

4th AMI-SeCo meeting
Agenda point 4.2

Fintech-Task Force reporting

Frankfurt am Main, 20 March 2018

1. Fintech-TF work plan

2. Use cases currently being assessed

3. Further work



- **Key areas to be addressed**
 - **Work on-going or about to be launched on the following topics**
 - **Shareholder transparency and voting**
 - **Corporate Action information**
 - **Withholding Tax Procedures**
 - **Collateral management**
 - **Governance of DLT environments (and other relevant Fintech technologies)**
 - **Further areas to be addressed**
- **Reporting to the HSG and AMI-SeCo and high-level timeline**
 - **Regular reporting to the HSG and AMI-SeCo in each meeting**
 - **Report to the HSG within a year of the first meeting**
 - **Draft report expected to be submitted to the HSG before its October meeting**
- **The work plan for 2018 agreed by the HSG**

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- **Shareholder transparency and voting**
 - Focus on the needs stemming from the recast of the SRD
 - Involvement of issuers required
- **Corporate Action information**
 - Use case on Corporate Actions Golden copy
- **Withholding Tax Procedures**
 - Actual topic: EPTF work done on the topic & EC Code of Conduct on Withholding Tax
 - Use the momentum in this area, promote harmonisation

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- **Collateral management**
- **Governance of DLT environments (and other relevant Fintech technologies)**
- **Leveraging the use cases (Shareholder transparency) on other topics**
 - **Registration, AGM processing, Corporate Action Execution and/or Portfolio transfers**
- **Analysis of technologies within the current and upcoming regulatory framework**