CURRICULUM VITAE

15 April 2023

NAME: Narayan Y. Naik

EDUCATION: Bachelor of Technology (Mech. Engineering), Indian Institute

of Technology, Bombay, India, 1973-1978.

Rank: First class First

Post Graduate Diploma in Business Administration, Indian

Institute of Management, Ahmedabad, India, 1978-1980

Doctor of Philosophy in Business Administration (Finance),

Duke University, 1987-1991

ACADEMIC POSITIONs: Professor of Finance, Co-Chair Finance Department (2016-18),

Academic Director, AQR Asset Management Institute (2015-

17)

PAST ACADEMIC **POSITIONS:**

Visiting Chaired Professor of Hedge Funds, Oxford Man

Institute, Oxford University, Summer 2013 Associate Professor of Finance, 1998-2005 Assistant Professor of Finance, LBS 1991-97

Citibank Research Fellow 1993-1996

ADMINISTRATIVE

Director, Centre for Hedge Fund Research & Education (2000-05), Director BNP Paribas Hedge Fund Centre (2005-08), **POSITIONS:**

Director, Hedge Fund Centre (2008-2010), Director, Investment Management Programme (1999-04), Director, PhD Program in

Finance (1997-99)

Credit Suisse Liquid Alternative Beta Index, **COMMITTEE WORK:**

J P Morgan Alternative Beta Reference Index,

Member of the Program Committee for Western Finance Association 1996-todate, and for Inquire UK 1998-2006, Member of Masters Degree in Finance program committee.

TEACHING: Strategic Investment Management 2013-todate

Equity Investment Management 1998-todate

Hedge Funds 2004-todate Wealth Management 2016-todate

FinTech 2018-todate

Project & Infrastructure Finance 2020-todate

INDUSTRIAL EXPERIENCE: Production Planning Executive, Special Steels, India, 1980-81

Project Manager, The Taj Group of Hotels, 1982-87

Consultant, The World Bank, 1987

CHARITABLE WORK: Board of Trustees, Maharashtra Mandal London, UK (2009-14)

Chairman, Board of Trustees, Maharashtra Mandal London

2012-13

CITATIONS: WEB OF SCIENCE: 1970+ citations (approximately)

Agarwal & Naik: RFS 2004 – 456 citations,

Fung, Hsieh, Naik & Ramadorai: JoF 2008 – 202 citations

Kosowski, Naik & Teo: JFE 2007 – 199 citations Agarwal & Naik: JFOA 2000 – 175 citations

GOOGLE SCHOLAR: 9300+ citations

REFEREED PUBLICATIONS:

