

# Ready for Next

**2022  
Sustainability  
Report**



October 2022

## A message from Broadridge CEO Tim Gokey

At Broadridge, the Service-Profit Chain has always been the foundation of our success and our commitment to a sustainable approach. As a result, responsible environmental, social, and governance practices are built into our growth strategy and execution.

Fundamental to the Service-Profit Chain, we believe that delivering exceptional service and value to our clients and stakeholders requires us to develop and grow exceptional talent. Also fundamental is our commitment to cultivating strong governance practices to create a culture of integrity, sustainable growth, and long-term shareholder value. These fundamental principles help us foster a diverse and inclusive workforce of the most talented associates in our industry. They allow us to help our clients reduce their emissions through our digital solutions while also reducing our own emissions. We continue to listen and proactively respond as the effects of climate change become more severe and as the demands for transparency grow. We are reminded of our responsibility to our people, clients and communities, and we are working to do our part.

### STRONG CORPORATE GOVERNANCE AND LONG-TERM VALUE CREATION

Governance is our core business, and we are proud of how we contribute to effective governance of public companies and funds across North America and globally. At the same time, we seek to continuously strengthen

our own governance. Our independent, experienced, and diverse Board of Directors is the cornerstone of this commitment. I am very pleased to welcome our newest member, Eileen Murray, who brings a wealth of industry, technology, and regulatory experience to the Board. With her addition, women comprise one third of our directors and lead two of our three Board committees. Ms. Murray's appointment is part of our planned, ongoing board refreshment process to add highly qualified, diverse board members with experience in our industry to the Board. With her appointment, we have added three new directors in the last two years, and seven members of our strong 12-member Board are diverse.

As part of our governance approach, we are committed to transparency around our sustainability journey. This year, we performed an ESG materiality assessment to better inform the next steps in our sustainability reporting and strategy. You can see the results of this assessment on [page 4](#) of this report.

### EMPOWERING PEOPLE, BETTERING LIVES

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 and communities. Simultaneously, we are continuing to focus on our diversity, equity and inclusion (DEI) initiatives, achievements and goals. This year, we expanded the inclusion of a DEI goal to the bonuses of an additional 2,200 managers beyond

#### CONTENTS

- 1** A message from Broadridge CEO Tim Gokey
- 3** 2022 Sustainability Highlights
- 8** 2022 Sustainability Performance Tables
- 15** 2021 EEO-1 Report
- 16** 2022 Task Force on Climate-related Financial Disclosures Index

## October 2022

### A message from Broadridge CEO Tim Gokey

our executive leadership team. We also created three new Associate Networks: the Disability Equity Associate Network, Lead for Next, and the Veteran and First Responder Network. These new networks join our existing MultiCultural Associate Network, B.Pride, and Women's Leadership Forum. Our Associate Networks are catalysts for change, promoting inclusion and representation by underlining the importance of having diverse voices at the table while building a deeper understanding for individuals and communities with diverse lived experiences. We are proud to lead with action in our philanthropic efforts focused on quality education. Broadridge completed the first year of its scholarship program with the Thurgood Marshall College Fund, hosting 24 scholars from Historically Black Colleges and Universities and Predominantly Black Institutions across the country. In addition to awarding scholarships, the program provides students with the opportunity to participate in educational workshops and a mentorship program. At the conclusion of the academic year, several scholars from this program interned at Broadridge as part of our most recent summer internship program. Finally, as part of our commitment to continually improving transparency, we launched a new DEI website. As a testament to our efforts, Broadridge has received recognition as the World's Most Admired Companies (FORTUNE Magazine), a Great Place to Work® in multiple countries, and the Best Place to Work for LGBTQ Equality (Human Rights Campaign Foundation).

#### **SUSTAINABLY GREEN: OUR RESPONSIBILITY, OUR MISSION**

Environmental transparency and reporting encourage greater awareness of the impacts we make as a company. Broadridge has a long-standing history of environmental disclosure. We began providing publicly available Carbon Disclosure Project (CDP) reports in 2008. Our 2022 CDP report builds on our strong track record, and we have provided our first ever climate-related risk and opportunity analysis aligned with the Task Force on Climate-related Financial Disclosures, all while continuing to report against the Value Reporting Foundation framework and the United Nations Sustainable Development Goals. We are also proud to announce that we are developing a plan to reach net zero greenhouse gas emissions. Through our practices and our solutions, we strive to use natural resources in an environmentally conscious, socially responsible, and economically feasible manner.

Throughout 2022, we have continued to conduct our business based on a strong sustainability framework making us a stronger company, deepening relationships, and building a better world. I am humbled by the passion and dedication of our over 14,000 associates who go above and beyond to deliver on behalf of our clients and shareholders and to help create better financial lives for millions.

Best regards,



**Tim Gokey**  
Chief Executive Officer

# 2022 Sustainability Highlights

We are committed to conducting our business sustainably; this commitment is a core value of our business.

Over the past year, since our last sustainability report, we focused on bolstering our environmental, social and governance (ESG) disclosures, including through the public posting of our consolidated U.S. Equal Employment Opportunity Commission (EEO-1) Report and enhanced disclosure of climate-related information in our 2022 Carbon Disclosure Project report (2022 CDP Report). We refreshed our sustainability website by creating dedicated ESG webpages that disclose detailed information regarding our key ESG initiatives, programs and policies. We also launched a dedicated Diversity, Equity and Inclusion (DEI) website that gives an overview of the Company's DEI program and initiatives. In addition to enhanced disclosures, we performed our first ESG materiality assessment, the results of which are set out on [page 4](#) of this report. We have also performed our first qualitative climate-related risks and

