

T. Mandy THAM

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PERSONAL INFO:

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LANGUAGES SPOKEN:

English, Mandarin, Cantonese, Hainanese

EDUCATION:

Ph.D. in Business Administration (Finance), University of Michigan, Aug 2008
Master in Applied Economics, University of Michigan, Aug 2006
Master in Electrical Engineering, National University of Singapore, Feb 2002
Bachelor in Electrical Engineering (First-class), National University of Singapore, Aug 1999

ACADEMIC APPOINTMENTS AND OTHER PROFESSIONAL EXPERIENCE:

EMPLOYMENT:

Associate Professor of Finance (Education)
Singapore Management University, from 1 July 2022
Assistant Professor of Finance (Education)
Singapore Management University, 1 July 2018 – 30 June 2022
Fellow of SMU Academy,
Singapore Management University, from 1 April 2021 - present
Steering Committee Member,
Business Families Institute @Singapore Management University, 1 Jan – 31 Dec 2021
Sino Suisse Fellow,
Singapore Management University, from 2 Oct 2020 - present
Academic Director, Master of Science in Wealth Management, *1 July 2019 - present*
Secretary, Master of Science in Wealth Management Advisory Board
Singapore Management University, 1 July 2019 - present
Programme Director, IBF-accredited private banking and family office advisor certification
SMU Academy, 1 July 2019 - present
Part-time lecturer
Nanyang Technological University, Jan-May 2018
Family Business Consultant, *from Oct 2017*
Scope: Inter-generational succession planning; Family constitution, holding company and share ownership design.
Director (Curriculum)
Wealth Management Institute, April 2016 - October 2017
Assistant Dean (Alumni Affairs, Nanyang Business School) & Senior lecturer

Nanyang Technological University, July 2014 - March 2016
Assistant Professor of Finance
Nanyang Technological University, Sept 2008 – Aug 2014
Graduate Student Instructor
University of Michigan, Fall 2005; National University of Singapore, 2000
Senior Tutor
Nanyang Technological University, 2002 – 2003
Engineer
Hitachi Nippon Steel Semiconductor Ltd (Singapore), 2000-2002
Scope: Yield analysis & projection. Process optimization & control.
Software Trainee
ASM Assembly Ltd (based in Hong Kong), 1997
Scope: Robotics control

OTHER PROFESSIONAL TITLES:

Specialist Adult Educator (Curriculum Development), SkillsFuture Singapore, Institute of Adult Learning (IAL) *from 30 Nov 2020 – 30 Nov 2023*

REFEREED ACADEMIC PUBLICATIONS:

1. Peer effects in equity research, 2021. Joint with Chishen Wei and Kenny Phua, *Journal of Financial and Quantitative Analysis*, Accepted. <https://jfq.org/2021/07/15/peer-effects-in-equity-research/>
2. Executive overconfidence and securities class actions, 2018. Joint with Suman Banerjee, Mark Humphery-Jenner and Vikram Nanda. *Journal of Financial and Quantitative Analysis*, 53 (6), page 2685-2719.
3. Are overconfident CEOs good leaders? Evidence from stakeholder commitments, 2018. Joint with Chishen Wei and Kenny Phua. *Journal of Financial Economics* 127 (3), page 519-545
4. Spillover Effects in Mutual Fund Companies, 2015. Joint with Clemens Sialm. *Management Science* 62 (5), page 1472-1486.

CASE STUDIES:

1. Turning the Tide: The Journey of Rebranding for Success, 5 July 2021. Published. <https://cmp.smu.edu.sg/case/4916>
2. HP Wealth Management – Pioneering External Asset Management in Singapore, 22 Oct 2021. Published: <https://cmp.smu.edu.sg/case/5086>
3. Creating a Representative Voice: The Association of Independent Wealth Managers (AIWM) in Singapore, 18 Nov 2021. Published: <https://cmp.smu.edu.sg/case/5146>
4. Bank of Singapore’s EAM Business: Standing Tall against Competition, 20 Dec 2021. Published. <https://cmp.smu.edu.sg/case/5186>

OTHER PUBLICATIONS:

1. External Asset Managers in Singapore, SMU Asian Management Insights, Vol 9, 2022, Pg 34-41
https://cmp.smu.edu.sg/sites/cmp.smu.edu.sg/files/AMI17_May24_Full_Spread.pdf

2. City Perspectives @SMU, 1 March 2022. What retail investors need to know about the world of Spacs vs traditional investment assets. <https://cityperspectives.smu.edu.sg/node/881>
3. The Growing Wealth Management Ecosystem of Singapore. Lenses on the External Asset Manager, SMU EAM Report Launch, 26 Jan 2022. Principal lead.
<https://bfi.smu.edu.sg/knowledge-research/insights/growing-ecosystem-wealth-management-singapore-lenses-external-asset>
4. Can being overconfident make you a better leader? Joint with Chishen Wei and Kenny Phua. Harvard Business Review. June 18, 2018. <https://hbr.org/2018/06/can-being-overconfident-make-you-a-better-leader>
5. “FinTech: The New DNA of Financial Services”, T. Mandy Tham & Pranay Gupta. Publisher: De Gruyter. Publication date: Nov 2018. <https://www.amazon.com/Fintech-New-DNA-Financial-Services/dp/1547417080>

