

## GUOJIN GONG

School of Business  
University of Connecticut  
Stamford, CT 06901

Email: [guojin.gong@uconn.edu](mailto:guojin.gong@uconn.edu)  
Phone: (814) 321-6717

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### ACADEMIC POSITIONS

University of Connecticut

Professor of Accounting (with tenure), August 2023—Present

Deloitte Foundation Faculty Fellow, August 2021—Present

Associate Professor of Accounting (with tenure), August 2020—May 2023

Pennsylvania State University

Associate Professor of Accounting (with tenure), August 2012—May 2020

Assistant Professor of Accounting, August 2005—May 2012

Shanghai University of Finance and Economics (China)

Visiting Associate Professor of Accounting, March—May 2015

Special-term Professor of Accounting, 2016—2018

National University of Singapore (Singapore)

Visiting Associate Professor of Accounting, August 2014—February 2015

Tsinghua University (China)

Visiting Associate Professor of Accounting, June 2015

### EDUCATION

Ph.D. in Accounting (Minor: Finance)

University of Iowa, Henry B. Tippie College of Business, 2005

M.A. in Economics

Washington University in St. Louis, 2000

B.A. in Economics

Peking University (China), School of Economics, 1997

### RESEARCH

#### REFEREED PUBLICATIONS

- “Site visits and corporate investment efficiency” with Sean Cao, Hanzhong Shi, Yongtae Kim, and Angie Wang. *Management Science* (2024) forthcoming.
- “Short interest and corporate investments: Evidence from business partners” with Xia Chen and Shuqing Luo. *Contemporary Accounting Research* 39:2 (2022) p. 1455-1508.

- “CEO employment contract horizon and financial reporting discretion” with Juan Wang and Hyun Jung Lee. *Journal of Management Accounting Research* 33:2 (2021) p.75-108.
- “Earnings forecasts and price efficiency after earnings realizations: reduction in information asymmetry through learning from price” with Hong Qu and Ian Tarrant. *Contemporary Accounting Research* 38:1 (2021) p. 654-675.
- “Relative performance evaluation and the timing of earnings release” with Laura Li and Huifang Yin. *Journal of Accounting and Economics* 67:2 (2019) p. 358-386.
- “Lenders’ experience with borrowers’ major customers and the debt contracting demand for accounting conservatism” with Shuqing Luo. *The Accounting Review* 93:5 (2018) p.187-222.
- “Inside debt and the design of corporate debt contracts” with Divya Anantharaman and Vivian Fang. *Management Science* 60:5 (2014) p.1260-1280.
  - Best Paper Award at the 2011 AAA Mid-Atlantic Region Meeting
- “Earnings non-synchronicity and voluntary disclosure” with Laura Li and Ling Zhou. *Contemporary Accounting Research* 30:4 (2013) p.1560-1589.
- “Home country investor protection, ownership structure and cross-listed firms’ compliance with SOX-mandated internal control deficiency disclosures” with Bin Ke and Yong Yu. *Contemporary Accounting Research* 30:4 (2013) p.1490-1523.
- “Relative performance evaluation and related peer groups in executive compensation contracts” with Laura Li and Jae Yong Shin. *The Accounting Review* 86:3 (2011) p.1007–1043.
  - Outstanding Paper Award at the 2010 AAA Management Accounting Section Midyear Meeting
- “Serial correlation in management earnings forecast errors” with Laura Li and Jeff Wang. *Journal of Accounting Research* 49:3 (2011) p.677-720.
- “The association between management earnings forecasts errors and accruals” with Laura Li and Hong Xie. *The Accounting Review* 84:2 (2009) p.497–530.
- “Corporate governance and backdating of executive stock options” with Daniel Collins and Haidan Li. *Contemporary Accounting Research* 26:2 (2009) p.403–445.
- “Earnings management, lawsuits, and stock-for-stock acquirers’ market performance” with Henock Louis and Amy Sun. *Journal of Accounting and Economics* 46:1 (2008) p.62–77.
- “Earnings management and firm performance following open-market repurchase” with Henock Louis and Amy Sun. *Journal of Finance* 63:2 (2008) p.947–986.