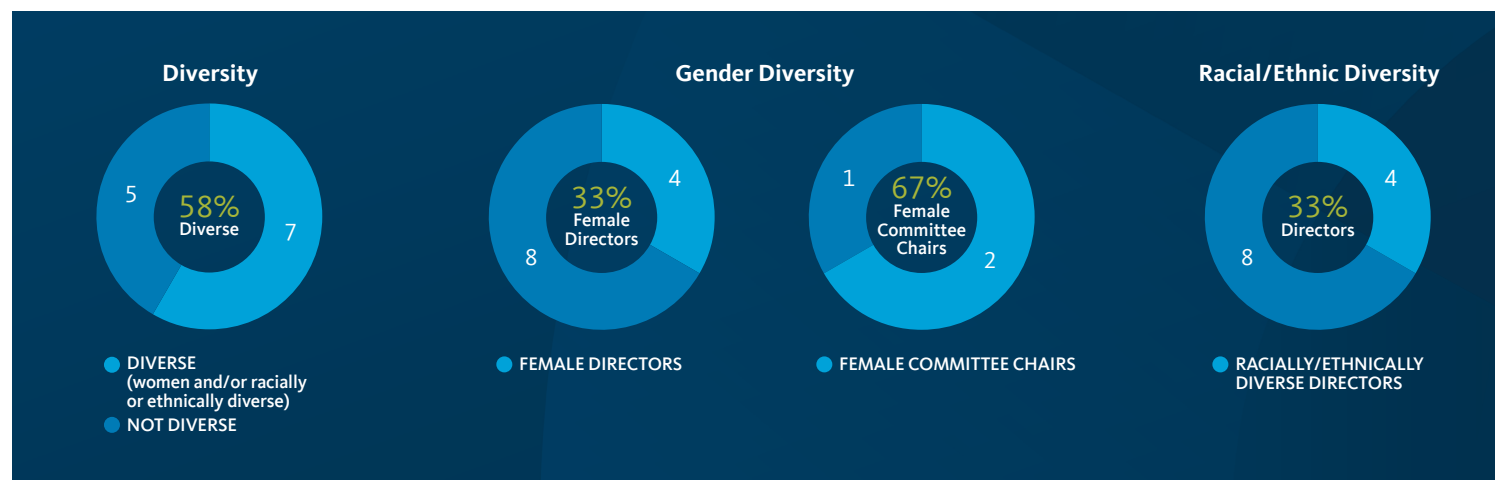
opportunities assessment under the Task Force on Climate-related Financial Disclosures (TCFD) framework, the results of which can be found in our 2022 CDP Report. As a testament to our sustainability efforts, we have been added as a constituent of the FTSE4Good Index Series, recognized as a 2022 EPEAT Purchaser Award winner and received multiple 2022 Great Place to Work® awards and certifications.

Below are some highlights of our sustainability initiatives and accomplishments since our 2021 Sustainability Report.

## Governance

### BOARD REFRESHMENT AND BOARD DIVERSITY

Through our ongoing board refreshment efforts, three highly qualified directors have joined our Board in the past two years. With the recent appointment of Eileen K. Murray to the Board, women now represent 33% of our Board, while women and ethnically diverse members represent close to 60% of our Board.

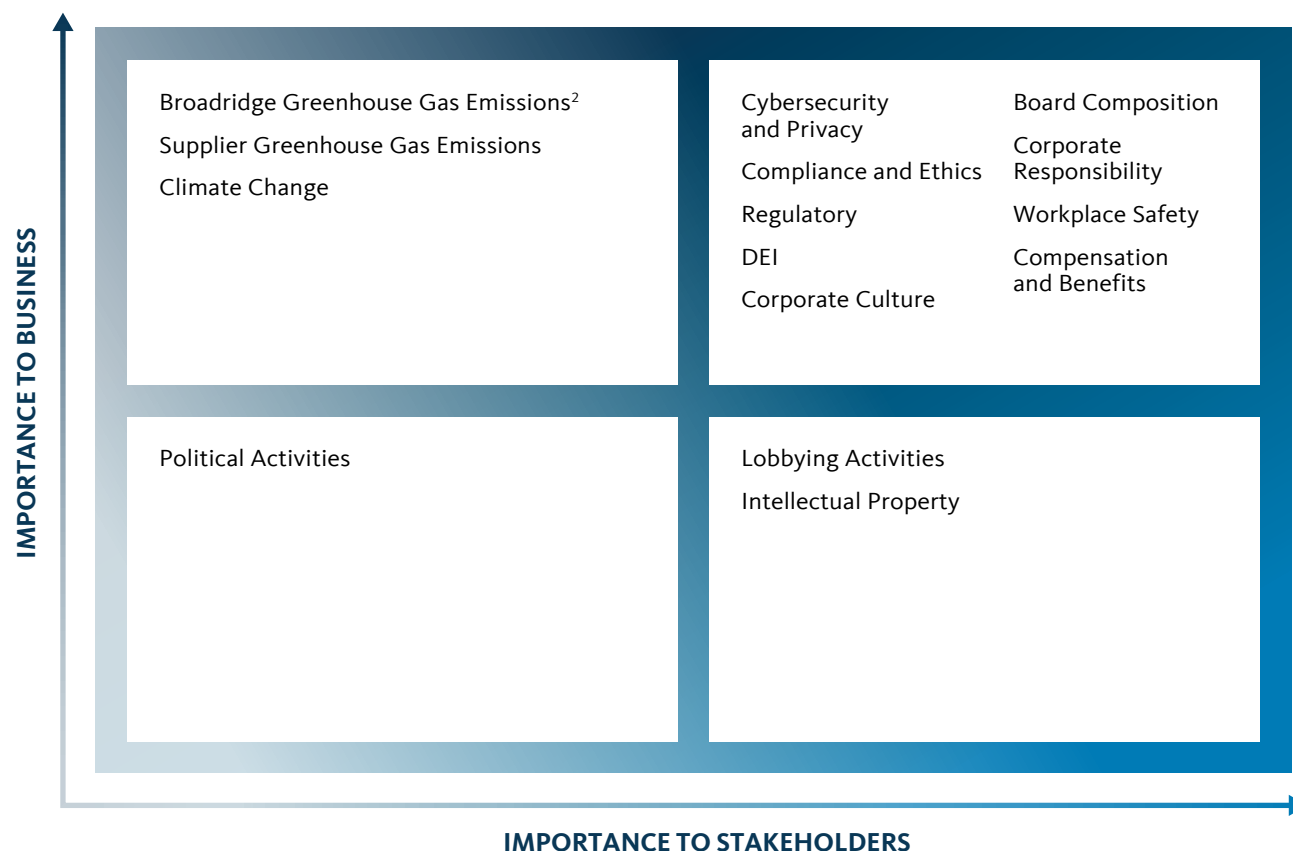


# 2022 Sustainability Highlights

## ESG MATERIALITY ASSESSMENT <sup>1</sup>

We performed a materiality assessment to inform the Company's ESG reporting and strategy. We solicited input from Company leaders regarding how ESG risks and opportunities could potentially affect the Company from the perspective of what is important to

our key stakeholders as well as what is important to Broadridge as an enterprise. The assessment was completed during fiscal year 2022 and captures the ESG issues deemed to be important to the Company as of that time.



