

Northern Trust Expands Relationship with Broadridge to Support Shareholder Rights Directive II Compliance

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Northern Trust using enhanced version of Broadridge's Global Proxy Solution and Shareholder Disclosure Hub
NEW YORK and LONDON, Dec. 1, 2021 /PRNewswire/ -- **Broadridge Financial Solutions, Inc.** (NYSE: BR), a global Fintech leader, has announced it has delivered its full suite of Shareholder Rights Directive (SRD II) compliance investor communication solutions to Northern Trust. These solutions are in use across Northern Trust's global asset servicing business.

SRD II sets clear objectives for intermediaries requiring transmissions of information between shareholders and companies. It has significantly impacted shareholder communications for all EU issuers, investors and intermediaries holding or servicing European equities around the world.

"A primary focus for us is to advise and support our clients through regulatory change," said Justin Chapman, Global Head, Market Advocacy and Innovation Research at Northern Trust. "As we maintain this focus, we are pleased to leverage our long-standing relationship with Broadridge – whose team has been instrumental in defining a market-ready SRD II solution for all aspects of voting and disclosure throughout the communications chain."

Demi Derem, General Manager, Investor Communication Solutions International, Broadridge, added, "Along with other leading global custodians Northern Trust has helped us shape the design and functionality of our new shareholder disclosure platform, which has been created to serve the needs of custodians and all financial intermediaries impacted by SRD II. We are delighted to expand our strong and collaborative relationship with Northern Trust across our full suite of SRD II solutions and look forward to collaborating further in the future."

Northern Trust and Broadridge have explored a range of applications for digital technologies in recent years. The

shareholder disclosure platform is the first in a suite of new investor communication solutions that Broadridge has developed in collaboration with Northern Trust and other leading banking organisations, taking ideas from concept to live production readiness in under 18 months. The platform utilises the latest digital technologies, DLT and APIs to provide real-time connectivity to issuers and financial intermediaries.

Northern Trust is also using Broadridge's SRD II-enhanced Global Proxy platform, which supports same day meeting distributions, agenda translations, vote processing, vote confirmations and provides reconciliation tools for chain-of-custody clients.

About Broadridge

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$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 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 \$9 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 13,000 associates in 21 countries. For more information about us, please visit [broadridge.com](https://www.broadridge.com).

Contacts:

Investors:

W. Edings Thibault
Head of Investor Relations
Broadridge Financial Solutions, Inc.
+1 516-472-5129
Edings.Thibault@Broadridge.com

Media:

Gregg Rosenberg
Corporate Communications
+1 212-918-6966
Gregg.Rosenberg@Broadridge.com

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