

2020

Broadridge Sustainability Report



Corporate sustainability is the foundation of how we operate our company. We are committed to conducting our business based on a strong sustainability framework focusing on responsible environmental, social, and governance (ESG) practices. We embrace the concept of the Service-Profit Chain, which directly connects employee engagement, client satisfaction, and the creation of stockholder value. At Broadridge, we put this idea to work not only in our internal policies and procedures but also in our communities, just as we do for our valued clients. We prize our ESG efforts, which enable us to be a stronger company and help us to create deepened relationships and a better world to live in.



Environmental [▶ page 6](#)

▶ We pride ourselves in pursuing opportunities for economic growth that simultaneously align with doing good for the environment. Our biggest opportunity to lower emissions is on behalf of our industry—by driving digitization and reducing paper mailing materials in the system. We are also committed to helping our clients through our smart supply-chain management, while also improving our own energy consumption and waste production behaviors.



Social [▶ page 17](#)

▶ At Broadridge, our associates are our greatest asset. Diversity and inclusion, associate and community engagement, and health and safety are woven into everything we do. We strive to ensure that our people represent both the diversity of the clients we serve and the communities where we work. This is not only smart business, but also it is the right thing to do.



Governance [▶ page 29](#)

▶ We believe strong corporate governance practices and policies are integral in fostering a culture of integrity, managing a better-performing and sustainable business, and achieving long-term stockholder value. Through our framework of policies and processes, we focus on better managing our business and on aligning the interests of management with our stakeholders.

A message from Broadridge CEO Tim Gokey

October 2020



At Broadridge, we enable better financial lives by powering investing, governance, and communications for our clients, their customers, and the financial services industry. We accomplish this while taking care of our associates and our communities. Our unique culture is guided by the Service-Profit Chain—the idea that success is mutual, directly connecting employee engagement, client satisfaction, and the creation of stockholder value. I am proud that as a result of our ESG efforts, Broadridge was recognized by Barron’s as one of *America’s 100 Most Sustainable Companies*. We are focused on doing well by doing good. That’s not a feel-good slogan—it’s a core value we have adhered to during 2020 in the face of unprecedented challenges, and will continue to build upon in the future.

In this report, you will find information on Broadridge’s ESG policies, programs, and aspirations, which we have communicated in line with the SASB framework and the United Nations Sustainable Development Goals. As our first sustainability report, this is a critical piece of our ESG disclosure, and we plan to keep you updated through both our annual sustainability reports and our website. As we continue to drive our ESG efforts, we invite you to join us on this journey and keep up with the latest in our ESG progress.

Environment: As a communications hub for the financial services industry, our biggest opportunity to reduce emissions in the system is by driving digitization and reducing paper mailing materials for our clients. According to the U.S. Environmental Protection Agency, paper waste accounted for the largest waste source of all U.S. municipal solid waste materials and over the last few years, we have mitigated the industry’s environmental footprint

by eliminating more than 80% of our clients' fund and issuer paper communications. Furthermore, we have reduced our greenhouse gas emissions through corporate energy efficiency programs, renewable energy investments, and streamlining of operations. As a result of our efforts, I am proud that we have achieved an absolute Scope 1 and Scope 2 greenhouse gas emissions reduction of 24.2% from 2013 to 2019.

Social: Our people have always been our highest priority. Broadridge's investment in their engagement and success has translated into being recognized as a *Great Place to Work in the U.S., Canada, and India*. A key element of this success is diversity and inclusion—Broadridge understands that developing and maintaining diverse talent, and having a workforce comprised of people of all backgrounds, experiences, and identities is an important social obligation. In light of recent racial injustice events, we've renewed our commitment to diversity and inclusion by joining 190 of New York's top leaders in signing an "Open Letter from Leaders of the Partnership for New York City" on racial equality. We also joined The Board Challenge as a Charter Pledge Partner, a movement to accelerate change by working together to increase Black board membership.

Our efforts are not confined to the walls of Broadridge, but also extend into our communities as part of our broader corporate social responsibility efforts. By partnering with community organizations such as the SIFMA Foundation and NPower, we provide educational opportunities for young adults in underserved communities. We have always donated, and will continue to donate, resources to charitable causes and volunteer our time. This allows us to strengthen our communities, protect their most vulnerable members, and share in collective success.

Governance: Not only does Broadridge play a critical role in providing the infrastructure that strengthens corporate governance practices worldwide, but we are also committed to governance policies and practices that serve the interests of our company and its stockholders. We believe our strong corporate governance is integral in fostering a culture of integrity, managing a better performing and sustainable business, and achieving long-term stockholder value. Through our framework of policies and processes, we have focused on better managing our business and on aligning the interests of management with our stakeholders. This year, our Board adopted a Political Contributions Policy and we began disclosing information on our political contributions to provide more transparency into our activities. We have created an ESG Committee that includes members of senior management, which reports to the Governance and Nominating Committee of the Board, to formally coordinate and monitor our sustainability initiatives. Sustainability is something our entire organization cares about—from our associates to our executives to our Board of Directors.

Throughout 2020, Broadridge has continued to support our communities, protect the well-being of our associates, promote a diverse and inclusive work culture, and reduce our environmental footprint. Our overarching philosophy is that financial sustainability is interdependent with our social and environmental impact. This rings particularly true given the difficult times we have endured together this year. Our commitment to ESG matters not only makes us stronger and allows us to better serve and support our associates, clients and investors—it also creates a better world.

Best regards,



Tim Gokey
Chief Executive Officer



United Nations Sustainable Development Goals

The United Nations Sustainable Development Goals (SDGs) are a universal call to action to end poverty, protect the planet, and ensure that all people enjoy peace and prosperity by 2030. At Broadridge, we understand these challenges and align with these goals. We have identified four primary SDGs where we strive to make our greatest contributions.

Learn more about our social and environmental programs and initiatives that align with these SDGs, at broadridge.com/about/sustainability.



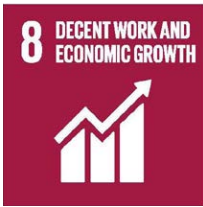
SDG #4 works to ensure inclusive and equitable quality education and promotes lifelong learning opportunities for all.

- ▶ We closely align with goal 4, target 4.3 to “ensure equal access for all women and men to affordable and quality technical, vocational, and tertiary education, including university.” We also align with goal 4, target 4.5 to “eliminate gender disparities in education and ensure equal access to all levels of education and vocational training for the vulnerable, including persons with disabilities, indigenous peoples, and children in vulnerable situations.”

Quality education has always been and will continue to be a key part of who we are. By financing the educational advancement of our associates, donating resources to charitable causes, and volunteering our time to tutoring students, we promote equal access to quality education for all people. Through our associate benefits programs and community philanthropy and volunteer efforts, we sponsor college scholarships for the children of our associates and offer tuition reimbursement for full-time employees.

Broadridge also has long-standing partnerships with community organizations, such as the India-based Mamidipudi Venkatarangaiya (MV) Foundation, which supports and educates children in India who have been subjected to child labor.

Additionally, we partner with the SIFMA Foundation and NPower to provide educational opportunities for young adults in underserved communities.



SDG #8 promotes inclusive and sustainable economic growth, employment, and decent work for all.

- ▶ In alignment with goal 8, target 8.2, we work to promote diverse economic growth and productive employment for our associates “through diversification, technological upgrading, and innovation.”

We believe that investing in the happiness and success of our people is an investment in our future. Our strong ethical culture fosters productive teamwork, which drives the Service-Profit Chain and makes our people more successful. We offer numerous training and development opportunities, including online courses and on-site training. Our career development programs support associates in learning new skills, developing core talents, and growing their areas of expertise. Associate networks play critical roles in shaping our company culture, supporting associates’ personal and professional development, and enabling cross-company networking and mentorship opportunities. We play our part to ensure productive employment and decent work for all associates and understand that there is more work to be done on a global scale.



SDG #10 focuses on reducing inequalities both within and among countries.

- ▶ At Broadridge, we work hard to “empower and promote the social, economic, and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion, or economic or other status” in alignment with goal 10, target 10.2.

We recognize that when we embrace each other’s similarities, differences, and unique perspectives, we can work together to find new, innovative ways to address challenges and make our clients—and Broadridge—succeed. We have a long and rich tradition of diversity and inclusion that starts with our dedicated executive group, the Executive Diversity Committee, and extends through our passionate associate networks, The Multicultural Associate Network, the Women’s Leadership Forum, and B.Pride.

This year, Mr. Gokey joined 190 of New York’s top leaders in signing an “Open Letter from Leaders of the Partnership for New York City” on racial equality. We also joined the Board Challenge as a Charter Pledge Partner, a movement to accelerate change and increase Black board membership.




SDG #12 works to ensure sustainable consumption and production patterns.

- ▶ We closely align with goal 12, target 12.6 “to adopt sustainable practices and to integrate sustainability information” into our reporting cycle through our voluntary, annual Carbon Disclosure Project Report and this report.

Broadridge aims to increase the adoption of environmentally sustainable practices around the procurement, consumption, and production of natural resources. Initiatives that we have already adopted related to responsible consumption and production include partnering with American Forests to plant millions of trees, certifying that all Broadridge paper products are sourced from responsibly managed forests, and implementing recyclable packaging film encasing 100% of Broadridge proxy packaging and paper mailing materials. Not only are we reducing our greenhouse gas emissions, but also we are minimizing our clients’ footprint with our digital products and ensuring a sustainable supply chain across the industry in which we operate.

Our Environmental Initiatives

At Broadridge, sustainability is at the foundation of who we are and what we do. We help reduce our clients' environmental impact by driving digitization and reducing the volume of paper mail we process on their behalf. We help uncover opportunity—and manage risk—across the ESG landscape through our smart supply-chain management and ESG products. We also have a strong record of mitigating our greenhouse gas (GHG) emissions, minimizing waste, and spearheading awareness initiatives throughout our company and in our communities.



We built a culture based on improving the environment. Through grassroots efforts, our associates volunteer to promote awareness of environmental concerns and help reduce the environmental impact of our operations to create a more sustainable workplace.