- “Investor sophistication and the mispricing of accruals” with Daniel Collins and Paul Hribar. *Review of Accounting Studies* 8:2-3 (2003) p.251–276.

#### WORKING PAPERS

- “The use of cash flows in setting CEO compensation and the design of loan contracts” with Biqin Xie and Daniel X. Jiang.
- "Setting relative performance targets in executive compensation contracts" with Laura Li and Huifang Yin.
- “Management forecast policy and liquidity provision by individual investors: Evidence from fire sales by mutual funds” with Mei Feng, Yuan Xie, and Yue Zhang.
- “Lead arrangers’ dual holding and co-lead syndicate structure” with Shuqing Luo and Qiong Wu.
- “Common ownership and peer selection in relative performance evaluation” with Sydney Shu and Lijun (Gillian) Lei.

#### ACADEMIC PRESENTATIONS

- 2023 Shanghai University of Finance and Economics (China)
- 2022 Chinese University of Hong Kong, Beijing Institute of Technology (China)
- 2021 University of Minnesota, Shanghai University of Finance and Economics (China)
- 2020 University of Connecticut
- 2019 Baruch College, New York University, Beijing Institute of Technology (China), MIT Asian Conference in Accounting
- 2018 Santa Clara University
- 2017 Nanjing Audit University (China), American Accounting Association Annual Meeting
- 2016 Georgia State University, Ohio State University, Beijing Institute of Technology (China), Beijing Technology and Business University (China), University of Iowa Sidney Winter Lecture Series, Management Accounting Section Midyear Meeting (Discussant)
- 2015 HongKong Polytechnic University, Huazhong University of Science and Technology (China), Peking University (China), Tsinghua University (China), University of International Business and Economics (China), *China Accounting and Finance Review* (CAFR) and *Journal of Accounting, Auditing and Finance* (JAAF) Joint Conference (Discussant), Overseas Chinese Accounting Scholars Symposium (hosted by National Taiwan University and National Chengchi University), Tsinghua University International Corporate Governance Conference, University of Alberta Accounting Research Conference
- 2014 University of Texas at Austin, National University of Singapore, Singapore Management University, SMU-SOAR Accounting Symposium (Discussant)
- 2013 Central University of Finance and Economics (China), Hong Kong University, Peking University (China), Tsinghua University (China), HongKong Polytechnic University Conference on Executive Compensation (Discussant), American Accounting Association Annual Meeting (Discussant)

- 2011 National University of Singapore, Binghamton University (SUNY), Syracuse University, University of Toronto, American Accounting Association Annual Meeting
- 2010 Michigan State University, Northwestern University, University of Southern California, University of Kentucky, Vanderbilt University, Financial Accounting and Reporting Section Midyear Meeting, American Accounting Association Annual Meeting
- 2009 London Business School Accounting Symposium (Discussant), Chinese Accounting Professors' Association of North America (CAPANA) Conference, American Accounting Association Annual Meeting
- 2008 Financial Economics and Accounting Annual Conference (hosted by University of Texas at Austin), American Accounting Association Annual Meeting, Financial Accounting and Reporting Section Midyear Meeting
- 2007 Financial Economics and Accounting Annual Conference (hosted by New York University), American Accounting Association Annual Meeting
- 2006 Pennsylvania State University Accounting Research Conference, American Accounting Association Annual Meeting.
- 2005 Drexel University, Emory University, Notre Dame University, Pennsylvania State University, University of California–Los Angeles, University of Connecticut, University of Illinois at Urbana-Champaign, University of Minnesota

