

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 shareholder value. At Broadridge, we put this idea to work not only in our internal policies and practices but also in our communities, just as we do for our valued clients. We prize our ESG efforts, which make us a stronger company and help us to create deepened relationships and a better world to live in.

“At Broadridge, our focus on integrating ESG into our business strategy benefits our clients, our associates and our investors, and has created a financially sustainable business model that plays an important role in our long-term growth.”

Christopher J. Perry
President



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 greenhouse gas (GHG) emissions is through the services we perform on behalf of our clients—by driving digitization and reducing paper mailing materials. We are committed to helping our clients through our smart supply-chain management, while also improving our own energy consumption and waste production behaviors.



Social [▶ page 14](#)

At Broadridge, our associates are our greatest asset. We focus on attracting and retaining the most talented associates in the industry. We also want to ensure that we create an environment where every associate can bring their best self to a workplace that fosters engagement, diversity and a focus on client service. Diversity, equity 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.



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 shareholder value. Strong corporate governance starts with an independent, experienced and diverse Board of Directors (Board). Through our framework of policies and processes and Board oversight, we focus on better managing our business and on aligning the interests of management with those of our stakeholders. We also support strong corporate governance through our governance and communications solutions, which provide the critical infrastructure underlying the corporate governance process across the investment community. Our solutions also help our clients enhance their ESG practices and meet their ESG goals.

A message from Broadridge CEO Tim Gokey

October 2021



At Broadridge, we have always believed in doing well by doing good. We are committed to supporting our associates, clients, investors, and the communities where we live and work to create the best long-term outcomes for all. Sustainability is integrated into our culture and business strategy. Focusing on environmentally sustainable practices and products, creating the most engaging and supportive workplace for the most talented associates in our industry, and ensuring we have strong governance practices are core to our environmental, social and governance strategy.

In this report, you will find information on Broadridge's ESG strategy and progress, which we have communicated in line with the Sustainability Accounting Standards Board framework and the United Nations Sustainable Development Goals. Broadridge's key ESG initiatives include: reducing GHG emissions through digitization and decreasing paper mailings; supporting our people and their families through the Covid-19 global health crisis; fostering a diverse, equitable, and inclusive workplace; and enhancing our strong governance practices, including Board of Directors oversight of ESG matters. Going forward, we will

Ready for Next

continue to consult with our stakeholders as we evolve our sustainability strategy, while aiming to align with the guidelines of the leading ESG frameworks.

We have made significant progress in our ESG efforts over the past year. On the environmental front, we are on track to achieve our 2025 target of a 15% reduction in our absolute Scope 1 and Scope 2 GHG emissions from our 2019 baseline. In response to the pandemic, we have developed policies to protect associates from financial hardship associated with quarantines or contact tracing, actively promoted vaccination by providing paid time off to get vaccinated and offered Covid-19 vaccines in our on-site medical clinic at our Edgewood, New York facility. In connection with our diversity, equity and inclusion initiatives, we have appointed a Chief Diversity Officer, increased diverse senior leadership, evolved our recruiting and training efforts, and revitalized our Executive Diversity Council and Associate Networks. We have also increased diverse representation on our Board of Directors with the appointments of Melvin Flowers and Annette Nazareth, who have expertise across a wide set of key financial, technology, governance and regulatory topics. We have also received a high score in the CPA-Zicklin Index on Political Disclosure and Accountability, including being named one of the “most improved” S&P 500® companies.

Today, in light of the ongoing pandemic, the global climate crisis, and the call for racial and social justice, we are reminded of our humanity. We are reminded that ESG is not just a corporate strategic trend, but far more importantly, it is the right thing to do for our people, our industry, our investors, and our communities. As we continue to drive our ESG efforts, we invite you to join us on this journey.

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.



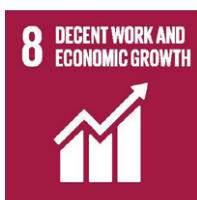
SDG #4 works to ensure inclusive and equitable quality education and promotes lifelong learning opportunities for all.

- 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.”

At Broadridge, we believe access to a quality education is a core human right. By financing the educational advancement of our associates, donating resources to charitable causes dedicated to education, and volunteering our time to tutoring students, we promote equal access to quality education for all people. We also sponsor college scholarships for the children of our associates and offer tuition reimbursement for full-time employees.

Broadridge has long-standing partnerships with community organizations, such as the India-based Mamidipudi Venkatarangaiya Foundation, which supports and educates children in India who have been subjected to child labor. We also support the Sri Vidhyas Centre, an institution in India where physically and mentally challenged children from all backgrounds can learn the skills needed to live a productive life.

Additionally, we partner with the Securities Industry and Financial Markets Association (SIFMA) Foundation and NPower to provide educational opportunities for young adults in underserved communities, and we provide scholarships through the Thurgood Marshall College Fund.



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. These training and development opportunities include, but are not limited to, ethical standards and compliance; diversity, equity and inclusion; technology skills; and a wide variety of leadership and professional skills offerings to support career growth.

Our Associate Networks are key 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.

In addition, with our partner NPower, Broadridge aims to provide STEM-related educational opportunities to disadvantaged young adults. NPower creates pathways to prosperity by launching digital careers for military veterans, their spouses, and young adults from underserved communities.



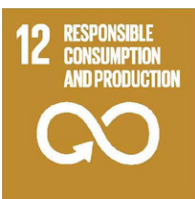
SDG #10 focuses on reducing inequalities within and among countries.

- 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. Our commitment to diversity, equity and inclusion starts with our dedicated executive group, the Executive Diversity Council, including our Chief Diversity Officer, and extends through our passionate Associate Networks: The Multicultural Associate Network, the Women’s Leadership Forum, and B.Pride.

Our CEO, Time Gokey, has 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 Partner, a movement to accelerate change and increase Black board membership.

For more information on our diversity, equity and inclusion (DEI) initiatives and commitments, please see “Diversity, Equity and Inclusion” starting on page 18 of this report.



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 Sustainability Report.

Broadridge aims to increase the adoption of environmentally sustainable practices around the procurement and consumption of natural resources, as well as the production of our products. Initiatives that we have already adopted related to responsible consumption and production include acquiring a solar energy facility to offset carbon, certifying that all Broadridge paper products are sourced from responsibly managed forests, and implementing recyclable packaging film encasing our proxy materials and other paper mailings. We are not only reducing our GHG emissions but also minimizing our clients’ carbon footprints 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 also have a strong record of mitigating our GHG emissions, minimizing waste, and spearheading awareness initiatives throughout our company and in our communities. 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 solutions.

Improving our industry's environmental footprint

We strive to improve both our clients' environmental footprints and our own through our client solutions, our eco-conscious facility practices, supply-chain management, and community engagement.

As we all continue to face the threat of climate change, we at Broadridge are committed to helping our clients reduce their environmental impact. Some of our initiatives include reducing GHG emissions by driving digitization of the communications we process for our clients, and reducing paper usage by decreasing the 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 solutions, we strive to utilize natural resources in an environmentally conscious, socially responsible, and economically feasible way.

"Broadridge's network reach helps drive digitization across the financial services industry to benefit our clients, our company, and the environment."

Michael S. Tae
Chief Transformation Officer,
Investor Communication Solutions



DIGITAL AND ECO-FRIENDLY SERVICES

We are well positioned to lead in the connection between digital-first products and environmental sustainability. Our ever-expanding innovative products help our clients lower their environmental footprints within the traditional “take, make, and throw away” model in order to reduce waste and mitigate GHG emissions. We offer numerous e-delivery products that replace our paper communications as well as suppression methods that decrease mailed paper volumes. The following solutions promote sustainability within the linear supply chain model by reducing resource input and waste output.

Digital Proxy

Our web-based and mobile app proxy voting solutions enable shareholders to vote from any device securely and quickly. This proxy season, nearly 96% of the voted shares processed by Broadridge were cast electronically through Broadridge’s platforms for retail and institutional shareholders (including ProxyEdge®, proxyvote.com and the automated voice response) and we are continuing to drive digitization with our preference management solutions. We have already eliminated over 80% of the paper communications sent on behalf of corporate issuers and mutual funds through communications digitization and other alternatives. As a result, issuers and funds saved an estimated \$2.6 billion on printing and postage costs in comparison to mailing proxy packages. This reduced the environmental impact and drove down our Scope 3 GHG emissions (i.e., indirect emissions over the proxy delivery supply chain).

Virtual Shareholder Meetings

Virtual shareholder meetings (VSMs) enable more accessible company and shareholder meetings and make shareholder participation easier. VSMs reduce meeting costs, including travel and security costs. They also reduce GHG emissions resulting from travel in connection with physical meetings. In fiscal year 2021, we conducted almost 2,400 VSMs, up from over 1,500 a year ago. Our investments in technology and systems capacity have facilitated over 95,000 shareholders and guests to attend meetings in the first half of calendar year 2021.

To learn more, see our 2021 Proxy Season Key Statistics and Performance Rating at broadridge.com/_assets/pdf/broadridge-proxy-season-stats-2021.pdf.

Regulatory Mutual Fund Communications

Leveraging proprietary technology, data-driven fulfillment and a central regulatory library, Broadridge helps financial services firms and mutual funds simplify investor disclosure and delivery obligations. Our suite of paper elimination services include capabilities to deliver electronically and eliminate duplicate distribution of regulatory communications such as annual reports, semi-annual reports and prospectuses.