Furthermore, our Environmental, Social, and Governance Committee (ESG Committee) reports periodically to the Governance and Nominating Committee of our Board of Directors on environmental sustainability. The ESG Committee assists senior management in setting general strategy, as well as monitoring and assessing developments relating to, and improving our understanding of sustainability.

What we are doing for our industry

We strive to improve both our industry's ecological footprint and our own through client solutions, our eco-conscious facility practices, supply-chain management, and community engagement.

As we continue to face the threat of climate change, we are committed to helping our clients reduce their environmental impact. Some of our initiatives include reducing GHG emissions by driving digitization and reducing paper usage through decreased volume of physical mail. Climate change has become a defining factor in Broadridge's long-term prospects, and we continue to take action in mitigating our climate change risks.

We have a responsibility to our clients and our industry to ensure the sustainable consumption and production of our products. Through our practices and our products, we strive to utilize natural resources in an environmentally conscious, socially responsible, and economically feasible way.

“Broadridge has already eliminated more than 80% of our clients’ fund and issuer paper communications and we see a large opportunity to drive digitization in the financial services industry into the future.”

Michael Tae
Corporate Vice President, Corporate Strategy

DIGITAL AND ECO-FRIENDLY SERVICES

One of our key businesses is the fulfilment of communications in the investment community and between companies and their customers. We are well-positioned to lead in the connection between digital-first products and environmental sustainability. Our business model is designed to drive green outcomes. We take pride in creating high-quality communications products, which are safe and accessible for all, while simultaneously mitigating our environmental footprint throughout the supply chain. For example, our proxy and other paper mailing packaging are encased in recyclable polywrap. This packaging film is composed of 45% Post-Industrial Recycled Content. At the end of its product lifecycle, it can be recycled in any area accepting #4 plastics or in store drop-off locations.

We also offer numerous e-delivery products, which significantly contribute to waste reduction for our clients. These products, which are detailed below, replace our paper communications. Broadridge has already eliminated more than 80% of our clients' fund and issuer paper communications through digitization and other alternatives, driving down our Scope 3 GHG emissions. We continue to invest to decrease paper communications and increase digital communications.

The following products promote sustainability within the linear supply chain model by reducing resource input, including non-renewable resources, and waste output. Our ever-expanding innovative products help our clients lower their ecological footprint within the current traditional "take, make, and throw away" model in order to promote environmental sustainability.

Virtual Shareholder Meeting (VSM)

In 2019, Broadridge enabled over 300 virtual shareholder meetings; in 2020 we saw an increase to more than 1,500 virtual shareholder meetings. Our investments in technology and systems capacity now enable participation by over 20,000 simultaneous users at any given time. VSMs are beneficial in that they enable company meetings to be more accessible, making shareholder participation easier. VSMs also reduce meeting costs for investors and companies—including travel costs in getting directors and management to a meeting, as well as other associated costs such as security. Simultaneously, VSMs reduce management and shareholder travel-related GHG emissions and promote safe social distancing practices.

ProxyVote™

Our web-based and mobile app proxy voting solutions enable shareholders to vote from any device securely and quickly. Convenient one-touch sign on and push notifications drive participation and maximize shareholder engagement. ProxyVote improves shareholder engagement via increased accessibility and reduces paper usage, as well as GHG emissions, by eliminating transport and delivery of printed proxy materials.

Digital Communications

Digital communications engage customers, turning static communications into dynamic and personalized experiences. Our suite of digital communication offerings allows companies to create, deliver and manage customer communications across multiple channels with one connection. By promoting flexible choices for document distribution, hosting and warehousing, as well as partnering with our clients to suppress printed materials and mailings through electronic communications initiatives, we can reduce our paper mailings. By displacing printing via our electronic communications, we have reduced an estimated 800 metric tons of carbon dioxide equivalent (CO₂e) emissions annually.

RESPONSIBLE PAPER SOURCING

100% of the paper products we produce and sell are sourced from responsibly managed forests and certified by one of the following organizations:

The Sustainable Forestry Initiative (SFI)



Forest Stewardship Council (FSC)



Programme for the Endorsement of Forest Certification (PEFC)



Three of our production facilities are chain of custody-certified to produce and sell materials with the FSC, PEFC, or SFI logo.

We use our position not only as a buyer, but also as a vendor, to ensure sustainable practices. This environmental responsibility is a key value of our company, which extends to our vendors. We hold ourselves accountable to strong environmental management principles, and we expect our vendors to do the same. From supplier to distributor to manufacturer, our strict principles create long-term impacts across the supply chain.

See our Vendor Code of Conduct at broadridge.com/legal/vendor-code-of-conduct.

What we are doing for ourselves

We are all stewards of the environment and, at Broadridge, we take this responsibility seriously.

Our commitment to reducing paper and waste, mitigating carbon emissions, and managing our energy consumption are more than just words; we put our commitment into action. We operate daily with a goal to diminish our environmental impact through sustainable consumption and production in all of our facilities. We have shown substantial progress in this field and see many opportunities for further advancement.

GHG EMISSIONS

We initiated our GHG reduction journey in 2014 when we made significant capital investments to reduce our energy use, including a reduction of electricity usage at some of our largest facilities. In 2017, Broadridge acquired a major U.S.-Canadian printing production operation, which included both a natural gas-fired cogeneration facility and solar energy facility. This solar array was designed to produce an estimated 1.4 million kWh of energy annually, offsetting more than 14,000 metric tons of carbon. This represented Broadridge’s first capital investment in the renewable energy sector, while demonstrating our ongoing commitment to energy use and GHG emissions reductions.

We achieved an absolute Scope 1 and Scope 2 GHG emissions reduction of 24.2% from 2013 to 2019. While we are pleased with the great progress we’ve made in managing our facilities more efficiently, we still see an opportunity to expand these efforts. We are working to achieve a 15% reduction in absolute Scope 1 and 2 GHG emissions from our 2019 baseline by 2025.

Internal GHG Emissions Reduction Initiatives



Green Buildings

Since 2008, Broadridge has been a proud member of the U.S. Green Building Council. Our 605 Third Avenue office—a recently modernized 44-story tower in midtown Manhattan—was certified LEED Gold as a result of its early 2016 capital improvement program. LEED is the leading program for green building certification worldwide and helps the implementation of sustainable and greener strategies. A study conducted for the U.S. Department of Energy shows that the average certified building has 34% lower CO₂e emissions than a typical building. LEED-certified buildings are also less energy intensive, consume less water, and divert more waste than non-certified buildings.

24%

**REDUCED
EMISSIONS
FROM 2013–2019**

Heating, Ventilation, and Air Conditioning (HVAC) Units

One significant GHG emissions reduction initiative included the installation of high-efficiency rooftop HVAC units in our Edgewood, New York, and El Dorado Hills, California, sites. These HVAC systems use about 30% less energy than the equipment they replaced, reduce CO₂e emissions by an estimated 200 metric tons annually, and save \$100,000 annually.

15%

**GOAL TO REDUCE
EMISSIONS
FURTHER BY 2025**

LED Lighting

According to the United Nations, if people worldwide switched to energy-efficient light bulbs, it would save \$120 billion annually. We have installed or will be installing LED retrofit lighting at all four of Broadridge’s major U.S. production sites, and have already saved an estimated \$481,000 annually.

In our Edgewood, New York, facility alone, the lighting program eliminated 4,000 T8 parabolic 3-bulb fixtures and replaced them with LED fixtures, thus reducing both energy usage and eliminating mercury waste from fluorescent bulbs. Our eco-friendly lighting initiative also reduced an estimated 400 metric tons of CO₂e emissions annually at the site. In addition, lighting occupancy sensors were installed in select offices and washrooms to reduce unnecessary use.

ASSOCIATE ENVIRONMENTAL AWARENESS INITIATIVES

At Broadridge, our dedicated associates are our greatest assets. Our best practices are cultivated in an environmentally conscious atmosphere, where associates across our locations share information and tools. Passionate associates promote environmental education and awareness by providing peer engagement opportunities in environmental sustainability initiatives. In doing so, associates address environmental challenges that are important to our greater business, values, and communities. Our associate-led initiatives encourage responsible energy use and waste diversion in both our workplaces and our homes.



Responsible Energy Use

Electric Vehicle Charging Stations

We have implemented 11 electric vehicle charging stations at our Edgewood, New York, and El Dorado Hills, California, production sites. Since their implementation in October 2019, the stations have mitigated 9,434 kg of GHG emissions, which is approximately equal to the emissions diverted from planting 242 trees.



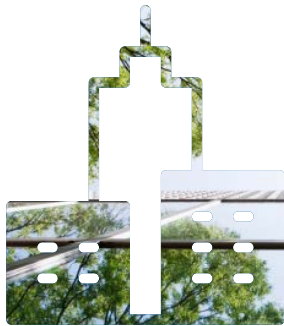
Ride-Share Program

Our partnership with Carpoolworld.com allows associates to sign up and find a commuting buddy in their area to travel to and from Broadridge workplaces. Any U.S.-based Broadridge associate is eligible to partake in our ride-share program. Ride sharing reduces fossil fuel emissions and traffic congestion while providing alternative daily commuting options.



“Travel Smart” Parking

Associates who ride-share are also eligible to register for our Travel Smart parking program. Our carpooling program reserves premium parking spots for registered associates. Environmentally friendly cars, as designated by New York State regulations, may also park in these coveted spaces.



Waste Management

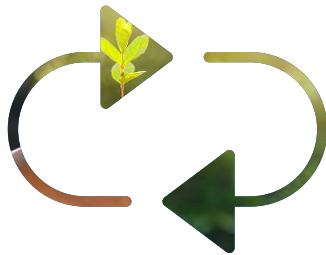
Eco-Friendly Building Interiors

- Broadridge has partnered with a green furniture vendor, Waldner's, to ensure our furniture is made from mostly recycled materials. Our facilities team also replaced standard carpeting with climate-neutral, sustainable, environmentally friendly carpeting on new construction and renovation projects. Eco-friendly carpet, ceiling tiles, and furniture have been installed at four of Broadridge's major U.S. production sites.



