



KOGOD SCHOOL of BUSINESS
 AMERICAN UNIVERSITY • WASHINGTON, DC

H. KENT BAKER

University Professor of Finance

January 16, 2024

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EDUCATION

1985-1989	Ph.D.	American University, Counseling and Development
1982-1984	M.A.	American University, Training and Career Development
1979-1983	Ph.D.	American University, Educational Administration
1976-1979	CMA	Institute of Management Accountants
1976-1979	M.S.	American University, Quantitative Methods
1974-1978	CFA	The CFA Institute
1972-1974	MEd	University of Maryland, Educational Administration
1969-1972	DBA	University of Maryland, Finance
1967-1969	MBA	University of Maryland, Finance
1963-1967	BSBA	Georgetown University, Management

ACADEMIC AND ADMINISTRATIVE EXPERIENCE

1975-date University Professor of Finance (1993-present), Kogod Research Professor (2009-2012), Professor of Finance (1980), and Associate Professor of Finance (1975-1976), Kogod School of Business, American University, Washington, DC Chair, Department of Finance and Real Estate, Spring 1979, 1981-1982, Spring 1983, and 1986-1995, and Director, Finance Center of Excellence, Fall 1987-1995.

Graduate courses: Advanced Financial Management, Advanced Investment Analysis, Analytical Tools in Finance and Economics, Financial Management, Financial Management for Human Resource Development, Long-Term Capital Management, Long-Term Financial Strategies, Seminar in Finance, Strategic Decision Making in a Global Environment II, and Working Capital Management.

Advanced undergraduate and graduate courses: CFA® Level I Intensive Review and International Finance.

Undergraduate courses: Corporate Finance, Financial Decision Making (later renamed Intermediate Corporate Finance), and Personal Finance.

1972-1975 Assistant Professor of Finance and Assistant Dean (1972-1974), School of Business Administration, Georgetown University, Washington, DC

Coordinated the undergraduate business program, student records, academic counseling, and office supervision.

Undergraduate courses: Advanced Financial Management, Business Financial Management, Personal Finance, Principles of Investment, and Security Analysis.

1969-1972 Instructor and Assistant to Dean, College of Business and Public Administration, University of Maryland, College Park, Maryland.

Responsible for academic counseling, office supervision, and special projects.

Undergraduate courses taught: Principles of Finance.

BOARDS OF DIRECTORS AND LEADERSHIP POSITIONS

2015 Southern Finance Association, Track Chair, Corporate Finance Chair, Best Paper in Corporate Finance Award Committee

2014 Financial Management Association, Chair, Best Paper in Corporate Finance Award Committee

2010-2013 Southern Finance Association, Board of Directors

2011-2012 Southern Finance Association, Chair, Nominations Committee

2010-2011 Southern Finance Association, President

2009-2010 Southern Finance Association, Vice President - Program

1998-2010 Washington Area Finance Association, Board of Directors and Vice President

1994-2011 International Montessori Accreditation Council

2000-2004 Eastern Finance Association, Board of Directors

1994-1996 Southern Finance Association, Board of Directors

1979-1991 Children's Television International Inc., Board of Directors and Treasurer

1979-1982 American University Employees' Federal Credit Union, Chair, Membership Committee

1978-1979 International Instructional Television Cooperative, Inc., Board Member

1966-1970 District of Columbia National Bank, Advisory Board Member and Advisory Director

CONSULTING AND TRAINING EXPERIENCE

Consultant or trainer in more than 800 programs for over 100 organizations in the United States, Canada, and Europe, including:

Business

Allegis Group

AT&T

ARAMCO Services Company

Corporation for Public Broadcasting

Ibbotson Associates

J. C. Bradford & Co.

National Public Radio

Ruben H. Donnelly Corporation

Ernst & Young
Fairchild Industries
Gilbane Construction Company

Pension Benefit Guarantee Corporation
Penton Learning Systems
Washington Hospital Center

Government

Central Intelligence Agency
Comptroller of the Currency
County of Fairfax, Virginia
Farm Credit Administration
Federal Home Loan Bank
Federal Judiciary
General Services Administration

Metropolitan Washington Council of Governments
U.S. Department of Health and Human Services
U.S. Department of Justice
U.S. Department of the Navy
U.S. Small Business Administration

Associations and Institutes

American Bankers Association
American Council on Education
American Society of Association
Executives
Armed Forces Communications
Electronics Association
Association of American Railroads
International
Institute of Management Accountants

Mortgage Bankers Association
National Association of Furniture Manufacturers
National Association of Securities Dealers
National Parking Association
North Carolina Textile Services Association
Textile Rental Service Association
The CFA Institute
Uniform and Textile Service Association
U.S. Feed Grains Council

Educational

American University
Baldwin-Wallace College
Bentley College
California Institute of Technology
College of William and Mary
Gallaudet University
Georgetown University
Marymount University
New Hampshire College
Northwestern University/National
Trust School

St. Cloud University
Texas Tech University
University of Connecticut
University of Maryland
University of North Carolina
University of Oklahoma/National Commercial
Lending Graduate School
University of Tulsa
Vanderbilt University

CFA Programs

Credit Suisse
Fidelity Investments
Goldman Sachs
Investment Analysts Society of Chicago
Kaplan Schweser
New York Society of Security Analysts
Study Seminar for Financial Analysts
The CFA Society of Washington
UBS
World Bank

Law Firms

Gibson, Dunn & Crutcher
Vinson & Elkins

Field Study Advisor (14)

Served as the faculty advisor for 14 MBA field study (consulting practicum) projects.

