



## Seminar 研討會

**AI Compliance for Listed Companies**

The old question—"Did you use AI?"—is obsolete. Regulators now demand a more precise answer: "How did you use AI—and can you prove it?" The focus has shifted from disclosure to traceability and evidence.

30 April 2026  
 4:30 p.m. - 6:00 p.m.  
 CHKLC  
 1.5 CPT Hours

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### **Introduction 簡介:**

Is your board still asking, "Did we use AI?" Regulators have moved on. The HKEX Annual Report Review 2024 made clear that boilerplate disclosures are no longer sufficient. Although this applies most directly to how issuers frame material matters, formal rules with precise traceability requirements are still evolving in a clear direction. For all listed companies, the question regulators will increasingly expect you to answer is "How did you use AI, and can you prove it?"

Investor Relations, Financial Reporting, and Company Secretarial functions face the greatest exposure due to their direct role in public disclosures, regulatory submissions and board-level governance.

The organizations best positioned will be those that implement proportionate traceability—scaling documentation and human review based on materiality, rather than applying blanket requirements that create operational drag.

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### **In this seminar, we will discuss:**

#### **The New Standard: MHIC (Minimum Human Intellectual Contribution)**

The seminar introduces MHIC as the defensible standard for compliance. It measures whether the human led the AI (active intellectual leadership) rather than the AI leading the human (passive acceptance).

### 👉 AI Proficiency is Now a Baseline

AI expertise is no longer a "differentiator" but a baseline qualification for professional roles. However, capability without governance is a liability. Organizations must ensure teams use AI responsibly with documented oversight.

### 👉 High-Risk Functions Require Immediate Attention

While AI auditability is a broad concern, five functions face the most urgent regulatory exposure:

- Investor Relations & Corporate Communications (press releases, earnings scripts)
- Company Secretariat (board minutes, circulars)
- Financial Reporting & Audit (traceability from AI output to human review)
- Investment & Treasury (AI-generated research)
- Risk Management & Internal Audit (monitoring and governance frameworks)

### 👉 Regulators Expect Five Key Elements

Across HKEX, SFC, and overseas regulators, the expectations converge on:

- Documentation (records of tools, purposes, and AI vs. human outputs)
- Human Oversight (evidence of review and sign-off)
- Traceability (ability to reconstruct the workflow)
- Third-Party Oversight (vendor AI governance)
- Policies & Procedures (specific to generative AI, not generic)

📅: 30 April, 2026

🕒: 4:15pm–4:30pm — Registration  
4:30pm–6:00pm — Seminar

📍: CHKLC - Room 3710, 37th Floor, Hopewell Centre, 183 Queen's Road East, Wanchai, Hong Kong

💰: Chamber's Member: HKD\$200 | Non-member: HKD\$280

🗣️: English

📖: 1.5 CPT Hours

**Speaker 講者 :**



Julian So is a Chief Architect of ARC, a lawyer by training, having qualified in Singapore, Hong Kong, and the UK. After practicing law in Singapore and Hong Kong, he also spent more than a decade in investment banking, having held senior positions in UBS, RBS, and Morgan Stanley. He specializes in banking, private finance, and securitisation. Recently, he also held positions as Vice Chair and Chairman of public and listed companies in the AI, blockchain, and fintech industries.

## About Company

Apex Research Collective (ARC) is an AI native auditable research institution based in Hong Kong, designed for clarity driven decision makers in fast moving markets. It specialises in synthesising complex information into concise executive reports, underpinned by transparent, traceable methodologies and AI augmented reasoning frameworks that can be independently reviewed and validated.

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