ANUP SRIVASTAVA

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ACADEMIC POSITION

Kellogg School of Management, Northwestern University 2008 –
Assistant Professor
Accounting Information & Management Department

EDUCATION

Ph.D. 2008
Mays Business School, Texas A&M University, College Station, TX

MBA 1990
Faculty of Management Studies, University of Delhi, Delhi, India

Bachelor of Technology (Mechanical Engineering) 1988
Indian Institute of Technology, Delhi, India

RESEARCH

PUBLISHED PAPERS

1. Efendi, J, A. Srivastava and E. P. Swanson. 2007. Why do corporate managers misstate financial statements? The role of in-the-money options and other incentives. *Journal of Financial Economics*. 85(3): 667-708.
2. McAnally, M. L., A. Srivastava and C. Weaver. 2008. Executive stock options, missed earnings targets and earnings management. *The Accounting Review*. 83(1): 185-216.

WORKING PAPERS

3. Rees, L., A. Srivastava, and Senyo Tse. 2011. Stock option plans, management earnings guidance, and a firm's information environment. Under first-round review at *Accounting Horizons*.
4. Srivastava, A. 2011. Future firm risks and managers' personal portfolio decisions. Under first-round review at *Review of Financial Studies.*
5. Srivastava, A. 2011. Do managers' personal portfolio alterations in response to firm risks benefit or harm shareholder interests? Being prepared for submission to the *Journal of Accounting and Economics.*
6. Srivastava, A. 2011. Selling-price estimates in revenue recognition and earnings informativeness. Under second-round review at the *Review of Accounting Studies*.
7. Srivastava, Anup. 2011. Why has matching declined? Being prepared for a second-round submission to *The Accounting Review*.
8. Srivastava, A. and S. Tse. 2011. Gains Conservatism – An ignored topic in accounting research. Under first-round review at *Accounting, Organizations, and Society*.
9. Srivastava, A., S. V. Sunder, and S. Tse. 2011. Timely loss recognition and the early termination of loss making projects.
10. Hong, H. and A. Srivastava. 2012. Dual-class firms, information asymmetry, put-disparity, and future price adjustments.

TEACHING

1. "Introductory course in financial accounting" at Texas A&M University (fall of 2006).
2. "Securities analysis" at Kellogg School of Management, Northwestern University.

PROFESSIONAL EXPERIENCE

Usha Communications Technology (Reston, VA and Portland, OR) 2000 – 2003
($ 25 million telecom software firm)

Designation: Secretary and Treasurer

- Board processes, investor relations, audit, internal control, corporate governance, stock-options plan, and incentives design and administration.
- Major accounting issues managed: software revenue recognition, merger accounting, stock-option accounting, auditor change, and goodwill impairment testing.

IndiaServer.com (Mumbai, India) 2000 – 2000
(Internet portal, since acquired)

Designation: Director (Finance)

- Business development, strategic partnerships, investor relations, raising capital.

Aditya Birla Group (Mumbai, India) 1996 – 2000
($ 35 billion industrial conglomerate in South and South-East Asia)

Designation: Vice President,

- Corporate governance, mergers and acquisitions, corporate planning, performance evaluation, capital allocation to group firms.

ICICI Bank (Mumbai, India) 1990 – 1996
(the second largest bank in India)

Designation: Associate Vice President

- Lending and investment decisions, monitoring of loans, restructuring of distressed firms.
- Special assignments with Harvard Business School and Stern School, NYU

ACADEMIC PRESENTATIONS

- University of Arizona
- University of Chicago
- Duke University
- University of Illinois (Chicago)
- Indian School of Business
- Michigan State University
- New York University
- University of North Carolina
- Northwestern University
- Notre Dame University

- Pennsylvania State University
- Texas A&M University
- University of Texas (Austin)
- Annual meetings of American Accounting Association (AAA), Financial Accounting Section (FARS), Management Accounting Section (MAS), Lone Star Conference, Conference on Financial Economics and Accounting (CFEA).
- Attended the conferences of the *Journal of Accounting and Economics* (2008, 2009, 2010), *Journal of Accounting Research* (2010, 2011), *Contemporary Accounting Research* (2011), Center for Accounting and Research (2010, 2011), and Penn State Accounting Conference (2011), as an invited participant.

SCHOLARSHIPS AND AWARDS

- Lawrence Revsine Research Fellowship offered by the Kellogg School of Management
- Deloitte Fellowship of $ 25,000 for doctoral studies
- Regents' Scholarship at Texas A&M University
- Mays Business School Dean's Scholarship for meritorious performance
- National Talent Search Scholarship awarded by Government of India

PROFESSIONAL SERVICE

- *Ad hoc* reviewer for *The Accounting Review*, *Journal of Accounting Research*, *Contemporary Accounting Review*, and *Accounting Horizons*.

OTHER INFORMATION

- Co-author of India's corporate governance code (1999) under the auspices of Securities and Exchange Board of India (SEBI), India's regulatory watchdog.
- Co-author of a 1995 research report on US-India trade: a joint research project of Harvard Business School and ICICI Bank. The report was presented to then finance-minister (now prime-minister) and then commerce-minister (now finance-minister) of India, and its recommendations were used for formulating India's export-import policy.
- In 2000, conceptualized and implemented two of the largest all-cash acquisitions in India.

WEBSITES

- http://www.kellogg.northwestern.edu/faculty/directory/srivastava_anup.aspx
- http://papers.ssrn.com/sol3/cf_dev/AbsByAuth.cfm?per_id=375681