Low Impact Cleaning Products

- In partnership with Broadridge vendors, we use GS-37 cleaning products for general-purpose, restrooms, counters, glass, mirrors, and floors at all of Broadridge's major U.S. production sites. These products are Green Seal-certified, which monitors product performance requirements as well as environmental and health considerations for vulnerable populations in schools, day-care facilities, nursing homes, and other institutional settings.



Site Recycling Stations

- Broadridge has recycling programs for numerous products, including old fluorescent lightbulbs, batteries, toner cartridges, and other materials. We also house electronic waste recycling bins for products, such as keyboards, personal computers, and ballasts. We have a long-standing relationship with AHRC, a New York City-based nonprofit organization serving people with intellectual and developmental disabilities, where we donate old electronics to be reused by those in need.

At Broadridge, our dedicated associates are our greatest asset. Our best practices are cultivated in an environmentally conscious atmosphere, where all employees across locations share information and tools.

ENVIRONMENTAL REPORTING

Our highest priority is keeping our associates and our environment safe, and transparency around our production facilities is key to this commitment. The demand from consumers and commercial customers for greater transparency—particularly regarding climate change and sustainability performance—is ever-increasing.

As the effects of climate change continue to become more severe, we anticipate more stringent carbon-related regulations to be implemented, affecting our value chain of suppliers, clients, and ourselves. Environmental reporting encourages greater awareness of the impacts we make as a company. We view this awareness as the first step to minimizing our climate change risks.

We hold ourselves accountable at the highest environmental, safety, and protection standards, and we regularly disclose detailed information around GHG emissions and resource use at each of our production facilities. We also operate in compliance with all U.S. Environmental Protection Agency mandated environmental reporting requirements at all of our production facilities.

The Carbon Disclosure Project (CDP) represents a voluntary effort to develop standardized reporting procedures concerning firms' climate-related activities, which is intended to complement annual financial accounts and provide information relevant to investors. Broadridge has a long-standing commitment to environmental reporting and began providing publicly available CDP reports in 2008.

View our 2019 CDP Report at broadridge.com/about/environmental.

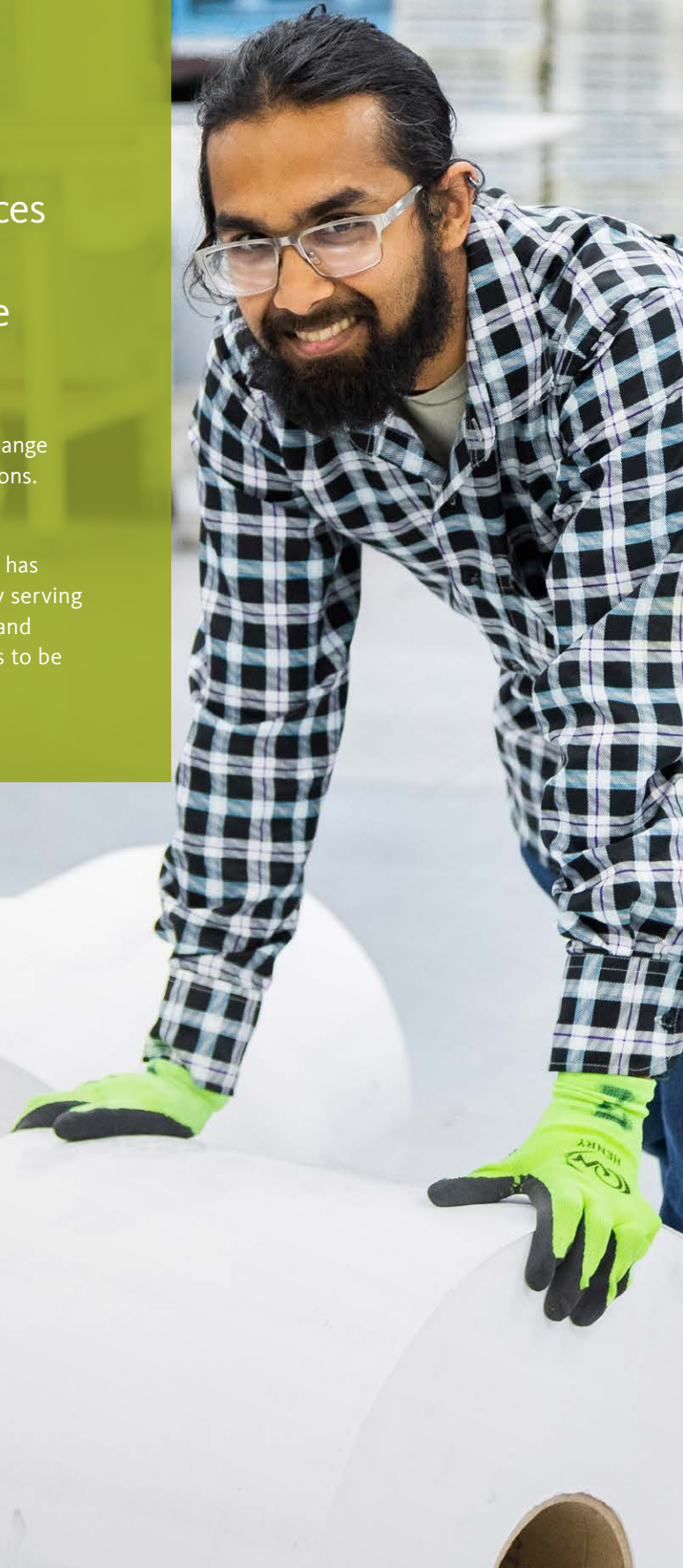


What we are doing for our community

By partnering with community organizations, donating resources to charitable causes, and volunteering our time, we hope to better our communities.

Our dedicated associates are committed to creating change through our business operations and charitable donations.

Since the associate-led Broadridge Environmental Committee's (BEC) inception in 2008, the committee has promoted environmental awareness and education by serving the communities in which Broadridge associates live and work. Our dedication to community service continues to be an ongoing focus.



AMERICAN FORESTS PARTNERSHIP

Consistent with the need for corporations to thoughtfully engage with the world around them, we strive to continually reduce our environmental impact.

Since 2014, Broadridge has partnered with American Forests to protect and restore forests, helping to preserve the health of our planet. For over two decades, their Global ReLeaf program has worked with local partners to plant trees in every U.S. state and in 44 countries around the world. Millions of trees have been planted with the help of American Forests in areas damaged by natural causes or human activity.

For every client satisfaction survey returned or conversion to paperless delivery of shareholder materials, Broadridge makes a donation to American Forests to further their important work. Our partnership with American Forests has resulted in the planting of tens of thousands of trees around the world.



AMERICAN FORESTS
- SINCE 1875 -

ASSOCIATE-LED COMMUNITY SERVICE INITIATIVES

Community Garden

Our volunteer-led community gardens began at our Edgewood, New York, site in 2013. The garden program allows associates to plant, tend, harvest, and donate fresh produce each summer to local hunger relief organizations. Broadridge associates maintain a second community garden at our South Windsor, Connecticut, site where up to 100% of produce is donated. These gardens are both a means of giving back to our community and fostering a healthy and supportive work environment.

Earth Day Activities

Broadridge runs numerous Earth Day awareness activities. These activities span the week encompassing April 22nd, featuring a different daily theme around environmental stewardship and awareness. For example, in 2019, associates engaged in Mug Monday, Travel-Smart Tuesday, Water-wise Wednesday, Trash-free Thursday, and Garden-fresh Friday. Throughout the green week, the BEC hosts trivia contests, raffle giveaways, and potluck social events.

In early May of each year, associates participate in “I Love My Park Day,” a volunteer event offered by the New York State Department of Parks and Recreation. This annual event features state park clean-up activities to prepare for park summer experiences. Events include painting lifeguard stations, mulching paths, weeding gardens, and collecting litter. Our Earth Day activities promote environmentally sustainable daily lifestyle habits and educational opportunities, as well as encouraging a collaborative and fun work atmosphere.



Supporting Our People and Our Community

As a leading provider of technology, communications, and data and analytics solutions to businesses around the world, it is critical that Broadridge understands, embraces, and operates in a multicultural environment. Every associate has unique strengths, which, when fully appreciated and embraced, allows everyone to perform at their best and leads to Broadridge's success.

Our goal is to ensure our associates at every level of the organization better represent the diversity of the clients we serve and communities in which we work. By partnering with community organizations, providing educational opportunities in underserved areas, donating resources to charitable causes, and volunteering our time, we hope to strengthen our communities, protect their most vulnerable members, and share in collective success.

Our people

We are driven by the success of each of our associates, and we recognize that it is because of their hard work, talent, and commitment that we continue to deliver outstanding results for our clients. That's why we provide a workplace that fosters a collaborative and supportive culture where everyone feels welcomed, accepted, and empowered to be their best.

At the center of our associate engagement efforts is the Service-Profit Chain, where engaged associates deliver world-class service, which creates satisfied clients and, in turn, produces strong, long-term value for stockholders.



“Our unique culture is centered around the Service-Profit Chain with engaged associates that are focused on delivering for our clients.”

Chris Perry
President

DIVERSITY AND INCLUSION

We are committed to diversity and inclusion, and pursue both top-down and bottom-up approaches to advancing diversity and inclusion initiatives and values into our culture. This is reflected in the varying backgrounds of our over 12,000 associates working in 17 countries around the globe.

Broadridge recognizes that developing and maintaining diverse talent, and having people of all backgrounds, experiences, and identities is not only an important social obligation, but also a critical component to our continued growth and success in providing award-winning service for our clients and, ultimately, in creating value for stockholders.

An Inclusive Environment

Broadridge is a place where each of our associates can bring their full self to work every day. We are stronger and more innovative when we give everyone their due respect and embrace each other's similarities, differences, and unique perspectives. By providing our associates the tools and support they need to perform at their best and demonstrating that their contributions are valued, Broadridge fosters a culture of empowerment where everyone can succeed.

