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6th Annual

# Network Management Forum

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**Reciprocity, risk reduction and cost control – keeping  
abreast of best practice sub-custodial strategies**

Top level insights will be made by  
the following industry leaders:

- GLOBAL CUSTODIAN
- BNP PARIBAS SECURITIES SERVICES
- CLEARSTREAM BANKING
- NORDEA BANK
- ASSOCIATION OF GLOBAL CUSTODIANS
- INVESTORS BANK & TRUST
- BANQUE PRIVEE EDMOND DE ROTHSCHILD
- BANK OF NEW YORK
- ZENITH BANK
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- NORTHERN TRUST
- DEUTSCHE BANK
- HVB BANK HUNGARY
- THOMAS MURRAY
- BUDAPEST STOCK EXCHANGE
- MERRILL LYNCH
- EUROCLEAR
- CITIGROUP

Pre-Conference Workshop:

### Assessing Local Capital Market Infrastructure Risks

Tuesday 13th June 2006  
Led by Thomas Murray

Post-Conference Workshop:

### Central and Eastern European Focus:

Challenges of Frontier Markets Plus No Longer Emerging,  
Not Quite Mature – the Place In Between

Friday 16th June 2006  
Led by Bank Austria Creditanstalt

Arranged by



IIR Ltd.



THOMAS MURRAY

Strengthen your organisation's  
network management by  
investigating:

- What is the future of the sub-custody business?
- Total value chain: What is it worth?
- Consolidation of financial markets in Europe – what's on the horizon for 2007?
- Tracking the trends in multi-market agenda banks competing with global custodians – how is this panning out?
- External surveys: how much value do they add versus objective analysis?

Wednesday 14th & Thursday 15th June 2006  
The Marriott, Prague, Czech Republic

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# 6th Annual Network Management

## Day One: Wednesday 14th June

8:40 Registration & Coffee

9:10 Chairman's Opening Remarks



**John Gubert**  
Global Head of HSBC Securities Services  
**HSBC HOLDINGS PLC**  
John has worked within the HSBC Group since 1979 in corporate banking, risk management and securities custody. John is a non-executive director of Euroclear SA and a member of its Executive Committee. He also chairs the Euroclear Risk Committee. He is a member of the Executive Board of the International Securities Services Association, the SWIFT Securities Committee and also sits on the Group of 30 Monitoring Committee for Clearing and Settlement.

9:20 **KEYNOTE ADDRESS:**  
**Future Of Sub-Custody Business**



**James Hogan**  
Global Head of Custody and Clearing  
**HSBC SECURITIES SERVICES**  
James joined HSBC in 1987, and has held numerous positions within the HSBC Group in Asia, the Middle East, New York and London. With more than 15 years' extensive experience in corporate, treasury and investment banking as well as the sub-custody and securities clearing businesses, James took on the role of Global Head of Custody and Clearing in November 2005. Based in Hong Kong, James is responsible for all aspects of HSBC's Custody and Clearing, a business which spans 36 countries across Asia-Pacific, Middle East, Southern Europe and Latin America.

10:00 **Consolidation Of Financial Markets In Eastern Europe – What Is On The Horizon For 2007?**



**Attila Szalay-Berzevicy**  
Head of Custody  
**HVB BANK HUNGARY**  
& Chairman  
**BUDAPEST STOCK EXCHANGE**  
Attila heads up the entire Custody Division of HVB Hungary, besides being one of the three Regional Sales & Relationship Managers of the HVB Group. He has over 11 years of experience in custody business and has received professional training from JP Morgan, The Bank of New York, GE Capital and Paribas. In 2005, Attila was elected to the position of Chairman of the Budapest Stock Exchange and has since been an active and vocal voice for the advancement of the capital markets in Hungary - he was the force behind a number of recent reforms in the tax and pension regimes.

10:30 **Assessing The Future Development Of EU Clearing & Settlement**

- Current state of play
- The Giovannini agenda and the European Commission
- Harmonisation and consolidation: cutting cost and risk
- Future perspectives



**Deirdre O'Grady**  
Head of Operational Strategy and Network Management for EMEA  
**MERRILL LYNCH**  
Deirdre is a Director in Global Markets and Investment Banking Services in Merrill Lynch. She also runs the EMEA Six Sigma program for Merrill. Prior to this role she ran Cash Management for EMEA based in Dublin. Deirdre has extensive change management experience, having spent eight years in the Financial Services division of Accenture, where she worked with major Banking and Insurance institutions in London, Dublin and Germany.