Broadridge Customer Communications Cloud

The Broadridge Communications CloudSM is an end-to-end communications and customer engagement platform for creating, delivering and managing essential omni-channel communications. This solution connects to the digital channels that consumers use daily and leverages a high-scale, high-performance print-and-mail network. We actively partner with our clients to help transition consumers from print to digital, while amplifying the value of their digital communications experiences and reducing their carbon footprint. Our digital communications engage customers, turning static communications into dynamic and personalized experiences.

Broadridge is committed to continue making significant, ongoing investments in technology to increase levels of efficiency and sustainability. For example, we are in the process of creating a carbon calculator that will analyze the environmental benefit of digitization. The calculator is designed to quantify the carbon savings passed directly to our clients from the use of our digital communications solutions. It also identifies for our clients key areas of opportunity for future carbon savings from digitization and mailing suppression.

RESPONSIBLE AND ECO-FRIENDLY SUPPLY CHAIN

We take pride in creating high-quality communications products that are safe and accessible for all, while simultaneously mitigating our environmental footprint throughout the supply chain. Not only do we hold ourselves accountable to environmental management principles, but also we expect our vendors to do the same. We use our position as a buyer to further our commitment to environmental responsibility and extend this focus to our vendors through our Vendor Code of Conduct available at broadridge-ir.com/governance/governance-documents.

Responsible Paper Sourcing and Disposal

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

Forest Stewardship Council (FSC)



Programme for the Endorsement of Forest Certification (PEFC)



The Sustainable Forestry Initiative (SFI)



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

Furthermore, we continually strive to print as many applications as possible on blank white paper stock, to minimize the need to utilize pre-printed paper stocks. This approach eliminates the need to transport paper to an offset printer/paper converter, which in turn reduces our carbon footprint.

In 2021, at our El Dorado Hills, California, facility alone, we recycled over 2,500 tons of paper. This paper includes pre-consumer recycled waste, such as paper rolls, particle boards, office paper, envelopes and cardboard, which otherwise would have been disposed of in a landfill.

Eco-Conscious Printing and Ink Usage

We continuously look to improve operations efficiencies while also reducing our carbon footprint.

We do this by consistently seeking opportunities to upgrade older equipment with more efficient technology. For example, in recent years, we replaced nearly all of our continuous form toner-based printers with more energy efficient inkjet printers. As inkjet printers have significantly more capacity than toner-based printers, we are able to produce more output in a smaller footprint. The inkjet printers also use substantially less energy than toner-based printers by optimizing efficiencies in heating the toner and fusing it to paper. As a result of the use of inkjet technology, we now require less air conditioning capacity to cool the print rooms.

Recyclable Polywrap

Our proxy materials 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 are all stewards of the environment and we take this responsibility seriously

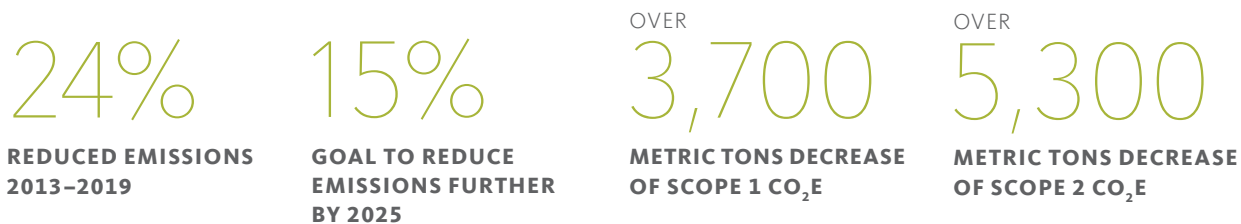
Our commitment to reducing paper and waste, mitigating carbon emissions, and managing our energy consumption are more than just words; we put our commitment into action. We operate daily with a goal to diminish our environmental impact through sustainable consumption and production in all of our facilities.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



GHG EMISSIONS

We initiated our GHG reduction journey in 2014, when we made significant capital investments to decrease our energy use. In 2016, we acquired our El Dorado Hills printing production operation, which included a natural gas-fired cogeneration facility and solar energy facility. Broadridge’s solar array produced an estimated 11.5 GWh of energy and has offset more than 16,000 metric tons of carbon since its commission in 2011. We also entered into a Net Energy metering agreement with a local utility in 2012 through our El Dorado Hills facility. This allows us to export solar power to support the area’s energy grid during peak usage while crediting us at higher peak and partial-peak rates. We are able to save costs and use credits when the solar is offline.

In addition, we achieved an absolute Scope 1 and Scope 2 GHG emissions reduction of 24.2% from 2013 to 2019. From May 2020 to April 2021, our gross global Scope 1 emissions were 10,294 metric tons CO₂e and our Scope 2, location-based emissions were 34,212 metric tons CO₂e, compared to 14,048 metric tons of gross global Scope 1 and 39,574 metric tons of location-based Scope 2 emissions from May 2019 to April 2020 (a decrease of over 3,700 metric tons of Scope 1 CO₂e and over 5,300 metric tons of Scope 2 CO₂e). While we are pleased with the great progress we have made, we still see an opportunity to expand these efforts. We are working to achieve an additional 15% reduction in absolute Scope 1 and 2 GHG emissions from our 2019 baseline by 2025. Today, we are on track to achieving our target through numerous initiatives, including continuous “greening” of the electrical grid, office closures, and reduced electricity consumption at our printing facilities.



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, New York City office is certified LEED Gold. LEED is the leading program for green building certification worldwide. 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.

Heating, Ventilation and Air Conditioning (HVAC) Units

We have installed 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.

Eco-Friendly Lighting Initiative

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.

In our Edgewood facility, we replaced 4,000 T8 parabolic three-bulb fixtures with LED fixtures, thus reducing 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.

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) is a not-for-profit charity that runs the global disclosure system for investors, companies, cities, states and regions to manage their environmental impacts. Broadridge has a long-standing commitment to environmental reporting and began providing publicly available CDP reports in 2008.

View our CDP reports at [cdp.net](https://www.cdp.net).



ASSOCIATE ENVIRONMENTAL AWARENESS INITIATIVES

Our best practices are cultivated in an environmentally conscious atmosphere. Our passionate associates promote education and awareness by providing peer engagement opportunities in environmental sustainability initiatives. In doing so, associates address environmental challenges that are important to our business, values and communities. These 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 and El Dorado Hills production sites. Since their implementation in 2019, the Edgewood station alone has mitigated 9,704 kg of GHG emissions, which is approximately equal to the emissions diverted from planting 249 trees and letting them grow for 10 years.

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 certified by Green Seal, 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.

Recycling Programs



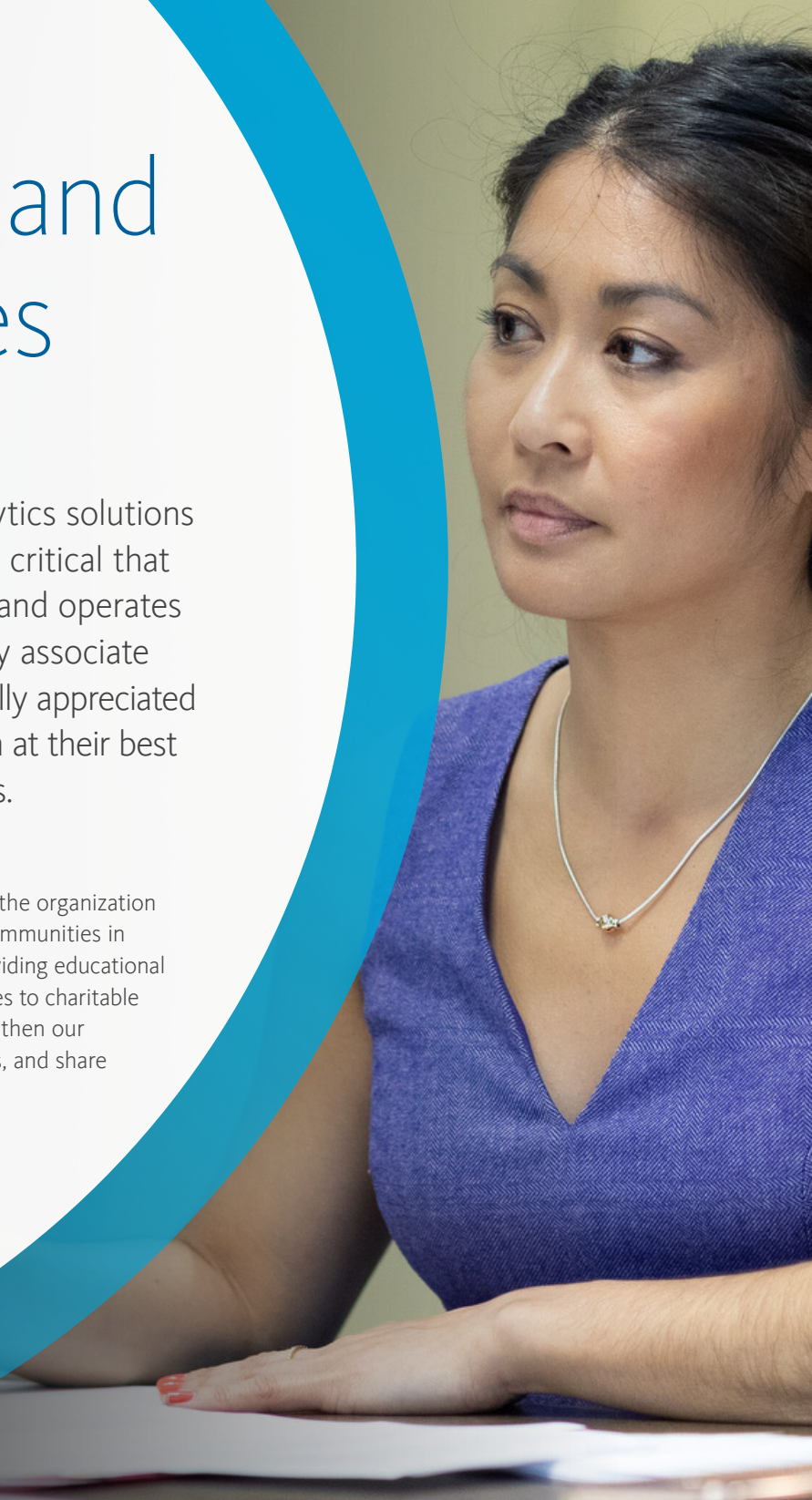
- Broadridge has recycling initiatives with recycling and removal vendors to reuse and properly dispose of items, including fluorescent lightbulbs, batteries, toner cartridges, scrap metal, used oil and other materials. For example, our oil is sent to be re-refined, our burnt lamps, ballasts and the waste captured from microfiche film processing are recycled, and our scrap metal is sold for reuse. Associates can recycle their office and cafeteria products, including paper, printer cartridges, cans, bottles, and cardboard. We provide electronic waste recycling bins for products such as computers, office printers, servers, cell and landline telephones, microwaves, and fax machines.