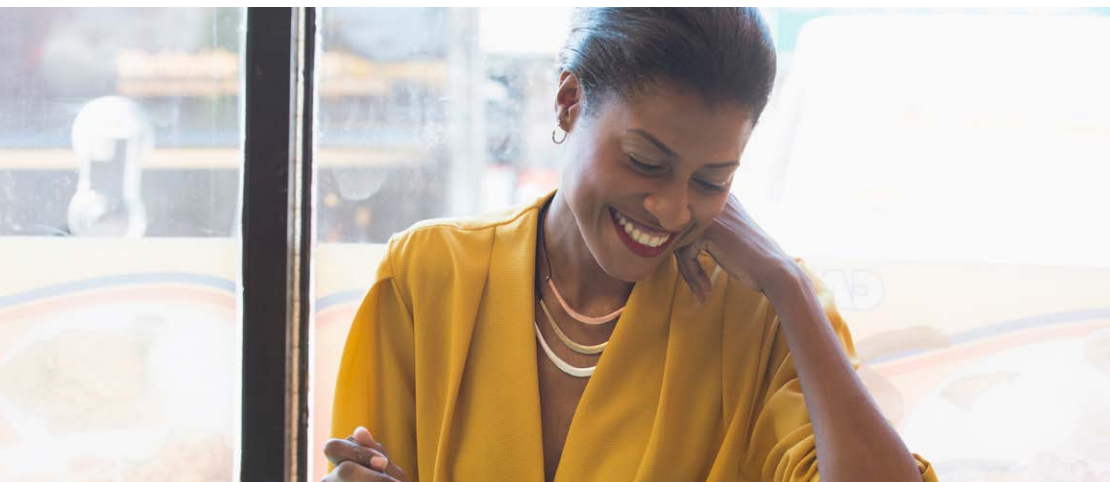
To further this commitment, our executive leadership team has taken prominent steps. First, our CEO, joined 190 of New York's top leaders in signing an "Open Letter from Leaders of the Partnership for New York City" on racial equality. Broadridge joins Bank of America, BlackRock, Bloomberg, Citi, DTCC, Fiserv, Mastercard, Nasdaq, S&P, Wells Fargo, and other companies to speak out against racial injustice and about redoubling our commitments to diversity and inclusion in our own organizations.

Second, Broadridge joined The Board Challenge as a Charter Pledge Partner, a movement to accelerate the pace of change by working together, calling for action, and sharing best practices to increase Black board membership. As an organization that already has two Black board members, Broadridge has pledged to support the goal of true and full representation on all boards of directors, and to support and encourage the broader corporate community to accelerate these important changes.

Broadridge also has an Executive Diversity Committee that meets quarterly and tracks our progress in promoting diversity and inclusion to ensure we deliver on our commitments.

Lastly, Broadridge has adopted the Broadridge Inclusiveness Pledge, driven by our CEO, and adopted by our senior management team, which outlines the strategic principles that guide our commitment to diversity and inclusion.

Learn more about our Inclusiveness pledge at broadridge.com/about/broadridge-inclusiveness-pledge.



Diverse Representation and Recruitment

Fostering a diverse workforce requires action and commitment. We have a clear roadmap to meet our diversity goals and provide opportunities for new and existing associates. This includes growing our pool of diverse talent by hiring and promoting qualified candidates from a variety of underrepresented backgrounds—especially women, people of color, those in the LGBTQ community, and veterans—and creating an environment that allows everyone to perform at their best.

Broadridge has adopted the Broadridge Inclusiveness Pledge, which outlines the strategic principles that guide our commitment to diversity and inclusion.



Our commitment to developing a diverse workforce is evidenced by the fact that every year the human capital goals of our CEO's annual cash incentive award contain a component based on increasing executive diversity. In addition, in fiscal year 2021, diverse workforce goals will be cascaded deeper into Broadridge with the inclusion of annual diversity goals in the cash incentive award for each of the members of our senior management team, including our executive officers.

Broadridge believes that accountability and transparency in the hiring process are important to further a diverse and inclusive workforce. We have made a commitment in this area by holding our teams accountable in the following ways:

- Every executive candidate should be interviewed by a diverse set of individuals.

- All open executive roles should have diverse qualified candidates for hiring consideration.
- A standard set of criteria and review processes have been developed to lessen bias.
- Broadridge ensures equal opportunity for all and provides mobility options for diverse talent, especially in the executive ranks.

University engagement is also a key part of Broadridge's approach to diversity and inclusion, and Broadridge's talent acquisition team actively seeks out talent that will bring new energy, thinking, and experiences to the company. Broadridge participates in diversity days across a number of U.S. academic institutions and has made it a priority to actively recruit at schools with a diverse representation of talent.

Commitment to Supplier Diversity

Our mission is to do business with diverse entrepreneurs (across gender, race, ethnicity, socio-economic background, sexual orientation, veteran, and disability status), as well as mission-driven enterprises. We aim to ensure that our procurement process remains transparent, objective, and non-discriminatory in the selection of suppliers. Through quarterly business reviews with our primary suppliers, we encourage the use of minority-owned or women-owned business enterprises as their suppliers and sub-contractors.

Learn more about our supplier diversity at broadridge.com/about/our-commitment-to-supplier-diversity.

Associate Networks

The MultiCultural Associate Network (MCAN)

MCAN helps support and develop exceptional Broadridge associates representing a wide range of cultures, backgrounds, and identities. The network includes numerous subcommittees that support initiatives, including professional development, networking, communications, community, and market outreach.

The Women’s Leadership Forum (WLF)

The WLF and its multiple chapters across Broadridge work to highlight and support the perspectives of women, advance the careers of female associates, and address existing barriers to achievement in the workplace.

B.Pride

B.Pride is a support network and career advancement group for lesbian, gay, bisexual, transgender, and allied Broadridge associates. The network works to foster a safe and inclusive work environment for all members, while supporting initiatives surrounding education and awareness, community outreach, and personal and professional development.

Broadridge has been recognized among the “Best Places to Work for LGBTQ Equality” by the Human Rights Campaign Foundation every year since 2013.

Doing good for our associates and our community



CERTIFIED 2020

Great Place to Work®
(United States, Canada, and India)



Winner 2013–2020

Best Places to Work for
LGBTQ Equality Human Rights
Campaign Foundation



Winner 2008–2020

Best Companies to Work for in New York
New York State Society for
Human Resource Management



BARRON'S

**Most Sustainable
Companies
2020**

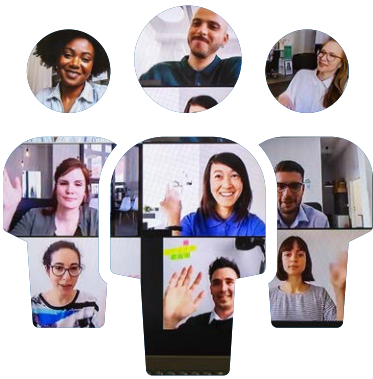
RECOGNIZED 2020

Barron's list of 100 Most Sustainable
Companies in America

CAREER DEVELOPMENT

Learning and Development

In order to truly benefit from a diverse and inclusive workforce, we must provide opportunities to improve cultural understanding. Broadridge provides educational opportunities, including formal classes, training programs, peer groups and events, such as our popular Broadridge Cultural Week, which gives our associates an opportunity to learn about and build on the varying cultural and community norms of our colleagues and clients.



12,000+

EMPLOYEES SPANNING 17 COUNTRIES

Dynamic Leadership and Highly Skilled, Engaged Associates

Across our 12,000+ strong organization—spanning all positions and locations worldwide—our executive leaders and associates are a dedicated, dynamic, highly skilled, and fully engaged team. These qualities are required to consistently exceed expectations, influence markets across the globe, and raise the bar with each opportunity.

All Broadridge leaders belong to peer groups that meet eight times per year to explore leadership development and share their personal leadership experiences by discussing and recommending best practices for creating an inclusive and engaging workplace.

Opportunity for Career Enrichment and Leadership Development

We believe that our associates are among our most important resources. We strive to foster an environment that supports career enrichment and leadership development opportunities. Our leadership development programs all contribute to outstanding success stories. Encouraging and rewarding professional development is a core part of our culture, which is dedicated to investing in its most important asset.

With the right tools, we believe that our associates can accomplish anything. The continuing professional development of our associates plays a key role in enhancing success in business as well as in life. Individual growth and success as an associate come with regular professional learning—it’s what keeps us fresh and motivated. This continued experience assures that our associates will be able to make fantastic contributions to Broadridge, our clients and, most importantly, ourselves.

Broadridge University

Broadridge University is key to a successful business path. More than just a learning management hub, it offers a comprehensive suite of online courses and on-site training. Through Broadridge University, our associates can expand their skills and knowledge.

Broadridge also has a tuition reimbursement program, and we support participation in external learning opportunities. This global business toolkit gives participants an opportunity to learn new skills and competencies, develop core talents, and expand areas of expertise. It helps our associates grow in their jobs, our organization, and the financial services industry.



Talent Acceleration Program

The Talent Acceleration Program is designed to stretch our associates beyond their current roles via cross-functional team projects, developmental experiences, and cross-business networking. The curriculum allows them to develop comprehensive business knowledge, advanced leadership, strategic planning, and cross-functional teamwork skills. Associates gain access to a broad network of resources and accelerate the potential to reach their leadership and career aspirations.



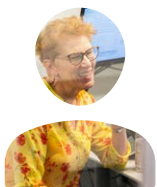
Leading People: Foundations

The Leading People: Foundations program accelerates manager development, associate engagement, and business results for our associates who are new to management. Active participation in this global curriculum facilitates global leader networks and collaboration between business units and geographies, enhancing our vibrant leadership culture.



Leading People: Advanced

Associates already serving as managers have access to our Leading People: Advanced program, which supports the continuous development of essential leadership skills. The focus of the curriculum changes annually and is designed specifically to support experienced frontline leaders.



Individual Leadership

The Individual Leadership program helps our individual contributor associates enhance their influence without formal authority. It helps participants deepen their emotional intelligence, sharpen their communication skills, and enhance their interpersonal effectiveness with key business relationships. Meeting and learning with colleagues from other business units, participants expand their internal networks while allowing them to gain valuable business leadership skills.