MEDIA CONTRIBUTIONS & CITATIONS:

1. 家族办公室成乱世避风港。台湾商业周刊 1829 期 2022.12. Pg 64. Interview.
2. 晨光|晨光聚焦：外国富豪移师我国 设立家族办公室， 24 October 2022. Interview.
<https://www.8world.com/stories/morning-express/spotlight-family-office-singapore-1952931>
3. Dying without a will: 48% of Singaporeans surveyed do not have one. The Straits Times, Pg B08, 20 Aug 2022.
<https://www.straitstimes.com/business/invest/dying-without-a-will-48-of-singaporeans-surveyed-do-not-have-one>
4. Using 'Patience Assets' and 'Intangible Assets' to establish a non-family talent pool for SMEs, Zaobao, Pg 26, 28 April 2022.
[20220428-ZB-SME-26-16x18-D.pdf \(smu.edu.sg\)](https://www.zaobao.com.sg/news/local/20220428-ZB-SME-26-16x18-D.pdf)
[用“耐心资产”和“无形资产” 建立中小企业非家人人才库 | 早报 \(zaobao.com.sg\)](https://www.zaobao.com.sg/news/local/20220428-ZB-SME-26-16x18-D.pdf)
5. Hubbis Online Date: 8 February 2022 Headline: Bullish future expected for EAM industry: BFI@SMU Research Report
<https://hubbis.com/news/bullish-future-expected-for-eam-industry-bfiatsmu-research-report>
6. 特殊目的收购公司特别亮眼 ? Lianhe ZaoBao, 16 Jan 2022.
[特殊目的收购公司特别亮眼? | 早报 \(zaobao.com.sg\)](https://www.zaobao.com.sg/news/local/20220116-LH-ZB-SPE-16x18-D.pdf)
7. [The family business: Planning ahead to pass down the family wealth - CNA \(channelnewsasia.com\)](https://www.channelnewsasia.com/news/asia/the-family-business-planning-ahead-to-pass-down-the-family-wealth-1231888). 23 Dec 2021.
8. What does it really mean to De-SPAC? The Edge Singapore, 1 Dec 2021
<https://www.theedgesingapore.com/views/financially-savvy/what-does-it-really-mean-de-spac>
9. 中小型企业的人才库， 从何而来?, Lianhe ZaoBao, 26 March 2020.
<https://www.zaobao.com.sg/finance/singapore/story20200326-1040212>
10. Lianhe ZaoBao, pg 06, 23 December 2019 Headline: 4 Teochew associations collaborate to hold series of lecture on finance management “四潮籍组织联办理财系列讲座”.

https://www.smu.edu.sg/sites/default/files/smu/news_room/smu_in_the_news/2019/Dec2019/Dec23/20191223-ZB-Singapore-06-28x20-D.pdf

11. Overconfident CEOs Are 'Both A Threat And An Asset', Forbes, 30 Sep 2018.
<https://www.forbes.com/sites/rogertrapp/2018/09/30/overconfident-ceos-are-both-a-threat-and-an-asset/#714af9da741a>

AWARDS and HONORS:

Research Awards:

1. Paper title “Do equity analysts learn from their peers? Evidence using an information network centrality measure”, 2016. Joint with Chishen Wei and Kenny Phua.
 - **CFA Best Paper Award** at Asian Finance Conference, Thailand 2016.
2. Paper title “Are overconfident CEOs good leaders? Evidence from stakeholder commitments”, joint with Chishen Wei and Kenny Phua
 - **Outstanding Paper Award** at the 2015 Conference on Asia-Pacific Financial Markets organized by Korean Securities Association, in Seoul, S. Korea.
 - **Best Paper Award (First prize)** at the 23rd Securities and Financial Markets Conference in Kaoshiung, Taiwan, 2015.
3. Paper title “Spillover effects in mutual fund companies”, joint with Clemens Sialm
 - **TCW Best Paper Award** at the China International Conference in Finance (CICF), July 2011.

Teaching Awards:

1. SMU LKCSB Excellence in Teaching (overall at school level), Runner-up, 2021-2022.
2. SMU LKCSB Dean’s Teaching Honour List Top Faculty Members (postgraduate), 2018-2021.
3. SMU LKCSB Dean’s Teaching Honour List Top Faculty Members (undergraduate), 2018-2021.
4. Nanyang Business School Teaching Excellence Award (Banking & Finance), 2015.
5. Nominee for NTU Business Teacher of the Year Award, 2015.
6. NTU Business Teacher of the Year Award, 2014.

