

## YING DUAN

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### **ACADEMIC APPOINTMENTS**

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Simon Fraser University, Associate Professor of Finance, 2021-present

Simon Fraser University, Assistant Professor of Finance, 2015 - 2021

University of Alberta, Assistant Professor of Finance, 2008 - 2015

### **EDUCATION**

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Ph.D. in Finance, Boston College, 2008.

MA in International Economics and Finance, Brandeis University, 2002.

MS in International Trade and Finance, Xi'an Jiaotong University, China, 1998.

BS in International Trade and Finance, Xi'an Jiaotong University, China, 1995.

### **PUBLICATIONS**

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“Conflict of Interest and Proxy Voting by Institutional Investors.” (with Yawen Jiao and Kinsun Tam). *Journal of Corporate Finance* 70, 2021

“Liquidity Creation and Bank Profitability.” (with Jijun Niu). *North American Journal of Economics and Finance* 54, 2020

“Business Ties and Information Advantage: Evidence from Mutual Fund Trading.”(with Edith Hotchkiss and Yawen Jiao). *Contemporary Accounting Research* 35, 866-897, 2018

“The Role of Mutual Funds in Corporate Governance: Evidence from Mutual Funds Proxy Voting and Trading Behavior.” (with Yawen Jiao). *Journal of Financial and Quantitative Analysis* 51, 489-513, 2016

“Costly Arbitrage and Idiosyncratic Risk: Evidence from Short Sellers.” (with Gang Hu and R. David McLean). *Journal of Financial Intermediation*, 19, 564-579, 2010

“When is Stock Picking Likely to be Successful? Evidence from Mutual Funds.” (with

Gang Hu and R. David McLean). *Financial Analysts Journal*, 65, Number 2, 55-65, 2009

## **WORKING PAPERS AND WORK IN PROGRESS**

“Socially Responsible Mutual Funds: Proxy Voting Behavior and Flow-Performance Relation.” (with Jijun Niu)

“Corporate Pensions and Financial Distress.” (with Pouyan Foroughi, Edith Hotchkiss and Yawen Jiao)

(Presented at Western Economic Association (WEAI) Annual Conference 2019

American Finance Association (AFA) Annual Meetings 2015

European Finance Association (EFA) Annual Meetings 2014)

“The Role of Mutual Funds in Corporate Governance of Banks: Evidence from Mutual Funds Proxy Voting.” (with James Barth and Jijun Niu, work in progress)

## **HONORS AND AWARDS**

SFU/SSHRC Small Research Grant, Simon Fraser University, Lead Applicant, “The Role of Mutual Funds in Corporate Governance of Banks: Evidence from Mutual Funds Proxy Voting.” with Jijun Niu, February 2020-February 2022

SFU/VPR Travel Grant, Fall 2019

SFU Beedie Dean’s Conference Travel Grant, Fall 2019

President’s Research start-up Grant, Simon Fraser University, 2015 – 2018

Grant from Office of the Vice-President (Research), University of Alberta, 2012

Social Sciences and Humanities Research Council of Canada (SSHRC) Award, Principal Investigator, “The Effects of Conflicts of Interest on Institutional Investors,” with Yawen Jiao, March 2010-March 2012

J.D. Muir Fund Research Support Award, University of Alberta, 2009

First Place, the Chicago Quantitative Alliance (CQA) Annual Academic Competition, 2007

Doctoral Student Consortium Participant, FMA 2007

Recipient of the WFA Travel Award, Boston College, 2006

Doctoral Student Consortium Participant, FMA 2005

Graduate Student Fellowship, Department of Finance, Boston College, 2002 – 2007

## **PRESENTATIONS AT CONFERENCES**

Financial Management Association (FMA) Annual Meetings 2019, 2011, 2008, 2006

The Financial Intermediation Research Society (FIRS) Conference 2019, 2012

Western Economic Association (WEAI) Annual Conference 2019

Beedie's Research Colloquium & Lunch 2018

American Finance Association (AFA) Annual Meetings 2015

European Finance Association (EFA) Annual Meetings 2014

China International Conference in Finance 2011

Triple Crown Conference 2011

Northern Finance Association (NFA) Annual Meetings 2011, 2008, 2005

FMA Doctoral Student Consortium 2007, 2005

The Chicago Quantitative Alliance (CQA) Fall Conference 2007

Western Finance Association (WFA) Annual Meetings 2006

## **SEMINAR PRESENTATIONS**

State University of New York (SUNY) at Oneonta

Clark University

University of Alberta

University of Richmond

Chinese University of Hong Kong

City University of Hong Kong

Instituto de Empresa Business School

San Francisco State University

Analysis Group

Simon Fraser University

## **MEDIA MENTIONS**

The Role of Public Pension Funds in Corporate Governance. The Columbia Law School Blue Sky Blog, October 24, 2018.

