

## Seoyoung Kim

Santa Clara University, Leavey School of Business  
500 El Camino Real; Santa Clara, CA 95053 (Lucas Hall 221D)  
srkim@scu.edu ▪ office: (408) 554-5171 ▪ [www.seoyoungkim.com](http://www.seoyoungkim.com)

### Faculty and Industry Appointments

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<b>Santa Clara University, Leavey School of Business</b>	Santa Clara, CA
Department Chair	2021 – present
Associate Professor	2018 – present
Assistant Professor of Finance and Business Analytics	2012 – 2018
<b>Indian School of Business</b>	Hyderabad, India
Visiting Faculty, Post Graduate Programme in Management	2013 – present
<b>Analysis Group</b>	San Francisco, CA
Manager	2018 – 2018
<b>Purdue University, Krannert School of Management</b>	West Lafayette, IN
Assistant Professor of Finance	2009 – 2012

### Editorial Appointments

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<b>Journal of Investment Management</b>	Lafayette, CA
Senior Editor	2019 – present

### Education

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<b>Emory University, Goizueta Business School</b>	Atlanta, GA
Ph.D. in Finance	2009
Dissertation Committee Members:	
- Tarun Chordia, Narasimhan Jegadeesh (chair), Shehzad Mian, Jay Shanken	
<b>Rice University</b>	Houston, TX
B.A. in Mathematics (magna cum laude)	2004

### Books

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- “DeFi For Dummies”, 2022, *John Wiley & Sons, Inc.*
- “NFTs For Dummies”, 2021, *John Wiley & Sons, Inc.* (with Tiana Laurence).

### Working Papers / Works in Progress

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- “Technological Disparity and Its Impact on Market Quality” (with Kiseo Chung).
- “Measuring Luck in CEO Outperformance”.

### Journal Articles

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- “Directors’ Decision-Making Involvement on Corporate Boards”, 2020, *International Journal of Economics and Finance*, Vol. 12 (7), p. 72-97.

- “Zero-Revelation RegTech: Detecting Risk through Linguistic Analysis of Corporate Emails and News”, 2019 (Winter), *Journal of Financial Data Science* (with Sanjiv Das and Bhushan Kothari).
- “Dynamic Systemic Risk Networks: Networks in Data Science”, 2019 (Spring), *Journal of Financial Data Science* (with Sanjiv Das and Daniel Ostrov).
- “Distributed Ledger and Blockchain Technology: Framework and Use Cases”, 2018, *Journal of Investment Management*, Vol. 16 (3), p. 90-101 (with Atulya Sarin).
- “Crypto-Assets Unencrypted”, 2018, *Journal of Investment Management*, Vol. 16 (2), p. 1-31 (with Atulya Sarin and Daljeet Viridi).
- “Do Players Perform for Pay? An Empirical Examination via NFL Players’ Compensation Contracts”, 2018, *Journal of Banking and Finance*, Vol. 88, p.330-346 (with Atulya Sarin and Saagar Sarin).
- “Measuring Correlated Default Risk: A New Metric and Validity Tests”, 2017, *Journal of Fixed Income*, Vol. 27 (2), p.6-29, lead article (with Siamak Javadi, Tim Krehbiel, and Ali Nejadmalayeri).
- “Managing Rollover Risk with Capital Structure Covenants in Structured Finance Vehicles”, 2017, *Journal of Fixed Income*, Vol. 26 (4), p.99-112 (with Sanjiv Das).
- “The Design and Risk Management of Structured Finance Vehicles”, 2016, *Journal of Risk and Financial Management*, Vol. 9, Special Issue “Credit Risk” (with Sanjiv Das).
- “Credit Spreads with Dynamic Debt”, 2015, *Journal of Banking and Finance*, Vol. 50, p.121-140 (with Sanjiv Das).
- “Coming Up Short: Managing Underfunded Portfolios in a LDI-ES Framework”, 2014, *Journal of Portfolio Management*, Vol. 41 (1), p.95-108 (with Sanjiv Das and Meir Statman).
- “Going for Broke: Restructuring Distressed Debt”, 2014, *Journal of Fixed Income*, Vol. 24 (1), p.5-27, lead article (with Sanjiv Das).
- “Structured Finance Deals: A Review of the Rating Process and Recent Evidence Thereof”, 2012, *Journal of Investment Management*, Vol. 10 (4), p.103-115.
- “It Pays to Have Friends”, 2009, *Journal of Financial Economics*, Vol. 93 (1), p.138-158 (with Byoung-Hyoun Hwang).
- “Return Performances Surrounding Reverse Stock Splits: Can Investors Profit?”, 2008, *Financial Management*, Vol. 37 (2), p.173-192, lead article (with April Klein and James Rosenfeld)

### **Book Chapters**

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- “A Layman’s Guide to Bitcoin & Blockchain” (Ch. 3), 2021, *The Palgrave Handbook of Technological Finance* by Palgrave Macmillan (with Bhagwan Chowdhry).
- “Distressed Debt” (Ch. 32), 2019, *Debt Markets and Investments* by Oxford University Press, p. 624-638.

