

Shareholder Services Product Brief Series

# Who's Helping You?



BNY MELLON  
SHAREOWNER SERVICES



## Who's Helping You?

Today's business and financial markets are more complex and competitive than ever. By providing world-class securities servicing solutions, BNY Mellon Shareowner Services ("Shareowner Services") gives clients an advantage. We draw from expanded resources and deep expertise to create innovative and relevant solutions that help clients navigate the strategic, administrative and regulatory complexities of equity administration.

That's why companies just like yours choose Shareowner Services.



## About Us

We're an integral part of The Bank of New York Mellon Corporation, a global financial services company focused on helping clients manage and service their financial assets. As such, we share a single cultural orientation that fosters the development of long-term relationships with institutional clients. This corporate philosophy can best be represented by three elements we consider to be our foremost strengths: People, Partnership and Performance.

- **People** represents the specialized expertise applied to every client relationship;
- **Partnership** refers to the long-term client relationships we seek to build; and
- **Performance** reflects our belief that true long-term value is created for our clients through the delivery of outstanding service.

## What Makes Us Different?

Four distinct elements of our business methodology and service orientation drive everything we do – from our demonstration of thought leadership to our product development initiatives to our ongoing investments in technology. These are:

### **Client**

Your needs are at the center of all we do. We keep our finger on the pulse of our clients, their shareowners and the broader stock transfer industry through our **Voice of the Client (VoC) Practice**. Through VoC, we're able to obtain real-time client feedback, identify what's most important to our clients and apply their "voice" in our ongoing business decisions.

VoC is driven by real-time actionable client surveys, independent industry research and client satisfaction benchmarking studies. In fact, Shareowner Services has been consistently rated best-in-class in overall client satisfaction. We attribute the longevity of our success in these studies to several factors:

- **Sustainable cost savings that provide incremental value** – our business model has shifted to more paperless processing and is driven by secure self-service resources that promote operational efficiencies and reduce expenses.
- **Relationship Management teams with deep expertise** – many with more than 25 years of practical industry experience.

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**WE'LL ASK WHAT IS MOST IMPORTANT TO YOU, LISTEN TO YOUR NEEDS AND TAKE ACTION TO TRANSLATE YOUR ANSWER INTO RESULTS THAT WILL MATTER MOST TO YOU AND YOUR SHAREOWNERS.**

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## **Compliance**

Because we're part of one of the largest global financial services providers, our clients can be confident that substantial legal, audit and regulatory compliance protocols are in place to help us meet our obligations to you and your shareowners.

- We've eliminated the use of investors' Social Security Numbers as an account identifier.
- We're the first stock transfer provider to employ Knowledge-Based Authentication ("KBA") to verify each shareowner's identity prior to accessing account information or performing transactions – both online and through a customer service representative.
- Our proxy solution that supports the SEC's Notice & Access rule has emerged as the industry model for providing clients with an alternative to the mailing of annual meeting materials to shareowners.



- We offer proactive Asset Recovery services that extend beyond regulatory requirements.

## Control

Strong risk management practices are an integral part of our corporate culture. Our measures have been deliberately designed to maximize the privacy and security of your investors' data and protect shareowners from identity fraud as they transact their business through each contact channel – online, via our automated speech recognition Voice Response Unit and when speaking directly with our customer service representatives. A number of safeguards are in place, including:

- substantial risk management protocols, including enterprise wide “Know Your Customer” practices and anti-money laundering prevention procedures;
- dedicated, independent risk, audit and compliance staffs;
- SAS 70 Type II control certification;
- CMM III Certified technologists; and
- robust business continuity plan cited as a model for applying Federal Reserve guidelines.

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**INDEPENDENT RESEARCH HAS INDICATED THAT DATA SECURITY ISSUES ARE OF THE GREATEST IMPORTANCE TO OUR CLIENTS AND THE INDUSTRY AT LARGE. OUR MEASURES REFLECT “BEST PRACTICE” MODELS.**

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## Commitment

We communicate openly and often with our clients, introduce solutions that maximize the value of their dollar and demonstrate our thought leadership in a rapidly evolving industry. Most importantly, our investments reflect what our clients have told us they want, rather than what we think they need. These include:

- simplified processes for share transfer and lost securities replacement;
- elimination of shareowner-paid nuisance fees;
- “true copy” electronic 1099 tax forms that are accepted as legal originals; and
- environmentally friendly suite of electronic services.