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| 1 Atcall | 1 Sunflower Bakery |
| 1 Computer Training Services, Inc. | 1 Total Crafts |
| 2 Greater Washington Society of Association Executives | 2 Treasury Management Association |
| 1 Packaging Machinery Manufacturers Institute | 2 Uniform and Textile Service Association |
| 1 Pardoe Real Estate, Inc. | 1 U-Store |
| | 1 Washington Assessment and Therapy Services |

THESIS AND DISSERTATIONS (4)

An Assessment of the Need for and Use of Selected Graduate Student Services at The American University. Ph.D. dissertation, American University, 1989.

The Impact of Collective Bargaining on Faculty Compensation in Higher Education. Ph.D. dissertation, American University, 1983.

Treasury Bill Efficiency and Federal Reserve Discount Policy: An Empirical Analysis. M.S. thesis, American University, 1979.

Investment Decision Criteria: An Empirical Analysis of Common Stock Investors in Metropolitan Washington, DC. DBA dissertation, University of Maryland, 1972.

BOOKS (47)

Review of Finance Literature with Narayanage Jayantha Dewasiri and Jitender Kumar. Emerald Publishing. Under contract.

The Palgrave Handbook of Social Finance: Mobilizing Markets for Good with Greg Filbeck and Halil Kiyamaz. Palgrave Macmillan. Under contract.

The Emerald Handbook on Fintech: Reshaping Finance with Greg Filbeck and Keith Black, editors. Emerald Publishing Limited. Forthcoming October 4, 2024.

The Palgrave Handbook of Sovereign Wealth Funds with Jeffrey H. Harris and Ghiyath Nashbendi, editors. Palgrave Macmillan, 2024, xi-660.

An Advanced Introduction to Behavioral Finance with John R. Nofsinger and Victor Ricciardi. Edgar Elgar Publishing, 2023, ix-160.

Working Capital Management: Concepts and Strategies with Greg Filbeck and Tom Barkley, editors. World Scientific Publishing, 2023, xxvi-516.

The Emerald Handbook on Cryptoassets: Investment Opportunities and Challenges with Hugo Benedetti, Ehsan Nikbakht, and Sean Stein Smith, editors. Emerald Publishing Limited, 2023, xxii-398.

Sustainable Investing: What Everyone Needs to Know with Hunter M. Holzhauser, and John R. Nofsinger. Oxford University Press, 2022, xxv-243. Available on Audiobooks.com. 2022 Best Book Awards Finalist in the Business: Personal Finance/Investing Category.

The Savvy Investor's Guide to Building Wealth Through Alternative Investments with Greg Filbeck and Andrew C. Spieler. The H. Kent Baker Investments Series. Emerald Publishing Limited, 2021, xvii-212.

The Emerald Handbook of Blockchain for Business with Ehsan Nikbakht and Sean Stein Smith, editors. Emerald Publishing Limited, 2021, xxviii-433.

Corporate Fraud Exposed: A Comprehensive and Holistic Approach with Lynnette Purda-Heeler and Samir Saadi, editors. Emerald Publishing Limited, 2020. xxiii-501.

Equity Markets, Valuation, and Analysis with Greg Filbeck and Halil Kiyamaz, editors. The Wiley Finance Series, John Wiley & Sons, Inc., 2020. xxiv-424.

The Savvy Investor's Guide to Building Wealth Through Traditional Investments with Greg Filbeck and Andrew C. Spieler. The H. Kent Baker Investments Series. Emerald Publishing Limited, 2020, xxii-199.

The Savvy Investor's Guide to Avoiding Pitfalls, Frauds, and Scams with John R. Nofsinger and Vesa Puttonen. The H. Kent Baker Investments Series. Emerald Publishing Limited, 2020, xvii-188. Simplified Chinese edition published by Beijing Huazhang Graphics & Information Co. Ltd.

Debt Markets and Investments with Greg Filbeck and Andrew C. Spieler, editors. Financial Markets and Investments Series Oxford University Press, 2019, xxxv-794.

Navigating the Investment Minefield: A Practical Guide to Avoiding Mistakes, Biases, and Traps with Vesa Puttonen. Emerald Publishing Limited, 2019, xiv-199. Translated into Estonian.

The Savvy Investor's Guide to Pooled Investments – Mutual Funds, ETFs, and More with Greg Filbeck and Halil Kiyamaz. The H. Kent Baker Investments Series. Emerald Publishing Limited, 2019, xxi-198.

Behavioral Finance: What Everyone Needs to Know with Greg Filbeck and John R. Nofsinger. Oxford University Press, 2019, xvii-226. Translated into Polish by PWN (*Finanse behawioralne Co kazdy powinien wiedziec*).

Commodities: Markets, Performance, and Strategies with Greg Filbeck and Jeffrey H. Harris, editors. Financial Markets and Investments Series. Oxford University Press, 2018, xxix-634.

Hedge Funds: Structure, Strategies, and Performance with Greg Filbeck, editors. Financial Markets and Investments Series. Oxford University Press, 2017, xxxv-655. Book Excellence Award Finalist in Finance in 2018. Ranked #2 on Benzinga's The Best Hedge Funds Books list in 2019.

Financial Behavior: Players, Services, Products, and Markets with Greg Filbeck and Victor Ricciardi, editors. Financial Markets and Investments Series. Oxford University Press. 2017, xxxi-641. Translated into Chinese by the China Renmin University Press Co. Ltd. of Beijing.

Investment Traps Exposed: Navigating Investor Mistakes and Behavioral Biases with Vesa Puttonen. Emerald Publishing Limited, 2017, xii-438. 2017 Book Excellence Award Winner in Personal Finance. Bronze Medalist, 2018 Axiom Business Book Award in Personal Finance/Retirement Planning/Investing.