**Philippe Laurensy**  
Director Commercial Division  
**EUROCLEAR**  
Philippe Laurensy, Director, heads Euroclear's teams of relationship managers covering Benelux, Eastern Europe, Primary Markets and CREST international securities. He and his teams build relationships with these clients and promote Euroclear's services in these regions. Prior to this, Mr. Laurensy headed a team of specialist product managers responsible for managing and developing Euroclear's range of products and services for fixed-income securities. Mr. Laurensy's responsibilities included research, pricing and generic services across products.

11:10 Morning Coffee

11:30 **An Optimal Market Structure For Clearing And Settlement**

- What users want
- Consolidation vs competition - the issues and challenges
- The role of industry and public policy



**Diana Y. Chan**  
Managing Director – EMEA Securities Services  
Global Transaction Services  
**CITIGROUP CORPORATE & INVESTMENT BANKING**  
Diana is responsible for EU-wide infrastructure and regulatory developments in securities services. She represents Citigroup in CESAME - the European Commission's Clearing and Settlement Advisory and Monitoring Expert Group, in COGESI - the European Central Bank's Contact Group for European Securities Infrastructure Issues, and in the Group of Thirty's European Monitoring Committee on clearing and settlement. She has over twenty years' experience in the securities services industry.

12:00 **Keynote Panel Discussion:**

**Total Value Chain – What Is It Worth?**

- Division of labour – who is responsible for what?
- Quality vs. factory
- Reciprocity - is it alive or dead?
- Influencing service and value from local infrastructure
- What are you paying for?
- Tangibles vs. intangibles
- Risk mitigation – does it have value?



Moderator:



**Dominic Hobson**  
Editor  
**GLOBAL CUSTODIAN**  
Dominic Hobson is Editor-in-Chief of Global Custodian magazine. Born and educated in Southern Rhodesia, Dominic graduated from Cambridge University in 1980. He spent four years in investment banking with Morgan Grenfell before leaving to help found Asset International, publishers of Global Custodian and Plan Sponsor magazines. Dominic is also a published author, with three books to his credit.

Panellists:



**Peter Dahlgren**  
Head of Custody Services  
**NORDEA BANK**  
Peter Dahlgren joined Nordea's Custody Services in March 2005. He has a background in investment banking and both public and private asset management in the Swedish market, i.e. in Alfred Berg and AP7, one of the largest pension funds in Sweden. During his career, Peter Dahlgren has worked with Risk Management, Administration and Fund Management Strategy. Consequently, he has considerable experience from custody from a client's point of view and holds strong views on what expectations clients have of their custodian bank.



**Patrick Vandebeck**  
Head of Network Management  
**BNP PARIBAS SECURITIES SERVICES**  
Patrick Vanderbeck is responsible for BP2S Network Management, based in Paris. Patrick is a member of the BP2S Operations Management Committee. His responsibilities include the management of BP2S custodian and cash correspondent network on behalf of all BP2S locations. Patrick joined the bank in 1995 when Paribas acquire the European local custody activities from JP Morgan. Patrick has 21 years experience in custody, including 8 years in Network Management.



**Mark Gem**  
Head of Network Management  
**CLEARSTREAM BANKING**  
Mark Gem is Head of the Network Management and New Issues Department at Clearstream Banking since 2002. His responsibilities include the management of Clearstream's sub-custodian, common depository, CSD and cash correspondent network. He is also responsible for the management of Clearstream's interfaces with the issuance community, including paying agents, lead managers and industry standard groups, for both international and German domestic securities.

12:50 Lunch

2:00 **ASSOCIATION OF GLOBAL CUSTODIANS' Agenda – An Update**

- Who and what is the AGC?
- The mission
- Review of main agenda items



**Pat Costello**  
Chairman  
**ASSOCIATION OF GLOBAL CUSTODIANS**  
Pat has more than 20 years experience in the securities processing industry. After a progression of positions at Fidelity Investments and State Street Bank, Pat joined the Treasury Operations staff at the former Boston Safe Deposit and Trust (BSDT) in 1989. Since 1991, he has been part of the Network Management team, helping to evolve the global custody business model and to support all brands within the Mellon Group, including ABN Amro Mellon; CIBC Mellon and Mellon GSS.

2:30 **Panel Discussion:**  
**Tracking The Trend In Multi-Market Agent Banks Competing With Global Custodians – How Is This Panning Out?**

- Is regionalising the network providing more benefits to clients or to the appointing custodian?
- When does a "regionalised network appointment" become an exit for the appointing bank?
- To what extent does reciprocity restrict the regional appointment opportunities?
- Are global custodians too powerful when they concentrate their assets with a regional provider?
- How do competitors react when a regional mandate is up for tender?



