Broadridge | ADVISOR SOLUTIONS

Broadridge Advisor Solutions

Product Guide

Advisor Marketing Made Easy

The largest selection of marketing solutions that deliver your brand to more places for less cost

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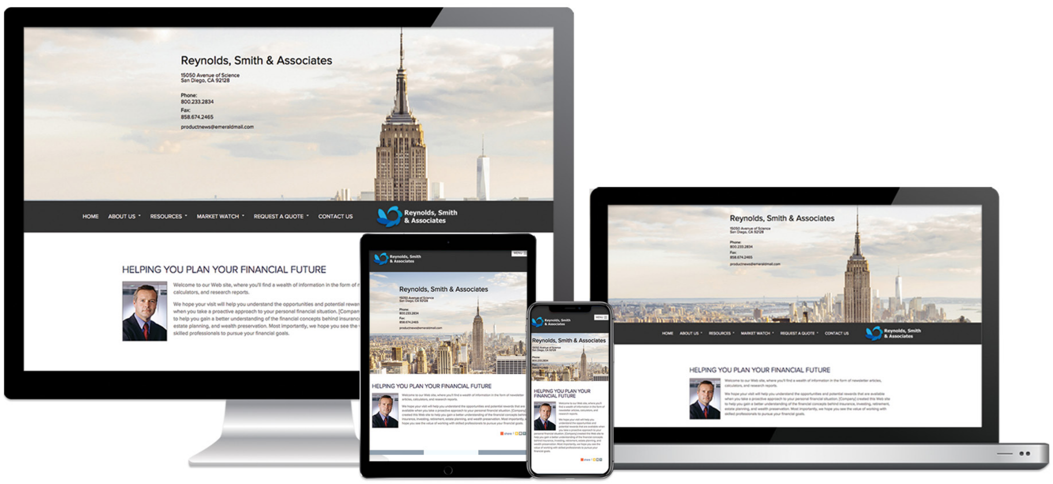
Advisor Website

Engage new prospects and enrich existing relationships with a professional website that reflects your brand. Now you can create and easily maintain a high-quality website to boost your digital strategy.



User-Friendly Setup and Editing
Modern, Customizable Designs
Mobile-Friendly Navigation
FINRA-Reviewed Content
SSL Certificates to Demonstrate Security
Helpful Financial Content
Client Engagement Tools
Free Helpdesk Support

User-Friendly Setup and Editing

Our websites are quick to build and easy to maintain thanks to intuitive, interactive editing tools.

- Fast, easy setup
- Free helpdesk support
- Integrated compliance review
- Search engine optimization
- Detailed website analytics

Modern, Customizable Designs and Features

Separate yourself from the competition and promote your brand with flexible layouts, customizable colors, callouts and more.

- Integrate your own logo and other brand elements
- Add custom content such as account access links and branded documents
- Demonstrate security with an SSL Certificate
- Engage prospects and clients with fresh content

Client Engagement Tools

With our robust library, you can leverage your website as a go-to resource for your clients.

- Educational videos on timely financial topics
- Research and newsletter articles that offer clients actionable information
- Interactive financial calculators that test “what-if” scenarios
- Magazine-style flipbooks that illustrate key financial concepts
- 24-hour access to stock performance
- Quote request forms
- Refer-a-friend forms
- Event and seminar calendars and registration forms

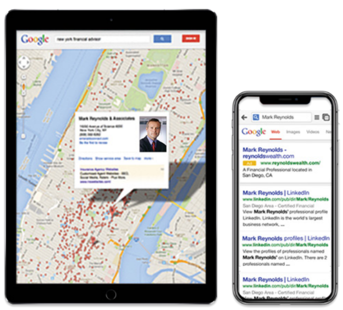
Custom Design Services

Combining premium templates with custom-designed pages, our Custom Design Services team can help you create a truly unique website that’s optimized for your prospecting goals.

