

3rd Annual Forum: Overcoming Barriers to STP Implementation

From execution to settlement

Central London

15th & 16th
November 2001

“ The industry has described STP implementation as the greatest challenge to face. Even greater than the one presented by the preparations for the Y2K and the Euro.”

As the continued trend towards globalisation of assets has increased the complexities of trading and settling investments across borders, the industry has realised that the goal of driving STP industry-wide is indeed a monumental task. It is vital to ensure that the standards in place to implement STP within each organisation are in place in the short term in order to achieve, in the longer term, STP across the entire trade life cycle, on a global basis. This cutting-edge event, featuring senior speakers within the industry, will enable you to hear debated in depth the crucial, yet unresolved issues that will lead your organisation to devise appropriate strategies to overcome barriers to STP implementation.

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Attending this timely, highly topical conference, will give you the opportunity to focus, amongst many others, on the following key issues:

- Analysing the STP benchmarks available within the industry – External STP vs. internal STP
- Measuring STP performance and overcoming the lack of consensus on messaging standardisation
- Pinpointing the tools for benchmarking STP
- Assessing accurate and timely data and building an appropriate information infrastructure
- Improving operational efficiency within your organisation
- Exploring the code for best practice
- Focusing on the crucial need for strengthening the middle office – Monitoring volumes
- Driving paper out of the corporate action process domestically and internally
- Hearing practical insights both through panel discussions involving all the parties within the industry and through extremely relevant case studies

In the Chair:

Brian Taylor
Managing Director
BTA Consulting

Sanjay Vatsa
First Vice President
Merrill Lynch Investment Managers

Your eminent speaker panel:

Kevin Bourne
Director, Equity Electronic Trading
Schroder Salomon Smith Barney

Richard Jinks
Head of Sales and Account Management, EMEA
Omgeo

John Gubert
Head of Group Securities Services
HSBC Holding Plc/GSTPA

Anton Williams
Vice President, European Implementation
Citibank Worldwide Securities Services

Kevin Houston
Director, Electronic Equity Trading and External Connectivity
Schroder Salomon Smith Barney

Graeme Austin
Managing Director
STP Information Services

Sanjay Vatsa
First Vice President
Merrill Lynch Investment Managers

Jan Ellis Snitzer
Vice President, STP Project Manager
MFS Investment Management

Stuart McKinlay
Chairman
ISITC

Douglas Warrington
Vice President, Investor Solutions Group
Citibank Worldwide Securities Services

Nigel Thomas
Vice President
State Street Investment Management Solutions Europe

Nigel Solkhon
Senior Consultant
IBM

Eric Hanneke
Director, Product Management
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Janet Wilkinson
Vice President, Equities, e-Commerce Europe
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Michael Kempe
Head of Issuer and Investor Services
CRESTco Ltd

David Farbon
Senior Manager, Corporate Advice
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Day 1

15th November 2001

08:30 Registration & Coffee

09:00 Opening Address from the Chair

Brian Taylor
Managing Director
BTA Consulting

External STP vs. Internal STP

Key Introductory Session

09:15 Enabling STP for the Industry

- The business drivers - Costs, transaction volumes, market practice
- What or who is stopping STP from happening?
- Operational efficiency management
- Service providers and counterparties
- Future STP activity

Graeme Austin
Managing Director
STP Information Services

10:00 Joint Presentation

Focusing on STP Benchmarks

Hearing the crucial perspectives of the major suppliers of STP benchmarking tools

Richard Jinks
Head of Account and Sales Management, EMEA
Omgeo

Graeme Austin
Managing Director
STP Information Services

10:45 Morning Coffee

External STP

11:15 Benefits of Measuring STP Performance

- What does benchmarking STP performance mean?
- Which tools to use?
- Benefits of benchmarking
 - Identifying the weak links within the whole trading flow – Consequences
- The impact of measuring STP performance for client servicing

Nigel Solkhon
Senior Consultant
IBM

12:00 Assessing the Impact of STP on Settlement

- Assessing the impact of STP on settlement
- The advantages of achieving STP in investing and trading, clearing and settlement processes
- Analysing changes in cross-border flows in Europe
- Evaluating the role of pan-European clearing and settlement providers

Eric Hanneke
Director, Product Management
Euroclear

12:45 Lunch

14:00 Panel Discussion

STP from Execution to Settlement

Practical insights from the major players

Brian Taylor
Managing Director
BTA Consulting

Anton Williams
Vice President, European Implementation
Citibank Worldwide Securities Services

Nigel Thomas
Vice President
State Street Investment Management Solutions Europe

14:45 Overcoming the Lack of Consensus on Messaging Standardisation

- Exploring the current and forthcoming initiatives
- Why is there no consensus?
- Examining the effects of this state of play on STP
- What's next?

