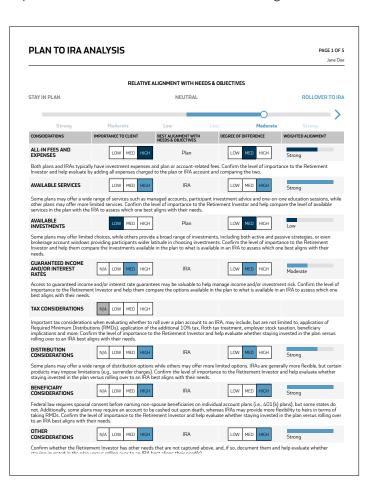


Decision Optimizer

A scalable, easy to use solution to support compliance with Prohibited Transaction Exemption (PTE) 2020-02

Decision Optimizer, which is configurable by enterprise, provides an interactive interface for an advisor to discuss and visually evaluate the merits of rolling over to an IRA or staying within the 401(k) plan. It results in a client-friendly report that documents this decision.

And because IRA rollover regulations are expected to evolve over time, Decision Optimizer comes with the independent regulatory expertise of the Pension Resource Institute built right in.



HIGHLIGHTS OF DECISION OPTIMIZER INCLUDE:

- Subscriptions available for advisors that operate independently or as part of an enterprise.
- Single workflow/multiple customizable decision factor and attestation templates for ERISA Plan/IRA transfers
- Consideration of the importance of each decision factor to the investor and the relative differences of each option
- Highly interactive, real-time updates to overall preference, based on all decision factors scored
- The ability to include investor needs and current account features to the analysis to support the recommendation
- Documentation of the recommendations and generates output (analysis detail and attestations)

Beyond the Decision Optimizer software, your firm can also leverage Plan Benchmark Data, Oversight/Home office business intelligence, and training/education to support an enterprise's compliance with PTE 2020-02.

PTE 2020-02 REQUIRES FINANCIAL INSTITUTIONS AND INVESTMENT PROFESSIONALS TO:

- Analyze ERISA plan/IRA transfers, most commonly IRA rollovers, with a fiduciary standard of care
- Document details of each ERISA plan/IRA transfer analysis
- Perform an annual retrospective review to detect violations and achieve compliance

THE BROADRIDGE ADVANTAGE

When you work with Broadridge Financial Solutions (NYSE: BR), you work with a global Fintech leader. For over 50 years, Broadridge has provided critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. Broadridge delivers technology-driven solutions to banks, broker-dealers, asset and wealth managers and public companies. 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.

Broadridge has the experience and stability to work with and support IRA Rollover initiatives for years to come. Backed by Broadridge and our partnership with PRI, we have the legal and compliance subject matter expertise, training, and software development capabilities required to give our clients confidence we're positioned to support their long-term compliance needs.



FOR MORE INFORMATION

To learn more about Decision Optimizer, call 866.390.5080 email fi360sales@broadridge.com or visit fi360.com/decision-optimizer

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$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 that drive business transformation for 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. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

Broadridge.com



