

Meeting of the Secondary Markets Expert Group

To be held on: Wednesday 14 November 2018, 4.30pm – 6.00pm

Venue: finnCap, 60 New Broad Street, London, EC2M 1JJ



**QUOTED
COMPANIES
ALLIANCE**

AGENDA

1. Welcome to Mark Griffin, Head of Primary and Secondary Markets at HM Treasury.

2. Apologies

3. Minutes of the last meeting (12 September 2018)

4. Issues for discussion

a) MiFID II

- Discussion on payment for order flow practices
- ESMA Q&As on the following topics:
 - (i) Market structures
 - (ii) Transparency
 - (iii) Investor protection and intermediaries
- Guidelines on certain aspects of the MiFID II suitability requirements

b) CSDR

- ESMA Q&As on implementation

c) London Stock Exchange – AIM Disciplinary Procedures and Appeals Handbook

d) FCA's Investment Platforms Market Study - Interim Report

e) Brexit

- Draft Statutory Instruments published to ensure regulatory continuity regardless of Brexit outcome:
 - (i) Short Selling
 - (ii) CSDR
 - (iii) MiFID II

5. Communications / future meetings

a) Policy Update (October 2018)

b) Guests for meetings in 2019

6. Any Other Business

Next Meeting: Wednesday 30 January 2019, 4.30pm – 6.00pm (Venue: Peel Hunt LLP, Moor House, 120 London Wall, London, EC2Y 5ET).