Knowing what the industry needs, where it wants us to change, what new services it requires, and how a service provider can continuously improve drive us. Only by listening to our clients and industry as a whole can we get to the heart of what it means to be a model provider.

- Robert M. Carney Sr., SVP  
Product Management & Development  
BNY Mellon Shareowner Services



## We Provide Innovative Solutions that Add Real Value

Our offerings go beyond the traditional account management and issuance functions. We take pride in designing and developing products and services that meet our clients' specific needs, help them comply with current and anticipated regulatory requirements, and most importantly add real value.

### **Principal Transfer Agent Services**

We fulfill our primary responsibilities to process stock transfer requests, produce daily stock transfer journals, maintain shareowner records and outstanding share figures, and resolve your shareowners' inquiries with a definitive focus on the shareowner. We'll apply our expertise to create a fully integrated solution that ranges from the most basic to extremely complex.

- Book-Entry Services
- Direct Deposit of Dividends
- Cash Dividend Disbursing Agent
- IPO Services
- Secondary Offerings
- Restricted Stock Administration
- Foreign Payment Services
- Global Shares
- Rights Subscription Agent
- Warrant Agent

### **M & A Processing Services**

We employ proactive planning, disciplined project management and well-designed processing methods to help you achieve a successful event. Shareowner Services handles hundreds of large and complex voluntary and involuntary corporate actions each year across industry lines. Our approach to supporting any M & A event is to be consultative in all aspects of a transaction, from supporting the development of shareowner material to processing accounts and the administration of a transaction.

- Depositary Services
- Information Agent Services
- Exchange Agent Services

- Paying Agent Services
- Treasury Services

### **Investment Plan Services**

Attract new investors and retain your long-term existing shareowners with the investment plan that best suits your company's needs — from standardized, open enrollment direct stock purchase plans to customized prospectus-based plans designed to meet capital raising requirements or special solicitation needs.

- Bank and Registered Plans
- Direct Registration System (DRS) Integration
- Direct Equity<sup>SM</sup>
- Dividend ReinvestDirect<sup>SM</sup> (DRD)
- Documents on Demand

### **Asset Recovery Services**

We can help you unravel the complexities of unclaimed property laws and minimize exposure to liabilities associated with escheatable property. With our full range of services, Shareowner Services can help you come into compliance today, stay in compliance in the future and stay informed of the initiatives and trends that affect unclaimed property.

- Advisory Services
- Initial Compliance Services
- Annual Compliance Services
- Shareowner Location Due Diligence

### **Meeting Services**

We can streamline the entire meeting process, saving you the considerable time and expense of trying to organize a myriad of complex details yourself. Shareowner Services provides everything you need, when you need it, to deliver a superior shareowner experience — including dynamic electronic distribution of materials, integrated voting options and comprehensive online management reporting.

- Financial Printing
- Proxy Solicitation
- Interactive Annual Meeting eKit

- Notice & Access Compliant Proxy Solution
- Internet and Telephone Voting
- Proxy Tabulation
- Management Reporting

## And There's More...

We give you direct access to a team of knowledgeable and reliable professionals with extensive training and practical experience; a comprehensive set of self-service resources for you and your shareowners; the highest service delivery standards and quality; and excellent personalized support from your dedicated relationship management team.

