

# BROADRIDGE BUSINESS CONTINUITY PROGRAM SUMMARY

## Business Continuity Program Overview

At Broadridge, we take pride in providing world-class service to preserve the integrity, availability, and protection of our customers' and their clients' data. Broadridge considers the health and safety of all associates, contractors, and visitors paramount. Broadridge's ongoing commitment to establishing and maintaining effective emergency response, crisis management, and business continuity plans to protect our associates' safety and the business continuity of mission-critical solutions we provide to our clients is and will continue to be.

Led by the Business Continuity Governance and Crisis Management Team, Broadridge has established a comprehensive enterprise-wide Business Continuity Program and is committed to the timely and effective recovery of people, places, processes, and mission-critical business functions.

Broadridge's Business Continuity Program encompasses full-time, highly skilled business continuity planning professionals. Plans are tested and reviewed annually or in the event of material changes to validate our recovery strategies and capabilities.

### Some of the major program components include:

- Disaster Avoidance
- Risk Assessments
- Business Impact Analysis
- Impact Assessments
- Business Recovery Strategies
- Crisis Management
- Program Testing

## Purpose

The Business Continuity Program is designed to create a state of readiness that will provide an immediate response to unplanned incidents or business interruptions:

- An organized and consolidated approach to managing response and recovery activities following any unplanned incident or business interruption, avoiding confusion, and reducing exposure to error.
- A framework for prompt and appropriate response to any unplanned incident, thereby reducing the impacts of short-term business interruptions.
- Guidelines for recovering essential business operations in a timely manner, increasing the ability of the company to recover from a damaging loss to the facility. Provide a smooth transition back to the primary production facility after resolving the incident.

## Scope

The Business Continuity Program focuses on common incidents, including, but not limited to:

- Causing physical damage to a facility, such as fire, smoke, or water damage.
- Indirectly affects facility access, such as storm closure, emergency building evacuation due to bomb threat, or external threat, such as a fire to a nearby facility.
- Impending or unexpected regional disasters such as hurricanes or impending floods.
- External incidents, which could potentially cause a business interruption, such as loss of electricity, fiber cut, or telecommunications service.
- Loss of workforce.
- Loss of a critical third party or service provider.



## Integrated Planning Approach

The Business Continuity Program seeks to develop a cohesive and synergistic planning framework encompassing diverse areas such as Crisis Management, Emergency Response, Risk Management, Safety, Physical and Cybersecurity, Facilities Management, Human Resources, and Technology Disaster Recovery, among others.

The Business Continuity Program includes ongoing emergency planning with local, state, and federal authorities to ensure the safety and preservation of human life and minimize service disruption to our clients.

The foundation of our Business Continuity Program consists of a solid disaster avoidance strategy. Broadridge deploys multiple avoidance strategies at both the enterprise and local levels, which may include:

- **Power Protection**
  - » Uninterruptible power supply systems
  - » Standby Diesel generators
  - » Redundant power lines to select facilities.
- **Facility Security**
  - » 24 x 7 x 365 security staff monitoring
  - » Extensive Digital Closed-Circuit TV monitoring
  - » Alarm, fire detection, and suppression systems
  - » Systematic location access control
  - » Biometric hand geometry scanning devices for secure areas.

## Business Continuity Program Governance

The Business Continuity Governance and Crisis Management Team (BCG & CM) oversees and implements business continuity strategies, initiatives and processes, and provides guidance and tools to help businesses integrate proactive measures to prevent and mitigate disruptive events and assess an entity's recovery capabilities. This team is also responsible for establishing the structure, methodology, and standards for developing, maintaining, and testing enterprise-wide business continuity plans to address regulatory obligations, industry best practices, and program guidelines across all Broadridge Business Units.

## Business Continuity Program Components

The BCG & CM establishes planning guidelines and coordinates response and recovery efforts with all Broadridge Business Recovery and Support Teams, drawing on a range of industry standards and best practices to ensure comprehensive and up-to-date strategies. The Broadridge Business Continuity Program focuses on the following best practices:

### **PROGRAM INITIATION AND MANAGEMENT**

Establish the need for a Business Continuity Program, including resilience strategies, recovery objectives, business continuity, and crisis management plans, including obtaining management support and organizing and managing the formulation of the function or process either in collaboration with or as a critical component of, an integrated risk management initiative.

### **RISK EVALUATION AND CONTROL**

Determine the events and external surroundings that can adversely affect the organization and its resources (facilities, technologies, etc.) with disruption and disaster, the damage such events can cause, and the controls needed to prevent or minimize the effects of potential loss.



## **BUSINESS IMPACT ANALYSIS**

Identify the impacts resulting from disruptions and disaster scenarios that can affect the organization and techniques that can be used to quantify and qualify such impacts. Identify time-critical functions, their recovery priorities, and interdependencies to set recovery time objectives.

## **DEVELOPING BUSINESS CONTINUITY RECOVERY STRATEGIES**

Determine and guide the selection of possible business operating strategies for the continuation of business within the appropriate business objectives while maintaining the organization's critical functions.

## **DEVELOPING AND IMPLEMENTING BUSINESS CONTINUITY AND CRISIS MANAGEMENT PLANS**

Design, develop, and implement Business Continuity and Crisis Management Plans in alignment with business requirements and recovery objectives. Planning also includes restoration back to the primary production facility. Plans provide an overview of the requirements, strategies, and proposed actions necessary to recover business operations rapidly and effectively following an event.

## **AWARENESS AND TRAINING PROGRAMS**

Establish a training program to create and maintain corporate awareness and enhance participant skills required to develop and implement the Business Continuity Program or process and its supporting activities.

## **MAINTAINING AND EXERCISING PLANS**

Pre-plan and coordinate plan exercises. Evaluate and document plan exercise results. Develop processes to maintain the currency of continuity capabilities and the plan document in accordance with the organization's strategic direction. Verify that the plan will prove effective by comparison with a suitable standard, and report results in a clear and concise manner.

## **EMERGENCY RESPONSE AND OPERATIONS**

Develop and implement procedures for response and stabilizing the situation following an incident or event, including establishing and managing an Emergency Operations Center to be used as a Command Center during the emergency.

## **CRISIS COMMUNICATIONS**

Develop, coordinate, evaluate, and exercise plans to communicate with internal stakeholders (employees, corporate management, etc.), external stakeholders (customers, shareholders, vendors, suppliers, etc.), and the media (print, radio, television, Internet, etc.).

## **COORDINATION WITH EXTERNAL AGENCIES**

Establish applicable procedures and policies for coordinating continuity and restoration activities with external agencies (local, state, national, emergency responders, etc.) while ensuring compliance with applicable statutes or regulations.

## Business Continuity Planning Life Cycle

At Broadridge, business continuity planning is a continuing process, not a project. The Broadridge Business Continuity Program is strategically developed to involve employees at all levels within the company. Program components are tested, rehearsed, and reviewed regularly to reflect the business dynamics.



## Audit

Broadridge's Business Continuity Program is continually reviewed by Internal Audit, our clients, and regulators to assess the effectiveness of its design and implementation, including policies, procedures, and controls. These audits are designed to evaluate management's ability to oversee and control risks related to continuity and resilience. Each entity determines audit scope and frequency.

## Conclusion

Broadridge is committed to preserving the accurate, dependable, and efficient solutions we provide to our clients as the premier provider of transaction services and solutions to the financial industry. While some disaster events may be unavoidable, a rigorous business continuity program can reduce the potential financial risk and disruption of business operations.

For more information about Broadridge, please visit our web site at [www.broadridge.com](http://www.broadridge.com).