



PRODUCTS & SOLUTIONS | VIP PROXY MONITOR

VIP Proxy Monitor: Stay compliant while delivering a superior customer experience



Full-service management of proxy events as they happen

VIP Proxy Monitor has been created specifically for insurance firms with variable life and variable annuity products. As firms seek to give their participants more choices and diversity in their fund offerings, managing the status of proxy events for each fund can be a complex, time-consuming task.

Under SEC regulations, fund participants must be notified each time a fund has a proxy event. The fund company does not have visibility into which insurance participants own their fund. Therefore, when a proxy event occurs, the insurance firm is responsible for informing all participants about the proxy event, including vote casting.

The Solution: VIP Proxy Monitor

As a designated service provider, DFIN can manage this process on your firm's behalf, providing a turnkey solution for you and a seamless experience for your fund participants.

Here's how it works:

- DFIN provides always-on monitoring of SEC filings.
- DFIN notifies your firm whenever one of your funds has a proxy event.
- DFIN's secure, automated solutions gather participant data.
- DFIN can also manage the proxy communications from your firm to the participants, creating a fully branded experience.

A simple end-to-end solution that keeps you in control and in compliance

As the industry grows more complex with increased fund variety, managing proxy events can be a challenging administrative function. As a result, there's been an increasing burden on insurance firms to communicate proxy events efficiently and in a timely manner.

DFIN's VIP Proxy Monitor automates the entire process, giving you:

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| Greater Autonomy and Security | You will no longer need to send annuitant data to multiple fund companies' proxy providers, giving you tighter control of the process and protecting the security of your data. |
| Compliance Assurance | DFIN will automatically monitor for proxy events and notify you if a fund in your lineup of offerings is impacted. You can be confident that you are meeting compliance regulations at all times. |
| Administrative Efficiency | With VIP Proxy Monitor, your staff will no longer need to track and manage proxy reporting, allowing them to concentrate on more pressing matters. |
| Superior Customer Experience | Proxy communications can be stylized to your brand standards, reinforcing your connection with your customers. Branded communications can also help to reduce confusion and calls to your service center, as participants may not recall how or where they are invested in any given fund. |
| Industry Leadership | With DFIN, you'll be working with an established industry leader to handle sensitive annuitant data. You can trust our team of experts to deliver personalized service and smart solutions. |

About Donnelley Financial Solutions (DFIN)

DFIN is a leading global risk and compliance company.

We're here to help you make smarter decisions with insightful technology, industry expertise and data insights at every stage of your business and investment lifecycles.

As markets fluctuate, regulations evolve and technology advances, we're there. And through it all, we deliver confidence with the right solutions in moments that matter.

Learn about DFIN's end-to-end risk and compliance solutions

Visit DFINsolutions.com | Call us [+1 800 823 5304](tel:+18008235304)