

RENEE F. SHORTER

SUMMARY

A client-focused professional with over 30 years of progressive experience in client management, contract negotiation, infrastructure management, service delivery, and project management in the financial services and healthcare industries. Proven ability to resolve problems and develop positive, mutually beneficial relationships, resulting in high client satisfaction levels and business growth within the account. Assertive, results-oriented professional with excellent leadership, communication and interpersonal skills. Demonstrated record of exceeding client expectations, maintaining high performance standards, and delivering innovative and practical business solutions with successful P&L performance.

PROFESSIONAL EXPERIENCE

BROADRIDGE FINANCIAL SOLUTIONS, Toronto, Ontario

April 2023 - Present

Vice President, Client Engagement & Transformation (November 2024 – Present)

Responsible for developing and implementing strategies to expand the products Broadridge offers in the Canadian wealth market spanning the Investor Communications (ICS) and Global Technology & Operations (GTO) segments. Support the development of customer journeys for growth by aligning Broadridge product roadmaps to customer business drivers and objectives to create the highest value for our clients.

Vice President, Client Operations (April 2023 – November 2024)

Oversee client support teams servicing Canadian brokerage back-office clients using Dataphile and RPM product suites. Deliver client service excellence and meet targets for ticket resolution. Guide release management team to ensure successful delivery of Dataphile software releases balancing client and Broadridge enhancement priorities.

- Provide direction to managers leading client support and release management teams.
- Manage client escalations and ensure timely resolution of production issues.
- Ensure Broadridge executive leadership is kept apprised of critical client issues as needed.
- Participate in client executive service delivery review meetings.
- Function as Dataphile business lead setting priorities and providing direction to support areas.
- Identify and champion operational improvements and new business opportunities.

BROADRIDGE INVESTOR COMMUNICATION SOLUTIONS, Markham/Mississauga, Ontario

(formerly ADP INVESTOR COMMUNICATIONS)

September 2004 – April 2023

Vice President, Bank Broker Dealer (BBD) Services (March 2021 – April 2023)

Secondment to special project team responsible for implementing the Broadridge Wealth Platform for the foundational client in the United States. Assumed lead role responsible for client communications stream which included implementation of statements, confirms and prospectus delivery components within budget under aggressive timelines. Led cross-functional initiatives building effective collaborative working relationships with workstreams that fed client communications to deliver a “One Broadridge Experience”. Established and maintained strong working relationship with my client counterpart to ensure successful project delivery.

Vice President, Bank Broker Dealer (BBD) Services (November 2017 – March 2021)

Senior Director, Client Management, Bank Broker Dealer (July 2011 – October 2017)

Director, Client Management, Bank Broker Dealer (July 2009 – June 2011)

Oversee client account management and service delivery for all Broadridge Investor Communications services focused on the Bank/Broker/Dealer and Asset Management industry. Services include trade confirmations, Fund Facts/prospectus delivery, statements, tax and beneficial proxy services including process control and vote services. Accountable for overall client satisfaction, service level attainment, contract development/negotiation and supporting new business development. Establish business priorities and departmental goals and objectives and support P&L management, as a key member of the Senior Management team.

- Oversaw and directed four key functional areas, including Transactional Account Management, Intermediary Services (beneficial proxy), Contract Management, Project Implementation, and Vote Services (2011-2014).
- Foster mutually beneficial outcomes by providing outstanding client service while effectively aligning with Broadridge's strategic priorities.
- Successfully managed senior-level communications, both internally and externally, to address client escalations and resolve production issues.
- Served as the executive sponsor for significant client project initiatives.
- Promoted enhanced collaboration between departments while facilitating effective knowledge sharing to uphold the "One Broadridge" philosophy, ensuring seamless client management and efficient project execution.
- Strong familiarity with Broadridge's Global and North American services. Broadridge ICS Canada's products and services are uniquely integrated with multiple other Broadridge services, e.g. GTO(BPS, Impact and Dataphile), BRCC(PostEdge, print and mail and electronic delivery), Issuer Services(Canada & US), Global Proxy, Access Data.
- Active member of RBC Global Account team.
- Represent Broadridge ICS at Broadridge GTO client steering committees and strategy sessions.
- Developed and negotiated all client service agreements and represented Investor Communications Canada on numerous global master service agreements.
- Supported Sales in new business development, contributing to proposals, business case development and client presentations.
- Partnered with Finance and Product Management to establish product implementation strategies and pricing models, ensuring both profitability and alignment with client expectations.
- Acted as a key advocate and collaborator with Product Management to drive the development and enhancement of products, integrating Broadridge's business objectives with client needs.
- Represented Broadridge at industry association and regulatory meetings (IIAC, OSC, IIROC), actively contributing to initiatives that reinforce Broadridge's leadership and influence within the industry.

