

## NOTE

### 2014 Calendar of the Chair and Executive Director of ESMA

| Date                  | Meetings/Conferences  | Topics discussed           |
|-----------------------|---|----------------------------|
| <b><u>January</u></b> |   |                            |
| 8                     | The Chair of ESMA, Steven Maijoor, meets Cees de Boer   | Financial Reporting, Audit |
| 10                    | The Chair of ESMA, Steven Maijoor, meets with representatives from the Financial Accounting Foundation            | Financial Reporting        |
| 14                    | The Chair of ESMA, Steven Maijoor, meets with a CRA   | CRA supervision            |
| 14                    | The Executive Director of ESMA, Verena Ross meets with a CRA  | CRA supervision            |
| 15                    | The Executive Director of ESMA, Verena Ross meets with Mr Gerard Hartsink, Chairman of the Board from CLS - GLEIF | LEI                        |
| 16                    | The Chair of ESMA, Steven Maijoor, meets with representatives of the  | MiFID Reveiw               |



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|                        | Forum of European Asset Managers (FEAM)  |                    |
| 21                     | The Chair of ESMA, Steven Maijor, meets with a CRA   | CRA Supervision    |
| 27                     | The Chair of ESMA, Steven Maijor, meets with Reto Francioni, Deutsche Bourse   | MiFID Review, EMIR |
| <b><u>February</u></b> |  |                    |
| 5                      | The Chair of ESMA, Steven Maijor, speaks to a French Parliamentary Committee   |                    |
| 10                     | The Chair of ESMA, Steven Maijor, attends a dinner hosted by His Royal Highness The Prince of Wales to discuss the role of securities regulators and stock exchanges in building a sustainable economy |                    |
| 10                     | The Executive Director of ESMA, Verena Ross, meets with a CRA  | CRA supervision    |
| 11                     | The Chair of ESMA, Steven Maijor, speaks at the EPFSF lunch review   |                    |
| 11                     | The Chair of ESMA, Steven Maijor, meets with MEPs Sven Giegold, Astrid Lulling and Saïd El Khadraoui   |                    |
| 12                     | The Chair of ESMA, Steven Maijor, meets with the Governor of the National Bank of Romania  |                    |
| 12                     | The Chair of ESMA, Steven Maijor, speaks at the Emerging Market for Romania conference in Bucharest  |                    |



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| 12                  | The Chair of ESMA, Steven Maijor, meets with Industry representatives in Bucharest                              | Securities Market Regulation   |
| 12                  | The Executive Director of ESMA, Verena Ross, speaks at the Atlantic Council Conference                          | EU/US regulatory relationship  |
| 13                  | The Chair of ESMA, Steven Maijor, meets with MEPs, Sharon Bowles, Sylvie Goulard and Jean-Paul Gauzès           |  |
| 18-19               | The Chair of ESMA, Steven Maijor, meets with NCAs and industry representatives in Hong Kong                     | EU Securities Markets, Regulation and implications for thirs countries |
| 20-21               | The Chair of ESMA, Steven Maijor, attends the IOSCO Board meeting   |  |
| 20                  | The Executive Director of ESMA, Verena Ross, speaks at the 12th Annual European Financial Services Conference   | “International Financial Markets and the Transatlantic Opportunity”    |
| 25                  | The Executive Director of ESMA, Verena Ross, speaks at the AFME 9th Annual European Market Liquidity Conference | “ <a href="#">Liquidity and new financial market regulation</a> ”      |
| <b><u>March</u></b> |   |  |
| 5                   | The Chair of ESMA, Steven Maijor, speaks at the 5 <sup>th</sup> Annual EFR Stakeholder Roundtable               |  |
| 12                  | The Chair of ESMA, Steven Maijor, meets with representatives of Europex   | MiFID Review and EMIR  |
| 17                  | The Chair of ESMA, Steven Maijor, speaks at the Chatham House   |  |