### **Other Articles**

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- “The Cryptos Are Here: Consumer Protection in Virtual Currency Markets Under the CFTC’s Watch”, 2018, in the American Bar Association’s *Consumer Litigation News* (with Sumon Mazumdar).

- “The Origin and Evolution of Cryptocurrencies”, 2018, in the American Bar Association’s *Consumer Litigation News* (with Sumon Mazumdar).
- “Cryptocurrencies Demystified and the SEC’s Regulatory Stance”, 2018, American Bar Association’s *Litigation News*, Vol. 43 (4) (with Sumon Mazumdar).

### **Mini Cases** (for *Journal of Investment Management*)

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- “Investment Management Lessons Learned from the Management and Mismanagement of Impending Bank Runs”, 2023.
- “Bitcoin ETFs: The Pros and Cons of a Spot ETF Versus a Futures ETF”, 2023.
- “ESG Greenwashing and Recent SEC Actions”, with Ye Cai, 2022.
- “Passive Versus Active ESG Investing: How a Small Hedge Fund Converts an Oil Giant”, with Ye Cai, 2022.
- “NFTs as Alternative Investments?”, 2021.
- “Pairs Trading in the Era of Meme Stocks”, 2021.
- “Is ‘1 and 10’ the New ‘2 and 20’?”, 2020.
- “Collective Defined Contribution Plans”, 2020.
- “Do You Know the Provenance of Your Alternative Data”, 2019.
- “Using Social Media Analytics in the Management of Investment Management”, 2019.

### **On Permanent Hiatus**

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- “Social Ties and Earnings Management” (with Byoung-Hyoun Hwang)

### **Teaching Experience**

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- Data Analytics in Finance (graduate level)
- Financial Engineering (graduate level)
- Financial Management; a.k.a. Corporate Finance (graduate and UG level)
- Financial Technology; a.k.a. FinTech (graduate level)
- Fixed Income (graduate level)

### **Litigation Consulting Experience**

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Provided expert opinion and litigation support regarding:

- the structuring, management, and liquidation of various special purpose vehicles issuing collateralized debt obligations and asset backed securities;
- the standards applied to the assessment and rating of structured financial instruments;
- the assessment of Section 11 and Section 12 claims, including the materiality of and economic exposure arising from alleged misstatements and omissions;
- the validity of class certification;
- the trading, management, and liquidation protocols for crypto-derivatives.

Provided expert testimony regarding:

- economic damages from wrongful termination.

## **Seminars / Speaking Engagements**

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[ordered alphabetically by year]

--Present Year in Progress--

**2023** // Association of Certified Anti-Money Laundering Specialists (ACAMS) Summit (Austin, TX; Jun. 2023) ▪ ACAMS Podcast (Virtual; Aug. 2023) ▪ Journal of Investment Management (JOIM) (San Diego, CA; Mar. 2023) ▪ SFSU FinTech Conference (San Francisco, CA; May 2023) ▪ SVEC/KAIST Digital Finance Workshop (Santa Clara, CA; Ju. 2003)

**2022** // Business Association Italy America (BAIA) (San Francisco, CA; Apr. 2022) ▪ Barclays (Virtual; Jul. 2022) ▪ FinTech Festival (New Delhi; India; Jul. 2022) ▪ Luxe & Tech (Virtual; Apr. 2022) ▪ Lynk Speaker Series (Virtual; Apr. 2022) ▪ Modernist (San Francisco, CA; Mar. 2022) ▪ Rotary Club (San Jose, CA; Aug. 2022) ▪ SFSU FinTech Conference (San Francisco, CA; May 2022) ▪ Texas Tech University (Lubbock, TX; Feb. 2022) ▪ Union Bank of Switzerland (UBS) (San Francisco, CA; Apr. 2022)

**2021** // Baruch University (New York, NY; Sep. 2021) ▪ BlackRock (Virtual; Sep. 2021) ▪ VC Taskforce (Virtual; Nov. 2021)

