



Business Information
In A Global Context

Hear from Michael Woodford (former CEO of Olympus) on
How Stakeholders can Achieve Corporate Governance Reform

You Are Cordially Invited to Attend C5's

Shareholder Protection and Corporate Governance Forum

A critical and dynamic update on collective, representative and class actions in Europe and beyond

**This Exclusive Invitation Only Event takes place
at The Radisson Blu Hotel in Amsterdam on 30th January 2014**

Knowledge Partners:

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POMERANTZ
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#C5Shareholderprotection

The role of Fund, Asset Managers and Custodians is rapidly evolving. As part of your fiduciary obligations you are now expected to be proactive in monitoring and pursuing potential claims for your clients where the value of their investments have been wrongly damaged. You also need to ensure that companies are fully accountable to shareholders for their actions by driving corporate governance reform where malfeasance or negligence leads to a significant loss in value.

It is estimated that Northern European pension schemes lost more than €50 billion at the height of the financial markets crisis in 2008*, however around a quarter of the schemes are still not participating in available class action cases*. A failure to engage in class actions can leave billions in unclaimed settlements, compromise your fiduciary responsibilities and portfolio returns, and prejudice your clients potential entitlement to legal redress.

C5 have designed an exclusive programme to help ensure you are fully informed of the numerous options available and the mechanisms to facilitate class, collective and representative class actions in Europe and beyond. Our expert speaker faculty comprises, Pension Funds and Asset Managers, active in class actions, Lawyers involved in landmark cases and Claims Experts. Don't miss an exclusive opportunity to gain a valuable insight into their extensive knowledge of tactics and strategies.

Securities class actions, outside the US, are predicted to rise to \$8.3 billion per year by 2020* and precedents have already been set with the record £3.5 billion shareholder action against RBS. It is thus imperative that you understand and implement the right framework to manage risks and maximise opportunities. By attending this forum you will be able to make informed strategic decisions on exercising legal rights on behalf of your clients to help secure their rightful recoveries.

This Exclusive Invitation Only Event is Designed For:

- Pension Funds and Institutional Investors:
 - Fund Managers
 - Trustees
 - In-House Counsel
- Asset Management Firms and Custodian Banks:
 - Asset Managers
 - Portfolio Managers
 - Custodians

* Figures from GOAL Group



THURSDAY 30th JANUARY 2014

8.00 Registration and Coffee

8.45 **Chair's Opening Remarks**

Stephen Everard, Chief Executive Officer
Goal Group of Companies

9.00 **Assessing the Investment Managers Duty to Seek Redress Through a Collective Action**

Femke van't Groenewout
Attorney at Law and Senior Advisor Responsible Investment,
PGGM

Anatoli Van Der Krans
Senior Advisor Responsible Investment & Governance,
Mn Services

- The Fiduciary Duties of Pensions Funds and Asset Managers to their clients examined
- The role of Pension Funds and Asset Managers in facilitating securities collective actions
- What factors should Investment Managers take into consideration when deciding whether to pursue a claim?
- The extent of your Fiduciary Duties in obtaining recoveries outside the US
- Active and passive litigation – the distinction explained
- Managing clients' expectations – what is actually achievable in practice?
- How the interests, conflicts and group of investors should be managed effectively
- The Institutional Investors strategies to use shareholder litigation to achieve corporate governance reform

9.30 **Best Practices for Launching Collective and Class Actions: A Cross Border Comparison of Tactics and Strategies**

[Number Crunching – The Vital Statistics](#)

Robert Patton, Senior Consultant
NERA Economic Consulting

- A statistical analysis of trends in US securities class actions against non-US issuers
- A statistical analysis of trends in securities collective and class actions in key non-US jurisdictions.
- Considerations relating to calculation of damages in cross-border class actions

[Pan-Europe Collective Action](#)

Saida Nhass, Attorney
SRK rechtsbijstand
(Former Senior Legal Counsel Investment Manager at ING Pensioenfond)

- An in-depth analysis of the available options – which EU countries have class action-style mechanisms in place?
- Where a claim should be brought – a practical guide to the different jurisdictions, their suitability and limitations
- The extrinsic details governing a successful class action
- A key insight into the experiences of cases in emerging jurisdictions – what lessons have been learnt and have they achieved the desired outcomes?



- The Investors views and the consequences they face
- How to effectively minimise your legal risks, costs and accountability
- What does the future hold?

[A US Comparison: What Lessons Can Be Learnt](#)

Noah Wortman, Director of Global Business Development
Goal Group of Companies

Jeremy Lieberman, Partner
Pomerantz Grossman Hufford Dahlstrom & Gross LLP

- Bringing a class action – US vs Europe
- Post Morrison – how have “foreign” claimants brought claims following the decision? An in-depth analysis
- The Opt-out/Opt-In mechanism examined in a US context
- The future

10.45 Morning Refreshments

11.05 A Global Insight into the International Case Law on Securities Class Actions

[US/Canada](#)

Jeremy Lieberman, Partner
Pomerantz Grossman Hufford Dahlstrom & Gross LLP

- Recent developments in class action legislation and case law in the US and Canada including Halliburton, UBS, JPM, GS, Citi and AIG
- How case law has developed post Morrison
- BP case study, the latest on US shareholder actions and the outlook for class actions from European and Canadian investors

[UK](#)

Keith Thomas, Partner
Stewarts Law LLP

- Outline of Securities Litigation in England and Wales
- Causes of action
- Procedure
- Damages
- Costs regime
- Jackson reforms, ATE insurance and funding
- Developments in the cases: the RBS Litigation, Lloyds/HBOS

[Netherlands](#)

Paul W.J. Coenen, Head of Legal Affairs / Attorney-at-Law,
Dutch Investors' Association VEB

- A critical review of the recent cases and developments in Dutch Class Actions

(including the VEB experience in the Shell, World Online, Vedior, Numico, Converium and Fortis now Ageas cases)

12.15 Managing Your Reputational Risk – How Can Claimants Mitigate PR Exposures When Engaging in High Profile Litigation?

