

# EMEA STAR CONFERENCE

AGENDA - 2 NOVEMBER 2021

|               |  |  |  |  |
|---------------|--|--|--|--|
| 7:30AM        | Registration and Breakfast   |  |  |  |
| 9:15AM        | Welcome Remarks & Session Introductions (Main Hall)  |  |  |  |
| 9:45 - Break  |  |  |  |  |
| 10:00AM       | <b>The Future of Compliance &amp; How We're Making It Happen (Main Hall)</b><br>In this panel session, you'll be introduced to the new faces of Star R&D as they take you through numerous initiatives in motion designed with Star clientele in mind. Discover how future state architecture will improve the user experience; how cutting-edge features releasing in 2022 will simplify the compliance tech-stack and allow you to do more in one place; how user-management improvements will mean a clearer picture of firm risk; and how our plans for speeding up end-product delivery will better support client needs.   |  |  |  |
| 10:50 - Break |  |  |  |  |
| 11:00AM       | Sessions (1)   |  |  |  |
|               | <b>1A) Getting Started: Ensuring a Seamless Implementation &amp; Rollout (ED4)</b><br>Aimed at new STAR Platform users, implementation expert Jeremy Stonehouse will share best practices for implementing and rolling out STAR. He'll offer insights on what works and what doesn't at every stage of the process. You'll gain a deeper understanding of what a "good" implementation looks like, get tips that will help set your team up for success, as well as learn best practices to drive employee adoption.   | <b>1B) What's New With Compliance Control Room? (ED5)</b><br>In this session, Star's lead sales engineer will take you through all the latest updates and enhancements to Compliance Control Room. You'll learn to simplify and improve conflict searches. You'll also learn how a new API will improve your control room team's user experience and give them access to more data, along with a host of other configurability and efficiency gains.   | <b>1C) Compliance To-Dos: The Little Things You Can Do To Minimize Firm Risk (ED2)</b><br>What are the essential daily, weekly, quarterly, and yearly tasks you and your team can do to ensure nothing falls through the cracks? In this session you'll get a rundown of all the critical compliance to-dos, along with strategies for creating effective action plans and keeping yourself organized. You'll hear client success stories, and learn why sometimes it's the little things in financial compliance that make the biggest difference when it comes to reducing firm risk.  |  |
| 11:50 - Break |  |  |  |  |
| 12:00PM       | <b>Learn From The Best: A Talk With STAR Platform Power Users (Main Hall)</b><br>Your STAR system has long been rolled out and everyone knows the basics. Now what? This panel of certified STAR power users will take your firm to the next level. Learn tips, tricks, and streamlining shortcuts that help you get the most from STAR: optimizations and efficiencies, and new and creative ways to achieve results with your compliance program you never thought possible.   |  |  |  |
| 12:45 - Lunch |  |  |  |  |
| 1:40PM        | Sessions (2)   |  |  |  |
|               | <b>2A) Unlocking The Secrets Of The STAR Platform (ED2)</b><br>Ever been happily surprised that some piece of software you've been using forever has essential functionality you've just now managed to stumble upon? It happens to the best of us. This session—guided by two Star product experts—will help you uncover and leverage the STAR Platform's most commonly underutilized features.   | <b>2B) Compliance Control Room: Practical Applications For Buyside Firms (ED5)</b><br>Join Steve Brown as he walks you through all the potential use cases for Compliance Control Room at a buyside firm. You'll learn how firms are using it to improve communications, automate processes, and save time. You'll take a deep dive with Steve as he discusses the biggest challenges facing buyside firms today—including controlling the flow of MNPI and monitoring for enterprise conflicts—and how tech can help you reduce the noise, stay organized, and stay aware of what's going on throughout the firm. | <b>2C) How Star's New Cloud Data Platform Will Be A Compliance Program Gamechanger (ED4)</b><br>Join Gary Chamberlain for a deep dive into the data—and the changes afoot in the way we store and process it—to see what it all really means for your conflicts of interest program. Like faster access to your employee activity data by removing the data middleman, a.k.a., Star. Like seeing more of the big picture by having the power to aggregate data from multiple systems. And, of course, how all the moving parts will work together to surface trends before they become a liability and reduce firm risk.   | <b>2D) STAR IAR (fka Pentana Compliance): The Journey Ahead &amp; Regulatory Reflection (ED1)</b><br>Here at Star, we couldn't be more excited about Individual Accountability Regime (IAR) and all the benefits it will bring STAR users. But we understand IAR users new and existing probably have some questions about what the product will look like under our guidance. In this session, we'll talk about: the vision for IAR; the strategy to reach that vision; what IAR has achieved for users so far; its use in various international jurisdictions; the pace of related regulatory change; and the impact of that change. |
| 2:20 - Break  |  |  |  |  |
| 2:30PM        | Sessions (3)   |  |  |  |
|               | <b>3A) Peer-To-Peer: A Roundtable Discussion For Compliance Executives (ED1)</b><br>The last year and half has been nothing short of a whirlwind. Remote work to hybrid work. The surge in personal trading. The continuing rise of cryptocurrency. The meme-stock phenomenon. The challenge of maintaining a culture of compliance. The continuous pressure from regulators. The list goes on. How do we solve and adapt to the ever-changing compliance landscape? Together, join the conversation and attend this interactive, 90-minute roundtable discussion as we unpack compliance leadership's most pressing challenges and share insights, learnings, and suggestions you can take with you and act on. | <b>3B) Using The Agile Methodology To Transform Compliance (ED5)</b><br>The Agile methodology is no longer just for software developers. Agile is helping all kinds of teams more effectively prioritize tasks, develop better results, and manage change more nimbly. Join us for this interactive workshop with Allison Bacher from Quantum, and learn to apply Agile techniques to your compliance program. You'll optimize your current processes and in the process improve your compliance team's effectiveness on both a day-to-day and long-term basis.  |  |  |
| 4:10PM        | Sessions (4)   |  |  |  |
|               | <b>4A) Brainiac Bar: How To Fix A Botched Cert Send (ED2)</b><br>To err is human, to fix divine. Have you ever sent out a certification and then realized you needed to make a change? Join Lloyd Chambers for this Brainiac Bar session—a 30-minute presentation followed by a 10-minute Q&A—and you'll learn to do just that. Lloyd will demonstrate how to edit the cert, check its status, run reports based on the status, and then retract and resend the certification document.  | <b>4B) Taking Your Compliance Program Mobile (ED5)</b><br>Mobile apps have revolutionized many aspects of our daily lives and are starting to do the same for compliance. In this session, you'll get a tour of the STAR Mobile app and see for yourself all the ways it's making compliance simple and easy for end users and administrators. You'll learn about new features and updates—like review delegation and security enhancements—that will make STAR Mobile simultaneously more secure and more indispensable to the success of your compliance program.  | <b>4C) Individual Accountability Regime: Star's New Product To Manage SMCR (ED4)</b><br>Individual accountability regulation has gone global, but the UK's SMCR is ground zero for it. Star's latest product—acquired from Ideagen's Pentana Compliance Division, and formally known as Redlands Solutions—will help you manage all of your SMCR obligations effectively and efficiently. Join us for an in-depth discussion of the regulation itself and a tour of how Star's Individual Accountability Regime will let you easily manage responsibilities maps and statements of responsibility, automatically validate compliance, record your reasonable steps and handover processes, apply audit-ready approval processes, and more. | <b>4D) Master Class: Best Practices &amp; New Features For Current IAR and T&amp;C Users (fka Pentana Compliance) (ED1)</b><br>What does a good individual accountability program look like? What's the best way to handle training and competency requirements? In this session, we'll address high-level questions like these and more. We'll also bring you up to speed on the latest features and functionality available for Individual Accountability Regime (IAR) and Training & Competency (T&C)—formally known as Pentana Compliance.   |
| 4:45PM        | Compliance Challenge (Main Hall)   |  |  |  |
| 5:15 - 7:30PM | Evening Reception (Main Hall)  |  |  |  |