N.Y. Naik and M. Moore	"Habit Formation and Intertemporal Substitution in Individual Food Consumption," <u>The Review of Economics and Statistics</u> , pp 321-328, 1996.
N.Y. Naik	"On Aggregation of Information in Competitive Markets: The Dynamic Case," <u>Journal of Economic Dynamics and Control</u> , 2, pp 1229-1258, 1997.
N.Y. Naik	"Multi-Period Information Markets," <u>Journal of Economic Dynamics and Control</u> , 2, pp 1199-1227, 1997.
N.Y. Naik and M. Habib	"Models of Information Aggregation in Financial Markets," <u>Applied Mathematical Finance</u> , 3, 1996.
N.Y. Naik, M. Habib, and D.B. Johnson	"Spinoffs and Information," <u>Journal of Financial</u> <u>Intermediation</u> , 6, pp 153-176, 1997.
N.Y. Naik, V. Datar and R. Radcliffe	"Liquidity and Stock Returns: An alternative test," <u>Journal of Financial Markets</u> , 1, pp 203-219, 1998.
N.Y. Naik, and V. Datar	"Bid-Ask Bias in Cumulated Stock Returns" <u>European Financial</u> <u>Management</u> , vol 4, no 1, pp 79-90, 1998.
N.Y. Naik, O. Hansch and S. Viswanathan	"Do Inventories Matter in Dealership Markets? Evidence from the London Stock Exchange," <u>Journal of Finance</u> , vol 53, no5, pp 1623-1656, 1998.
N.Y. Naik, O. Hansch and S. Viswanathan	"Preferencing, Internalization and Best Execution: Evidence from the London Stock Exchange" <u>Journal of Finance</u> , vol 54, no 5, pp 1799-1828,1999 (Winner of the New York Stock Exchange Award for Best Paper on Equity Trading, 1997)
N.Y. Naik, A. Neuberger and S. Viswanathan	"Disclosure Regulation in Markets with Negotiated Trades" <i>Review of Financial Studies</i> , vol 12, no 4, 873-900, 1999.
N.Y. Naik and V. Agarwal	"On Taking the Alternative Route: Risks, Rewards, and Performance Persistence of Hedge-funds" <u>Journal of Alternative Investments, April, 2000</u>
N.Y. Naik and V. Agarwal	"Multi-Period Performance Persistence Analysis of Hedge- funds", <u>Journal of Financial & Quantitative Analysis</u> , <u>Sept 2000</u>
N.Y. Naik and V. Agarwal	"Generalized Style Analysis of Hedge-funds" <u>Journal of Asset</u> <u>Management, July 2000</u>
N.Y. Naik and P. Yadav	"Risk Management with Derivatives by Dealers and Market Quality in Government Bond Market" <u>Journal of Finance</u> , vol 58, no. 2, pp 325-353, 2003 (Winner of Robert J. Schwartz Memorial Award for Best Paper on Hedging with Derivatives, 2000)
N.Y. Naik and P. Yadav	"Do Dealer Firms make a market on a Stock-by-Stock basis or a Portfolio Basis?" <i>Journal of Financial Economics</i> , vol 69, no 2, pp 1873-1904, 2003
N.Y. Naik and V. Agarwal	"Risk and Portfolio Decisions involving Hedge Funds" <u>Review of Financial Studies</u> , vol 17, no 1, pp 63-98, 2004 (Winner of the Fauchier Partners Award for Best Paper on Hedge Funds, 2003)

N.Y. Naik, J. Merrick and P. Yadav	"Strategic Trading Behavior and Price Distortion in a Manipulated Market: Anatomy of a Squeeze" <u>Journal of Financial Economics</u> , vol 77, issue 1, pp 171-218, July 2005
N.Y. Naik and V. Agarwal	"Hedge Funds" <i>Foundations and Trends in Finance</i> , vol 1, issue 2, pp 103-170, December 2005
N.Y. Naik, R. Kosowski and M. Teo	"Do Hedge Funds Deliver Alpha? A Baysian and Bootstrap Analysis of Hedge Funds" <i>Journal of Financial Economics</i> , <i>April</i> 2007, 84 (1),pp 229-264.
N.Y. Naik, T Ramadorai and M. Stromqvist	"Capacity Constraints and Hedge Fund Strategy Returns" <u>European Financial Management,</u> Mar 2007, Vol 13, Issue 2, pp 239-256. Inquire UK Best Paper Prize
N.Y. Naik, W. Fung, D. Hsieh, and T. Ramadorai	"Hedge Funds: Performance, Risk and Capital Formation" <u>Journal of Finance</u> , August 2008,63(4), pp 1777-1803. Finalist for the Smith-Breeden Prize.
N.Y. Naik, V. Agarwal and N. Boyson	"Hedge Funds for Retail Investors: An Examination of Hedged Mutual Funds" <i>Journal of Financial and Quantitative Analysis</i> , 2009, vol 44, No 2, 273-305
N.Y. Naik, V. Agarwal and N. Daniel	"Effect of Managerial Incentives and Discretion on Performance of Hedge Funds" <u>Journal of Finance</u> , Oct 2009, Vol 64, No 5, pp 2221-2256
N.Y. Naik, D. Avramov, R Kosowski and M. Teo	"Hedge Funds, Managerial Skill and Macroeconomic Variables" <u>Journal of Financial Economics, 2011</u> , vol 99, 972-692 (formerly "Investing in Hedge Funds when Returns are Predictable") (Winner of the Commonfund Institute Award, EFA meetings 2007, And Inquire UK Best Paper Award 2008)
N.Y. Naik, V. Agarwal, W. Fung, and Y. C. Loon	"Risk and Return in Convertible Arbitrage: Evidence from the Convertible Bond Market" (Winner of the Man Investments Award, EFA meetings 2006), Journal of Empirical Finance, 2011, Vol 18, 2, 175-194
N.Y. Naik, V. Agarwal and N. Daniel	"Do Hedge Funds Manage their Reported Returns?" (formerly "Why is Santa so kind to Hedge Funds? The December Returns Puzzle!"), <i>Review of Financial Studies</i> , 2011, Vol 24,10, pp 3281-3320
N.Y. Naik and E. Maug	"Herding and Delegated Portfolio Management: Impact of Relative Performance on Asset Allocation" <i>Quarterly Journal of Finance</i> , 2011, Vol 1, pp 265-292
N.Y. Naik, D. Edelman, W. Fung, and D. Hsieh	"Fund of Hedge Funds: Performance, Risk & Capital Formation Financial Markets and Portfolio Management 2012, Vol 26, No. 1, pp 87-108
N.Y. Naik, V. Agarwal and K. Mullally	"The Economics and Finance of Hedge Funds" <i>Foundations and Trends in Finance</i> , 2015, Vol 10, No. 1, pp 1-111.
N.Y. Naik, V. Agarwal and E. Erisoy	"Volatility of Aggregate Volatility and Cross-Section of Hedge Fund Returns" <u>Journal of Financial Economics</u> , 2017, Vol. 125, Issue 3, pp 491-510.
N.Y. Naik, W. Fung, D. Hsieh and M. Teo	"Hedge Fund Franchises" <u>Management Science</u> , 2021, Vol 67 No 2, 1199-1226.