We also 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.

Supporting Our People and Communities

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, allow them to perform at their best and contribute to Broadridge's success.

Our goal is to ensure our associates at every level of the organization represent the diversity of the clients we serve and communities in which we work. By partnering with communities, 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 success begins with our associates and their commitment to our clients. Through our focus on career development and engagement, we are creating an environment to attract and retain the best talent in the industry.”

Richard Stingi
Chief Human Resources Officer



Associate Engagement

We regularly conduct surveys and focus groups to assess associate engagement and determine if and how perspectives have changed over time. Our surveys and focus groups allow our associates to share their views on our workplace and the importance of various aspects of work life, among other topics. The themes and insights are shared with our Executive Leadership Team and have been instrumental in shaping our approach to planning for the future of our workplace. During the Covid-19 pandemic, Broadridge has employed an active listening strategy to invite associates to share their experiences and needs. We also designed a flexible Connected Workplace model largely based on feedback received from associate surveys and focus groups. Insights from these efforts have informed the way Broadridge has supported associates during the global crisis and our vision for the future of our Connected Workplace.

In 2021, our employee engagement score rose 8% from 2020, with over 80% of associates surveyed saying Broadridge is a great place to work. For the third consecutive year, we received U.S. and Canada certification from Great Place to Work® for our outstanding workplace culture, and received certification in India for the fourth consecutive year and first-time certification in the United Kingdom, Ireland and Russia. The Great Place to Work Institute is a global authority on high-trust, high-performance workplaces.

OVER
80%
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BROADRIDGE IS A
GREAT PLACE TO WORK

8%
INCREASE IN ASSOCIATE
ENGAGEMENT SCORE
FROM 2020



CERTIFIED 2021

Great Place to Work®
(United States, Canada, India, Ireland, Russia, and the United Kingdom)



WINNER 2008–2021

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



WINNER 2013–2021

Best Places to Work For LGBTQ Equality
Human Rights Campaign Foundation



Great Place to Work®
Best Workplaces™ in
Fintech (India)



Great Place to Work®
Best Workplaces™ for
Women (India)



Great Place to Work®
Best Workplaces™ in Financial
Services & Insurance (Canada)



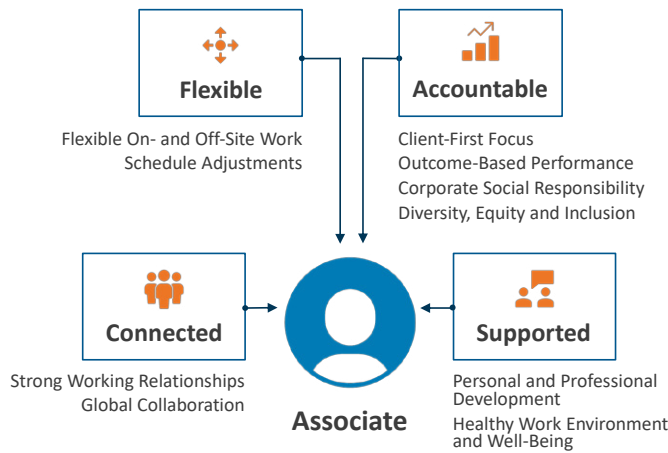
Great Place to Work®
Best Workplaces™ in
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Connected Workplace

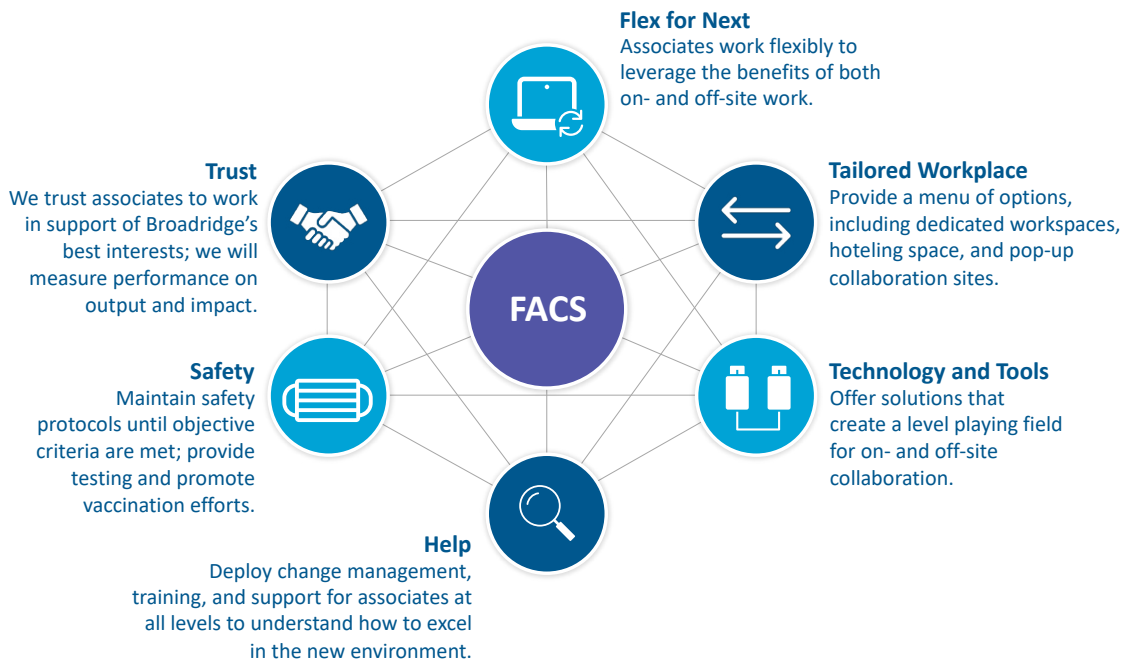
After addressing the initial surge of the Covid-19 pandemic, we are now focused on running our business effectively in the new work from home paradigm while preparing for the future. We are committed to creating the most engaging workplace for the most talented associates in our industry. We created our Connected Workplace framework to unlock the benefits of a significantly larger remote workforce, while ensuring we offer the right balance of virtual and safe face-to-face activities for associates and clients.

Our Connected Workplace is grounded in the following concepts: Flexible, Accountable, Connected and Supported. With on-site and off-site work and a level playing field, we strive to provide work flexibility by balancing the needs of our clients, teams and associates.

Our Commitment to our Associates: Flexible, Accountable, Connected and Supported (FACS)



Guiding Principles



DIVERSITY, EQUITY AND INCLUSION

We are dedicated to fostering a diverse, equitable, inclusive and healthy environment. As a leading provider of technology, communications, and data and analytics solutions to businesses around the world, it is critical that we understand, embrace, and operate in a multicultural environment. Every associate has unique strengths, which, when fully appreciated and embraced, allow individuals to perform at their best, leading to our success.

Our goal is to ensure our associates at every level of the organization represent the diversity of the clients we serve and communities in which we work. We pursue both top-down and bottom-up approaches to advancing diversity, equity and inclusion initiatives and values into our culture. This is reflected in the varying backgrounds of our over 13,000 associates working in 21 countries around the globe.

“We are committed to being intentional to continuously evolve our efforts to create a more equitable and inclusive environment and culture in which every associate feels connected to our journey. We are working diligently and collaboratively to ensure Broadridge is a company – a community – that recognizes and celebrates diversity in all its dimensions.”

Naadia Y. Burrows
Chief Diversity Officer

Oversight of Diversity, Equity and Inclusion

We have an 18-member Executive Diversity Council representing all of our regions and our Associate Networks, which is chaired by our President. Our Executive Diversity Council meets quarterly and provides insight and recommendations on critical diversity, equity and inclusion-related opportunities and issues. The Executive Diversity Council is also responsible for measuring our progress against our goals.

The Compensation Committee of our Board of Directors has oversight over human capital management matters, including initiatives and programs that concern our culture, talent, recruitment, retention and associate engagement. In addition, our Chief Human Resources Officer and/or Chief Diversity Officer report to our Board periodically on our initiatives and progress on diversity, equity and inclusion practices. The Board annually reviews the company’s executive talent, including the company’s leadership bench and succession planning.