Mutual Funds and Exchange-Traded Funds: Building Blocks to Wealth with Greg Filbeck and Halil Kiyamaz, editors. Financial Markets and Investments Series, Oxford University Press, 2016, xxxi-628.

Private Equity: Opportunities and Risks with Greg Filbeck and Halil Kiyamaz, editors. Financial Markets and Investments Series, Oxford University Press, 2015, xxx-589. Translated into Chinese by China Financial Publishing House of Beijing. An audiobook by Recorded Books

Investment Risk Management with Greg Filbeck, editors. *Financial Markets and Investments Series, Oxford University Press*, 2015, xxxiii-672.

Public Real Estate Markets and Investments with Peter Chinloy, editors. Financial Markets and Investments Series, Oxford University Press, 2014, xvi-316.

Private Real Estate Markets and Investments with Peter Chinloy, editors. Financial Markets and Investments Series, Oxford University Press, 2014, xv-292.

Investor Behavior: The Psychology of Financial Planning and Investing with Victor Ricciardi, editors. The Wiley Finance Series, John Wiley & Sons, Inc., 2014, xv-623. Award-Winner in the Business: Personal Finance/Investing category and finalist in the Business: Reference category of the 2015 USA Best Book Awards. Translated into Chinese by the China Chemical Industry Press.

Market Microstructure in Emerging and Developed Markets with Halil Kiyamaz, editors. Robert W. Kolb Series in Finance, John Wiley & Sons, Inc., 2013, ix-534.

Alternative Investments: Instruments, Performance, Benchmarks, and Strategies with Greg Filbeck, editors. Robert W. Kolb Series in Finance, John Wiley & Sons, Inc., 2013, ix-638.

Portfolio Theory and Management with Greg Filbeck, editors. Financial Markets and Investments Series, Oxford University Press, 2013, xxxii-767.

Survey of International Finance with Leigh A. Riddick, editors. Oxford University Press., 2013, xxi-676.

Socially Responsible Finance and Investing with John R. Nofsinger, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2012, ix-515.

Capital Budgeting Valuation: Financial Analysis for Today's Investment Projects with Philip English, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011, ix-518.

The Art of Capital Restructuring: Creating Shareholder Value through Mergers and Acquisitions with Halil Kiyamaz, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011, ix-590.

Capital Structure and Corporate Financing Decisions: Theory, Evidence, and Practice with Gerald S. Martin, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011, ix-492.

Survey Research in Corporate Finance: Bridging the Gap between Theory and Practice, with E. Theodore Veit and J. Clay Singleton. FMA Survey and Synthesis Series. Oxford University Press. 2011, vii-451.

Corporate Governance: A Synthesis of Theory, Research, and Practice with Ronald Anderson, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2010, ix-676.

Behavioral Finance: Investors, Corporations, and Markets with John R. Nofsinger, editors. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2010, ix-757. Translated into Chinese by China Renmin University Press and Vietnamese by Ho Chi Minh City Economics Publishing House.

Dividends and Dividend Policy, editor. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2009, xvi-536.

Understanding Financial Management: A Practical Guide with Gary E. Powell. Blackwell Publishing, 2005, xiv-481.

Business Fundamentals with Bruce Kuhlman and David W. Wiley. Schweser® Institute, 2005, xviii-464.

Schweser Study Notes for the 2002 CFA® Exam – Sample Exam Book 6. Editor/author. Schweser Study Program, A Kaplan Professional Company, 2001, ii-206.

Good Ethics: The Essential Element of a Firm's Success, editor. Association for Investment Management and Research (now The CFA Institute), 1994, ix-128.

Improving the Investment Decision Process: Better Use of Economic Inputs in Securities Analysis and Portfolio Management, editor. Association for Investment Management and Research (now The CFA institute), 1992, v-76.

Financial Management, College Outline Series. Harcourt Brace Jovanovich, 1987, ix-483.

Financial Markets: Instruments and Concepts, 2nd ed. with John R. Brick and John A. Haslem, editors. Reston Publishing Company, 1986, ix-595.

RESEARCH MONOGRAPHS AND BOOKLETS (3)

Ethics in the Investment Profession: An International Survey, with E. Theodore Veit and Michael R. Murphy, The Research Foundation of the CFA Institute, 1995, xiii-49.

Building a Professional Image, with Philip I. Morgan. American Management Association, 1987, 1-52.

Stepping Up to Supervision, with Stevan R. Holmberg. American Management Association, 1982, 1-64.

CHAPTERS IN BOOKS (38)

"Fintech: An Overview" with Greg Filbeck and Keith Black. In H. Kent Baker, Greg, Filbeck, and Keith Black, editors, *The Emerald Handbook of Fintech: Reshaping Finance*, Emerald Publishing, 2024.

"Sovereign Wealth Funds: An Overview." In H. Kent Baker, Jeffrey H. Harris, and Ghiyath Nashbendi, editors, Palgrave Macmillan, 2024, 3-18.

"Board Diversity and Sustainable Corporate Performance: A Research Use Case Study from Turkey, with Ajab Khan, Mark von Rosing, Lesley Shepperson, and Hanka Czichos. In Mark von Rosing, *The Sustainability Handbook Volume 1*, Elsevier Scientific, 2024. 387-414.

"Working Capital Management: An Overview" with Greg Filbeck and Tom Barkley. World Scientific. In H. Kent Baker, Greg Filbeck, and Tom Barkley, editors, *Working Capital Management: Concepts and Strategies*. World Scientific Publishing Co., 2023, 3-19.

"Cryptoassets: An Overview" with Hugo Benedetti, Ehsan Nikbakht, and Sean Stein Smith. In H. Kent Baker, Hugo Benedetti, Ehsan Nikbakht, and Sean Stein Smith, editors, *The Emerald Handbook on Cryptoassets: Investment Opportunities and Challenges*. Emerald Publishing Limited, 2023, 1-11.

