



NEWS RELEASE

# Caceis Goes Live with Retail and Institutional SRD II Solution from Broadridge

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SRD II proxy voting and disclosure solution from Broadridge has enabled Caceis to meet regulatory obligations and advance shareholder democracy

NEW YORK, LONDON and MUNICH, July 20, 2021 /PRNewswire/ -- In response to new regulatory obligations under the updated Shareholder Rights Directive (SRD II), CACEIS Bank S.A., Germany Branch has selected global Fintech leader **Broadridge Financial Solutions, Inc.** (NYSE:BR) to provide it with a full suite of advanced solutions for the Directive. Caceis is running live on Broadridge's SRD II solutions, enabling it to address the Directive's requirements for increased governance and transparency through a strategic, end-to-end process for voting and disclosure across all in-scope European markets.

Caceis is using Broadridge's enhanced Global Proxy Voting platform for its German domestic and cross-border custody operations, benefitting from high levels of straight through processing efficiency throughout the voting lifecycle for its broad network of bank and broker intermediaries as well as for their direct retail and institutional investor clients. The bank is also using Broadridge's new Shareholder Disclosure Hub, both in Germany and more widely across the Caceis Group, enabling it to meet issuer requests for shareholder details within the tight deadlines mandated by the Directive.

"We welcome and fully support the heightened levels of corporate governance introduced through SRD II, together with its objectives for improved communication standards between issuers and investors, and the drive for greater shareholder engagement," said Stéphane Arvor, Member of the German Executive Committee and responsible for Information Technologies, Caceis Bank S.A., Germany Branch. "Working with Broadridge as our trusted partner, we have benefitted from their proven global leadership in proxy vote processing, their deep and highly experienced talent pool of knowledgeable experts, and their exceptional proposition that supports both retail and institutional shareholder communications and their respective multi-channel delivery requirements."

"Caceis has taken a structured and responsible approach to SRD II compliance, enabling it to play an important role in advancing shareholder democracy and market-wide governance standards throughout the shareholder communications chain," said Demi Derem, General Manager for International Investor Communications, Broadridge. "SRD II is global in its scope, impacting any financial intermediary that holds or services European equities. Many firms like Caceis, including banks, brokers and wealth managers, are required to provide voting and disclosure services for the first time, and it is important that they meet their new obligations."

Broadridge's enhanced Global Proxy solution utilises a white labelled retail voting platform, ProxyVote®, as well as its multi-custodial institutional voting platform, ProxyEdge®. It enables same-day event capture and distribution, same-day proxy vote processing and vote confirmations, advanced multi-channel retail functionality and European client data storage. Its new Shareholder Disclosure Hub, an industry-wide digital solution, uses the latest API- and blockchain-based technologies to address SRD II's new shareholder disclosure requirements and provide class-leading data security.

Broadridge has successfully implemented over 300 client solutions for SRD II, in markets spanning EMEA, North America and Asia Pacific.

## About Caceis

CACEIS is the asset servicing banking group of Crédit Agricole and Santander dedicated to asset managers, insurance companies, pension funds, banks, private equity and real estate funds, brokers and corporate clients. Through offices across Europe, North and South America, and Asia, CACEIS offers a broad range of services covering execution, clearing, forex, securities lending, custody, depositary and fund administration, fund distribution support, middle office outsourcing and issuer services. With assets under custody of €4.2 trillion and assets under administration of €2.2 trillion, CACEIS is a European leader in asset servicing and one of the major players worldwide (figures as of 31 December 2020).

## 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 21 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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