Commitment to Diversity, Equity and Inclusion

To further our commitment to diversity, equity and inclusion, 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 joined Bank of America, BlackRock, Bloomberg, Citi, DTCC, Fiserv, Mastercard, Nasdaq, S&P, Wells Fargo and other companies to speak out against racial injustice and we are redoubling our commitments to diversity, equity and inclusion in our own organization.

Second, Broadridge joined The Board Challenge as a Charter 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 three 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.

In 2020, we appointed a Chief Diversity Officer, whose role is to design and implement a holistic diversity, equity and inclusion strategy, and partner with our business units to develop the resources and competencies needed to drive this strategy. Our Chief Diversity Officer is a member of our Executive Leadership Team as well as the Executive Diversity Council. In those roles, she provides regular updates to our Chief Executive Officer and Executive Leadership Team. In addition, the Chief Diversity Officer serves as an advisor on global initiatives, such as our Associate Networks and our recruitment and compliance efforts. The Chief Diversity Officer is also responsible for building cross-company resources to enable sharing of insights and best practices.

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

We also have adopted the Broadridge Inclusiveness Pledge, driven by our Chief Executive Officer, and adopted by our senior management team, which outlines the strategic principles that guide our commitment to diversity and inclusion. Furthermore, our Corporate Governance Principles reflect the belief of our Board that a talented and diverse workforce is a key competitive advantage and are a directive to management to develop a population of associates with diverse backgrounds and perspectives, including but not limited to professions, races, cultures, ethnicities, genders, sexual orientations, and physical and mental ability.

Learn more about our Inclusiveness Pledge at broadridge.com/about/broadridge-inclusiveness-pledge and our Corporate Governance Principles at broadridge-ir.com/governance/governance-documents.



The following chart illustrates the key elements of developing and promoting the systematic implementation, monitoring and managing of our DEI strategy:



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 following a standard set of criteria and reviewing policies and procedures to lessen bias and grow our pool of diverse talent. By hiring and promoting qualified candidates from a variety of historically underrepresented backgrounds—especially women, people of color, those in the LGBTQ+ community, and veterans—we create an environment that allows everyone to perform at their best.

We have made a commitment in this area by holding our teams accountable in the following ways:

- Executive candidates should be interviewed by a diverse set of individuals.
- 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, equity 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 recruit at schools with a diverse representation of talent.

Reverse Mentoring Program

In 2021, we launched our reverse mentoring program “You Belong at Broadridge,” which supports associate engagement and increases a sense of belonging and inclusion by elevating the voices of our associates at all levels of the organization. With traditional mentoring, a more experienced associate mentors a less experienced associate. In reverse mentoring, associates from all levels and backgrounds (including but not limited to different generations, race, gender, ability and sexual orientation) serve as mentors to our senior leaders. The purpose of reverse mentoring is to expand perspectives and experiences on cultural and business related topics and/or issues.

Associate Networks

Broadridge supports a number of associate-led networks where associates with similar backgrounds and interests can find peer support, shape company policy and culture, receive mentorship from senior members, and develop their careers.



- **The MultiCultural Associate Network**
The MultiCultural Associate Network (MCAN) raises awareness of different cultures and lived experiences through hosting speakers and panels and through communications about history, heritage, holidays, and other aspects of culture. Their initiatives include developmental and social opportunities to learn from our colleagues, and to grow our networks and our careers at Broadridge.



- **The Women’s Leadership Forum**
The Women’s Leadership Forum (WLF) works to highlight and support the perspectives of women, advance the careers of female associates, and address existing barriers to achievement in the workplace. The WLF works on different initiatives, developing educational programs, communications and networking opportunities that contribute to the growth of our members’ personal and professional development.



- **B.Pride**
B.Pride is a support network and career advancement group for lesbian, gay, bisexual, transgender, queer or questioning, and allied associates. The network fosters a safe and inclusive work environment for all members, while supporting initiatives surrounding education and awareness, personal and professional development, and community outreach through fundraising and volunteer work.

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

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.



TALENT AND DEVELOPMENT

We believe that our associates are among our most important assets. Encouraging professional development opportunities is a core part of our culture.

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, on-site training and leadership programs, such as peer groups, that promote professional development and leadership skills. This global business toolkit also gives participants an opportunity to keep apprised of the company’s ethics and compliance requirements, learn new skills and competencies, develop core talents, and expand areas of expertise.



13,000+
EMPLOYEES SPANNING
21 COUNTRIES

Ethical Standards and Compliance Training

Broadridge requires that all associates globally undergo seven ethics and compliance training courses annually. Courses cover the following: Anti-Bribery and Corruption, Code of Business Conduct and Ethics, Security Awareness Fundamentals, Anti-Harassment and Discrimination, Enterprise Risk Management, Business Continuity Planning, and Global Privacy and Data Protection. In 2021, we delivered approximately 33,000 hours of ethics and compliance training. Certain additional annual training is required for specific groups depending on their job functions, such as anti-money laundering training and transfer agent compliance training.

Learning and Development

Broadridge provides educational opportunities, including formal classes, training programs and events. To enable learning in our Connected Workplace where associates may be working on-site, off-site, or using a hybrid model, Broadridge has redesigned all development programs for 100% virtual delivery. Our associates have access to 8,500+ online courses covering business, leadership, technical, and function-specific topics through our LinkedIn Learning program. In 2021, 3,713 associates accessed a total of 10,951 hours of content through LinkedIn Learning. We also partner with Intuition to make available 200 financial services industry tutorials. In 2021, 488 associates accessed 5,374 hours of content on Intuition.

Opportunity for Career Enrichment and Leadership Development

We strive to foster an environment that supports career enrichment and leadership development opportunities. Encouraging and rewarding professional development is a core part of our culture, which is dedicated to investing in our most important asset.

With the right tools, we believe that our associates can accomplish anything. Individual growth and success as an associate come with regular professional learning. These opportunities ensure that our associates are motivated and will be able to make lasting contributions to Broadridge, our clients and, most importantly, themselves.

In 2021, we had 565 global associates participate in our leadership programs, up from 218 associates the year before.



Talent Acceleration Program

The Talent Acceleration Program is designed to assist associates with their career development through 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 their potential to reach their leadership and career aspirations. In 2021, 29 associates participated, and 3,335 learning hours were delivered.



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. In fiscal year 2021, 87 associates completed the program, and 1,958 hours of training were delivered.



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. In 2021, 130 associates completed this program and 2,665 training hours were delivered.



Individual Contributor Leadership

The Individual Leadership program helps our individual contributor associates expand their internal networks and gain valuable business leadership skills. In fiscal year 2021, 319 associates completed the program, and a total of 6,699 learning hours were delivered.



Technology Expert Career Framework

This framework provides a comprehensive system of elements to help our associates grow and develop in their careers as information technology (IT) professionals and enhances global talent mobility by creating leadership exposure for future opportunities. It also provides assistance in attaining higher levels of technical proficiency and overall career development. The framework includes the following:

- We provide a large-scale technology skills inventory with 93% of our IT workforce completing the assessments.
- Our partnership with Pluralsight provides a library of 7,500+ courses and skill assessments. In 2021, 544 IT professionals accessed Pluralsight and participated in 7,218 hours of learning.
- We provide support in preparing for the Agile Certified Practitioner examination. In 2021, 39 associates participated in a total of 1,287 learning hours.



Dynamic Leadership Development through Peer Groups

Across our 13,000+ strong organization—spanning all positions and locations worldwide—our executive leaders and associates are a dedicated, dynamic, highly skilled, and fully engaged team. 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.

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 to eligible 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 the comprehensive safety of our work sites. Additionally, we take proactive measures to provide 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. See also “Health and Safety Policies and Programs” on page 25.



Employee Assistance Program

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



Paid Family Leave

- ▶ Broadridge provides all eligible U.S. 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 U.S. associates are eligible for reimbursement of tuition costs up to \$5,250 per year.



Commitment to Fair Wages

- ▶ We are committed to paying a fair wage for our hourly associates, which starts with our \$15 minimum wage in the U.S.

HEALTH AND SAFETY POLICIES AND PROGRAMS

We are committed to providing a safe workplace and 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 and which all outside vendors and contractors are required to follow. 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.

The Broadridge Corporate Safety Management Program sets forth our safety procedures and policies covering our North American production facilities. The program provides annual safety training for all facility employees and monthly inspections and audits of all our facility sites. In addition, all safety-related incidents are tracked by our data management system.

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.

Mental Health Programs

We have implemented several programs to help our associates with mental health issues, including the following:

- We have hired a part time clinical social worker in our Edgewood wellness centers for our New York and New Jersey associates.
- We have an Employee Assistance Program through which our associates have access to free counseling and other services.
- We have increased the number of emergency backup care services for our U.S. associates.

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. After addressing the initial surge of the Covid-19 pandemic, we are now focused on running our business effectively in the new work from home paradigm while preparing for the future. We have invested in building business resiliency and designed a flexible Connected Workplace model to support associates during the global crisis.

We have developed policies to protect associates from financial hardship associated with quarantines or contact tracing, actively promoted vaccination by providing paid time off to get vaccinated, and recuperate from any side-effects from the vaccine, and offered Covid-19 vaccines in our on-site wellness centers at our Edgewood facility. We also offer Covid-19 testing at our on-site wellness centers and are planning testing for our associates who will be returning to on-site work.

The Broadridge Pandemic/Covid-19 Committee continues to track the latest developments of the Covid-19 pandemic. We review guidelines and updates from the World Health Organization, the Centers for Disease Control and Prevention, the U.S. Department of Health and Human Services, and local government health authorities in the Asia-Pacific region and in Europe, the Middle East and Africa. We continue to be actively engaged with SIFMA, providing industry information updates.