"The Dividend Decision Model: A Possible Solution for the Dividend Puzzle" with Narayanage Jayantha Dewasiri, Y. K. Weerakoon Banda, and M. Shanika Hansini Rathnasiri. In *Exploring the Latest Trends in Management Literature, Review of Management Literature*, Volume 1, 249–267. Emerald Publishing Limited, 2023.

"Blockchain: An Introduction" with Ehsan Nikbakht and Sean Stein Smith. In H. Kent Baker, Ehsan Nikbakht, and Sean Stein Smith, editors, *The Emerald Handbook of Blockchain for Business*, 3-14. Emerald Publishing Limited, 2021.

"Corporate Fraud Exposed: An Overview" with Lynnette Purda-Heeler and Samir Saadi. In H. Kent Baker, Lynnette Purda-Heeler, and Samir Saadi, editors, *Corporate Fraud Exposed: A Comprehensive and Holistic Approach*, 3-18. Emerald Publishing Limited, 2020.

"Equity Markets, Valuation, and Analysis: An Overview" with Greg Filbeck and Halil Kiyamaz. In H. Kent Baker, Greg Filbeck, and Halil Kiyamaz, editors, *Equity Markets, Valuation, and Analysis*, 1-13. John Wiley & Sons, Inc., 2020.

"Debt Markets and Investments: An Overview" with Greg Filbeck and Andrew C. Spieler. In H. Kent Baker, Greg Filbeck, and Andrew C. Spieler, editors, *Debt Markets and Investments*. Financial Markets and Investments Series, 3-21. Oxford University Press, 2019.

"Commodities: An Overview" with Greg Filbeck and Jeffrey H. Harris. In H. Kent Baker, Greg Filbeck, and Jeffrey H. Harris, editors, *Commodities: Markets, Performance, and Strategies*. Financial Markets and Investments Series, 3-18. Oxford University Press, 2018.

"Hedge Funds: An Overview" with Greg Filbeck. In H. Kent Baker and Greg Filbeck, editors, *Hedge Funds: Structure, Strategies, and Performance*, Financial Markets and Investments Series, 3-21. Oxford University Press. 2017.

"Financial Behavior: An Overview" with Greg Filbeck and Victor Ricciardi. In H. Kent Baker, Greg Filbeck, and Victor Ricciardi, editors, *Financial Behavior: Players, Services, Products, and Markets*. Financial Markets and Investments Series, 3-22. Oxford University Press, 2017.

"Mutual Funds and Related Investment Vehicles: An Overview" with Greg Filbeck and Halil Kiyamaz. In H. Kent Baker, Greg Filbeck, and Halil Kiyamaz, editors, *Mutual Funds and Exchange-Traded Funds – Building Blocks to Wealth*. Financial Markets and Investments Series, 3-20. Oxford University Press, 2016.

"Private Equity: An Overview" with Greg Filbeck and Halil Kiyamaz. In H. Kent Baker, Greg Filbeck, and Halil Kiyamaz, editors, *Private Equity: Opportunities and Risks*. Financial Markets and Investments Series, 3-15. Oxford University Press, 2015.

"Options" with Kit Pong Wong and Greg Filbeck. In H. Kent Baker and Greg Filbeck, editors, *Investment Risk Management*. Financial Markets and Investments Series, 463-481. Oxford University Press, 2015.

"Investment Risk Management: An Overview" with Greg Filbeck. In H. Kent Baker and Greg Filbeck, editors, *Investment Risk Management*, 3-16. Financial Markets and Investments Series, Oxford University Press, 2015.

"Public Real Estate Markets and Investments: An Overview" with Peter Chinloy. In H. Kent Baker and Peter Chinloy, editors, *Public Real Estate Markets and Investments*, 3-13. Financial Markets and Investments Series, Oxford University Press, 2014.

"Private Real Estate Markets and Investments: An Overview" with Peter Chinloy. In H. Kent Baker and Peter Chinloy, editors, *Public Real Estate Markets and Investments*, 1-10. Financial Markets and Investments Series, Oxford University Press, 2014.

"Investor Behavior: An Overview" with Victor Ricciardi. In H. Kent Baker and Victor Ricciardi, editors, *Investor Behavior: The Psychology of Financial Planning and Investing*, 3-24. Wiley Finance Series. John Wiley & Sons, Inc., 2014.

"Market Microstructure: An Overview" with Halil Kiyamaz. In H. Kent Baker and Halil Kiyamaz, editors. In H. Kent Baker and Halil Kiyamaz, editors, *Market Microstructure in Emerging and Developed Markets*, 3-16. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2013.

"Alternative Investments: An Overview" with Greg Filbeck. In H. Kent Baker and Greg Filbeck, editors, *Alternative Investments: Balancing Opportunity and Risk*, 3-17. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2013.

"Portfolio Theory and Management: An Introduction" with Greg Filbeck. In H. Kent Baker and Greg Filbeck, editors. *Portfolio Theory and Management*, 1-20. Financial Markets and Investments Series, Oxford University Press, 2013.

"International Finance: An Overview" with Leigh A. Riddick. In H. Kent Baker and Leigh A. Riddick, editors, *Survey of International Finance*, 1-13. Oxford University Press. 2013.

"Socially Responsible Finance and Investing: An Overview" with John R. Nofsinger. In H. Kent Baker and John R. Nofsinger, editors, *Socially Responsible Finance and Investing*, 1-14. Robert

W. Kolb Series in Finance. John Wiley & Sons, Inc., 2012.

"Mergers, Acquisitions, and Corporate Restructuring: An Overview" with Halil Kiyamaz. In H. Kent Baker and Halil Kiyamaz, editors. *The Art of Capital Restructuring: Creating Shareholder Value through Mergers and Acquisitions*, 1-14. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011.

