

Broadridge Signs First Customers for New Swift Services Including Transaction Screening Service and Securities View

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Customers will gain advanced sanctions screening and end-to-end securities settlement control

NEW YORK and LONDON, Sept. 18, 2023 /PRNewswire/ -- Extending its strategic commitment to providing fast and efficient access to new service innovations from Swift, global Fintech leader, **Broadridge Financial Solutions, Inc.** (NYSE:BR) has announced the immediate availability of its connectivity to Swift's API for Transaction Screening Service, and also for Swift's newly launched Securities View service. Using Broadridge's connectivity for these services, financial firms and corporate treasuries will be able to optimize sanctions compliance and transform their oversight and tracking of the securities lifecycle.

Broadridge has already signed its first customers for both services. This includes TÜV Rheinland for the Transaction Screening Service, and a prominent European private bank for Securities View.

Darren Holdstock, Global Head of Complementors at Swift, said: "We are pleased to extend the benefit of our Transaction Screening Service and Securities View solutions to more institutions through connectivity with Broadridge. Transaction Screening Service means institutions can securely screen incoming and outgoing messages against the most up-to-date sanctions lists; while Swift Securities View provides end-to-end visibility of securities transactions and enables market participants to quickly identify trades at risk of failing and allowing them to take pre-emptive action."

"We take our regulatory compliance obligations very seriously, and we are committed, with the support of Broadridge, to further strengthen our control over sanction compliance by implementing a real-time and fully integrated screening in our payment processes," said Julien Muet, Head of Corporate Treasury, TÜV Rheinland. "As

such, we turned to Broadridge in their capacity as our trusted sole outsourcing partner for all of our Swift services, and have been impressed by their professionalism, service standards and depth of knowledge relating to sanctions screening."

Sanctions screening regulations can be complex, challenging to follow, and subject to a high frequency of changes. Many firms are further exposed by inefficient, time-consuming processes when maintaining constantly evolving lists of sanctioned organizations and individuals. By connecting its customers to Swift's Transaction Screening Service, Broadridge is enabling direct access to a best-in-class, centrally managed service that enables maximum accuracy and efficiency for transaction screening and sanctions list management.

"As an accredited Swift Partner and Technology API enabler, we have a long-standing track-record of empowering leading financial firms and corporate treasury organizations globally, through outsourced access to Swift's services," said Heidi Dittmar, head of Broadridge's Swift services business. "As Swift continues to invest and advance its services, as demonstrated for Transaction Screening Service and Securities View, it is important that we continue to have a timely response so that our clients can depend on us and derive maximum business value."

Swift Securities View enables firms to gain an end-to-end view of a securities settlement transaction, bringing transparency at all stages and enabling firms to identify and resolve exceptions quickly and effectively, increasing settlement efficiency and reducing exposure to late settlement penalties. Broadridge is now supporting customer connectivity to Swift for use of the Securities View service, enabling firms to optimise the workflow of their securities operations.

About Broadridge

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with over \$6 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for 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. Our technology and operations platforms underpin the daily trading of more than \$10 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 14,000 associates in 21 countries. For more information about us, please visit [broadridge.com](https://www.broadridge.com).

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