



Broadridge's Pioneering "Fund Mapping" Patent Confirmed by U.S. Patent and Trademark Office

Released : 04 15 2013

LAKE SUCCESS, N.Y., April 15, 2013 /PRNewswire/ -- Confirming its patent rights covering the financial services industry's leading solutions for investor disclosure of regulatory communications, [Broadridge Financial Solutions, Inc.](#) (NYSE:BR) announced today that following an *ex parte* reexamination initiated by a competitor, the U.S. Patent and Trademark Office ("USPTO") has confirmed the validity not only of sixteen (16) original claims, but also five (5) new claims of U.S. Patent No. 6,122,635 ("the '635 Patent") – entitled "*Mapping Compliance Information Into Useable Format*" – by issuance of a reexamination certificate. The USPTO considered literally hundreds of prior art references in confirming the validity of these broad patent claims. The '635 Patent is core to Broadridge's industry-leading solutions for electronic delivery of compliance information, which have streamlined the mutual fund regulatory-communications process.

(Logo: <http://photos.prnewswire.com/prnh/20110920/MM71626LOGO>)

"Investors trust that their financial services providers are keeping them fully informed about their mutual fund holdings based on the most up-to-date data and documents. With an average of 128 new mutual fund filings made on the SEC's EDGAR[®] system each day, and peaks of more than 1,800 daily filings, accessing the most current mutual fund disclosure information is a complex challenge," said Geoff de Lesseps, Senior Vice President, Investor Communication Solutions, Broadridge. "Broadridge's unique solution – protected by our newly confirmed '635 Patent -- has transformed and streamlined how mutual fund compliance information is accessed and delivered so that brokerage firms, insurance companies, retirement plan providers and third-party plan administrators have the most up-to-date mutual fund information and can confidently supply investors with the most accurate information."

Broadridge acquired the '635 Patent and the related Mapping Compliance Information solution when it purchased NewRiver, Inc. in 2010. Issuing from an application filed more than 15 years ago, the '635 Patent is a pioneering patent in the field of electronic preparation and delivery of securities compliance information. The '635 Patent grants Broadridge the right to exclude others from creating and maintaining a content database wherein EDGAR filings are sorted, separated and kept up-to-date. Broadridge's patented, electronic, EDGAR-sourced data and document system enables Broadridge to provide immediate access to the most current disclosure materials, helping financial firms meet their compliance and oversight requirements.

Coupling the automated, EDGAR-sourced collection and compilation solutions protected by the '635 Patent with additional Broadridge best-in-class e-delivery and presentment, duplicate trade suppression, physical inventory, and fulfillment capabilities, including Print-on-Demand ("POD") technology, enables Broadridge to offer financial firms an unparalleled suite of services for accurate, timely, cost-effective and dependable communication with investors. Broadridge's unique in-line POD technology and print-ready library of the most up-to-date documents enable the reduction of print and postage costs associated with traditional fulfillment. Additionally, Broadridge's capabilities enable fund companies to experience the efficiencies of adopting the Summary Prospectus model, which has improved the shareholder experience with easy-to-read, "plain English" prospectuses, while further reducing print and postage costs.

About Broadridge

Broadridge Financial Solutions, Inc. (NYSE:BR) is the leading provider of investor communications and technology-driven solutions for broker-dealers, banks, mutual funds and corporate issuers globally. Broadridge's investor communications, securities processing and operations outsourcing solutions help clients reduce their capital investments in operations infrastructure, allowing them to increase their focus on core business activities. With 50 years of experience, Broadridge's infrastructure underpins proxy voting services for over 90% of public companies and mutual funds in North America, and processes more than \$4.5 trillion in fixed income and equity trades per day. Broadridge employs approximately 6,200 full-time associates in 13 countries.

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

EDGAR[®] is a federally registered trademark of the U.S. Securities and Exchange Commission.

Media Contacts

Linda Namias	Maggie Nolan
Broadridge Financial Solutions	Brainerd Communicators, Inc.
+1-631-254-7711	+1-212-986-6667
linda.namias@broadridge.com	nolan@braincomm.com

SOURCE Broadridge Financial Solutions, Inc.