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|    | Global Financial Markets conference   |                    |
| 18 | The Executive Director of ESMA, Verena Ross, meets with representatives of the US Mission to the European Union                               | ESMA, EMIR. MiFID  |
| 24 | The Chair of ESMA, Steven Maijor, meets with representatives of the Dutch banking Association   | MiFID Review, EMIR |
| 26 | The Chair of ESMA, Steven Maijor, speaks at the Italian Asset Managers annual conference  |                    |
| 28 | The Chair of ESMA, Steven Maijor, speaks at the Eurofinuse conference   |                    |
| 31 | The Chair of ESMA, Steven Maijor, speaks at the Eurofi conference   |                    |
| 31 | The Executive Director of ESMA, Verena Ross, speaks at the Eurofi conference  |                    |
| 31 | The Executive Director of ESMA, Verena Ross, meets with Kostas Pantazopoulos, Goldman Sachs   |                    |
| 31 | The Executive Director of ESMA, Verena Ross, meets with meeting with Robert Peterson and Dick Berner, US Department of Treasury               |                    |
| 31 | The Executive Director of ESMA, Verena Ross, meets with Stefan Gavell, Sven Kasper and Susanne van Dootingh from State Street Global Advisors |                    |
| 31 | The Executive Director of ESMA, Verena Ross, meets with Carol Sirou   |                    |



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|                     | and Yann le Pallec, S&Ps  |                              |
| 31                  | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Barbara Novick, Blackrock                         | MiFID Review                 |
| 31                  | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Judith Hardt and Christian Katz, FESE             | MiFID Reveiw                 |
| 31                  | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Hans-Ole Jochumsen and Magnus Billing, Nasdag OMX |                              |
| <b><u>April</u></b> |   |                              |
| 1                   | The Chair of ESMA, Steven Maijor, speaks at the Eurofi conference   |                              |
| 1                   | The Executive Director of ESMA, Verena Ross, speaks at the Eurofi conference  |                              |
| 2                   | The Chair of ESMA, Steven Maijor, attends the Informal Ecofin   |                              |
| 3                   | The Executive Director of ESMA, Verena Ross, meets with MEP Arlene McCarthy   | ESMA, ESFS Review, EMIR      |
| 7                   | The Chair of ESMA, Steven Maijor, and the Executive Director Verena Ross, meet with Commissioner Michel Barnier                               |                              |
| 9                   | The Executive Director of ESMA, Verena Ross, meets with Margaret Cole of PWC  | ESMA, stakeholder engagement |



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| 9          | The Executive Director of ESMA, Verena Ross, meets with Alexander Justham of London Stock Exchange  | ESMA, EMIR/TR issues                           |
| 11         | The Executive Director of ESMA, Verena Ross, meets with Dr. Franz Rudorfer of the Austrian Federal Economic Chamber                               | ESMA, MiFID timing/process                     |
| 14         | The Executive Director of ESMA, Verena Ross, meets with Andreas Krautscheid, Herbert Jüttens, Dorit Bockelmann of the Association of German Banks | ESMA, stakeholder engagement                   |
| 15         | The Chair of ESMA, Steven Maijor, speaks at the ICSA AGM  |  |
| 15         | The Executive Director of ESMA, Verena Ross, meets with Ken Bentsen and David Strongin of Markets Associations SIFMA and GFMA                     | ESMA, MiFID timing/process, EMIR, US-EU issues |
| 22         | The Executive Director of ESMA, Verena Ross, speaks at BBA conference   |  |
| 29         | The Chair of ESMA, Steven Maijor, speaks at the Reuters Regulation Summit   |  |
| 30         | The Executive Director of ESMA, Verena Ross, meets with Valerie Urbain and Brigitte Daurelle of Euroclear   | ESMA, CSDR                                     |
| <b>May</b> |   |  |
| 7          | The Chair of ESMA, Steven Maijor, speaks at the AFME Post Trade Conference  |  |



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| 7                  | The Chair of ESMA, Steven Maijor, meets with members of the Board of FESE   | MiFID Review, EMIR  |
| 14                 | The Chair of ESMA, Steven Maijor, speaks at the International banking conference of the Federation of International Banks in Ireland (FIBI) |   |
| 14                 | The Executive Director of ESMA, Verena Ross, meets with London Trade Associations   | ESMA Development, MiFID consultation process, current & future work programme |
| 16                 | The Executive Director of ESMA, Verena Ross, meets with Sophie Gauté and Laurence Caron-Habib of BNP Paribas                                | EMIR, CSDR, MiFID consultation process  |
| 23                 | The Executive Director of ESMA, Verena Ross, meets with Mathias Papenfuss, Soraya Belghazi, and Paul Symons of ECSDA                        | CSDR  |
| 23                 | The Executive Director of ESMA, Verena Ross, meets with Larry Thompson, Ann Shuman and Andrew Douglas of DTCC                               | EMIR  |
| 28                 | The Executive Director of ESMA, Verena Ross, meets with a CRA   |   |
| <b><u>June</u></b> |   |   |
| 2                  | The Chair of ESMA, Steven Maijor, speaks at the Global Accounting Alliance  |   |
| 5                  | The Chair of ESMA, Steven Maijor, speaks at the ICMA AGMD and Annual Conference   |   |
| 5                  | The Executive Director of ESMA, Verena Ross, speaks at IIF Spring   |   |