Technology Expert Career Framework

The framework provides a comprehensive system of elements to help our associates grow and develop in their careers. It also provides transparency for role requirements to attain higher levels of technical proficiency and overall career development. This program keeps our associates engaged and motivated while enhancing global talent mobility by creating leadership exposure for future opportunities.

ASSOCIATE BENEFITS

Everyone has their own personal and career goals. We strive to create an environment where associates can achieve both. This means giving our eligible associates flexibility and choice in the way they manage their careers, work schedules, and personal and family needs.

In addition to comprehensive healthcare options and a flexible work schedule program, Broadridge also offers associates an employee assistance program (which includes mental health and substance abuse support), backup childcare, paid parental leave, tuition assistance, wellness resources, and financial counseling resources. We review and update these policies and programs regularly to promote the best possible environment for all of our associates.

Our top priority is to ensure the health, safety, and welfare of our associates. We continuously improve our processes and promote comprehensive safety on our work sites. Additionally, we take proactive measures to provide general support that focuses on managing and improving health and wellness. Services include online health assessment tools, digital health coaching, medical decision support tools, chronic disease management tools and programs, and wellness discount programs.



Employee Assistance Program

- Through professional counselors, this service provides confidential off-site counseling to associates and their dependents for such problems as substance abuse, marital difficulties, parent/child conflicts, and many other areas of concern.



Paid Family Leave

- Broadridge provides all eligible associates with nine weeks of paid maternity leave (post-delivery) and six weeks of new parent paid leave for any birth, finalized adoption, and/or foster care placement.



Scholarship Program

- Each year, in association with the National Merit Scholarship Corporation, Broadridge sponsors a college scholarship program for qualified, high-achieving college-bound students who are the children of Broadridge associates.



Tuition Reimbursement

- Regular full-time Broadridge are eligible for reimbursement of tuition costs up to \$5,250 per year.

HEALTH AND SAFETY POLICIES AND PROGRAMS

Regardless of job, position, level, or employment status, we are committed to providing a safe workplace for everyone at Broadridge.

We continuously strive to meet or exceed all laws, regulations, and accepted practices pertaining to workplace safety. We have developed extensive safety policies, standards, and procedures to which all associates are required to comply. Our policies are based on both U.S. Occupational Safety and Health Administration standards and site-specific guidelines to ensure that associates work in a safe and healthy environment. We also have full-time dedicated Safety Managers at certain locations to ensure protocol compliance and protection.

Our rigorous approach to health and safety is ingrained in our culture and mandates safety training personalized to specific roles and responsibilities. We leverage technology to deliver effective training programs and ensure accurate and responsive tracking, including a standardized database with regulatory safety processes.

At our larger production facilities and certain other locations, we house on-site Wellness Centers staffed with physicians, nurse practitioners, and physician assistants who provide a wide variety of medical services at no cost to our associates. We provide care for acute illness and injuries, preventive care, and management of chronic diseases. Furthermore, we offer health webinars covering a wide variety of topics, including work-life balance.



Our Covid-19 Response

As we navigate the Covid-19 pandemic, the well-being of our associates and our ability to fulfill our client service commitments are our highest priorities. Our response began with a work-from-home policy at our Asia-Pacific facilities. As the pandemic became more widespread, we activated our global business continuity plan and instituted work-from-home mandates for all of our non-production associates worldwide. At the same time, we also took strong measures to ensure the safety of our production associates. Working closely with our on-site medical teams and third-party experts, we implemented the most stringent safety and disinfecting measures in our facilities to mitigate the spread of the virus. We removed economic pressure to work by providing extended leave for those who are ill, quarantined, or have a family member in a high-risk group.

The Broadridge Pandemic/Covid-19 Committee continues to track the latest developments of the Covid-19 pandemic. We review guidelines and situational updates daily from the World Health Organization, the Centers for Disease Control and Prevention, the U.S. Department of Health and Human Services, and APAC and EMEA local government health authorities. We continue to be actively engaged with the Securities Industry and Financial Markets Association, providing industry information updates.

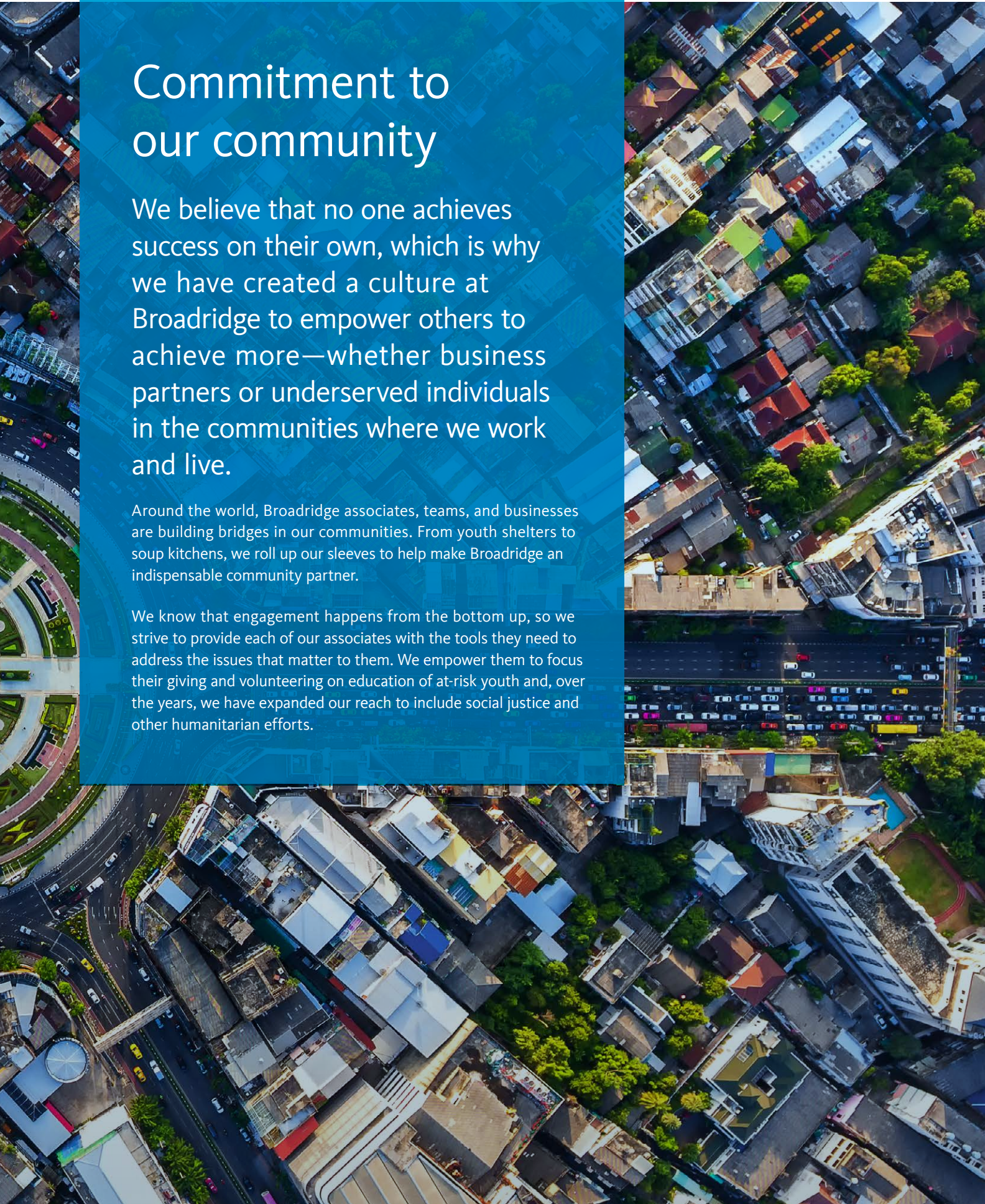
In addition, this year, we have donated to organizations that are responding to the unprecedented need caused by Covid-19 and the global recession in the communities in which we operate.

Commitment to our community

We believe that no one achieves success on their own, which is why we have created a culture at Broadridge to empower others to achieve more—whether business partners or underserved individuals in the communities where we work and live.

Around the world, Broadridge associates, teams, and businesses are building bridges in our communities. From youth shelters to soup kitchens, we roll up our sleeves to help make Broadridge an indispensable community partner.

We know that engagement happens from the bottom up, so we strive to provide each of our associates with the tools they need to address the issues that matter to them. We empower them to focus their giving and volunteering on education of at-risk youth and, over the years, we have expanded our reach to include social justice and other humanitarian efforts.



BROADRIDGE FOUNDATION

At the heart of our social efforts is the Broadridge Foundation, which identifies meaningful ways to engage with our communities to make a local impact. Through the Foundation, we direct resources to charitable causes, develop community-focused action plans, and provide donation-matching, among other efforts. Some of our more notable Foundation-led efforts empower Broadridge associates to lead and participate in projects that matter to them and their communities.

In response to the impact the Covid-19 pandemic and the global recession have had on the communities in which we operate, we have committed to make \$1.5 million in charitable donations. Of that amount, we have made \$1 million in grants to support charities and schools globally in 12 of our largest operating regions. These funds focus on organizations targeting hunger relief for vulnerable populations, as well as critical medical services and equipment and school equipment for remote learning. We have also committed an additional \$1 million in grants to organizations that promote social justice and related causes, including the Thurgood Marshall College Fund and the NAACP Legal Defense and Educational Fund.

With help from hundreds of India-based Broadridge volunteers, more than 2,200 students have successfully transitioned from bonded labor into our “pre-education” system.

PROVIDING EDUCATION IN INDIA WITH THE MV FOUNDATION

Residential Bridge Camps

In partnership with the India-based MV Foundation, Broadridge helps house, feed, and educate children who have been subjected to child labor by providing complete financial support of boarding schools known as Residential Bridge Camps.

With help from hundreds of India-based Broadridge volunteers, more than 2,200 students have successfully transitioned from bonded labor into our “pre-education” system. More than 1,400 children have since graduated into the formal Indian education system, and 75 now pursue higher education with 10 having earned the equivalent of bachelor’s degrees.

