

Enterprise Data Management

access

A Proven Solution to Better Manage Sales Data

- ▶ Consolidates sales and asset data for Mutual Funds and Managed Accounts across recordkeeping platforms
- ▶ Provides transparency for all products including Defined Contribution and Variable Annuities
- ▶ Cleans and augments trade data for accurate reporting
- ▶ Warehouses transactions and asset positions in a secure environment

Access Data SalesVision® Enterprise Data Management

Access to accurate information on how assets are generated and who is driving sales is a growing challenge for many firms today. Data management is a critical component of sales success as more broker-dealers sub-account individual investor positions, new products and distribution channels emerge, and financial advisors move within the industry.

Access Data's Enterprise Data Management automates the collection of trade and transactions from multiple data sources and delivers consistent, reliable and timely information from one data source. With Enterprise Data Management, you eliminate the daily operational burden of having to manage multiple data feeds, research incomplete trades and maintain representative information as affiliations or account assignments change.

Most importantly, you gain unmatched visibility into sales across all products and distribution channels and have more time to focus on the information critical to your business growth.

Build a Solid Foundation for Enterprise Business Reporting

Enterprise Data Management enables you to cost-effectively build a solid foundation of accurate data for sales and assets that can be leveraged across your firm. Sales and business managers can use the same data source to run an array of Access Data SalesVision solutions to drive sales strategies and programs, develop new business models, execute complex commission and distribution processes, and maintain regulatory oversight. And, your data can be integrated daily with your CRM system and delivered in a consistent format to other internal business applications.

Product Highlights

Aggregation

- Data collected from third-party shareholder trading platforms
- Aggregation of T/A and financial intermediary accounts
- Sales and asset data for mutual funds, variable annuities and managed accounts

Stewardship

- Trades matched against a Master Data Repository for complete firm, branch, rep info
- Identification of initiating RIAs and IBDs trading through clearing platforms
- Research of trades with unknown rep names

Augmentation

- Data improvements for office address, rep phone number, CRD number
- Market demographics for RIAs and registered reps
- Data integration/ synchronization with leading CRM systems

Access Data applies creative thinking and innovative technology to solve your business problems.

Why We're Different

Our Data Expertise

A team of data specialists brings hands-on financial data management experience derived from established relationships with leading mutual fund firms and data providers.

Our Technology Expertise

Integrated data management workflow and a proprietary Master Data Repository facilitate the processing of large volumes of data from multiple data providers.

Our Financial Services Expertise

We are a leader in providing data management across all investment products - Mutual Funds, Managed Accounts, ETFs, DCIOs and Variable Annuities.

For more information, contact Chip Miller at 1-888-799-1744.

Simplify Collecting Trade Activity from Multiple Data Sources

Access Data aggregates and integrates mutual fund transfer agency data with sub-account activity across recordkeeping sources for increased transparency at both the omnibus and detailed shareholder levels. Over 200 data file feeds collect trade and asset positions daily from third-party data sources including:

- Mutual Fund Supermarket Portals
- Broker-Dealers Platforms
- Retirement Platforms for TPAs
- Variable Annuity Platforms
- Trust & Managed Account Platforms

We work with the major data sources on behalf of our clients to expand and implement new data feeds. We also maintain close relationships with your data providers so we can immediately address any changes to their data formats that could impact your reporting process.

Assure Data Reliability, Accuracy and Timeliness

Our data management services validate, normalize and enhance data received from multiple sources to deliver consistent and complete information for reporting. Dealer, branch and representative codes from third-party providers are matched against your company's view of firm, office and representative. A Master Data Repository (MDR) leverages our processing scale across clients to maintain the latest contact information for financial advisors and complete address information by office location.

Advanced workflow processing prioritizes exceptions for quick resolution of incomplete and unknown trade details. Experienced data specialists make direct calls to dealers, consult with alliance partners, and work with your data providers to research and resolve incorrect trades.

Feel Confident that Your Sensitive Information is Secure

We are committed to providing best-in-class security practices and technology to safeguard our clients' valuable information. Our comprehensive Information Security program is designed to protect each client's data from improper disclosure to external entities and other clients.

Expand Your Visibility into New and Growing Industry Segments

Access Data now delivers shareholder data that asset managers have been unable to see in the past for Exchange Traded Funds (ETFs), Defined Contribution Investment-Only (DCIO) and Variable Annuity products. With added visibility for product sales beyond traditional mutual funds, your firm can take full advantage of more opportunities to extend your brand and grow your business.

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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.