

# Reg BI disclosures made easy

Streamline compliance with the  
Broadridge Smart Distribution Hub.



# June 30, 2020 is just the start.

Firms across the U.S. are gearing up for mass distribution of required disclosures to meet the June 30, 2020 Regulation Best Interest (Reg BI) compliance date. But the bigger challenge may be ensuring compliance in the months that follow. Under the new regulation, disclosures aren't just for clients anymore. Prospects must also receive Form CRS. That requires efficient frontline triggers and back-end distribution.

## **BROADRIDGE MAKES COMPLIANCE SIMPLE.**

The Broadridge Smart Distribution Hub streamlines Reg BI disclosures, end to end. Integration with CRM platforms, including Salesforce and Redtail, empowers advisors to trigger disclosures from within familiar workflows. A simple search function lets them select from thousands of documents via the proprietary Smart Library® document repository. Email templates enable quick, brand-compliant personalization. Firms benefit from the efficiencies of Broadridge document distribution engines that assemble and send communications in compliant order. And advisor actions, complete with a record of the disclosures disseminated, are captured within the Hub's reporting.

## **IT'S NOT JUST FOR REG BI.**

Many firms use Reg BI as impetus to conduct broader reviews of disclosure management—and discover that the Broadridge Smart Distribution Hub can bring new cost efficiency and control across disclosures. Scalable and rules-driven, the Hub supports versioning, householding and suppression logic. It accommodates up to 255 documents in a single delivery. Different access levels optimize security and usability for administrators, content creators and advisors. Firms benefit from the proven performance and economies of scale available only through Broadridge. Built-in redundancy, backup and WORM storage facilitate compliance and auditability.

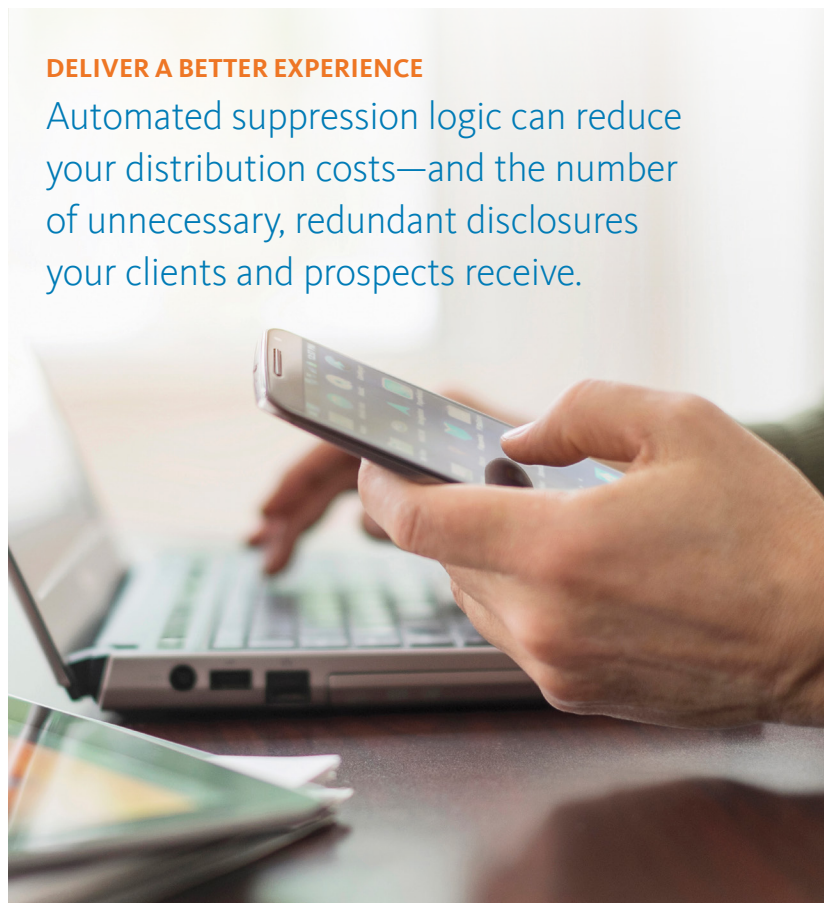
## **DELIVER A BETTER EXPERIENCE**

Automated suppression logic can reduce your distribution costs—and the number of unnecessary, redundant disclosures your clients and prospects receive.

