

JOHN D. KNOFF
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CURRENT POSITION

- School of Business PMBA Academic Director, University of Connecticut, 2016 to present.
- School of Business CITI Interim Academic Director, University of Connecticut, 2019 to present

ACADEMIC EXPERIENCE

- University of Connecticut - Associate Professor, 2010 to present.
- Stamford Campus School of Business Director, University of Connecticut, 2014 to 2020.
- University of Connecticut - Assistant Professor, 2004 to 2009.
- Seton Hall University - Associate Professor, 2002 to 2004.
- Pace University - Assistant Professor, 1995 to 2002.
- New York University - Visiting Assistant Professor, 1994 to 1995.
- Gothenburg University - Visiting Assistant Professor, 1992 to 1994.
- New York University - Adjunct Assistant Professor or Instructor, 1986 to 1992.
- Towson State University - Instructor, 1981 to 1983.

PROFESSIONAL EXPERIENCE

- Wrote Expert Opinion Letters and/or Conducted Training for the following clients: AT&T Wireless, Bankers Trust, Booz Allen Hamilton, Credit Suisse First Boston, D.E. Shaw, Deutsche Bank, Goldman Sachs, Lehman Brothers, ING, Metropolitan Life, McKinsey & Co., Moore Capital Interwoven, Morgan Stanley, Salomon Smith Barney, World Bank, Republic National Bank, Fragomen Del Rey & Bernsen, Merrill Lynch, UBS Warburg, and Verizon.

EDUCATION

- New York University - Ph.D. 1993. Major: Finance; Minor: Statistics and OR.
- New York University - M.Phil. 1987. Major: Finance.
- Loyola College - M.B.A. 1981. Concentration: Finance.
- Ithaca College - B.A. 1979. Major: Economics; Minor: Mathematics

EDITORIAL AND REFEREE ACTIVITY

- Editorial Boards: *UConn School of Business Magazine*, *Journal of Emerging Market Finance*
- Ad Hoc Referee, *Journal of Banking and Finance*, *European Financial Management*, *Journal of Empirical Finance*, *Quarterly Review of Economics and Finance*, *Financial Review*, *International Review of Economics*, *Journal of Financial Services Research*, *Journal of Financial Stability*.

HONORS, AWARDS AND GRANTS

- Ackerman Scholar – In recognition of significant and continuing all-round academic productivity - School of Business, University of Connecticut, 2009 – 2011.
- Summer Research Grant – School of Business, University of Connecticut, 2010.
- Connecticut Center for Entrepreneurship and Innovation Research Grant - School of Business, University of Connecticut, 2008.
- Readers' Choice Best Paper Award - *European Financial Management*, 2007.
- CIBER Research Grant - School of Business, University of Connecticut, 2005.
- Seton Hall University - Provost Award for Best Research Paper, 2004.
- Lubin School Summer Research Grant - Pace University, 1998.
- Lubin Faculty Scholarly Research Award - Pace University, 1996.
- Gothenburg School of Economics Research Grant - Gothenburg University, 1994.
- Bankförskings Institute Research Grant - Wallenberg Fund, 1993.
- Beta Gamma Sigma - Stern School of Business, New York University, 1987.
- Outstanding Teacher Award - Stern School of Business, New York University, 1986-87.

MEMBERSHIPS

- Financial Management Association.
- American Finance Association.
- World Affairs Forum - Stamford, Connecticut – Former Chair, Board of Directors
- Business Council of Fairfield County
- Beta Gamma Sigma

PUBLICATIONS

- “Do Managers Seek Control and Entrenchment,” with P. Borochin. *Journal of Corporate Finance*, April 2021.
- *Lead Article*. “The Role of the Chief Legal Officer in Corporate Governance,” with R. Bird and P. Borochin. *Journal of Corporate Finance*, October 2015.
- *Lead Article*. “The Impact of Local Knowledge on Banking,” with R. Bird. *Journal of Financial Services Research*, August 2015.
- “Bank Failure and CEO Compensation,” with W. Dolde. In J. Barth, C. Lin, and C. Wihlborg, eds., *Research Handbook for Banking and Governance*, Edward Elgar Publishing, 2012.
- “Do Disability Laws Impair Firm Effectiveness?” *American Business Law Journal*, with R. Bird, Spring 2010.
- “Impact of Corporate Ownership and Governance on Risk-Taking and Returns at Real Estate Investment Trusts,” with W. Dolde. *Journal of Real Estate Finance and Economics*, 2009.
- “IPOs, Clustering, Indirect Learning, and Filing Independently,” with H. Colaco, C. Ghosh and J. Teall. *Journal of Banking and Finance*, Vol. 33, 2009.
- *Lead Article*. “Do Wrongful Discharge Laws Impair Firm Performance?” with R. Bird. *Journal of Law and Economics*, May 2009.
- “Inside Shareholders' Effective Tax Rates and Dividends,” with M. Holmen and S. Peterson. *Journal of Banking and Finance*, September 2008.
- “European Integration and Executive Compensation Structures: Results from Bargaining and Merger Activity,” with J. Teall, Emerald Press, 2008.

