

CHAO XI, Professor, PhD, MCI Arb

*Curriculum Vitae*  
(As of November 2021)

**OFFICE ADDRESS**

Professor Chao Xi, Professor of Law and Associate Dean (Research), Faculty of Law, The Chinese University of Hong Kong, Shatin, N.T., Hong Kong SAR; Tel. +852 3943 1142, Email: [chaoxi@cuhk.edu.hk](mailto:chaoxi@cuhk.edu.hk).

**ACADEMIC APPOINTMENTS AND SERVICES**

- Professor of Law (2015-present) and Vice Chancellor's Outstanding Fellow (2016-present), Faculty of Law, The Chinese University of Hong Kong
- Associate Dean (Research) of the CUHK Faculty of Law and Head of the CUHK Graduate Division of Law (2019-present)
- Director, Chinese Law Programme, CUHK Hong Kong Institute of Asia-Pacific Studies (2012-present)
- Professorial Research Associate, SOAS, University of London (2012-present)
- Director and (Honorary) Treasurer, European China Law Studies Association (ECLS) (2013-present)
- Research Fellow, PRC Ministry of Education Key Research Centre of Humanities and Social Sciences – Renmin University Centre for Civil and Commercial Law (2012-present)
- Chairman, CUHK Graduate School Disciplinary Committee (2015-2017)
- Assistant Dean (Graduate Studies) & Director of LLM Programmes in Common Law, International Economic Law, and Chinese Business Law, CUHK Faculty of Law (2013-2017)
- CUHK Coordinator, HKSAR Department of Justice Training Scheme in Common Law for Mainland Legal Officials (2012-2017)
- Visiting Professor, Durham University Law School (UK)
- Visiting Professor, University of Helsinki Law Faculty (Finland)
- Visiting Professor, National University of Law Delhi (India)

**EDUCATIONAL QUALIFICATIONS**

- PhD in Law (University of London)
- LLM in Commercial and Corporate Law (University of London)
- LLB (Sun Yat-Sen University)

## PROFESSIONAL QUALIFICATIONS AND APPOINTMENTS

- Member of the Chartered Institute of Arbitrators (UK)
- Expert People's Assessor, The People's Court of Qianhai, Shenzhen (2018-present) (sitting in that capacity on the bench hearing cases)
- Listed Arbitrator, Shenzhen Court of International Arbitration (chairing panels in over 60 arbitration cases)
- Listed Arbitrator, Harbin Arbitration Commission
- Listed Arbitrator, Jinan Arbitration Commission
- Listed Arbitrator, Nanjing Arbitration Commission

## LIST OF PUBLICATIONS

### Books Authored

- *Doing Business in China (Fourth Edition)* (London: Routledge, 2017) (hardback and paperback) (with Tim Ambler & Morgen Witzel)
- *Corporate Governance and Legal Reform in China* (London: Wildy, Simmonds & Hill Publishing, 2009)
- *Doing Business in China (Third Edition)* (London: Routledge, 2009) (hardback and paperback) (with Tim Ambler & Morgen Witzel)

### Edited Volumes & Special Issues

- *Cambridge Handbook on Shareholder Voting and Engagement* (under contract with the Cambridge University Press, 2022 forthcoming) (with Harpreet Kaur, Christoph Van del Elst, and Anne Lafarre)
- *Big Data and Judicial Studies in China* (special issue with *The China Review* May 2019 pp. 1 – 176) (with Björn Ahl and Lidong Cai)
- *Legal Dimensions of the Belt and Road Initiative* (Wolter Kluwers, 2016) (with Lutz-Christian Wolff)

### Refereed Journal Articles and Book Chapters

- 'Does Securities Enforcement Improve Disclosure Quality? An Examination of Chinese Listed Companies' Restatement Activities' 67 *Journal of Corporate Finance* (2021) (with Ning Cao and Paul B. McGuinness)
- 'Are US-Listed Chinese Firms a Minefield? A Board Perspective' 54 *The International Lawyer* (2021) 201 (with Yurong Huang)
- 'Financial Regulation as Interagency Competition? The Saga of Venture Capital Rule-making in China', in Douglas Arner, Wai Yee Wan, Andrew J. Godwin and Wei Shen (eds.) *Research Handbook on Asian Financial Law* (Edward Elgar, 2020) 499 (with Sirui Han)
- 'Shareholder Voting and Corporate Sustainability in China', in Beate Sjøfjell and Christopher Bruner (eds.) *Cambridge Handbook of Corporate*

*Law, Corporate Governance and Sustainability* (Cambridge University Press 2019) 431