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## **THE DEVIL IS IN THE DETAILS**

Reg BI includes some very specific requirements. Disclosures must be assembled in the right page order and distributed to the right people at the right time. And firms must be able to prove compliance. The Smart Distribution Hub automates document assembly, distribution, tracking and reporting, helping to ensure the compliance and transparency required.



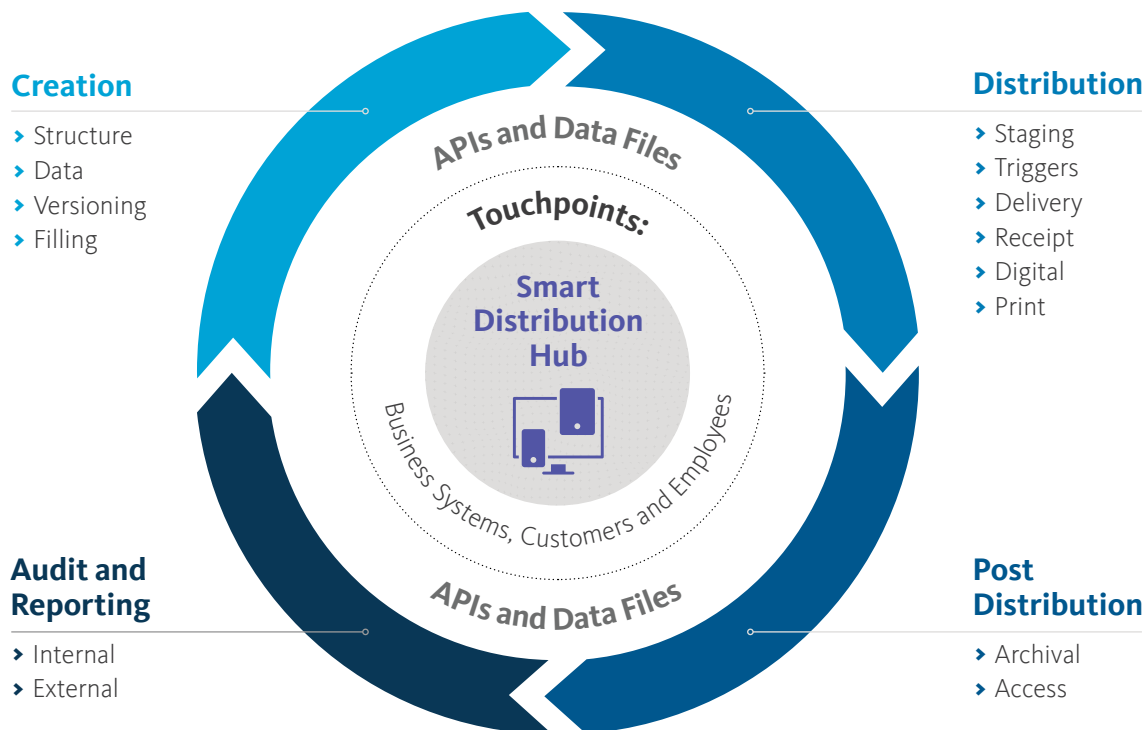
# Keep your compliance on track with the proven way to distribute and manage disclosures.

## FLEXIBILITY IS BUILT IN.

Firms can utilize the Broadridge Smart Distribution Hub via API, web portal, back-end interface or nightly batch process. Disclosures can be distributed via mobile, web, or print and mail. The Hub facilitates escalation as needed. Via the web portal, email bouncebacks can easily be tracked and reissued to alternate email or mailing addresses.

## COMPLY WITH CONFIDENCE.

The Broadridge Smart Distribution Hub excels at enabling efficient, compliant dissemination of regulatory disclosures. Now, this solution helps take the guesswork out of managing disclosures for Reg BI and more.



## TAP INTO COMPREHENSIVE COMPLIANCE.

The Broadridge Smart Distribution Hub is one of a series of Broadridge solutions for Reg BI. Discover the efficient, reliable route to Reg BI compliance.

Contact your Account Representative today or visit us online at [broadridge.com/regbicomply](https://broadridge.com/regbicomply).



To scan, simply open the camera app on your mobile device and point the camera at the QR code.

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.

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