- “Trading-off Corporate Control and Personal Diversification through Capital Structure and Merger Activity,” with M. Holmen and S. Peterson. *Journal of Business, Finance and Accounting* November/December 2007.
- *Readers’ Choice Best Paper Award*. “Managerial Stock Option and the Hedging Premium,” with N. Hagelin, M. Holmen and B. Pramborg. *European Financial Management*, September 2007.
- “Minority Shareholder Protections and the Private Benefits of Control for Swedish Mergers,” with M. Holmen, *Journal of Financial and Quantitative Analysis*, March 2004.
- “Shareholder Wealth, Risk-Taking and Thrift Institution Governance,” with V. Gargalas and J. Teall. *Journal of Financial and Economic Practice*, Fall 2003.
- “The Price and Volatility Sensitivities of Managerial Stock Option Portfolios and Corporate Hedging,” with J. Nam and J. Thornton, *Journal of Finance*, Vol. 57, 2002.
- “The Impact of SEC Registration Requirements for IPOs on Underpricing,” with J. Teall, *Journal of Research in Finance*, Vol. 3, 2000.
- “The IPO Effect and Measurement of Risk,” with J. Teall, *Journal of Financial and Strategic Decisions*, Vol. 12, 1999.
- “Dividends and Conflicts Between Equityholders and Debtholders with Weak Monitoring: The Case of India,” with S. Gangopadhyay in J. Doukas, V. Murinde and C. Wihlborg, eds., *Financial Sector Reform and Privatization in Transition Economies*, Elsevier Science Publishers B.V., 1998.
- “Thrift Size, Risk-Taking and Return Performance,” with J. Teall, *Managerial Finance*, Vol. 23, 1997.
- “Risk Taking Behavior in the Thrift Industry: Ownership Structure and Regulatory Changes,” with J. Teall, *Journal of Banking and Finance*, Vol. 20, 1996.
- Government Regulations: The U.S. Experience,” with J. Teall in S. Gangopadhyay, W. Wadhwa, and C. Wihlborg, eds., *Enabling Financial Markets: Institutions and Regulations*, Allied Publications Limited, UNDP New Delhi, 1996.

PRESENTATIONS

- Midwest Finance Association, 2020 (Accepted), “Do Boards Have Style? Evidence from Director Style Divergence and Board Turnover,” with R. Bird, P. Borochin, L. Ma.
- Journal of Corporate Finance Special Issue Conference, 2020, “Do Managers Seek Control and Entrenchment,” with P. Borochin.
- Southern Finance Association, 2019, “Do Boards Have Style? Evidence from Director Style Divergence and Board Turnover,” with R. Bird, P. Borochin, L. Ma.
- Financial Management Association, 2019, “Do Boards Have Style? Evidence from Director Style Divergence and Board Turnover,” with R. Bird, P. Borochin, L. Ma.
- Financial Management Association, 2016, “Optimal Thrift Insider Ownership,” with P. Borochin.
- Financial Management Association, 2014, “The Value of the Chief Legal Officer to the Firm,” with R. Bird and P. Borochin.
- University of Connecticut Law School, 2014, “The Value of the Chief Legal Officer to the Firm,” with R. Bird and P. Borochin.
- Academy of Legal Studies in Business, 2013, “The Impact of Labor Mobility on Bank Performance,” with R. Bird.