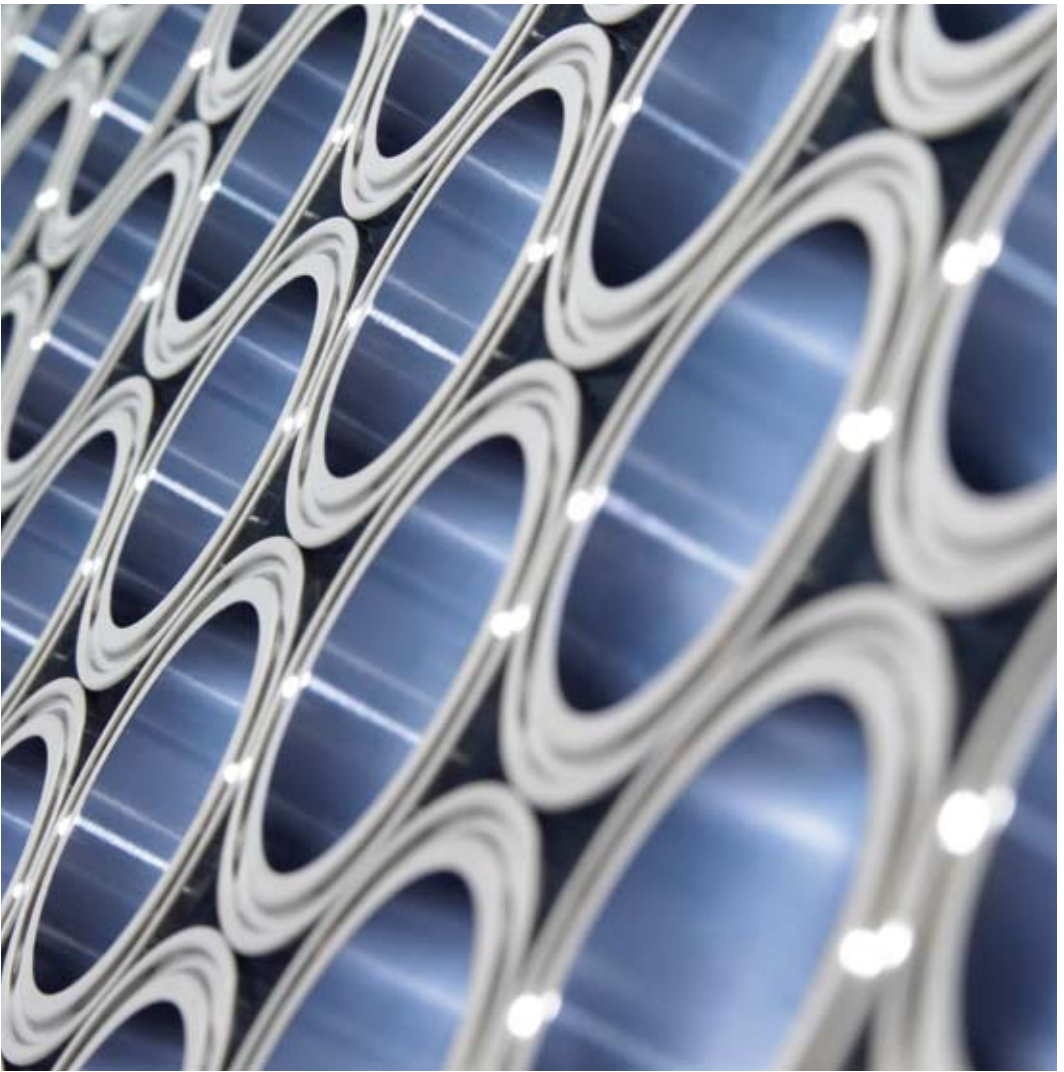
### **A Management Tool, There When You Need It**

Designed with our clients in mind, **Client ServiceDirect® (CSD)** serves a single purpose - to give you the secure online management tool you need, when you need it. With CSD, you can directly respond to shareowner inquiries, monitor ownership levels, track proxy voting as it happens and gain access to an expansive library of corporate and investor reporting.

### **Secure, Easy to Use Shareowner Self-Service Account Management Tools**

In recent years, technological advances have driven the development of web-based and automated access to sensitive personal data and transaction capabilities. These resources have rapidly evolved into increasingly secure, flexible, multi-functional self-service tools that are easier to use and significantly more intuitive than their predecessors. Shareowner Services has stayed ahead of the industry and broadened our self-service channels to meet client and shareowner expectations using two key vehicles:





Our Call Centers are certified by J.D. Power and Associates as “An Outstanding Customer Service Experience”



- **Investor ServiceDirect® (ISD)** - Our online account management tool was the first to provide investors with consolidated access to their complete portfolio of holdings. Today, ISD leads the industry in transaction capabilities.
- **Voice Response Unit (VRU)** - The first of its kind among transfer agents, our speech recognition VRU facilitates nearly 40 different account-specific informational, transactional and fulfillment-based functions.

