

To be held on: Wednesday 15 November 2017, 4.30pm – 6.00pm
Venue: Charles Russell Speechlys, 5 Fleet Place, London, EC4M 7RD

AGENDA

- 1. Apologies**
- 2. Minutes of the last meeting (6 September 2017)**
- 3. Issues for discussion**
 - a) MiFID II update
 - Feedback from the FCA's Implementation Forum on 8 November 2017
 - ESMA Q&As on investor protection topics and post-trading issues
 - ESMA Guidelines on transaction reporting, order record keeping and clock synchronisation
 - European Commission FAQs on obtaining brokerage and research services from non-EU brokers
 - The US Securities and Exchange Commission no-action letters to facilitate cross-border implementation of MiFID II's research provisions
 - b) QCA participation in European Commission workshop on 28 November 2017 regarding SME access to public markets – Comments sought on circulated briefing note
 - c) Potential for QCA Secondary Markets Expert Group dinner in 2018
 - d) Brexit
- 4. Communications / future meetings**
 - a) FCA reforms to enhance the effectiveness of UK primary markets
 - Policy Statement PS17/23 – Reforming the availability of the information in the UK equity IPO process
 - Policy Statement PS17/22 – Enhancements to the Listing Regime
 - Feedback Statement FS17/3 – The UK Primary Markets Landscape
 - b) MiFID II technical standards published in Official Journal of the EU (email circulated on 27 October 2017 – for information only)
 - c) Policy Update (October 2017)
 - d) Guests for 2018 meetings

5. Any Other Business

Information for noting – Consultation responses

- London Stock Exchange Discussion Paper: AIM Rules Review (R: 8 September 2017)

Next Meeting: Wednesday 17 January 2018, 4.30pm – 6.00pm (Venue: Peel Hunt LLP, Moor House, 120 London Wall, London, EC2Y 5ET)