**2020** // Conference on Financial Market Regulation (Virtual; Sep. 2020)

**2019** // California Bank of Commerce (San Jose, CA; Oct. 2019) ▪ International Finance and Banking Society (IFABS) (Medellin; Colombia; Dec. 2019) ▪ Joint KSAs @ KB Kookmin Bank (국민은행) (Cheonan; Korea; May 2019)

**2018** // Indian School of Business (Hyderabad; India; Jan. 2018) ▪ Journal of Investment Management (JOIM) (Cambridge, MA; Sept. 2018) ▪ Pinnacle (Mountain View, CA; Apr. 2018) ▪ PricewaterhouseCoopers (PwC) (San Jose, CA; Oct. 2018) ▪ Showcasing Women in Finance (Coral Gables, FL; Mar. 2018)

**2017** // Baruch University (New York, NY; Sep. 2017) ▪ Bay Area userR Group (BARUG) (Mountain View, CA; Apr. 2017) ▪ Emory University (Atlanta, GA; Aug. 2017) ▪ Financial Risks International Forum (Paris; France; Mar. 2017) ▪ Journal of Investment Management (JOIM) (Cambridge, MA; Sept. 2017) ▪ Korea Capital Market Institute (KCMI) (Seoul; Korea; Mar. 2017) ▪ Purdue University (West Lafayette, IN; Aug. 2017) ▪ R / Finance (Chicago, IL; May 2017) ▪ Sustainability, Ethics, & Entrepreneurship (SEE) (San Juan; Puerto Rico; Mar. 2017)

**2016** // FMA Applied Finance Conference (New York, NY; May 2016) ▪ Financial Management Association (FMA) Asia-Pacific (Sydney; Australia; Jul. 2016) ▪ Intel Data Science Workshop (Santa Clara, CA; Oct. 2016) ▪ Sungkyunkwan (SKK) University (성균관대학교) (Seoul; Korea; Jul. 2016)

**2015** // Financial Management Association (FMA) Asia-Pacific (Seoul; Korea; Jun. 2015) ▪ Indian School of Business (Hyderabad; India; Dec. 2015) ▪ Lehigh University (Bethlehem, PA; Feb. 2015) ▪ NNRG, School of Management Sciences (Hyderabad; India; Dec. 2015) ▪ Shanghai Advanced Institute of Finance (@ SJTU) (Shanghai; China; May 2015)

**2014** // CalPERS (Sacramento, CA; Apr. 2014) ▪ Cal Poly / SCU Joint Conference (San Luis Obispo, CA; Nov. 2014) ▪ Emory University (Atlanta, GA; Mar. 2014) ▪ Georgia State University (Atlanta, GA; Mar. 2014) ▪ HEC Montreal / Mathematical Finance Days (Monreal; Canada; Apr. 2014) ▪ Indian School of Business (Hyderabad; India; Dec. 2014) ▪ Journal of Investment Management (JOIM) (San Diego, CA; Mar. 2014) ▪ Korea Institute of Finance (KIF) (Seoul; Korea; Jun. 2014) ▪ Yonsei University (연세대학교) (Seoul; Korea; Jun. 2014)

**2013** // Center for Analytical Finance (CAF) (Hyderabad; India; Jul. 2013) ▪ Federal Deposit Insurance Corporation (FDIC) (Arlington, VA; Oct. 2013) ▪ Indian School of Business (Hyderabad; India; Nov. 2013) ▪ University of New South Wales (Sydney; Australia; May 2013) ▪ University of Sydney (Sydney; Australia; May 2013)

**2012** // [hiatus]

**2011** // Santa Clara University (Santa Clara, CA; Dec. 2011)

**2010** // Center for Research in Security Prices (CRSP) Forum (Chicago, IL; Nov. 2010) ▪ Ohio University (Athens, OH; Oct. 2010)

**2009** // Indiana University (Bloomington, IN; Feb. 2009) ▪ Purdue University (West Lafayette, IN; Jan. 2009) ▪ Santa Clara University (Santa Clara, CA; Jan. 2009) ▪ University of Florida (Gainesville, FL; Feb. 2009)

## Discussions

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[ordered alphabetically by year]

**2020** // Journal of Investment Management (JOIM) (Virtual; Sep. 2020)

**2017** // American Finance Association (AFA) (Chicago, IL; Jan. 2017)

**2016** // Financial Management Association (FMA) Asia-Pacific (Sydney; Australia; Jul. 2016) ▪ Journal of Investment Management (JOIM) (Oxford; UK; Sep. 2016) ▪ Korea-America Finance Association (KAFA) (Seoul; Korea; Jun. 2016)