### **Socially Responsible Electronic Delivery Solutions**

Shareowner Services' Ever-Green Program is a conservation-focused suite of electronic utilities that complement our self-service account management resources and provide clients with a socially responsible vehicle to offer their shareowners. Additionally, participation in Ever-Green may significantly reduce client-paid out-of-pocket expenses associated with traditional delivery of paper mail. Ever-Green's fully integrated electronic services include:

- **MLink<sup>SM</sup>** - Online access to paperless account statements, 1099 tax forms, transaction advices and more.
- **Documents on Demand** - Creates virtual inventories of issuer-specific communication materials, including investment plan materials.
- **Interactive Annual Meeting eKit** - Promotes quick voter action through email delivery of a personalized electronic proxy-voting package.
- **Notice & Access Compliant Proxy Solution** - Dynamic Internet hosted proxy solution that complies with the SEC's alternative delivery method for proxy materials.

## The Heart of Our Service Delivery Paradigm

At the heart of our service delivery paradigm is the **Investor Care Network ("ICN")** - the hub for all inbound contact channels. ICN delivers a superior shareowner experience by deploying key disciplines, including:

- professionals with specialized knowledge;
- simplified business processes;
- rules-enforced quality checkpoints;
- real-time performance management; and
- secure, flexible technology.

## Defining the Value of Shareowner Interaction

Our unique Shareowner Analytics program helps us isolate a number of key metrics as we interact directly with your shareowners. With each contact, a "value" is assigned based on certain criteria. We apply the insight derived from these metrics to a comprehensive reporting module that both we and our clients use to monitor shareowner activity, help assess the quality of our service delivery model, promote alternate shareowner behaviors and more.

Let Shareowner Services help you discover the formula that's just right for your company.



## About BNY Mellon Shareowner Services:

In addition to its top-ranked stock transfer services, BNY Mellon Shareowner Services offers a comprehensive suite of products and services ranging from record keeping and corporate actions to demutualizations, direct investment, dividend reinvestment, proxy solicitation and employee stock plan administration. BNY Mellon Shareowner Services is part of The Bank of New York Mellon's Issuer Services group, which is also a leading provider of corporate trust services and the market leader in servicing depositary receipts with more than 1,300 sponsored programs. Additional information is available at [www.bnymellon.com/shareowner](http://www.bnymellon.com/shareowner).

## About The Bank of New York Mellon:

The Bank of New York Mellon Corporation is a global financial services company focused on helping clients manage and service their financial assets, operating in 34 countries and serving more than 100 markets. The company is a leading provider of financial services for institutions, corporations and high-net-worth individuals, providing superior asset management and wealth management, asset servicing, issuer services, clearing services and treasury services through a worldwide client-focused team. It has more than \$23 trillion in assets under custody and administration, more than \$1.1 trillion in assets under management and services \$11 trillion in outstanding debt. Additional information is available at [www.bnymellon.com](http://www.bnymellon.com).

