

## **CURRICULUM VITAE**

KONSTANTINOS SERGAKIS

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### **EDUCATION**

2004 - 2010 PhD - Doctorate in Law - University Paris I (Panthéon-Sorbonne) - Awarded with the Highest Distinction - Pass without correction (*Mention Très honorable avec les félicitations du jury*), proposition for publication of the thesis and proposition for numerous PhD prizes.

‘The transparency of listed companies in EU law’  
(*La transparence des sociétés cotées en droit européen*)  
24<sup>th</sup> of November 2010 – 193.000 words approx.

PhD supervisor : Professor Jean - Jacques Daigre

Analysis of EU Capital Markets Law (with a special emphasis on UK, French and German Law). Proposition for a new disclosure and sanctions scheme at EU level.

The PhD was awarded the prestigious prize *Prix Solennel André Isoré* 2011 from the *Chancellerie des Universités de Paris* under the Presidency of the French Prime Minister (award for the best PhD in Private Law amongst all the PhD’s awarded during 2010) and the Special Grant 2011/2012 under the Special Grant and Support Program for Scholars’ Association Members of the Alexander S. Onassis Foundation (award and publication of a PhD thesis which has received recognition in the academic community). It has been published in the collection of the Institute of Legal Research of the Sorbonne Law School (Bibliothèque de l’Institut de Recherche Juridique de la Sorbonne - IRJS Éditions).

2002 - 2003 LLM in International Business Law - Awarded with Merit  
University College London (UCL), Faculty of Laws, University of London

Specialised in Legal Aspects of International Finance, International and Comparative Insolvency Law and one course at London School of Economics (Regulation of Financial Markets) as part of the intercollegiate LLM programme.

1998 - 2002 Bachelor of Laws (*Ptychion* - LLB) - Awarded with High Merit (7.87/10)  
National and Kapodistrian University of Athens, School of Law,  
Economics and Political Sciences, Faculty of Laws

1996 - 1997 High School Certificate (*Apolytirion*)  
Lycée Léonin (French – Hellenic private school), Athens  
(Distinction, 19.3/20)

## ACADEMIC APPOINTMENTS

- 09/15 – Senior Lecturer (Associate Professor) in Commercial Law,  
University of Glasgow
- Business Organisations
  - Business Law
  - Company Law (Hons)
  - Corporate Finance (LLM)
  - Financial Law (Hons)
  - M&A Transactions [Deals] (LLM)
- 08/13 – 09/15 Lecturer (Assistant Professor) in Law, University of Bristol
- Commercial Law (LLB)
  - Company Law (LLM)
  - Foundations of Business Law (LLB)
  - International Corporate Finance (LLM)
  - Issues in Corporate Governance (LLB)
- 09/11 – 07/13 Senior Lecturer in Law, University of Bedfordshire
- Company Law (LLB)
  - Corporate Governance (LLM)
  - Dissertation (LLM)
- 09/08 – 06/10 Teaching Fellow at the University Paris Ouest Nanterre La Défense
- Comparative Private Law – US, UK, French and German Contract Law  
(LLM - Master 1 - 4<sup>th</sup> year students)
  - Comparative Business Law  
(LLM - Master 2 Economic Analysis of Law - 5<sup>th</sup> year students)
- 09/06 – 08/08 Lecturer in Private Law (A.T.E.R) at the University Paris Ouest Nanterre La  
Défense (2 year fixed-term Lectureship)
- Commercial Law: Credit and Payment Instruments  
(LLM - Master 1 - 4<sup>th</sup> year students)
  - Comparative Private Law – US, UK, French and German Contract Law  
(LLM - Master 1 - 4<sup>th</sup> year students)
  - Introduction to French Private Law (LLB - Licence 1 - 1<sup>st</sup> year students)

## RESEARCH

### BOOKS

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*The Law of Capital Markets in the EU* (Palgrave Macmillan Corporate and Financial Law series, 2018). Monograph/text hybrid: **3\*/4\* REF 2021 output (Internal Review)**

H. Birkmose and K. Sergakis (ed), *Enforcing Shareholder Duties* (Edward Elgar, 2018) forthcoming.

*La transparence des sociétés cotées en droit européen [The transparency of listed companies in EU law]* (Tome 41, Bibliothèque de l'Institut de Recherche Juridique de la Sorbonne-IRJS Éditions, 2013)

XXIII+557 pp. [Monograph] **3\* REF 2014 output (Internal Review)**

Reviewed : (2013) 54 *Les Cahiers de Droit* 1009, 1023-1029; (2013) 4 *Revue Trimestrielle de Droit Européen* XII.

