

Transform your financial message processing

Global SWIFT services from Broadridge



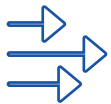
Expertise you can rely on. Anytime.

The highest standards of SWIFT support – throughout the world.

Customer-centric, deep expertise, broad service: Broadridge’s global SWIFT service offers the highest service standards for firms in all regions. The SWIFT experts at Broadridge are highly trained and available for your specific service requirements through our regional centres in Europe, the Americas and Asia Pacific. Broadridge is the leading provider of investor communications and technology-driven solutions for capital markets, wealth management and asset management firms. We help clients drive operational excellence to manage risk, accelerate growth and deliver real business value.



In face-to-face meetings, we determine your specific SWIFT requirements.



Broadridge offers SWIFT communications with maximum availability, strict security measures and a highly professional 24x7 service.



Thanks to our extensive service portfolio, we can quickly and efficiently integrate your business technology with SWIFT.



DIVERSE CUSTOMER BASE

Whether serving banks, asset management companies or industry enterprises, we demonstrate our service quality, business knowledge and reliability on a daily basis. The proof is in our long-standing, international client relationships.

The foundation of our service is built upon deep, business-relevant expertise. In face-to-face meetings, we determine your needs and identify opportunities for increased efficiency.

Our clients benefit greatly from our close working relationship with SWIFT, as well as a global SWIFT service bureau provider. We offer a broad spectrum of services and solutions to integrate your business seamlessly with the SWIFT network. We complement this with a highly efficient, streamlined workflow to optimise your operational processing and control.

MAXIMUM SECURITY

We recognise that security and system availability are of fundamental importance for our customers' businesses. Our independent data centres meet strict safety requirements and ensure the maximum availability for our solutions and services.

PREDICTABLE, VOLUME-BASED PRICING

The service enables you to minimise your SWIFT-related costs. Operating costs are transparent and predictable, and linked to processing volumes.

“We deliver a professional service based on in-depth knowledge and a flexible, highly efficient solution with extensive functionality and a client-centric focus on customer requirements.”

- Vladimir Sadlon
FinMApp product Management, Broadridge

Solutions designed to ease your workload

Certified SWIFT Service Bureau and SWIFT Partner.

Over 10,000 financial institutions, in more than 200 countries, trust SWIFT every day to exchange millions of standardised financial messages. SWIFT is recognised as the worldwide standard for financial transactions between banks, brokers, exchanges, other financial institutions, and corporate enterprises in many industries. Through its high levels of security and availability, the network is widely regarded for the reliable communication of both domestic and cross border transactions.

“Broadridge’s industry leadership, scale and client centric values exemplify the best in class qualities that we seek in our partners, and will help to accelerate value through the delivery of quality solutions and services.”

- Kai Marzenell
Director of SWIFT Product Management, Broadridge





QUICK AND EASY CONNECTIVITY

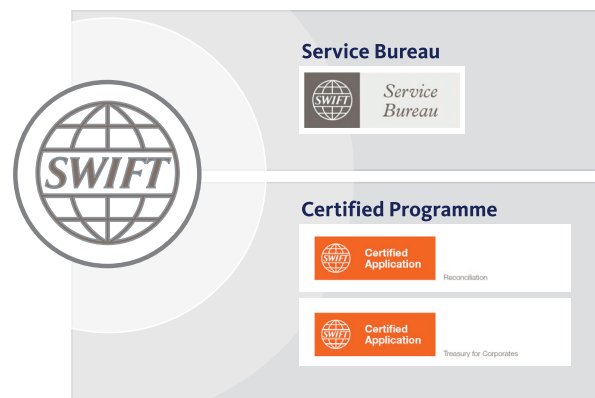
Today, financial firms and enterprises in all industry segments are increasingly concentrating on their core businesses. Seamless processing of transactions through efficient and reliable connectivity with SWIFT a critical, yet non-differentiating function, and a growing number of firms are realising the scale and quality benefits available from a best-in-class outsourced service model.

By adopting this best-in-class model, firms in all industry segments can benefit from streamlined transaction processing flows and cost efficiencies through the SWIFT network.

Offering tailor-made solutions and outsourcing services, Broadridge comprehensively supports all aspects of its clients' SWIFT connectivity and workflow technology. Maintenance and updates become a thing of the past, because Broadridge manages these for you and also offers multiple additional services that seamlessly integrate SWIFT into your business infrastructure. Your advantage: more transparency and control, a highly secure operation, and a significant opportunity to reduce costs.

SWIFT PARTNER AND SWIFT SERVICE BUREAU

SWIFT and Broadridge have maintained a close business relationship for many years. Recognised as an accredited SWIFT Service Bureau since 2000, Broadridge is also a certified Cyber Security Service Provider (CSSP) and listed in the SWIFT Compatible Application Provider with our own developed FinMApp application. Additionally, we offer managed services and private label SWIFT-certified solutions, developed by Broadridge, which are successfully established and proven on an international scale.



