

Mutual Fund Proxy Campaign Services

Working with the best just got better



Expertise Meets Analytics

AST Fund Solutions is the leading provider of mutual fund proxy solicitation services in the U.S., serving as a strategic partner to mutual funds for more than 25 years. We built this leadership position by successfully managing and executing some of the most complex campaigns ever conducted. Our specialized advisory services and technologies drive customized proxy solutions and enhance shareholder engagement in the voting process. Our experience and expertise have created invaluable insights into shareholder behavior and vote outcomes which we make available to you.

Now, to further enhance campaign management for our clients, we've launched ProxyIQ®, a transformative blockchain-based proxy campaign management, tabulation, reporting, and predictive analytics platform that provides mutual fund companies with the best proxy campaign insights available in the industry. The platform is completely proprietary and leverages in-flight and historical voter trends to identify potential voters, becoming more intelligent as a campaign progresses.

AST Fund Solutions: Services & Support

- **Proxy solicitation services:** We help you develop the optimal, cost-effective plan to reach your shareholders and motivate them to vote. The analytics of our ProxyIQ platform provide transparency into voting data that supports on-the-fly campaign strategy adjustment.
- **Shareholder meeting services:** Our services can support you across the entire shareholder meeting process. With analytics-enabled insights, we'll assist you with all aspects of the event, from planning, printing, mailing, tabulation, solicitation, reporting, and vote certification.
- **Contested proxy solicitation services:** Closed-end fund and BDC contests can take various forms and involve a range of issues, from board election challenges to advisory agreement terminations. The stakes are high, as the outcome can redefine control of your fund, its strategic direction and shareholder value. We help you control for these issues by organizing and managing the process.

ProxyIQ, a Transformative Blockchain-Based Proxy Campaign Platform

With ProxyIQ, issuers can anticipate the future of their campaigns for greater confidence, efficiency, and transparency in campaign execution.

ProxyIQ enables you to closely manage and reassess the campaign while it's in progress for any necessary strategic realignment, thanks to its near real-time functions for:

- Oversight of project status, including the number of votes received, proposal status, quorums and more
- Monitoring investor support for each proposal
- Analyzing the voting breakdown by demographic, geography and investor type



Advanced Analytics for Intelligent Investor Engagement Campaigns

ProxyIQ streamlines the fund proxy campaign process, while increasing transparency, traceability, and transaction speed.

ProxyIQ aggregates proxy campaign voting data in near real-time using blockchain tabulation. We pair in-flight voter data with historical data and apply predictive analytics to help you optimize shareholder engagement.

You'll discover ProxyIQ's real power in its analytics – enabling smarter, more cost-effective campaigns that are less invasive of the shareholder base, and allow more accurate, targeted outreach to voting shareholders in ways that motivate action.

AST Fund Solutions The Market Leader For:

- Activist Advisory & Analytics
- Annual & Special Meetings
- Proxy Solicitation
- Contested Proxy Solicitation
- Rights Offering Information Agent

ProxyIQ's Streamlined Proxy Campaign Process

1. PROXY CAMPAIGN INITIATED

- Campaign planning and analytics
- Meeting is created
- Shareholders loaded
- Voting rights verified



2. VOTING TAKES PLACE

- Omni-channel, beneficial and registered votes are collected from multiple sources directly to the common shared ledger



3. BLOCKCHAIN HOLDS

- Votes, shareholders/shares, meeting information
- Each block added can be validated by node holders for compliance with voting rights for any given meeting
- Data stored can be verified independent of the application



4. ANALYTICS REPORTING

- Near real-time reporting from the immutable ledger
- Direct client access to reporting and shareholders through the Issuer Portal



5. PROXY CAMPAIGN POSITIONING

- Monitor project status, including number of votes received, proposal statuses, quorums and more
- See the voting breakdown by demographic, geography and investor type
- Adjust the campaign at any time



6. FINAL COUNT OF PROXY VOTES

- Confidence that the final count is accurate and immutable



Contact Us

Start today to obtain comprehensive information and actionable intelligence on your shareholders.

Contact your AST client representative or Paul Torre at 212.400.2610 | ptorre@astfinancial.com

Visit our website at <https://lp.astfinancial.com/ProxyIQ.html>