## **JOURNAL ARTICLES**

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N. Cucari, S. Carbonara, S. Esposito de Falco and K. Sergakis, 'Robo-voting phenomena: an empirical analysis of institutional investors voting and proxy advisors' recommendations in Italy' *Corporate Governance : An International Review* (12.000 words – submission in April 2019).

A. Kokkinis and K. Sergakis, 'Conceptualising the Economic Efficiency of Employee Participation in Corporate Governance' (14.000 words – submission in 2019 to the *Journal of Corporate Law Studies*).

A. Kokkinis and K. Sergakis, 'Revisiting the Case for Employee Participation in UK Corporate Governance' (13.000 words – submission in 2019 to the *Journal of Corporate Law Studies*).

C. Malberti, S. Rousseau and K. Sergakis, 'The Regulation of Short Selling: A Transatlantic Discussion on Policy Issues and Instruments' (2018) 4 *Revue Trimestrielle de Droit Financier* 37.

'The Relevance of Time in Framing the Sanctions Framework for Defective Disclosure' (2017) 3 *European Business Law Review* 331. **4\* REF 2021 output (External Review – both reviewers 4\*)**

'Deconstruction and Reconstruction of the "Comply or Explain" principle in EU capital markets' (2015) 5(3) *Accounting, Economics and Law: A Convivium* 233. **3\* REF 2021 output (Internal Review)**

'Proxy Advisory Firms Under ESMA's Microscope: a Perfectible Regulatory Approach?' (2014) 25 (4) *International Company and Commercial Law Review* 144.

'EU Corporate Governance: the Ongoing Challenges of the "Institutional Investor Activism" Conundrum' (2014) 4 *European Journal of Law Reform* 728.

'EU Corporate Governance: A New Supervisory Mechanism for the "Comply or Explain" Principle?' (2013) 3 *European Company and Financial Law Review* 394.

'The UK Stewardship Code: Bridging the Gap Between Companies and Institutional Investors' (2013) 47 *Revue Juridique Thémis* 109.

## **BOOK CHAPTERS / EDITED VOLUMES/REPORTS**

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'Anti-Money Laundering Rules against Abuses in Corporate Law', in H. Birkmose and K. Sørensen *'Abuses of Companies'* (Kluwer Law International, 2019) forthcoming.

‘Ownership Disclosure in Anti-Money Laundering Law’ in R. Veil and V. Tountopoulos (ed), *Transparency of Stock Corporations in Europe* (Hart Publishing, 2019) forthcoming.

H. Birkmose and K. Sergakis, ‘Introduction’ in H. Birkmose and K. Sergakis (ed), *Enforcing Shareholder Duties* (Edward Elgar, 2019) forthcoming.

‘Legal Versus Social Enforcement’ in H. Birkmose and K. Sergakis (ed), *Enforcing Shareholder Duties* (Edward Elgar, 2019) forthcoming.

‘The Current Challenges for EU Company and Financial Law and Regulation’, Business and Financial Law SIG of the European Law Institute (ELI), *Green Paper*, Vienna, 2017.

‘Les conflits d’intérêts au sein des agences de notation’ [Conflicts of Interest in Credit Rating Agencies], in *Mélanges en l’honneur de Jean-Jacques Daigre* (éditions Lextenso, 2017) 769.

‘The Duties of a Short-Seller’, in Hanne S. Birkmose (ed.), *Shareholder Duties* (Kluwer Law International, 2017) 153.

‘Agences de notation’ [Credit Rating Agencies] (2014) *Lexis Nexis Jurisclasseur Europe* (legal encyclopaedia, loose-leaf publication, Fascicule 1030) 1-25.

## SHORT JOURNAL ARTICLES

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H. Birkmose and K. Sergakis, ‘Enforcing Shareholder Duties’ (2019) 6 *European Company Law* 192.

Business law SIG – ELI, ‘The Current Challenges for EU Company and Financial Law and Regulation’ (2018) 8(3) *Accounting, Economics and Law: A Convivium*.

‘Le rôle respectif de l’AG et du CA dans les SA en droit britannique’ [The respective role of the board and general assembly in companies in UK law] (2017) 4 *Actes pratiques et ingénierie sociétair-Lexis Nexis* 4.

‘Application des lois et sanctions en droits britannique et européen: dissuasion et conformité’ [Enforcement and Sanctions in UK and EU Law: Dissuasion and Compliance] (2017) 1 *International Journal of Financial Services* 16-22.

‘Derivative actions in UK Company Law’ (2016) 1 *Actes pratiques et ingénierie sociétair-Lexis Nexis* 19-22.