- ‘A Study on the Venture Capital Laws and Regulations in the EU and US: Implications for China’, 100 *Peking University Financial Law Review* (2019) 188 (with Sirui Han)
- ‘Greater Transparency, Better Regulation? Evidence from Securities Enforcement Actions’ 14 *Journal of Comparative Law* (2019) 350 (with Ning Cao)
- ‘Data-Driven Approaches to Studying Chinese Judicial Practice: Opportunities, Challenges, and Issues’ (2019: Issue 2) 19 *The China Review* 1 (with Björn Ahl and Lidong Cai)
- ‘The Revolving Door: Does it Have an Impact on Public Securities Enforcement?’ 12 (2018: Issue 4) *Tsinghua University Law Journal* 6 (lead article) (with Ning Cao & Haochuan Gong)
- ‘Public Enforcement of Securities Laws: A Case of Convergence?’ in Yun Zhao and Michael Ng (eds.) *Chinese Legal Reform and the Global Legal Order: Adoption and Adaptation* (Cambridge University Press, 2017) 81 (with Xuanming Pan)
- ‘Shadow Banking in China: Then and Now’ (2017) 28 *Journal of Banking and Finance Law and Practice* 146 (with Le Xia)
- ‘Research on the Regulation of Foreign Mergers and Acquisitions’ in Shanmin Li et al, *Foreign Mergers and Acquisitions and China’s Industrial Security* (Economic Science Press, 2017) 265 (with Ziqiang Wan, Shanmin Li, and others)
- ‘Legal and Regulatory Risks of “Belt of Road” Countries: An Index-Based Approach’ in Lutz-Christian Wolff and Chao Xi (eds.), *Legal Dimensions of China’s One Belt One Road Initiative* (Wolters Kluwer, 2016) 33
- ‘Financial Infrastructure of B&R: The Asian Infrastructure Investment Bank – Governance Issues’ in Lutz-Christian Wolff and Chao Xi (eds.), *Legal Dimensions of China’s One Belt One Road Initiative* (Wolters Kluwer, 2016) 341
- ‘Why Has Basel III Become Hard Law for China? The Domestic Political Economy of International Financial Law’ in Ross Buckley, Douglas Arner and Avgouleas Emilios (eds), *Rethinking Global Finance and Its Regulation* (Cambridge University Press, 2016) 91
- ‘The Political Economy of Takeover Regulation: What Does the Mandatory Bid Rule in China Tell Us?’ (2015) 58 *Journal of Business Law* 142
- ‘Ownership Bias in Takeover Approvals? A Study on the Regulatory Waivers of the Mandatory Takeover Bid’ (in Chinese) (2015) 10(4) *China Management Studies* 1 (with Li Shanmin, Wan Ziqiang, and Shi Xinxiang) (lead article)
- ‘From Rule-Taker to Rule-Maker: China and International Banking Regulation’ in Friedl Weiss and Kammel Armin (eds.) *The Changing*

*Landscape of Global Financial Governance and the Role of Soft Law* (Brill, 2015) 312

- ‘Does Cumulative Voting Matter? The Case of China: An Empirical Assessment’ (2014) 15 *European Business Organization Law Review* 585 (with Yugang Chen)
- ‘Domestic Politics as International Norms: China’s Changing Roles in International Banking Regulation’ (2014) 30 *Banking and Finance Law Review* 69
- ‘The Political Economy of Cumulative Voting: The Case of China’ (2014) 14 *The Asian Business Lawyer* 61
- ‘*Ralls Corporation v Committee on Foreign Investment in the United States*: National Security Review in the United States and its Implications for China’ (2014) 54 *Journal of Sun Yat-Sen University (Social Science Edition)* 199 (with Li Shanmin and Wan Ziqiang)
- ‘Local Courts as Legislators? Judicial Lawmaking by Sub-National Courts in China’ (2012) 33 *Statute Law Review* 39
- ‘The Rise and Decline of the Reversal of the Burden of Proof in China’s Medical Negligence Law: A Political Economy of Lawmaking Perspective’ (2012) 12 *The China Review* 33 (with Lixin Yang)
- ‘Las Instituciones Gubernamentales’, in Gabriel García-Noblejas (ed), *China. Pasado y Presente de una Gran Civilización* (Madrid: Alianza Editorial, 2012) 221
- ‘Piercing the Corporate Veil in China: How Did We Get There?’ (2011) 55 *Journal of Business Law* 413
- ‘Medical Liability Laws in China: The Tale of Two Regimes’ (2011) 19 *Tort Law Review* 65 (with Lixin Yang)
- ‘Qualified Domestic Institutional Investors’ in Lutz-Christian Wolff (ed), *China Outbound Investments* (Hong Kong: CCH, 2011) 71
- ‘National Reports: The People’s Republic of China’ in Christopher Hodges, Stefan Vogenauer and Magdalena Tulibacka (eds), *The Costs and Funding of Civil Litigation: A Comparative Perspective* (Oxford: Hart, 2010) 261 (with Michael Palmer)
- ‘Who Writes Corporate Law Rules? The Making of the ‘Piercing the Corporate Veil Rule’ as a Case Study’ in Guanghua Yu (ed), *The Development of the Chinese Legal System: Change and Challenges* (London: Routledge, 2010) 159
- ‘The Globalization of Class Actions: China’ (2009) 622 *The Annals of the American Academy of Political and Social Sciences* 270 (with Michael Palmer)
- ‘Foreign Solutions for Local Problems? The Use of US-Style Fiduciary Duties to Regulate Agreed Takeovers in China’ (2008a) 6 *Journal of Chinese Economic and Business Studies* 407
- ‘In Search of an Effective Monitoring Board Model: Board Reforms and