Sri Vidhyas Centre for the Special Children

We have also supported the Sri Vidhyas Centre, an institution where physically and mentally challenged children from all backgrounds can learn the skills needed to live a productive life.

- Through contributions from Broadridge and our associates, the school recently constructed a five-story learning center in Hyderabad, India.
- The center is staffed by trained professionals and equipped with classrooms, a residential hostel facility, medical services, a yoga and meditation hall, and an indoor, multipurpose auditorium.
- With Broadridge’s support, the Sri Vidhyas program has grown from serving just eight students over a decade ago to more than 160 students annually.

PROMOTING FINANCIAL LITERACY WITH THE SIFMA FOUNDATION

As a financial solutions provider, we believe that it's critical to lend our expertise to young adults, especially those in underserved communities. Broadridge has partnered with the SIFMA Foundation and its "Invest It Forward" campaign in support of this goal.

- We provide both financial resources and processing infrastructure for educational initiatives, such as the Stock Market Game. In addition, Broadridge associates have volunteered their time in activities, such as facilitating learning in classrooms and reviewing essays submitted by students.
- These programs teach critical financial skills and decision-making strategies to young adults from all walks of life, providing a solid foundation for a career in finance when they exit the classroom.



DEVELOPING STEM SKILLS WITH NPOWER

With our partner NPower, Broadridge aims to provide STEM-related educational opportunities to disadvantaged young adults.

- Through financial underwriting of NPower and the volunteer efforts of Broadridge associates, we help deliver hands-on STEM education for schools and non-profits.
- Through NPower's Community Corps and Technology Service Corps, we provide free technical classes and resources.
- This ultimately helps to strongly position young individuals for a career in information technology.

MATCHING GIFT PROGRAM

Through our Matching Gift Program, Broadridge makes a dollar-for-dollar match of charitable donations made by our associates up to a certain annual amount per associate. This year, we are also supporting the giving of our associates by double-matching charitable donations they make to Covid-19 related causes.

VOLUNTEER TIME OFF

To support our associates' valuable community involvement and participation in volunteer-related activities, Broadridge offers up to three days annually of paid time off for eligible volunteer activities.

Governance Policies and Framework

We believe strong corporate governance practices and policies are integral in fostering a culture of integrity, managing a better-performing and sustainable business, and achieving long-term stockholder value.



Our Board of Directors monitors developments in governance best practices to assure that the Board continues to meet its commitment to thoughtful and independent representation of stockholder interests. Through our framework of policies and processes, we focus on better managing our business and on aligning the interests of management with our stakeholders.

Board of Directors

Our Board is currently comprised of 10 directors. All of the directors, with the exception of our Executive Chairman and Chief Executive Officer, meet the New York Stock Exchange definition of independence. Our Board includes an Independent Lead Director and three committees: Audit, Compensation, and Governance and Nominating, each of which is comprised of independent directors. Each Committee has a charter outlining its responsibilities. Copies of the charters of the committees of the Board are available on our Investor Relations website at [broadridge-ir.com/governance/governance-documents](https://www.broadridge.com/investor-relations/governance/governance-documents).

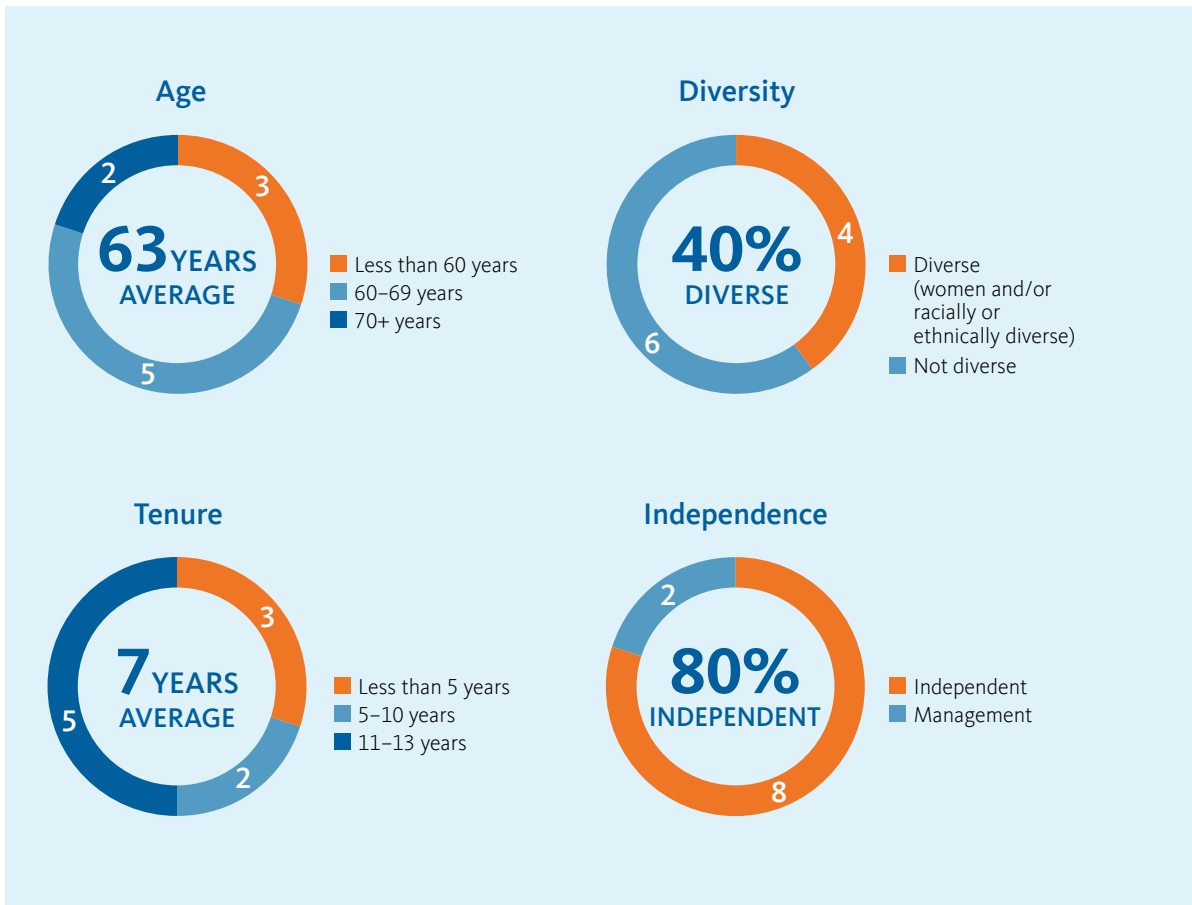


INFORMATION ABOUT OUR BOARD MEMBERS

DIRECTOR	PRIMARY OCCUPATION	COMMITTEE MEMBERSHIPS	DIRECTOR SINCE
 Leslie A. Brun	Chairman and Chief Executive Officer, SARR Group, LLC	Lead Independent Director	2007
 Pamela L. Carter	Retired President, Cummins Distribution Business, division of Cummins Inc.	Audit—Chair Governance and Nominating	2017
 Richard J. Daly	Executive Chairman, Broadridge		2007
 Robert N. Duelks	Former Executive, Accenture plc	Audit Governance and Nominating—Chair	2009
 Timothy C. Gokey	Chief Executive Officer, Broadridge		2019
 Brett A. Keller	Chief Executive Officer, priceline.com LLC	Audit Compensation	2015
 Maura A. Markus	Former President and Chief Operating Officer, Bank of the West	Audit Compensation	2013
 Thomas J. Perna	Chairman of the Board of Trustees, Amundi Pioneer Mutual Fund Group	Audit Governance and Nominating	2009
 Alan J. Weber	Chief Executive Officer, Weber Group LLC	Audit Compensation—Chair	2007
 Amit K. Zavery	Vice President and Head of Platform for Google Cloud, Google, LLC	Audit	2019

The following matrix provides information regarding our directors, including demographic information such as whether they are gender, racially, or ethnically diverse, and certain types of knowledge, skills, experiences, and attributes possessed by one or more of our directors, which our Board believes are relevant to our business and industry.

KNOWLEDGE, SKILLS AND EXPERIENCE	L. BRUN	P. CARTER	R. DALY	R. DUELKS	T. GOKEY	B. KELLER	M. MARKUS	T. PERNA	A. WEBER	A. ZAVERY
 Independence	✓	✓		✓		✓	✓	✓	✓	✓
 Other Public Company Board Experience	✓	✓	✓		✓		✓	✓	✓	
 Financial Services	✓	✓	✓	✓	✓		✓	✓	✓	
 Technology	✓		✓	✓	✓	✓		✓	✓	✓
 Financial Expertise/ Literacy	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
 Executive Experience	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
 Sales/ Marketing			✓	✓	✓	✓	✓	✓		✓
 International Business Experience	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
 Corporate Governance	✓	✓	✓					✓		
 Legal/ Regulatory/ Government		✓	✓					✓		
 Associations/ Public Policy		✓					✓	✓		
BOARD NOMINEE TENURE	L. BRUN	P. CARTER	R. DALY	R. DUELKS	T. GOKEY	B. KELLER	M. MARKUS	T. PERNA	A. WEBER	A. ZAVERY
 Years	13	3	13	11	1	5	7	11	13	1



DEMOGRAPHICS	L. BRUN	P. CARTER	R. DALY	R. DUELKS	T. GOKEY	B. KELLER	M. MARKUS	T. PERNA	A. WEBER	A. ZAVERY
Age	68	71	67	65	59	52	63	69	71	49
Gender Diverse		✓					✓			
Racially or Ethnically Diverse	✓	✓								✓

Race or Ethnicity: Mr. Brun, Ms. Carter and Mr. Zavery self-identify as racially or ethnically diverse. Mr. Brun identifies as Black/African American, Ms. Carter identifies as Black/African American, and Mr. Zavery identifies as Indian/South Asian.

