

# Aviso Wealth Selects Broadridge to Power its Wealth Management Platform

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TORONTO and NEW YORK, May 13, 2021 /PRNewswire/ -- **Broadridge Financial Solutions, Inc.** (NYSE:BR), a global Fintech leader, today announced that Canadian financial services company **Aviso Wealth Inc.** ("Aviso Wealth") is being powered by Broadridge's digital advisor desktop and securities processing engine and is utilizing its integrated Digital Information Onboarding platforms.

"Broadridge is the only firm with the proven technology, scale and experience to meet our ambitious business goals," said Bill Packham, President and CEO of Aviso Wealth. "We are excited to extend our partnership with Broadridge to support our drive for service excellence and enterprise-wide efficiencies and scalability. The change will streamline the dealer services Aviso Wealth provides to credit unions as well as correspondent and institutional partners and be a cornerstone of how Aviso Wealth evolves as a platform provider to Canada's wealth industry."

Aviso Wealth will leverage Broadridge's solutions for its mutual fund dealer business, which is regulated by the Mutual Fund Dealers Association of Canada ("MFDA"). Aviso Wealth is using similar solutions to power its full-service securities dealer business, which is regulated by the Investment Industry Regulatory Organization of Canada ("IIROC"), allowing Aviso Wealth to operate both its MFDA and IIROC dealerships on a single instance of a book-of-records database. Although securities and mutual fund dealers are separately regulated entities, Broadridge's Dataphile and Digital Information Onboarding solutions have the unique capability to support advisors, clients and operations for both businesses on a single platform.

"Broadridge's Dataphile solution has supported the processing of both securities and mutual funds in Canada for over 25 years," said Michael Dignam, President, GTO Broadridge Canada. "Our proven technology and experience have led us to become the technology provider of choice for Aviso Wealth. We look forward to continuing this partnership and providing our clients with innovative technology and processing solutions which get ahead of

today's challenges and capitalize on tomorrow's opportunities."

The financial services market is becoming increasingly complex with changing regulations, heightened legal and compliance issues, and sophisticated clients with complicated demands. The ability to process on a single platform can significantly increase a company's ability to better serve clients efficiently with a single set of processes.

The implementation of Aviso Wealth's MFDA business to the Dataphile solution was completed in January 2021. The Aviso Wealth partnership with Broadridge was established in 2006 with the processing of its IIROC business on Dataphile.

## About Aviso Wealth

Aviso Wealth is a national financial services company with over \$95 billion in assets under administration and management. Aviso Wealth is owned by the credit union Centrals, The Co-operators/CUMIS and Desjardins. Aviso Wealth provides a comprehensive, integrated suite of wealth solutions for individual Canadians and for financial organizations across Canada. Aviso Wealth's MFDA-regulated dealer, full-service IIROC-regulated brokerage, and insurance dealers support thousands of financial advisors at credit unions across Canada. Its award-winning online brokerage, Qtrade, and its automated investing platform, VirtualWealth, give Canadians flexible choices for building their wealth. Its asset manager, NEI Investments, is a Canadian leader in Responsible Investment funds and portfolios, which are available through a national network of advisors. Aviso Wealth also provides custodial services and introducing broker services to independent financial organizations, including banks, trust companies, insurance companies, investment dealers, portfolio managers, and financial planning firms.

For more information about Aviso Wealth, please visit [www.aviso.ca](http://www.aviso.ca).

## About Broadridge

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with over \$4.5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions to banks, broker-dealers, asset and wealth managers and public companies. 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. \$10 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is a part of the S&P 500® Index, employing over 12,000 associates in 17 countries.

For more information about us and what we can do for you, please visit [www.broadridge.com](http://www.broadridge.com).

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