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Date: July 7, 2016

EDUCATION:

University of Missouri; College of Business and Public Administration; Columbia, MO
Ph.D., Business Administration, August 1991
Finance Major; Support Areas--Statistics & Micro-economics
Dissertation Title: "Common Equity Offerings: Degree of Seasoning and the
IPO-Seasoned Offering Relationship"
Dissertation Supervisor: Richard H. Pettway

University of Missouri; College of Agriculture; Columbia, Missouri
B.S., Biochemistry Major, May 1984

WORK EXPERIENCE:

Mendoza College of Business, University of Notre Dame; Notre Dame, Indiana

Associate Dean for Graduate Programs, July 2016-present

Department of Finance (previously Finance & Business Economics)

Assistant Department Chair, August 2010-June 2016

Associate Professor, May 1999-present

Assistant Professor, August 1991-May 1999

Courses Taught: Introductory Finance, Advanced Corporate Finance,
Mergers & Acquisitions, Real Options Analysis, and Corporate Risk
Management

University of Missouri; Columbia, Missouri

Research Assistant and Instructor/Teaching Assistant, Department of Finance

August 1986-August 1991

Course Taught: Introductory Finance

Cancer Research Center; Columbia, Missouri
Biochemistry Research Technician
March 1985-August 1986

REFEREED PUBLICATIONS:

"The Long-Run Performance of Common Stock Following Debt Offerings," D. Katherine Spiess and John Affleck-Graves, *Journal of Financial Economics*, 54 (1999), p. 45-73.

"The Private Securities Litigation Reform Act of 1995: The Stock Market Casts Its Vote...," D. Katherine Spiess and Paula A. Tkac, *Managerial and Decision Economics*, 18 (1997), p. 545-561. (This is a special issue titled "Use of Finance and Economics in Security Regulation and Corporate Law".)

"The IPO and First Seasoned Equity Sale: Issue Proceeds, Owner/Managers' Wealth, and the Underpricing Signal," D. Katherine Spiess and Richard H. Pettway, *Journal of Banking and Finance*, 21 (July 1997), p. 967-988.

"Underperformance in Long-run Stock Returns Following Seasoned Equity Offerings," D. Katherine Spiess and John Affleck-Graves, *Journal of Financial Economics*, 38 (July 1995), p. 243-267.

"Japanese Foreign Direct Investment: Impacts of Purchases and Sales of U.S. Assets," Richard H. Pettway, Neil W. Sicherman, and D. Katherine Spiess, *Financial Management* (Winter 1993), p. 82-95.

NON-REFEREED PUBLICATIONS:

"The Long-Run Performance of Common Stock Following Debt Offerings," D. Katherine Spiess and John Affleck-Graves, abstracted in *Contemporary Finance Digest*, 3:1 (2000), p. 65-66.

"The IPO and First Seasoned Equity Sale: Issue Proceeds, Owner/Managers' Wealth, and the Underpricing Signal," D. Katherine Spiess and Richard H. Pettway, abstracted in *Contemporary Finance Digest*, 2:1 (Spring 1998), p. 31-32.

"Japanese Foreign Direct Investment: Impacts of Purchases and Sales of U.S. Assets," Richard H. Pettway, Neil W. Sicherman, and D. Katherine Spiess, abstracted in *International Society of Financial Analysts Digest*, (Summer 1994), p. 44-45.

Solutions Manual to Accompany Principles of Finance with Corporate Applications, in conjunction with Douglas R. Emery and John D. Finnerty, West Publishing Co., 1991.

SCHOLARSHIPS and FELLOWSHIPS:

University of Missouri; Columbia, Missouri
Ponder Scholarship, 1986-1991
Financial Research Institute Summer Fellow, 1989 and 1990
Curator's Scholarship, 1980-1984

SELECTED DISTINCTIONS, HONORS, and AWARDS:

Master of Science in Management Outstanding Teacher Award, 2015
Department of Finance James Dincolo Teaching Award, 2014
Kaneb Center Faculty Fellow, 2011-2012.
Journal of Financial Economics "All Star Paper"; included in a list of the most frequently cited *Journal of Financial Economics* papers published during the period 1974-95.
Kaneb Center Teaching Award, May 2001
BP Amoco College-wide Outstanding Teacher Award, April 1999
Graduated Summa Cum Laude, 1991
Graduated Summa Cum Laude and Honors Scholar, 1984
Mortar Board Honor Society, 1984
Gamma Sigma Delta Sophomore Scholar, 1981-1982