Douglas Warrington
Vice President, Investor Solutions Group
Citibank Worldwide Securities Services

15:30 Afternoon Tea

16:15 Panel Discussion

Reaching a Consensus

Exploring solutions for achieving a consensus with the major players

Brian Taylor
Managing Director
BTA Consulting

Douglas Warrington
Vice President, Investor Solutions Group
Citibank Worldwide Securities Services

Nigel Solkhon
Senior Consultant
IBM

17:00 Closing Comments from the Chair

17:15 End of Day One

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International Banking Systems

Focuses on the retail and private banking back office systems market and related subjects. There is now much activity here, with new players emerging, many large - and not always successful - implementations, and many banks looking for new systems. Strategic reviews are being driven by influences such as the competitive nature of the market, mergers and acquisitions, customer relationship management, the need to support multiple-channel delivery, the euro, strategic reviews, product branding, and so on.

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16th November 2001

08:30 Registration & Coffee

09:00 Opening Address from the Chair

Sanjay Vatsa

First Vice President

Merrill Lynch Investment Managers**Key Introductory Session****09:15 The Optimum Model for Matching Securities Transactions**

- The interested parties – The key transactions
- Data content and quality
- Interoperability between market systems
- Models for fast settlement

John Gubert

Head of Group Securities Services

HSBC Holding Plc/GSTPA**Internal STP****10:00 Improving STP Through an Information Management Infrastructure**

- Assessing the principal causes of trade failures
- What is an information management infrastructure and what are the key benefits?
- Information management – One of the components to help achieve a flexible and global STP solution

Richard Jinks

Head of Account and Sales Management, EMEA

Omgeo

10:45 Morning coffee

11:15 Case Studies**The Fund Manager and the Broker-Dealer**

Operational efficiency is dependent on both the brokers and the fund managers ability to quickly process the trade. By measuring each stage in the trade confirmation process, it is possible to identify the weak links in trade processing workflows of both the fund manager and the broker issues.

Sanjay Vatsa

First Vice President

Merrill Lynch Investment Managers**Kevin Bourne**

Director, Equity Electronic Trading

Schroder Salomon Smith Barney**Kevin Houstoun**

Director, Electronic Equity Trading and External Connectivity

Schroder Salomon Smith Barney**12:00 Case Study****Implementation of an STP Benchmarking Tool at MFS Investment Management****Jan Ellis Snitzer**

Vice President, STP Project Manager

MFS Investment Management

12:45 Lunch

14:00 The Code for Best Practice

- Training the staff
- Ensuring usage of proper data in the model – The key to operational efficiency
- Database management
- Devising best solutions to minimise errors
- Analysing the correlation between operational performance and business growth

Stuart McKinlay

Chairman

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14:45 Strengthening the Middle Office - Analysing Volume Related Problems

- Monitoring volumes and effects on STP
- Managing volumes – What is requested?
- Pinpointing the problems caused by volumes
- Defining the characteristics and devising specific solutions
- Middle system messaging flows

Janet Wilkinson

Vice President, Equities, e-Commerce Europe

Citibank

15:30 Afternoon Tea

Corporate Action Processing**16:15 Driving Paper Out of the Corporate Action Process Domestically and Internally**

- How to drive paper out of the corporate action process
- Domestic vs. international
- Models for the future

Michael Kempe

Head of Issuer and Investor Services

CRESTco Ltd**17:00 Case Study****BT's Rights Issues – A Big Issue in Every Way**

- What's wrong with paper, anyway? A brief look at the traditional rights issue and why things had to change
- The BT rights issue – The experience from all angles
- The future of rights issues

David Farbon

Senior Manager, Corporate Advice

Lloyds TSB Registrars

17:45 Closing Comments from the Chair

18:00 Close of Conference

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Jacquelyne Muhati, Marketing Manager**on +44 (0) 20 7647 2304**

I would like to thank everyone who has helped with the research and organisation of this event, particularly the speakers for their support and commitment.

Serena Menaguale, Conference Producer

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Video set & documentation @ £1495.00 + VAT

Payment is required within 5 working days.

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TO STP IMPLEMENTATION
FROM EXECUTION TO SETTLEMENT

DATE(S): 15TH & 16TH NOVEMBER 2001

VENUE: CENTRAL LONDON
VENUE TO BE CONFIRMED 1 MONTH
PRIOR TO CONFERENCE DATE

HOTEL ACCOMMODATION:

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