

NEWS RELEASE

Broadridge Acquires Innovative Compliance and Surveillance Solution for Broker-Dealers

7/1/2021

NEW YORK, July 1, 2021 /PRNewswire/ -- **Broadridge Financial Solutions, Inc.** (NYSE:BR), a global Fintech leader, today announced that it is further enhancing its regulatory compliance capabilities for broker-dealers with the acquisition of the cloud-based Execution Compliance and Surveillance Service (ECS) assets from Jordan & Jordan. The solution provides a combination of surveillance and regulatory reporting as well as compliance consulting capabilities for US regulations.

"We are committed to helping broker-dealers simplify the process of complying with an ever-changing set of regulatory requirements," said Vijay Mayadas, President of Capital Markets at Broadridge. "This tuck-in acquisition provides a natural extension of our reporting and compliance capabilities for pre and post execution activities for the US market and underlines Broadridge's commitment to expanding our capital markets offerings to clients."

The acquisition enables Broadridge to further extend its strategic regulatory reporting capabilities as well as add compliance and regulatory reporting consulting capabilities. The solution allows broker-dealers to more effectively comply with regulations such as SEC Rules 605/606 and Consolidated Audit Trail (CAT) and strengthens their capabilities around best execution, trade surveillance and the detection of fraud-based manipulative activity. It also enables clients to monitor the effectiveness of their required policies and procedures and provide detailed records to demonstrate a commitment to ongoing surveillance.

"We are proud that our innovative solution is being used by an increasing number of firms to assist in meeting their compliance obligations," said Tom Jordan, President & CEO of Jordan & Jordan. "The acquisition by Broadridge, a leader in the capital markets industry with significant size and scale, will further accelerate its capability to meet the increasing demand from clients."

Berkery Noyes and CapM Advisors acted as financial advisors to Jordan & Jordan.

About Broadridge

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with over \$4.5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions to 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. In addition, Broadridge's technology and operations platforms underpin the daily trading of on average more than U.S. \$10 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is a part of the S&P 500® Index, employing over 12,000 associates in 21 countries.

For more information about us and what we can do for you, please visit www.broadridge.com.

About Jordan & Jordan

Jordan & Jordan (www.jandj.com) is a veteran owned financial technology company that provides market data consulting and industry solutions across the securities industry. The Market Data practice specializes in the commercial aspects of market data offering data usage compliance assessments, licensing support, data governance, technology alternatives, project management, audit services and staff augmentation. Jordan & Jordan facilitates solutions to shared industry issues for broker dealers, asset managers, exchanges/ATs and vendors through their management of the Financial Information Forum (FIF - www.fif.com) and Research Information Exchange Markup Language (RIXML - www.rixml.org). For additional information on services please contact Kathy McGovern at kathy.mcGovern@jandj.com.

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