N.Y. Naik, M. Cardinale and V. Sharma

"Long Horizon Volatility Forecasting for Equities & Bonds" The Journal of Portfolio Management, 2021, 47 (4), 83-98.

WORKING PAPERS/ WORK IN PROGRESS:

N.Y. Naik, R Di Mascio and A. Lines	"Alpha Decay" — Revise and Re-submit Journal of Finance		
N.Y. Naik, Yan Lu and Melvyn Teo	"Diverse Hedge Funds" — R&R Review of Financial Studies		
N.Y. Naik, Yan Lu and Melvyn Teo	"Race and Hedge Funds"		
N.Y. Naik, E Gorbatikov and V Sharma	"Is Firm Level Political Exposure Priced?"		
N.Y. Naik and A Januario	"Testing for Adverse Selection in Life Settlements: The secondary market for Life Insurance"		
N.Y. Naik, R Di Mascio and A. Lines	"The Art of Investing: Skill and Risk-taking Behaviour of Institutional Investment Managers"		
N.Y. Naik, V. Agarwal and N. Daniel	"Risk Taking Incentives and Hedge Fund Volatility"		
N.Y. Naik and P. Yadav	"Trading Costs of Public Investors with Obligatory and Voluntary Market-Making: Evidence from Market Reforms" (Winner of the New York Stock Exchange Award for Best Paper on Market Microstructure, EFA Meetings, 2003)		

CASE STUDIES:

N.Y. Naik, A Braun and J. Xu	"Anivo and the Bancassurance Service Industry" InsurTech start up case study 2019
N.Y. Naik, A Braun and J. Xu	"Getsurance: Mass Market vs Niche Strategy in a Changing Insurance Landscape" InsurTech case study 2019
N.Y. Naik, A Braun and J. Xu	"Renaissance of Bancassurance" InsurTech Industry note 2019
N.Y. Naik, P. Reddy Vanga	"India Captive Solar Project in Nagpur" ESG Project Finance case study 2020
N.Y. Naik, P. Reddy Vanga	"Chennai Water Desalination Plant, India" ESG Project Finance case study 2020
N.Y. Naik and K. Chauhan	"Renewable Energy North Sea Link Interconnectors" ESG Project Finance case study 2020
N.Y. Naik, P. Reddy Vanga	"Aluminium Smelter Plant in Oman" Project Finance case study 2020
N.Y. Naik and V. Chauhan	"MaxMyWealth RoboAdvisor" FinTech case study (work-in-progress)

BEST PAPER AWARDS:

The New York Stock Exchange Award for the Best Paper on Equity Trading received at the Western Finance Association Meetings in San Diego, June 1997.