- Elevate your website to a client engagement platform
- Differentiate your practice in a highly competitive marketplace
- Optimize your online prospecting, referral capture and client nurturing
- Capture client and prospect information

Search Engine Marketing

Keeps you front and center to maximize your online visibility, attract new clients and make it easier for referrals to find you digitally. With Local Business Listings and Sponsored Name Placement, your business is easily found — everywhere your clients and prospects search online.



Amplified Online Presence
Improved Search Visibility
Enhanced Content for Increased Credibility
Detailed Reporting
Full Phone Support
Expert Consultation Services

Expand Your Online Presence with Sponsored Name Placement

Be found on the first page of search results in popular search engines.

- Paid search ads on Google
- Paid search ads on Bing
- Fixed price, eliminating costly pay-per-click charges

Control All the Facts About Your Brand with Local Business Listings

Gain total management for how your business is represented on third-party sites, apps and platforms to prevent incorrect information from being published.

- See how your brand appears across the Web
- Push real-time updates to more than 100 local online directories, mapping tools and apps, including Facebook, Google, Bing, Yahoo, Yelp and Waze
- Lock down your data to ensure that your information remains accurate and consistent
- Elevate your brand image with enhanced content, including business logo, headshot, business description and holiday hours

Select one solution or utilize both to maximize your website's search results and presence.

Digital Advertising

Welcome to customized digital advertising made easy and affordable.
This is the only compliance-integrated digital advertising tool available today.

Compliance-Integrated Tool
Polished, Professional Ads
Targeted Approach
Reclaim Lost Web Traffic
Build Trust with Prospects
Gain Referrals

User-Friendly Setup and Editing

Whether you decide to pursue referrals, reclaim lost web traffic or achieve both objectives, you can save time with professional, pre-built ads.

- Review, approve and start acquiring leads
- Edit your ads as often as you want, for free
- Use pre-built ads or get creative and make your own
- Create different ads for various groups in your network
- Streamline the compliance process with built-in compliance review

Keep Up with Your Changing Network

Effortlessly sync your networking and advertising efforts and constantly add contacts to your campaign.

- Send an email with the email addresses you want to add — special formatting required
- Add up to 5,000 contacts

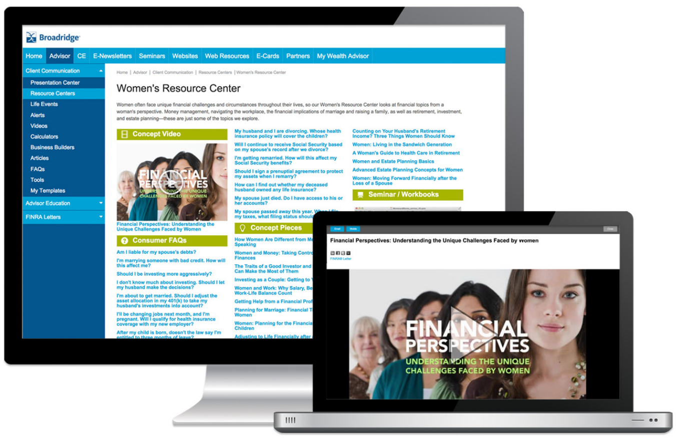
Eliminate Common Referral Roadblocks

Stay top-of-mind with past clients and your sphere of influence to help you move beyond common referral challenges and boost future recommendations.

- Minimal time commitment to launch the campaign
- Ads that create gentle, non-intrusive referral reminders
- Ongoing presence that makes you the financial professional clients think of first, even if you haven't engaged in years

Email & Social Marketing

Expand your library of advisor-centric content by leveraging over 2,000 pieces of original materials created by our team of in-house, financial subject-matter experts. Each piece is easy to share thanks to email and social media integration, as well as automated campaign capabilities.



FINRA Reviewed
Email, Print or Social Share
Regularly Refreshed Content
Multiple Content Formats
Easy-to-Search Library
Automated Campaigns

Maximize the Effectiveness of Your Client Communications

Increase your client touch points without sacrificing time.