Through our deep knowledge and experience, we are well placed to recommend the SWIFT products that are best-suited to your needs, while giving you the flexibility to meet your evolving requirements. Your business is our priority, and we are committed to delivering world class standards of service for all aspects of your SWIFT operation.

Flexible solutions that adapt to your specific needs.

Broadridge SWIFT Banking: our solution for banks and brokers.

Broadridge SWIFT Banking offers firms a wide spectrum of business and technology - based services. Our SWIFT connectivity and processing solution is always up-to-date with the latest changes and customised to your specific requirements, yet flexible enough to enable a fast -track response to your future needs.

SECURE AND HIGHLY FLEXIBLE SWIFT SERVICE

Broadridge SWIFT Banking streamlines your operational processes and reduces workload through its advanced workflow and efficient message handling. As a SWIFT Service Bureau, we provide seamless connectivity and processing that is up-to-date with current standards and enables you to adapt quickly and easily to market and regulatory change. We take care of all system updates and releases, and meet your requirements for a highly secure, hosted technical infrastructure.

INCREASED EFFICIENCY WITH CONTROL

Broadridge SWIFT Banking not only offers you seamless SWIFT connectivity; it also enables you, through our FinMApp (Financial Messaging Application (FinMApp)), to optimise and control your internal processes, and increase the transparency of transactions. FinMApp provides advanced workflow and management control functions which enable you to monitor

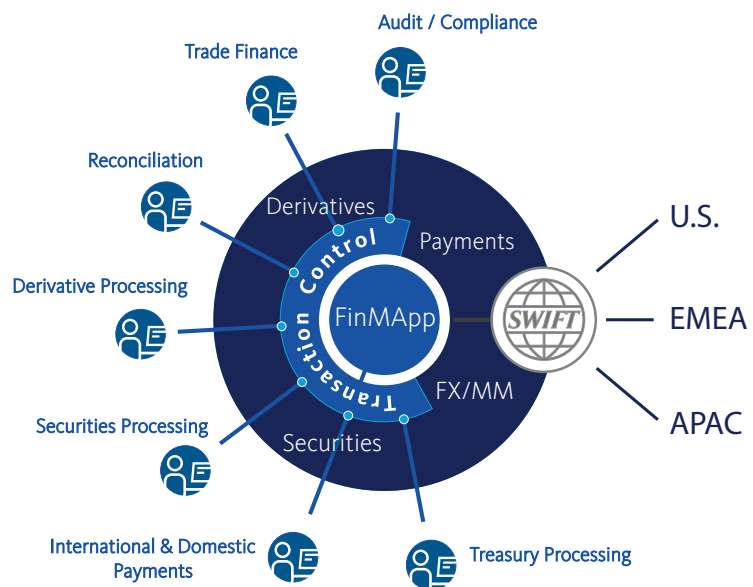
the full lifecycle of messages and proactively handle exceptions, increasing efficiency and reducing exposure to processing errors and delays. FinMApp also includes a customisable, accurate record of the data exchanged between your core system and the SWIFT Network.

With its inherent flexibility and role-based access model, FinMApp also helps safeguard your operational procedures and internal compliance controls. Data access can be segregated according to roles and responsibilities, with approvals routed for single or multiple checks prior to authorisation.



“We have placed our trust in Broadridge’s SWIFT outsourcing service. We are supported reliably, and without in house overheads.”

- Head of Operations,
Private Bank



With Broadridge SWIFT Banking, you combine optimised SWIFT connectivity and messaging with the highest level of flexibility and breadth of automation.

- A SWIFT service that is always up-to-date – we take care of all updates and releases
- Highly proficient, seamless integration for SWIFT connectivity with your core system
- Advanced control and security, tailored to your internal procedures, audit and compliance controls
- Extensive real-time messaging reports and status updates
- Coverage of all SWIFT services and message types
- Operational maintenance is fully managed by our professional team
- Cost savings related to hardware, systems and personnel

Tailor-made services, fully integrated with your core system.

Broadridge SWIFT Corporates: our solution for enterprises in all industry sectors.

Broadridge SWIFT Corporates provides enterprises with comprehensive connectivity and processing through the global SWIFT network. We deliver streamlined transaction processing and seamless integration into your existing back office or ERP system. We also take care of regular system updates and help you increase efficiency through high levels of process automation.

