

BROKER SOLUTIONS OVERVIEW

Transform your regulatory communications to manage risk and increase engagement

BROKERS TODAY ARE CHALLENGED with executing a compliant shareholder communications program that's auditable and gives their firms centralized control of the entire program. In addition, the growing complexity and volume of shareholder communications, proxy voting and voluntary corporate action elections has brokers facing increasing regulatory and operational risk. What's more, with the rise of technology-driven brokerages, a younger, very tech-savvy generation of investors has emerged requiring brokers adapt to engage across these multi-generations and stay competitive.

Mediant offers a full range of solutions to create, manage and distribute your critical investor communications.

- Proxy distribution and tabulation
- Pre-sale and post-sale communications
- Ongoing regulatory reports
- Corporate actions
- Statements and confirms, ADVs and other communications

POWERED BY TECHNOLOGY THAT IS SMARTER, FASTER AND BETTER

Our pioneering MIC solutions have brought technology to investor communications and revolutionized how brokers execute and manage their programs.

MIC SOLUTIONS SUITE



Centralizes management and provides end-to-end program visibility



Allows advisors to monitor and track all communications with clients



Lets account managers with proxy voting authority execute votes for multiple accounts with a single mouse click



Permits retail investors to easily access all documents and vote proxies



Automates the process of capturing voluntary corporate action elections

Reduce Operational and Financial Risk

- MIC Operations helps you execute a compliant program by centrally managing all jobs and distributed documents.
- MIC Operations generates an audit trail and proof of delivery for every document (online and hardcopy) that will satisfy regulators.
- Dashboards help managers quickly identify delivery exceptions, their cause and a course of action.
- MIC ReOrg Manager reduces the firm's exposure to financial losses by automating the capture of voluntary corporate action elections.
- Our rules engine ensures the correct documents are sent by mapping instruments to the applicable regulation and its document requirements.

Increase Investor and Advisor Engagement and Loyalty

- Mediant enhances the experiences of investors and advisors by providing information at their fingertips.
- Investors can access their ballot with one click and vote, all via their preferred digital channel — mobile device, text, tablet or computer.
- Branded ballots, emails and document hosting sites extend your brand and help build customer loyalty and lifetime revenue.
- Investor education in a user-friendly format helps shareholders understand what they are voting for and why it's important to vote.

Mediant is a trusted partner to leaders of Operations, Compliance, Customer Experience, IT and their staffs.

Mediant delivers investor communications solutions to brokers, corporate issuers and funds. Our solutions are driven by leading technology and strict compliance with industry regulations, which allows clients to balance innovation with requirements. We enable brokers to effectively manage all potential touchpoints within the investor communications lifecycle — from proxy statements and prospectuses to voluntary corporate actions. We provide corporate issuers with turnkey proxy processing services, and we empower mutual funds, REITs and insurance companies with a full-service, end-to-end proxy solution.

For more information, visit www.mediantinc.com