In addition, because of the increased Covid-19 rates in India this year, we have taken steps to support our Indian associates by providing cash advances, introducing a new leave of absence policy, and creating dedicated support groups and counseling hotlines, as well as partnering with a leading healthcare provider to provide isolation packages to infected associates.

Our communities

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 classrooms, we roll up our sleeves to help make Broadridge an indispensable community partner.

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. We believe that every child should have the opportunity to learn, grow and thrive. Yet, for far too many youth around the world, gaining access to a basic education is challenging—even impossible. Broadridge is committed to changing that reality. 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 (the Foundation), which identifies meaningful ways to engage with our communities to make a local impact. Through the Foundation, we put our core values into action—to effect lasting social change. We direct resources to charitable causes, develop community-focused action plans, and provide donation-matching, among other efforts. We empower Broadridge associates to lead and participate in projects that matter to them and their communities. In fiscal year 2021, through donations by the Foundation, our directors and associates, we donated approximately \$4 million.

In fiscal year 2021, we donated \$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. We also ran a special campaign to double match our associates' personal contributions to nonprofits responding to the surge of Covid-19 infections in India.

In fiscal year 2021, collectively as an organization, through donations by the Broadridge Foundation, our directors and associates, we donated approximately \$4 million.

With help from hundreds of India-based Broadridge volunteers, more than 2,400 students have successfully transitioned from bonded labor into our “pre-education” system.

PROVIDING EDUCATION IN INDIA

Mamidipudi Venkatarangaiya (MV) Foundation-Residential Bridge Camps

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

Since the partnership began in 2008, more than 2,400 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 over 80 now pursue higher education, with 10 having earned the equivalent of bachelor's degrees. Three women who originally studied at the Bridge Camp are now working for Broadridge after completing their college education.

Over the years, hundreds of our associates have volunteered their time at the school to care for, coach, and mentor the students. The relationships typically start while the students are in the camps and continue even after they transition into mainstream schools.

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

In keeping with our corporate purpose to enable better financial lives, 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 and skills to facilitate learning in classrooms to promote youth financial capabilities.

These programs also teach critical financial skills and decision-making strategies to young adults that provide tools that strengthen their economic opportunities as well as a solid foundation for a career in finance when they exit the classroom.

PREPARING STUDENTS FOR FULFILLING FUTURES WITH VIRTUAL ENTERPRISES (VE)

Through a partnership with VE, we have engaged with schools in Newark, New Jersey, and Long Island, New York, to deliver global business simulations that allow students to develop the business, professional, technology, and financial literacy skills for future success through hands-on entrepreneurial experiences. With the help of Broadridge volunteers, students test drive potential careers and develop in-demand skills and competencies that post-secondary institutions and employers are seeking.

Since beginning our partnership with VE in 2019, Broadridge volunteers have impacted over 500 students through mentoring, classroom programs and competition judging.

LAUNCHING DIGITAL CAREERS WITH NPOWER

With our partner NPower, Broadridge aims to provide STEM-related educational opportunities to disadvantaged young adults. NPower creates pathways to prosperity by launching digital careers for military veterans, their spouses, and young adults from underserved communities.

Through financial underwriting of NPower's Tech Fundamentals, Cybersecurity and Cloud Computing programs, and the volunteer efforts of Broadridge associates, we provide free technical classes and resources that strongly position young individuals for a career in information technology. In 2020 alone, our associates donated over 250 hours of their time to working with NPower students. Our partnership has also allowed us to develop a diverse and inclusive talent pipeline that helps create pathways to economic prosperity through tech skills training and job placement. Broadridge currently employs 13 NPower alumni.

THURGOOD MARSHALL COLLEGE FUND (TMCF)

Through the TMCF, Broadridge funds scholarships to historically black colleges and universities and predominantly black institutions and mentors the recipients. Broadridge also provides internships, and full-time job opportunities through TMCF. In 2021, we provided 24 Broadridge TMCF scholarships.

RECYCLING THROUGH AHRC DONATIONS

As part of Broadridge's recycling initiatives 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.

MATCHING GIFT PROGRAM

Our Matching Gift Program makes a dollar-for-dollar match to help our associates and directors to leverage their personal contributions to nonprofits that resonate with them. For fiscal year 2021, we matched a total of approximately \$700,000 through the Matching Gift Program.

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. In fiscal year 2021, our associates dedicated 1,040 hours to volunteer-related 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 shareholder value.

“Good corporate governance and an integrated sustainability strategy are integral to Broadridge’s long-term success. We believe our corporate governance practices and policies are essential to operating a strong and sustainable company that values our associates, serves our clients, facilitates the corporate governance ecosystem and creates long-term shareholder value.”

Keir D. Gumbs
Chief Legal Officer

Our Board of Directors monitors developments in governance best practices to ensure 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 those of our stakeholders.

Board of Directors

Our Board of Directors is currently comprised of independent directors who meet the New York Stock Exchange definition of independence, with the exception of our Executive Chairman and Chief Executive Officer. We also have a Lead Independent Director to provide the company and the Board with strong leadership and appropriate independent oversight. There are three Committees of the Board, each of which is comprised of independent directors: Audit, Compensation, and Governance and Nominating. Each Committee has a Charter outlining its responsibilities.

Copies of the Charters of the Committees of the Board are available at broadridge-ir.com/governance/governance-documents.



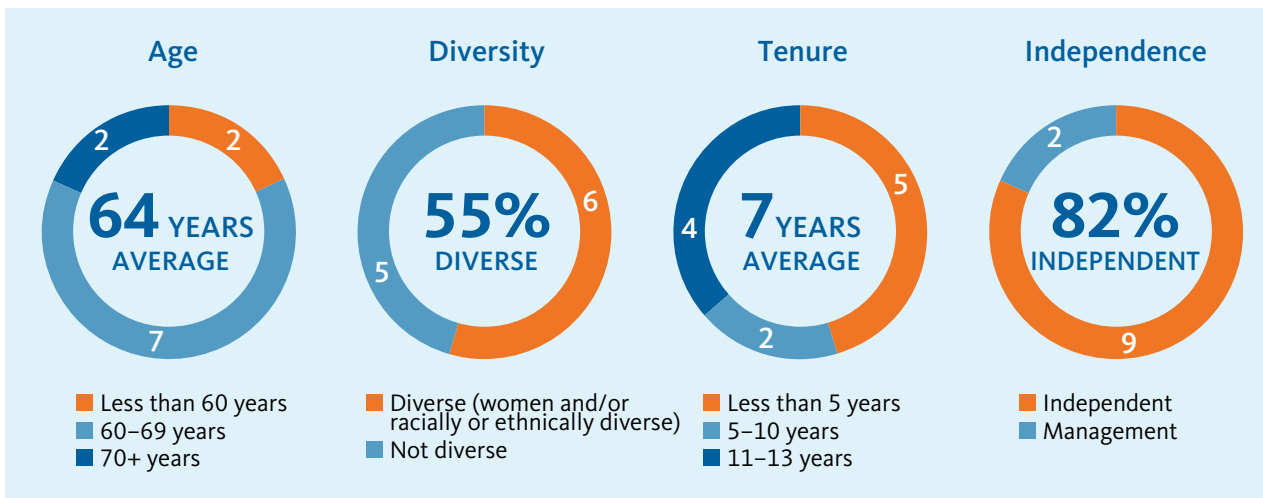
INFORMATION ABOUT OUR BOARD MEMBERS

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
 Melvin L. Flowers	Former Executive, Microsoft Corp.	Audit	2021
 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
 Annette L. Nazareth	Senior Counsel, Davis Polk & Wardwell	Audit Compensation	2021
 Thomas J. Perna	Chairman of the Board of Trustees, Amundi Pioneer Mutual Fund Group	Audit Governance and Nominating	2009
 Amit K. Zavery	Vice President and Head of Platform for Google Cloud, Google, LLC	Audit	2019

The following matrix provides information regarding the members of our Board, 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 that our Board believes are relevant to our business and industry. Further descriptions of the knowledge, skills, experiences and attributes listed in the matrix below can be found in our Proxy Statement available at broadridge-ir.com/financials/proxy-statements.

While our Governance and Nominating Committee considers the knowledge, skills, experiences and attributes listed below in the director nomination process, the matrix does not encompass all of the knowledge, skills, experiences or attributes of our Board and the fact that a particular knowledge, skill, experience or attribute is not listed does not mean that a Board member does not possess it.

KNOWLEDGE, SKILLS AND EXPERIENCE	L. BRUN	P. CARTER	R. DALY	R. DUELKS	M. FLOWERS	T. GOKEY	B. KELLER	M. MARKUS	A. NAZARETH	T. PERNA	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		✓						✓	✓	✓	
 Risk Management		✓	✓		✓	✓				✓	



2021 BOARD NOMINEE TENURE	L. BRUN	P. CARTER	R. DALY	R. DUELKS	M. FLOWERS	T. GOKEY	B. KELLER	M. MARKUS	A. NAZARETH	T. PERNA	A. ZAVERY
Years	14	4	14	12	<1	2	6	8	<1	12	2

2021 BOARD NOMINEE DEMOGRAPHICS	L. BRUN	P. CARTER	R. DALY	R. DUELKS	M. FLOWERS	T. GOKEY	B. KELLER	M. MARKUS	A. NAZARETH	T. PERNA	A. ZAVERY
Age	69	72	68	66	68	60	53	64	65	70	50
Gender Diverse		✓						✓	✓		
Racially or Ethnically Diverse	✓	✓			✓						✓

Race or Ethnicity: Mr. Brun, Ms. Carter, Mr. Flowers and Mr. Zavery self-identify as racially or ethnically diverse. Mr. Brun, Ms. Carter and Mr. Flowers identify 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 regularly reports to the Board regarding the most significant risks facing the company. 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 the company 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 the company.

