Curriculum Vitae

Hong Yan

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EDUCATION

Ph.D.	Finance	1999	University of California at Berkeley

Dissertation: *Equilibrium Asset Pricing with Uncertain Investment Opportunities*

Ph.D.	Applied Physics	1991	University of Michigan – Ann Arbor
M.S.	Physics	1988	Michigan State University
B.S.	Physics	1985	University of Science and Technology of China

ACADEMIC POSITIONS

Professor of Finance, Shanghai Advanced Institute of Finance (SAIF) at Shanghai Jiao Tong University, 2011 –

Associate Professor of Finance (with tenure), University of South Carolina, January 2009 – August 2014 (on leave, 2010-2012 academic years; half-time, 2012-2014 academic years)

Visiting Associate Professor, University of Hong Kong, July 2009

Resident Scholar, Federal Reserve Board, Washington DC, April 2009

Visiting Associate Professor, Cheung Kong Graduate School of Business (China), July 2008

Assistant Professor of Finance, University of South Carolina, August 2006 – December 2008

Visiting Academic Scholar, U.S. Securities & Exchange Commission, August 2005 – July 2006

Assistant Professor of Finance, University of Texas at Austin, July 1999 – July 2006

Research Assistant Professor of Materials Science and Engineering, University of Washington, Seattle, WA, July 1991 – August 1994

AWARDS AND GRANTS

Best Paper Award, 2014 Conference on Financial Markets and Corporate Governance

National Science Foundation of China Grant, 2013-2016

Shanghai Thousand Talents Award, 2012

Crowell Memorial Prize (second place), 2010, PanAgora Asset Management

Haitian Scholar, 2009, Dalian University of Technology, Dalian, China

Dean's Scholar, 2008-2009, Moore School of Business, University of South Carolina

Best Paper Award, 2008, 6th NTU International Conference on Economics, Finance and Accounting

Q Group Grant, 2007, Institute for Quantitative Research in Finance

Summer Research Assignment, 2000, University of Texas at Austin

Best Paper Award, 1999, 8th International Conference on the Theory and Practice of Securities Markets, Kaohsiung, Taiwan

UC Regents Fellowship, 1994 – 1995, University of California at Berkeley

Dean Witter Scholarship, 1994 – 1995, University of California at Berkeley

Faculty Research Grant, 1992 – 1993, University of Washington in Seattle

Rackham Pre-Doctoral Fellowship, 1990 – 1991, University of Michigan – Ann Arbor

Outstanding Student Awards, 1981 – 1984, University of Science and Technology of China

RESEARCH

Areas of Interest

Asset pricing: corporate decisions and security returns; information and learning in financial markets; credit risk and returns on stocks and bonds; market liquidity; financial derivatives and risk management; portfolio choice.

Financial intermediaries: mutual funds, hedge funds, and financial analysts.

Emerging markets: financial market development, role of foreign and/or institutional investors in these markets, especially in China.

Publications in Refereed Journals

1. Dynamic Models of the Term Structure**,** *Financial Analyst Journal, July/August,* 60 – 76, 2001.
2. Macroeconomic Conditions, Firm Characteristics and Credit Spread Dynamics (with Dragon Tang), *Journal of Financial Services Research*, 29, 177 – 210, 2006 *(solicited and lead article).*
3. Participation Costs and the Sensitivity of Fund Flows to Past Performance (with Jennifer Huang and Kelsey Wei), *Journal of Finance*, 62, 1273 – 1311, 2007.
4. Conflicts of Interest in Sell-side Research and the Moderating Role of Institutional Investors (with Alexander Ljungqvist, Felicia Marston, Laura Starks and Kelsey Wei), *Journal of Financial Economics,* 85, 420-456, 2007.