"Capital Budgeting: An Overview" with Philip English. In H. Kent Baker and Philip English, editors, *Capital Budgeting Valuation: Financial Analysis for Today's Investment Projects*, 1-16. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011.

"Capital Structure: An Overview" with Gerald S. Martin. In H. Kent Baker and Gerald S. Martin, editors. *Capital Structure and Corporate Financing Decisions: Theory, Evidence, and Practice*, 1-14. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2011.

"An Overview of Corporate Governance" with Ronald Anderson. In H. Kent Baker and Ronald Anderson, editors, *Corporate Governance: A Synthesis of Theory, Research, and Practice*, 3-17. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2010.

"Behavioral Finance: Introduction and Background" with John R. Nofsinger. In H. Kent Baker and John R. Nofsinger, editors. *Behavioral Finance: Investors, Corporations, and Markets*, 3-21. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2010.

"Management Views on Corporate Governance and Firm Performance" with Gary E. Powell. In Mark Hirschey, Kose John, and Anil K. Makhija, editors, *Advances in Financial Economics – Corporate Governance and Firm Performance* Volume 13, 83-118. JAI Press, 2009. Received the Emerald Literati Network 2010 Award for Excellence.

"Dividends and Dividend Policy: An Overview." In H. Kent Baker, editor, *Dividends and Dividend Policy*, 3-19. Robert W. Kolb Series in Finance. John Wiley & Sons, Inc., 2009.

"The Cost of Capital to Nasdaq and Exchange-Listed Companies." In *The NASDAQ Handbook: The Stock Market for the Next 100 Years*, 307-323. Probus Publishing Company, 1992.

"The Cost of Capital to Nasdaq and Exchange-Listed Companies." In *The NASDAQ Handbook: The Stock Market of Tomorrow – Today*, 384-402. Probus Publishing Company, 1987.

"Budgeting Fundamentals" with Stephen R. Holmberg. In *Fundamentals of Association Management: Finance*, 27-43. American Society of Association Executives, 1987

"Budgets and Performance Reports." In *Fundamentals of Association Management: Finance*, 44-65. American Society of Association Executives, 1987.

"Budgeting Fundamentals" with Stephen R. Holmberg. In *Fundamentals of Association Management: Finance*, 224-242. American Society of Association Executives, 1984.

"The Cost and Availability of Credit and Venture Capital." In *The Status of Small Business, Region III*, F1-F29. U.S. Small Business Administration, 1979.

PUBLISHED WORKING PAPERS (2)

"How Canadian Managers View Dividend Policy: New Survey Evidence," with Samir Saadi, Devinder Gandhi, and Shantanu Dutta. Working Paper 05-42, School of Management, University of Ottawa. September 2005.

"International Cross-Listing and Visibility" with John R. Nofsinger and Daniel G. Weaver. New York Stock Exchange Working Paper 99-01, January 1999.

PAPERS UNDER REVIEW (18)

"SMEs Financing in Morocco: The Gap between Preferences and Practices" with Imad Jabbouri, Karim Bahoum, Rachid Jabbouri, and Maryem Naili. *BRQ Business Research Quarterly*. Revised and resubmitted.

"A Bibliometric Analysis of Product Scarcity" with Mansi Gupta, Gopal Das, and Felix Septianto. *Market Intelligence and Planning*. Revise and Resubmit.

"Organizational Innovation as Business Strategy: A Review and Bibliometric Analysis" with Ansita Aggarwal and Nisarg Joshi. *Journal of the Knowledge Economy*. Revise and resubmit.

"The Impact of Contemporary Accounting Reform on Financial Reporting Quality: Evidence from an Emerging Economy with Himanshu Joshi. *Journal of Accounting in Emerging Economies*. Revise and resubmit.

"Factors Affecting the Adoption of Social Media Payment Platforms: A Social Network Analysis Approach" with Lata Kumari Pandey and Ranjit Singh. *Journal of Service Theory and Practice*. Revise and resubmit..

"A CoVaR Approach to Systemic Risk Assessment" with Molla Ramizur Rahman, Arun Kumar Misra, and Gaurav Kumar. *International Journal of Emerging Markets*.

"Bank Risks and Financial Stability: Bibliometric and Content Analyses" with Yashika Chakarwarty and Divya Verma. *Competitiveness Review*.

"A Bibliometric Analysis of Virtual Tourism" with Mansi Gupta, Gopal Das, and Timothy Jung. *Journal of Hospitality & Tourism Research*.

"Ownership Structure and Performance of Newly Public Firms: Systematic Literature Review" with Manali Chatterjee, Bijitaswa Chakraborty, and Titas Rudra. *Management Review Quarterly*.

"Related Party Transactions, Regulatory Framework, and Firm Performance: Evidence from India," with Abhijeet Chandra and Rohan Kumar Mishra. *Journal of Corporate Accounting and Finance*.

"Manager Perceptions on Cash Dividends: Evidence from the UK" with Erhan Kilincarslan and Sercan Demiralay. *Review of Quantitative Finance and Accounting*.

“Trends and Insights in Sustainable Investment: A Comprehensive Literature Review” with Nikita Singh. *Global Knowledge, Memory, and Communication*.

“Cryptocurrency Craze: Decoded by Income and Equity Experience” with Ranjit Singh, Jayashree Bhattacharjee, and Lata Kumari Pandey. *Vision: The Journal of Business Perspective*.

