

Doug Guthrie

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Department of Management and Organizations

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EMPLOYMENT

Faculty Director, Executive Education, Stern School of Business, *New York University*, 2007-

Daniel P. Paduano Faculty Fellow, Stern School of Business, *New York University*, 2007-

Professor of Management, Stern School of Business, *New York University*, 2005-

Professor of Sociology, Faculty of Arts and Sciences, *New York University*, 2005-

Visiting Professor of Business Administration, *Harvard Business School*, 2005

Associate Professor of Sociology and Management, *New York University*, 2004-05

Visiting Associate Professor of Management, *Goizueta School of Business, Emory University*,
Spring 2004

Visiting Associate Professor of Management, *Graduate School of Business, Columbia University*,
Spring 2003

Visiting Associate Professor of Management, *Graduate School of Business, Stanford*, Winter 2003

Associate Professor of Sociology, *New York University*, 2000-04

□ Director of Graduate Studies (Department of Sociology), 2003-05

□ Director of Global Education (Office of the Provost), 2001-03

Assistant Professor of Sociology, *New York University*, 1997-2000

□ Director of Undergraduate Studies (Department of Sociology), 1999-2000

EDUCATION

University of California, Berkeley

Ph.D. in Sociology, 1997

M.A. in Sociology, 1994

Doctoral Dissertation: *Strategy and Structure in Chinese Firms: Organizational Action and Institutional Change in Industrial Shanghai*

□ Winner of the American Sociological Association's national award for the year's best dissertation in the field of Sociology in 1997

University of Chicago

A.B. in East Asian Languages and Civilizations (with honors), 1992

Cathay Language Institute, Taipei, Taiwan

Mandarin Chinese language study, 1989-90

GRANTS, FELLOWSHIPS, AWARDS, SECONDARY APPOINTMENTS

Co-Academic Director (with Marti Subrahmanyan), Tata Program on Mergers and Acquisitions, Custom Program, 2009

Academic Director, Investing in China, NYU-Stern Open Enrollment Program, 2009

Co-Academic Director (with David Barnard), Leadership for Legal Professionals, NYU-Stern Open Enrollment Program, 2009

Co-Academic Director (with Veronica Cantanese), Strategic Leadership for Medical Professionals, NYU-Stern Open Enrollment Program, 2009

Academic Director, Berlin School of Creative Leadership (EMBA), Steinbeis School of Management, 2008-

Academic Director, AIG Financial Executive Development Program, Custom Program, 2008-

Academic Director, Seoul National University Global Investment Banking Program, 2008-

Academic Director, Leadership for High Potentials, NYU-Stern Open Enrollment Program, 2008, 2009

Daniel P. Paduano Fellow, Paduano Program on Business Ethics, Stern School of Business, NYU, 2007-

NYU Academic Director, TRIUM (LSE-NYU-HEC) Global Executive MBA Program, 2007-08

Best Paper of the Social Issues in Management Section of the Academy of Management for “Corporate Social Responsibility as a New Conception of Control” (with Justin Miller) 2007

Executive MBA Award for Excellence in Teaching, Stern School of Business, NYU, 2007

Member of the Sociological Research Association, elected 2003

Grant from The Howard Sontag Foundation for exploratory work on the psychology of investment behavior (\$10,000), 2003

Director, Business Institutions Initiative, Social Science Research Council, 1999-2003

Invited Fellow at the Center for Advanced Study in the Behavioral Sciences, 2002 (declined)

Director, Program on the Corporation as a Social Institution, Social Science Research Council, 1999-2003

Grant from the Rockefeller Foundation for a conference on markets as social institutions, held at Bellagio (\$30,000), Italy, 2002

Grant from the Japan Foundation for a conference on corporate embeddedness (\$15,000), 2002

Grant from the Alfred P. Sloan Foundation for the Program on the Corporation as a Social Institution (\$340,843), 2001-03

Grant from the Ford Foundation for the Corporate-Community Relations Study, a multi-city study of the relationships between corporations and urban communities (\$684,000), 2001-03

Grant from the Alfred P. Sloan Foundation for the Program on the Corporation as a Social Institution (\$270,681), 2000-2002

Research Council, Hopkins-Nanjing Institute for International Research at the Hopkins-Nanjing Center, 2000-02

Acting Director, East Asia Program, Social Science Research Council, 1999-2000

Grant from the Russell Sage Foundation for a conference on the future of data infrastructure in the social and behavioral sciences (\$35,000), 1999

Grant from the Alfred P. Sloan Foundation for a workshop on the study of business institutions (\$11,500), 1999