5. The Impact of Foreign Portfolio Flows on Volatility in Emerging Markets: Evidence from Thailand (with Pantisa Pavabutr), *Australian Journal of Management*, 32, 345-368, 2007.
6. Default Risk, Shareholder Advantage, and Stock Returns (with Lorenzo Garlappi and Tao Shu), *Review of Financial Studies*, 21, 2743-2778, 2008.
7. Estimation Uncertainty and the Equity Premium, *International Review of Finance*, 9, 243-268, 2009. (*solicited*)
8. Market Conditions, Default Risk and Credit Spreads (with Dragon Tang), *Journal of Banking and Finance*, 34, 743-753, 2010.
9. Financial Distress and the Cross Section of Equity Returns (with Lorenzo Garlappi), *Journal of Finance*, 66, 789-822, 2011. (Crowell Memorial Prize, second place, 2010, PanAgora Asset Management)
10. Asset Return Predictability in a Heterogeneous Agent Equilibrium Model (with Murray Carlson, David Chapman and Ron Kaniel), *Quarterly Journal of Finance*, 5, 1-45, 2015.
11. Internal Control Quality and Credit Default Swap Spreads (with Dragon Tang and Feng Tian), *Accounting Horizons*, 29, 603-629, 2015.
12. Understanding Transaction Prices in the Credit Default Swaps Market (with Dragon Tang), *Journal of Financial Markets*, 32, 1-27, 2017. (Lead Article).
13. Specification Error, Estimation Risk, and Conditional Portfolio Rules (with Murray Carlson, David Chapman and Ron Kaniel), *International Review of Finance*, 17, 263-288, 2017.

Other Publications

14 papers published in major refereed journals in physics and materials science. In addition, 8 papers published as book chapters or in conference proceedings. (A list is provided at the end of the CV.)

Working Papers

1. Credit Default Swaps and Bank Regulatory Capital (with Susan Shan, Dragon Tang, and Xing Zhou) (2019)
2. CDS Trading and Banking Relationships (with Susan Shan and Dragon Tang) (2019)

   Best Paper Award, 2014 Conference on Financial Markets and Corporate Governance
3. The Economics of Asset Securitization (with Weidong Tian) (2019)
4. On the Performance and Risk Attributes of Hedge Funds in China (with Yi Hong, Jinlong Jiang, Xi Zhao) (2019)

5. Haigui Hedge Funds (with Lu Li, Yan Lu, and Sugata Ray) (2019)
6. Ensemble Modeling in Machine Learning with an Application to Trading in Chinese ETFS (with Ahmet Goncu and Xi Zhao) (2019)
7. An Analysis of Fund Returns in China (with Ahmet Goncu and Xi Zhao) (2019)
8. Market Risk Analysis of Volatility Futures within GARCH-Type Models: Implications for Margin Management (with Yi Hong and You Wang) (2019)
9. The Value and Profitability Premiums (with Liang Ma) (2018)
10. Does Legal Enforcement Matter for Financial Risks? The Case of Strategic Default in China (with Haoyu Gao, Xiaoguang Yang, and Lin Zhao) (2018)
11. Do Credit Default Swaps Matter after They Are Settled? Evidence from Debt Recovery Rates (with Min Qi, Dragon Tang, and Deming Wu) (2018)
12. Predicting Financial Distress in China: Loan Market vs Stock Market (with Haoyu Gao, Xiaoguang Yang, and Lin Zhao) (2015)
13. Foreign Portfolio Flows and Emerging Market Returns: Evidence from Thailand (with Pantisa Pavabutr) (2014)
14. Investor Learning and Mutual Fund Flows (with Jennifer Huang and Kelsey Wei) (2012)
15. Liquidity and Credit Default Swap Spreads (with Dragon Tang) (2012)

    Recipient of a 2007 Q Group grant; Best Paper Award, 2008, 6th NTU International Conference on Economics, Finance and Accounting
16. Analysts' Incentives and Systematic Forecast Bias (with Senyo Tse) (2010)
17. Risk, Dispersion of Analyst Forecasts and Stock Returns (with Shisheng Qu and Laura Starks) (2004)
18. The Equilibrium Risk Structure of Interest Rates (with Terry Marsh) (2003)
19. Uncertain Growth Prospects, Estimation Risk, and Asset Prices (2000)
20. Predictability of Equity Returns: An Equilibrium Perspective (1999)

Conference Presentations (partial list)