“Factors Driving Peer-to-Peer Lending Adoption: The Interplay of Intrinsic Motivation and Practical Considerations” with Sahiba Khan and Ranjit Singh, *Electronic Markets*.

"Preferences for Payouts among Investors" with Adri De Ridder. *Studies in Economics and Finance*. Revise and Resubmit.

“Analyzing and Visualizing Knowledge Structures of Insider Trading: A Bibliometric and Network Analysis,” Jing Duo, Shantanu Dutta, and Chen Li. *International Review of Economics and Finance*. Revise and resubmit.

“Payout Composition – Evidence from Sweden” with Adri De Ridder. *The Financial Review*.

“Governance and Global Investment: How Board Attributes Affect Foreign Shareholding in Indian Firms” with Jatin Trivedi and Dipanwita Chakraborty. *Corporate Governance: An International Review*.

WORK IN PROGRESS (10)

“Dividend Preferences Around Retirement” with Adri De Ridder and Marc M. Karmer.

"Ownership Structure and Dividend Policy among Indian Firms" with Abhinav Kumar Rajverma, Arun Kumar Misra, and Abhijeet Chandra.

"Assessment and Management of Systemic Crisis – A Study on Banks in an Emerging Market" with Molla Ramizur Rahman, Arun Kumar Misra, and Gaurav Kumar.

“How Managers View the Impact of Disinvestment on Organizational Change” with Divya Verma.

“Herding in the Stock Market: A Bibliometric Analysis” with Shashank Kathpal.

“Company’s Name Fluency and Retail Investors,” with De Ridder and Auke Plantinga.

“ESG Disclosures and Stock Market Performance,” with Dharmendra Singh.

“Corporate Carbon Disclosure, ESG Profiles, and Climate Change: Exposures Around the World” with Hai Hong Trinh.

“Cross-border Strategic Alliances and Absorptive Capacity” with Neelam Rani.

“Risk Underestimated: Credit Analyst Rashmi Mehta’s Dilemma at PMF Bank” with Debidutta Pattnaik

JOURNALS

Finance, Education, Accounting, and Management (222): Peer-Reviewed (Refereed)

"Beyond the Screen: How YouTube Influencers Shape Equity Investment Decisions," with Lata Pandey and Ranjit Singh. *Journal of Theoretical and Applied Electronic Commerce Research*. Forthcoming.

"Drivers Affecting Adoption of Cryptocurrency: A Social Network Analysis Approach," with K. Kajol, Srijanani Devarakonda, and Ranjit Singh. *Financial Innovation*. Forthcoming.

"The Big 5 Personality Traits and Investment Biases: The Role of Financial Literacy" with Shashank Kathpal and Asif Akhtar. *Review of Behavioral Finance*. Forthcoming.

"A Zero Cash Dividend Policy: The UK Experience" with Erhan Kilincarslan and Sercan Demiralay. *Review of Quantitative Finance and Accounting*. Forthcoming.

"Does Ligation Risk Matter for the Choice between Bank Debt and Public Debt?" with Hatem Rjiba, Samir Saadi, and Syrine Sassi. *Journal of Corporate Finance*. Forthcoming.

"Survey Evidence of Capital Budgeting Practices in Turkey" with Erhan Kilincarslan and Alper Haktan Arsl. *Quarterly Journal of Finance and Accounting*. Forthcoming.

"COVID-19 and Human Psychology in India" with Divya Verma and Bhawna Verma. *International Journal of Professional Business Review*. Forthcoming.

"Factors Affecting the Risk Perceptions of Cryptocurrency Investors" with Jayashree Bhattacharjee, Lata Pandey, and Ranjit Singh. *Journal of Behavioral Finance*. 2024. DOI: 10.1080/15427560.2024.2331474F.

"The Impact of Interlocking Directorships on Firm Performance: The Role of Board Diversity in the Turkish Context" with Ajab Khan Burki. *Management Decision*. 2024.

"Public Perception of Online P2P Lending Applications" with Sahiba Khan, Ranjit Singh, and Gomtesh Jain. *Journal of Theoretical and Applied Electronic Commerce Research* 19, 2024, 508-524.

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"Factor Analysis as a Financial Research Tool," (competitive paper) *Scientific and Behavioral Foundations for Decision Sciences*, Proceedings Southeastern American Institute for Decision Sciences, April 1973, 450-453.

"Investment Decision Criteria: An Empirical Analysis" (paper abstract) *Proceedings of the Southwestern Finance Association*, March 1973, 166-175.

"A Positive Study of Investor Behavior: Decision Criteria and Socio-Economic Characteristics" (paper abstract) with John A. Haslem, *Proceedings of the Ninth Annual Meeting of the Eastern Finance Association*, April 1973, 73-74.

"Washington National Bank," (case) *The Management Process: Cases and Readings*, Steven J. Carroll, Jr., Frank T. Paine, and John B. Miner (eds.), Macmillan Company, 1973, 433-434.

WORKBOOKS (4)

The Management Course for Controllers, Penton Learning Systems, 1981, 1-116.

Managing the Accounting Department, Penton Learning Systems, 1980, 1-103.

How to Use Financial Tools of Analysis in Strategic Decision-Making, National Association of Furniture Manufacturers, 1980, 1-119.

Management by Objectives, Georgetown University, Continuing Management Education, 1974, 1-105.

CITATIONS AND RANKINGS

Google Scholar Citations: Total 18,920 citations with 8,153 citations since 2020, with an h-index of 65 and a 10-index of 185.

Ranked #900 in the United States and #1482 globally in the 2023 Edition of our Ranking of Top 1000 Scientists in Economics and Finance by Research.com. Based on an h-index of at least 30 for academic publications in economics and finance.

