

# Anh Tran

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| CONTACT                | Freeman College of Management<br>Bucknell University<br>117 Holmes Hall<br>Lewisburg, PA 17837   | Email : <a href="mailto:adtt001@bucknell.edu">adtt001@bucknell.edu</a><br>Homepage : <a href="http://www.anh-tran.com">www.anh-tran.com</a> |
| ACADEMIC<br>EMPLOYMENT | Visiting Assistant Professor of Finance, Bucknell University<br>Assistant Professor of Finance, University of Connecticut  | 2025-present<br>2018-2025   |
| EDUCATION              | Ph.D. in Finance (minor in Statistics), University of Rochester<br>M.S. in Applied Economics, University of Rochester<br>M.S. in Finance, University of Utah<br>B.E. in Automotive Engineering, Ho Chi Minh City University of Technology  | 2018<br>2015<br>2011<br>2006  |
| CERTIFICATION          | Passed Level II, CFA Institute   |   |
| INTERESTS              | Asset Pricing, Mutual Funds, Securities Lending, Corporate Governance.   |   |
| PUBLICATIONS           | 1. "Barking Up The Wrong Tree: Return Chasing in 401(k) plans," (with Pingle Wang).<br>- <b>Journal of Financial Economics</b> , 2023, 148 (1), 69–90.   |   |
| WORKING PAPERS         | 1. "The Role of Financial Markets in the Unraveling of Credit," (with Elena Asparouhova, Peter Bossaerts, and Dan Lu).<br>- R&R (3rd round requested, 2025) at <b>Journal of Financial Economics</b><br><br>2. "Unveiling Mutual Funds' Securities Lending Strategies," (with Shuaiyu Chen and Pingle Wang).<br><br>3. "Lending at a Cost: Liquidity Fragility in Bond Mutual Funds," (with Shuaiyu Chen and Pingle Wang).<br><br>4. "Mutual Fund Governance: Do Long-term Relationships with Managers Blind Directors?"<br><br>5. "SEC Monitoring and Investigations: Signaling from Short-selling," (with Silver Chung). |   |
| TEACHING<br>EXPERIENCE | Bucknell University:<br>- Financial Statement Analysis & Valuation<br><br>University of Connecticut:<br>- Principles of Investments and Derivatives<br>- Security Valuation and Portfolio Management<br>- Investment and Security Analysis ( <i>MBA</i> )<br><br>University of Rochester:<br>- <i>Instructor</i> : Mathematical Techniques in Economics ( <i>PhD</i> )<br>- <i>Lab instructor</i> : Data Analytics ( <i>MBA</i> )  | 2025<br><br>2018-2025<br>2019-2025<br>2020<br><br>2015<br>2017  |

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| PRESENTATIONS                     | 2025 Lone Star Finance Conference, University of Alberta, Calgary University, Utrecht University, Radboud University, Free University of Amsterdam, Midwest Finance Association Annual Meeting, Eastern Finance Association Annual Meeting<br>2024 Nanyang Technological University, George Washington University, San Diego State University, Wabash River Conference, University of Massachusetts Lowell, Eastern Finance Association Annual Meeting, 5 <sup>th</sup> World Conference on Business, Management, Finance, Economics and Marketing<br>2023 Toulouse School of Economics, Financial Management Association Annual Meeting<br>2022 5 <sup>th</sup> Bank of Canada FSRC Macro-Finance Conference, Toulouse Business School<br>2021 University of Dauphine<br>2020 Midwest Finance Association Annual Meeting, Financial Management Association Annual Meeting<br>2019 University of Connecticut<br>2018 Financial Management Association Annual Meeting, University of Connecticut, Chinese University of Hong Kong<br>(Includes coauthor presentations) |                        |
| DISCUSSANT                        | Eastern Finance Association Annual Meeting  | 2024-2025              |
| INVITED SPEAKER                   | 5 <sup>th</sup> World Conference on Business, Management, Finance, Economics and Marketing  | 2024                   |
| PROFESSIONAL SERVICE              | Referee<br>- Quarterly Journal of Finance, Journal of Pension Economics and Finance, National Science Foundation<br><br>Conference Program Committee<br>- University of Connecticut Finance Conference  | 2021-2025              |
|                                   | Conference Session Chair<br>- University of Connecticut Finance Conference<br>- Eastern Finance Association Annual Meeting  | 2023-2025<br>2024-2025 |
|                                   | Conference Organizing Committee<br>- The 8 <sup>th</sup> & 9 <sup>th</sup> Vietnam International Conference in Finance  | 2024-2025              |
|                                   | Profession<br>- Vice President - Vietnam Finance Association International (VFAI)   | 2023-present           |
| UNIVERSITY AND DEPARTMENT SERVICE | Advising<br>- UConn team participating in statewide CFA Research Challenge<br>- Undergraduate Student Advising  | 2018-2025<br>2019-2025 |
|                                   | College service<br>- CFA University Affiliation Program   | 2022-2025              |
| AWARDS                            | Semifinalist for the Best Paper Award in Financial Intermediation and Markets at FMA 2023<br>Semifinalist for the Best Paper Award in Corporate Finance at FMA Annual Meeting 2018<br>American Finance Association Travel Grant 2016<br>Simon Business School Doctoral Fellowship 2012-2017   |                        |

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| PROFESSIONAL<br>EMPLOYMENT | Investment Analyst Intern, Beneficial Financial Group<br>Supervisor of Purchasing Department, Bonfiglioli Vietnam Ltd<br>Leader of Purchasing Department, Vietnam Suzuki Corporation | 2011<br>2008<br>2006-2008 |
| SKILLS                     | Python, R, Matlab, Stata, SAS.   |                           |