



Broadridge Awarded Second Patent for Portfolio-Specific Printing Technology

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LAKE SUCCESS, N.Y., April 9, 2014 /PRNewswire/ -- [Broadridge Financial Solutions, Inc.](#) (NYSE: BR), the financial services industry's leading provider of investor communications services, announced recently that it has bolstered its intellectual property portfolio with the addition of U.S. Patent No. 8,396,785 ("the '785 Patent"), the second patent issued by the U.S. Patent and Trademark Office ("USPTO") in the patent family directed to Broadridge's novel portfolio-specific printing technology. The '785 Patent, which issued in 2013 from a continuation application of U.S. Patent No. 7,979,333, expands Broadridge's patent protection on personalized investor-information packages to be delivered to the investor, in either paper or electronic format, to help firms satisfy their compliance obligations and communicate according to investor preferences.



Using its Intelligent Fulfillment Solutions (IFS) platform for prospectus delivery, Broadridge leverages portfolio-specific print technology to radically improve the customer experience for variable product policyholders and 403(b) plan participants. By personalizing investor disclosure to include only information relevant to the recipient's holdings, Broadridge trims down industry-standard variable annuity "big books" by as much as 80% to 90%, creating a better communication and significantly reducing printing and postage costs for distributors.

Geoff de Lesseps, President, Emerging Products, Investor Communication Solutions (ICS), Broadridge, said, "The issuance of the '785 Patent is a significant addition to Broadridge's growing intellectual property portfolio in the investor communications field. As we continue to innovate to both efficiently provide investor communications services to our customers and to differentiate ourselves from our competitors, Broadridge is transforming the industry from its historical one-size-fits-all approach."

For variable product distributors and retirement 403(b) plan providers, Broadridge's end-to-end IFS solution – powered by a sophisticated enterprise data management engine that is itself protected by multiple Broadridge patents – helps eliminate the complexity of monitoring new daily filings and tracking of deliveries of prospectuses and other compliance documents. Broadridge marries its proprietary technology for monitoring the latest SEC filings on EDGAR[®], which is patented in reexamined U.S. Patent No. 6,122,635, with the transaction activity of its financial-services clients to determine their delivery requirements. As a result, firms are better able to maintain consistency of information – whether delivered via paper, e-delivery, or online – and more efficiently manage compliance and business delivery rules on an individual basis.

Broadridge was a pioneer in the adoption of the summary prospectus, a streamlined prospectus document that directs investors to a website for additional information. Firms can opt to leverage the summary prospectus combined with portfolio-specific printing to further reduce paper and postage costs, in many cases enabling them to combine a sub-fund prospectus with a trade confirmation in a single package.

Learn more about Broadridge's [Intelligent Fulfillment Solutions](#).

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 business process outsourcing solutions help clients reduce their capital investments in operations infrastructure, allowing them to increase their focus on core business activities. With over 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 \$5 trillion in fixed income and equity trades per day. Broadridge employs approximately 6,400 full-time associates in 13 countries. For more information about Broadridge, please visit www.broadridge.com.

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Media Contacts:

Linda Namias
Broadridge Financial Solutions, Inc.
+1 631-254-7711
linda.namias@broadridge.com

Danielle Pieri
Brainerd Communicators, Inc.
+1 212-986-6667
pieri@braincomm.com

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