Led by the Company’s Business Continuity Governance and Crisis Management Team (“BCG & CM Team”), the program is designed to support the rapid recovery of essential operations. Key components include disaster avoidance, risk assessments, business impact analyses, business recovery strategies, crisis management, and annual plan testing.

## Scope

The Business Continuity Program encompasses all critical functions, personnel, and processes across Broadridge’s global locations. It addresses common incidents such as facility loss, disruption of critical vendors, technology failures, and staff unavailability, to provide continuity of operations under various scenarios.

## Program Governance

Broadridge demonstrates a strong commitment to governance through its BCP, which is managed by the Company’s BCG & CM Team. This program aligns enterprise-wide policies with regulatory standards and industry best practices, fostering a unified approach to risk management, emergency response, and business recovery.

Accountability is embedded at all organizational levels, from executive leadership to operational planners. The Company’s BCG & CM Team oversees the development, maintenance, and testing of continuity plans across all Broadridge business units to address compliance with regulatory requirements and industry benchmarks.

## Integrated Planning Approach

The Business Continuity Program at Broadridge establishes a cohesive framework that integrates Crisis Management, Emergency Response, Risk Management, Safety, Physical and Cybersecurity, Facilities Management, Human Resources, and Technology Disaster Recovery. This cohesive framework establishes collaboration among key departments with the goal of preserving life, ensuring safety, and minimizing service disruptions. Disaster avoidance measures—such as uninterruptible power supplies, redundant telecom and network infrastructure, 24/7 security monitoring, and fire suppression systems—are implemented to protect critical services and enhance resilience.

## Business Continuity Program Components

Broadridge's Business Continuity Program is structured around critical components that collectively address operational resilience and sustained service delivery. Below is an overview of these program components:

### **Program Initiation and Management**

The foundation of the BCP lies in strategic resilience planning, encompassing recovery objectives and comprehensive crisis management initiatives. Securing executive endorsement and embedding continuity principles into organizational practices provides a cohesive and proactive approach to maintaining operations during disruptions.

### **Risk Evaluation and Control**

By conducting thorough evaluations of potential threats, vulnerabilities, and associated risks, Broadridge implements preventive controls and mitigation strategies. This process safeguards both organizational assets and client confidence by reducing the likelihood or impact of interruptions.

### **Business Impact Analysis**

Through systematic analysis, critical business functions, interdependencies, and recovery priorities are identified. Quantitative and qualitative assessments are used to define recovery objectives, which assist with timely restoration of essential services.

### **Business Continuity Strategies**

Proactive strategies are designed and deployed to facilitate the continuity of vital operations during unplanned events. These solutions are informed by insights from risk evaluations and impact analyses, enabling adaptable and effective responses.

### **Incident Preparedness and Response**

Comprehensive continuity and crisis response plans are established to address potential incidents with agility and efficiency. These plans emphasize communication protocols, coordination mechanisms, and rapid recovery actions to minimize service disruptions.

### **Awareness and Training Programs**

Regular training sessions and awareness campaigns foster a culture of preparedness across the Company. By equipping associates and stakeholders with the necessary skills and knowledge, Broadridge is better positioned to execute recovery procedures effectively when needed.

**Exercise, Assessment, and Maintenance**

Routine exercises and assessments validate the effectiveness of continuity plans, identifying opportunities for improvement. Results are benchmarked against regulatory requirements and corporate objectives to uphold program integrity and readiness.

**Crisis Communications**

Effective communication strategies are prioritized to maintain transparency and alignment during disruptions. Plans outline protocols for engaging internal teams, external stakeholders, and media for the timely dissemination of accurate information.

**Coordination with External Agencies**

Broadridge collaborates actively with external entities, including emergency responders and key vendors, to enhance continuity measures. Joint preparedness efforts facilitate adherence to regulatory standards while bolstering coordinated responses to crises.

These core components collectively reinforce Broadridge’s commitment to resilience and remaining dependable and prepared under diverse circumstances.

**Business Continuity Planning Life Cycle**

At Broadridge, business continuity planning is regarded as an ongoing process rather than a one-time project. The Broadridge Business Continuity Program is strategically designed to engage employees across all levels of the Company. Its components undergo regular testing, rehearsals, and reviews to ensure they accurately reflect the evolving dynamics of the business and to maintain robust preparedness and resilience.



## Audit

Internal audits, client reviews, and regulatory assessments continuously evaluate the effectiveness of Broadridge's BCP. These reviews are designed to address ongoing risk management, compliance, and program improvement. The scope and frequency of audits are determined by each evaluating entity.

## Conclusion

As a global financial technology leader, Broadridge is dedicated to delivering accurate, dependable, and efficient solutions. While some disruptive events may be unavoidable, Broadridge's rigorous Business Continuity Program helps to mitigate the financial risks and operational challenges associated with these incidents, creating sustained trust and reliability for the Company's clients.