#### CONFERENCE PARTICIPATION

- 2024 International Conference of the *Journal of International Accounting Research* (hosted by National Taiwan University), Management Accounting Section Midyear Meeting
- 2023 *Review of Accounting Studies* Annual Conference (hosted by University of Cambridge), *Contemporary Accounting Research* Annual Conference, *Journal of Accounting, Auditing, and Finance* Symposium (hosted by Fordham University), Yale Summer Accounting Conference, China International Conference in Finance (virtual)
- 2022 *Review of Accounting Studies* Annual Conference (hosted by Stanford University), *Contemporary Accounting Research* Annual Conference, Yale Summer Accounting Conference, Chinese Accounting Professors' Association of North America (CAPANA) Annual Conference
- 2021 *Contemporary Accounting Research* Annual Conference, Yale Summer Accounting Conference, Baruch/Fordham/Rutgers Virtual Accounting Conference, Chinese Accounting Professors' Association of North America Annual Conference
- 2020 Yale Summer Accounting Conference, *Review of Accounting Studies* Annual Conference (hosted by Stanford University)
- 2018 Chinese Accounting Professors' Association of North America Annual Conference
- 2017 University of Alberta Accounting Research Conference, Chinese Accounting Professors' Association of North America Annual Conference, New Institutional Accounting Research Conference (hosted by Shanghai University of Finance and Economics, China)
- 2016 International Symposium on Accounting Research in China Annual Conference (hosted by Dongbei University of Finance and Economics, China), University of Iowa Sidney Winter Lecture Series, KPMG National Faculty Symposium
- 2015 Asian Bureau of Finance and Economic Research Annual Meeting, Singapore, *China Accounting and Finance Review* (CAFR) and *Journal of Accounting, Auditing and Finance* (JAAF) Joint Conference, Oversea Chinese Accounting Scholars Symposium (hosted by National Taiwan University and National Chengchi University), Tsinghua University

- International Corporate Governance Conference, University of Alberta Sixth Accounting Research Conference
- 2014 CGIO Academic Conference on Business Groups (hosted by National University of Singapore), *Review of Accounting Studies* Annual Conference (hosted by University of British Columbia), SMU-SOAR Accounting Symposium (hosted by Singapore Management University)
- 2013 Washington University in St. Louis Nick Dopuch Accounting Research Conference, Hong Kong Polytechnic University Conference on Executive Compensation, George Washington University Accounting Research Conference
- 2012 Washington University in St. Louis Nick Dopuch Accounting Research Conference
- 2011 University of Iowa Sidney Winter Lecture Series
- 2010 Chinese Accounting Professors' Association of North America Annual Conference, University of Toronto Fourth Annual Accounting Research Conference
- 2009 *Contemporary Accounting Research* Annual Conference (Montreal, Canada), Chinese Accounting Professors' Association of North America Annual Conference, London Business School Accounting Symposium, *Review of Accounting Studies* Annual Conference (hosted by Tilburg University), University of Toronto Third Annual Accounting Research Conference, Washington University in St. Louis Nick Dopuch Accounting Research Conference
- 2008 AAA/Deloitte Foundation TrueBlood Seminar for Professors, Chinese Accounting Professors' Association of North America Annual Conference, PricewaterhouseCoopers University for Faculty
- 2007 *Contemporary Accounting Research* Annual Conference (Montreal, Canada), FASB Faculty Consortium, University of Delaware Symposium on Backdating Options
- 2006 American Accounting Association New Faculty Consortium, University of Iowa Sidney Winter Lecture Series
- 2005 Pennsylvania State University Accounting Research Conference
- 2003 *Journal of Accounting and Economics* Annual Conference (hosted by Northwestern University)
- 2002 American Accounting Association Doctoral Consortium (Tahoe City), *Review of Accounting Studies* Annual Conference (hosted by University of Michigan)
- 2001 Big10+ Doctoral Consortium (hosted by University of Michigan)

## TEACHING EXPERIENCE

### University of Connecticut

- ACCTG 3201 Intermediate Financial Accounting I, Undergraduate-Level, 2020-current
- ACCTG 2001 Principles of Financial Accounting, Undergraduate-Level, 2020-current

### Pennsylvania State University

- ACCTG 471 Intermediate Financial Accounting, Undergraduate-Level, 2005–2020
- ACCTG 597 Research Seminar, Doctoral-Level, 2019–2020
- ACCTG 590 Research Methodology, Doctoral-Level, 2009–2010

### National University of Singapore

- BAA 6001 Empirical Research in Accounting I, Doctoral-Level, Fall 2014

University of Iowa

6A: 001 Introductory Financial Accounting, Undergraduate-Level, 2001–2004

## SERVICES

### EDITORIAL BOARDS

*China Accounting and Finance Review*, Associate Editor, 2015–2017, 2023—2025

*Contemporary Accounting Research*, Editorial Board Member, 2014–2020

*Journal of Accounting, Auditing, and Finance*, Editorial Board Member, 2022—present

