NEWS RELEASE

91% of Capital Markets Respondents Want AI to Deliver Greater Accuracy and Fewer Errors

2026-11-17

AI is becoming part of daily operation, but most use cases remain human led, putting controlled delegation, trust, and accountability in focus

NEW YORK, Nov. 17, 2026 /PRNewswire/ -- **Broadridge** (NYSE: BR), a global Fintech leader, in collaboration with The ValueExchange, the International Securities Services Association (ISSA), and AI-specialist DeepSee, today released, **AI in the Real World 2026: From AI Tools to Controlled Delegation in Post-Trade Operations**. The report finds that 91% of respondents want providers to use AI to improve accuracy and reduce operational errors, followed by faster processing (85%), and proactive issue resolutions (80%). The findings put measurable service outcomes, rather than AI adoption alone, at the center of the industry's next phase of investment.

Drawing on more than 200 survey responses and interviews with market participants, the report finds that 61% expect moderate, significant or critical disruption if AI were removed, 78% say no more than one in ten AI use cases operates autonomously. The opportunity is to move from AI to controlled, accountable workflows, with trusted data, clear permissions, and human oversight.

"The test of AI is not how many tools a firm deploys, but whether it delivers fewer errors, better client service and increased capacity," said David Kirby, Head of U.S. Consulting Services, Broadridge. "Achieving those results takes more than a model. Firms need experts who understand post-trade workflows, trusted data and the controls that make AI dependable in production. Broadridge brings that domain expertise together with AI capabilities to help clients target the right opportunities, measure progress and scale with accountability."

The adoption gap in four numbers

- 49% report generative AI in production, compared with 11% for agentic AI.
- 78% say no more than 10% of their AI use cases operate autonomously.
- 70% describe asset servicing as fully or mostly manual; just 8% say it is fully automated.
- 80% expect to use AI in external interactions by the end of 2027.

Clients want fewer errors and better service

Respondents say clients want practical outcomes from AI providers, not technology for its own sake. Improved accuracy and fewer operational errors lead the list (91%), followed by faster processing (85%), better data and reporting (83%), and proactive issue resolution (80%).

For firms adopting AI, operational efficiency and cost reduction are the leading objectives, cited by 71% of respondents. The report argues that firms should also measure increased capacity, reduced rework and more consistent service delivery, not cost savings alone. Firms should establish a baseline for errors, rework, turnaround time and capacity, then evaluate AI against those measures. Broadridge combines post-trade expertise, transactional and operational data, and production-ready AI capabilities available through managed services or within clients' own operations to help firms translate these priorities into practical workflow improvements.

The next test: moving AI into core workflows

Application development, client queries, and data quality lead current AI adoption. In asset servicing, 29% of respondents report current AI use and 47% plan to use it, while 70% still describe the process as fully or mostly manual. Settlement, fund accounting, and liquidity management also have more planned than live activity, indicating where firms expect the next wave of implementation.

As firms move deeper into core workflows, systems must do more than generate an answer: they must use reliable evidence, act within defined permissions, document their actions, and escalate cases that require human judgment.

"The strongest solutions combine AI with process certainty," said Steve Shillingford, CEO, DeepSee. "In the middle and back office, a wrong answer is a settlement fail or a break someone has to chase. So, a system needs to show the evidence behind a recommendation, act only within its authority, and recognize when to stop and involve a person. When every step is verified against the firm's own process, AI becomes dependable enough to take on more responsibility. That is the approach we have in production with Broadridge today."

Controls must keep pace with reliance

The research identifies a gap between establishing AI policies and building the assurance needed to expand AI's role. While 75% of respondents have a responsible-use policy and 65% report defined controls, only 46% report

regular audits or explainability requirements, and 24% have processes for building stakeholder trust.

The report describes the next stage as "controlled delegation". AI performs bounded work and takes permitted actions, with clear accountability, monitoring, and escalation. Rather than pursuing autonomy everywhere, firms should expand AI's authority selectively, based on the risk of each task and demonstrated performance.

Read **AI in the Real World 2026: From AI Tools to Controlled Delegation in Post-Trade Operations**.

About the research

AI in the Real World 2026 draws on a global ValueExchange survey conducted in the second quarter of 2026, with approximately 205 responses, and interviews with market participants. Respondents included buy-side and sell-side firms, financial market infrastructures, technology vendors and other industry participants across Europe, the Americas, the Middle East, Africa and Asia Pacific. Findings reflect respondents' reported experiences and expectations; the disruption finding is a hypothetical assessment, not a measure of actual outages. The research was produced with ISSA and sponsored by Broadridge and DeepSee.

About Broadridge's AI solutions

Broadridge applies AI to help financial services firms turn complex, high-volume work into more intelligent, scalable workflows, helping clients modernize operations, improve decision making, and drive growth.

Grounded in a financial services ontology built on decades of transactional and operational data, our integrated platform combines data, APIs, workstations, and agentic intelligence so clients can deploy proven capabilities and build tailored solutions.

Our AI capabilities are embedded across capital markets, wealth management, asset management, and investor communications – from post-trade operations, trading, and operational communications to personalized client engagement, predictive analytics, regulatory reporting, and shareholder communications. Clients can deploy production-ready AI capabilities through Broadridge managed services or directly within their own operations.

About Broadridge

Broadridge (NYSE: BR) is a global technology leader with trusted expertise and transformative technology, helping clients and the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients—driving operational resiliency, elevating business performance, and transforming investor experiences.

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