A subcommittee of the Risk Committee, the Cybersecurity Council, provides additional oversight of Broadridge's cybersecurity risks. The Cybersecurity Council meets regularly and is comprised of senior executives representing a number of disciplines.

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

STRATEGIC	The risks that could impede the company 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 the company employs to achieve its strategy, normal business operations and cybersecurity
COMPLIANCE	The risks related to the company's legal and regulatory compliance requirements and violations of laws
REPUTATIONAL	The risks that impact the company'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 OF DIRECTORS		
<ul style="list-style-type: none"> • Strategic, Operational and Reputational risks • Strategy • Succession planning • Diversity, equity and inclusion matters • Political activities 		
<p>AUDIT COMMITTEE</p> <ul style="list-style-type: none"> • Financial risks • Certain major business risks, including cybersecurity and data privacy • Compliance risks (joint with Governance and Nominating Committee) • Related party transactions 	<p>COMPENSATION COMMITTEE</p> <ul style="list-style-type: none"> • Compensation program design risk • Human capital management oversight 	<p>GOVERNANCE AND NOMINATING COMMITTEE</p> <ul style="list-style-type: none"> • Compliance risks (joint with Audit Committee) • Risks related to ESG matters

THE BOARD’S OVERSIGHT OF CYBERSECURITY PROGRAM

Our management provides reports on its cybersecurity program to the Audit Committee on a regular basis, including a quarterly report on our information security program prepared by an independent third-party cybersecurity services and consulting firm, and the to full Board on an annual basis. Also, third-party cybersecurity experts present to the full Board on an annual basis. In addition, our Cybersecurity Council regularly provides updates on its activities to the full Board.

THE BOARD’S OVERSIGHT OF COVID-19 IMPACT

Our Board has received frequent updates on the impact to the company’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.

THE BOARD’S OVERSIGHT OF COMPENSATION PROGRAM

Our management, with the assistance of the Compensation Committee’s independent compensation consultant, Frederic W. Cook & Co., Inc., performed an annual assessment of our compensation objectives, philosophy, and forms of compensation and benefits for all Broadridge employees, including the executive officers, to determine whether the risks arising from such policies or practices are reasonably likely to have a material adverse effect on the company. A report summarizing the results of this assessment was reviewed and discussed with the Compensation Committee.

The Compensation Committee concluded that Broadridge’s compensation program does not create risks that are reasonably likely to have a material adverse effect on the company.

THE BOARD'S ROLE IN 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 of our company and advises on Broadridge's long-term strategy.

THE BOARD'S ROLE IN SUCCESSION PLANNING, HUMAN CAPITAL MANAGEMENT, AND DIVERSITY, EQUITY AND INCLUSION

The Board believes that succession planning and human capital 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 the company's executive talent management strategy, which includes a discussion of the company's leadership bench and succession plans with a focus on key positions at the senior officer level. High-potential leaders are given exposure and visibility to Board members through formal presentations, informal events and one-on-one meetings.

More broadly, Broadridge is 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 the company's success, and the Board and Compensation Committee both work 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, equity and inclusion. Management set diversity, equity and inclusion goals in fiscal year 2021, and our Chief Human Resources Officer and/or Chief Diversity Officer regularly provide updates to the Board on the progress made with respect to these initiatives.

ESG OVERSIGHT

The Governance and Nominating Committee of our Board oversees Broadridge's ongoing commitment to ESG matters relevant to Broadridge. Our Environmental, Social and Governance Committee, a cross-functional executive committee of the Company (the ESG Committee), reports periodically to the Governance and Nominating Committee and annually to the Board 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 about the Board's oversight role, please refer to our Proxy Statement, available at [broadridge-ir.com/financials/proxy-statements](https://www.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.



OUR CORPORATE GOVERNANCE POLICIES REFLECT BEST PRACTICES

We believe good governance is integral to achieving long-term shareholder 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 ensure that it continues to meet its commitment to thoughtful and independent representation of stockholder interests.

The following table summarizes certain corporate governance practices and facts:

<p>Board of Directors</p>	<ul style="list-style-type: none"> • Strong Independent Board Leadership • Majority Independent Directors — 9 of the 11 2021 Director Nominees are Independent • 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 • Directors Expected to Attend the Annual Meeting of Stockholders • Lead Independent Director Available to Major Stockholders
<p>Stockholder Rights</p>	<ul style="list-style-type: none"> • Proxy Access By-law Provision • No Poison Pill • Stockholders Owning 20% of the Voting Power of Outstanding Shares of Common Stock are able to Call Special Meeting
<p>Executive Compensation</p>	<ul style="list-style-type: none"> • Annual Say on Pay Stockholder Vote • Comprehensive Clawback Policy Applicable in Circumstances Beyond Financial Restatements • Prohibition on Hedging, Pledging and Short Sales of our Securities • Double-trigger Change in Control Plan Requires Termination Following Change in Control • No Repricing of or Discount Stock Options • No Dividends or Dividend Equivalents on Unvested Equity Awards • Robust Stock Ownership Guidelines as well as Stock Retention and Holding Period Requirements • Significant Portion of Named Executive Officers' Target Total Direct Compensation is Performance Based • Officer Bonus Strategic and Leadership Goals include a Diversity, Equity and Inclusion Component • No Excise Tax Gross-ups • Restrictive Covenant Agreements • Modest Perquisites

BUSINESS INTEGRITY

Broadridge is committed to conducting its business with uncompromising ethics and integrity. Maintaining the highest ethical standards and adhering to applicable laws is critical to our ability to do business and core to our culture. Our standards for fair and ethical behavior for our management, associates and vendors are set forth in our policies. To keep associates aware of their personal responsibility for upholding our ethical standards and laws, Broadridge requires that all employees participate in a series of annual compliance training courses and has instituted an escalation procedure to ensure timely completion.

Copies of our governance policies and documents are available at broadridge-ir.com/governance/governance-documents.

Code of Business Conduct and Ethics

Broadridge has a Code of Business Conduct and Ethics (Code) that outlines the policies, expectations and high standards everyone must follow at all times. Our Code 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. We require all our associates to complete annual training on our Code and review and acknowledge the Code annually.

Anti-Bribery Policy

Broadridge does not tolerate any form of bribery and we are committed to complying with applicable anti-bribery laws in all countries in which Broadridge conducts business. Our Anti-Bribery Policy takes into account applicable anti-bribery laws and sets out guidelines on how Broadridge associates and business partners should conduct Broadridge business in line with such laws. The policy applies to all Broadridge associates and third parties who do business with or on behalf of Broadridge and extends to all Broadridge operations worldwide.

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. The principles and requirements set forth in the statement are incorporated into the contractual relationships with suppliers and other business partners, and Broadridge expects its suppliers and business partners to comply with the expectations and requirements set forth in the statement.

Anti-Discrimination Policies

Broadridge is committed to providing equal employment opportunities to all associates and applicants for employment without regard to race, color, religion, sex (including sexual orientation, gender identity, or pregnancy), national origin, age, disability, genetic information, or military or veteran status in accordance with applicable laws. We do not tolerate discrimination or harassment in the workplace and we are committed to ensuring that all associates understand their rights and responsibilities under our anti-discrimination policies.



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, and facilitating voluntary political giving by eligible associates and directors through the Broadridge Financial Solutions Political Action Committee (Broadridge PAC). The company's political activities and related spending reflects the interests of the company and its stockholders, and not those of any individual director, officer or associate.

Our Board has adopted a Political Contributions Policy to help ensure that any political contributions and expenditures are done in a manner consistent with the company's commitment to the highest standards of ethics and business integrity and to protect and enhance shareholder value. In addition, our Board has oversight responsibility for Broadridge PAC spending, corporate expenditures to influence public policy, dues and other contributions to trade associations, and the company's lobbying priorities and activities.

Our Political Contributions Policy provides that no company resources, including the use of company premises, equipment or property, or company funds, may be contributed to any federal political candidate, political committee (other than for the administrative or solicitation expenses of the Broadridge PAC, as permitted by law), political party, state ballot measure committee or to any other organization for the purpose of attempting to influence elections or ballot measures. Additionally, our Political Contributions Policy prohibits contributions to social welfare organizations formed under Section 501(c)(4) of the Internal Revenue Code of 1986, as amended.

To learn more about our political contributions, please see broadridge.com/about/sustainability.

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.

Patent Protection

We own a portfolio of 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 Broadridge's patents can be found at broadridge.com/legal/legal-statements.

INFORMATION SECURITY AND PRIVACY

Data security and mitigating information security risks in a constantly changing environment is a high priority and fundamental to Broadridge’s success. 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 or contract responsibilities and subject to confidentiality, appropriate security, and restrictions on use. To prevent unauthorized access to sensitive information, we maintain good physical, technical, and administrative security practices, including protecting documents, limiting access to facilities, systems and data centers, and following proper disposal methods.

See our “Overview of Information Security and Global Privacy Programs” available at broadridge.com/security-capabilities to learn more about our information security and global privacy programs.