Director, Implementation and Operations (March 2005 – June 2009)

Oversee daily operations, client account management and client implementations and project delivery for a \$20 million digital print-on-demand business. Accountable for overall client satisfaction, service level attainment and effective management of external delivery partner relationships. Establish business priorities and departmental goals and objectives, as a key member of the DataSmart Solutions Senior Management team.

- Oversaw daily Smart Prospectus® production for over 30 clients by collaborating with internal and external partner operations teams, fostering strong relationships, and ensuring effective SLA management and monitoring.
- Consistently met daily production targets and swiftly resolved issues to reduce client impact.
- Led new product development, delivering operationally efficient solutions aligned with client needs. Contributed key insights to inform product pricing decisions.
- Oversaw the creation, review, and approval of all contracts for clients and partners.
- Successfully negotiated client service agreements, ensuring achievable service levels, safeguarding revenue, and prioritizing the best interests of the business.
- Successfully negotiated partner agreements to ensure efficient service delivery, meet SLA requirements, and honor client contractual obligations.
- Successfully launched Mutual Fund and Investment Dealers on the Smart Prospectus® platform, aligning with client expectations and achieving departmental revenue targets.
- Delivered the first NI 81-106 Smart Disclosure project on time, ensuring compliance with regulatory requirements for customized investor documents.
- Consistently ensured the fulfillment of client contractual obligations while maintaining exceptional client satisfaction levels, surpassing annual improvement targets in client satisfaction surveys.
- Proactively addressed and resolved instances of client dissatisfaction by implementing mutually beneficial solutions, effectively enhancing overall satisfaction rates.
- Spearheaded the creation of recurring Client Focus Group meetings, fostering industry collaboration, driving product innovation, and elevating service delivery standards.

Implementation Manager (Sept 2004 – March 2005)

Accountable for implementation of new products and new clients. Provide direction and support to the 5-person implementation team, ultimately responsible for the full life cycle of client projects, to plan, scope, schedule, manage and expand the project to meet targets of client satisfaction, revenue, profit and utilization.

GE IT SOLUTIONS, Mississauga, Ontario

2002 – 2004

Program Manager

Directed service delivery at three of GE IT Solutions' most high-valued and strategic accounts in Canada. Developed project proposals and statements of work, designed pricing structures and negotiated contracts to adhere to company risk policies. Managed P&L for assigned accounts and ensured actual financial results met original project goals. Ensured invoicing was completed on time and matched revenues to expenses to maintain appropriate profit margins monthly.

TD Bank Financial Group

- Completed a \$5.9MM project to deliver 8000 managed desktops across TD Bank, managing a team of 20-45 permanent and contract staff. Achieved overall customer satisfaction ratings of very satisfied.
- Maintained required profit margins on fixed bid project despite 1-year extension. Project commitment was to deliver 8000 desktops without a defined end date. Adjusted project structure and resourcing to meet changing needs, while carefully monitoring projected and actual costs to manage risk.
- Negotiated a \$1.3MM Change Order in support of the project's extension and secured additional net new business of \$385K. Developed a "per unit completed" pricing agreement to meet customer expectations within company risk policy for profit margin, despite a fixed cost and no agreed upon minimum units.

Hamilton Health Sciences

- Managed operation of a \$2.5MM Wide Area Network supporting 5000+ clients at the 4 major hospitals in Hamilton, including both onsite and remote monitoring and management services. Improved customer relationship through ongoing service improvements. Consistently exceeded network availability target of 99.95%.
- Administered financial management of the Network Utility including day-to-day expenses, contingency fund and customer spending fund.
- Maintained inventories of production, spares and pre-production equipment. Ensured appropriate levels of network equipment were on hand to meet growth and emergency replacement needs. Managed budget to ensure sufficient funds for growth and equipment upgrades were available for the life of the 7-year contract.
- Led transition of remote management services from an internal team to outsource partner, Nuvo. Ensured contractual commitments and ongoing customer satisfaction were met. Managed ongoing service delivery through Nuvo, striving to continually improve services and maximize value for GE ITS' outsource dollars.
- Secured additional project services valued at \$420K plus a 3-year Security Management contract valued at \$80K per year.