Grant from the New York University Research Challenge Fund (\$6,000), 1999

Member, New York University's Society of Fellows, 1998-2006
William Davidson Visiting Professor, William Davidson Institute, University of Michigan, 1999
American Sociological Association's award for best dissertation in the discipline, 1998
Elected to Phi Beta Kappa, 1997
Grant from Touchstone Consulting to conduct national survey of U.S. organizations (\$24,000), 1996
University of California, Berkeley Dean's Dissertation Fellowship, 1996-97
Committee on Scholarly Communication with China Dissertation Fellowship, 1995 (declined)
University of California, Berkeley Vice-Chancellor's Research Award, 1995
Social Science Research Council International Pre-Dissertation Fellowship, 1994-95
University of California, Berkeley Institute of East Asian Studies Graduate Fellowship, 1992-94
University of Chicago President's Award, 1991
National Endowment for the Humanities Younger Scholar's Award, 1990

PUBLICATIONS ('f.c.'=forthcoming)

Books

1. 2009 Clemens, Elisabeth and Doug Guthrie, eds. *Politics and Partnerships: The Transformation of the Nonprofit Sector in the Era of the Declining Welfare State*. Chicago: University of Chicago Press.
2. 2008 Guthrie, Doug. *China and Globalization: The Social, Economic, and Political Transformation of Chinese Society, Revised Edition*. New York: Routledge.
2008 Excerpted in the *Routledge Social Issues Collection* "China and Globalization," and "Economic Sociology and Market Transition in China."
- 2.1. 2006 Guthrie, Doug. *China and Globalization: The Social, Economic, and Political Transformation of Chinese Society* [First Edition]. New York: Routledge.
2007 Excerpted in *The Political Economy Reader: Markets as Institutions*, edited by Naazneen H. Barma and Steven K. Vogel. New York: Routledge.
3. 2002 Gold, Thomas, Doug Guthrie, and David Wank, eds. *Social Connections in China: Institutions, Culture, and the Changing Nature of Guanxi*. New York: Cambridge University Press.
4. 1999 Guthrie, Doug. *Dragon in a Three-Piece Suit: The Emergence of Capitalism in China*. Princeton, NJ: Princeton University Press. (Paperback edition, 2001)
2009 Chinese edition, *Chuan Sanjiandaide Long: Zhongguode Zibenzhuyi Jianyule*. Shanghai: Shanghai People's Press.

Journals

5. 2008 Durand, Rodolphe and Doug Guthrie, guest editors. *European Management Review: Social Issues in Management Research* (Special Issue).

Peer-reviewed articles and book chapters

6. 2009 Clemens, Elisabeth and Doug Guthrie. "Politics and Partnerships: The Role of Voluntary Associations in America's Political Past and Present." In *Politics and*

Partnerships: The Transformation of the Nonprofit Sector in the Era of the Declining Welfare State. Chicago: University of Chicago Press.

7. 2009 Guthrie, Doug. "Corporate Philanthropy in the United States: Where do Corporations Place their Bets?" In *Politics and Partnerships: The Transformation of the Nonprofit Sector in the Era of the Declining Welfare State*. Chicago: University of Chicago Press.
8. 2008 Guthrie, Doug, Zhixing Xiao, and Junmin Wang. "Aligning the Interests of Multiple Principals: Ownership Concentration and Profitability in China's Publicly Traded Companies." *Management and Organization Review*.
9. 2008 Guthrie, Doug and Rodolphe Durand. "Social Enterprise and Social Entrepreneurship: Institutional Innovation and Social Change." *European Management Review*: 1-13.
10. 2008 Guthrie, Doug and Michael McQuarrie. "Corporate Investment, Social Innovation, and Community Change: The Local Political Economy of Low-Income Housing Development." *Journal of City and Community* 7(2): 113-40.
11. 2007 Guthrie, Doug, Richard Arum, Josipa Roksa, and Sarah Damaske. "Giving to Local Schools: Corporate Philanthropy and the Receding Welfare State." *Social Science Research* 974: 1-18.
12. 2007 Miller, Justin and Doug Guthrie. "Corporate Social Responsibility as a New Conception of Control." *Academy of Management Best Paper Proceedings*.
13. 2007 Guthrie, Doug and Junmin Wang. "Business Organizations in China." Pp. 99-121 in *Handbook of Asian Business*, edited by Henry Yeung. Edward Elgar Publishing.
14. 2006 Guthrie, Doug and Michael McQuarrie. "Houses for the Poor and a New Business for Banks: The Creation of a Market for Affordable Housing." *Business Solutions for the Global Poor: Creating Social and Economic Value*. Edited by Kash Rangan, John Quelch, Gustavo Herrero, and Brooke Barton. San Francisco: Jossey-Bass.
15. 2005 Guthrie, Doug and Michael McQuarrie. "Privatization and the Social Contract: Corporate Welfare and Low-Income Housing in the United States since 1986." *Research in Political Sociology* 14: 15-51.
16. 2005 Guthrie, Doug. "Organizational Learning and Productivity: State Structure and Foreign Investment in the Rise of the Chinese Corporation." *Management and Organization Review* 1(2): 165-95.
17. 2005 Guthrie, Doug. "Information Technology and State Capacity in China." Pp. 312-38 in *Digital Formations: Cooperation and Conflict in a Connected World*, edited by Robert Latham and Saskia Sassen. Princeton, NJ: Princeton University Press.
18. 2004 Guthrie, Doug. "An Accidental Good: How Savvy Social Entrepreneurs Seized on a Tax Loophole to Raise Billions of Corporate Dollars for Affordable Housing." *Stanford Social Innovation Review* (Fall): 34-44.
19. 2003 Guthrie, Doug. "The Quiet Revolution: The Emergence of Capitalism in China." *Harvard International Review* 25(2): 48-53.