- Search financial topics quickly and easily to find the right content for your clients and prospects
- Share content seamlessly through a variety of methods, including downloadable PDFs, email and social media sharing; platform integrations include Facebook, LinkedIn and Twitter
- Schedule client communications in advance with future-dated email and social posts, or enroll in automated Set & Forget campaigns
- Control all the facts about your brand with Local Business Listings

Comprehensive FINRA-Reviewed Content Library

This solution gives you access to a wealth of information and resources, including:

- Client communications, ranging from presentations to email videos and everything in-between
- Client presentation tools such as tables, illustrations, checklists and worksheets that are designed to educate and guide clients and prospects using an easy-to-consume format

Mobile App

Make sure you remain relevant and top-of-mind with My Wealth Advisor, a fully customizable mobile app designed for financial professionals.

Attract Digital-Generation Prospects and Referrals
Distribute Timely, Compelling FINRA-Reviewed Content
Enable Clients to Request Meetings
Access App Content and Usage Analytics
Integrated Compliance Review
iOS and Android Compatible

Make Your App Reflect Your Brand

Through the quick, easy setup, you create a customized app that complements your professional website and reflects your unique brand.

- About page
- Upcoming events
- Blog that integrates with your Advisor Website
- Contact information
- Disclaimer

Create seamless client communications with the delivery of videos, newsletters, blog posts and personalized messaging — directly to the device that clients are checking 150 times a day.

Establish Yourself as a Thought Leader

Gain access to a robust content library that keeps your app fresh and your clients engaged.

- Content tailored for a variety of life stages and interests, including generational groups, retirees and the military
- Share alerts, videos, market summaries and articles
- Optional integrated content solutions include eNewsletters, eCards, Advisor Website and Email & Social Marketing content library

Seminars

Our seminars help you reach prospects and clients in a variety of ways. Each title in our robust library of educational seminars is FINRA reviewed and designed to make a powerful impression. Plus, we provide guided talking points and the ability to add coordinating workbooks so participants get the most out of each session.

Comprehensive, Multi-Session Seminars
One-on-One Presentations
Topic-Specific Seminars
Updated Seminar Content
Full-Color Workbooks
FINRA Reviewed

Presentations

Quick, 30-minute presentations that are ideal for one-on-one meetings or multi-attendee webinars.

Topic-Specific Seminars

Attract prospects with these single-topic, 60- to 90-minute seminars. Coordinating campaign included, plus participant workbooks available for purchase.

Comprehensive, Multi-Session Seminars

An educational deep-dive through a multi-session, 5- to 10-hour seminar. Coordinating participant workbooks available for purchase.

For the latest listing of available seminar titles, visit broadridgeadvisor.com/seminars.html or contact our team at 800-233-2834.

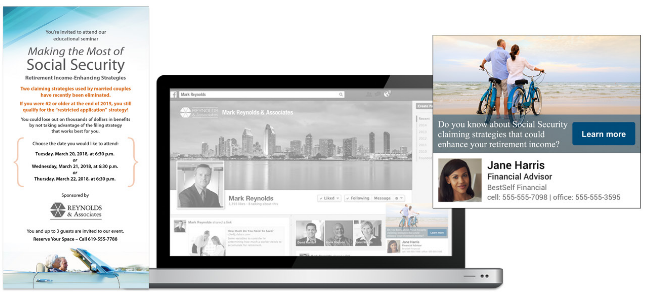
Seminar Solution Sets

Address various aspects of an important subject. Sets include one to two Topic-Specific Seminars and one to three Presentations, depending on the topic.

Titles:
- Annuities and Taxes
- Approaching Retirement
- Business Owners
- College Funding
- Estate Planning
- Financial Management
- Investing
- Retirement
- Retirement Income
- Social Security
- Starting Out
- Women's Finance
- One-on-One Collection

Event Marketing

Planning a seminar event is no easy task. With Broadridge Event Marketing services, you receive end-to-end coordination. We can help you fill the seats for your next seminar using a variety of available options, including Direct Mail Invitations and Concierge Event Marketing.