- (1) Our ESG materiality assessment was designed to identify the most relevant, or material, issues from an ESG perspective, which is a broader standard than that used in our financial disclosures. The use of “material” when referring to ESG topics throughout this report is intended to flag the most important issues from our ESG assessment. It does not speak to the materiality of those issues to Broadridge as a whole.
- (2) Broadridge Greenhouse Gas Emissions results include feedback on questions on renewable energy, energy efficiency, air quality and water consumption.

# 2022 Sustainability Highlights

## ESG MATERIALITY ASSESSMENT (CONTINUED)



### 1. Identified key stakeholders

Identified the key stakeholders of the Company. For the 2022 materiality assessment, we focused on investors and analysts, regulators, employees, public companies, banks and brokers, institutional investors, mutual funds, communities where we work and live, investment advisers, and Broadridge as an enterprise.



### 2. Created a list of important and relevant ESG risks, opportunities and issues

Created a list of important and relevant ESG risks, opportunities and issues applicable to Broadridge or its stakeholders. We considered current ESG risks and opportunities based on our TCFD assessment, emerging sustainability trends, the Sustainability Accounting Standards Board, the United Nations Sustainable Development Goals, stakeholder requests for information, rater/ranker evaluations, peer reporting, news articles and the Company's regulatory filings.



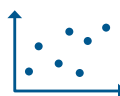
### 3. Evaluated relevance to Broadridge's business

Considered whether, and the degree to which, the identified ESG risks, opportunities and issues could potentially affect Broadridge's business, financial condition, operating results, prospects or stock price. This included a survey of input from Company leaders regarding how ESG risks and opportunities could potentially affect the Company and our TCFD assessment.



### 4. Evaluated importance to stakeholders

Considered whether, and the degree to which, the identified ESG risks, opportunities and issues may affect or be of interest to Broadridge's key stakeholders. This included a survey of input from Company leaders, discussions with Enterprise Risk Management and Business Continuity Planning Program teams and investor calls.



### 5. Mapped issues on a matrix

Mapped each ESG risk, opportunity and issue according to the scores generated in steps 3 and 4 to populate an initial ESG materiality matrix. Each stakeholder category was equally weighted.



### 6. Established material issues and addressed with enhanced disclosure

Identified and assessed ESG risks, opportunities and issues identified in steps 3 and 4 and addressed certain topics with enhanced disclosure such as expanded climate reporting in our 2022 CDP Report and focused disclosure in our updated sustainability website.

# 2022 Sustainability Highlights

## Social

- Creation of three new Associate Networks, for a total of six Associate Networks.



- Launched dedicated DEI webpage at [broadridge.com/about/diversity-equity-inclusion/](https://broadridge.com/about/diversity-equity-inclusion/).
- In fiscal year 2022, Broadridge again had a component of compensation tied to diversity, equity and inclusion for each member of our executive leadership team, and included a DEI goal in the bonuses of an additional 2,200 managers.
- Enhanced DEI data disclosure and publication of the Company's EEO-1 Report included on [page 15](#) of this report.
- In fiscal year 2022, our employee engagement score of 77% overall favorable rating remained consistent with our 2021 score in the annual Great Place to Work® survey. In addition, 80% of our associates stated that Broadridge is a “great place to work.”

## Environment

- Piloted a qualitative climate risk assessment and disclosed key climate-related risks and opportunities indexed to TCFD in our 2022 CDP Report.



- Enhanced climate-related disclosure in our 2022 CDP Report.

- Expanded scope of Scope 1 and 2 emissions data capturing company-wide Broadridge offices, facilities, and data centers across 196 sites, whereas prior years captured only significant operational locations
- Estimated and reported all 15 categories of Broadridge's Scope 3 emissions for the first time, leveraging the Greenhouse Gas Protocol/Quantis Scope 3 screening and estimator tool
- Attained Limited Assurance by independent third party of fiscal year 2022 Scope 1, 2, and material Scope 3 emissions data
- Disclosed climate-related risk and opportunity assessment



- Retained a leading climate consulting firm to help us develop a plan to reach net zero greenhouse gas emissions by 2050.



# 2022 Sustainability Highlights

## 2022 Awards and Achievements

### WINNER 2008–2022

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



### CERTIFIED 2022

Great Place to Work®

(United States, Canada, India, Ireland, Japan, Poland,  
Romania, Singapore, and the United Kingdom)



### WINNER 2013–2022

Best Places to Work for LGBTQ+ Equality  
Human Rights Campaign Foundation



### 2022 Constituent of the FTSE4Good Index Series



FTSE4Good

Recognized as a 2022 EPEAT Purchaser Award winner  
an accomplishment which highlights our commitment to  
sustainable electronics procurement





# 2022 Sustainability Performance Tables

## General

Company Information (as of June 30, 2022)		Quantity
Total full-time employees		Approximately 14,300 full-time associates
Employees employed in U.S.		49%
Employees employed outside the U.S.		51%
Countries		21
Facilities		47
Total revenues		\$5.7 billion
Closed sales		\$281.9 million

