

Agenda

Business Committee

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| Date | 11 October 2017 | Time | 12.00pm – 2.00pm |
| Location | ASX offices – Level 1, 20 Bridge Street, Sydney | | |

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| 1. Lunch served on arrival | 12.00pm - 12:15pm |
| 2. Service Performance | 12:15pm - 12:30pm |
| <ul style="list-style-type: none"> a) Cash Market Clearing and Settlement - Operating Performance b) ASX Customer Service Survey Results <ul style="list-style-type: none"> A briefing on the survey outcomes and actions to be taken | |
| 3. Regulatory Matters | 12:30pm – 1:15pm |
| <ul style="list-style-type: none"> a) Markets in Financial Instruments Directive (MIFID II) <ul style="list-style-type: none"> A briefing on ASX’s work preparing for the MIFID II regime. b) Response from the Boards of ASX Clear and ASX Settlement <ul style="list-style-type: none"> Members will be provided with a response from the ASX Clear and ASX Settlement Boards to the recommendation put at the last meeting c) Annual Cash Equities Clearing and Settlement Reports <ul style="list-style-type: none"> Report on Cash Equity Clearing & Settlement Services Developments Audit Report on ASX’s compliance with the Regulatory Expectations | |
| 4. CHESS Replacement Project | 1:15pm - 1:45pm |
| <ul style="list-style-type: none"> a) Business Requirements Working Groups <ul style="list-style-type: none"> Working Group 3: Transfers, conversions and data migration Working Group 4: Settlement enhancements b) Technology Assessment of Digital Asset’s DLT Platform <ul style="list-style-type: none"> A report providing a high-level overview of the assessment of DLT c) ISO 20022 Technical Committee Report and Minutes <ul style="list-style-type: none"> Members will receive reports from the 18 July and 22 August meetings. | |
| 5. Administration | 1:45 – 2:00pm |
| <ul style="list-style-type: none"> a) Minutes from the 3 August 2017 Business Committee Meeting b) Forward work program c) Other matters | |
| 6. Next Meeting - Thursday 30th November 2017 | |

Business Committee Members

| Company | Name | Job Title | Apologies |
|---|------------------------------|---|--------------|
| ABN AMRO Clearing | Barry Parker | Chief Executive Officer | |
| AFMA | David Lynch | Chief Executive Officer | |
| ANZ | Andrew Koudrin (delegate) | Head of Execution Assurance and Middle Office | Peter Mullin |
| ASX | Peter Hiom | Business Committee Chair, Deputy CEO | |
| Bank of America Merrill Lynch | Rhys Cahill | Global Markets COO | |
| Bell Potter Securities | Dean Surkitt | Managing Director Retail | |
| BNP Paribas | Luc Renard | Head of Clearing & Custody | |
| Chi-X Australia | Mike Aikins | Chief Operating Officer | |
| Citi | Miles O'Connor | Director, Direct Custody & Clearing Securities & Funds Services | |
| Commonwealth Bank of Australia | Sheridan Thompson | Head of Strategic Development, CommSec | |
| Credit Suisse | Winston Loke | Australia Equities COO | |
| Deutsche Bank AG | Geoffrey Plaisted | Chief Operating Officer, Equities | |
| Goldman Sachs | Jeremy Follett | Executive Director Operations | |
| HSBC | Peter Snodgrass | Head of Direct Custody and Clearing | |
| J.P. Morgan | Jonathan Evans | Head of Custody and Markets Operations | |
| Macquarie Group | James Indge | Cash Equities Business Manager | |
| Morgans | Peter Chisholm | Chief Operating Officer | |
| Morgan Stanley | Craig McGuire | Head of Operations | |
| National Australia Bank | Greg Bowrey | General Manager, Self-Directed Wealth Products & Markets | |
| NSX | Ann Bowering | Managing Director | |
| Pershing Securities | Rob Forbes | Chief Executive Officer | |
| Stockbrokers and Financial Advisers Assoc | Andrew Green | Chief Executive Officer | |
| Sydney Stock Exchange | Tony Sacre | Chief Executive Officer | |
| UBS | Conor Foley | Chief Operating Officer | |

ASX Management

| Name | Job Title | Apologies |
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| Tim Hogben | Chief Operating Officer | |
| Hamish Treleaven | Chief Risk Officer | |
| Eloise Wett | Executive General Manager, Operations | |
| Cliff Richards | Executive General Manager, Equity Post Trade Services | |
| Daniel Moran | Acting General Counsel | |
| Nick Wiley | Deputy General Counsel, Post-Trade | |
| Diane Lewis | Senior Manager, Regulatory and Public Policy | |
| Gary Hobourn | Senior Economic Analyst, Regulatory and Public Policy | |
| Katie McDermott | General Manager, Post Trade & Issuer Services Operations | |
| Natalie Hewitt | Legal Counsel, ASX Legal | |
| Jane Peter | General Manager, Customer Experience | |