2018 NUS Mathematical Finance Conference, Singapore

2017 JOIM Spring Conference, San Diego, CA, USA

2015 European Finance Association Annual Meeting, Vienna, Austria

2015 China International Conference in Finance, Shenzhen, China

2015 SAIF/Moody's Credit Research Conference, Shanghai, China

13th C.R.E.D.I.T. Conference, 2014, Venice, Italy

2013 Annual Conference in Fixed Income, Charleston, SC, USA

2012 Forum on Finance and Insurance, Keynote Speaker, Wuhan, China

2012 International Conference on Risk Management and Corporate Finance, Keynote Speaker, Dalian, China

2012 American Finance Association Annual Meeting

2011 China International Conference in Finance, Wuhan, China

Sixth MTS Conference on Financial Markets (2010), London

2010 China International Conference in Finance, Beijing

2009 Journal of Investment Management Fall Conference, Boston

Third Annual Risk Management Conference (NUS, 2009), Singapore

2009 China International Conference in Finance, Guangzhou

1st CAFR/SAIF Summer Finance Institute (2009), Shanghai

2009 Michigan Mitsui Life Symposium, Ann Arbor

2008 Inquire Europe Autumn Seminar, Bordeaux, France

2nd Bank of Canada Conference on Fixed Income Markets, 2008, Ottawa, Canada

2008 CKGSB Finance Summer Workshop, HangZhou, China

2008 China International Conference in Finance, Dalian

2008 American Finance Association Annual Meeting

2007 Conference on the Interaction of Market and Credit Risk (*Deutsche Bundesbank and BIS Basel Committee*), Berlin

2006 China International Conference in Finance, Xian

2005 Western Finance Association Annual Meeting, Portland, OR

3rd C.R.E.D.I.T. Conference, 2004, Venice, Italy

2004 China International Conference in Finance, Shanghai

2002 American Finance Association Annual Meeting

2000 American Finance Association Annual Meeting

Invited Seminar Presentations

People's University of China (2017), New York University (2016), Rutgers (2016, 2010), University of California at Riverside (2016), Shanghai Advanced Institute of Finance (2016), City University of Hong Kong (2015), George Mason University (2014), University of South Carolina (2013, 2007, 2005), University of Melbourne (2013), Australian National University (2013), Nanjing University (2012), Cheung Kong Graduate School of Business (2012, 2004), Peking University (2011), Shanghai University of Finance and Economics (2011), National University of Singapore

(2011), Singapore Management University (2011), Nanyang Technological University (2011), Fudan University (2011, 2004, 2002), Hong Kong University of Science and Technology (2010, 2005, 2002, 1999), Chinese University of Hong Kong (2010), Baruch (2010), PanAgora Asset Management (2010), Federal Reserve Board (2009, 1999), U.S. Securities & Exchange Commission (2009, 2005), University of Hong Kong (2009, 2005), University of North Carolina at Charlotte (2009), State Street Global Advisors (2008), Temple University (2007), Texas Tech University (2007), Boston University (2005), University of Waterloo (2005), George Washington University (2005), University of Toronto (2005, 1999), Binghamton University (2005), University of Texas at Austin (2004, 2003, 1999), Moody's KMV (2004), University of North Carolina at Chapel Hills (2003), Australian Graduate School of Management (2003), University of Wisconsin-Madison (2002), Rice University (1999), University of California-Irvine (1999), Georgetown University (1999), University of Utah (1999), University of Pennsylvania (Wharton) (1999), University of California at Berkeley (1998)

Conference Discussion

2019 European Finance Association Annual Meeting

2014 Singapore Management University Summer Institute of Finance

11th China International Conference in Finance (2013)

2013 IRF Conference on Japanese Financial Markets

2012 HKUST Finance Symposium

2012 CAFR/CKGSB Summer Finance Institute

10th China International Conference in Finance (2012)

2011 Western Finance Association Annual Meeting

9th China International Conference in Finance (2011)

2nd CAFR/SAIF Summer Finance Institute (2010, Shanghai)

Emerging Market Finance Conference (2010, Beijing)

8th China International Conference in Finance (2010) – 2 discussions

Third Annual Risk Management Conference (2009, NUS, Singapore)

7th China International Conference in Finance (2009)

1st CAFR/SAIF Summer Finance Institute (2009)

2009 Western Finance Association Annual Meeting

6th China International Conference in Finance (2008) – 2 discussions

2007 Western Finance Association Annual Meeting

2007 Federal Reserve Board Conference on Credit Risk

2007 American Economic Association Annual Meeting

4th China International Conference in Finance (2006) – 3 discussions

15th Annual Conference on Financial Economics and Accounting (2004)

2nd China International Conference in Finance (2004)

2003 Financial Management Association Annual Meeting – 2 discussions

4th International Conference on Financial Market Development in Emerging and Transition Economies, Hong Kong (2001)

2000 Texas Finance Festival

10th Annual Conference on Financial Economics and Accounting (1999)

Professional Services

Managing Editor, *International Review of Finance*, a journal of Asian Finance Association and Nippon Finance Association, 2012 – 2018