## Environmental<sup>1</sup>

Greenhouse Gas (GHG) Emissions Indicator	Scope	Unit	Quantity
<b>Scope 1 Emissions<sup>2</sup></b>	Global	MTCO <sub>2</sub> e	<b>14,499</b>
HFC	Global	MTCO <sub>2</sub> e	1,163
CO <sub>2</sub>	Global	MTCO <sub>2</sub> e	13,322
CH <sub>4</sub>	Global	MTCO <sub>2</sub> e	6
N <sub>2</sub> O	Global	MTCO <sub>2</sub> e	8
<b>Scope 2 Location-based Emissions<sup>3</sup></b>	Global	MTCO <sub>2</sub> e	<b>34,863</b>
<b>Total Scope 1 and 2 Emissions</b>	Global	MTCO <sub>2</sub> e	<b>49,362</b>
<b>Scope 3 Emissions<sup>4</sup></b>			
Purchased goods and services	Global	MTCO <sub>2</sub> e	2,654,244
Upstream transportation and distribution	Global	MTCO <sub>2</sub> e	3,493,242
End-of-life treatment of sold products	Global	MTCO <sub>2</sub> e	65,251
<b>Total Scope 1 and 2 Emissions Intensity</b>	Global	MTCO <sub>2</sub> e / unit total revenue	<b>0.000098848</b>
<b>Independent third-party verification of environmental data and level of assurance</b>	Global		<b>Yes, limited assurance</b>
<b>Environmental Impact of Digital and Eco-Friendly Services</b>			<b>Quantity</b>
Digital suppression rates of delivery of paper investor communications			86%
Number of virtual shareholder meetings			2,495

(1) For more information, please see our 2022 CDP Report available at [broadridge.com/about/sustainability/](https://broadridge.com/about/sustainability/).

(2) Scope 1 emissions are direct GHG emissions that occur from sources that are controlled or owned by an organization.

(3) Scope 2 emissions are indirect GHG emissions associated with the purchase of electricity, steam, heat, or cooling.

(4) 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 estimated all 15 categories of potential Scope 3 emissions, finding that its purchased goods and services, upstream transportation and end of life of sold products are material to our business.

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

\*\* The use of "material" when referring to ESG topics throughout this report is intended to flag the most important issues from our ESG assessment. It does not speak to the materiality of those issues to Broadridge as a whole.

# 2022 Sustainability Performance Tables

## Environmental (Continued)

Electronics Procurement	Scope	Quantity
EPEAT Ecolabel Certified Technology	North America	100% of Broadridge's standard internal associate laptops, monitors, and printers have been categorized as Silver or Gold Tier by the Global Electronics Council's EPEAT ecolabel system.
Policies		
Environmental Policy		Yes

## Social

Workforce Diversity	
See the Company's EEO-1 Report filed in May 2022 attached hereto as <a href="#">Annex 1</a>	
Corporate and Other Giving	Donation Amount
Matching Gift Program	\$640,064
Broadridge Foundation	\$869,500
Other Company and associate donations	\$1,615,126
<b>Total Donations</b>	<b>\$3,124,690</b>
Non-Profit Partnerships and Associate Service Initiatives	Impact
<b>Thurgood Marshall College Fund</b>	
Number of scholarships provided by Broadridge	24
<b>Virtual Enterprises</b>	
Number of students impacted directly by Broadridge associates	115
<b>NPower</b>	
Associate volunteer hours	242
Number of NPower alumni employed at Broadridge	15
<b>SIFMA Foundation</b>	
Number of students impacted by Broadridge's funding, community leadership, and associate engagement	23,000
Percent increase in students from FY21	50%
Number of Broadridge associate volunteers	159
<b>Sri Vidhyas Centre for the Special Children</b>	
Number of students served	120
<b>MV Foundation-Residential Bridge Camps (information below represents total numbers since the establishment of the foundation)</b>	
Number of students pursuing higher education above 10th grade	121
Number of students who have successfully transitioned from bonded labor into our "pre-education" system	157
<b>Total Broadridge Associates Volunteer Hours</b>	<b>1,803</b>

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

# 2022 Sustainability Performance Tables

## Social (Continued)

Associate Engagement		Quantity		
Broadridge's annual Great Place to Work® survey was completed in December 2021. Global associates hired prior to July 1, 2021 were invited to share feedback on their individual experiences at Broadridge. Survey responses were collected and aggregated by the Great Place to Work Institute, Inc., a global authority on high-trust, high-performance workplace cultures, to keep our associates' feedback confidential and protect anonymity.				
Associate engagement score		77%		
Number of participants		6,101		
Survey response rate		54%		
Training and Leadership Programs		Quantity	Associates Participating	Hours Completed
Ethics and Compliance Training <sup>5</sup>		6 programs annually	95%+	28,489
Code of Business Conduct and Ethics				
Security Awareness Fundamentals				
Global Privacy and Data Protection				
Anti-harassment and Discrimination				
Enterprise Risk Management				
Business Continuity				
Bespoke Development Program				
World Class Product Management			155 associates	5,080
Leading in the Connected Workplace			1,496 associates	2,244
Connected Workplace 101			2,846 associates	2,846
Learning and Development				
LinkedIn Learning		Over 8,500 online courses	4,315 associates	15,587
Intuition		Over 200 tutorials	477 associates	2,951
Additional e-learning and bespoke courses		Over 125 courses	10,486 associates	18,268
Career Enrichment and Leadership Development		6 programs annually	695 associates	17,726
Individual Leadership			308 associates	6,468
Leading People: Advanced			152 associates	3,420
Leading People: Foundations			117 associates	2,399
Talent Acceleration Program			27 associates	3,105
Agile Certified Practitioner			38 associates	1,254
ExecOnline			53 associates	1,080
Technology Expert Career Framework		8,430 programs	1,256 associates	5,725 hours
Labor Practices		Quantity		
Labor unions/collective bargaining agreements/works councils		None of our U.S. employees are represented by a labor union. In some countries outside the U.S., we have works councils or we are required by local law to enter into and/or comply with industry-wide collective bargaining agreements.		
Percentage of associates covered by works councils		3.0%		

(5) This list represents training required globally. Additional ethics and compliance training such as Anti-bribery and Corruption and Antitrust training is required for specific roles and geographies.

