

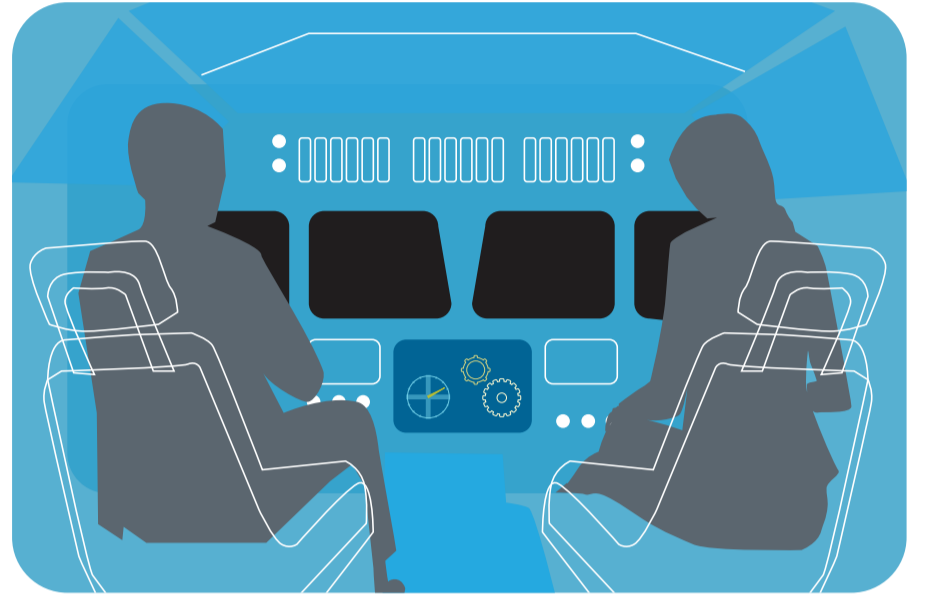
# Operational leaders at the helm

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Financial services in today's highly regulated, global landscape

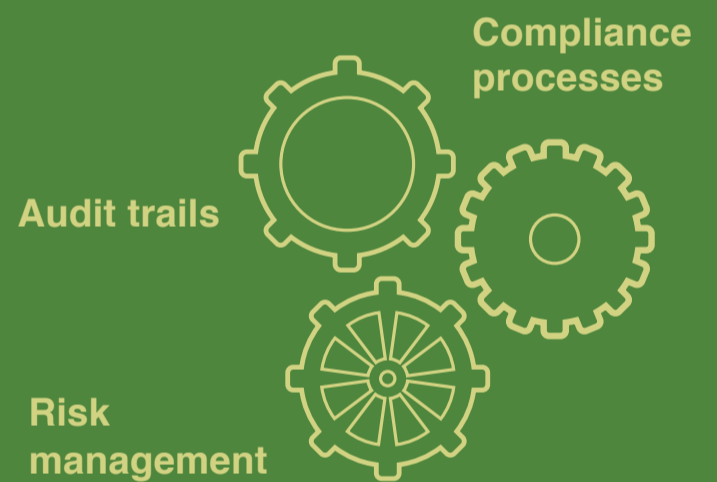
**EXECUTIVES EXPECT OPERATIONAL LEADERS TO HELP ADVANCE THE ORGANIZATION'S STRATEGIC GOALS AND ARE INVESTING ACCORDINGLY**

These findings are based on an Economist Intelligence Unit survey conducted in early 2014, on behalf of Broadridge, of 414 financial services executives from around the world that are engaged in securities-related businesses. More than 40% of survey respondents hold C-level position.

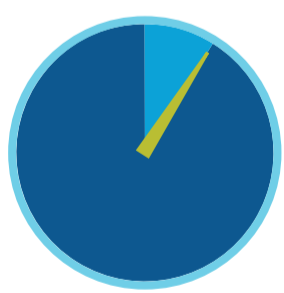


**INTENSE REGULATION AND GOVERNANCE IS CITED AS THE TOP OPERATIONAL CHALLENGE TO ORGANIZATIONAL SUCCESS**

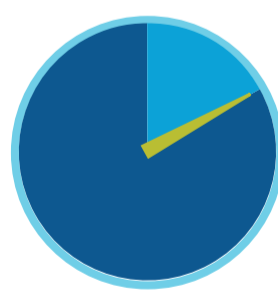
Building automated processes that integrate risk management, audit trails and compliance processes is the most effective strategy for adapting to more intense regulatory and governance requirements.



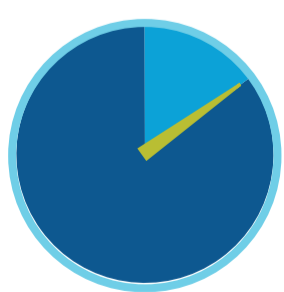
**FIRMS WITH STRONG ADAPTABILITY PERFORMANCE ARE LIKELY TO SAY THEY WILL INVEST IN A WIDE RANGE OF OPERATIONAL ACTIVITIES**



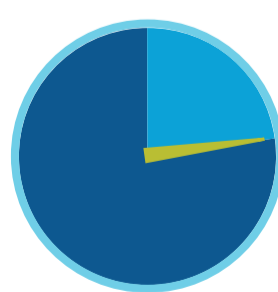
**91%** of global executives from highly adaptable firms say they will increase spending on risk management-related operational activities.



**83%** of C-level executives from highly adaptable firms say that leaders of their operational units are fully engaged in the company's global strategy planning.



**85%** of C-level executives from high-performing firms say that leaders of operational units have been very effective in implementing improvements that help create an investor-first environment that drives value to the business.



**77%** of global executives also say that launching new business models is the answer to adapting to today's highly regulated, global environment.