

Financial Industry's Focus on Transparency Drives Continued Momentum at Broadridge's Matrix Financial Solutions

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LAKE SUCCESS, N.Y., Aug. 4, 2014 /PRNewswire/ -- [Matrix Financial Solutions, Inc.](#), a [Broadridge Financial Solutions, Inc.](#) (NYSE: BR) company, today announced that Southwest Securities and Summit Brokerage Services have implemented its complete broker/dealer (BD) platform to increase visibility and provide their advisers with a competitive advantage to meet client needs and grow their businesses. Southwest and Summit join more than 30 other firms that utilize Matrix's platform, which includes access to more than 25,000 mutual funds and ETFs.

The Matrix BD Platform is an integrated suite of services designed specifically to help broker-dealer firms successfully navigate the retirement plan process by improving efficiencies, providing assistance in meeting compliance guidelines and supporting regulatory mandates.

"It's clear that transparency is critical in this increasingly complex and competitive financial environment. Broker/dealers need visibility into plan data and information to quickly assess risk, increase productivity and keep up with the regulatory landscape," said [John Moody](#), President, Matrix Financial Solutions. "We're pleased to be working with Southwest and Summit to help them achieve that visibility, offer increased flexibility and provide a competitive advantage to their advisers in the retirement plan process."

"Matrix's end-to-end solution provides increased visibility throughout our organization and offers the crucial tools that empower our advisers to better serve existing clients and win new business," said Rob Crowe, Chief Marketing Officer, Summit Brokerage Services, Inc.

On Matrix's BD Platform, Southwest and Summit will have access to Matrix's Plan Level Data Feed, Level Compensation and Retiretool(k)it solutions. Plan Level Data Feed creates a "window" into the activity of a firm's brokers/advisors, and includes plan asset values, investment activity and other information. The [Levelized Compensation](#) capability helps provide a lineup of investment options that will pay the firms and brokers a levelized compensation. RetireTool(k)it leverages Matrix's *TrueOpen*TM architecture and will support the firms' advisers with everything from fund selection and monitoring to investment policy statements, plan proposals, enrollment kits, and both quarterly and annual monitoring reports.

"One of our core philosophies is to provide the advisor with the right tools to consistently offer high quality plan options that best meet the plan's needs," said Larry G. Tate, Southwest Securities' Director of Retail. "Leveraging the Matrix suite of solutions will allow us to support our financial advisers and give them the ability to provide the plan with the best options possible based on each plan's individual needs."

About Matrix Financial Solutions

Matrix Financial Solutions, Inc., part of Broadridge Financial Solutions, Inc., is a leading provider of *TrueOpen*TM retirement products and services for third party administrators, financial advisors, banks and other financial professionals. Matrix serves more than 300 financial institutions with over \$230 billion in customer assets processed through its trading platform. For more information about Matrix please visit matrix.broadridge.com.

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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