‘Les conventions réglementées dans les groupes de sociétés en droits britannique et américain’ [Related party transactions in corporate groups in UK and US Law] (2015) 3 *Actes pratiques et ingénierie sociétair-Lexis Nexis* 9-10.

‘A Rejoinder on Mr. Duhamel’s commentary’ (2015) 5(3) *Accounting, Economics and Law: A Convivium* 301.

‘Rapport d’enquête sur les notations souveraines: l’ESMA hausse le ton’ [Investigation report on

sovereign ratings : ESMA raises its voice] (2014) 2 *Bull. Joly Bourse* 83-87.

‘Agences de notation et droit européen : renforcement du cadre réglementaire’ [Credit Rating Agencies and EU law: reinforcement of the regulatory framework] (2014) 1 *International Journal of Financial Services* 92-96.

‘ESMA et agences de conseil en vote : un rapprochement délicat à la recherche d’une transparence volontaire’ [ESMA and proxy advisory firms : a delicate approach in the search of a voluntary transparency] (2013) 4 *Bull. Joly Bourse* 198-204.

‘Le *Stewardship code* : lumière d’Outre-Manche sur les investisseurs institutionnels’ [The Stewardship code: Light across the Channel on institutional investors] (2013) 1 *Bull. Joly Bourse* 4-5.

‘Réforme de l’audit en Europe : choix prématurés et occasions manquées’ [Audit reform in Europe: premature choices and lost chances] (2012) 6/7 *Bull. Joly Bourse* 306-309.

‘Le renforcement des pouvoirs des autorités compétentes’ [The reinforcement of competent authorities’ powers], in J.-J. Daigre (sous la dir.), ‘Dossier : Les enjeux de la réforme de la directive Abus de marché’ [The challenges of the Market Abuse Directive reform] (2012) 3 *Bull. Joly Bourse* 118-122.

‘Un dilemme européen désormais critique : les rémunérations des dirigeants entre discrétion et visibilité’ [A European dilemma by now critical: CEO remuneration between discretion and visibility] (2012) 2 *Bull. Joly Bourse* 84-87.

‘Stockage des informations réglementées à l’échelle européenne : études et propositions’ [Storage of regulated information at EU level: studies and proposals] (2012) 1 *Bull. Joly Bourse* 22-26.

‘La transparence des sociétés cotées’ [The transparency of listed companies] (2011) 10 *Bull. Joly Bourse* 568-569.

‘Règlement n° 513/2011 : la marche de l’ESMA vers la « maturité régulatrice » face aux agences de notation’ [Regulation (EU) n° 513/2011: ESMA’s progress towards ‘regulatory maturity’ facing Credit Rating Agencies] (2011) 9 *Bull. Joly Bourse* 491-494.

‘L’ESMA consulte sur le régime de prospectus suite à la demande d’avis technique de la part de la Commission européenne’ [ESMA consults on the prospectus regime after the technical advice request from the European commission] (2011) 6 *Bull. Joly Bourse* 365-368.

## **CASE NOTES**

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‘Note sous décision de la Commission des sanctions du 18 novembre 2010 à l’égard de MM. Pascal Koskas, Abel Sberro, X, Olivier Hoën, Arnaud Bezzina, Patrice Bourgeois, Y et Z’ (2011) 4 *Bull. Joly Bourse* 246-252.

‘Note sous décision de la Commission des sanctions du 7 octobre 2010 à l’égard de la société X (anciennement dénommée Y), de M.A et de M.B’ (2011) 46 *Les Petites Affiches* 6-20.

## BOOK REVIEWS

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Paul Davies, Klaus Hopt, Richard Nowak, and Gerard van Solinge (eds.), *Corporate boards in law and practice: a comparative analysis in Europe*, (2014) 25 (6) *International Company and Commercial Law Review* 229-231.

## CONFERENCE/SEMINAR/WORKSHOP PAPERS

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N. Cucari, S. Carbonara, S. Esposito de Falco and K. Sergakis, 'Robo-voting phenomena: an empirical analysis of institutional investors voting and proxy advisors' recommendations in Italy', 27-28 June 2019, *EURAM Conference*, Lisbon, Portugal.

'Next Steps for the Financial Reporting and Corporate Governance Powers in the UK - Accountability, Stewardship and the Future for Regulation', 28 February 2019, Westminster Business Forum Keynote Seminar, London, UK (invited).

'The Wates Principles', 22 February 2019, *International Conference Las Sociedades Anonimas Cerradas: Cuestiones Actuales*, Complutense University, Spain (invited).

