

# JOSEPH D. VU

## Office Address

Department of Finance  
DePaul University  
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## EDUCATION

Ph.D. (Finance), Graduate School of Business, University of Chicago, 1984.  
M.B.A. (Finance), Graduate School of Business, University of Chicago, 1975.  
B.B.A. (Finance), with Highest Honor, Ohio University, 1973.

## EMPLOYMENT

1988 to present      DEPAUL UNIVERSITY, Chicago, Illinois, Associate Professor of Finance.  
1985 to 1993      UNIVERSITY OF CHICAGO, Graduate School of Business, Chicago, Illinois, Visiting Associate Professor of Finance, Summer Quarters.  
1985 to 1988      UNIVERSITY OF ILLINOIS AT CHICAGO, Chicago, Illinois, Assistant Professor of Finance.  
1981 to 1985      LOYOLA UNIVERISTY OF CHICAGO, Chicago, Illinois, Assistant Professor (and Instructor) of Finance.  
1978 to 1981      ILLINOIS INSTITUTE OF TECHNOLOGY, Chicago, Illinois, Instructor of Finance.

## PROFESSIONAL CERTIFICATION

CFA, (Chartered Financial Analyst), 1990  
Arbitrator for the National Association of Security Dealers (NASD), 1997  
Mediator for the Center for Conflict Resolution, 2001

## OTHER TEACHING EXPERIENCES

Polish Bankers' Program, Warsaw, Poland, 1995, 1997, and 1998

Chartered Financial Analyst Study Program, DePaul University at Levels I, II, and III, 1988 to 2000.

Chartered Financial Analyst Study Program, Kaplan at Levels I, II, and III, 2012 to Present.

Chartered Financial Analyst Study Program, University of Windsor, Canada at Levels I, II, and III, 1993 to 1997

Options and Futures Certification Program, DePaul University, Levels I, II, and III, 1996 to 2000 (co-sponsored with the Chicago Mercantile Exchange)

Mexican Business Seminar, Mexico City, Mexico, 1997

Australian Business Seminar, Sydney, Australia, 1999

Japan Business Seminar, Tokyo, Japan, 2000

Mergers and Acquisitions of Real Estate Companies, McGill International Executive Institute, Montreal, Canada, 2004

Hong Kong Business Seminar, Hong Kong, 2012

## **REFEREED JOURNAL PUBLICATIONS**

“Do Momentum Strategies Generate Profits in Emerging Stock Markets?”, *Problems and Perspectives in Management*, Volume 10, Issue 3, 2012, 9-22.

“Equity Restructuring Via Tracking Stocks: Is There Any Value Added?” with Beni Lauterbach, *Advances in Quantitative Analysis of Finance and Accounting*, Volume 5, 2007.

“Empirical Evidence of Nonlinearity and Chaos in the Returns of American Depository Receipts” with Jorge Urrutia, *Quarterly Journal of Business and Economics*, Volume 45, Nos. 1 & 2, Winter/Spring 2006, 15-30.

“The Effect of Option Repricing on Common Stock Returns: An Empirical Investigation”, *Investment Management and Financial Innovations*, Volume 2, Issue 3, 2005, 128-135.

“Efficient Labor and Capital Markets: Evidence from CEO Appointments”, with James Ang and Beni Lauterbach, *Financial Management*, Volume 32, Summer 2003, 27-52.

“Nonlinearity and Low Deterministic Chaotic Behavior in Insurance Portfolio Stock Returns” with Jorge Urrutia, Paul Gronewoller, and Monzurul Hogue, *Journal of Risk and Insurance*, Volume 69, No. 4, December 2002, 537-554.