Information Security

Our clients trust Broadridge to securely process and distribute data and investor information that drives their businesses and the global marketplace. We maintain policies, standards and controls aligned with the components of our information security program. Our advanced technology, combined with a comprehensive information security program is aligned with the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity. It has been validated by The International Organization for Standardization (ISO) 27001 certification and externally assessed as required by the certification process. Certain of Broadridge’s products and services are examined at least annually against the System and Organization Controls (SOC) reporting standard by independent third-party auditors. These examinations cover controls for data security as applicable to in-scope trust service criteria for each service. Broadridge receives SOC 1 Type 2 and SOC 2 Type 2 reports covering these products and services. Our core proxy services, brokerage processing services and customer communications services have received unqualified opinions on their most recent SOC 2 Type 2 reports.

We have received a Cloud Security Alliance Security Trust Assurance and Risk Level 2 Certification, their highest standard, on our managed cloud services. Broadridge also leverages external security ratings from BitSight for enhanced visibility into security risks. BitSight, an independent third-party provider of cybersecurity ratings, currently rates Broadridge in their Advanced category rating, their highest rating category.

In addition, we have engaged an independent third-party cybersecurity services and consulting firm to provide a quarterly report on our information security program to the Audit Committee of our Board of Directors. Also, we have a third-party firm conduct quarterly phishing tests on our associates.

Our corporate crisis management team conducts a tabletop exercise of our business continuity program annually, and the event tested every other year is a cybersecurity incident that is led by an independent third party. We also maintain cybersecurity liability insurance coverage.

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. Comprehensive security awareness training and testing are administered annually to all our associates and outside contractors who have access to our systems.

We have had no material security breaches in the last three years.





Global Privacy Program

Our Global Privacy Program is designed to help ensure that we handle personal information in accordance with the law, best practices and the expectations of our clients. We are committed to best 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 our 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, consultants and vendors.
- **Global Privacy Policy and Officers.** Our Global Privacy Policy outlines requirements for the collection, use, maintenance, security and disclosure of personal information by all Broadridge associates and our privacy officers across the company.

Learn more about our privacy practices at broadridge.com/legal/privacy-statement-english and see our Global Privacy Policy available at broadridge-ir.com/governance/governance-documents.

BUSINESS CONTINUITY PLANNING (BCP) PROGRAM

Our business units have established and maintain comprehensive disaster recovery and business continuity planning programs, which ensure the timely and effective recovery of mission-critical business functions in the event of a disaster. Our business continuity plans have been developed based on guidelines of the Disaster Recovery Institute International; and our program is staffed with full-time, highly qualified disaster recovery and BCP professionals.

Business Continuity Plans

The foundation of our disaster recovery and business continuity plans consists of a solid disaster avoidance strategy. Our avoidance strategy includes power protection, facility security and data and infrastructure backups.

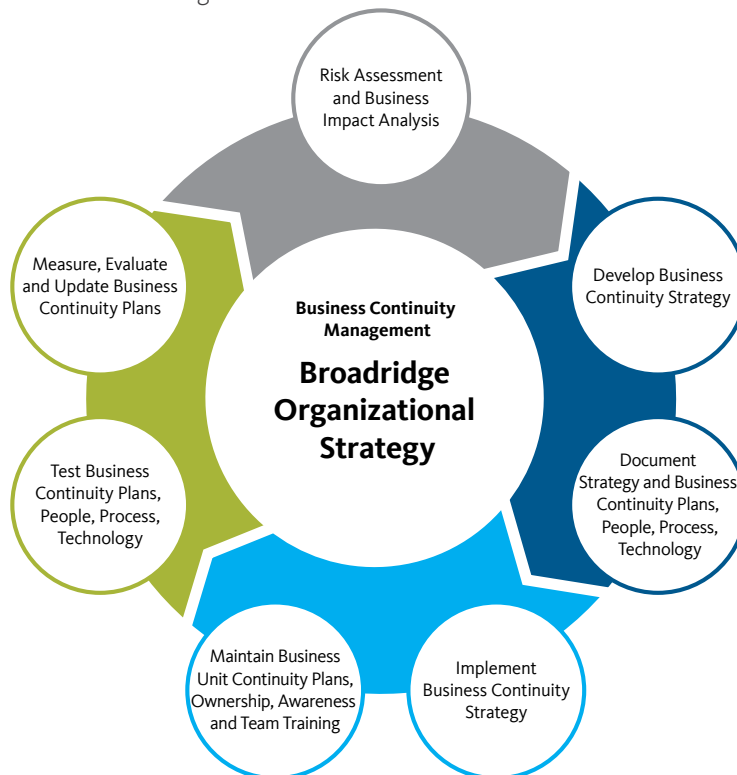
Our business continuity plans have been developed to:

- 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 a facility.
- Provide a smooth transition back to the primary production facility after the incident has been resolved.
- Provide disaster recovery planning that includes activities and plans to recover and restore the ongoing function of technology and infrastructure in the event of a disaster/disruptive event. Recovery includes voice and data networks, computer hardware, software systems, and applications.

Our Broadridge Crisis Management Team, that is comprised of cross-functional senior-level leaders, manages the overall response to an incident and provides centralized command and control in the event of a disaster/disruptive event.

At Broadridge, business continuity planning is a continuous process, not a project. Testing and review of the plans with recovery team members are required annually and when material changes have been made to the plans. 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.

Some of the major components of our BCP Program include:



ENABLING GOOD GOVERNANCE AND ENHANCING ESG PRACTICES

We support the financial markets by providing critical infrastructure that powers investing, corporate governance, and communications. Whether our clients are focused on managing investments, ensuring compliance, or engaging shareholders, we help them uncover opportunity—and manage risk—across the ESG landscape.

Our governance and communications solutions aim to promote good corporate governance and enhance practices in the ESG space across the investment community.

- **Proxy Management Services for Financial Services Firms.** We handle the proxy materials distribution and voting process for banks and broker-dealers. We also provide a complete outsourced solution for the processing of international proxies, with the ability to process proxy voting in over 100 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® enables institutions to simplify proxy voting, making it easy to create, implement and manage a custom policy and voting guidelines that are based on an institution's principles, including their ESG values. From research to reporting, the ProxyEdge digital platform, coupled with our Proxy, Policies and Insights solution, provides institutions with independent insight. Clients can customize reports by proposal category (including detailed ESG categories) and date range via on-demand audit history, to keep proxy votes aligned with policy, instructions and management recommendations.
- **International Communications Solutions.** We provide regulatory and communications solutions addressing clients' needs within Europe, the Middle East, 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 (SRD II) component to our Global Proxy solution. The objective of SRD II is to obtain greater shareholder engagement in corporate governance by enhancing the flow of information and improving transparency of issuers, investors and intermediaries.
- **Governance and Communications Services for Corporate Issuers.** We provide investor communication solutions for public companies through the performance of beneficial proxy services. We also offer disclosure solutions and transfer agency services providing corporate issuers a single source solution that spans the entire corporate disclosure and shareholder communications lifecycle.
- **ESG Solutions.** We offer ESG consulting services to corporate issuers, through which we help our clients identify industry best practices and advise them on aligning with leading ESG frameworks and standards such as those issued by the Sustainability Accounting Standards Board, Task Force on Climate-Related Financial Disclosures and the United Nations Sustainable Development Goals.
- **ESG Data Solutions.** We help companies make sense of conflicting ESG ratings and performance measures, allowing them to monitor the progress of their ESG programs, benchmark their performance relative to peers, and identify the strengths and weaknesses in their sustainability disclosures. Sourced from CSRHub, the data repository includes over 300 million aggregated and normalized data points from 735 sources, covering over 25,000 global companies in 148 countries. In addition, as ESG investing has become a permanent feature of global asset management, our Global Market Intelligence (GMI) solution provides detailed analytics to support asset managers on the ESG landscape. GMI currently tracks \$5.0 trillion in ESG fund assets globally.

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

[broadridge.com/resource/helping-you-do-better-for-your-business-and-the-world](https://www.broadridge.com/resource/helping-you-do-better-for-your-business-and-the-world).

Corporate Information

ABOUT BROADRIDGE

Broadridge Financial Solutions, Inc. (NYSE: BR), a \$5 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 serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. In addition, Broadridge's technology and operations platforms underpin the daily trading of on average more than U.S. \$9 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index and employs over 13,000 associates in 21 countries.

CORPORATE HEADQUARTERS

Broadridge Financial Solutions, Inc.
5 Dakota Drive, Lake Success, New York 11042
1-516-472-5400

CORPORATE GOVERNANCE

Visit our Investor Relations page at [broadridge-ir.com](https://www.broadridge-ir.com) to see our key corporate governance documents, including our Code of Business Conduct and Ethics, 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 2021 Annual Report is available online on our Investor Relations page at [broadridge-ir.com](https://www.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

The Broadridge name, logo, and related trademarks and service marks are owned by Broadridge Financial Solutions, Inc., and are registered and/or used in the U.S. and some foreign countries. All other trademarks, service marks, logos and trade names referenced in this material are the property of their respective owners.

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 that 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 2021 Annual Report on 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.



