

Date: 3 November 2016 Ref. ESMA/2016/1501

## **ESMA Staff Stakeholder contacts in the Third Quarter 2016**

ESMA is committed to the highest standards of transparency in its interactions with stakeholders. ESMA will therefore publish information on ESMA staff meetings with external stakeholders. This type of information will be published in the beginning of January, April, July and October for the previous quarter.

Date	Institution met	Main topics discussed
4 July 2016	AFME	Capital Markets Union
4 July 2016	FESE	Transparency, Data Project, Data Formats, Timeline; MiFID II / MiFIR;
		Market Abuse Regulation; PRIIPS; Benchmarks Regulation; ESAs Review
4 July 2016	ISLA	SFTR
5 July 2016	AFME	SFTR
5 July 2016	EFAMA	SFTR
5 July 2016	Algebris	Current market developments, CoCos
5 July 2016	BoAML	Current market developments
5 July 2016	UBS	Current market developments
6 July 2016	ICMA	SFTR
6 July 2016	AIMA	SFTR
6 July 2016	AMAFI	MiFID II-MiFIR
6 July 2016	Citadel	MiFID II-MiFIR
7 July 2016	EACH	SFTR
7 July 2016	Bloomberg	Reference data
12 July 2016	MAS	Market developments and financial innovation



20 July 2016  Nomura Research Institute  NiFID II - Algorithmic and High Frequency Trading  Change of EURIBOR methodology, Past and future support by ESMA and EU authorities, Technical Advice on Definitions in the BMR, Issues relating to 3rd country benchmarks  Bulgarian Financial Forum and Better Finance  ISO 20022 Standards Evaluation Group - Derivatives SubSEG  Wealth Management Association (WMA)  Product governance (MiFID II)	19 July 2016	EEX	Market Making contracts; Liquidity Provision Contracts; Volume Provision
20 July 2016  Bulgarian Financial Forum and Better Finance  20 July 2016  Bulgarian Financial Forum and Better Finance  20 July 2016  ISO 20022 Standards Evaluation Group - Derivatives SubSEG  21 July 2016  Wealth Management Association (WMA)  25 July 2016  CFPB  Market developments and financial innovation  Burding Agreement Agroup and Custody Services  Agreement Agroup and Custody Services  Review of candidate ISO 20022 messages for derivatives reporting Group - Derivatives SubSEG  Product governance (MiFID II)  MiFID II concept of Traded on a Trading Venue for the purpose of transparency  Agree developments and financial innovation  Prospectus training seminar  Prospectus training seminar  Product governance (MiFID II)  Buly 2016  Euronext  Prospectus training seminar  Product governance (MiFID II)  Review of candidate ISO 20022 messages for derivatives reporting Group - Derivatives of transparency  Froduct governance (MiFID II)  Review of candidate ISO 20022 messages for derivatives of Carlo derivatives of Commodity derivatives  September 2016  ICI Global  Fund fees and flows  12 September 2016  Quoted Companies Alliance (QCA)  Upcoming Prospectus Regulation and connected Level II measures.  Competitive landscape of CRA industry.	00 1 1 0040	N B	Contracts
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Better Finance  20 July 2016 ISO 20022 Standards Evaluation Group - Derivatives SubSEG  21 July 2016 Wealth Management Association (WMA)  25 July 2016 ISDA MiFID II concept of Traded on a Trading Venue for the purpose of transparency  25 July 2016 Euronext Prospectus training seminar  27 July 2016 Euronext Prospectus training seminar  27 July 2016 ICMA Product governance (MiFID II)  28 July 2016 Deutsche Boerse TRV circuit breaker vulnerabilities article  29 July 2016 Bloomberg Liquidity Assessment  2 September 2016 ISDA Commodity derivatives  7 September 2016 ISDA Commodity derivatives  7 September 2016 ICI Global Fund fees and flows  12 September 2016 Intercontinental Exchange (ICE) Technical Advice under the Benchmarks Regulation (BMR)  12 September 2016 Quoted Companies Alliance (QCA) Upcoming Prospectus Regulation and connected Level II measures.  12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.			Issues relating to 3rd country benchmarks
20 July 2016 ISO 20022 Standards Evaluation Group - Derivatives SubSEG 21 July 2016 Wealth Management Association (WMA)  25 July 2016 ISDA MiFID II concept of Traded on a Trading Venue for the purpose of transparency 25 July 2016 Euronext Prospectus training seminar 27 July 2016 Euronext Prospectus training seminar 27 July 2016 ICMA Product governance (MiFID II) 28 July 2016 Deutsche Boerse TRV circuit breaker vulnerabilities article 29 July 2016 Bloomberg Liquidity Assessment 2 September 2016 ISDA Commodity derivatives 3 September 2016 ICI Global Fund fees and flows 12 September 2016 Intercontinental Exchange (ICE) Technical Advice under the Benchmarks Regulation (BMR) 12 September 2016 Quoted Companies Alliance (QCA) Upcoming Prospectus Regulation and connected Level II measures. 12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.	20 July 2016		Asset segregation and custody services
(WMA)  25 July 2016 ISDA MiFID II concept of Traded on a Trading Venue for the purpose of transparency  25 July 2016 CFPB Market developments and financial innovation  26 July 2016 Euronext Prospectus training seminar  27 July 2016 ICMA Product governance (MiFID II)  28 July 2016 Deutsche Boerse TRV circuit breaker vulnerabilities article  29 July 2016 Deutsche Bank MiFID II/MiFIR (extraterritoriality issues)  11 August 2016 Bloomberg Liquidity Assessment  2 September 2016 Union Investment Discussion on current market risks and latest edition of TRV.  2 September 2016 ICI Global Fund fees and flows  12 September 2016 Intercontinental Exchange (ICE) Technical Advice under the Benchmarks Regulation (BMR)  12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.	20 July 2016	ISO 20022 Standards Evaluation	Review of candidate ISO 20022 messages for derivatives reporting
transparency  25 July 2016	21 July 2016	_	Product governance (MiFID II)
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7 September 2016 ICI Global Fund fees and flows 12 September 2016 Intercontinental Exchange (ICE) Technical Advice under the Benchmarks Regulation (BMR) 12 September 2016 Quoted Companies Alliance (QCA) Upcoming Prospectus Regulation and connected Level II measures. 12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.	2 September 2016	Union Investment	Discussion on current market risks and latest edition of TRV.
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12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.	12 September 2016	Intercontinental Exchange (ICE)	Technical Advice under the Benchmarks Regulation (BMR)
12 September 2016 Olivier Beroud consulting Competitive landscape of CRA industry.	12 September 2016	Quoted Companies Alliance (QCA)	Upcoming Prospectus Regulation and connected Level II measures.
14 September 2016 ICI Global Discussion on current market risks and latest edition of TRV.	12 September 2016	Olivier Beroud consulting	
	14 September 2016	ICI Global	Discussion on current market risks and latest edition of TRV.