The role of mutual fund in corporate governance. Harvard Law School Forum, June 30, 2016.

A scary movie: filling your 401(k) with company stock. New York Times, March 20, 2015.

Failing 401(k) sponsors cling to their own stock. Benefitspro, February 11, 2015.

How pensions impact corporate financial distress. Plansponsor, February 9, 2015.

How to bankrupt a plan sponsor (hint: not with an underfunded DB plan). Chief Investment Officer, February 2, 2015.

## **TEACHING EXPERIENCE**

**Simon Fraser University** 2015 – present

Derivative Securities (Undergraduate)

Investments (Undergraduate)

**University of Alberta** 2008 – 2015

Operation of Financial Institutions (Undergraduate)

Securities Markets and Financial Intermediation (MBA)

**Boston College** Fall 2006

Investments (Undergraduate)

## **STUDENT SUPERVISION**

External Examiner for M.Sc. Candidate, University of Lethbridge, April 2020

Supervisor for MSC Finance Students: December 2019, Simon Fraser University

Ph.D. Committee: Sam S. Monfared (defended in 2018), Simon Fraser University

Second Reader for MSC Finance Students: December 2018, December 2017, December 2016, Simon Fraser University

## **ACADEMIC SERVICE AND AFFILIATIONS**

## **Program Committee**

Northern Finance Association Annual Meeting (NFA), 2020, 2019, 2018, 2017, 2016

European Finance Association Annual Meeting (EFA), 2021, 2020, 2019, 2018, 2017, 2016, 2015

Financial Management Association Annual Meetings (FMA), 2016, 2015, 2007

Midwest Finance Association meeting (MFA), 2015

23rd Australasian Finance and Banking Conference, 2010

## **Ad Hoc Referee**

*Canadian Journal of Administrative Sciences (2021)*

*Management Science*

*Internal Journal of Banking, Accounting and Finance*

*Finance Research Letters*

*Journal of Humanities and Applied Social Sciences*

*International Review of Economics and Finance*

*Pacific Basin Finance Journal*

*Financial Analysts Journal*

*Canadian Journal of Administrative Sciences*

*Journal of Banking and Finance*

*Financial Management*

*Managerial Finance*

*Journal of Economics & Management Strategy*

*Emerging Markets Finance and Trade*

*European Accounting Review*

*Asia-Pacific Journal of Financial Studies*

## **Professional Affiliations**

American Finance Association (AFA)

Western Finance Association (WFA)

Financial Management Association (FMA)

Northern Finance Association (NFA)

European Finance Association (EFA)

**Discussant/Chair**

Financial Management Association Annual Meetings (FMA), 2019, 2016 2015, 2008, 2007

Northern Finance Association Annual Meetings (NFA), 2019, 2018, 2017, 2016, 2015, 2005

Frontiers in Finance (Banff), 2010, 2009, 2008

**Conference/Grant reviewer**

SSHRC Insight Grant 2015, 2014

Society for Financial Studies SFS Cavalcade 2011/2012

**Internal Services**

Undergraduate Curriculum Committee Member, Simon Fraser University, 2019-2020, 2015-2016

International Programs Committee Member, Simon Fraser University, 2019-2020

Tenure and Promotion Committee Member, Simon Fraser University, 2018-2019, 2016-2017

Research Committee, Simon Fraser University, 2017-2018

Undergraduate Strategic Enrollment Management Committee, 2017-2018

B3 Theme 4 Day 1 Group Member, Simon Fraser University, 2016

B3RT Nominating Committee Member, Simon Fraser University, 2016

Finance Seminar Coordinator, Simon Fraser University, 2016-present

Library Committee Member, University of Alberta (2009-2011)

## **OTHER PUBLICATIONS**

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Duan, Ying, Feng, Zongxian, 1998. An Application of Effective Tariff Protection Theory to Tariff Concession in China, *Journal of International Trade (China)*, Dec. 1998, 6-11