The Robert J. Schwartz Award for Best Paper on Hedging with Derivatives, October 2000

The Inquire Europe Award for the best papers presented at Inquire Europe conferences in **2001**.

The New York Stock Exchange Award for the Best Paper on Market Microstructure received at the European Finance Association Meetings in Glasgow, August 2003.

The Fauchier Partners' Award for the Best Paper on Hedge Funds received at the European Finance Association Meetings in Glasgow, August 2003.

The Man Investments Award for the Best Paper on Hedge Funds, European Finance Association, Zurich, August 2006

Commonfund Institue's Best Paper Award, European Finance Association, Slovania, August 2007

The Inquire UK Award for the best papers presented at Inquire Europe conferences in **2008**.

RESEARCH GRANTS:

N.Y. Naik and P. Yadav	ESRC Grant of £30,000 for Market Microstructure Research (1997).
N.Y. Naik, O. Hansch and S. Viswanathan	Q-Group Grant of \$10,000 for Market Microstructure Research (1998)
N.Y. Naik	Inquire UK Grant of £10,000 for Hedge Funds Research (1998)
N.Y. Naik and V. Agarwal	BSI-Gamma Foundation Grant of \$12,000 for Hedge Funds Research (2002)
N.Y. Naik, N. Daniel, V. Agarwal	Inquire Europe Grant of CHF 15,000 for Hedge Funds Research (2002)
N.Y. Naik, W. Fung, D. Hsieh T. Ramadorai	BSI-Gamma Foundation Grant of \$12,000 for Hedge Funds Research (2004)
N.Y. Naik, N. Daniel, V. Agarwal	BSI-Gamma Foundation Grant of \$12,000 for Hedge Funds Research (2004)
N.Y. Naik and T. Ramadorai	Inquire UK Grant of £6,000 for Hedge Funds Research (2005)
N.Y. Naik, V. Agarwal, N. Boyson	FMDR Grant of \$15,000 for Hedge Funds Research (2005)

N. Y. Naik, R. De Mascio, A Lines Inquire UK Grant of £5000 for Measuring Investment Skill

N. Y. Naik, R. De Mascio, A Lines Inquire Europe Grant of 10,000 Euros for Art of Investing

OTHER PUBLICATIONS:

N.Y. Naik "Economic Role of Financial Markets", <u>Mastering</u>

Management, Financial Times, 1997.

N.Y. Naik "Role of Financial Markets", Mastering Finance, Financial

Times, 1997.

N.Y. Naik and P.K. Yadav "Investors' Choice", Financial News, October 5, 1998.

N.Y. Naik and V. Agarwal "Creative funds that have come into their own", Mastering

Investment, Financial Times, June 11, 2001.

N.Y. Naik and V. Agarwal "Hedge funds – Charackteristika und Risiken", Absolut report,

no.2, Feb 2002, pp 8-14, Die erste Publickation fur Alternative

Investment in Deutschland, Germany.

N.Y. Naik and V. Agarwal "Introduction to Hedge funds" Gestion Alternative, Juillet 2002,

AFG-ASFFI, France.

PhD SUPERVISION: Supervised following students' theses:

Anton Lines "Essays in Asset Management"

Afonso Januario "Essays in Empirical Asset Pricing" Purnendu Nath "Essays in Market Microstructure"

Vikas Agarwal "Place of Hedge Funds in a Prudent Portfolio" Oliver Hansch "Aspects of the Microstructure of Competitive Dealership Markets: Some Empirical Studies of the London

Stock Exchange"

Sam Wylie "Essays on the Decisions of Investors and Fund

Managers" (jointly supervised with Elroy Dimson) Ana Paula Serra "Essays on Emerging Stock Markets"

Nick Taylor "Examining the Performance of Tests of the Relation between the Aggregate U.S. Stock Returns and

Inflation" (jointly supervised with Stephen Hall)

MEDIA APPEARANCES: Bloomberg (Nov 02 and June 00), BBC1 (Feb 02), CNBC (June

05, June 00, and Nov 00), N-TV Germany (Nov 00), CNN Business News (Sept 99, Dec 99, March 2000), ITV (Sept 96).

