

VITA
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Areas of Interest:

Investments, Derivatives, Risk Management, Mergers and Acquisitions, Financial Markets, Governance, Fixed Income Securities.

Education:

PhD	Finance	University of Alabama	2008
MBA	Business	University of Alabama	1989
B.S.	Chemistry	Auburn University	1985

Elected to Beta Gamma Sigma Honor Society - 1989.

Graduate Student Research and Travel Support Award, University of Alabama, 2007;

Manderson Graduate School of Business Travel Grant, University of Alabama, 2007;

Full tuition scholarship, University of Alabama, 2004-present.

Additional Coursework:

Courses in Master's in Computer Science: University of Alabama Birmingham,

Accounting Principles: University of Alabama in Birmingham,

Certified Financial Planner: College for Financial Planning (awarded CFP in 1981, Lapsed in 1991),

Chartered Financial Analyst: CFA Institute (in progress).

Dissertation:

Topic: Three Essays on Naked Shorting and Morphable Ownership.

Committee: Robert Brooks (Chair), James Ligon, Robert McLeod, Walter Misolek, Brian Gray.

Papers/Research:

- The Naked Truth: Examining the Prevailing Practices in Short Selling and the Resultant Voter Disenfranchisement, with Dr. Robert Brooks, *The Journal of Trading*, Summer 2008.
- The Efficacy of Regulation SHO in Resolving Stock Market Fails-to-deliver, with Dr. Robert Brooks (working paper).
- Morphable Ownership Extended: The Impact of Naked Shorting on Voting and Control.
- The Impact of Emerging Market Liberalization on Herding Effects and Informational Cascades, with Jen Q, Jeon (working paper).
- How Much Is Reasonable? The Size of Termination Fees in Mergers and Acquisitions, with Jen Q, Jeon (working paper).

- The Significance and Certification of Shelf Registrations (working paper).
- Information Transmission Between Depository Receipts and Underlying Securities, with Jen Q, Jeon (working paper).

Conferences:

- 2007 Presenter, Southern Finance Association Annual Meeting, Charleston S.C.
- 2007 Financial Management Association, Tampa, FL.

Teaching Experience:

Fall 2007	FI 410 – Intermediate Finance	University of Alabama
Summer 2007	FI 410 – Intermediate Finance	University of Alabama
Summer 2007	FI 302 – Business Finance	University of Alabama
Summer 2006	FI 302 – Business Finance (Sec 1)	University of Alabama
Summer 2006	FI 302 – Business Finance (Sec 2)	University of Alabama
Summer 2006	EC 210 – Microeconomics	Shelton State
Spring 2006	EC 210 – Microeconomics	Shelton State
Summer 2005	FI 301 – Banking and Capital Markets	University of Alabama
Various 1991 to 94	MBA 523 – Mergers and Acquisitions	University of Alabama in Birmingham
1994	Private seminar series for the executives of Wheelabrator Technologies on Valuation of Acquisitions.	

Employment:

- 2002 – 2003: Crane Hill Publishers, *Chief Financial Officer*, Birmingham, AL.
- 1997 to 1998: Express Oil Company, *Controller*, Birmingham, AL
- 1992 to 1996: Compass Bank, Birmingham, AL -- *Investment Sales Officer/Asset Analyst*
- 1990 to 1992: Conversion Dynamics Inc., Birmingham, AL -- *Manager Special Projects*
- 1985 to 1990: Moffett Financial Consultants, Birmingham, AL-- *Principal*

Non-profit Activities:

- Pleasure Island Turtle Project
- Board of Directors – Alabama Roundtable.
- Volunteer for Habitat for Humanity.
- Hoover AL, Member – Rotary Club.
- Senior Warden – St. John’s of Mt. Laurel.
- Jamaica – Caribbean Christian Center for the Deaf, Summer of 1996 to assist in building a village for the deaf in Jamaica.