Associate Editor, Financial Review, 2015 – 2018

Editorial Board, *Journal of Alternative Investment*, 2014 – 2018

Program Chair (2013-2014) and Program Co-Chair (2012), *China International Conference in Finance* (CICF)

Program Co-Chair (2016-2019), *China Financial Research Conference* (CFRC)

Organizer or Co-organizer, *Summer Institute of Finance* (SIF), 2017-2019

Co-organizer, *SAIF-NBER Research Conference*, June 2018, June 2020

Program Track-Chair (2013-2014), *Midwest Finance Association Annual Meeting*

Organizer, *SAIF-Moody's Credit Research Conference, 2014-2015*

Program committee membership for *Western Finance Association (2009-), European Finance Association (2013-), China International Conference in Finance (2010-), Financial Management Association (2007, 2008, 2010), SAIF/CKGSB Summer Institute of Finance (2012-), MIT Asia Accounting Conference (2013-2016), University of South Carolina Fixed Income Conference (2013-2015)*

Member of China Academic Council, *Moody's*

Ad hoc referee for *Journal of Finance*, *Review of Financial Studies*, *Journal of Monetary Economics*, *Journal of Financial and Quantitative Analysis*, *Review of*

Finance, Management Science, Review of Economics and Statistics, Journal of Money Credit and Banking, Journal of Mathematical Economics, Journal of Banking and Finance, Journal of Empirical Finance, Journal of Economic Dynamics and Control, Operations Research, International Review of Finance, Journal of Risk and Insurance, Pacific-Basin Finance Journal, European Financial Management, Review of Derivatives Research, Journal of Credit Risk, Financial Review; The Research Grants Council (RGC) of Hong Kong

TEACHING

Courses Taught:

Shanghai Advanced Institute of Finance, Shanghai Jiao Tong University

Fixed Income Securities (MBA), Spring/Fall 2010, Spring 2011, Fall 2014-2016

Investment Management (MBA), Spring 2011

Principles of Finance (MBA), Fall 2012, 2013, 2015-2018

University of South Carolina

Asset Pricing Theory (PhD), Fall 2008

Research in Finance (PhD), Fall 2006

Investment Management (IMBA), Fall 2008, 2009

Derivatives Products and Analysis (IMBA), Spring 2013, 2014

China Immersion (IMBA), Spring 2008-2010

Investment Analysis and Portfolio Management (undergraduate), Spring/Fall 2007

University of Texas at Austin

Investment Theory and Practice (MBA), Spring 2000 - 2002, 2004, 2005

Asset Pricing Theory (PhD), Fall 2001 - 2003

Research in Finance (seminar/PhD), Fall 2002

Special Topics in Investment (MPA), Fall 2002

University of California at Berkeley

Corporate Finance (MBA), TA (for Prof. Hayne Leland)
Security Markets and Investment Policies (MBA), TA (for Prof. Terry Marsh)
Introduction to Financial Management (undergraduate), TA

University of Washington, Seattle

Computational Methods for Materials Science (PhD), Fall 1992

Engineering Mechanics (undergraduate), Fall 1993

Ph.D. Dissertation Advising:

Shanghai Advanced Institute of Finance, Shanghai Jiao Tong University

Chair of PhD Dissertation Committees (with first placements)

Can Chen (2018, China Universal Asset Management Co.)

Qing Liu (ongoing)

Member of PhD Dissertation Committees

Yuan Shao (2016), Chenjun Fang (2017), Yuchi Gu (ongoing)

University of South Carolina

Member of PhD Dissertation Committees

Monica Morin (2008), Liang Shao (2010), Gang Xiao (2012)
Liying Wang (2015)

University of Texas at Austin

Co-chair of PhD Dissertation Committees (with first placements)

Pantisa Pavabutr, 2004, Tommasat University (Thailand) (tenured, co-chaired with Prof. Sheridan Titman)

Yongjun (Dragon) Tang, 2005, Kennesaw State University (now tenured at University of Hong Kong, co-chaired with Prof. Sheridan Titman)

Shisheng Qu, ABD, Moody's KMV (now at PIMCO, co-chaired with Prof. Laura Starks)

Member of PhD Dissertation Committees

2001: Cantekin Dincerler (Finance)

2002: Byeongwook Choi (MSIS)

2003: Chuanhou Yang (MSIS/Insurance), Xiaojun Yang (Economics), Fei Zou (Finance)

2004: Jose Olivares (Finance), Victoria K. Vernon (Economics)