PROFESSIONAL ACTIVITIES: Refereed several articles for Econometrica, Review of

Economic Studies, Journal of Finance, Journal of Financial Intermediation, Journal of Financial Markets, Journal of Empirical Finance, Journal of Banking and Finance, Economica,

Scottish Journal of Political Economy.

Member of American Finance Association, Western Finance

Association and European Finance Association.

PRESENTATIONS AT CONFERENCES OR UNIVERSITIES:

Econometric Society Meetings, Annaheim, January 92

University of Gothenborg, Sweden, May 92

Western Finance Association Meetings, San Francisco, June 92 American Finance Association Meetings, New Orleans, Jan 93 European Finance Association Meetings, Copenhagen, Aug 93 Duke-NYSE Conference, in honor of Kalman J Cohen, Nov 93

Georgia-Tech University, Atlanta, November 93

American Finance Association Meetings, Boston, January 94

Memphis-State/NASD Conference, Tennessee, March 94

European Finance Association Meetings, Brussels, August 94

Warwick University, September 94

American Finance Association Meetings, Washington DC, Jan 95

Western Finance Association Meetings, Aspen, June 95

CEPR Conference, IESE, Barcelona, Spain February 96

Western Finance Association Meetings, Sunriver, June 96

CEPR European Summer Symposium, Gerzensee, Switzerland, July 96

European Finance Association Meetings, Oslo, August 96

Dealer Market Conference, Ohio-State, November 96

Inquire UK-Europe Joint Conference, Leeds, UK, March 97

Western Finance Association Meetings, San Diego, June 97

City University Business School, London, October 97

American Finance Association Meetings, Chicago, January 98

Western Finance Association Meetings, Monterey, CA, June 98

CEPR European Summer Symposium, Gerzensee, Switzerland, July 98 European Finance Association Meetings, Fountainbleu, France, Aug 98

INSEAD invited seminar, October 98

Dealer Market Conference, Ohio-State, November 98

NYSE-Paris Bourse Global Capital Markets Conference, Paris, Dec 98

NASD Microstructure Conference, Notre Dame, April 99

Western Finance Association Meetings, Santa Monica, June 99

European Finance Assocation Meeting, Helsinki, August 99

Inquire UK Conference on Trading Costs, Bath, UK, September 99

Financial Management Association Conference, Orlando, October 99

Hedge Fund Conference, Duke University, November 99

American Finance Association Meeting, Boston, January 00

SIRIF Conference on Hedge Funds, Edinburgh, May 00

Western Finance Association Meetings, Sun Valley, Idaho, June 00

European Financial Management Association Conf., Athens, June 00

European Finance Association Meetings, London, August 00

Inquire UK Conference, Gleneagles, Scotland, September 00

University of Michigan, Ann Arbor, Mitsui Conference, November 00 Berkeley Programme in Finance Conference, Lake Tahoe, March 01