15 September 2016	EUROPEX	Ancillary activity; Annex I MiFID II (C(6) "derivatives that must be
		physically settled")
16 September 2016	CME Group	Cash-settled vs physically-delivered contracts in the context of position
		limits for commodity derivatives
22 September 2016	Thomson Reuters	Technical Advice under the Benchmarks Regulation (BMR)
22 September 2016	FESE and MMT	Publication of post-trade transparency information under RTS 1 and 2
22 September 2016	International Integrated Reporting	Update on the activities of the IIRC
	Council	
26 September 2016	London Stock Exchange Group	Upcoming Prospectus Regulation and connected Level II measures.
27 September 2016	FinTEch Liechtenstein	Discussion on Fintech regulation
28 September 2016	R3	DLT
29 September 2016	ISO 20022 Standards Evaluation	Review of candidate ISO 20022 messages for derivatives reporting
	Group - Derivatives SubSEG	
30 September 2016	FIA	EMIR implementation, offering of clearing services by financial
		institutions, third country regime issues and position limits
30 September 2016	SIFMA Asset Management Group	Introduction of SIFMA AMG and overview of areas where SIFMA AMG
		tends to comment
		Uncleared Swap Margin, including minimum transfer amount and
		investment funds (threshold calculations)
		UCITS Share Class Hedging
		Dealing Commissions
30 September 2016	Guidepost	FinTech