Greater Toronto Airport Authority

- Managed the delivery of GTAA's EDMS system including physical hosting, network administration, application support and on-site desk side support, representing \$500K in annual revenue.

EMC LEGATO SYSTEMS CANADA, Burlington, Ontario

1999 – 2001

Manager, Premium Support

Managed 12-person team handling post-sale relationship for over 140 of Legato's largest and most strategic accounts, (both customers and support partners).

- Built a strong team of self-managed, customer focused individuals. Evolved role of the team from technical support watchdog to true customer relationship manager.
- Raised the profile and effectiveness of the PSAM position within Legato through development of strong relationships with the Technical Support, Sales, Consulting and Engineering organizations.
- Handled escalations from customers and staff to resolve politically sensitive issues impacting either the customer's business situation or Legato's relationship with the customer.
- Implemented standard processes to deliver more consistent services to our customers while maintaining the flexibility to adjust to the needs of the customer.
- Implemented back-up processes to ensure continuity of customer service. Developed management information tools for account load estimating and headcount justification worldwide.
- Developed worldwide standards for the Premium Support team. Continually maintained strong communications between teams to ensure consistency and optimization of resources worldwide.

WONDERWARE (formally Marcam Solutions), Burlington, Ontario

1998 – 1999

Manager, Framework & Systems Technology

Managed Framework Development, Database & Systems Administration/Configuration Management teams.

- Supported development department for a Windows based, three-tier client-server product for Enterprise Asset Management using Oracle 7.3.4 & 8.0.5, SQL Server 6.5 & 7.0 and DB2/400 V4R4 databases.
- Delivered Avantis.Pro Release 3.1 on schedule despite extremely tight schedules and high staff turnover during the critical end-game period.

TORONTO DOMINION BANK, Toronto, Ontario

1985 – 1998

Manager, Technology Support (1996-1998)

Managed Help Desk Call Centre and 2 PC/LAN Support teams supporting 1000 clients in 44 Green Line and TD Asset Management call centres and 1400 clients in various head office departments. Managed production infrastructure of over 25 NT/Novell servers including Intranet/Extranet applications using IIS static and transactional web pages, SQL databases and SNA communications. Developed business cases, resource plans and capital and expense budgets.

- Implemented improved support processes such as work request tracking and change management.
- Managed numerous projects to move and deploy 200-300 desktops in support of RSP season, and complete production infrastructure upgrades.
- Integrated newly acquired business within 1 month under critical timelines.
- Responded to changing needs in a fast-paced entrepreneurial environment.
- Successfully balanced project activities with ever changing demands of daily production support.

Quality Assurance Analyst, TD Access Development (1995-1996)

- Designed Windows development standards for initial release of TD Access PC Banking product.
- Developed Automated test scripts using SQA.
- Managed systems test phase to ensure resolution of all identified defects.

Project Leader, Help Desk & PC/LAN Support (1994-1995)

- Supervised Help Desk and Desk Side Support team (450 Developers and Novell 3.12 servers)
- Directed major hardware and software upgrade delivering new desktops to 300 clients.
- Administered departmental hardware and software budget.
- Managed hardware & software vendor relationships.

Quality Assurance Analyst (1992-1994)

- Researched quality assurance tools and techniques; Recommended departmental standards
- Presented and persuaded senior management and developers to adopt the new standards.
- Achieved 95% adoption rate resulting in significant defect reduction across the department (450 developers).

Programmer/Systems Analyst (1985-1992)

- Systems analysis, development and technical leadership on various COBOL/DB2/IMS online and batch systems for retail banking and head office.

EDUCATION

BSc. Honors Mathematics Science / Co-operative Education Program
University of Ottawa, Ottawa, Ontario

Various internal and external management development courses (1994-2006)
Completed Six Sigma Greenbelt Certification exam (2004)