
Broadridge's "fund mapping" patent rights are confirmed

By Editor Test Thu, Apr 18, 2013

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Broadridge Financial Solutions Inc., the provider of regulatory disclosure communications services, announced that the U.S. Patent and Trademark Office has confirmed the validity of its patents after an *ex parte* reexamination initiated by a competitor.

The Patent Office confirmed the validity of Broadridge's 16 original patent claims, and also five new claims of U.S. Patent No. 6,122,635 ("the '635 Patent," entitled *Mapping Compliance Information Into Useable Format*) by issuance of a reexamination certificate, Broadridge said in a release.

According to the release, the '635 Patent is core to Broadridge's solutions for electronic delivery of compliance information, which help streamline the mutual fund regulatory-communications process.

The company acquired the '635 Patent and the related Mapping Compliance Information solution in 2010 when it purchased NewRiver, Inc. Issuing from an application filed more than 15 years ago, the '635 Patent is a pioneering patent in the field of electronic preparation and delivery of securities compliance information.

The '635 Patent allows Broadridge to exclude others from creating and maintaining a content database wherein EDGAR filings are sorted, separated and kept up-to-date. The database helps financial firms meet compliance and oversight requirements by providing access to up-to-date disclosure materials.

The automated, EDGAR-sourced collection and compilation solutions protected by the '635 Patent, combined with other Broadridge capabilities, enables fund companies to adopt the Summary Prospectus model and deliver "plain English" prospectuses at reduced print and postage costs.

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