SOUND CONSULTATION – RELIABLE DEPLOYMENT

We begin by analysing your current situation and offer you a streamlined solution tailored to your business goals. As a highly experienced global SWIFT service provider, we are fully familiar with companies' requirements and how the technical capabilities of SWIFT can help transform your business. This enables us to offer indepth consultation on how to help you design your banking communications more efficiently, as well as potentially increase cost savings. Based on our analysis, we offer a Broadridge SWIFT Corporates solution that is tailored to your specific needs, making your processes more effective and secure.

Our solution is always up-to-date with the latest SWIFT changes, and our expert team takes care of all the infrastructure, security and technical support.

INCREASED PROCESSING EFFICIENCY AND PERFORMANCE

Through our FinMApp (Financial Messaging Application), we provide a secure interface linking banking and client systems, so you can manage transactions and increase transparency and control through a single, unified view across your business.

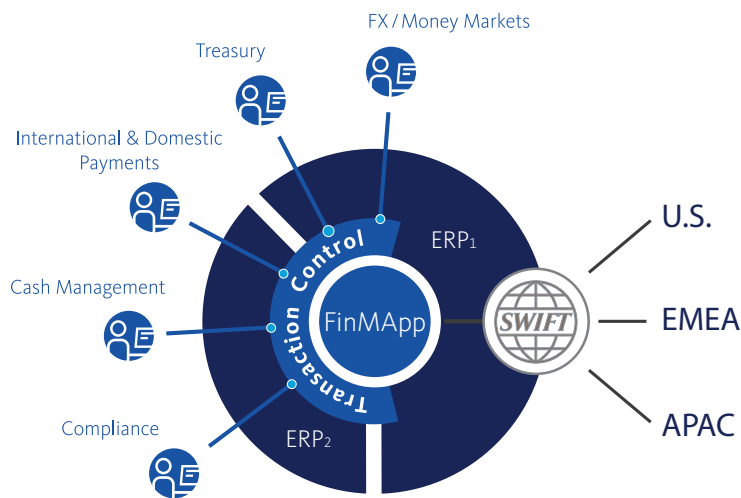
COMPREHENSIVE PROCESS MAPPING AND CONTROL

Broadridge's service consultants analyse your workflow to ensure that your internal process controls are properly mapped and reliably adhered to. Data access can be segregated according to roles and responsibilities, with approvals routed for single or multiple checks prior to authorisation.



“The decision in favour of Broadridge turned out to be the right choice. Broadridge has proved to be an extremely professional partner, particularly in an international environment.”

- Head of Group Treasury,
International Corporation



With Broadridge SWIFT Corporates, you can streamline your treasury operations, domestically and internationally, through a unified service that offers a single, businesswide view of payments, receipts and transfers. This allows you to optimise your efficiency and increase transparency, while reducing cost and risk.

- Efficient SWIFT connectivity and messaging, with seamless integration with your back office or ERP system
- Flexible and adaptable according to your evolving needs
- Highly secure service that adheres to your internal process controls
- Highly scalable, automated processing
- Straightforward conversion between proprietary data formats and SWIFT
- Centralised, business-wide management of transactions; standardised bank communications
- Single point for monitoring and control, for all financial transactions
- Processing and provision of account statements

Seamless automation through a single, best-practice SWIFT service

Broadridge SWIFT Asset Management: our solution for asset managers and buy-side firms.

Broadridge SWIFT Asset Management offers a reliable and professional SWIFT connectivity and message processing service, with the flexibility to meet specific requirements. We enable you to reduce cost and risk through automation and process efficiency, using a single, standardised transaction network for all of your counterparties. Our experienced consultants are at your service from the outset of our relationship, and fully committed to delivering the highest service standards.

A SINGLE, STANDARDISED SERVICE THAT ADAPTS TO YOUR CHANGING NEEDS

With Broadridge SWIFT Asset Management, we increase the efficiency and flexibility of your financial message processing. Our long-standing experience and comprehensive, deep domain knowledge support you in standardising your counterparty transaction networks through a single, best-practice model. Your processes will become streamlined and more efficient, reducing cost and risk and helping to enhance your market position. With the full support of Broadridge, a global SWIFT service provider, you can depend on our reliable and up-to-date connectivity and messaging service that has the flexibility to respond quickly and easily to your evolving business needs and market changes.

Broadridge SWIFT Asset Management enables you to focus on your core business and ensures an efficient, single-service approach to counterparty communication. As your business grows, so will your cost savings through our transparent volume-based pricing model.

