

## **Meeting of the Secondary Markets Expert Group**

**To be held on:** Wednesday 12 September 2018, 4.30pm – 6.00pm

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



### **AGENDA**

**1. Welcome to Mark Northway, Mark Bentley and Cliff Weight, ShareSoc, to discuss retail investor perspectives of MiFID II.**

**2. Apologies**

**3. Minutes of the last meeting (13 June 2018)**

**4. Issues for discussion**

**a) MiFID II**

- ESMA Q&As on investor protection and intermediaries topics
- ESMA Q&As on transparency topics

**b) Brexit**

**5. Communications / future meetings**

- a) The FCA publishes statement on its role in preparing for Brexit
- b) London Stock Exchange issues disciplinary notices for breaches of AIM Rules 11, 10 and 31
- c) AIM Rule changes regarding corporate governance come into force from 28 September 2018
- d) Policy Update (August 2018)
- e) Guests for future meetings

**6. Any Other Business**

#### **Information for noting**

Consultation responses:

- European Commission consultation: Promoting the use of SME growth markets – Level 2 (R: 19 June 2018)
- FCA's 19<sup>th</sup> Primary Market Bulletin (R: 20 July 2018)
- Proposed changes to the AIM Disciplinary Procedures and Appeals Handbook (R: 10 September 2018)

**Next Meeting:** Wednesday 14 November 2018, 4.30pm – 6.00pm (Venue: Peel Hunt LLP, Moor House, 120 London Wall, London, EC2Y 5ET).