Concierge Event Marketing
Direct Mail Invitations
Print Only or Full-Service Mailing
RSVP Tracking & Management
Geo-Targeted Digital Marketing Campaigns
Targeted Social Media Marketing Campaigns

Attract More Qualified Prospects with Concierge Event Marketing

Launch a hassle-free educational seminar marketing program to attract and gain new customers.

- Choose from multiple pricing models to create an experience that works for your budget — prepay for event registrations or pay only for attending households
- A full-service digital marketing team manages all event promotion and secures attendees for each event

Make a Great First Impression with Direct Mail Invitations and Brochures

Make your next invitation as impressive as your seminar. Our direct mail options include premium invitation cards, printed brochures and even an RSVP service.

- Premium, full-color invitations with matching envelopes; invitation includes variable printing and personalization options
- Trifold mailers and 4- to 8-page brochures that emphasize the educational value of the event
- Concierge RSVP service

Print Marketing & Newsletters

Draw on our varied collection of printed, professional marketing materials to stay top-of-mind with prospects and clients. Turnkey and FINRA reviewed, our print marketing solutions help you bring more value and guidance to your clients.

FINRA-Reviewed Content
Personalization
Written for Target Markets
Newsletters & Special Reports
Client Surveys
Educational Articles
Personalized Greeting Cards
Financial Education Booklets

Keep in Touch with Automated Print Marketing

Proactively communicate with your clients using 12 educational touches throughout the year.

- Capture your business brand to personalize each marketing piece sent to your clients and prospects
- Deliver an educational marketing touch point each month, rotating between our four-page newsletters and in-depth Special Reports
- Tailor the content to your business focus by selecting the newsletter best suited for your target audience

Explore Our Newsletters

Each newsletter is customizable so you stay top-of-mind with your clients throughout the year.

- **Financial Ink®**, a monthly newsletter that covers most areas of personal finance; ideal for general audiences and clients of all ages
- **On Balance®**, a monthly newsletter covering timely, topical issues for clients nearing retirement or already retired
- **Everyday Cents®**, a quarterly publication filled with tips and news about consumer trends, health, science and other personal finance topics
- **The American Investor**, a sophisticated monthly newsletter for high-net-worth clients that offers insights and news on market trends, economic issues, tax-saving approaches, wealth-building strategies and more
- **The Specialist**, an in-depth, quarterly publication covering IRA strategies, retirement planning, Social Security and Medicare, current economic trends and estate conservation; the cover article is co-authored by respected IRA expert Ed Slott

Explore Our Surveys

Gather important information regarding your clients' interests and concerns with an annual survey.

- Six topical surveys: Financial Review, Investor, Legacy Planning, Life Insurance, Long-Term Care and Retirement
- Full-service program is available, utilizing coordinated envelopes and mailing services

Explore Our Informational Booklets

Position yourself as a subject-matter expert and build trust with your clients, while you help to break down complex areas of concern. Titles include:

- Facts You Need to Help Make Medicare Decisions with Confidence
- What Can You Expect from Social Security?
- Will Your Family Be Ready to Meet Rising College Costs?
- Navigating Turbulent Times
- Coming to Terms with Long-Term Care
- A Business Owner's Guide to Succession Planning
- Protecting Your Financial Interests: Home, Auto, Property

Explore Our Greeting Cards

Create long-lasting connections with a personal touch point that shows your appreciation and care.

- Cards for every occasion, including: Thank You Cards, Birthday, New Year, Thanksgiving, Hanukkah and Christmas, including Happy Holidays, Season's Greetings and faith-based messaging
- High-quality stock, with a design and message that have been fine-tuned to make the greatest impact
- Personalized contact information, professional headshot, company logo and website address

eNewsletters

Provide your clients with timely, helpful, FINRA-reviewed content that keeps you top-of-mind and encourages important conversations.

Topics for Target Markets
FINRA Reviewed
Customizable Templates
Easily Add Custom Articles
User-Friendly
PDF, HTML and Print Options

Stay Top-of-Mind Without Sacrificing Time

Gain access to a library of timely, compliant articles that you will want to share with your clients.