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

# 2022 Sustainability Performance Tables

## Social (Continued)

Awards	Scope/Country	Year
<b>Great Place to Work® certified</b>	India	Certified 2018–2022
	U.S. and Canada	Certified 2019–2022
	UK and Ireland	Certified 2021–2022
	Romania, Poland, Singapore and Japan	Certified 2022
Best Workplaces™ in Fintech (India) (Great Place to Work®)	India	Winner 2022
Best Workplaces™ for Women (UK) (Great Place to Work®)	UK	Winner 2022
Best Workplaces™ for Hybrid Work (CAN) (Great Place to Work®)	Canada	Winner 2022
<b>Best Companies to Work For in New York — NY State Society for Human Resource Management</b>	U.S.	Winner 2008–2022
<b>Best Place to Work for LGBTQ Equality — Human Rights Campaign Foundation</b>	Global	Winner 2013–2022

## Governance

Cybersecurity and Data Privacy	Scope	Quantity
Number of material cybersecurity breaches	Global	0
Global Privacy Policy	Global	Yes
NIST Cybersecurity Framework utilization	Global	Yes
<b>Certifications/Ratings</b>	Certain products and solutions. Learn more about our <a href="#">Information Security</a> .	
Business units, core applications and facilities ISO 27001 certified		
Cloud Security Alliance Security Trust Assurance and Risk Level 2 Certification (Managed Cloud Services/Highest Standard)		
BitSight Advanced Rating		
Payment Card Industry Data Security Standard Annual Certification		
HITRUST CSF Certification		
Federal Information Security Modernization Act of 2014		
<b>Examinations/Assessments</b>		
SOC Examinations		
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.		
Audit Committee of Board of Directors provided third-party quarterly cybersecurity assessment	Global	Yes
Tabletop Exercise with third party	Global	Bi-annual
Management Cybersecurity Council	Global	Yes
Cybersecurity Liability Insurance	Global	Yes

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

# 2022 Sustainability Performance Tables

## Governance (Continued)

Liabilities and Fines Related to Data Privacy		Scope	Quantity
Private civil litigation		Global	\$0
Enforcement/regulatory actions		Global	\$0
Liabilities and Fines Related to Anti-competitive Behavior Regulations		Scope	Quantity
Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations		Global	\$0
Board of Directors			Quantity
Size of the Board			12
Independent directors on Board			83%
Independent directors Audit Committee			9 (100%)
Independent directors Compensation Committee			3 (100%)
Independent directors Governance and Nominating Committee			4 (100%)
Separate CEO and Board chair			Yes
Independent Board chair			No
Independent lead director			Yes
Women directors on Board			4 (33%)
Racially or ethnically diverse directors on Board			4 (33%)
Total diverse directors			7 (58%)
Average age			65 years
Average tenure			7 years
Mandatory retirement age			72 (unless they have served on the Board for less than eight years)
Board meetings held			5
Director meeting attendance			100%
Audit committee members limited to 3 public company audit committees			Yes
Annual Board and committee self-assessments			Yes
Orientation program for new directors			Yes
Equal voting rights (one vote per share)			Yes
Say on pay voting support			93% (2021)
Majority voting standard			Yes
Classified board			No
Proxy access by-law provision			Yes
Right to call special meeting			Yes

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

# 2022 Sustainability Performance Tables

## Governance (Continued)

Political Involvement		
Political Action Committee		Yes
Political Contributions Policy		Yes
Political contributions disclosure		Yes (See <a href="https://broadridge.com/resource/political-contributions-disclosure">broadridge.com/resource/political-contributions-disclosure</a> )
Compensation Governance Practices		
Robust stock ownership and holding period guidelines applicable to Board and officers		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
Associate compensation		We utilize a performance-based compensation approach with a portion of every associate's compensation tied to client satisfaction goals, which reinforces our commitment to the Service-Profit Chain and rewards associates for their contributions to Broadridge's overall client satisfaction performance.
Variable performance-based component to pay/annual employee bonus plan or performance-based variable pay for all employees		
Ethics		
Code of Business Conduct and Ethics		Yes
Vendor Code of Conduct		Yes
Anti-bribery Policy		Yes
Human Rights Statement of Commitment		Yes
Safety Policy		Yes
Insider Trading Policy		Yes
Anti-discrimination Policy (U.S. and UK)		Yes
UN Global Compact Signatory		No
Management ESG Committee		Yes
External Auditor		Deloitte & Touche LLP
Regular Audits of Ethical Standards		We perform risk assessments and review and update our Ethics and Compliance program, including training for our associates. The Company's internal audit group annually reviews certain aspects of the Ethics and Compliance program, including the effectiveness and completeness of the program components, administration of the Company's ethics hotline, and the procedures designed to establish compliance with the Code of Business Conduct and Ethics.
Employee Training on Ethical Standards		All of the Company's part-time and full-time associates, including certain of our vendors and consultants, are required to complete annual training on our Code of Business Conduct and Ethics.

\* All data provided herein is for fiscal year 2022 unless otherwise noted.

# 2022 Sustainability Performance Tables

## INDEXING SASB — Software & IT Services

Metric	SASB Code	Data/Description			
		Item	Territory	Unit	Quantity
Environmental Footprint of Hardware Infrastructure					
(1) Total energy consumed, (2) percentage grid electricity, (3) percentage renewable	TC-SI-130a.1	(1) Total energy consumed	Global	GJ	540,140
		(2) Percentage grid electricity	Global	%	100
		(3) Percentage renewable	Global	%	0
Data Privacy & Freedom of Expression					
Description of policies and practices relating to behavioral advertising and user privacy	TC-SI-220a.1	See <a href="#">Information Security and Privacy</a> and <a href="#">Overview of Information Security and Global Privacy Programs</a>			
Total amount of monetary losses as a result of legal proceedings associated with user privacy	TC-SI-220a.3	\$0			
List of countries where core products or services are subject to government-required monitoring, blocking, content filtering, or censoring	TC-SI-220a.5	Our core products and services are not subject to government-required monitoring, blocking, content filtering, or censoring.			
Data Security					
Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards		See <a href="#">Information Security and Privacy</a> and <a href="#">Overview of Information Security and Global Privacy Programs</a>			
Recruiting & Managing of Global Diverse and Skilled Workforce					
Percentage of employees that are (1) foreign nationals and (2) located offshore	TC-SI-330a.1	(1) Approximately 2% of our full-time associates are foreign nationals who require an employment visa to work in the country in which they are employed. (2) 51% of full-time employees are located offshore of the U.S.			
Employee engagement as a percentage	TC-SI-330a.2	77%			
Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff, and (3) all other employees	TC-SI-330a.3	Please see the Company's EEO-1 Report included herein as <a href="#">Annex 1</a>			
Intellectual Property Protection & Competitive Behavior					
Total amount of monetary losses as a result of legal proceedings associated with anticompetitive behavior regulations	TC-SI-520a.1	\$0			

\* All data provided herein is for fiscal year 2022 unless otherwise noted.



