

# Mitigate conflicts of interest

## STREAMLINE COMPENSATION MANAGEMENT FOR REG BI

- Simplify recordkeeping, validation and approvals for non-cash compensation
- Automate monitoring for early detection of potential conflicts of interest
- Efficiently execute firmwide rules for cash compensation within core processing
- Demonstrate firm and advisor compliance via detailed, transparent reporting

## STEP UP TO A HIGHER STANDARD OF CARE

Broker-dealer firms and their registered representatives face greater fiduciary responsibilities under Regulation Best Interest (Reg BI). Broadridge can help. We provide compensation solutions that help facilitate conflict-of-interest management to address this new standard of care.

## TRACK NON-CASH COMPENSATION

Seminars, training, gifts and other non-cash compensation (NCC) must be carefully monitored under Reg BI. The Broadridge NCC module automates NCC management for a detailed audit trail. It makes it easy for broker-dealers and registered representatives to record NCC data and keep it up to date.

## DETECT NCC CONFLICTS EARLY

The NCC module connects directly with asset managers to aggregate expense data and reconcile it against the data provided by the broker-dealers and their registered representatives. It provides visibility across the NCC lifecycle. Firms can perform regular data comparisons to facilitate quick resolution and ongoing conflict-of-interest mitigation.

## LEVELIZE CASH COMPENSATION

Firms with Broadridge's automated compensation management system can use its standard commission levelization functionality to establish their own custom rules. Facilitating rules configuration and automatic application across the product shelf, Broadridge simplifies conflict-of-interest mitigation activities.

## REG BI OBLIGATIONS

Form CRS



Duty of Care



Compliance



Conflict of Interest



Disclosure



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