



Prospectus Express®



A “best-in-class” e-delivery compliance document fulfillment solution – featuring daily updates from the SEC’s EDGAR database – that can help significantly reduce delivery costs while improving investor service.

Benefits:

- ▶ Comprehensive investor lifecycle communications solution
- ▶ Lowest cost delivery option, providing significant savings over traditional bulk print
- ▶ Web-based ASP solution with minimal implementation requirements
- ▶ Consent management and consent awareness campaigns available as optional services
- ▶ Easily integrates with PostEdge® for a total e-delivery, web presentment, document hosting and archival solution

95% of mutual fund investors use the Internet¹. Shouldn’t their mutual fund prospectuses be online too?

At Broadridge, we understand the pressure to meet compliance obligations, reduce expenses, and strengthen customer satisfaction. That’s why we invented Prospectus Express® – the industry’s only electronic data warehouse with a complete online library of prospectuses and related disclosure documents sourced directly from EDGAR. Part of our Intelligent Delivery Services® suite, Prospectus Express lets you offer investors access to all the disclosure documents you’re required to provide through your website with the cost-efficiency associated with e-communications.

Our patented process technology retrieves the latest prospectus (and other compliance document) information from the SEC’s EDGAR database helping to assure the most timely, accurate information. And, because documents are delivered electronically, you can significantly reduce your fulfillment costs compared to traditional print fulfillment.

Our electronic consent management service allows you to go beyond online pre-sale communications and maximize cost savings with point-of-sale and ongoing investor communications via e-delivery. Our consent management capability is designed to meet both industry regulations and ESIGN² business consumer requirements including disclosure information display, electronic consent collection, and verification of document access capabilities.

Prospectus Express E-Delivery Coverage

Fund Types	Document Types
▶ All U.S. open-end mutual funds	▶ Summary Prospectuses
▶ All U.S. exchange-traded funds (ETFs)	▶ Statutory Prospectuses
▶ All U.S. exchange-traded notes (ETNs)	▶ Supplements
▶ All U.S. unit investment trusts (UITs)	▶ Shareholder Reports
	▶ Statements of Additional Information
	▶ Statements & Trade Confirms
	▶ All other documents required by law

¹Investment Company Institute (ICI), Investors’ Views on Securities and Exchange Commission’s Proposed Summary Prospectus, 2008
²Electronic Signatures in Global and National Commerce Act, enacted 6/30/2000

Integrate E-Delivery at Every Investor Communication “Touch Point”

A comprehensive investor communications solution, Prospectus Express enables financial firms to deliver web access to compliance documents at every phase of the investor lifecycle:

- ▶ **Pre-Sale:** Enables brokerage firms to give visitors on their own corporate website access to Prospectus Express.
- ▶ **Point-of-Sale:** Enables financial firms to give an individual investor an electronic link to the appropriate documents in Prospectus Express after the investor makes an online transaction. The electronic link is either in the online transaction screen or an embedded email link.
- ▶ **Post-Sale:** Enables financial firms to collect and maintain electronic consents and then provide ongoing electronic delivery of disclosure documents to investors holding a fund or making ongoing contributions to their fund position.

Prospectus Express simplifies implementation of the summary prospectus with web hosting support, providing “linking and layering” to additional fund information online. Prospectus Express also can be easily integrated with Broadridge’s PostEdge® e-solution. PostEdge is a central repository for investor communications that puts just about any correspondence in your clients’ reach quickly, efficiently and securely while offering you comprehensive report mining capabilities that help automate many of your daily operations.

Patented Process Technology: EDGAR-Sourced Data



Mutual fund companies routinely file electronically their prospectuses, supplements, shareholder reports, statements of additional information, and related documents on the SEC’s EDGAR database.



Using proprietary technology, Broadridge retrieves the most recent documents each day from EDGAR and sorts them into “compliance envelopes” by fund CUSIP.



Broadridge performs rigorous quality assurance to ensure documents are presentable and readable in electronic format (PDF or HTML), and that all tables and performance information complies with SEC Form N1-A requirements.



Broadridge makes documents available to clients via a variety of optimized output formats: website, CD, email and print-ready PDFs.



Leveraging “intelligent” document fulfillment data processing, Broadridge captures consents and maintains an audit trail of individual delivery histories.

Designed for:

- ▶ Brokerage Firms
- ▶ Mutual Fund Companies
- ▶ Retirement Plan Providers



For more information, please call us toll-free at 1-800-481-2331 or visit our website at www.newriver.com.

Broadridge Financial Solutions, Inc. is a technology services company focused on global capital markets. We are the market leader enabling secure and accurate processing of information for communications and securities transactions among issuers, investors and financial intermediaries.

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