Q-Group Conference, Tampa, Florida, April 01

Financial Management Association Europe Conference, Paris, May 01

CEPR/JFI Symposium at INSEAD, May 01

Western Finance Association Meetings, Tucson, Arizona, June 01

European Financial Management Association Conf., Lugano, June 01

SIRIF Conference on Hedge Funds, Edinburgh, July 01

Inquire Europe Conference, Sintra, Portugal, November 01

American Finance Association Meeting, Boston, January 02

London School of Economics Conference on Research Methods, Mar 02

European Finance Association Meetings, Berlin, August 02

University of Zurich, BSI Gamma Conference, Sept 02

Inquire UK Conference on Higher Moments, Bournemouth, Sept 02

Inquire Europe Seminar on Alternative Investments Sept 02

Tilburg University, Eindhoven, Holland, November 02

European Finance Association Meetings, Glasgow, August 03

Imperial College, London, Feb 04

Inquire UK and Europe Conference, Dublin, Feb 05

University of North Carolina, Sept 05

Duke University, Sept 05

New York University, Sept 05

CFA Institute Annual Conference, Zurich, May 06

European Financial Management Association, Madrid, June 06

European Finance Association, Zurich, Aug 2006

Global Leadership Summit, London, May 2007

Swiss Association of Actuaries, Zurich, August 2007

Family Office Leadership Summit, London, September 2007

American Finance Association Meetings, January 2008

Southern Methodist University, Dallas, September, September 2009

Rice University, Houston, September 2009 European Pensions Strategy Conference, London, May 2010 Chartered Financial Analyst CFA Masterclass London October 2010 European Pensions Strategy Conference, London, May 2011 University of Geneva, Switzerland, June 2011 Oxford Man Institute Conference, Oxford, November 2011 Frontier Asset Management Conference London January 2012 CFA CAIA Seminar London February 2012 European Pensions Strategy Conference, London, May 2012 European Life Settlement Association Conference London 2012 NYSE Euronext Hedge Fund Conference, Paris, January 2013 European Pensions Strategy Conference, London, May 2013 Life Insurance Settlement Association, Las Vegas, May 2013 Asian Bureau of Finance Association Meetings, Singapore, May 2013 European Finance Association Meetings, Cambridge, August 2013 Inquire UK Conference London November 2013 European Pensions Strategy Conference, London, April 2014 7th Financial Risks International Forum, Paris, March 2014 European Life Settlement Association Seminar London June 2014 European Financial Management Association Meetings, Rome, June 2014 The World Finance Conference, New York, July 2014 European Econ Assn & Econometric Scty Meetings, Toulouse, Aug 2014 Swiss Finance Institute Conference, Lugano, August 2014 European Finance Association Meetings, Lugano, August 2014 7th Annual Conference on Hedge Funds, Paris, January 2015 Jackon Hole Conference, Wyoming, January 2015 European Pensions Strategy Conference, London, April 2015 Dauphine-Amundi Asset Management Workshop, Paris, June 2015 école des Hautes Etudes Commerciales de Paris (HEC) Paris June 2015 FRIC Conference, Copenhagen Business School, Copenhagen, Aug 2015 IFSID 4th Conference on Derivatives, Montreal, September 2015 Financial Management Association Annual Meetings, Orlando, Oct 2015 Luxembourg Asset Management Summit, Luxembourg, October 2015 AFFI/EUROFIDAI Meetings, Paris, December 2015 American Finance Association Meetings, San Francisco, January 2016 European Pensions Strategy Conference, London, April 2016 SFS Finance Cavalcade Meetings, Toronto, May2016 Robinson College of Business, Georgia State University, August 2016 Financial Management Association Meetings, Las Vegas, Oct 2016 **HEC Paris Seminar Presentation 2018** American Finance Association Meetings, Atlanta, January 2019 Duke University, March 2020, UNC Chapel Hill, March 2020 Imperial College London, Oct 2021, Kings College London Nov 2021 Singapore Management University Sept 2021 American Finance Association Meetings, Jan 2022

MEDIA INTERVIEW:

http://www.opalesque.tv/videos/Narayan_Naik

PRESS COVERAGE:

No.	Article	Date	Magazine/newspaper
1	Investors' Choice	5-Oct-98	Financial News
2	Hedge Fund set to bloom	28-Jun-99	Financial Times
3	An Appraisal of Hedge Funds	24-Dec-99	International Herald Tribune
4	Joining the Hedge-Fund Party	28-Jan-00	The Wall Street Journal Europe
5	Betting on Survival	1-Jun-00	Euromoney
6	Hedge funds come in form the cold	12-Jul-00	Financial Times

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70	har e a war e e a a a a a a	00.0	T. F . O
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