- Library of FINRA-reviewed articles
- Articles written with target audiences in mind
- Automated campaigns that save even more time

Delivery Options That Meet Everyone's Needs

Send newsletters to clients and prospects in the way that matches their preferences and works best for your business.

- Email
- PDF
- Print
- My Wealth Advisor mobile app

Customize to Highlight Your Brand

Quickly, seamlessly integrate your business branding so clients easily identify you as the sender and a thought leader.

- Logo
- Business address
- Headshot
- Website address
- Email contact information

eCards

Send automated emails and greeting cards for birthdays, anniversaries, holidays and more with our user-friendly eCard system.

Easy to Use
Integrated Compliance Review
Simple Contact Management
Custom Email Creation
Tracking and Reporting Tools
New Content Regularly Added

Simple Setup, Saving You Time

Implementing email marketing is easy with this intuitive, compliant tool.

- Choose from our library of cards with FINRA-reviewed content or compose your own email
- Upload and store images to use in future communications
- Set up automatic greeting card campaigns so you never miss a holiday, birthday or anniversary

Promote Your Image and Brand

Integrate your unique brand into your custom email communications.

- Include your business logo and headshot
- Provide full or partial contact details
- Choose from standard header graphics or upload your own

Measure Your Success with Reporting Tools

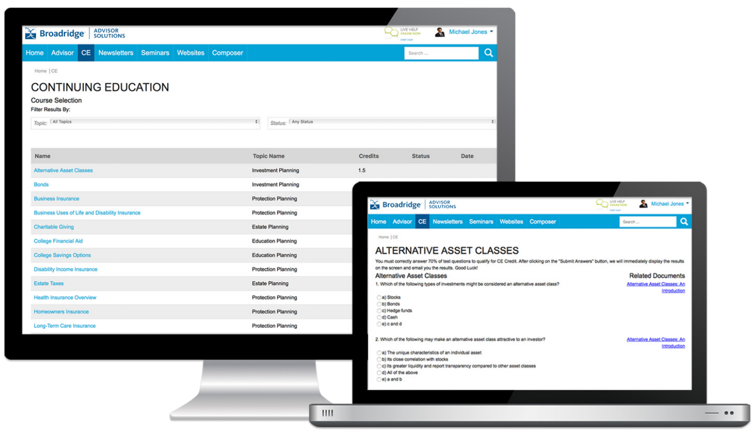
Track the effectiveness of your email campaigns with the help of key analytics.

- Emails opened
- Email clicks
- Date of email engagements
- Contacts who engaged in emails

Continuing Education

Earn accreditations quickly and efficiently through our web-based CE tests, which enable you to fulfill your professional requirements easily and wherever you are.

Our online tests satisfy continuing education (CE) requirements for many professional accreditations. We offer tests in several topic areas for advisors maintaining their CFP, ChFC, CLF, CLU, RHU and REBC certifications.



Tests in 10 Topic Areas
New Tests Added Monthly
Results Sent to CFP® Board

Credits on CE Reporting Form
Results Emailed to Advisor

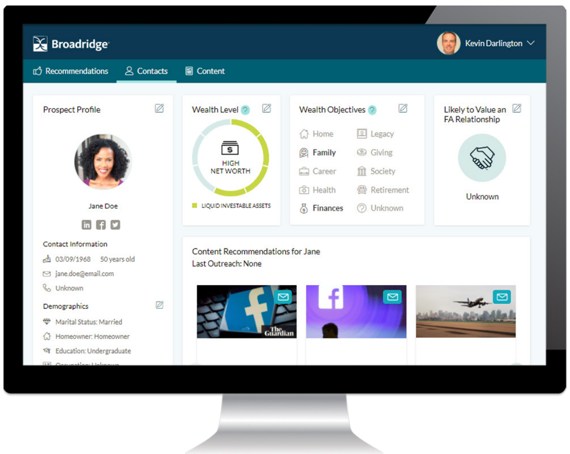
Meet Professional Requirements on Your Schedule

Access online continuing education services and a variety of financial tests through a convenient online portal, so you can maintain your certifications without hindering your client service.