the Political Economy of Corporate Law in China' (2006) 22 *Connecticut Journal of International Law* 1 (lead article)

- 'Institutional Shareholder Activism in China: Law and Practice (Part 1)' (2006) 17 *International Company and Commercial Law Review* 251
- 'Institutional Shareholder Activism in China: Law and Practice (Part 2)' (2006) 17 *International Company and Commercial Law Review* 287
- 'Private Enforcement of Securities Law in China: *Daqing Lianyi Co v ZHONG Weida and Others* (2004) Heilongjiang High Court' (2006d) 1 *Journal of Comparative Law* 492
- 'Transforming Chinese Enterprises: Ideology, Efficiency and Instrumentalism in the Process of Reform' in John Gillespie and Pip Nicholson (eds), *Asian Socialism and Legal Change: The Dynamics of Vietnamese Renewal and Chinese Reform* (Canberra: ANU Press & Asia Pacific Press, 2005a) 91
- 'Letter of Credit Fraud: A Legal Perspective' (2001) 18 *Guangdong Social Sciences* 113-119

## **EXTERNALLY COMPETITIVE RESEARCH GRANTS**

- Principal Investigator, Hong Kong SAR Research Grants Council General Research Fund (GRF), 2019-2021, 'Corporate Boards in China', HK\$ 767,494
- Principal Investigator, GRF, 2017-2010, 'Shareholder Voting in China', HK\$983,500
- Principal Investigator, GRF, 2014-2017, 'Public Enforcement of Securities Laws in China', HK\$734,750
- Principal Investigator, GRF, 2012-2015, 'The Political Economy of Corporate Law Reform in China: The Rise and Decline of the UK-Style Mandatory Bid Rule as a Case Study', HK\$467,059
- International Principal Investigator, 'Re-examining Shareholder Voting and Engagement in Emerging Economies of PR China and India', Scheme for Promotion of Academic and Research Collaboration, the Government of India, 2019-2020, INR ₹ 2,284,070
- Co-Principal Investigator, 'Foreign M&A and National Industrial Security in China', PRC Ministry of Education Key Projects of Philosophy and Social Sciences Research, PRC Central Government, 2012-2014, RMB¥800,000
- Principal Investigator, 'A Study on the Law and Practice of the Mandatory Bid Rule in Japan: Policy Implications for China', The Sumitomo Foundation Grant for Japan-Related Research Projects, 2011-2012, US\$9,000

## **EDITORSHIPS**

- Hong Kong/China Section Editor, *Journal of Banking and Finance Law and Practice* (Thomson Reuters)
- China Law Editor, *Hong Kong Law Journal* (Sweet & Maxwell) (SSCI-indexed)
- Editorial Board Member, *China-EU Law Review* (Springer)
- Editorial Board Member, *China Law and Society Review* (Brill)
- Editorial Board Member, *The China Review* (CUHK Press) (SSCI-indexed)

## **AWARDS**

- CUHK Vice-Chancellor's Exemplary Teaching Award 2017
- CUHK Vice-Chancellor's Exemplary Teaching Award 2010
- CUHK Research Excellence Award 2009-2010
- CUHK Young Researcher Award 2011

## **PUBLIC SERVICES**

- Member, Assessment Panel of the Public Policy Research (PPR) Funding Scheme and the Strategic Public Policy Research (SPPR) Funding Scheme, managed by Hong Kong SAR Government Policy Innovation and Co-ordination Office (2019-present)