

# RANDUG Annual Meeting

November 13-15, 2017



**Broadridge®**

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## Broadridge Overview:



# Asset Management and Retirement Solutions

Data-driven solutions for mutual funds, retirement, public sector and institutional asset management firms to help our clients grow their businesses, operate efficiently and minimize operational risk

Major Solution Offerings	Key Facts
<b>Enterprise Data &amp; Analytics</b> <ul style="list-style-type: none"><li>• Reference Data (Price and Security)</li><li>• Sales Reporting / Advisor Targeting</li><li>• Compliance Reporting (15 c – 22 c 2)</li></ul>	<ul style="list-style-type: none"><li>• 40 years of experience</li><li>• Relationships with all leading fund families retirement providers, institutional asset managers including:<ul style="list-style-type: none"><li>– 21 of the top 25 retirement providers</li><li>– 30 of the top 40 VA firms</li></ul></li><li>• Support Communications programs for over 60 Million retirement plan participants</li><li>• Track 90% of all long term mutual fund assets and 95% of all ETF assets</li><li>• Safeguard over \$320B in customers assets for over 300 financial institutions</li><li>• Revenue and Expense Management for over \$ 10T in AUM, including 14 of top 20 Global Asset Managers</li></ul>
<b>Mutual Fund Processing</b> <ul style="list-style-type: none"><li>• Trade Processing Utility</li><li>• Custody / Trustee Services</li></ul>	
<b>Communications</b> <ul style="list-style-type: none"><li>• Customer Communications</li><li>• Regulatory Communications</li><li>• Marketing Communications</li></ul>	
<b>Investment Operations</b> <ul style="list-style-type: none"><li>• Reference Data (Price &amp; Security)</li><li>• Portfolio Accounting</li><li>• Portfolio Trading Automation (OMS)</li></ul>	
<b>Revenue and Expense Management</b> <ul style="list-style-type: none"><li>• Institutional Account Fee Billing</li><li>• Invoice Validation</li><li>• Budgeting Accrual</li><li>• Sub Account /12 b Invoicing</li></ul>	

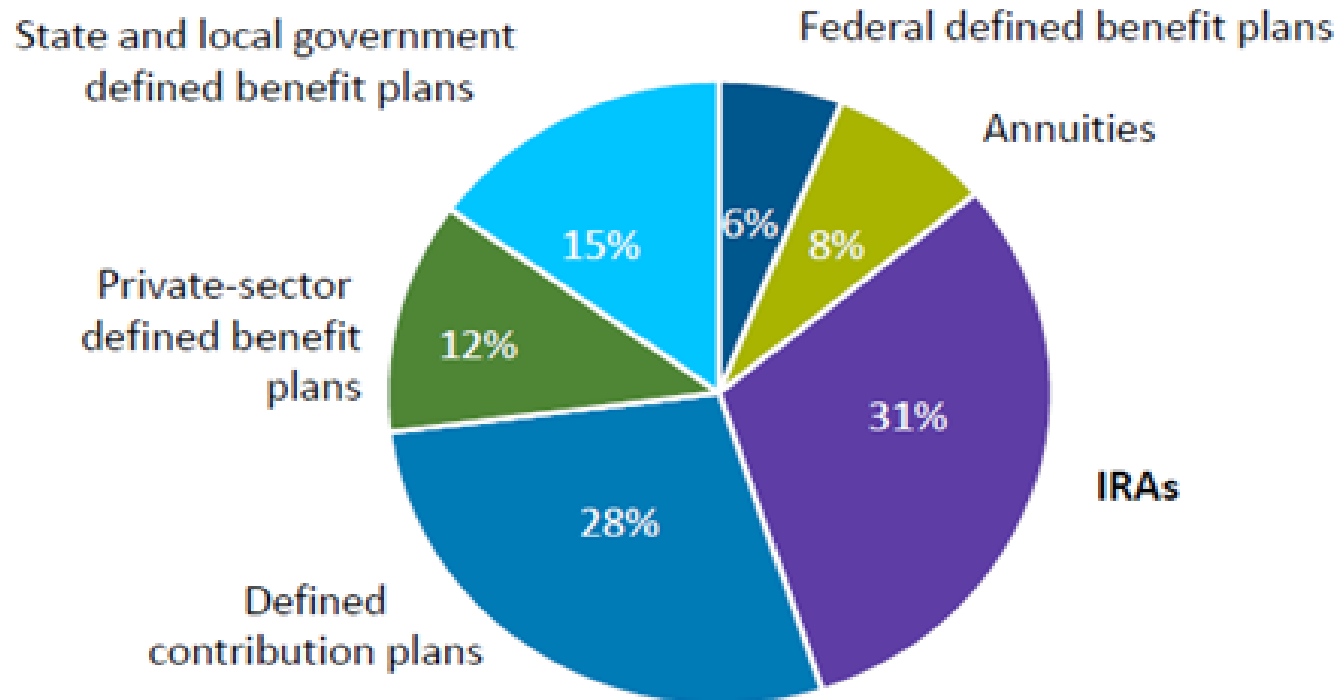
# ***every*IRA: Helping You Compete in the \$8 Trillion IRA Market**



# IRAs Are the Largest Share of US Retirement Assets

(Percentage of total US retirement assets, year-end 2016)

**Total Retirement Assets: \$25.3 Trillion**



Note: For definitions of plan categories and a complete list of data sources, see Table 1 in "The US Retirement Market, First Quarter 2017." Some data are estimated.

Sources: Investment Company Institute and Federal Reserve Board; see Table 1 in "The US Retirement Market, First Quarter 2017"



# everyIRA

- Broadridge has partnered with iraLogix to offer a fully managed, end-to-end, paperless solution for all types of IRAs
- Grow your retirement business faster by not losing assets:
  - Offer every terminating participant on your recordkeeping system a professionally managed, institutionally priced rollover IRA.
- Branded with your logo & look via white-label branding paperless servicing.
- Access to institutional mutual fund share classes with no minimum account size requirements.

# Denver Bridge.Net Enhancements



# Denver BridgeNet Enhancements

- Recent Enhancements

- Relius Disbursement Interface
  - “Matrix” pull-down option
  - Plan level fee disbursements

- Future Enhancements

- One-Cash Bucket
- Relius ACH Debit Interface
- Relius Manage Cash Interface
- Relius Dividends Interface

- BridgeNet Support Contacts

- Cathy Nordman 720-956-3132, [Cathy.Nordman@broadridge.com](mailto:Cathy.Nordman@broadridge.com)
- Bo Baribeau 720-956-3107, [Bo.Baribeau@broadridge.com](mailto:Bo.Baribeau@broadridge.com)
- [BridgeNetSupport@broadridge.com](mailto:BridgeNetSupport@broadridge.com)



# Denver BridgeNet Enhancements

- Web-Based Bridge.Net
  - No locally installed application – thin client
  - No updates to install with enhancement releases
  - Single Sign-On Solution: Fund Search, InnoTrust, TOS
  - Familiar menus – Logical consolidation
  - Familiar grids
  - NEW pages/modules:
    - Dashboard/Welcome screen – User customizable portlets
    - Transaction History
    - Account Snapshot feature



# Thank you!

## Q & A

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