Keynote Speaker: 'The Future of EU Company Law', 6-7 December 2018, *3<sup>rd</sup> International Conference on European Company Law and Corporate Governance*, University of Zagreb, Croatia (invited).

'The Influence of EU Company and Financial Law', 28 November 2018, CRIDES Guest Seminar, UCLouvain, Belgium (invited).

'Anti-Money Laundering Rules against Abuses in Corporate Law', 14-15 November 2018, *International Conference 'Abuses of Companies'*, Nordic Company Law Network, University of Aarhus, Denmark (invited).

'A Code of Corporate Governance for Large Private Companies', 7 November 2018, University College London, UK.

'Corporate governance and regulation', Discussant of the Session, 13-15 June 2018, *10<sup>th</sup> Nordic Corporate Governance Network Conference*, Gothenburg University, Sweden.

'The (Neglected?) Importance of Social Enforcement in the Area of Shareholder Duties', 13-15 June 2018, *10<sup>th</sup> Nordic Corporate Governance Network Conference*, Gothenburg University, Sweden.

'Corporate Governance Principles for Large Private Companies: Recommendations and Perspectives', Financial Reporting Council (FRC) event, 29 May 2018, Edinburgh, UK (invited).

'The Enforceability of the Shareholder Rights Directive', *Shareholder Engagement in the EU: Opportunities and Challenges*, 24 May 2018, European Parliament, Belgium.

'Ownership Disclosure in Anti-Money Laundering Law', 11-13 May 2018, *Transparency of Stock Corporations in Europe*, University of the Aegean, Greece (invited).

'Short Selling Challenges' Roundtable, 3 May 2018, University of Montreal, 2<sup>nd</sup> annual conference of the *Réseau Transnational en Droit Bancaire et Financier*, Canada (invited).

‘The Neglected Importance of Informal Governance in the Area of Shareholder Engagement Duties’, 5-6 April 2018, *Workshop : Investigating the Impact of Law Through Interdisciplinary Research*, Monash University Prato campus, Italy.

‘Shareholder Activism: The emerging duties and the importance of a cultural shift’, 15 February 2018, Complutense University, Spain (invited).

‘Proxy advisors: The Ambiguous Mixture of Soft and Semi-hard law’, *SIDE 13<sup>th</sup> Annual Conference*, 15-16 December 2017, Lumsa University, Italy.

‘The Transparency of Listed Companies in EU Capital Markets Law’, Guest Lecture, 6 December 2017, Free University of Bozen, Italy (invited).

‘Legal v. Social Enforcement of Shareholder Duties: Shareholder and Company Performance under Threat?’, *International conference: Corporate Governance and Company Performance*, 26 October 2017, Lisbon, Portugal (invited).

‘Legal v. Social Enforcement of Shareholder Duties’, *Enforcing Shareholder Duties*, 15 September 2017, University of Glasgow, UK.

‘Enforcement of Shareholder Duties: The Preferred Way to Sustainability?’, *Council of European Studies*, 12-14 July 2017, University of Glasgow, UK.

‘Regulatory Challenges for Banking and Capital Markets’ Discussant of the Session, *SASE 29<sup>th</sup> Annual Conference*, 29 June-2 July 2017, University of Lyon 3, France (invited).

‘Enforcement of Shareholder Duties: The Preferred Way to Sustainability?’, *SASE 29<sup>th</sup> Annual Conference*, 29 June-2 July 2017, University of Lyon 3, France.

‘Disclosure and Accountability in EU Capital Markets Law’, 23 June 2017, *European Law Institute Conference*, Vienna, Austria (invited).

‘Enforcement Mechanisms in Capital Markets Law’, 22-23 May 2017, *University of Ghent-Vanderbilt Conference*, Belgium (invited).

‘EU Capital Markets Law’, Guest Lecture, University of Cyprus, 27 April 2017, Cyprus (invited).

‘Enforcement of Shareholder Duties: The Preferred Way to Sustainability?’, *Corporate Finance Conference*, Capo Bay Hotel, 24-26 April 2017, Cyprus (invited).

Special Guest and Discussant at the Workshop on Ethics & Culture in Finance: 5th Meeting, 31 March 2017, University of Genoa, Italy (invited).

‘Short Selling: Market and Corporate Governance Concerns Revisited’, *SIDE 12<sup>th</sup> Annual Conference*, 16-17 December 2016, University of Turin, Italy.

‘The Relevance of Time in Framing the Sanctions Framework for Defective Disclosure’, *International conference “Reporting, Investor Relations, Capital Markets – Challenges and Opportunities in Financial Communication”*, 10 November 2016, Leipzig, Germany.