**2015** // Financial Management Association (FMA) Asia-Pacific (Seoul; Korea; Jun. 2015) ▪ Financial Management Association (FMA) (Orlando, Florida; Oct. 2015) ▪ Journal of Investment Management (JOIM) (Cambridge, MA; Oct. 2015)

**2014** // European Finance Association (EFA) (Lugano; Switzerland; Aug. 2014) ▪ Financial Management Association (FMA) Asia-Pacific (Tokyo; Japan; May 2014) ▪ Mid-Atlantic Research Conference in Finance (MARC) (Philadelphia, PA; Mar. 2014)

**2013** // Financial Management Association (FMA) (Chicago, IL; Oct. 2013) ▪ Journal of Investment Management (JOIM) (Napa, CA; Sep. 2013)

- 2012** // Financial Management Association (FMA) (Atlanta, GA; Oct. 2012)
- 2011** // Financial Management Association (FMA) (Denver, CO; Oct. 2011)
- 2010** // Financial Management Association (FMA) (New York, NY; Oct. 2010)
- 2009** // Financial Management Association (FMA) (Reno, NV; Oct. 2009)
- 2008** // Financial Management Association (FMA) (Grapevine, TX; Oct. 2008)
- 2007** // Financial Management Association (FMA) (Orlando, FL; Oct. 2007) ▪ Southern Finance Association (SFA) (Charleston, SC; Nov. 2007)

## **Professional Service**

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Editorial team for:

- Journal of Investment Management, Senior Editor (2019 – present)

Program committee, Advisory board for:

- Conference on Asia-Pacific Financial Markets (2019, 2020)
- European Finance Association (2015 – 2023)
- Financial Management Association (2009 – 2013, 2015)
- Financial Management Association, Applied Finance (2017 – 2020, 2022 – 2023)
- Financial Management Association, Asia Pacific (2016)
- International Conference on Trends in Engineering, Management, Pharmacy and Sciences (ICTEMPS) (2018)

Ad-hoc Referee for:

The Accounting Review ▪ Corporate Governance: An International Review ▪ Financial Management ▪ The Financial Review ▪ International Review of Finance ▪ Journal of Banking and Finance ▪ Journal of Business Ethics ▪ Journal of Business Research ▪ Journal of Corporate Finance ▪ Journal of Derivatives ▪ Journal of Financial Research ▪ Journal of Financial Services Research ▪ Journal of Industrial and Management Optimization ▪ Journal of Investment Management ▪ Management Science ▪ Review of Financial Studies ▪ Society for Financial Studies, SFS Cavalcade ▪ University of Missouri Research Board

## **University Service**

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Committee service for:

- Leavey School Chairs' Council: 2021 – present
- Academic Affairs Committee: 2020 – 2023
- Leavey Grant Committee: 2020, 2021
- Graduate Policy Committee: 2013 – 2018, 2019 – 2021
  - (GPC Chair: Fall 2013, 2019 – 2021)
- Strategic Planning Committee (LSB): 2019 – 2021
- Online MBA Design Team: 2017 – 2018
- Faculty Senate Council: Fall 2013
- Grievance Committee: 2010 – 2011 [@ Purdue University]

Faculty advisor to:

- Delta Sigma Pi: 2013 – 2023
- Undergraduate Faculty Advising: 2013 – present
- UG/Grad Thesis Reader: 2014 – 2015, 2020 – 2021, 2022 – 2023
- Delta Phi Lambda Sorority Inc.: 2011 – 2012 [@ Purdue University]

Other administrative service:

- Department Chair (Finance): September 2021 – present
- Program Director (MSFA): December 2021 – September 2023

### **Distinctions / Awards**

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Dauphine-Amundi Chair in Asset Management Award ▪ GARP Risk Management Research Grant ▪ Financial News & KAFA Top Journal Award ▪ John and Mary Willis Young Faculty Scholar Award ▪ Junior Faculty Development Leave Research Grant ▪ Leavey Research Grant ▪ Leavey Service Grant ▪ National Stock Exchange of India Best Paper Award ▪ National Merit Scholar ▪ Phi Beta Kappa

### **Personal Profile**

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Citizenship: U.S.A.

Languages: English (native) ▪ Korean (basic) ▪ Spanish (basic) ▪ SAS ▪ R

Sports: Running ▪ Yoga