- “Impact of Primes and Scores on the Price, Volatility, and Trading Volume of the Underlying Stocks” with Jorge Urrutia, *Financial Practice and Education*, Volume 1, Fall 2001, 41-51.
- “Free Cash Flow and Long-Run Firm Value: Evidence from the Value Line Investment Survey” with Stephen Vogt, *Journal of Managerial Issues*, Volume 12, No. 2, Summer 2000, 188-207.
- “Internal Versus External and Their Effect on Firm Performance,” with Beni Lauterbach and Jacob Weisberg, *Human Relations*, 52, December 1999, 1485-1504.
- “Is It Good or Bad to Make the Cover Page of Business Week?” with Jorge Urrutia, *Quarterly Journal of Business and Economics*, Volume 38, No. 1, Winter 1999, 64-76.
- “The Effect of Junk Bond Defaults on Common Stock Returns,” *Finance Review*, Volume 33, No. 4, 1998, 47-59.
- “The Effects of New Top Manager Origin and Discretion on Firm Stock Prices,” with Beni Lauterbach and Dawn Harris, *International Journal of Management*, Volume 11, No. 1, 1994, 570-576.
- “Shareholder Liability for Corporate Obligations in Small Business,” with Deana Nance, *Journal of Small Business Finance*, Volume 2, 1993, 175-182.
- “Ben Graham’s Net Current Asset Value Rule Revisited: the Size Adjusted Returns” with Beni Lauterbach, *Quarterly Journal Business and Economics*, Volume 32, No. 1, Winter 1993, 82-108.
- “Performance Evaluation of American Depository Receipts,” with Wenchi Kao and John Wei, *Journal of International Finance*, Vol. 2, No. 2, Spring 1992, 139-154.
- “Evidence on the Overreaction Hypothesis: the Case of Management Awards,” with Beni Lauterbach, *Quarterly Journal of Business and Economics*, Volume 31, Winter 1992, 45-70.
- “Seasonal Effects in the Value Line and Standard and Poor’s 500 Cash and Futures Returns,” with Mine Cinar, *Review of Futures Markets*, Volume 10, No. 2, 1991, 282-291.

“Takeover Threats, Anti-takeover Amendments and Stock Price Reaction,” with Beni Lauterbach and Ileen Malitz, *Managerial and Decision Economics*, Volume 12, 1991, 499-510.

“An Anomalous Evidence Regarding Market Efficiency: the Net Current Asset Value Rule,” in: Andrew Chen, ed., *Research in Finance*, Volume 8, 1990, 241-254.

“The Effect of Individual Stock Option Expirations on Stock Return Before and After the Introduction of SP 100 Index Options,” with Mine Cinar, *Advances in Futures and Options Research*, Vol. 3, 1988, 341-356.

“An Empirical Analysis of Ben Graham’s Net Current Asset Value Rule,” *The Financial Review*, May 1988. 215-255. (Reprinted in Keith Smith, Case Problems and Readings: A Supplement for Investments and Portfolio Management, 1990.)

“Why All the Interest in Short Interest?” with Paul Caster, *Financial Analysts Journal*, July-August 1987, 76-79.

“Evidence on the Effect of Option Expirations on Stock Prices,” with Mine Cinar, *Financial Analysts Journal*, January-February 1987, 55-57.

“The Wealth Redistribution Effect of Corporate Bond Calls,” *Journal of the Midwest Finance Association*, Vol. 15, 1986, 60-73.

“Corporate Motives in Bond Refunding and Calling: A Survey,” *Journal of Applied Business Research*, Vol. 4, Fall 1986, 100-105.

“An Empirical Investigation of Calls of Non-convertible Bonds,” *Journal of Financial Economics*, Vol. 16, June 1986, 235-265. (Reprinted in Clifford Smith, *Modern Theory of Corporate Finance*, 1990.)

## **REFEREED PROCEEDINGS**

“Corporate Governance and Abnormal Returns: An Analysis of Terminated Mergers,” with Elijah Brewer III, Proceedings of Intellectbase International Consortium, Vol.13, 2010, 112-122.

“Quantity Hedging with Commodity Options,” *Journal of Economics*, Vol. 11, 1985, 97-98.

“An Examination of Corporate Call Policies on Non-convertible Bonds,” *Proceedings of the Seminar on the Analysis of Security Prices*, May 1984, 137 – 161.

## CONFERENCE PRESENTATIONS

European Finance Association	Vienna, Austria 1997
Financial Management Association	Salt Lake City, Utah, 2006 New Orleans, Louisiana 2004 San Antonio, Texas 2002 Honolulu, Hawaii 1997 New York, New York 1995 St. Louis, Missouri 1994 Chicago, Illinois 1991 New Orleans, Louisiana 1988
Western Finance Association	Seattle, Washington 1989 Phoenix, Arizona 1985
Eastern Finance Association	Panama City, Florida 1997 Charlotte, North Carolina 1996 Boston, Massachusetts 1995 Hot Springs, Virginia 1991 Charleston, South Carolina 1990 Philadelphia, Pennsylvania 1989
Midwest Finance Association	New Orleans, Louisiana 2012 Las Vegas, Nevada, 2011 Minneapolis, Minnesota, 2006 Milwaukee, Wisconsin, 2005 Chicago, Illinois, 2003 Kansas City, Missouri, 1997 Chicago, Illinois 1988
Southern Finance Association	Key West, Florida 2002 Destin, Florida, 2001 Savannah, Georgia 2000