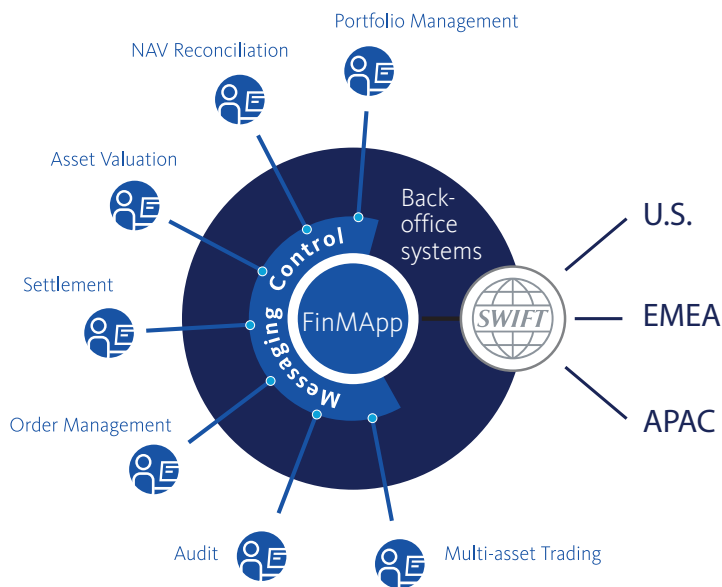
INCREASED PROCESSING EFFICIENCY AND PERFORMANCE

In addition to providing a single, harmonised network structure for all of your counterparty relationships, Broadridge SWIFT Asset Management enables you, through our SWIFT Transaction Manager (FinMApp), to maximise your levels of process automation. Through a user-friendly interface and role-based access model, FinMApp provides advanced workflow processing and control functions which enable you to monitor the full lifecycle of messages and proactively handle your exceptions, increasing efficiency and reducing exposure to processing errors and delays. And thanks to our extensive practical experience in the asset management sector, we can integrate new processes with ease.



“We chose Broadridge’s outsourcing service because of their extensive experience with SWIFT. Broadridge offered us a flexible solution with rich functionality, which allows us to respond to our clients’ SWIFT messaging requirements without any problems.”

- Managing Director,
Asset Management



With Broadridge SWIFT asset Management, you can standardise your counterparty communications, increase efficiency and always remain flexible. You also have a solution that can help to enhance your business reputation.

- Fast-track adoption of new processes, financial products, counterparties and markets
- Harmonised and highly efficient transaction processing for all counterparties
- Knowledgeable consultancy and world class service standards throughout implementation and operations
- A SWIFT service that is always up-to-date – we take care of all updates and releases
- Extensive options for automation and increased efficiency
- Flexible and customised service, according to your business needs
- Advanced workflow processing and seamless integration into SWIFT
- Straightforward conversion between proprietary data formats and SWIFT

A single, trusted provider for all of your SWIFT requirements.

Broadridge highly experienced partner – extensive service portfolio.

We not only help determine the most appropriate SWIFT solution for you; we also provide a world class, comprehensive service. Our highly experienced team offers a wealth of SWIFT expertise, supporting our clients with their extensive business and technical knowledge every day – from consultation, to SWIFT integration, to the highest standards of ongoing customer support.

CERTIFIED SOLUTIONS AND SERVICES

As a SWIFT-certified global service bureau provider, we demonstrate high standards of security and resilience, and in-depth knowledge of business practices. We work in accordance with SWIFT's Standard Operational Practices to bring you a flexible solution that meets your evolving needs. You benefit from our extensive SWIFT project experience, our professional business and technology domain knowledge, and our active participation in industry groups focused on standards. Our track-record in supplying outsourced SWIFT services spans over 14 years, and Broadridge has more than 50 years of experience providing outsourcing services to the financial industry.

COMPREHENSIVE ARCHIVAL AND DATA ACCESS

We manage, on your behalf, the long-term archival of all SWIFT transaction records, as required within the scope of your business and regulatory obligations. We also carry out additional scrutiny to avoid issues such as duplication of records. Our comprehensive reporting services for management, compliance and business teams ensures an efficient data retrieval process with easy, real-time access to historic records. Reports are exportable in a broad range of formats.

“We have a good understanding of the regulatory environment of our clients and helping them to deliver compliant services to their customers.”

- Heidi Dittmar
General Manager SWIFT and Payments business, Broadridge



FLEXIBLE SERVICE, ADAPTABLE FOR YOUR BUSINESS NEEDS

Broadridge's SWIFT experts customise our service according to your specific requirements, including the seamless integration with your back office and your day-to-day message processing. We consistently focus on your workflow and process efficiency, and integrate the most effective SWIFT tools into your process chain based on your needs. Transaction details and statuses are located quickly and easily, and where appropriate, linked to the corresponding messages. You can outsource to Broadridge as much or as little of your SWIFT operation as you require, from straightforward message conversion and integration to full post-trade processing, safe in the knowledge that you have full flexibility to adapt as your business evolves.

Our SWIFT services include:

- Broadridge SWIFT Banking
- Broadridge SWIFT Asset Management
- Broadridge SWIFT Corporates

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

Broadridge.com



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