# Annex 1

## 2021 EEO-1 Report

We strive to increase diversity in our workforce with a focus on hiring, retaining and developing diverse talent. The Consolidated EEO-1 Report below is a snapshot in time of our U.S. workforce demographics and is based on specific race, ethnicity and job categories prescribed by the U.S. federal government. These categories may exclude certain races and ethnicities. Also, these job categories are not necessarily representative of how our industry or Broadridge's workforce is organized or how we track our progress. Further, Broadridge is a U.S.-headquartered global company with a large percentage of our workforce based outside of the U.S. To align with government reporting requirements, data in our EEO-1 reporting uses traditional gender categories of male and female. However, we honor and appreciate that gender identity can be nonbinary. Although it is impossible to capture the diversity of Broadridge's workforce in a single chart, we publish the Consolidated EEO-1 Report because we want to be transparent about the diversity of our U.S.-based workforce, and we recognize the value of public disclosure of standardized data across companies.

Job Categories	Hispanic or Latino		Not Hispanic or Latino												Overall Totals
			Male						Female						
	Male	Female	White	Black or African American	Native Hawaiian or Pacific Islander	Asian	American Indian or Alaskan Native	Two or More Races	White	Black or African American	Native Hawaiiin or Pacific Islander	Asian	American Indian or Alaskan Native	Two or More Races	
Executive/Sr Officials & Mgrs	8	1	281	8	0	48	0	3	74	7	1	16	0	0	447
First/Mid Officials & Mgrs	43	35	490	30	3	145	1	9	191	15	0	36	1	7	1,006
Professionals	101	86	930	66	1	366	4	17	498	79	1	164	3	21	2,337
Technicians	8	1	38	7	0	23	1	1	4	2	0	7	0	3	95
Sales Workers	1	0	42	2	0	1	0	0	19	0	0	1	0	1	67
Administrative Support	111	179	251	117	6	78	5	7	227	101	3	81	3	18	1,187
Craft Workers	46	2	78	9	0	17	0	6	0	0	0	0	0	0	158
Operatives	57	96	85	62	8	93	2	6	93	33	5	87	2	2	631
Laborers & Helpers	13	9	36	6	1	19	0	1	7	4	0	4	0	0	100
Service Workers	3	0	1	0	0	0	0	0	1	1	0	0	0	0	6
Total	391	409	2,232	307	19	790	13	50	1,114	242	10	396	9	52	6,034

# 2022 Task Force on Climate- related Financial Disclosures Index

## Governance

Disclosure	Reference or Report Section
Disclose the organization's governance around climate-related risks and opportunities.	<p>Our Board of Directors and the Governance and Nominating Committee of our Board oversee Broadridge's ongoing commitment to environmental, social and governance matters, including climate-related risks and opportunities, relevant to Broadridge. In addition, one of Broadridge's Board members has been deemed to have competence on climate-related issues.</p> <p>Our management-led ESG Committee regularly reports to the Governance and Nominating Committee and annually to the full Board on ESG matters. The ESG Committee also assists the senior management of Broadridge in:</p> <ol style="list-style-type: none"> <li>1. Setting general strategy relating to ESG matters,</li> <li>2. Developing, implementing, and monitoring initiatives and policies based on that strategy,</li> <li>3. Overseeing communications with associates, investors, and stakeholders with respect to ESG matters, and</li> <li>4. Monitoring and assessing developments relating to, and improving Broadridge's understanding, of ESG matters.</li> </ol> <p>The ESG Committee is responsible for reviewing both internal and external targets, metrics, and goals related to ESG. For example, the ESG Committee is currently reviewing and developing a plan to reach net zero greenhouse gas emissions by the year 2050. In addition, the ESG Committee is also working to seek validation of near- and long-term emissions reduction targets by the Science Based Targets initiative (SBTi) in the next two years. We have also reviewed our climate-related initiatives and goals with the Governance and Nominating Committee of the Board and the full Board.</p> <p><i>For additional information, please reference Broadridge's 2022 CDP Report responses to questions C1.1.a, C1.1.b and C1.2.</i></p>

## Strategy

Disclosure	Reference or Report Section
<p>Disclose the actual and potential impacts of climate-related risks and opportunities on the organization's businesses, strategy, and financial planning where such information is material.</p> <ol style="list-style-type: none"> <li>(a) Describe the climate-related risks and opportunities the organization has identified over the short, medium, and long term.</li> <li>(b) Describe the impact of climate-related risks and opportunities on the organization's businesses, strategy, and financial planning.</li> <li>(c) Describe the resilience of the organization's strategy, taking into consideration different climate-related scenarios, including a 2°C or lower scenario.</li> </ol>	<p>In 2022, Broadridge piloted a qualitative climate risk assessment as described in <a href="#">Appendix A</a> attached hereto.</p> <p>As a result of the piloted qualitative climate risk assessment, we have identified certain potential climate-related risks and opportunities set forth in <a href="#">Appendix B</a> and disclosed in our 2022 CDP Report responses to question C2.2a.</p> <p>Currently climate-related risks to our business do not reach the threshold of substantive financial or strategic impact on Broadridge's business. For example, we anticipate that potential acute physical impacts of climate change identified in our 2022 CDP Report do not substantially impact our revenues or have a long-term impact on our facilities and operations. However, we continue to monitor potential future physical and transition risks and assess integration of long-term climate-related risks into the Company's Enterprise Risk Management (ERM) framework and Business Continuity Planning (BCP) program.</p> <p><i>For additional information please reference Broadridge's 2022 CDP Report responses to questions C2.1a, C2.1b, C2.2, C2.2a, C2.3, C2.3a, C2.4, C2.4a, C3.1, C3.2, C3.2a, C3.2b, C3.3, and C3.4.</i></p>