- Select courses, review content and take tests where and when they work best for you
- Receive email notification of test results and earned credits
- Reduce required paperwork, as passing results are automatically sent to the Certified Financial Planner (CFP®) Board of Standards
- Eliminate travel and business interruption

Intelligent Prospecting

Meaningful connections convert more prospects. That's why top advisors rely on cognitive computing to gain insight into what prospects want and need.



Prospect Wealth Level
Prospect Wealth Objectives
Prospect Compatibility
Best Action Recommendation
Automatic Content Matching
Multi-Channel Publishing

Grow Relationships, Grow Customers, Grow Business

Make prompt, personal interactions without exhausting your already limited time.

- Harness detailed profiles of prospects so you understand what drives their decisions
- Deliver personalized connections at the right time through the right channel
- Leverage automated content matching and multi-channel publishing to create communication touchpoints

The Power of AI

Combine rich data, artificial intelligence and your detailed financial knowledge to create powerful marketing possibilities.

- Unique insights derived from proprietary data
- Detailed analytics
- Systematic engagement through automated content marketing
- Secure, multi-channel platform

Digital Lead Optimizer

Drive new clients to your business with an innovative, inbound digital lead campaign. Through our intuitive, simple process, you gather motivated leads and introduce them to your brand.

Advanced Lead Generation
Hyper-Targeted Approach
Capture Quality Prospects

Expert Consultation Services
Detailed Reporting
Ongoing Campaign Optimization

Increase Your Web Traffic and Capture Website Leads

Digital marketing experts work with you to develop an inbound lead generation funnel that's optimized for your practice.

- Host a custom campaign landing page on your website
- Attract interest through targeted social media and Google display ads
- Increase web traffic with branded and non-branded Google search ads
- Leverage high-quality, educational content to capture leads

Lay the Groundwork for Digital Success with a Detailed Onboarding Experience

Our onboarding process helps create a customized strategy that complements your established brand.

- Define your ideal prospect to attract clients who match your financial expertise
- Identify and publish the most engaging, compliant content to build meaningful connections
- Achieve faster, simpler compliance approval through our guided advertising asset review process

Continue to Target, Engage and Grow with Campaign Optimization

Ongoing reporting and analytics allow for continued optimization and growth.

- Analytics are reviewed and applied to your campaigns to maximize visibility
- Meet monthly to review your Digital Lead Optimizer results

Packaged Solutions

Broadridge is the premier provider of advisor marketing solutions designed to help you find new prospects, retain and grow business with existing clients, and increase referrals while optimizing your practice.

Grow

Attract new clients and instill a foundation.

Includes:

- Advisor Website
- Email & Social Marketing
- Sponsored Name Placement
- Continuing Education

Invest

Enrich client relationships and expand your business.

Includes:

- Advisor Website
- Email & Social Marketing
- Sponsored Name Placement
- Seminars & Presentations
- eNewsletters
- eCards
- Continuing Education

Manage

Retain existing clients and distinguish your practice.

Includes:

- Advisor Website
- Email & Social Marketing
- eNewsletters
- eCards
- Continuing Education

My Marketing Partner

Take your client prospecting and engagement efforts to the next level with this concierge marketing service. Using this premium solution, you gain all the benefits of our Invest Package plus a dedicated marketing professional who builds, executes and optimizes your marketing and advertising efforts.

Grow your business with a custom marketing plan executed on your behalf.

- Invest Package
- Personal Marketing Advisor
- Marketing Audit & Analysis
- 12-Month Marketing Plan Creation
- 12-Month Marketing Plan Implementation
- Optimization of BAS Platform

Broadridge, a global Fintech leader with over $4 billion in revenues and part of the S&P 500®
Index, provides communications, technology, data and analytics. We help drive business
transformation for our clients with solutions for enriching client engagement, navigating risk,
optimizing efficiency and generating revenue growth.

broadridgeadvisor.com

Ready for Next

Communications
Technology
Data and Analytics

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