Other Awards:

1. Alumni-Alumnae Award, *University of Michigan*, 2007-2008
2. Sponsorship from Prof Gunter Dufey, *Center for International Business at Ross School of Business*, 2007-2008
3. Mitsui Life Award for outstanding academic performance, *Mitsui Financial Center at Ross School of Business*, 2004 and 2005
4. Senior Tutorship Award, *Nanyang Technological University*, 2003- 2007
5. Tan Kah Kee Postgraduate Scholarship for outstanding academic performance and community services, *Tan Kah Kee Foundation (Singapore)*, 2000
6. Manpower Specialist Training Scholarship, *Economic Development Board (Singapore) and Hitachi Pte Ltd*, 1998-1999
7. Dean’s list and Engineering Colors Award, *National University of Singapore*, 1997-1998

ACADEMIC SERVICE:

Ad-hoc Reviewer for Management Science, Pacific-Basin Finance Journal, Journal of Economic Behavior & Organization, Asia-Pacific Journal of Financial Studies, Journal of the Japanese and International Economics, Asian Case Research Journal, Asian Finance Association International Conference, CAPANA, NUS International Finance Conference and SFS Cavalcade.

OTHER PROFESSIONAL SERVICE:

Ad-hoc external reviewer for Research Grants Council (RGC), Hong Kong.

Ad-hoc external consultant, Asian Development Bank.

ACADEMIC / INDUSTRY PRESENTATIONS:

- Paper title: Are overconfident CEOs good leaders? Evidence from stakeholder commitments.
 - The 23rd SFM conference in Taiwan, Dec 2015.
 - The 10th International Conference on Asia-Pacific Financial Markets (CAFPM), organized by Korean Securities Association (KSA) in Seoul, Dec 2015.
- Paper title: Spillover Effects in Mutual Fund Companies
 - Downunder Finance Conference at the University of Melbourne, Mar 2012.
 - American Finance Association (AFA) meetings in Chicago, January 2012.
 - China International Conference in Finance (CICF), July 2011.
 - Financial Intermediation Research Society (FIRS) Conference in Sydney, June 2011.
 - 9th National Taiwan University IEFA Conference, May 2011.
 - Hong Kong Baptist University, Hong Kong, Feb 2011.
- Paper title: How Major Customers Affect Supplier Loan Yield and Covenants
 - American Accounting Association (AAA) Conference, Aug 2011.
 - Canadian Accounting Association (CAA) Conference, May 2011.
 - National Taiwan University IEFA Conference, May 2011.
 - European Accounting Association (EAA) Conference, April 2011.
- Paper title: Spillover Effects of Earnings Restatements along the Supply Chain
 - Fifth annual research conference of Chinese Accounting Professors' Association of North America (CAPANA) in Xi'An, July 2012.
 - The Asian Finance Association Annual Conference in Nanchang, July 2013.
- Other Presentations/Invited Talks
 - The Growing Wealth Management Ecosystem of Singapore. Lenses on the External Asset Manager, SMU EAM Report Launch, 26 Jan 2022. Principal lead. <https://news.smu.edu.sg/news/2022/01/26/bullish-future-expected-eam-industry-bfismu-research-report>
 - Asian Family Office Prospect Forum 亞洲家族辦公室展望論壇, 1 Oct 2021. Keynote speaker for the topic: Family office trends and development in Singapore. Mandarin conference held in hybrid mode in Taipei. Organizers: The

National Tsing Hua University (國立清華大學), the Hong Kong Family Office Association (FOAHK, 香港家族辦公室協會), and the Corporate Business Development Association (Taiwan) (公司經營發展協會) together with, Lexcel Partners (惇安法律事務所)

- Teochew Enterprise Group Inaugural Business Succession Planning Series, Singapore, 11 January 2020.
- Baoneng Qianhai Century Wealth Management Talk, Shanghai, China, 23 September 2019
- INSEAD (Singapore) Family Enterprise Day, Insead Singapore, 26 Jan 2019. As one of the keynote speakers on the topic “Growth of Family Businesses”.
- ANU, UNSW, UQ, Fudan University- Fanhai International School of Finance, 2018
- Hong Kong Baptist University, 2017
- Deakin University, Australia, 2017
- Sungkyunkwan University, South Korea, 2010, 2012
- Seoul National University, South Korea, 2012
- Discussions – Asian FMA 2015, CICF 2011, 2012, FIRS 2011, National Taiwan University IEFA 2011, NUS 2013, KSA 2015, SFM 2015.
- Fudan University – School of Management, China, 2016

Ph.D COMMITTEES

- Mr Charlie Lay (PhD- General Management, 2020, SMU), Committee member, in progress.
- Mr Shen Yang (DBA, 2020), Committee member, in progress.

VOLUNTEER WORK:

- Volunteer, Junior Achievement Singapore. <https://www.ja.org.sg/>