2021 ESG Performance Metrics

GENERAL

Company Information (as of June 30, 2021)	
Total Employees	13,829
Countries	21
Facilities	60
Total Revenues	\$5.0 B
Closed Sales	\$232 M

ENVIRONMENTAL (Data from 2021 CDP Report for May 1, 2020 to April 30, 2021 period)

Emissions Metrics	Territory	Unit	Quantity
Scope 1 Emissions¹	Global	MTCO ₂ e	10,294
Scope 1	Canada	MTCO ₂ e	426
Scope 1	India	MTCO ₂ e	25
Scope 1	United States of America	MTCO ₂ e	9,843
Scope 2 Location-based Emissions²	Global	MTCO ₂ e	34,253
Scope 2	Canada	MTCO ₂ e	753
Scope 2	Germany	MTCO ₂ e	29
Scope 2	India	MTCO ₂ e	2,069
Scope 2	Ireland	MTCO ₂ e	91
Scope 2	Japan	MTCO ₂ e	62
Scope 2	Singapore	MTCO ₂ e	62
Scope 2	Poland	MTCO ₂ e	74
Scope 2	United Kingdom and Northern Ireland	MTCO ₂ e	15
Scope 2	United States of America	MTCO ₂ e	31,098
Total Scope 1 and 2 Emissions	Global	MTCO ₂ e	44,547
Scope 3 Emissions³			
Purchased goods and services ⁴	Global	MTCO ₂ e	64,353
Business travel ⁵	Global	MTCO ₂ e	62
Downstream transportation and distribution ⁶	Global	MTCO ₂ e	4,689
Emissions Intensity			
Total Scope 1 and 2 Emissions	Global	MTCO ₂ e/unit currency total revenue	0.000009015
Energy Use			
Total energy consumed	Global	GJ	516,395
Percentage grid electricity	Global	%	99%
Percentage renewable	Global	%	1%

SOCIAL

Workforce Diversity' (as of June 30, 2021)	
Global Diverse Workforce	44.9%
Global Women Workforce	33.0%
Racially or Ethnically Diverse U.S. Workforce	40.5%
Global Diverse Senior Management - Executive Leadership Team	42.3%
Global Diverse Management	34.7%
Corporate and Other Giving	
Matching Gift Program	\$761,638
Broadridge Foundation	\$1,863,500
Other Company and Associate Donations	\$1,331,384
Total	\$3,956,522
Associate Volunteer Hours	1,040

Associate Engagement	
Great Place to Work Survey	Associate engagement score 78%
Broadridge's annual Great Place to Work® survey was completed in December 2020. All associates hired prior to July 1, 2020 around the globe were invited to share feedback on their individual experiences at Broadridge. Survey responses were collected and aggregated by the GPTW team to keep our associates' feedback confidential and protect anonymity. Broadridge only received combined ratings and summarized comments.	Number of participants 7,220 (64%)
In 2021, Broadridge received certification from Great Place to Work in the U.S., Canada, India, Ireland, UK, and Russia for its outstanding workplace culture. The Great Place to Work Institute, Inc. is a global authority on high-trust, high-performance workplace cultures.	

Training and Leadership Programs	Quantity Available	Associates Participating	Hours Completed
Ethics and Compliance Training	7 programs annually	95%+ Global Associates	Approximately 33,000
<ul style="list-style-type: none"> • Code of Business Conduct and Ethics • Security Awareness Fundamentals • Global Privacy and Data Protection • Anti-Harassment and Discrimination • Anti-Bribery and Corruption • Enterprise Risk Management • Business Continuity 			
Learning and Development			
LinkedIn Learning	Over 8,500 online courses	3,713	10,951
Intuition	Over 200 tutorials	488	5,374
Career Enrichment and Leadership Development	Four programs	565	14,657
Technology Expert Career Framework	Over 7,500 courses	583	8,505

GOVERNANCE

Cybersecurity and Data Privacy	Scope	Broadridge Disclosure
Number of material cybersecurity breaches	Global	0
Global Privacy Policy	Global	Yes
Business units, core applications and facilities ISO 27001 certified	Global	Most
NIST Cybersecurity Framework utilization	Global	Yes
Cloud Security Alliance Security Trust Assurance and Risk Level 2 Certification	Managed Cloud Services	Highest Standard
BitSight Advanced Rating	Global	Highest Rating Category
SOC Examinations		Yes
<p>Certain of Broadridge's products and services are examined at least annually against the SSAE-18 Service Organization Controls ("SOC") reporting standard by independent third-party auditors. These examinations cover controls for data security as applicable to in-scope trust service criteria for each service. Broadridge receives SOC 1 Type 2 and SOC 2 Type 2 reports covering these products and services.</p>		
Payment Card Industry Data Security Standard Annual Certification		Yes

HITRUST CSF Certification		Yes
Federal Information Security Modernization Act of 2002 (NIST SP800-53) Certification		Yes
Audit Committee of Board of Directors provided third-party quarterly cybersecurity assessment		Yes
Management Cybersecurity Council	Global	Yes
Tabletop Exercise with third-party		Bi-annual
Cybersecurity Liability Insurance		Yes
Liabilities and fines related to data privacy	Scope	Broadridge Disclosure
Private civil litigation	Global	\$0
Enforcement/regulatory actions	Global	\$0
Liabilities and fines related to anti-competitive behavior regulations		Broadridge Disclosure
Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations	Global	\$0
Board of Directors (2021 Nominees)		Broadridge Disclosure
Size of the Board		11
Independent Directors on Board		9 (82%)
Independent Directors Audit Committee		8 (100%)
Independent Directors Compensation Committee		3 (100%)
Independent Directors Gov Nom Committee		3 (100%)
Independent Lead Director		Yes
Women Directors on Board		3 (27%)
Racially or Ethnically Diverse Directors on Board		4 (36%)
Total Diverse Directors		6 (55%)
Average Age		64
Average Tenure		7 years
Mandatory Retirement Age		72
Board 2021 Meetings Held		7
Director 2021 Meeting Attendance		100% (Board and Committee)
Audit Committee Members limited to 3 public company audit committees		Yes
Annual Board and Committee Self-Assessments		Yes
Orientation Program for New Directors		Yes
Shareholder Practices		Broadridge Disclosure
Equal Voting Rights (one vote per share)		Yes
2020 Say on Pay Voting Support		95%
Shares Outstanding as of September 23, 2021		116,256,853
Equity Reserved as % of Shares Outstanding		6.8%
Options Granted as % of Shares Outstanding		2.8%
Majority Voting Standard		Yes
Classified Board		No
Proxy Access By-law Provision		Yes
Right to Call Special Meeting		Yes (20% voting power)
Political Involvement		Broadridge Disclosure
Political Action Committee		Yes
Political Contributions Policy		Yes
Political Activities Disclosure		Yes broadridge.com/assets/pdf/broadridge_political_contributions_statement_esg_2021.pdf
Compensation		Broadridge Disclosure
Robust Stock Ownership and Holding Period Guidelines		Yes
Double-Trigger Change in Control Plan		Yes

Prohibition on Hedging, Pledging and Short Sales	Yes
Clawback Policy for Executive Compensation	Yes
Annual Board Compensation Limits	Yes
Governance Policies and Practices	Broadridge Disclosure
Code of Business Conduct and Ethics	Yes
Vendor Code of Conduct	Yes
Anti-bribery Policy	Yes
Anti-discrimination Policy (U.S. and UK)	Yes
Human Rights Statement of Commitment	Yes
Safety Policy	Yes
UN Global Compact Signatory	No
Company ESG Committee	Yes
External Auditor	Deloitte & Touche LLP
Audit and Audit-Related Fees Paid to Auditor	\$10,755,000
Non-Audit Fees Paid to Auditor	\$777,000
Total Auditor Fees	\$11,532,000

INDEXING SASB - Software & IT Services

Metric	SASB Code	Reference
Environmental Footprint of Hardware Infrastructure		
(1) Total energy consumed, (2) percentage grid electricity, (3) percentage renewable	TC-SI-130a.1	Data Table
Data Privacy & Freedom of Expression		
Total amount of monetary losses as a result of legal proceedings associated with user privacy	TC-SI-220a.3	Data Table
Data Security		
(1) Number of data breaches, (2) percentage involving personally identifiable information (PII), (3) number of users affected	TC-SI-230a.1	Sustainability Report, page 41
Description of approach to identifying and addressing data security risks including use of third-party cybersecurity standards	TC-SI-230a.2	Sustainability Report, page 41 , and broadridge.com/security-capabilities/
Recruiting & Managing of Global Diverse and Skilled Workforce		
Employee engagement as a percentage	TC-SI-330a.2	Sustainability Report, page 16
Intellectual Property Protection & Competitive Behavior		
Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations	TC-SI-520a.1	Data Table

FOOTNOTES

* Data provided is for fiscal year 2021 unless otherwise noted.

- Scope 1 emissions are direct greenhouse gas (GHG) emissions that occur from sources that are controlled or owned by an organization.
- Scope 2 emissions are indirect GHG emissions associated with the purchase of electricity, steam, heat, or cooling.
- Scope 3 emissions are the result of activities from assets not owned or controlled by the reporting organization, but that the organization indirectly impacts in its value chain. Scope 3 emissions include all sources not within an organization's Scope 1 and 2 categories. Broadridge has fully inventoried three of 15 categories of potential Scope 3 emissions, specifically those relating to its purchased goods and services, business travel and downstream transportation and distribution. Broadridge is continuing to evaluate other categories of Scope 3 emissions for future disclosure.
- Total weight of paper and envelopes purchased, and paper GHG emissions factors from the Environmental Paper Network.
- Business air travel miles data obtained from Broadridge's travel agent, and air travel GHG emissions calculated based on flight class, flight distance, and UK DEFRA GHG emission factors for CO₂e emissions per passenger-mile flown.
- Total weight of paper and envelopes purchased, estimation of relative shipping distances in U.S., and UK DEFRA emission factors for CO₂e emissions per ton-mile shipped.
- "Global Diverse" employee information provided in this table is comprised of Broadridge's global women employees and U.S. racial or ethnic diverse men and women.