Moderator:



**Ross Whitehill**  
Chief Operating Officer  
**THOMAS MURRAY**  
Ross has participated in and led some of the world's largest reviews of global custodians in Europe. The company has now reviewed invested assets in excess of 2.5 trillion Euros on behalf of major asset managers, insurance companies, pension funds and other institutional investors.

Panellists



**Andy Osborne**  
Senior VP – Head of Network Management  
**WORLDWIDE NORTHERN TRUST**  
Andy Osborne is based in London. From here he strategically manages Northern Trust's multi-region Network Management group which globally oversees Northern Trust's entire sub-custodian network of sub-custodian and payment banks.

**John Gubert**

Global Head of HSBC Securities Services  
**HSBC HOLDINGS PLC**  
(see bio above)

+ other panellists to be announced

3:20 Afternoon Tea

3:40 **External Surveys: How Much Value Do They Add Versus Objective Analysis?**

- What are the positives about industry surveys?
- What are the negatives about industry surveys?
- Do the surveys serve the buyer, the seller or the publisher?
- Could industry surveys reduce the burden of analysis and due diligence?

**Ross Whitehill**

Chief Operating Officer  
**THOMAS MURRAY**  
(see bio above)

4:20 **Is The Global Village Ready For More Regulatory Obligations?**

- Comply and explain vs. rules and punishment based supervision
- Are investors better protected today?
- Do the benefits of regulation outweigh the cost?



**Andrew Carter**  
Regional Head of Product & Client Management – Eastern & South Eastern Europe  
**DEUTSCHE BANK**  
Andrew Carter joined Deutsche Bank AG in January 1994 and has worked on an international basis on numerous strategic projects as part of the internal management consulting group, and as well as with Money Market / Repo trading & sales. Currently based in Germany, he is responsible for all Product and Client Management activities within the Eastern and South Eastern Europe Region for Domestic Custody Services, a position that he has held since Sept-2001.

5:00 Chairman's Closing Remarks

5:10 Close of Day One

## Day Two: Thursday 15th June

9:00 Morning Coffee

9:30 Chairman's Opening Remarks



**Michael Aschauer**  
Head of Custody  
**BANK AUSTRIA CREDITANSTALT**  
Michael Aschauer is heading the Custody Department of Bank Austria Creditanstalt in Vienna. He is in charge of Sales, Operations and Product Development in 12 markets in Central and Eastern Europe. He is an essential driving force behind the numerous international industry awards for excellence of the products and services of Bank Austria Creditanstalt and HVB in CEE in the areas of Fund Accounting and domestic and cross border Custody Services for banks, global custodians and broker dealers.

9:40 **KEYNOTE ADDRESS:**



**David Penstone**  
Head of Sales & Relationship Management  
**BANK AUSTRIA CREDITANSTALT**  
David Penstone joined Bank Austria Creditanstalt in 2004 as Global Head of Sales & Relationship Management for the Group's Custody Network in Central - and Eastern Europe. David has 17 years of international experience in the custody and clearance business - experience that encompasses brokerage operations, network management, product and system development and most recently relationship management. He began his career in Canada with Scotia McLeod and since then had various positions at reputable institutions such as JP Morgan, The Bank of New York and prior to joining Bank Austria Creditanstalt he was with RBC Global Services.



10:20 **Resource Management Vs. Outsourcing Arrangements Within The Network Management Group**

- Focusing on all the third party relationships that are taken over by the party awarded the outsourcing deal
- What effects does this have?
- How does it cross over the global custody responsibilities and procedures already in place?
- How do you manage proprietary information?

**Keri Smith**

Director – Global Network Management  
**INVESTORS BANK & TRUST**  
Keri currently is the Director of the Global Network Management group at Investors Bank, concentrating on the Bank's growth in

Emerging and Frontier Markets as well as legal and regulatory issues. Keri has done extensive work with government entities in various emerging markets on the building and enhancing of custody services and market infrastructure. Most recently, Keri has spent the last several years building the Fund Services and Cash Management relationships worldwide for Investors Bank.

11:00 Morning Coffee

11:30 **Exploring Optimum Strategies For Sub-Custodian Selection & Risk Management Tools**

- Understanding the risk factors in today's marketplace
- Anticipating potential risk
- Creating best practice in risk assessment
- Protecting your interests, and those of your clients



**Edouard Bokuetenge**

Head of Network Management – Custody & Clearing  
**BANQUE PRIVEE EDMOND DE ROTHSCHILD**

Edouard has been in his present role since 1999, where he is responsible for all matters pertaining to the custodian network and cash clearer of Banque Privée E. de Rothschild Europe. Prior to this, he worked in the Operations Department. In addition Edouard is a Professor at the Luxembourg Banking Institute.