'Enforcement and Sanctions in UK and EU Law: Dissuasion and Compliance', *International conference "Droit des produits et marchés financiers Tendances et défis, Perspectives transnationales"*, 14 October 2016, University of Montréal, Canada (invited).

'Shareholders Going Long and Short: Corporate Governance Under Threat?', *SLS 2016 Annual Conference*, 6-9 September 2016, University of Oxford, UK.

'Individual Responsibility in UK Banking Law', *International Workshop "Enforcement Strategies in Financial Law"*, 29 January 2016, University of Glasgow, UK.

'The separation of governance and financial elements in short-selling practices and the imposition of shareholder duties', *International Conference "Shareholder Duties"*, Nordic Company Law Network, 9-10 November 2015, Aarhus University, Denmark.

'Fighting Deficient Disclosure With Smarter Sanctions? A New Theory in EU Corporate Law', *SLS 2015 Annual Conference*, 1-4 September 2015, University of York, UK.

'The Relevance of Time in Shaping a New Sanctions Theory in Corporate Law', *SASE 27th Annual Conference "Inequality in the 21st Century"* and Moderator of the Session 'Regulating Capital Markets', 4-5 July 2015, London School of Economics, UK.

'Corporate Governance and Financialisation (II): Legal-Economic Case Studies from UK and Norway', *SASE 27th Annual Conference "Inequality in the 21st Century"* Discussant of the Session (with Yuri Biondi), 4-5 July 2015, London School of Economics, UK.

'Towards a New Taxonomy of Sanctions in Corporate Law: Fighting Inequality in Capital Markets', *40<sup>th</sup> Annual British International Studies Conference "The Worlds of Inequality"*, 16-19 June 2015, London, UK.

'Shareholder Duties: the UK Approach', *Workshop "Shareholder Duties"*, 13-14 March 2015, Aarhus University, Denmark.

'Deconstruction and Reconstruction of the "Comply or Explain" Principle in EU Capital Markets', *SIDE 10<sup>th</sup> Annual Conference*, 18-20 December 2014, Sapienza University of Rome, Italy.

'Compliance, Communication and Engagement in EU Capital Markets: the Importance of National Dialogue Mechanisms', *Northumbria Conference in International Commercial Law*, 14 November 2014, University of Northumbria, UK (invited).

'The Challenging Issue of Institutional Shareholder Engagement in EU Corporate Law: Perfectible Solutions and Perspectives for Reform', *Legal Research Network 7th Annual Conference "The Interface of European and National Law"*, 3-4 September 2014, University of Bristol, UK.

'EU Corporate Governance: the Ongoing Challenges of the "Institutional Investor Activism" conundrum', *Research Seminar Series 2013-2014*, 5 February 2014, University of Bristol, UK.

'The Evolution of Monitoring Mechanisms in Corporate Governance Statements: An Antidote to Deficient Transparency?', *SASE 25th Annual Conference "States in Crisis"*, 27-29 June 2013, University of Milan, Italy.

'Monitoring mechanisms: a panacea for the shortfalls of soft law measures?', *International conference*

“*Current Challenges in Corporate Governance: Between Regulatory Compliance and Shareholder Activism*”, 20 June 2013, University of Bedfordshire, UK.

‘EU Corporate Governance: A New Supervisory Mechanism for the ‘Comply or Explain’ Principle?’, *7th International Finance Conference “Current issues in international financial markets: assessments and modeling”*, 7-9 March 2013, University Cergy-Pontoise and ISC, Paris, France.

‘The UK Stewardship Code: Bridging the Gap Between Companies and Institutional Investors’, International Roundtable “*Gouvernance: Quelle contribution des investisseurs institutionnels?*”, University of Montreal, 2 November 2012, Canada (invited).

‘European Corporate Governance Framework: Towards an Optimal Monitoring of the “Comply or Explain” Principle’, *4th Cambridge International Regulation and Governance Conference “More regulation or Better Stewardship? Optimising the means and ends of Good Governance”*, 6 September 2012, Queen’s College, University of Cambridge, UK.

‘Towards a More Enforceable Status of Soft Law Measures in Corporate Governance’, *CRiL Seminar Series 2012-2013*, University of Bedfordshire, 18 January 2012, United Kingdom.

‘CEO Remuneration: Recent Developments and Possible Evolution in EU Law’, *Lunchtime Seminar Series*, University of Luxembourg, 9 February 2011, Luxembourg (invited).