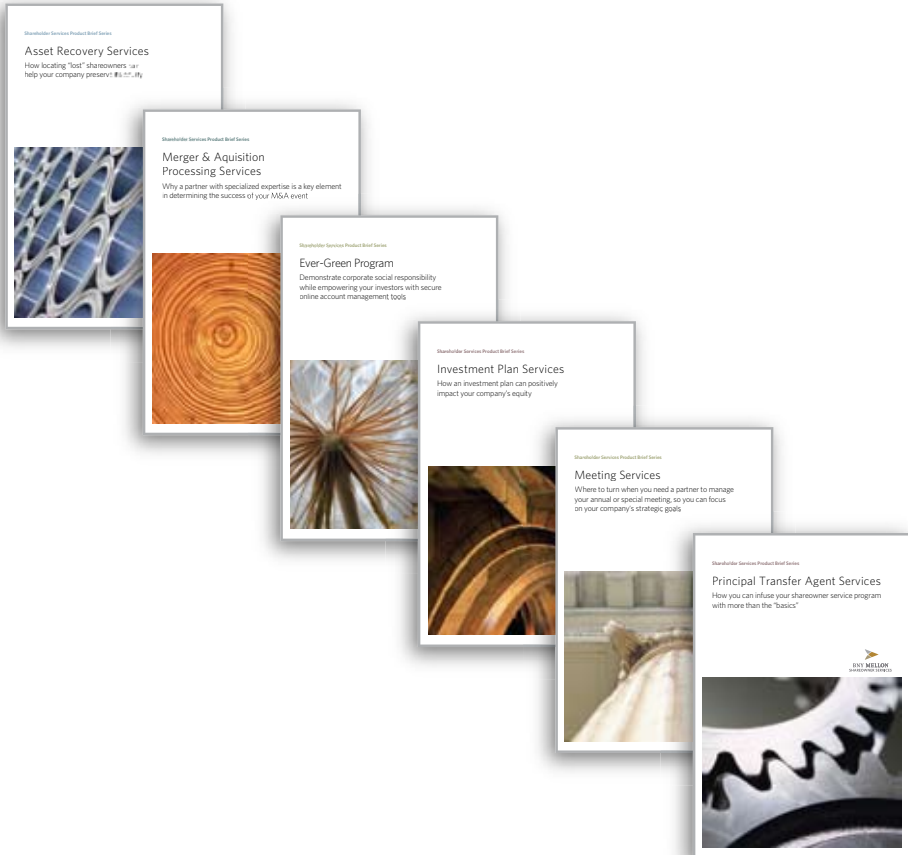
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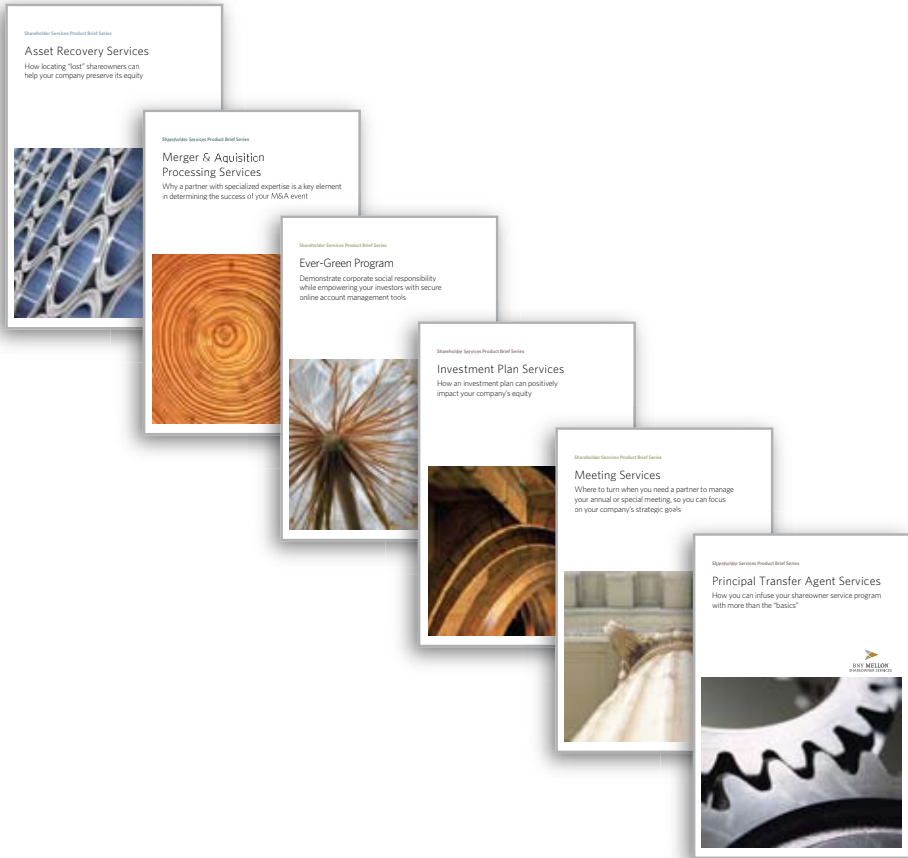


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**BNY MELLON**  
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Successful companies just like yours turn to BNY Mellon Shareowner Services for our formula of proven expertise and collaborative working style. We deliver exceptional results and enduring value to our clients.



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