- University of Gothenburg, 2011, “Opacity Risk and Ownership Structure of S&Ls,” with W. Dolde.
- Multinational Finance Conference, 2011, “IPO Amendments and Offer Price Reactions,” with C. Ghosh and H. Colaco.
- Conference on Empirical Legal Studies, 2010, “The Impact of Labor Mobility on Bank Performance,” with R. Bird.
- European Financial Management Association, 2009, “The Information Content of the Length of the IPO Registration Period,” with H. Colaco, C. Ghosh, and J. Teall.
- Centre for European Policy Studies, 2008, “CEO Compensation in Europe—Influences from the US.”
- Financial Management Association, 2008, “The Information Content of the Length of the IPO Registration Period,” with H. Colaco, C. Ghosh, and J. Teall.
- Academy of Legal Studies in Business, 2008, “Do Disability Laws Impair Firm Effectiveness?” with R. Bird.
- University of Connecticut at Stamford Faculty Colloquium Series, 2007, “Do Wrongful Discharge Laws Impair Firm Performance?” with R. Bird.
- Potsdam University, The New Business of Banking in Europe - Regional Identity vs. International Competition, 2007, “Impact of Corporate Ownership and Governance on Thrift Risk-Taking and Returns,” with W. Dolde.
- University of Connecticut Department of Economics, 2007, “Do Wrongful Discharge Laws Impair Firm Performance?” with R. Bird.
- Swedish Network for European Studies in Economics and Business, 2007, “European Integration and Executive Compensation Structures: Results from Bargaining and Merger Activity,” with J. Teall.
- Financial Management Association, 2007, “IPOs and the Degree of Independence,” with H. Colaco and J. Teall.
- Eastern Finance Association, 2007, “IPOs and the Degree of Independence,” with H. Colaco and J. Teall.
- Seton Hall University, 2007, “IPOs and the Degree of Independence,” with H. Colaco and J. Teall.
- University of Connecticut, 2006, “Impact of Corporate Ownership and Governance on Thrift Risk-Taking and Returns,” with W. Dolde.
- Financial Management Association, 2006, “Impact of Corporate Ownership and Governance on Thrift Risk-Taking and Returns,” with W. Dolde.
- Academy of Legal Studies in Business, 2006, “Do Wrongful Discharge Laws Impair Firm Performance?” with R. Bird.
- Financial Management Association, 2006, “Inside Shareholders’ Effective Tax Rates and Dividends,” with M. Holmen and S. Peterson.
- European Financial Management, 2006, “Inside Shareholders’ Effective Tax Rates and Dividends,” with M. Holmen and S. Peterson.
- Financial Management Association, 2005, “Managerial Stock Option and the Hedging Premium,” with N. Hagelin, M. Holmen and B. Pramborg.
- Financial Management Association, 2004, “The Impact of Controlling Shareholder Diversification on the Firm,” with M. Holmen and S. Peterson.
- Financial Management Association, 2002, “The Impact of Large Shareholders and Managerial Self-Interest on Corporate Capital Structure: An Empirical Study of Swedish Firms,” with M. Holmen and S. Peterson.

- European Finance Association, 2000, “Corporate Governance: An Analysis of Insider Ownership, Dual Class Shares and Pyramids,” with M. Holmen.
- European Financial Management Association, 2000, “Corporate Governance: An Analysis of Insider Ownership, Dual Class Shares and Pyramids,” with M. Holmen.
- European Financial Management Association, 1999, “The Effect of Dual Ownership and Target Shares on Shareholder Wealth: An Empirical Study of Swedish Mergers,” with M. Holmen.
- Southern Finance Association, 1999, “The Impact of SEC Registration Requirements on IPO Underpricing,” with J. Teall.
- Financial Management Association, 1999, “The Effect of Dual Ownership and Target Shares on Shareholder Wealth: An Empirical Study of Swedish Mergers,” with M. Holmen.
- European Finance Association, 1998, “The Dividend Decision: An Empirical Examination of Swedish Firms,” with S. Peterson.
- Australian Finance and Banking Association, 1998, “The Effect of Dual Ownership and Target Shares on Shareholder Wealth: An Empirical Study of Swedish Mergers,” with M. Holmen.
- Financial Management Association, 1997, “Efficiency, Non-Traditional Activities and Control in the S&L Industry,” with I. Hasan and J. Teall.
- Eastern Finance Association, 1997, “Risk Measurement and the Pricing of IPOs,” with K. Sutrick and J. Teall.
- European Financial Management Association, 1996, “The Impact of Large Shareholder and Managerial Self-Interest on Corporate Capital Structure: An Empirical Study of Swedish Firms,” with S. Peterson.