2005: Fuad Hasanov (Economics), Guan Gong (Economics), Sergey Kolos (Applied Math/Finance), Shuyun Li (Economics), Fang Fang (MSIS)

2006: Satyajit Chandrashekar (Finance)

University of Washington, Seattle

PhD Dissertation Committees (materials science and engineering, 3)

SERVICES

Deputy Dean for MBA and MF Programs, Shanghai Advanced Institute of Finance MBA/MF Program (2011-2012), EMBA/EE/DBA (2017-2019), Faculty and Research (2019-present)

Academic Director, Executive MBA/Non-Degree Programs and DBA Program, Shanghai Advanced Institute of Finance (SAIF), 2017 – present

Deputy Director, China Academy of Financial Research, Shanghai Jiao Tong University, 2012 – 2014, 2017 – 2019

Founding Director, China Hedge Fund Research Center, China Academy of Financial Research, Shanghai Jiao Tong University, 2015 – present

Founding Director, Securitization Research Lab, China Academy of Financial Research, Shanghai Jiao Tong University, 2015 – present

Numerous Committees at Shanghai Advanced Institute of Finance (SAIF), 2011 – present

MBA Director, Shanghai Advanced Institute of Finance (SAIF), 2010 – 2012

University Chapter Director, Global Association of Risk Professionals (GARP) – *Moore School of Business, University of South Carolina*, *2009-2010*

Moore School of Business Strategic Planning Committee – Task Force on Research and PhD Program – *University of South Carolina, 2007*

Finance Faculty Recruiting Committee – *University of South Carolina, 2006-2010*

Finance PhD Curriculum and Admission – *University of South Carolina, 2006-2007*

PhD Program Monitoring and Admissions Committee – *UT-Austin, 2001-2004*

Finance Faculty Recruiting Committee (ad hoc) – *UT-Austin, 2000-2005*

Advisor for MBA independent studies (8) – *UT-Austin, 2000-2005*

OTHER PROFESSIONAL EXPERIENCE

Consultant, U.S. Securities & Exchange Commission, 2006-2007

Research Fellow, China Center of Fixed Income Research, Fudan University, Shanghai, China, 2003-2006

Consultant, Gifford Fong Associates, Lafayette, CA, 1997-1998

Consultant, Nomura Research Institute of America, San Francisco, CA, 1995-1996

MEDIA APPEARANCES

Wall Street Journal (9/26/2011)

Numerous appearances and interviews in Chinese media (print and TV) since 2010

WACH-TV, WIS-TV, WLTX-TV, WOLO-TV, Carolina Minute (Radio), South Carolina Radio Network, Greenville News (print), South Carolina Regional Business Publication, Columbia Business News (print)

PROFESSIONAL AFFILIATIONS

Member of American Finance Association and Western Finance Association

The Chinese Finance Association (U.S.) *Chairman, 1996 – 1997; Director, 1995 – 1998*

PAST RESEARCH IN PHYSICS AND MATERIALS SCIENCE

Published Papers in Refereed Journals:

1. "Band Structure of Compensated *n-i-p-i* Superlattices", Hong Yan and H.X. Jiang, *Physical Review B*, 37, 6425 (1988).
2. "Stability of Networks under Tension and Pressure", Hong Yan, A.R. Day and M.F. Thorpe, *Physical Review B*, 38, 6876 (1988).
3. "Fracture Growth in 2-D Networks with Born Model", Hong Yan, G. Li and L.M. Sander, *Europhysics Letters*, 10, 7 (1989).
4. "Roughening Phase Transition in Surface Growth", Hong Yan, D.A. Kessler and L.M. Sander, *Physical Review Letters*, 64, 926 (1990).
5. "Crossover Between Different Growth Regimes in Crack Formation", O. Pla, F. Guimea, E. Louis, G. Li, L.M. Sander, Hong Yan and P. Meakin, *Physical Review A*, 42, 3670 (1990).
6. "Temporal Characteristics in Nonequilibrium Surface Growth Models", L.M. Sander and Hong Yan, *Physical Review A*, 44, 4885 (1991).
7. "Anomalous Fluctuations in Surface Growth", Hong Yan, D.A. Kessler and L.M. Sander, *Journal of Physics A*, 24, L1079 (1991).
8. "Kinetic Growth with Surface Diffusion: The Scaling Aspect", Hong Yan, *Physical Review Letters*, 68, 3048 (1992).
9. "Interfacial Dynamics and Formation of Porous Structures", Hong Yan and X. Hu, *Journal of Applied Physics*, 73, 4324 (1993).
10. "Structural Variations in Strained Crystalline Multilayers", J. Hoekstra, Hong Yan, G. Kalonji and H. Jonsson, *Journal of Materials Research*, 9, 2190 (1994).
11. "Atomic Structure of β-SiC(100) Surfaces: A Study Using the Tersoff Potential", Hong Yan, X. Hu and H. Jonsson, *Surface Science*, 316, 181 (1994).
12. "Electronic Structure of β-SiC Surfaces", X. Hu, Hong Yan, F. Ohuchi and M. Kohyama, *Journal of Physics: Condensed Matter*, 7, 1069 (1995).
13. "Si Adatom Binding and Diffusion on the Si(100) Surface: Comparison of *ab initio*, semi-empirical and empirical potential results", A.P. Smith, J.K. Wiggs, H. Honsson, Hong Yan, L.R. Corrales, P. Nachtigall and K.D. Jordan, *Journal of Chemical Physics*, 102, 1 (1995).
14. "Atomic Structure of β-SiC(100) Surfaces: an *ab initio* study", Hong Yan, A.P. Smith and H. Jonsson, *Surface Science*, 330, 265 (1995).