12:10 **Corporate Actions Focus**

- Do the investors really acknowledge the risk?
  - Gaps in local infrastructure – is it a shared risk?
  - Are hedge funds increasing the risk?
- (speaker to be announced)

12:50 Lunch

2:00 **Regional Focus Update:**

**Middle East; The Americas; Africa; China; India**

A region by region focus on the fundamental features in each market, covering such issues as:

- Political updates
- How are the markets evolving?
- The role of the central depository
- The regulatory environment
- What are the risks?
- Settlement procedures
- What are the "hot" countries right now? And which ones are "not"?



Panel: The Middle East



**Mark Davies**

Senior Vice President  
**HSBC**

Mark Davies is heading up the London based sales and relationship team for HSBC's Custody and Clearing and is responsible for all European based clients of Custody and Clearing. HSBC's Custody and Clearing is the sub-custody and clearing product for Global Custodians and Broker Dealers. HSBC offers this service in 32 markets mainly in Asia and the Middle East.



**Mahmoud Salem**

Vice President – Business Development and Relationship Management  
**BANK OF NEW YORK**

Mahmoud was the head of transactions for nearly 10 years for the Bank's Middle East and African DR business. His expertise helped numerous companies and financial institutions structure and execute IPOs, secondary offerings, schemes of arrangements and other corporate transactions involving DRs. He is currently responsible for developing the DR markets in the Gulf region and has an emphasis on listing and trading DRs on the new Dubai International Financial Exchange.

Africa



**Bruce Lawrence**

Managing Director  
**ZENITH BANK**

Bruce is currently Managing Director of Zenith Pensions Custodian Ltd in Lagos, Nigeria providing custody to the recently established domestic pension fund industry and has recently been appointed as a member of the President's Bond Market Steering Committee reporting to the Minister of Finance of Nigeria. Bruce Lawrence, through his company H.B.L. Consultancy Services Limited, has consulted on the full spectrum of securities markets instruments, Custody, Clearing, Settlement and assisted in the creation and further development of Central Securities Depositories and Stock Exchanges.

The Americas



**Carlos del Barrio**

Executive Director  
**SANTANDER INVESTMENT SERVICES**

From 1990 through 1997, Carlos worked for The Bank of Tokyo Limited, Madrid Office as Custody and Settlements area manager and then Foreign Department Director. In 1997 he was recruited by Santander Group to take care of Custody and Settlements product development in Latin America in the Santander Group regional units (7 countries).

China & India

(speaker to be announced)

4:00 Chairman's Closing Remarks

4:10 Close of 6th Annual Network Management Forum

If you have any questions about this programme or would like further information please contact Andrew Barman on +44 (0)20 7915 6653 (email: abarman@iirltd.co.uk)

**PLUS**

Pre-Conference One Day Workshop

## Assessing Local Capital Market Infrastructure Risks

Tuesday 13th June 2006 9:00am – 4:30pm

This interactive workshop outlines what network managers should be looking to assess in the post execution environment? What are these risks? Can they be assessed? How can they be intermediated to protect both banks and their underlying clients?

9:00 Registration & Coffee

9:30 Workshop Commences

**Introduction**

**Global Update – The "Risk Heat Map"**

- Latest global risk warnings!

**Scope Of Post Execution Risk**

- Matching systems
- CCPs
- CSDs
- Payment systems

**What Risks Need To Be Assessed?**

- Asset commitment risk
- Liquidity risk
- Counterparty
- Asset servicing risk
- Financial risk

**About your Workshop Leader:**

**Tim Reucroft, Director, THOMAS MURRAY**

Tim is responsible for capital markets infrastructure research at Thomas Murray covering risk analytics of CSDs and other post trade settlement components. In addition he also provides consultancy advice to custodial banks of the impact on the business landscape from infrastructure changes. Tim combines extensive experience in the derivatives industry, gained at Salomon Brothers, Bankers Trust and LIFFE, with a consulting background from KPMG.

- CSD on CSD credit risk
- Operational risk

**Method Of Risk Assessment**

- Original risk model
- Validation routines
- Monitoring

**Recent Experiences In Europe:**

- Nordics
- CIS
- Poland
- Other....

**Impact For Network Management Due Diligence**

**Consequence of Euroclear Consolidation**

**Q&A & Conclusion**

4:30 Workshop Concludes

**Register by 12 May & SAVE up to £400!**

**AND**

Post-Conference Half Day Workshop

## Central and Eastern European Focus:

Challenges of Frontier Markets plus No Longer Emerging, Not Quite Mature – the Place In-Between

Friday 16th June 2006 9:00am – 1:30pm

This workshop is an intensive practical session designed to give first-hand experiences in the most exciting markets in the new Europe. Following detailed overviews of these up-and-coming "Frontier" markets, an interactive component of the workshop will be a question and answer period. The second session will focus on the new entities to the European Union and challenges ahead be it the potential of integration of stock exchanges to on-going harmonization of market practices.

