New AI Platform Provides Proxy Voting Data from Broadridge

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Enhancing the proxy voting experience through customized data

NEW YORK, Jan. 12, 2021 /PRNewswire/ -- **Broadridge Financial Solutions, Inc.** (NYSE: BR), a global Fintech leader, has launched Broadridge Proxy Policies & Insights (PPI) Data, a first-of-its-kind comprehensive platform providing an open data-feed of proxy voting data and analytics. This new platform, which will leverage Machine Learning (ML) services from **Amazon Web Services** (AWS), provides broker-dealers, institutional investors, mutual funds, retail investors, regulators and academics with access to over 5 million proxy voting data points, from more than 85,000 meeting agendas and a wide coverage of regulatory documents.

For broker-dealers, PPI Data provides an opportunity to differentiate their customers' experience in the broker's app or website by making it simple and easy for passionate investors to be aware of, for example, ESG proxy proposals that impact the future of their investments. Broadridge PPI Data can be used by broker-dealers to provide content to retail shareholders during the voter experience, as well as engage investors with insights on top-of-mind proxy proposals. For institutions, it provides an independent set of proxy voting data that can inform voting without providing voting recommendations. For retail investors, it provides better data to inform them how they can make a difference through voting their shares.

"Broadridge is providing the industry with better data to increase and inform proxy voting by leveraging AWS machine learning solutions," said Martin Koopman, President, Bank Broker-Dealer Investor Communications Solutions at Broadridge. "Broadridge PPI Data is a great example of applying technology to increase voting by retail shareholders, for brokers to engage with their customers, and for institutional investors to inform their voting. We see AWS as a preferred cloud provider in our drive to improve and transform corporate governance by creating next-gen tools."

Broadridge PPI Data can be used to create push notifications based on the retail investors' proposal category preference (i.e., climate change, board diversity, etc.). The broker-dealer can then highlight securities with upcoming proxy proposals that match those preferences. The platform enables broker-dealers to provide retail investors with a quick and personalized voting experience with a goal of increasing voter participation. AI/ML capabilities of the platform allow faster automated information processing so that shareholders receive more information faster than prior manual processes. Furthermore, AI/ML allows the platform to predict likely contentious votes, allowing shareholders to focus on meetings where their votes may be critical.

Broadridge is rolling out this new platform ahead of the 2021 proxy season, leveraging solutions like **Amazon Comprehend**, a natural language processing (NLP) service that uses machine learning to find insights and relationships in text. Among other features, the platform automates data extraction from key SEC regulatory filings, specifically proxy statements and Form N-PX proxy voting records. Broadridge plans to include additional regulatory filings on the platform in the future.

"Broadridge continues to bring solutions to market that differentiate the investors' experience, and Broadridge PPI Data is the most recent example of how they're meeting the industry's evolving needs," said Scott Mullins, Managing Director, Worldwide Financial Services Business Development at Amazon Web Services, Inc. "We are excited to support Broadridge as they leverage AWS to deliver data to investors faster, who can than act on critical information. We look forward to our continued collaboration with Broadridge across their machine learning and digital innovation initiatives."

Free for Regulators, Academics and Non-Profits

Broadridge PPI Data will be made available to regulators, educational and qualified non-profit organizations for free. These regulators, academic and non-profits can leverage the platform to review historical proxy policy and votes, which may lead to optimal regulatory policy, a better understanding of how institutions vote, and more transparency on the outcomes of proxy voting.

PPI is a service Broadridge provides institutional investors through ProxyEdge. Institutional investors can view critical information related to shareholder meetings, build customized data-driven voting guidelines based on their internal proxy policies, or the historical voting patterns of top-rated ESG funds, or the Top 50 Institutions based on AUM. Broadridge does not provide voting recommendations.

About Broadridge

Broadridge Financial Solutions, Inc. (NYSE: BR), a $4.5 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 underpins proxy voting services for over 50 percent of public companies and mutual funds globally, and processes on average more than U.S.$10 trillion in fixed income and equity securities trades per day. Broadridge is part of the S&P 500® Index and employs over 12,000 associates in 17 countries.

For more information about Broadridge, please visit **www.broadridge.com**.

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