Book Chapters and Articles in Conference Proceedings:

1. "Properties and Band Structure of Short-period Compensated *n-i-p-i* Superlattices", H.X. Jiang and Hong Yan, in "*Quantum Well and Superlattice Physics II*"

(Proceedings of SPIE, vol. 943), edited by F. Capasso, G. Dohler and J.N. Schulman, 124 (1988).

2. "Simple Stochastic Models for Material Failure" (invited paper), P. Meakin, G. Li, L.M. Sander, Hong Yan, F. Guinea, O. Pla and E. Louis, in "*Disorder and Fracture*", edited by J.C. Charmet, S. Roux and E. Guyon, (Plenum, New York, 1990).

3. "Scaling and a Possible Phase Transition in Models for Thin Film Growth" (invited paper), L.M. Sander and Hong Yan, in "*Nonlinear Phenomena Related to Growth and Form*", edited by M. Ben Amar, P. Pelce and P. Tabeling, (Plenum, New York, 1991).

4. "Kinetic Roughening in Surface Growth" (invited paper), Hong Yan, D.A. Kessler and L.M. Sander, in "*Computational Methods in Materials Science*" (MRS Proceedings Vol.278), edited by J.E. Mark, M.E. Glicksman and S.P. Marsh, (Materials Research Society, Pittsburgh, 1992).

5. "Structure and Elastic Properties of Ni/Cu and Ni/Au Multilayers", A. Taiwo, Hong Yan and G. Kalonji, in "*Materials Theory and Modeling*", edited by P.D. Bristowe, J. Broughton and J.M. Newsam, (Materials Research Society, Pittsburgh, 1993).

6. "Surface Roughness in Kinetic Growth with Diffusion", Hong Yan, in "*Evolution of Surface and Thin Film Microstructure*", edited by H.A. Atwater, M. Grabow, E. Chason and M. Legally, (Materials Research Society, Pittsburgh, 1993).

7. "Electronic Structure of β-SiC(001) surfaces and A1/β-SiC(001) interfaces", X. Hu, Hong Yan and F.S. Ohuchi, in "*Diamond, SiC and Nitride Wide Bandgap Semiconductors*", edited by C.H. Carter, Jr., G. Gildenblat, S. Nakamura and R.J. Nemanich, (Materials Research Society, Pittsburgh, 1994).

8. "Structure and Properties of Strained Crystalline Multilayers", J. Hoekstra, Hong Yan, G. Kalonji and H. Jonsson, in "*Molecularly Designed Ultrafine/Nanostructured Materials*", edited by K.E. Gonsalves, G.-M. Chow, T.D. Xiao and R.C. Camarata, (Materials Research Society, Pittsburgh, 1994).

Seminars and Invited Conference Presentations:

1. Seminar, December 2, 1991, Materials Science and Engineering, University of Washington.
2. Invited Talk, April 30, 1992, Materials Research Society Spring Meeting, San Francisco, CA.
3. Seminar, June 22, 1993, Pacific Northwest Laboratories, Richland, WA.
4. Invited Talks, August, 1993, CECAM Workshop on "Computer Simulations of Crystal and Over-layer Growth", Orsay, France.
5. Seminar, October 15, 1993, Materials Science and Engineering, North Carolina State University, Raleigh, NC.