OUR BOARD'S OVERSIGHT ROLE

The responsibilities of our Board include oversight of Broadridge's risk management processes. Our Board has two primary methods of overseeing risk. The first method is through Broadridge's Enterprise Risk Management (ERM) process, which allows for full Board oversight of the most significant risks facing Broadridge. The second is through the functioning of our Board's committees.

Enterprise Risk Management Process

The goal of the ERM process is to provide an ongoing procedure, effected at all levels of Broadridge across each business unit and corporate function, to identify and assess risk, monitor risk, and agree on mitigating action. Central to Broadridge's risk management process is its Risk Committee, which oversees management's identification and assessment of the key risks in Broadridge and reviews the controls management has in place with respect to these risks. The Risk Committee is comprised of executive officers and senior executives of Broadridge.

A subcommittee of the Risk Committee, the Cybersecurity Council, provides additional oversight of Broadridge's cybersecurity risks. The Cybersecurity Council is comprised of senior executives representing a number of disciplines. The Cybersecurity Council meets regularly, and reports on its activities and the progress of its initiatives are regularly provided to the Audit Committee. The Cybersecurity Council also provides a summary of its activities to the full Board.

Management established the ERM process to ensure a complete Broadridge-wide approach to risk over five distinct, but overlapping, core areas:

STRATEGIC	the risks that could impede Broadridge from achieving its strategic vision and goals
FINANCIAL	the risks related to maintaining accurate financial statements, and timely and complete financial disclosures
OPERATIONAL	the risks in the processes, people, and technology Broadridge employs to achieve its strategy, normal business operations, and cybersecurity
COMPLIANCE	the risks related to Broadridge's legal and regulatory compliance requirements and violations of laws
REPUTATIONAL	the risks that impact Broadridge's reputation including failing to meet the expectations of its clients, investors, employees, regulators, or the public

Role of the Board and Committees

In addition to the ERM process, the Board and its Committees oversee specific areas of Broadridge’s risks. The Board delegates oversight for certain risks to each Committee based on the risk categories relevant to the subject matter of the Committee.



Board Oversight of Covid-19 Impact

As the Covid-19 pandemic has developed, the Board has received frequent updates on the impact to Broadridge’s associates, operations and clients, and has reviewed with management the various measures taken to protect our associates’ health and maintain our services to our clients. This Board oversight included a number of additional Board meetings beginning in March.

THE BOARD’S OVERSIGHT OF COMPENSATION PROGRAMS

Our Compensation Committee oversees all compensation provided to Broadridge’s executive officers. The Compensation Committee plays a significant role in the evaluation of Broadridge’s executive compensation strategies and policies in order to ensure that our executive compensation program supports our long-term business strategies and enhances our performance and return to stockholders while not creating undue risk.

SUCCESSION PLANNING AND TALENT MANAGEMENT

Our Board believes that succession planning and talent management are vital to Broadridge's success. The Board is actively engaged and involved in executive officer talent management and provides input on important decisions in this area. The Board reviews Broadridge's executive talent management strategy, which includes a discussion of Broadridge's leadership bench and succession plans with a focus on key positions at the senior officer level.

We are focused on developing an inclusive and respectful work environment that allows our associates to reach their full potential professionally. The success of Broadridge's associates is key to Broadridge's success, and our Board works with management to provide oversight on a broad range of human capital management topics, including culture, compensation, benefits, recruiting and development programs, retention, and diversity and inclusion.

CORPORATE STRATEGY OVERSIGHT

One of the Board's key responsibilities is overseeing Broadridge's strategy. All of our directors have an obligation to keep informed about Broadridge's business and strategy so they can provide guidance to management in formulating and developing plans and knowledgeably exercise their decision-making authority on matters of importance to Broadridge. Our Board regularly discusses key priorities and advises on our long-term strategy.


ESG OVERSIGHT

The Governance and Nominating Committee of our Board oversees Broadridge's ongoing commitment to environmental, social, and governance matters relevant to Broadridge (ESG Matters). Our ESG Committee reports to the Governance and Nominating Committee on ESG Matters. The ESG Committee also assists the senior management of Broadridge in (a) setting general strategy relating to ESG Matters, (b) developing, implementing, and monitoring initiatives and policies based on that strategy, (c) overseeing communications with associates, investors, and stakeholders with respect to ESG Matters, and (d) monitoring and assessing developments relating to, and improving Broadridge's understanding, of ESG Matters.

To learn more, please refer to our Proxy Statement, available at broadridge-ir.com/financials/proxy-statements.

Corporate governance principles and best practices

Our Board adopted Broadridge's Corporate Governance Principles to promote the effective functioning of the Board and its committees, to promote the interests of our stockholders, and to ensure a common set of expectations as to how the Board and its committees, individual directors, and management should perform their functions.



“Sustainability and stockholder value are not mutually exclusive. At Broadridge, they are interdependent, and are underpinned by a culture of integrity and strong corporate governance.”

Tim Gokey
Chief Executive Officer

OUR CORPORATE GOVERNANCE POLICIES REFLECT BEST PRACTICES

We believe good governance is integral to achieving long-term stockholder value. We are committed to governance policies and practices that serve the interests of Broadridge and its stockholders. Our Board monitors developments in governance best practices to assure that it continues to meet its commitment to thoughtful and independent representation of stockholder interests.

The following table summarizes certain corporate governance practices and policies including certain highlighted enhancements approved in 2020:

► Board of Directors	► Executive Compensation
<ul style="list-style-type: none"> • Strong Independent Board Leadership • Majority Independent Directors • Annual Election of Directors by Majority of Votes Cast • Directors Required to Offer to Resign if Do Not Receive Majority of Votes Cast • Robust Stock Ownership Guidelines and Holding Period Requirements • Annual Board and Committee Evaluation Process • Mandatory Retirement Age of 72 • Annual Board Compensation Limits • Audit Committee Members Cannot Serve on More Than Three Public Company Audit Committees • Expected to Attend the Annual Meeting of Stockholders • Lead Independent Director Available to Major Stockholders 	<ul style="list-style-type: none"> • Annual Say on Pay Stockholder Vote ► <i>Comprehensive Clawback Policy applicable in circumstances beyond financial restatements</i> • Prohibition on Hedging, Pledging, and Short Sales of our Securities • Double-trigger Change in Control Plan Requires Termination Following Change in Control ► <i>Amended Change in Control Plan to Shorten Protection Period</i> • No Repricing of or Discount Stock Options • No Dividends or Dividend Equivalents on Unvested Equity Awards • Robust Stock Ownership Guidelines and Retention and Holding Period Requirements • No Employment Agreements • No Excise Tax Gross-ups • Restrictive Covenant Agreements • Modest Perquisites • Significant Portion of executive officer's compensation is Performance Based
► Stockholder Rights	
<ul style="list-style-type: none"> • Proxy Access • No Poison Pill • Stockholders Owning 20% of the Voting Power of Outstanding Shares of Common Stock are able to Call Special Meeting 	

BUSINESS INTEGRITY

Broadridge is committed to conducting its business with uncompromising honesty and integrity. Our standards for fair and ethical behavior for our management, associates and vendors are set forth in our policies.

Code of Business Conduct and Ethics

Broadridge has adopted a Code of Business Conduct and Ethics (Code of Conduct). The Code of Conduct outlines how we conduct ourselves: the policies, expectations, and high standards everyone must follow at all times. Our Code of Conduct is global and applies to everyone at Broadridge (from directors to new hires); associates in every role, at every level, and in all locations must adhere to it. The performance of our services consistent with our values enables many of the leading global institutions to rely on us. Their confidence depends on our uncompromising honesty and integrity.

We require all our associates to complete annual training on our Code of Conduct and review and acknowledge the Code of Conduct annually.

Vendor Code of Conduct

Our vendors play an important role in helping to reach our goals of high ethical standards and compliance with laws and regulations. To that end, Broadridge has adopted a Vendor Code of Conduct that reflects the minimum standards by which vendors are expected to conduct themselves in connection with providing goods and services to Broadridge.

Code of Ethics for Principal Executive Officer and Senior Financial Officers

Broadridge has adopted a Code of Ethics for Principal Executive Officer and Senior Financial Officers (Code of Ethics), which applies to, among others, our Chief Executive Officer, Chief Financial Officer, and Chief Accounting Officer. We expect the highest possible ethical conduct from our Chief Financial Officer and executive officers and, as set forth in our Code of Ethics, we expect them (i) to foster a culture of transparency, integrity, and honesty, and (ii) to ensure that everyone in our organization also fully complies with the Code of Ethics.

Copies of the Corporate Governance Principles, Code of Conduct, and Code of Ethics are available on our Investor Relations website at broadridge-ir.com/governance/governance-documents.

California Transparency in Supply Chains Act and UK Modern Slavery Act Statement and Human Rights Statement of Commitment

Broadridge is committed to combating slavery and human trafficking in its operations and supply chains. To that end, Broadridge has adopted a Human Rights Statement of Commitment to explain the steps it takes to monitor and eliminate the use of, or participation in, slavery or human trafficking throughout its business.

See our Human Rights Statement of Commitment available at broadridge.com/legal/legal-statements.

Political Contributions

We believe it is in the best interests of Broadridge and its stockholders to engage constructively and responsibly in the public policy and political process to advance and protect our long-term interests. Therefore, we participate in the development of public policy that addresses issues affecting our industry, business, products, clients, associates, and communities.

We do so in various ways, including educational outreach to elected officials on key public policy issues related to Broadridge's business, facilitating voluntary political giving by eligible associates and directors through the Broadridge Financial Solutions Political Action Committee, and membership in trade associations that help to advance our business objectives.

Learn more about our Political Contributions including our Political Contributions Policy at broadridge.com/about/governance.

DATA SECURITY AND PRIVACY

We are proud of our reputation for information protection and security. Data security is fundamental to our success and mitigating information security risks in a constantly changing environment is something Broadridge takes seriously. Broadridge handles confidential and proprietary information in accordance with its client contracts and internal policies and only provides information to others with a need to know in connection with their job responsibilities and subject to confidentiality, appropriate security, and restrictions on use. To prevent unauthorized access to sensitive information, we practice good physical, technical, and administrative security, protecting documents, limiting access to facilities, systems and data centers, and following proper disposal methods.