# 2022 Task Force on Climate- related Financial Disclosures Index

## Risk Management

Disclosure	Reference or Report Section
<p>Disclose how the organization identifies, assesses, and manages climate-related risks.</p> <ul style="list-style-type: none"> <li>(a) Describe the organization's processes for identifying and assessing climate-related risks.</li> <li>(b) Describe the organization's processes for managing climate-related risks.</li> <li>(c) Describe how processes for identifying, assessing, and managing climate-related risks are integrated into the organization's overall risk management.</li> </ul>	<p>Broadridge approaches climate-related risks and opportunities in the same way that it addresses other risks and opportunities. From a risk perspective, we annually assess our risks in the context of producing our risk factor disclosures, through our ERM framework and BCP program. We have an ERM framework that annually assesses our enterprise risks. This program is overseen by our risk committee comprised of senior executives, including our President, Chief Financial Officer, Chief Legal Officer, Corporate Secretary, Chief Compliance Officer, and includes representatives of various functions across the Company. It is led by an ERM Program Manager who leads a review of the top risks across the enterprise.</p> <p>The goal of the ERM process is to provide an ongoing procedure, affected at all levels of the Company across each business unit and corporate function, to identify and assess risk, monitor risk, and agree on mitigating action. As part of this annual review, the management-led risk committee considers what the material risks are for the Company, and ranks those risks relative to each other. Risks relating to the climate, environmental compliance, and emerging regulations are subject to this annual process, in the context of the Company's top risks. In addition to the ERM process, this year we specifically considered climate risks in the context of an assessment of our material ESG issues. The process involved asking all of the members of our Executive Leadership Team and business and functional leaders to help identify the top risks and opportunities across the Company, based on a range of more than 25 topics.</p> <p>Broadridge also monitors applicable regulations and disclosure requirements, such as the proposed SEC climate disclosure rules. Our facilities and regulatory teams assess compliance with regulations applicable to our facilities and monitor potential state climate-related reporting and transparency requirements. We continuously look to improve our operational efficiencies while also reducing our carbon footprint through our responsible and eco-friendly supply chain.</p> <p>Although our current ERM framework and BCP program address applicable and material climate-related issues, we are piloting a more in-depth climate risk and opportunity analysis outlined in <a href="#">Appendix A</a> with a view towards enhancing our overall process to address long-term climate issues with potential integration into our ERM framework and BCP program.</p> <p>See also "Governance" above for Board and ESG Committee oversight on ESG matters.</p> <p><i>For additional information please reference Broadridge's 2022 CDP Report responses to questions C2.1, C2.1b, C2.2, C2.2a, C2.3, C2.3a, and C3.3.</i></p>

## Metrics and Targets

Disclosure	Reference or Report Section
<p>Disclose the metrics and targets used to assess and manage relevant climate-related risks and opportunities where such information is material.</p> <ul style="list-style-type: none"> <li>(a) Disclose the metrics used by the organization to assess climate-related risks and opportunities in line with its strategy and risk management process.</li> <li>(b) Disclose Scope 1, Scope 2, and, if appropriate, Scope 3 greenhouse gas emissions, and the related risks.</li> <li>(c) Describe the targets used by the organization to manage climate-related risks and opportunities and performance against targets.</li> </ul>	<p>Broadridge committed to the SBTi as of May 2022 and as part of this we are a Business Ambition for 1.5°C campaign member. In order to meet this commitment, we plan to set a target in the next two years, including a near-term target to be submitted to SBTi for validation. We will reference the minimum specified rate by SBTi of 4.2% per year over the next five years, or an equivalent reduction in carbon intensity depending on the SBTi target approach we choose to adopt.</p> <p>We are setting our target base year to be our 2022 fiscal year and our 2022 CDP Report target base year has been recalculated for an increased greenhouse gas operational boundary to enhance completeness in line with the Greenhouse Gas Protocol.</p> <p>Broadridge is currently reviewing and developing a plan to reach net zero greenhouse gas emissions by the year 2050, including a near-term target to be submitted to SBTi for validation, backed by a comprehensive approach to develop detailed emission reduction roadmaps.</p> <p>The risks of Broadridge's current Scope 1, Scope 2, and majority of our Scope 3 emissions are minimal from a financial perspective. For our Scope 1, 2 and 3 emissions information, please see Broadridge's 2022 CDP Report sections C6 and C7.</p> <p><i>For additional information please reference Broadridge's 2022 CDP Report responses to questions C4.1, C4.1c, C4.2, C4.2c, C5.1, C5.1a, C5.1b, C5.1c, C5.2, C5.3, C6.1, C6.2, C6.3, C6.4, C6.5, C6.7, C6.10, C7.1, C7.1a, C7.2, C7.3, C7.3a, C7.3b, C7.3c, C7.5, C7.6, C7.6a, C7.6b, C7.6c, C8.1, C8.2, C8.2a, C8.2b, C8.2c, C8.2d, and C8.2g.</i></p>

# Appendix A

## Qualitative Climate Risk Assessment

The Task Force on Climate-related Financial Disclosures recommendations call for businesses to consider their strategic plans against climate-related risks. The Intergovernmental Panel on Climate Change (IPCC) and International Energy Agency (IEA) are prominent reference sources for future climate risks over a time horizon of 20 to 30 years.

The below sources were considered to test both physical and transition climate-related risks to certain Broadridge locations over the short, medium and long term. Edgewood (New York), Markham (Canada), El Dorado Hills (California), and sites in Bangalore and Hyderabad (India) were used as a sample to review risk exposure.