9:00 Registration & Coffee

9:30 Workshop Commences

**SESSION 1**

**Challenges of Frontier Markets Romania**

- Market Infrastructure

- Lobbying Efforts
- Are we ahead of the curve?

**Ukraine**

- Market Infrastructure
- More or less documents in the future?
- What's Hot?

**Russia**

- Market Infrastructure
- Hurdles to Efficient Settlement

**SESSION 2**

**No Longer Emerging, Not Quite Mature – The Place in Between**

- Czech Republic
- Hungary
- Poland

1:30 Final Q&A and Workshop Closes

**About your Workshop Leaders**

The workshop will be hosted and conducted by **Bank Austria Creditanstalt**

### Promotional Opportunities

If you are interested in global securities services and institutional investor executives, please enquire about:

- ★ An Exhibition space at the conference
- ★ Sponsoring a dinner or wine tasting evening
- ★ Cocktail parties

Please contact Sukhvir Hayre on +44 (0)20 7915 5031 or email shayre@iirltd.co.uk

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## NETWORK MANAGEMENT FORUM 2006

Conference: 6th Annual Network Management Forum  
14th & 15th June 2006  
Pre-Conference Workshop: Assessing Local Capital Market Infrastructure Risks  
13th June 2006  
Post-Conference Workshop: Central and Eastern European Focus  
16th June 2006

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Delegates are responsible for the arrangement and payment of their own travel and accommodation. IIR has arranged a special room rate at a number of hotels. If you wish to book a room, please download the hotel booking form from our website at [www.iir-conferences.com/network](http://www.iir-conferences.com/network)

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<input type="checkbox"/> Four Day Package: Conference (KP4019) Local Capital Workshop (KP4019X) CEE Focus Workshop (KP4019W)	13-16 June 2006	£2397 + VAT@19% = £2852.43	£400	£2597 + VAT@19% = £3090.43	£200
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Confirm your cancellation in writing two weeks before the event and receive a refund less 10% VAT service charge. Should you cancel between one and two weeks prior to the event, you will receive a refund less 50% VAT service charge. Regrettably, no refunds can be made for cancellations received less than 7 days before the event. A substitute is always welcome at no extra charge. Personal data is gathered in accordance with the Data Protection Act 1998. Your details may be passed to other companies (in countries within or outside the EEA) who wish to communicate with you offers related to your business activities. If you do not wish to receive these, please tick the box

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Please use this form as our request for payment. Fax and phone bookings should be made with a credit card number, or followed up by a posted registration form. Places are only guaranteed by full payment, which must be received before the conference.

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#### #1 Custodian in CEE

Following Unicredit, HVB and Bank Austria Creditanstalt merger, the new Unicredit Group is number one in Austria and number two in both Italy and Germany; firmly rooting the Group in Western Europe. More importantly for custody the merged Group is the leader in Central and Eastern Europe (CEE). Our commitment to the region allows us to make a major contribution to shaping and developing these markets. The new Group holds a leading position in Poland, Bulgaria and Croatia, and ranks either among the top five in Bosnia, Turkey, Slovakia, Serbia, Romania and the Czech Republic. The group also has significant banking presences in Russia, Ukraine, Hungary, and Slovenia.

#### Staying the Course

Our commitment continues to be evident through our IT investments (migration to HP 9000 platform), recruitment programme and market expansion. The Group remains convinced that this region will continue to outperform the competition from Vienna to Moscow to Athens and everything in between.

HSBC

The world's local bank

#### HSBC'S CUSTODY AND CLEARING

HSBC's Custody and Clearing is the world's most reliable and customer service-oriented provider of sub-custody and securities clearing. With over 9,700 offices in 77 countries and territories and assets of about USD1,467 billion, the HSBC Group is one of the largest banking and financial services organisations in the world.

HSBC's Custody and Clearing covers 36 markets in Asia-Pacific, the Middle East, Southern Europe and Latin America, providing unrivalled custody and clearing services to global custodians, fund managers and broker dealers worldwide. Responsible for the safekeeping of billions in client assets, HSBC's Custody and Clearing has the largest share of foreign institutional investor business in each market in which it operates. Servicing more than 500 institutional clients, HSBC's Custody and Clearing is the only truly regional custodian service provider in Asia-Pacific and the Middle East.

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