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|       | Membership meeting  |   |
| 10    | The Chair of ESMA, Steven Maijoor, speaks at the 25 <sup>th</sup> Globalisation of Investment Funds conference  |   |
| 10    | The Executive Director of ESMA, Verena Ross, speaks at ACER 3 <sup>rd</sup> Annual Conference   |   |
| 11-12 | The Chair of ESMA, Steven Maijoor, attends the IOSCO Board Meeting  |   |
| 12    | The Executive Director of ESMA, Verena Ross, speaks at ICMA Regulatory Policy Committee meeting   |   |
| 13    | The Executive Director of ESMA, Verena Ross, meets with Jérôme Brunel, Robert Priester and Gonzalo Gasos of the European Banking Federation                 | Bank disclosure, market abuse directive |
| 17    | The Chair of ESMA, Steven Maijoor, speaks at the ICGN conference-Expectations of investors and companies in the face of 21 <sup>st</sup> century challenges |   |
| 18    | The Executive Director of ESMA, Verena Ross, speaks at IPO Roundtable (FESE Convention)   |   |
| 19    | The Chair of ESMA, Steven Maijoor, meets with representatives of the Atlantic & Pacific Exchange Program (APEP)   |   |
| 23    | The Executive Director of ESMA, Verena Ross, meets with Hervé Guider and Marieke van Berkel of the European Association of Co-                              | MiFID II, EMIR                          |



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|             | operative Banks   |  |
| 25          | The Chair of ESMA, Steven Maijor, and the Executive Director, Verena Ross, meet with Commissioner Michel Barnier  |  |
| 26          | The Executive Director of ESMA, Verena Ross, meets with a CRA   |  |
| 27          | The Executive Director of ESMA, Verena Ross, meets with Ms Salina Yan and John Tse of the Financial Services and the Treasury Bureau, Hong-Kong   | ESMA organisation and objectives, EMIR, 3 <sup>rd</sup> country issues, MiFID II |
| 30          | The Chair of ESMA, Steven Maijor, meets with representative of the Bundesverband Öffentlicher Banken Deutschlands   | MiFID Reveiw   |
| 30          | The Executive Director of ESMA, Verena Ross, meets with Mark Boleat, Chairman of the City of London, and Andre Villeneuve, co-chair of the Anglo-French Committee of the City of London and Paris Europlace | ESMA organization and objectives, ESFS review                                    |
| <b>July</b> |   |  |
| 17          | The Executive Director of ESMA, Verena Ross, meets with Fabrice Demarigny, Mazars   | ESMA organization and objectives, ESFS review                                    |
| 24          | The Executive Director of ESMA, Verena Ross, meets with Carlo Comporti, Promontory  | ESMA organization and objectives, ESFS review                                    |
| 30          | The Executive Director of ESMA, Verena Ross, meets with Katharine Braddick and Naomi Taschimowitz from HM Treasury  | ESMA organization and objectives, ESFS review                                    |



| <b>August</b>    |  |   |
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| 4                | The Executive Director of ESMA, Verena Ross, meets with Stuart Graham and Lord Myners (Autonomous)                       | MiFID II, ESMA organisation                                   |
| 5                | The Executive Director of ESMA, Verena Ross, meets with Helmut Bauer (Deloitte)  | ESMA organization, banking and securities sector developments |
| <b>September</b> |  |   |
| 2                | The Chair of ESMA, Steven Maijor, meets with Richard Ketchum, Chair of FINRA   |   |
| 2                | The Chair of ESMA, Steven Maijor, meets with Mary Miller, U.S. Department of Treasury                                    |   |
| 3                | The Chair of ESMA, Steven Maijor, meets with Tim Massad, Chair of the CFTC   |   |
| 3                | The Chair of ESMA, Steven Maijor, meets with Mary-Jo White, Chair of the US SEC  |   |
| 3                | The Chair of ESMA, Steven Maijor, meets with Jerome H Powell, Governor of the Federal Reserve                            |   |
| 3                | The Chair of ESMA, Steven Maijor, meets with Timothy D. Adams, President & CEO of the Institute of International Finance | General introduction to ESMA                                  |
| 9                | The Chair of ESMA, Steven Maijor, meets with representatives of EFRAG  | EFRAG Reform  |