‘*Soft Law* vs. *Hard Law* in EU law: the Example of Corporate Governance’, European and Comparative Law Research Center Lectures, University Paris Ouest Nanterre La Défense, 4 March 2011, France (invited).

## **RESEARCH GRANT FUNDING**

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Recipient of a Research Grant by the Global College of Law, Université Catholique de Louvain (UCL)

Research project : ‘Social Enforcement of Shareholder Duties’

Duration: December 2018

Grant: 1,400£ (1,600€)

Recipient of the College REF Contingency Fund, College of Social Sciences, University of Glasgow

Research project : ‘Social Enforcement of Shareholder Duties’

Duration: November 2018 – February 2019

Grant: 1,000£

Recipient of the College REF Contingency Fund, College of Social Sciences, University of Glasgow

Research project : ‘The Wates Principles’

Duration: May 2018

Grant: 1,000£

Recipient of the College Strategic Research Major Initiatives Fund, College of Social Sciences, University of Glasgow

Research project : ‘Enforcement Strategies in Financial Law’

Duration: November 2016 – November 2017

Grant: 5,000£

Co-Investigator (20%): Research project ‘Shareholder Duties’, YDUN Grant, Danish Council for Independent Research, Ministry for Higher Education and Science, October 2014

Principal Investigator: Professor Hanne S. Birkmose, Aarhus University, Denmark

Duration: January 2015 – June 2018

Grant: 458,832.80£ (4,328,153 DKK) [Personal budget: 40,246£]

Recipient (Principal Investigator) of the Special Grant 2011/2012 under the Special Grant and Support Program for Scholars’ Association Members of the Alexander S. Onassis Foundation (award and publication of a PhD thesis which has received recognition in the academic community), Greece

Duration: March 2013 (the grant was awarded in 2013 and was entirely used for the publication of my first monograph)

Grant: 5,000£ (6,200 €)

## **DISTINCTIONS AND AWARDS**

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|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2018        | Exceptional Contribution (Performance Development Review 2017-18), University of Glasgow                                                                                                                                                            |
| 2017        | Exceptional Contribution (Performance Development Review 2016-17), University of Glasgow                                                                                                                                                            |
| 2011        | PhD award in Private Law <i>Prix Solennel André Isoré</i> 2011 (award for the best PhD in Private Law amongst all the PhD’s awarded from Parisian Universities during 2010) from the <i>Chancellerie des Universités de Paris</i> (France) 10,000 € |
| 2004 – 2008 | PhD Scholarship - Alexander S. Onassis Foundation (Greece) 50,000 €                                                                                                                                                                                 |
| 2004 – 2008 | PhD Scholarship - Vardinoyannis Foundation (Greece) 8,000 €                                                                                                                                                                                         |
| 2002 – 2003 | LLM Scholarship - Alexander S. Onassis Foundation (Greece) 14,000 €                                                                                                                                                                                 |

## **CONFERENCE/SEMINAR/WORKSHOP ORGANISATION**

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| 12/18 | 3 <sup>rd</sup> International Conference on European Company Law and Corporate Governance, 6-7 December 2018, University of Zagreb, Croatia. |
| 11/18 | Conference ‘A Code of Corporate Governance for Large Private Companies’, 7 November 2018, University College London, UK.                     |
| 05/18 | Conference “Shareholder Engagement: Opportunities and Challenges”, European Parliament, Brussels, Belgium.                                   |
| 09/17 | International Conference “ <i>Enforcing Shareholder Duties</i> ”, University of Glasgow, UK.                                                 |
| 07/17 | Mini-Conference Panel “ <i>Shareholders Duties and Sustainability</i> ”, Europeanist                                                         |

Conference, University of Glasgow, UK.

- 12/16 International Workshop “*Enforcement Strategies in Capital Markets and Banking Law*”, University of Glasgow, UK.
- 01/16 International Workshop “*Enforcement Strategies in Financial Law*”, University of Glasgow, UK.
- 06/13 International Conference “*Current Challenges in Corporate Governance: Between Regulatory Compliance and Shareholder Activism*”, University of Bedfordshire, 20 June 2013, UK.