SSRN All-Time Author Downloads ranking is 812 of 1,319,520 authors with 48,109 downloads.

Mendeley Statistics (Elsevier): 55,397 views of research as of October 2020.

Has 192,475 reads on ResearchGate (R.G.). A Research Interest Score of 3743 exceeds 98% of ResearchGate members.

Recognized by *The Journal of Finance Literature* as among the top 1% of the most prolific authors in finance during the past 50 years (based only on peer-reviewed journal articles).

Ranked in the top 0.38% (67 of 17,573) of all authors appearing in 72 finance journals between 1953 and 2002.

Ranked in the top 0.76% (135 of 17,691) of all authors publishing in 26 core finance journals between 1959 and 2008.

Ranked in the top 0.17% (2 of 1,195) of all authors in the two major financial education journals.

Tied for the second-most published author in *Managerial Finance* between 1996 and 2019.

Tied for the fourth-most published author in *Global Finance Journal* between 1986 and 2018.

Ranked the ninth most prolific of all finance authors publishing in business ethics journals.

RECORDINGS AND VIDEOS (13)

Mood Swings. Inner Circle. A musical CD was recorded at Blue House Studio in 2000.

CFA Level I Intensive Review, Kaplan Schweser, 2009-2017, 21-hour recording each year.

Overcoming Bad Time Habits, Southwestern Ohio Instructional Television Association, Inc., 1981. 45-minute video recording and instructor's manual.

Steps to Better Time Management, Southwestern Ohio Instructional Television Association, Inc., 1981. 45-minute video recording and instructor's manual.

Financial Analysis, Sales Education and Marketing Center, AT & T Long Lines, 1977. 41-minute video recording.

REVIEWS AND ARTICLE ABSTRACTS (351)

315	<i>The CFA Digest</i>	1	<i>American Journal of Small Business</i>
25	<i>ISFA Digest</i>	1	<i>The Wall Street Review of Books</i>
3	<i>The Financial Review</i>	1	<i>Journal of Financial Research</i>
2	<i>Contemporary Finance Digest</i>	1	<i>Journal of Management and Business Consulting</i>
1	<i>The Accounting Review</i>	1	<i>Mathematical Finance</i>

EDITORIAL BOARDS AND EDITORSHIPS

Editor and Co-author, The H. Kent Baker Investments Series, Emerald Publishing Limited, 2017 to 2022.

Co-editor, Financial Markets and Investments Series, a ten-book series, Oxford University Press, 2013 to 2019.

Co-editor, Special Issue on Dividends and Dividend Policy, *Managerial Finance*, 2013 to 2014.

Editorial Board, *Gavesana Journal of Management*, 2023 to present.

Editorial Review Board, *Academy of Accounting and Financial Studies Journal*, 2022 to present.

Editorial Board, *Journal of Global Humanities and Social Sciences*, 2021 to present.

Advisory Board, *Annals of Financial Economics*, 2021 to present.

Editorial Board, *Review of Financial Economics*, 2021 to present.

Editorial Board, *Eastern-European Journal of Enterprise Technologies*, 2021 to present.

Advisory Board, *Pakistan Journal of Economic Studies*, 2021 to present.

International Advisory Board, *iRASD Journal of Management*, 2021 to present.

Editorial Advisory Board, *Asian Journal of Banking and Finance*, 2020 to present.

Editorial Board, *Journal of Risk and Financial Management*, 2020 to present.

Editorial Advisory Board in Finance, Cambridge Scholars Publishing, 2017 to present.

Editorial Advisory Board, *Amity Journal of Finance*, 2015 to present.

Editorial Advisory Board, *Managerial Finance*, 2014 to present.

Editorial Board, *Journal of Accounting and Marketing*, 2012 to present.

Editorial Board, *The Banking and Finance Review*, 2011 to present.

Editorial Advisory Board, *Journal of Financial Economic Policy*, 2010 to present.

Board of Associate Editors, *Journal of Emerging Markets*, 2004 to present.

Advisory Editor, Social Science Research Network (SSRN), *Journal of Behavioral and Experimental Finance*, 2004 to present.

Editorial Board, *Journal of Business Research*, 2007 to 2012.

Editorial Review Board, *Southern Business Review*, 1993 to 2013.

Editorial Board, *The CFA Digest*, 1992 to 1999.

AD HOC REVIEWER

Decision Sciences

*European Journal of Management
and Business Economics*

Financial Decisions

Financial Management

Financial Review

Financial Services Review

Global Finance Journal

*International Journal of Managerial
Finance*

*International Review of Economics
and Finance*

Journal of Applied Finance

Journal of Business Research

Journal of Corporate Finance

Journal of Economics and Finance

Journal of Financial Education

*Journal of Business Finance and
Accounting*

Journal of Financial and Quantitative Analysis

Journal of Financial Research

Mathematical Finance

Midwest Journal of Business and Economics

Multinational Finance Journal

Qualitative Research in Financial Markets

Quarterly Journal of Business and Economics

Quarterly Review of Economics and Finance

Review of Financial Economics

Singapore Economic Review

Southern Business Review

PAPERS PRESENTED AT PROFESSIONAL MEETINGS (199)

50	Southern Finance Association	1	Academy of International Business and Economics
40	Financial Management Association	1	Accounting Association of Australia and New Zealand
37	Eastern Finance Association	1	Administrative Sciences Association of Canada
13	Southwestern Finance Association	1	American Realty Capital
9	Midwest Finance Association	1	China International Conference in Finance
7	Washington Consortium Schools of Business Research Forum	1	Data Process Management Association
7	Washington Area Finance Association		

