

BROADRIDGE FINANCIAL SOLUTIONS, INC.  
Form 8-K  
March 04, 2019

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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 8-K  
CURRENT REPORT

Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): March 4, 2019

BROADRIDGE FINANCIAL SOLUTIONS, INC.  
(Exact name of registrant as specified in its charter)

DELAWARE  
(State or other jurisdiction of incorporation)

001-33220                      33-1151291  
(Commission file number) (I.R.S. Employer Identification No.)

5 Dakota Drive  
Lake Success, New York 11042  
(Address of principal executive offices)

Registrant's telephone number, including area code: (516) 472-5400

N/A  
(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.



Item 7.01. Regulation FD Disclosure.

On March 4, 2019, Tim Gokey, Chief Executive Officer of Broadridge Financial Solutions, Inc. (the “Company”), will speak at the Raymond James 40<sup>th</sup> Annual Institutional Investors Conference in Orlando, Florida. In addition, on March 7, 2019, Mr. Gokey will speak at the Third Annual Evercore ISI Payments & FinTech Innovators Forum in New York, New York. Lastly, James M. Young, Chief Financial Officer of the Company, will participate in the Wolfe Research Fintech Forum in New York, New York, on March 12, 2019. The Company’s materials to be used in the presentations are attached hereto as Exhibit 99.1. and 99.2.

The information furnished pursuant to Items 7.01 and 9.01, including Exhibit 99.1, shall not be deemed “filed” for purposes of Section 18 of the Securities Exchange Act of 1934, as amended (the “Exchange Act”), or otherwise subject to the liabilities under that Section, and shall not be deemed to be incorporated by reference into any filing of the Company under the Securities Act of 1933, as amended, or the Exchange Act.

Item 9.01. Financial Statements and Exhibits.

Exhibits. The following exhibit is furnished herewith:

Exhibit No. Description

|             |   |
|-------------|---|
| <u>99.1</u> | Broadridge Financial Solutions, Inc. March 2019 Investor Presentation           |
| <u>99.2</u> | Broadridge Financial Solutions, Inc. Additional Investor Presentation Materials |

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

March 4, 2019

BROADRIDGE FINANCIAL  
SOLUTIONS, INC.

By: /s/ James M. Young  
James M. Young  
Corporate Vice President  
and Chief Financial Officer

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