	Marco Island, Florida 1998
	Key West, Florida 1996
	Jacksonville, Florida 1990
	Orlando, Florida 1989
Southwestern Finance Association	San Antonio, Texas 2000
	Dallas, Texas 1987
Academy of Financial Association	Seattle, Washington 2000
	Chicago, Illinois 1998
Pacific Basin Finance Conference	New Brunswick, New Jersey 2005
Forum on Globalization and Capital	Beijing, China 2002
Chicago Board of Trade	Chicago, Illinois 1991
American Risk and Insurance Association	Orlando, Florida 1990
	Denver, Colorado 1989
Int'l Business and Economics Research	Reno, Nevada 2001
Case Writer's Workshop	Marquette, Michigan 1991
International Small Firm Financial Research Symposium	Tallahassee, Florida 1991
Center for Research in Security Prices	Chicago, Illinois 2006
	Chicago, Illinois 1984
Oakland University	Detroit, Michigan 2002
Loyola University of Chicago	Chicago, Illinois 1996
University of Windsor	Windsor, Canada 1992
University of Iowa	Iowa City, Iowa 1988
University of South Florida	Tampa, Florida 1988

Indiana University	Bloomington, Indiana 1988
Florida State University	Tallahassee, Florida 1988
Notre Dame University	South Bend, Indiana 1985
University of California, Irvine	Irvine, California 1985

## **OTHER PUBLICATIONS**

Study Guide to Accompany “Corporate Finance” by Smart, Megginson, and Gitman, Thomson, South-Western Publishing, 2004.

Test Bank to Accompany “Introduction to Investments” by Haim Levy, second edition, South-Western Publishing, 1998.

Study Guide to Accompany “Principles of Corporate Finance” by Haim Levy, South-Western Publishing, 1998.

Test Bank to Accompany “Principles of Corporate Finance” by Haim Levy, South-Western Publishing, 1998.

Test Bank to Accompany “Finance: Introduction to Institutions, Investments, and Management” by Melicher, Welshans, and Norton, South-Western Publishing, 1997.

Test Bank to Accompany “Introduction to Investments” by Haim Levy, South-Western Publishing, 1996.

Study Guide to Accompany “Investment Management” by Sears and Trennepohl, Dryden Press, 1993.

## **RESEARCH IN PROGRESS**

“An Empirical Analysis of the Effect of Financial Crisis in 2007-2008 on Corporate Debt Refinancing”

“An Empirical Investigation of CEO and Board of Directors’ Compensation in Bank Mergers” with Elijah Brewer

“Terminated Mergers and Target CEOs’ Contract with Acquirers” with Elijah Brewer

“Do Mergers Create or Destroy Value? Evidence from Unsuccessful Mergers” with Ali Fatemi and Rebel Cole (presented at the Financial Management Association meeting in 2006)

“Terminated Mergers and Target CEOs Contract with Acquirers” with Elijah Brewer III (awarded DePaul summer grant 2007)

## **HONORS AND AWARDS**

Excellent Teaching Award by the International Marketing & Financial MBA Student, 2003

DePaul University Faculty Publication Achievement Award, 2001

Outstanding Community Leader Award by the Vietnamese Association of Illinois, 1998

Outstanding Paper in Investments Award by the American Association of Individual Investors, 1988.

Beta Gamma Sigma Honor Society

Marquis Who’s Who in Finance and Industry, 1996 to present

Who’s Who among Asian Americans, 1994 to present

Marquis Who’s Who in the World, 1996 to present

Marquis Who’s Who in the America, 1997 to present

Strathmore’s Who’s Who, 2000 to present

## **REFEREE FOR JOURNALS**

Journal of Finance

Journal of Financial and Quantitative Analysis

Financial Management

Financial Analysts Journal

Review of Quantitative Finance and Accounting

Finance Review

Journal of Finance Research

Quarterly Journal of Business and Economics

Journal of Midwest Finance Association

Journal of Economics

Financial and Practice Education Journal

Journal of Economics and Business

Quarterly Review of Economics and Finance



Journal of Financial Counseling and Planning  
Journal of Applied Finance  
Investment Management and Financial Innovations