

BROADRIDGE TECHNOLOGY DISASTER RECOVERY PROGRAM OVERVIEW

At Broadridge, we take pride in providing world-class service to preserve the integrity, availability, and protection of your data that you expect and deserve. Broadridge has established a comprehensive Technology Disaster Recovery Global Program (the “Program”) and is committed to the timely and effective recovery of mission critical infrastructure and applications.

The Program consists of infrastructure, data center and application recovery plans across all current production environments. These plans and recovery strategies are vigorously reviewed by application and business owners, and methodically tested to help ensure a subsequent recovery from any unplanned technology interruption, such as loss of compute environment, loss of utility service or other catastrophic event that prevents the normal production activities from occurring for a predefined period. The plan documents provide an overview of the requirements, strategies, and proposed actions necessary to recover technology following such an event rapidly and effectively. The plans also include procedures to return to the primary production facilities.

The Program is staffed with full-time, highly qualified, and certified disaster recovery professionals and is reviewed with recovery team members annually or when there are significant changes to the underlying infrastructure or application. Legacy applications are tested 5 times per year: (2) internal, (2) client facing, (1) regulatory and distributed applications are tested according to their assigned tier level.

Some of the major components of this Program include:

- Cyber Disaster Recovery
- Disaster Avoidance
- Disaster Recovery Sites (Technology)
- Disaster Recover Strategy
- Disaster Recovery Testing
- Disaster Recovery Incident Management
- Scenario Based Tabletop Exercises
- System and Data Backup

Purpose

The Program has been developed to:

- Provide an organized and consolidated approach to managing response and recovery activities following any significant technology interruption, avoiding confusion, and reducing exposure to human error.
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- Recover essential business technology operations in a timely manner, increasing the ability of the company to recover from a damaging loss its production infrastructure and applications. Providing a smooth transition back to the primary production data center after the incident has been resolved.

Scope

The Program is designed to create a state of readiness that will provide a strategic response to any of the following incident scenarios:

- Any internal incident that results in the loss or inaccessibility of any hardware or software component resulting from internal error, cyber or other event that necessitates the failover or recover to the designated disaster recovery site.
- Any incident causing physical damage such as fire, smoke, or water damage to a data center (loss of facility), necessitating the failover to the designated disaster recovery data center.

- Any external incident, which potentially could cause a business interruption, such as loss of electrical or telecommunications service to one or more datacenters.

Integrated Planning Approach

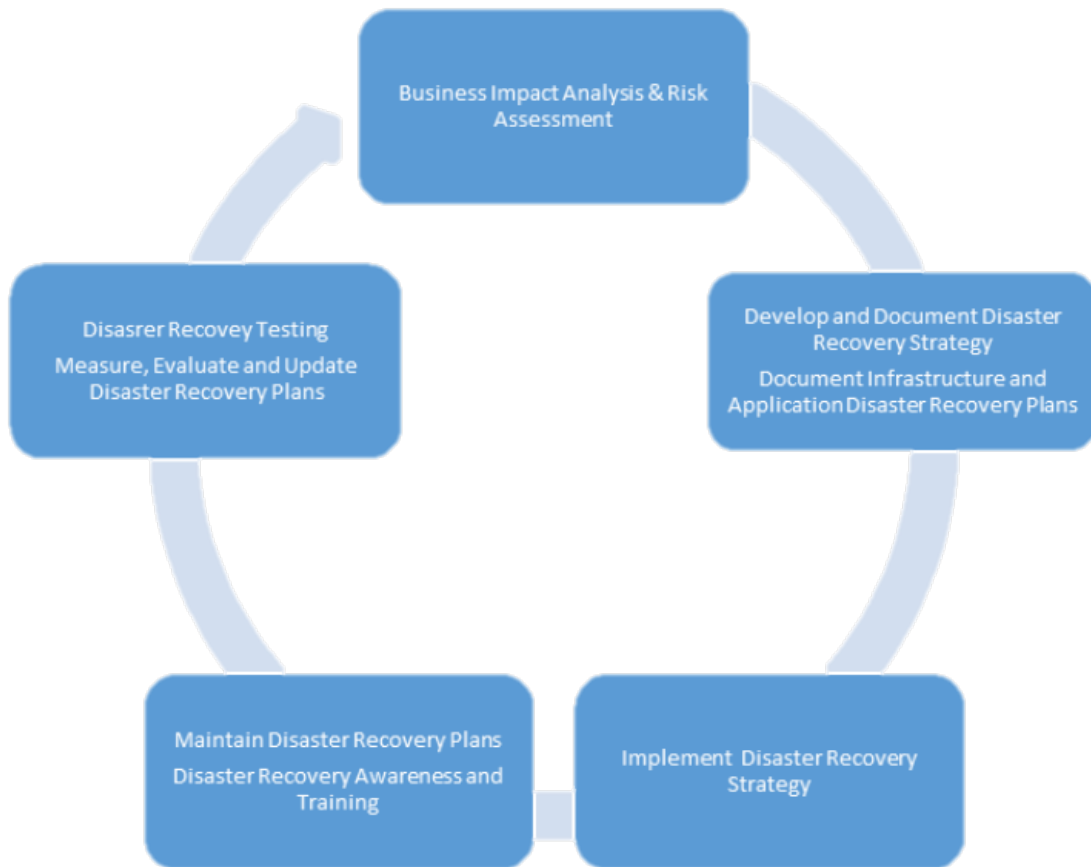
It is the goal of the Program to establish planning and testing, programs synergistic with Broadridge Business Continuity and Crisis Management, Information Risk Management, Information Security, Information Technology, etc.

The foundation of our Program consists of a solid recovery strategy in conjunction with a Business Impact Analysis and Risk Assessment which is conducted annually by the Business Continuity Governance and Crisis Management team. The Technology Disaster Recovery team works closely with the Business Continuity Program to ensure the organization’s mission critical and customer infrastructure, applications and processes are protected and able to achieve both the Recovery Time Objective (RTO) and Recovery Point Objective (RPO) set forth by Broadridge and customer expectations.

In addition, the Program includes ongoing planning sessions with clients, regulators and third-party providers to ensure minimal service disruption to our clients in the event of a disaster recovery event.

Disaster Recovery Planning Life Cycle

At Broadridge, disaster recovery planning is a continuous process, not a project. The Program is strategically developed involving employees at all levels within the Company including technology, application development and business areas. Program components are tested and reviewed on a regular basis to reflect the dynamics of the business as well as client and regulatory requirements.





Supplier Technology Disaster Recovery

Broadridge expects all critical suppliers to have recovery capabilities to restore services in the event of a successful cyber and / or data integrity event (e.g., ransomware). This capability is tracked through our Third-Party Risk Management (TPRM) process and subsequent reviews.

Program Governance

The Technology Disaster Recovery team oversees and implements the Program policies, procedures strategies and technical disaster recovery scheduling and testing for Broadridge globally. The Program provides guidance and tools to help business and technology owners integrate proactive measures to prevent and mitigate disruptive events and assess an application's recovery capabilities. This team is also responsible for establishing the structure, methodology, and standards for developing, maintaining, and testing technology to address regulatory obligations, industry best practices, and program guidelines across all Broadridge businesses.

Audit

Broadridge's 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

As the premier provider of transaction services and solutions to the financial industry, Broadridge Financial Solutions, Inc. is committed to preserving the accurate, dependable, and efficient solutions we provide to our clients. By having a well-planned and tested Program, Broadridge is prepared should the "disaster" event occur and has proven that it has the ability to achieve the RTO's and RPO's which have been committed to with our customers and regulators.

For more information about Broadridge, please visit our web site at www.broadridge.com.