Reference 1	
Physical risks associated with a slow, weak transition - Warming of 2.6-4.8°C by 2100	
Overview	Based on the IPCC “business as usual” pathway (RCP8.5). Represents a world with stable economic development and steadily rising global carbon emissions, with CO <sub>2</sub> concentrations reaching ~1370 ppm by 2100 and global mean temperatures increasing by 2.6–4.8°C relative to 1986–2005 levels.
Description	RCP8.5 assumes climate-related policies already announced by key governments which do not pursue decarbonization to align with the objectives of the Paris Agreement. Whilst the development and deployment of low carbon technologies is maintained, unabated use of fossil fuels continues to play a significant role in the international energy system. Physical risks intensify as atmospheric CO <sub>2</sub> and global temperatures rise.
Example Physical Risk Trends	<ul style="list-style-type: none"> <li>• Potential exposure to higher temperatures due to climate pattern changes.</li> <li>• Water restrictions due to the extended duration of drought conditions.</li> <li>• Onset of hurricanes and tropical storms.</li> <li>• Flooding associated with cyclone and monsoon events.</li> <li>• Extended Fire Seasons due to California's drought conditions.</li> </ul>
Reference 2	
Transition risks - Warming of 1.5°C by 2100	
Overview	Based on the IEA Net Zero Emissions by 2050 pathway (NZE). Represents a pathway to achieve net zero emissions by 2050 from the perspective of the global energy system, considering supply and use of energy across regions and sectors.
Description	NZE assumes global investment in clean energy technologies and innovation of clean electrification, improvements in energy efficiency curb demand for electricity and fuels of all kinds, and global transition from coal production and fossil fuel dependence to reduce methane emissions.
Example Transition Risk Trends	<ul style="list-style-type: none"> <li>• Risk of developing a weak reputation of corporate citizenship surrounding climate-related issues and regulations.</li> <li>• Potential for litigation around climate-related issues.</li> <li>• Additional taxes, higher costs and potential fines associated with municipal emissions reduction goals.</li> <li>• Increased Cost of Goods and supply chain interruptions are expected based on manufacturing delays, increased fuel, and inflation rates.</li> <li>• Cost impact to CapEx to be determined if LED conversion is mandated and enforced improvement to current dust mitigation for the operations shredding/recycling program.</li> </ul>

# Appendix B

## Overview of Climate Risks and Opportunities

### Transition and liability risks as a result of transition to a low carbon economy

#### Policy and legal

- Emerging regulations
  - *Enhanced emissions reporting obligations* - Broadridge has governance processes in place monitoring all SEC regulations and disclosure requirements, and we are aware of the current discussions that are taking place with respect to the SEC's Climate Disclosure Proposal. Once the proposal is finalized, we will work on preparing our disclosures in accordance with the finalized proposal.
  - *Increased carbon policy* - States including New York, where our Edgewood facilities are located, may adopt carbon reduction goals that could apply to our businesses. This could result in additional taxes, higher costs, and potential fines for our businesses if we do not adhere to applicable state regulations.
- Exposure to climate-related litigation - Increased climate-related compliance costs, reporting requirements, claims, and litigation could have an impact on Broadridge. We currently do not have any material environmental-related litigation and do not anticipate any in the near future.

### Physical risks resulting from the changes in climate

#### Acute

Our large Indian offices are located in Bangalore and Hyderabad, which are monsoon-prone areas. Heavy rain and surface winds may cause water logging or seepage that could damage our Indian offices and related infrastructure. We may experience business and operational interruptions due to power outages. At this time, we believe the diesel back-up generators that are currently in these locations are sufficient to maintain most business as normal activities.

Our Edgewood, New York offices and printing facilities are located in areas that may be subject to hurricanes and wildfires. Historically, very few hurricane warnings materialized into an actual hurricane, and even in those instances we have not had a material impact on our Edgewood operations. On occasion, installed flood pumps are used to address flood risks and heavy rainfall. If such events do occur, we may experience damage to our infrastructure as well business and operational interruptions due to power outages.

Our Markham, Canada facility may be subject to extreme storms such as hurricanes and tornadoes. Historically, our Canadian facility is not typically subject to these extreme storms, however, if such events do occur, we may experience damage to our infrastructure as well business and operational interruptions due to power outages. At this time, we believe the generators, the dual power grid feeds and uninterruptible power source units at this location are sufficient to maintain most business as normal activities.

Our El Dorado Hills, California facility is located near El Dorado National Forest where wildfires due to drought conditions have occurred. This facility may be subject to risks associated with staffing reduction due to poor air quality, as well as higher operating expenses for building maintenance such as increased filter changes for HVAC equipment and higher vendor pricing to include fuel surcharges and travel charges.

Due to the possibility of these acute climate events, we have robust business continuity plans in place. Our business units have established and maintain disaster recovery and business continuity plans, 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 disaster recovery and BCP professionals.

#### Chronic

Global warming is a chronic physical risk affecting our properties globally. Our Indian offices and certain North American facilities are subject to water stress and certain of our U.S. facilities are also subject to a rise in sea level. These chronic physical risks can result in increased running hours of generators and HVAC systems which may lead to high diesel, power, and water consumption.

### Opportunities

#### Products and services

We are well positioned to lead in the connection between digital-first products and environmental sustainability. Our products help our clients lower their environmental footprints within the traditional "take, make, and throw away" model in order to reduce waste and mitigate greenhouse gas emissions. We offer numerous e-delivery products that replace paper communications as well as suppression methods that decrease mailed paper volumes. Our solutions, such as Virtual Shareholder Meetings, Digital Proxy, Regulatory Mutual Fund Communications, and the Broadridge Customer Communications Cloud, promote sustainability by reducing resource input and waste output.

#### Reputation and enhanced climate disclosure

We continue to focus on enhancing our climate performance and disclosure. We have retained a leading climate consulting firm to help develop a plan to reach net zero greenhouse gas emissions by the year 2050. We are planning to set a date at which we will achieve this goal, including a near-term target to be submitted to SBTi for validation, backed by a comprehensive approach to develop detailed emission reduction roadmaps. Importantly, Broadridge's targets will go beyond Scopes 1 and 2 emissions to include its largest Scope 3 emissions. In addition, we have disclosed our climate-related risks and opportunities in our 2022 CDP Report.



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

Broadridge Financial Solutions, Inc.  
5 Dakota Drive, Lake Success, NY 11042  
+1 516 472 5400