## **EXTERNAL RECOGNITION/ESTEEM INDICATORS**

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- 10/19 Visiting Professor, University of Trento, Italy  
(intensive course in EU Company Law)
- 03/19 Visiting Professor, Sciences Po Lyon, France  
(20h intensive course in Comparative Company and Business Law)
- 02/19 Visiting Professor, University of Alcalá, Spain  
(20h intensive course in Comparative Company and Business Law)
- 11/18 Visiting Professor, Louvain Global College of Law Fellow, Université Catholique de Louvain (UCL), Belgium (8h lectures and seminars)
- 10/18 Invited by Mrs Sarah Wilson, CEO of Minerva Analytics Ltd (formerly Manifest) to become member of Minerva’s newly established Advisory Board so as to guide the next stage of their policy development.
- 08/18 Member of the Peer Review College of the UK Research and Innovation Future Leaders Fellowships programme
- 06/18 Visiting Professor, Aarhus University, Denmark
- 05/18 Founding Member and Executive Board Member of the Transnational Network of Banking & Financial Law (*Réseau Transnationale en Droit Bancaire et Financier*)
- 03/18 Invited by the Financial Reporting Council (FRC) to provide themes/ideas that should be considered in developing corporate governance principles for large private companies and to present to the inaugural FRC event (May 2018).
- 01/18 Visiting Professor, Aarhus University, Denmark
- 12/17 Distinguished Reviewer Certificate, Corporate Ownership & Control Journal
- 12/17 Visiting Lecturer, Free University of Bozen, Italy
- 10/17 Elected Executive Board Member of the International Association of

	Economic Law (AIDE)
05/17	Member of Appointment Committee, Aarhus University, Denmark
2017	Peer Reviewer, Economic and Social Research Council (ESRC) and <i>Fonds National de la Recherche Luxembourg</i> (FNR)
2017	Member of the Editorial Board, <i>Corporate Governance and Sustainability Review</i>
2016	Member of the Editorial Board, <i>Corporate Ownership &amp; Control</i>
2016	International Expert of the National Center for Educational Quality Enhancement of Georgia (evaluation of academic programs)
2016 – 2017	Visiting Lecturer, Leuphana University of Lüneburg, Germany (20h LLM intensive course in EU Company Law)
2014 –	Permanent contributor to the <i>International Review of Financial Services</i> (RISF) [Bruylant]
2012 –	Affiliated Scholar of the Centre for the Law of Business and International Trade (CDACI), University of Montreal, Canada.
2011 – 2014	Editor of a presentation of the latest developments in EU Financial Markets Law in the renowned French Journal for Financial Law <i>Bulletin Joly Bourse</i> .

## PUBLIC ENGAGEMENT/IMPACT

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### 2019

- Written evidence to the open consultation of the Financial Reporting Council on the revision of the UK Stewardship Code.

### 2018

- Written evidence to the *Consulta Pública CNSF - Anteprojeto para transposição da Diretiva dos Acionistas*.
- Written evidence to the open consultation in relation to the *Gesetz zur Umsetzung der zweiten Aktionärsrechterichtlinie* (ARUG II).
- Written evidence to the open consultation of the *Ministero dell'Economia e delle Finanze* (MEF) *per la trasposizione della SHRD II*.
- Influenced decisively Minerva Analytic Ltd's, *Assonime's* (Association of Italian Joint Stock Companies) and *Confindustria's* (General Confederation of Italian Industry) position in relation to the Italian transposition of the Shareholder Rights Directive: **REF 2021 impact case study based on 2 research outputs.**

- Invited by Westminster Business Forum to participate to the Keynote Seminar 'Next Steps for the Financial Reporting and Corporate Governance Powers in the UK - Accountability, Stewardship and the Future for Regulation' on 28 February 2019.
- Invited by the Financial Reporting Council (FRC) to provide themes/ideas that should be considered in developing corporate governance principles for large private companies and to participate (as representative of the academic community) to the FRC event for the promotion of this new voluntary Code on 29 May 2018.
- Influenced decisively the FRC's policy making agenda via the proposal for inclusion of advisory committees as an option for private companies in the Wates Principles (the FRC followed my recommendation by adding this option to the Principles on 13 June 2018):  
**Impact case study**
- Written evidence to the open consultation of Independent Review of the Financial Reporting Council conducted by BEIS.
- Written evidence to the open consultation of the Financial Reporting Council on the new voluntary code for large private companies (Wates Principles).
- Written evidence to the open consultation of the Financial Reporting Council on the revision of the UK Corporate Governance Code.
- Written evidence to the open consultation on the revision of the *Code de gouvernement d'entreprise Afep-Medef*.
- Organization of a conference on the Shareholder Rights Directive with MEPs, AFME, FRC representatives and various market actors (issuers, asset managers and proxy advisors) at the European Parliament, Brussels.

## 2017

- Written evidence to the open consultation of Best Practice Principles for Shareholder Voting Research Providers.