David Rigg, Founder and Managing Director
Project Associates

- Examining the reputational impact on a party if they lose a high profile case



- What are the risks of being sued by investors when litigation is not successful?
- What is the wider reputational damage that can occur as a result of bringing such cases and how can it be overcome?
- Developing an effective PR plan
- Dealing with negative media exposure
- The benefits of collective action and sharing the burden of litigation

12.45 Networking Lunch

14.00 Corporate Governance: How Stakeholders Can Achieve Corporate Reform

A keynote address from Michael Woodford the former CEO of Olympus: the first president in history to become a whistleblower of his own corporation

In considering the consequences of a governance meltdown such as the Olympus case the following areas will be covered:

- What price honesty?
- Workplace behaviours
- Fraud occurs everywhere what is different about Japan?
- The role of institutional investors in holding managements to account
- Whistleblowing – truth tellers or troublemakers?
- How do companies make fraud less likely to occur
- Voting, engagement and litigation – the effective instruments to be utilised to achieve corporate governance

15.15 Settlement Options and International Recovery: Top Tips to Ensure you get Your Fair Allocation

Pat Bingham-Peters, Director of Sales and Relationship Management – EMEA, Goal Group of Companies

*Ben Knüppe, Trustee in bankruptcy
DSB Bank N.V.*

*Marc Schiefer, Associate
TILP Rechtsanwalts-gesellschaft mbH*

- A crucial analysis of settlement options in emerging jurisdictions
- Recover a fair settlement – the options explored
- How class actions can achieve corporate governance reform as part of a settlement
- Damages recovery within Europe and a practical guide to effective solutions
- Revenues of the settlement: analysing conflicting claims on equities and shares – how to ensure you are entitled to a share in the settlement
- US recoveries v non US recoveries – an analysis of damages recovery
 - Why do non US Shareholders receive less in damages?
 - How can non US Shareholders mitigate this imbalance
 - Is there a need for reform?
- The risks and costs – the problems incurred and possible solutions

16.10 Afternoon Refreshments

16.30 Litigation Funding: What Are Your Options?

Mick Smith, Partner & Co-Founder
Calunius Capital LLP

Wieger Wielinga, Managing Director
Omni Bridgeway

- What are the cost consequences parties' face when bringing class actions in emerging Non US jurisdictions?
- The importance of financing in class actions
- The contingency fees debate – the inherent problems in Europe and effective solutions
- The vital options examined to obtain third party funding, do it yourself or work as a group?
- What are the challenges in attracting external funding?
- How it works in practice – a key insight into the essential elements
- What are the advantages and disadvantages of third party funding and how much does it cost?
- How can the burden of costs be shared/minimised?
- The lawfulness of litigation funding
- A critical insight into the development of litigation funding across Europe

17.00 Emerging Trends in Collective Redress: A Critical Review on the Way Forward

Ianika Tzankova, Partner, Corporate/Financial Litigation
Barents Kranz

- European Developments in collective redress – the key discussions and how you can influence the outcome
- The full class actions for Dutch representative organisations – a first look into the current discussions and future proposals for reform
- An update on the emerging trends from the case law

17.30 Chair's Closing Remarks and End of Forum



17.30 Drinks Reception

Knowledge Partners:



Headquartered in London with offices in Philadelphia, San Francisco, Melbourne, and Hong Kong, the **Goal Group of Companies** (“Goal Group”) is the leading international class action service provider and tax reclamation services specialist.

Goal Group has a truly blue-chip client base including many of the world's largest global custodians, asset managers, private banks, pension funds, hedge funds, high net-worth individuals, investment banks, prime brokers and fund managers spread widely across Americas, EMEA and Asia Pacific. Goal Group monitors client assets with a total value in excess of £8 trillion.

POMERANTZ
HAUDEK GROSSMAN & GROSS LLP


Pomerantz Grossman Hufford Dahlstrom & Gross LLP, a premier law firm located in the United States, is the oldest law firm dedicated exclusively to the representation of investors and consumers. Our primary focus is securities and corporate governance litigation on behalf of institutional and individual investors. We also have thriving practices in antitrust and insurance related litigation. We are headquartered in New York City with offices in Chicago, San Diego, and Weston, Florida.

For over seventy-five years, the Firm has championed the rights of defrauded investors and consumers, recovering over \$1 billion on their behalf. In addition to monetary recoveries, the Firm consistently shapes the law, having won landmark decisions that expanded and protected investor and consumer rights, and initiated historic corporate governance reforms.

* In order to confirm your participation at this by invitation only event, please do one of the following:


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Shareholder Protection and Corporate Governance Forum

30th January 2014
The Radisson Blu Hotel | Amsterdam

Priority Service Code

515L14.WEB

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ADMINISTRATIVE DETAILS

Date: 30th January 2014 Time: 8:00 – 17:30
Venue: The Radisson Blu Hotel, Amsterdam
Address: 17 Rusland Str, 1012 CK, Amsterdam, The Netherlands
Telephone: +31 (0)20 623 1231

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