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| 10    | The Executive Director of ESMA, Verena Ross, meets with Paul Swann, The ICE   | EMIR, TR Supervision   |
| 10    | The Executive Director of ESMA, Verena Ross, meets with Mike Pedroni and Corrado Camera, US Treasury                    |  |
| 10    | The Executive Director of ESMA, Verena Ross, meets with Yann Le Pallec, S&P   |  |
| 11-12 | The Chair of ESMA, Steven Maijor, speaks at the Eurofi conference in Milan  |  |
| 11-12 | The Executive Director of ESMA, Verena Ross, speaks at the Eurofi conference in Milan                                   |  |
| 11    | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Barbara Novick, BlackRock   | Systemic non-bank non-insurance institutions, MiFID II/MiFIR |
| 11    | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Rainer Riess, FESE          | MiFID II/MiFIR, FESE organisation                            |
| 11    | The Executive Director of ESMA, Verena Ross, meets with Mike Bodson (CEO) and Larry Thompson (Chair), DTCC              | TR supervision   |
| 11    | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Magnus Billings, Nasdaq OMX | MiFID II/MiFIR   |
| 11    | The Chair of ESMA, Steven Maijor and the Executive Director of ESMA, Verena Ross, meet with Michel Madelain, Moody's    | CRA supervision  |



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| 12 | The Executive Director of ESMA, Verena Ross, meets with Dr Thomas Book, Eurex Clearing AG  | EMIR, CCP colleges, MiFID II/MiFIR                               |
| 15 | The Chair of ESMA, Steven Maijor, meets with representatives of European Issuers   | General Introduction to ESMA                                     |
| 16 | The Chair of ESMA, Steven Maijor, meets with representatives of the Investment Company Institute   | Systemic risks in asset management                               |
| 16 | The Executive Director of ESMA, Verena Ross, meets with Anthony Browne, Chief Executive, BBA   | ESMA organisation and objectives, work programme, MiFID II/MiFIR |
| 17 | The Chair of ESMA, Steven Maijor, meets with MEPs Roberto Gualtieri, Markus Ferber, Kay Swinburne and Peter Simon  |  |
| 18 | The Chair of ESMA, Steven Maijor, meets with Yves Mersch, ECB  |  |
| 22 | The Chair of ESMA, Steven Maijor, meets with Georges Ugeux   | Introduction to ESMA. Securities markets regulation              |
| 23 | The Chair of ESMA, Steven Maijor, speaks at the ECON Committee "Exchange of views with EASs Chairs"  |  |
| 25 | The Chair of ESMA, Steven Maijor, meets with members of the Club Izonso  | Introduction to ESMA. Securities markets regulation              |
| 29 | The Chair of ESMA, Steven Maijor, meets with Mr Masa Kono  |  |
| 30 | The Chair of ESMA, Steven Maijor, meets with Miss Au King Chi, Permanent Secretary for the Financial Services and the Treasury (Financial Services) of the Hong Kong Special Administrative Region |  |



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| 30             | The Executive Director of ESMA, Verena Ross, speaks at FMA Aufsichtskonferenz 2014  |  |
| <b>October</b> |   |  |
| 1              | The Executive Director of ESMA, Verena Ross, meets with Daniel Godfrey, Investment Management Association                 | ESMA organisation and objectives, MiFID II/MiFIR |
| 1              | The Chair of ESMA, Steven Maijoor, meets with Rosemary Wang, Deputy Director of FSC Taiwan                                |  |
| 7              | The Chair of ESMA, Steven Maijoor, meets with Gerard Hartsink, CLS Group Chairman   | CEI  |
| 13             | The Executive Director of ESMA, Verena Ross, meets with Helmut Bauer, David Strachan, Deloitte                            | ESMA organisation and objectives, work programme |
| 13             | The Executive Director of ESMA, Verena Ross, meets with Dominique Cerruti and Robin Jezek, EuroNext                       | EuroNext – recent changes, MiFID II/MiFIR        |
| 15             | The Chair of ESMA, Steven Maijoor, speaks at the CNMV conference on “The new securities regulation in the European Union” |  |
| 15             | The Chair of ESMA, Steven Maijoor, meets with Ignacio Santillán, FOGAIN   | MiFID Review                                     |
| 15             | The Chair of ESMA, Steven Maijoor, meets with Antonio Zoido and Javier Hernani, BME                                       | MiFID Review, EMIR                               |
| 15             | The Chair of ESMA, Steven Maijoor, meets with Javier Rodríguez,   | MiFID Review                                     |