Security Certifications

Our advanced technology, combined with a comprehensive information security program, validated by ISO 9001/27001 certification and the Cloud Security Alliance Security Trust Assurance and Risk Level 2 Certification, and externally assessed as required by the certification process, is aligned with the National Institute of Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity. We maintain policies, standards, and controls aligned with the components of our information security program. Comprehensive security awareness training and testing is administered annually to all our associates and outside contractors who have access to our systems. Our clients trust Broadridge to securely process and distribute data and investor information that drives their businesses and the global marketplace.

Certain of Broadridge's products and services are examined at least annually against the System and Organization Controls (SOC) reporting framework by independent third-party auditors. These examinations cover controls for data security as applicable to in-scope trust service criteria for each service. As a result, Broadridge has received SOC 1 Type 2 and SOC 2 Type 2 reports covering these products and services.

Learn more about our security capabilities at broadridge.com/security-capabilities.

Global Privacy Program

We are also committed to respecting privacy. Our Global Privacy Program is designed to help ensure that we handle personal information appropriately. We are committed to fair information practices, assuring appropriate use of personal information in compliance with U.S. and international privacy laws, as well as the appropriate handling of client information in accordance with client contracts.

We have a number of privacy and information security resources and professionals to help ensure all our associates are handling confidential information safely and securely. These include:

- **Privacy Training**—All new hires are required to have privacy training, and refresher courses must be taken annually by all associates.
- **Information Security Resources**—We provide our associates a wide variety of helpful tools, guidance, policies, and standards relating to information security and have Business Information Security Officers who have been assigned to all business units and support functions to support and promote information security compliance.
- **Global Privacy Policy and Officers**—Our Global Privacy Policy, which is available at broadridge.com/about/governance, outlines requirements for the collection, use, maintenance, security, and disclosure of personal information by Broadridge associates around the globe and our Privacy Officers across the company are available to provide guidance and support.

Learn more about our privacy practices at broadridge.com/legal/privacy-statement-english.

PATENT PROTECTION

We own a portfolio of U.S. and non-U.S. patents and patent applications in order to protect our intellectual property rights, in which we continually invest significant time, labor, and other resources. We also own registered marks for our trade name and own or have applied for trademark registrations for many of our services and products. We regard our products and services as proprietary and utilize internal security practices and confidentiality restrictions in contracts with associates, clients, and others for protection. We believe that we are the owner or, in some cases, the licensee, of all intellectual property and other proprietary rights necessary to conduct our business.

A list of some of the products and/or services of Broadridge and/or its affiliates that are protected by patents can be found at broadridge.com/legal/legal-statements.

BUSINESS CONTINUITY PLANNING PROGRAM

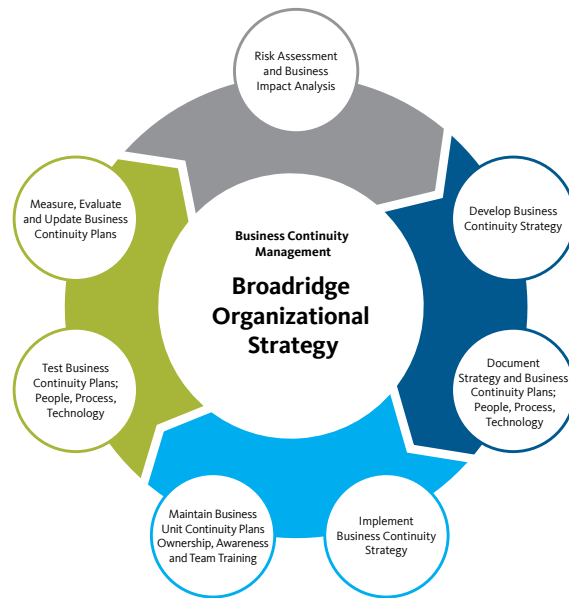
Our business units are committed to establishing and maintaining comprehensive disaster recovery and business continuity planning programs, which ensure the timely and effective recovery of mission critical business functions. Our business continuity plans have been developed based on guidelines of the Disaster Recovery Institute International.

Business Continuity Plans

Our business continuity plans have been developed to:

- Provide an organized and consolidated approach to managing response and recovery activities following any unplanned incident or business interruption.
- Provide prompt and appropriate response to any unplanned incident, such as fire, regional disasters, pandemic, or loss of utilities services, thereby reducing the impacts resulting from short-term business interruptions.
- Recover essential business operations in a timely manner, increasing the ability of the company to recover from a damaging loss to the facility.
- Provide a smooth transition back to the primary production facility after the incident has been resolved.

Our BCP Program is staffed with full-time, highly qualified disaster recovery and business continuity planning professionals. Testing and review of the plan with recovery team members are required annually and when material changes have been made to the plan.



Some of the major components of this program include:

- Business Impact Analysis
- Risk Assessment
- Disaster Avoidance Facility Infrastructure
- Crisis Management
- Alternate Processing Sites
- System and Data Backup
- Work Group Recovery
- Disaster Recovery Testing.

The foundation of any disaster recovery and business continuity plan consists of a solid disaster avoidance strategy. Our avoidance strategy includes (i) power protection, (ii) facility security and (iii) data and infrastructure backups.

At Broadridge, business continuity planning is a continuing process, not a project. The BCP Program is strategically developed involving associates at all levels within the company. The BCP Program includes ongoing emergency planning with local, state, and federal authorities to ensure the safety of human life and to minimize disruption of service to our clients.

OUR SOLUTIONS ENABLE GOOD GOVERNANCE

Our governance and communications solutions aim to promote good corporate governance across the investment community. Our communications solutions help ensure voting participation by shareholders and help our clients deliver impactful communications to investors.

Our Corporate Governance Solutions

- **Proxy management services for banks and broker-dealers.** We handle proxy materials distribution and voting process for banks and broker-dealers and provide a complete outsourced solution for the processing of international proxies with the ability to process proxy voting in over 120 international markets.
- **Proxy management services for institutional investors.** We provide institutional investors with a suite of services to manage the entire proxy voting process. ProxyEdge® is our innovative electronic proxy delivery and voting solution for institutional investors and financial advisors that integrates ballots for positions held across multiple custodians and presents them under a single proxy.
- **International solutions.** We provide regulatory and communications solutions addressing clients' needs within Europe, the Middle East and Africa, and the Asia-Pacific region. Our offerings help clients address evolving requirements for stronger governance, greater transparency, and improved insights derived from data analytics. Our Global Proxy solution includes services similar to those provided by our U.S. and Canadian proxy businesses. We have designed and implemented a Shareholder Rights Directive II component of our Global Proxy solution for both custodians and wealth managers.
- **Governance and communications services to corporate issuers.** We are the largest processor and provider of investor communication solutions to public companies through the performance of beneficial proxy services. We also provide disclosure solutions and transfer agency services providing corporate issuers a single source solution that spans the entire corporate disclosure and shareholder communications lifecycle.

Our ESG Solutions

We support the financial markets by providing critical infrastructure which powers investing, corporate governance, and communications. Balancing success with a commitment to the world around us, we leverage data, innovation, and expertise to prioritize ESG issues while driving growth. Whether our clients are focused on managing investments, ensuring compliance, or engaging shareholders, we help uncover opportunity—and manage risk—across the ESG landscape.

Learn more about how we are assisting our clients with our ESG solutions at

broadridge.com/financial-services/corporate-issuer/issuer/build-your-brand-and-engage-shareholders/esg-advisory-services.

Corporate Information

ABOUT BROADRIDGE

Broadridge Financial Solutions, Inc. (NYSE: BR), a \$4 billion global Fintech leader, is a leading provider of investor communications and technology-driven solutions to banks, broker-dealers, asset and wealth managers, and corporate issuers. Broadridge's infrastructure underpins proxy voting services for over 50% of public companies and mutual funds globally, and processes on average more than U.S. \$8 trillion in fixed income and equity securities trades per day. Broadridge is part of the S&P 500® Index and employs over 12,000 associates in 17 countries.

CORPORATE HEADQUARTERS

Broadridge Financial Solutions, Inc.
5 Dakota Drive, Lake Success, New York 11042
516-472-5400

CORPORATE GOVERNANCE

Visit our Investor Relations page at broadridge-ir.com to see our key corporate governance documents, including our Code of Business Conduct and Ethics, Code of Ethics for Principal Executive Officer and Senior Financial Officers, Corporate Governance Principles, Audit Committee Charter, Compensation Committee Charter, and Governance and Nominating Committee Charter.

ANNUAL REPORT, FORM 10-K, AND OTHER REPORTS AND FILINGS

Our 2020 Annual Report is available online on our Investor Relations page at broadridge-ir.com. Our annual report on Form 10-K, quarterly reports on Form 10-Q, current reports on Form 8-K, proxy statement, statements of change in beneficial ownership and other SEC filings, and amendments to those reports, statements and filings, are available, without charge, on Broadridge's website as soon as reasonably practicable after they are filed or furnished electronically with the SEC. Copies also are available, without charge, from Broadridge Investor Relations at: 5 Dakota Drive, Lake Success, New York 11042, or at BroadridgeIR@broadridge.com.

TRADEMARKS, SERVICE MARKS, AND NAMES

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FORWARD-LOOKING STATEMENTS

This Report may contain "forward-looking statements" within the meaning of the Private Securities Litigation Reform Act of 1995. Statements that are not historical in nature and which may be identified by the use of words such as "expects," "assumes," "projects," "anticipates," "estimates," "we believe," "could be" and other words of similar meaning, are forward-looking statements. These statements are based on management's expectations and assumptions and are subject to risks and uncertainties that may cause actual results to differ materially from those expressed. You should carefully read the "Risk Factors" section of our 2020 Form 10-K for a description of certain risks that could cause our actual results to differ from these forward-looking statements.

Broadridge disclaims any obligation to update or revise forward-looking statements that may be made to reflect events or circumstances that arise after the date made or to reflect the occurrence of unanticipated events, other than as required by law.

Information contained in the websites referenced in this report is not incorporated into or part of this report.