


Broadridge Professional Services

Operational intelligence to drive business transformation



Broadridge[®]



Broadridge has a unique vantage point in the financial industry

Over half a century of industry experience

Serve 800+ banks, broker-dealers and hedge funds

Serve 70% of the primary dealer market

Represented on 20+ industry committees globally

Adhere to global regulatory standards

Globalization, evolving market structure and changing investor requirements are redefining the Capital Markets business as we know it. With increasing operational complexity, regulation and the escalating cost of compliance, firms need a strong partner to help realize their operational competitive advantage.

Broadridge Professional Services delivers the operational intelligence to drive business transformation. Our unique combination of people, market presence and insights make Broadridge the preferred partner to deliver practical business solutions that transform how financial services firms operate.

Broadridge professionals are thought leaders with a visible presence on 20+ industry committees – advocating on behalf of Broadridge clients to represent our industry view and influence change.

The solutions Broadridge provides are grounded on the expertise gained from over half a century of serving the financial industry and collaboration with 800+ financial services firms. From reconciliation process improvement to consolidating systems across global financial services organizations, Broadridge has the unique vantage point to drive business efficiency, create growth opportunities and manage large-scale transformation initiatives.

**Everything we do is built on
Broadridge's operational intelligence:**

- Unique vantage point based on our position at the center of the Capital Markets
- Unmatched domain expertise backed by 6,700 professionals
- Proven technology and business process standards
- Knowledge and resources from our vendor, client and industry relationships

That's what has earned Broadridge the trust and confidence of financial firms worldwide.

Operational Intelligence to Drive Business Transformation

Whether it's innovating to drive growth, strategically reducing costs, improving operational flexibility, increasing STP, managing risk, improving capital efficiency, complying with complex regulatory requirements or realizing deal value, Broadridge Professional Services has what it takes to be your

partner of choice. We start with the premise that Operations is a strategic asset, and that Broadridge Professional Services brings to the industry, functional and technology depth required to rapidly close the gap between ideas and results.

Large-Scale Transformations

Broadridge has a strong, demonstrable track record in delivering large scale transformation initiatives across global Capital Markets firms powered by business process expertise across every function in Financial Services.

Unmatched Financial Data Insights

Broadridge understands the structure and importance of financial data in the decision making process. We specialize in enabling data analytics by cleansing, consolidating and normalizing data so our clients can effectively utilize it to drive business decisions and growth.

Integration Expertise

Broadridge appreciates that the financial services technology ecosystem is complex and requires technology solutions beyond Broadridge. We have amassed significant expertise and knowledge integrating across varied technology platforms, complex infrastructures and global enterprises to maximize our clients' IT and Operational investments.

Cybersecurity

Broadridge has been the custodian of mission critical data for the largest firms in the financial services industry and our business hinges on our ability to securely and efficiently store this data and make it accessible globally for our clients' businesses while protecting it from unauthorized access and misuse.

Proven Scale

Broadridge associates serve clients doing business in 70 different capital markets in 50 countries. With five decades of experience, we have accumulated the skills, experience and breadth of knowledge to offer strategic assistance to our clients as they combat rising costs, complexity, regulatory scrutiny and technological diversity.



Proven Solutions to Drive Business Efficiency and Growth

What makes our consulting service different is our business-driven approach delivering operational intelligence through execution.

By delivering solutions that don't just create efficiency but drive performance, Broadridge Professional Services partners with its clients to uncover transformative solutions that create long-term value and growth.



Transformation Planning

- Define target operating models (TOM)
- Business process assessment, design and reengineering
- Transition management and implementation
- Implementation roadmaps and key decision points



Cost Optimization

- Total cost of ownership (TCO) analysis
- Business case development
- Location strategy for on-shore, near-shore, and off-shore operations
- Flex resources strategies



Risk and Compliance

- Regulatory change initiatives: assess and implement
- Business control reviews and remediation
- Benchmarking and reporting



Application Development and Integration

- Custom application development
- Systems integration
- Bridge data gaps and product silos
- Enterprise data consolidation

Talk to Us About Broadridge Operational Assessment Service

Drive new operational and technology efficiencies with one of our effective operational assessment services. Engage with Broadridge experts to optimize business process, reduce technology complexity and lower operating costs.

- Discover proven methods for simplifying, consolidating, and securing your technology and operating platform
- Optimize your overall investments to drive innovation and better align your operations, technology and process with your business
- Benchmark your operations and process maturity against industry peers
- Identify potential areas to adjust your target operating model (TOM) to create economies of scale and cost savings
- Explore new ways to support continuous improvement through business process optimization, systems integration and mutualization of capabilities

Perform with Confidence

When you partner with Broadridge, you benefit from decades of relentless pursuit of the industry's leading trading, clearance and settlement solutions.

It's a heritage and reputation that is hard-earned but provides today's clients with the advantages they need to outperform their competition.

Featured Engagements



Large U.S. retail firm engaged Broadridge to conduct an assessment of their technology and operations infrastructure to inform the design of their next generation operating platform

Business Challenges

- Enable business to leverage industry leading technology to compete in the Wealth Management space
- Eliminate dependency on non-scalable technologies and people centric processes
- Integrate large and growing branch network with centralized operating model

Results

- Comprehensive review of systems, processes and interfaces through the entire trade lifecycle
- Future-state technology ecosystem definition
- Integration points and implementation methodology
- Management tools including ROI analysis and end-to-end execution plan



Global Asset Manager and Investment Bank leveraged Broadridge's expertise to unify its operational strategy across its primary lines of business in North America

Business Challenges

- Eliminate redundant technologies and processes
- Leverage underutilized associates and technology
- Reduce trading and settlement fees
- Rationalize vendor relationships

Results

- Assessed synergy realization through multiple integration models with ROI for each option
- Risk analysis of target operating models
- Operations consolidation across brokerage entities
- Defined roadmap for execution of target operating model





About Broadridge Professional Services

Broadridge's combination of people, technology and insights, working together to drive operational excellence, makes Broadridge Professional Services the preferred partner for financial institutions worldwide.

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