



# Ensure that every vote reflects your values

Bring greater insight and efficiency to the proxy voting process.

Institutions have a fiduciary responsibility to cast their proxy votes in a way that maximizes shareholder value and supports good governance. But with thousands of complex proposals to consider in a brief timeframe, assessing each proposal on its merits can seem like an insurmountable challenge.

Broadridge Proxy Policies and Insights is a user-friendly web tool that simplifies the proxy voting process. Combining comprehensive data, analytics and automation, it helps you execute votes that consistently align with your proxy policy guidelines—faster and more efficiently than ever.

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CUSTOMIZE POLICIES

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AUTOMATE RESEARCH

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SIMPLIFY GOVERNANCE

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# Customize Policies

Easily create and customize voting guidelines.

With thousands of proposals and millions of votes cast, proxy decision making has become complex and time consuming. Consistent, data-driven guidelines help simplify the process by highlighting key considerations, flagging potential areas of concern, and providing instructions for each proposal category.

## Establish a baseline with industry best practices

Proxy Policies and Insights makes it easy to establish policies that are consistent with your fund's investment objectives, with the option to consider certain proposals on a case-by-case basis. Starting with industry best practices, there's no need to build policies from the ground up. You'll start with best practices based on your choice of voting profiles.

## Create your own decision-making framework

Our simple tool makes it easy to customize existing guidelines for specific proposal types and categories. Built-in guidelines cover a wide range of management and shareholder proposal categories, including:

- Election of Directors
- Say on Pay
- Ratification of Auditors
- Proxy Access
- And many more

## Automate the easy decisions, and simplify the tough ones

We'll analyze each proxy against your policies, so you spend less time on each vote—while confirming that each decision aligns with your proxy policy guidelines. Proxy Policies and Insights also provides the rationale behind a guideline, providing further clarity to help guide your voting decisions.

The screenshot shows the 'Policy Rules List' interface. At the top right, it says 'Welcome: Jane Q Sample' and 'Log Out'. Below this, there are buttons for 'Create New Rule' and 'Export Policy Rules', a search bar, and a link for 'Advanced Proposal Search'. The main content is a table with columns for 'Priority', 'Policy Rules Name', and 'Modified Date'. Below the table, there are several dark blue bars representing policy categories, each with a right-pointing arrow. At the bottom right, there is a link for 'Terms and Conditions'.

Priority	Policy Rules Name	Modified Date		
1	Vote AGAINST If More Than 3 Or More Boards	06/28/2016		
2	Vote AGAINST If Meeting Attendance is Less than 75%	03/01/2016		
3	Vote AGAINST if Director is Not Independent	02/18/2016		
4	Vote FOR if all Elect Directors Rules Pass	03/30/2016		

Categories shown below the table:

- Elect Director - *Management*
- Provide Proxy Access Right - *Management*
- Provide Right to Act by Written Consent - *Shareholder*
- Proxy Access - *Shareholder*
- Ratify Auditors - *Management*

From the Proxy Rules List screen, designate, prioritize and edit voting policies.

# Automate Research

Better insights drive more informed decisions.

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**Not all institutions have the in-house resources to quickly digest and analyze the vast quantities of data in proxy statements. That's why we aggregate essential data and place it at your fingertips for easy filtering and analysis.**



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Essential data extracted



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Easy access to data for filtering and analysis



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Generate and share reports

## Quickly review detailed issuer information

Proxy Policies and Insights makes it easy to review relevant data on every meeting and proposal. Our proprietary EDGAR-sourcing capability puts the right data at your fingertips to simplify decision-making. In just a few clicks, you can view:

- Proxy statements
- Management recommendations
- Prior year meeting results
- How each institutional shareholder voted
- Vote results of similar proposals
- The data-driven instruction based on your policy
- The detailed reasoning behind the policy

## Put advanced voting analytics at your fingertips

Create custom searches to understand voting results and trends for the securities in your portfolio. Dig deep into the data to create the most relevant insights.

- Identify securities that have proposals in a given category
- Learn how your institutional peers have voted on specific categories or specific proposals
- Determine which issuers have the same shareholder proposals year over year

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# Simplify Governance

Take full control of your proxy votes.

Bring more insight and less effort to the proxy voting process. Proxy Policies and Insights automates administrative functions—keeping track of meeting dates and voting deadlines, obtaining proxy statements and generating reports—so that you're free to concentrate on making the right decision in less time.

## Streamline voting

A single screen consolidates and organizes everything you need for faster, smarter decision making. Simply log in to view a comprehensive list of upcoming meetings, complete with detailed information including:

- Company name
- Total ballots
- Total shares
- Security ID
- Meeting date
- Voting deadline
- Meeting type
- Review status

Select All	Company Name	Total Ballots	Total Shares	Security ID	Meeting Date	Voting Deadline Date	Meeting Type	Review Status
<input type="checkbox"/>	Global Indemity	2	419,753	G39319101	09/14/2016	09/13/2016	Special	Review Incomplete
<input type="checkbox"/>	Global Indemity	2	419,753	NE0003282	09/14/2016	09/13/2016	Special	Review Incomplete
<input type="checkbox"/>	Network-1 Technologies	2	444,444	E4121N109	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Iron	2	753,086	465741106	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Nathans Famous	1	629,629	632471100	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	D3763A207	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	NMFD13889	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Barnes and Noble	1	61,728	067774109	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Apollo Medical Holdings	1	24,691	NMFD13871	09/14/2016	09/13/2016	Annual	Review Incomplete
<input type="checkbox"/>	Heritage Global	1	728,395	42727E103	09/14/2016	09/13/2016	Special	Review Incomplete

## For more information

Please call us toll-free at +1 800 481 2331

Broadridge, a global fintech leader with over \$4 billion in annual revenue listed on the S&P 500 index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

[broadridge.com](http://broadridge.com)



## See it all in ProxyEdge®

Proxy Policies and Insights highlights the voting preference for each proxy question, taking your institution's guidelines, management recommendations and voting trends into consideration. When your review is complete, the voting instructions are automatically viewable in ProxyEdge®.

## Facilitate collaboration

When the application of voting guidelines to a proposal fails to yield an obvious voting decision, Proxy Policies and Insights' export option gives you the power to share insights, research and propose vote instructions with other governance team members or fund managers for approval.

## Generate accurate reports in seconds

Sophisticated reporting and records management provides unmatched visibility into your voting history. Instantly see how your votes compare to your proxy, instructions and management recommendations. Customize reports by proposal category and date range, and present them to your board.

## Turn to the trusted source for proxy data

Broadridge is the leading provider of investor communications, technology-driven solutions, and data and analytics for broker dealer, wealth management, asset management and capital markets firms. We help our clients drive operational excellence to manage risk, accelerate growth and deliver real business value. Our industry-leading suite of proxy communications and voting solutions reduce costs and deliver greater efficiencies for thousands of corporate issuers, mutual funds and broker dealers throughout North America.

Ready for Next

Communications  
Technology  
Data and Analytics