## REFEREE

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### Book publishers

Edward Elgar, Routledge

### Academic Journals

Accounting, Economics and Law: A Convivium / Capital Markets Law Journal / Corporate Ownership & Control / Corporate Board: Role, Duties and Composition / European Business Law Review / European Company and Financial Law Review / European Journal of Comparative Law and Governance / Geopolitics Under Globalization / Journal for International and European Law, Economics and Market Integrations / Managerial Auditing Journal / Oxford

Journal of Legal Studies / Regulation & Governance / Risk Governance & Control: Financial Markets & Institutions.

*Conferences (Member of the Scientific Committee)*

International conference “Corporate Governance, Financial Reporting and Tax Systems”, 23-24 May 2019, Wroclaw University of Economics, Poland.

3<sup>rd</sup> International Conference on European Company Law and Corporate Governance, 6-7 December 2018, University of Zagreb, Croatia.

International conference “Reporting, Investor Relations, Capital Markets – Challenges and Opportunities in Financial Communication”, 10 November 2016, Leipzig Graduate School of Management, Germany.

International workshop “Corporate Accountability: Major Actors, Innovative Instruments and Performance”, 24 November 2016, ISTECS Paris, France.

## **Ph.D SUPERVISION**

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*Current PhD supervision:* Xiayang Chen (University of Glasgow, since 09/16).

*External examiner:* Daniel Cash (University of Durham, 10/16); Eliana Colarusso (University Roma Tre, 06/17); Luz Maria Garcia Martinez (Complutense University of Madrid, 06/17); Imke Graeff (University Paris 1 Panthéon-Sorbonne - ESCP Europe, 11/17); Jesús Jimeno (University of Alcalá de Henares, 02/18).

*Internal examiner:* Ms Natalia Wojtyla (12/16), Mr Chi Zhang (University of Glasgow, 12/16), Ms Yaqi Ding (02/18).

*Former PhD supervision:* Mrs Samza Fatima (University of Bedfordshire, 01/13 – 08/13); Mr Abdulattif Aleshaikh (University of Glasgow, 09/15 – 04/18).

## **MEMBERSHIPS**

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*Centre de Droit des Affaires et du Commerce International (CDACI), Montréal*  
European Corporate Governance Institute (ECGI)  
Italian Society of Law and Economics (ISLE - SIDE)  
International Association of Economic Law (AIDE)  
Nordic Corporate Governance Network (NCGN)  
Nordic Network for Capital Market Law (NKN)  
*Réseau Transnational en Droit Bancaire et Financier (RTDBF), Montréal*  
Society for the Advancement of Socio-Economics  
Society of Legal Scholars  
Sustainable Market Actors Network (SMART), University of Oslo  
UK Research and Innovation Future Leaders Fellowships – Peer Review College

## UNIVERSITY ADMINISTRATION/LEADERSHIP ROLES

- 2018 – Founding Member and Executive Board Member of the Transnational Network of Banking & Financial Law (*Réseau Transnational en Droit Bancaire et Financier*)
- 2017 – School Executive Group Member, University of Glasgow
- 2017 – Director of Internationalisation, School of Law, University of Glasgow
- 2017 – Member of the Executive Board of the International Association of Economic Law (AIDE)
- 2016 – LLM Director (Corporate and Financial Law), University of Glasgow
- 2015 – SLS Council Member, University of Glasgow Representative
- 2014 – 2015 Deputy LLM Director, University of Bristol
- 2014 – 2015 Research Seminar & Visiting Scholars Coordinator, University of Bristol
- 2014 – 2015 Oxford French Law Moot Competition, Assistant Co-ordinator, Bristol team
- 2011 – 2013 LLM Director (International Commercial Law), University of Bedfordshire

## EXTERNAL APPOINTMENTS

- 2018 – Member of the Advisory Board, Minerva Analytics Ltd.
- 2018 – External Examiner LLM, BPP University
- 2016 – 2020 External Examiner LLM, Durham University
- 2015 – 2019 External Examiner LLM, University of Edinburgh
- 2014 – 2018 External Examiner LLB and LLM, University of Westminster
- 2012 – 2016 External Examiner LLB, De Montfort University

## PROFESSIONAL QUALIFICATIONS

- 2014 – Fellow of the Higher Education Academy
- 2004 – Qualified Advocate (Athens) (Exam Results: 8.89/10)

## LANGUAGES

English	speaking (fluent), reading (fluent), writing (fluent)
French	speaking (fluent), reading (fluent), writing (fluent)
German	speaking (basic), reading (basic), writing (basic)
Greek	speaking (native), reading (native), writing (native)
Italian	speaking (fluent), reading (fluent), writing (fluent)
Spanish	speaking (basic), reading (basic), writing (basic)