3	Decision Sciences Institute	1	Financial Education Association
2	Conference Internationale de Finance	1	Global Finance Association
2	European Financial Management Association	1	India Finance Conference
2	Academy of Business Education	1	Multinational Finance Association
2	Asian Finance Association	1	National Conference of Financial Ethics
1	Academy of Economics and Finance	1	Northeastern Decision Sciences Institute
1	King Edward's School, Birmingham, U.K.	1	ORSATIM
1	Indian Institute of Technology, Kharagpur	1	Southern Decision Sciences Institute
1	Interdisciplinary Conference of Management Researchers	1	Western Decision Sciences Institute
		1	Western Finance Association
		1	International Research Meeting in Business and Management
		1	Global Finance Conference
		1	Doctoral Consortium 2022
		1	Journal of Accounting and Public Policy Conference
		1	Indian Institute of Information Technology Allahabad

EXTERNAL REVIEWER OF DISSERTATIONS (2)

Mayank Patel. "Performance Evaluation of Indian Fixed Income Mutual Funds," Ahmedabad University, India, 2022.

Sadrita Deb. "Managerial Incentives to Corporate Fraud and the Corporate Governance Mechanism," Indian Institute of Technology Kharagpur, India, 2021.

PROFESSIONAL ASSOCIATIONS

Eastern Finance Association
 Financial Management Association
 Institute for Management Accountants
 Southern Finance Association
 The CFA Institute
 The CFA Society of Washington

AWARDS

American University

Kogod Faculty Award for Outstanding Research 2000, 2002, 2003, 2010, and 2022

Kogod Faculty Award for Outstanding Teaching 2006, 2007, 2008, 2009, 2010, 2012, 2014, 2018, 2020, and 2021

Kogod Faculty Award for Outstanding Service 2007, 2008, 2010, 2011, 2012, 2019, and 2020

Kogod School of Business, Outstanding Service to the University Community 2000

Kogod College, Undergraduate Programs Most Organized Professor 1999

Kogod College, Scholar/Teacher Award 1997

Kogod College, Outstanding Service to the University Community by a Faculty Administrator 1989-1990

Kogod College, Outstanding Teaching 1988-1989

University Scholar/Teacher of the Year 1983-1984

Kogod College, Graduate Business Association Award 1982-1983

Kogod College, Graduate Student Association Faculty Service Award 1981-1982

University Award for Outstanding Research Scholarship and Other Contributions 1978-1979, 1979-1980

Others

Wiley certificate of achievement for one of the top-cited articles

Wiley certificate of achievement for one of the top-cited articles in *Contemporary Accounting Research* in 2021-2022: "Contemporary Accounting Research: A Retrospective Between 1984 and 2021 Using Bibliometric Analysis."

Wiley certificate of achievement for one of the top-cited articles in the *Journal of Futures Markets* in 2021-2022: "Forty Years of the *Journal of Futures Markets*: A Bibliometric Overview."

Keynote Speaker, Doctoral Consortium 2022, Woxsen University (India), "How to Improve Research Productivity and Journal Acceptances."

Keynote Speaker, 2021 Global Finance Conference, "The Dividend Puzzle Revisited."

Wiley certificate of achievement for one of the top-cited articles in *The Financial Review* in 2019-2020: "Fifty Years of *The Financial Review*: A Bibliometric Overview."

Wiley certificate of achievement for one of the top-cited articles in the *Review of Financial Economics* in 2019-2020: "Twenty-five Years of the *Review of Financial Economics*: A Bibliometric Overview."

Southern Finance Association, 2019 Distinguished Scholar

2019 Emerald Literati Highly Commended Paper Award, *Review of Behavioral Finance*, "Stockholdings of First-Time and More Experienced Investors."

2018 Book Excellence Award Finalist in Finance, *Hedge Funds: Structure, Strategies, and Performance*

2018 Axiom Business Book Award, Bronze Medalist, in Personal Finance/Retirement Planning/ Investing for *Investment Traps Exposed – Navigating Investor Mistakes and Behavioral Biases*

2017 Book Excellence Award Winner in Personal Finances for *Investment Traps Exposed – Navigating Investor Mistakes and Behavioral Biases*

2015 USA Best Book Award in the Business: Personal Finance/Investing category and finalist in the Business: Reference category for *Investor Behavior: The Psychology of Financial Planning and Investing*

Twenty-Five Year Certificate of Achievement, The CFA Institute

2014 Emerald Literati Highly Commended Paper Award, *International Journal of Managerial Finance*, "Canadian Corporate Payout Policy."

2010 Emerald Literati Award for Excellence for "Management Views of Corporate Governance and Firm Performance" in *Advances in Financial Economics - Corporate Governance and Firm Performance Volume 13*

Achievement Award for 30 Years of Outstanding Leadership as Dean of the Ehrlich-Stempler Executive Management, Uniform and Textile Service Association

American Association of Individual Investors Award, Best Paper in Investments 1990, Southwestern Finance Association

Danforth Associates

Nash Memorial Distinguished Doctoral Alumnus Award, Smith School of Business, University of Maryland

HONOR SOCIETIES (8)

Alpha Iota Delta
Alpha Sigma Nu
Beta Gamma Sigma
Chi Sigma Iota

Financial Management Association Honor Society
Phi Alpha Alpha
Phi Delta Kappa
Phi Kappa Phi

DIRECTORIES (16)

Anglo-America Who's Who
Dictionary of Distinguished Americans
Dictionary of International Biography
International Book of Honor
International Who's Who of
Contemporary Achievement
Marquis Who's Who
Men of Achievement
National Distinguished Service Directory

Outstanding Educators of America
Personalities of America
Profiles of Eminence
Two Thousand Notable Americans
Who in the East
Who's Who in Finance and Industry
Who's Who in the South and Southeast
5,000 Personalities of the World Directory