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|    | AEBANCA   |                                   |
| 15 | The Chair of ESMA, Steven Maijoor, meets with Mariano Rabadán, Angel Martínez Aldama & Elisa Ricón, INVERCO   | MiFID Reveiw                      |
| 15 | The Chair of ESMA, Steven Maijoor, meets with representatives of ADICAE   | MiFID Review. Investor protection |
| 16 | The Chair of ESMA, Steven Maijoor, meets with James Moore, The Independent  |                                   |
| 16 | The Chair of ESMA, Steven Maijoor, meets with Ben Moshinsky, Bloomberg  |                                   |
| 16 | The Chair of ESMA, Steven Maijoor, speaks at the BBA conference   |                                   |
| 21 | The Chair of ESMA, Steven Maijoor, meets with M. Calcoen & M. Perrier, Amundi   | MiFID Reveiw                      |
| 23 | The Executive Director of ESMA, Verena Ross, speaks at Academy of European Law (ERA) Conference on EU Regulation on Credit Rating Agencies                | Introductory comments             |
| 28 | The Executive Director of ESMA, Verena Ross, gives evidence at the House of Lords on an inquiry into the EU financial regulatory framework                |                                   |
| 29 | The Executive Director of ESMA, Verena Ross, delivers a Sir Thomas Gresham Dockland Lecture on “Financial Markets After The Crisis – More Europe or Less” |                                   |



| <b>November</b> |  |                 |
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| 4               | The Chair of ESMA, Steven Maijor, meets with Ray McDaniel, Moodys                      | CRA Supervision |
| 5               | The Chair of ESMA, Steven Maijor, speaks at the EFAMA Investment Management Forum 2014 |                 |
| 6               | The Chair of ESMA, Steven Maijor, speaks at the Finance for Growth conference          |                 |
| 10              | The Chair of ESMA, Steven Maijor, speaks at the Meet the Experts conference            |                 |
| 17              | The Chair of ESMA, Steven Maijor, meets with representatives of AMAFI                  | MiFID Review    |
| 18              | The Chair of ESMA, Steven Maijor, speaks at the European Audit Network Committee       |                 |
| 19              | The Chair of ESMA, Steven Maijor, meets with MEPs Paul Tang and Cora van Nieuwenhuizen |                 |
| 20              | The Chair of ESMA, Steven Maijor, speaks at the Euro Finance week                      |                 |
| 20              | The Chair of ESMA, Steven Maijor, meets with Benoit Coeuré, ECB                        |                 |
| 25              | The Chair of ESMA, Steven Maijor, speaks at the EIFR conference                        |                 |
| 27              | The Chair of ESMA, Steven Maijor, speaks at the Annual Henri                           |                 |



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|                 | Sijthoff lecture   |                 |
| <b>December</b> |  |                 |
| 2               | The Chair of ESMA, Steven Maijor, meets Scott O'Malia, CEO of ISDA   | EMIR            |
| 2               | The Chair of ESMA, Steven Maijor, meets Paul Taylor, Fitch   | CRA Supervision |
| 3               | The Chair of ESMA, Steven Maijor, meets Georg Fahrenschon, DSGV  | MiFID Review    |
| 3               | The Chair of ESMA, Steven Maijor, meets with representatives of ESBG   | MiFID Review    |
| 3               | The Executive Director of ESMA, Verena Ross, meets with representatives of S&Ps                                    | CRA supervision |
| 4               | The Chair of ESMA, Steven Maijor, meets Neeraj Sahai, S&Ps   | CRA supervision |
| 4               | The Executive Director of ESMA, Verena Ross, meets with José Massa, Jeffrey Tessler and Elena Carnicero of RegisTR | TR supervision  |
| 8               | The Executive Director of ESMA, Verena Ross, meets with Moody's independent directors                              | CRA supervision |
| 9               | The Chair of ESMA, Steven Maijor, speaks at the DSW International Investors conference                             |                 |



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| 9  | The Executive Director of ESMA, Verena Ross, speaks at ICI Global Trading and Market Structure Conference |                 |
| 12 | The Executive Director of ESMA, Verena Ross, meets with S&P's independent directors                       | CRA supervision |