

Meeting of the Secondary Markets Expert Group



To be held on: Wednesday 13 June 2018, 4.30pm – 6.00pm

Venue: Peel Hunt LLP, Moor House, 120 London Wall, London, EC2Y 5ET

AGENDA

- 1. Welcome to Lee Foulger, Head of the International Department at the Financial Conduct Authority (FCA), to provide an update on the FCA's on EU withdrawal work.**
- 2. Apologies**
- 3. Minutes of the last meeting (11 April 2018)**
- 4. Issues for discussion**
 - a) MiFID II**
 - Drafted delegated regulation - Promoting the use of SME growth markets - Level 2 (RD: 21 June 2018)
 - Updated Q&As on the following topics
 - Investor protection and intermediaries
 - Transparency
 - Market structures
 - Final guidelines on certain aspects of the MiFID II suitability requirements
 - b) CSDR**
 - Updated Q&As regarding CSDR implementation
 - c) Short Selling Regulation**
 - ESMA updates short selling Q&As
 - d) The FCA's '5 Conduct Questions'**
 - e) Brexit**
- 5. Communications / future meetings**
 - a) QCA Corporate Governance Code published
 - b) QCA/Peel Hunt Mid & Small Cap Investor Survey published
 - c) Policy Update (May 2018)
 - d) Guests for future meetings

6. Any Other Business

Information for noting

Consultation responses:

- European Commission public consultation on the review of the SME definition (R: 4 May 2018)

Next Meeting: Wednesday 12 September 2018, 4.30pm – 6.00pm with Mark Northway, Mark Bentley and Cliff Weight of ShareSoc to discuss retail investor perspectives of MiFID II. (Venue: finnCap, 60 New Broad St, London, EC2M 1JJ).