### AD HOC REFEREE

*Abacus*

*Accounting Review*

*Accounting, Organizations and Society*

*Contemporary Accounting Research*

*Emerging Markets Finance and Trade*

*European Accounting Review*

*Financial Analysts Journal*

*Journal of Accounting, Auditing, and Finance*

*Journal of Accounting and Economics*

*Journal of Accounting and Public Policy*

*Journal of Accounting Research*

*Journal of Business Finance & Accounting*

*Journal of Empirical Finance*

*Journal of Empirical Legal Studies*

*Journal of Financial Research*

*Journal of Management Accounting Research*

*Management Science*

*Pacific-Basin Finance Journal*

*Review of Accounting Studies*

*Review of Financial Studies*

*Review of Finance*

AAA Annual Meetings

AAA Financial Accounting and Reporting Section (FARS) Midyear Meetings

AAA Mid-Atlantic Region Meetings

MIT Asia Conferences in Accounting

Chinese Accounting Professors' Association of North America (CAPANA) Conferences

Research Grant Council (RGC) of Hong Kong Government

### COMMITTEES

University of Connecticut

Business School Teaching & Research Committee, 2024-current

Business School Business & Society Committee (Chair), 2021-current

Business School PwC Challenge Case Competition, Faculty Mentor, 2021

Business School Diversity Committee, 2020

In-Residence Faculty Reappointment & Promotion Committee (Chair), 2021-current

- In-Residence Faculty Recruiting Committee, 2021
- Department Promotion & Tenure Committee, 2020-current
- Faculty Recruiting Committee, 2020-current
- Ph.D. Admission Committee, 2020-current
- Ph.D. Advising
  - Jingyu Xu, dissertation committee
  - Vernan Rivera, second-year paper committee (Chair)
  - Minah Lee, second-year paper committee (Chair)
  - Xiao Yu, second-year paper committee (Chair)

#### Pennsylvania State University

- Business School Promotion & Tenure Committee, 2019
- Accounting Research Conference Committee, 2014 (Chair), 2019
- Advisory Committee for Academic Databases and Computing, 2015-2020
- Clinical Professor Searching Committee, 2015
- Department Advisory Committee, 2007-08, 2010-11
- Faculty Recruiting Committee, 2008-2020
- Ph.D. Comprehensive Exam Committee (Chair), 2013
- Ph.D. Admission Committee, 2005-06, 2009-2020
- Research Colloquium Organizer, 2009-2011
- Smeal Competitive Research Committee, 2012-2017
- Undergraduate Curriculum Task Force (Chair), 2012
- Undergraduate Curriculum Committee, 2007-2008, 2015 (Chair)
- Undergraduate Policy Committee, 2006-2013
- Ph.D. Dissertation Committees
  - Yue Zhang, 2020 (initial placement: Baruch College)
  - Di Guo, 2019 (initial placement: Hong Kong Baptist University)
  - Ian Tarrant, 2017 (initial placement: University of Buffalo)
  - Bjorn Berg, 2015 (Chair, initial placement: Loyola University)
  - Kristy Schenck, 2012 (initial placement: Bucknell University)
  - Yuan Wang, 2012 (Finance, initial placement: Concordia University)
  - Maya Thevenot, 2007 (initial placement: SUNY, Fredonia)

#### American Accounting Association (AAA)

- President, Chinese Accounting Professors' Association of North America (CAPANA), 2018-19
- Vice President, Chinese Accounting Professors' Association of North America (CAPANA), 2017-18
- FARS Midyear Meeting Research Program Committee, 2015
- FARS Best Dissertation Award Committee, 2014
- Annual Meeting Research Program Committee, 2012

#### EXTERNAL EVALUATOR

- Tenure promotion packages, 2014 (1), 2015 (2), 2019 (1), 2021 (1), 2022 (1)

#### **WORK EXPERIENCE**

Auditor, KPMG Huazhen CPA, Beijing, 1997–1998

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