

Democratizing Finance via AI: Investor Protection and Investor Engagement

Professor Konstantinos Sergakis

Professor of Capital Markets Law and Corporate Governance, University of Glasgow

Peter Ellinger Visiting Professor, NUS Law



Konstantinos Sergakis is a Professor of Capital Markets Law and Corporate Governance at the University of Glasgow. He acts as the Postgraduate Teaching Director, having previously convened the LLM in Corporate & Financial Law and acted as School Director for Internationalisation. He holds an LL.B from the National and Kapodistrian University of Athens, an LLM in International Business Law from University College London and a PhD from the University Paris 1 Panthéon-Sorbonne.

Professor Sergakis is a Member (Alternate) of the Joint Board of Appeal of the European Supervisory Authorities (EBA, EIOPA, ESMA) and serves as Chairperson of the BPP Oversight Committee (BPP OC), the proxy advisors' global industry group. His role is to provide, together with the other Committee members (listed company and institutional investor representatives) an annual independent review of the monitoring of the Best Practice Principles and an annual independent review of the public reporting of each BPP Signatory. He has also served as Advisor at Mefop Spa, the company created by the Italian Ministry of Economy and Finance for the development of the pension fund market and of other social security forms and undertakes public policy initiatives in the area of stewardship, such as the co-authorship of the inaugural Stewardship Guidelines for Italian pension funds.



Public CPD Points: 1.5
Training Level: General
Area: Banking and Finance

Participants who wish to obtain CPD Points are reminded that they must comply strictly with the Attendance Policy set out in the CPD Guidelines. For this activity, this includes signing in on arrival and signing out at the conclusion of the activity in the manner required by the organiser, and not being absent from the entire activity for more than 15 minutes. Participants who do not comply with the Attendance Policy will not be able to obtain CPD Points for attending the activity. Please refer to <https://www.silecpdcentre.sg/> for more information.

Tuesday, 13 August 2024 | 4.00PM TO 5.45PM

Wee Chong Jin Moot Court, NUS Law (BTC)

ABOUT THE SEMINAR

Equity investment is seen in both dominant and critical corporate law literature as a passive act that carries exclusively instrumental value. This conceptualisation legitimises shareholder paternalism in current corporate law norms and provides support for stakeholder welfarism reforms. Engaging with cogent emerging evidence on the preferences, motivation, and behaviour of contemporary individuals in the markets (retail investors and ultimate beneficiaries of funds), this lecture will argue that, for the majority of them, equity investment is increasingly experienced as a choice instantiating their personhood, identity, and moral agency, and thus carrying inherent value. AI has already started democratising finance so as to allow individuals to voice their opinions (e.g. ESG) and participate in corporate governance matters. The lecture will assess current AI products that have the potential to revolutionise investment trends and render more accessible and 'user-friendly' capital markets to individuals. The lecture will also address associated risks that AI can cause in this area and will propose a series of measures for a sound investment landscape. In parallel, the lecture will address the lessons that law can learn from social norm and moral philosophy theories, which demonstrate the merits of experimentalism and continuous social interactions between individuals in allowing for the emergence of new social norms and individual moral agents.

PROGRAMME

3.30pm - Registration
4.00pm - Start of Seminar: Part I
4.45pm - Break
5.00pm - Start of Seminar: Part II
5.45pm - End of Seminar

WHO SHOULD ATTEND

Academics, finance lawyers, in-house bank counsel, policymakers

REGISTRATION

Register at: <https://tinyurl.com/cbflepe20240813>
or scan the QR code



Closing date: 11 August 2024

For enquiries, email cbfl@nus.edu.sg

ABOUT THE CENTRE FOR BANKING & FINANCE LAW

The Centre for Banking & Finance Law (CBFL) at the Faculty of Law, National University of Singapore, seeks to generate scholarship and promote thinking about the vibrancy, robustness and soundness of the banking sector, capital markets and other financial services. Through the research our scholars undertake and the events we organise, we seek to create and share knowledge, to engage stakeholders in an exchange of ideas, and to enhance the appreciation of legal and regulatory issues. We aim to bring greater theoretical and analytical clarity to these issues, to examine their policy impact, and to be a catalyst for ideas on how to improve banking and financial systems at the national, regional and global levels. Visit our website at <https://law.nus.edu.sg/cbfl/>.