20. 2002 Guthrie, Doug. "The Transformation of Labor Relations in China's Emerging Market Economy." *Research in Social Stratification and Mobility* 19: 137-68.
21. 2002 Guthrie, Doug. "Entrepreneurial Action in the State Sector: The Economic Decisions of Chinese Managers." Pp. 159-90 in *The New Entrepreneurs of Europe and Asia: Patterns of Business Development in Russia, Eastern Europe and China*, edited by Vicki Bonnell and Thomas Gold. Boulder, CO: M.E. Sharpe.
22. 2002 Gold, Thomas, Doug Guthrie, and David Wank. "An Introduction to the Study of *Guanxi*." Pp. 3-20 in *Social Connections in China: Institutions, Culture, and the Changing Nature of Guanxi*, edited by Thomas Gold, Doug Guthrie, and David Wank. New York: Cambridge University Press.
23. 2002 Guthrie, Doug. "Information Asymmetries and the Problem of Perception: The Significance of Structural Position in Assessing the Importance of *Guanxi* in China." Pp. 37-56 in *Social Connections in China: Institutions, Culture, and the Changing Nature of Guanxi*, edited by Thomas Gold, Doug Guthrie, and David Wank. New York: Cambridge University Press.
24. 2001 Guthrie, Doug and Vivek Chibber. "East Asian Studies, Economics." In *International Encyclopedia of the Social and Behavioral Sciences*, edited by Neil Smelser and Paul Baltes. Elsevier Science, Ltd.
25. 2001 Guthrie, Doug. "The Emergence of Market Practices in China's Economic Transition: Price Setting in Shanghai's Industrial Firms." In *Managing Organizational Change in Transition Economies*, edited by Daniel Denison. Mahwah, NJ: Lawrence Erlbaum Associates.
26. 2000 Guthrie, Doug. "Understanding China's Transition to Capitalism: The Contributions of Victor Nee and Andrew Walder." *Sociological Forum* 15(4): 725-47.

Chinese version: "*Zhongguode Shichang Jingji Gaige: Victor Nee yu Andrew Walder Zhuanjiade Zhengduan.*" *Zhongguo Shehui Kexue Yanjiu [Journal of Chinese Social Sciences]*. Shandong: Shandong University Publishing House (2004).
27. 1999 Guthrie, Doug and Louise Roth. "The State, Courts, and Equal Opportunities for Female CEOs in U.S. Organizations: Specifying Institutional Mechanisms." *Social Forces* 78(2): 511-42.

Reprinted in: *Workplace/Women's Place: An Anthology*, edited by Paula Dubeck. Roxbury Publishing Company (2002).
28. 1999 Guthrie, Doug and Louise Roth. "The State, Courts, and Maternity Leave Policies in U.S. Organizations: Specifying Institutional Mechanisms." *American Sociological Review* 64(1): 41-63.
29. 1999 Guthrie, Doug. "A Sociological Perspective on the Use of Technology: The Adoption of Internet Technology in U.S. Organizations." *Sociological Perspectives* 42(4): 583-603.
30. 1998 Guthrie, Doug. "Organizational Uncertainty and Labor Contracts in China's Economic Transition." *Sociological Forum* 13(3): 457-94.

31. 1998 Guthrie, Doug. "The Declining Significance of *Guanxi* in China's Economic Transition." *The China Quarterly* 154: 31-62.
Chinese version: "Zhongguo Jingji Zhuanxing Shiqi Guanxide Zhongyaoxing Zhengzai Xiajiang" in *Xifang Zhuanjia dui Zhongguode Zhengduan* [A Diagnosis of China's Economy by Western Experts], edited by Minjie Zhang. Beijing: Changchun Press Publishing House (1999).
32. 1997 Guthrie, Doug. "Between Markets and Politics: Organizational Responses to Reform in China." *American Journal of Sociology* 102: 1258-1303.
33. 1996 Guthrie, Doug. "Organizational Action and Institutional Reforms in China's Economic Transition: A Comparison of Two Industries." *Research in the Sociology of Organizations* 14: 181-222.
34. 1995 Guthrie, Doug. "Political Theater and Student Organizations in the 1989 Chinese Movement: A Multivariate Analysis of Tiananmen." *Sociological Forum* 10: 419-54.
35. 1995 Guthrie, Doug. "Cultures of Violence and Social Control: An Analysis of Violent Crime in U.S. Counties with Implications for Social Policy." *Berkeley Journal of Sociology* 39: 67-99.

Book reviews and short articles

36. 2009 Guthrie, Doug. Review of *Integrating China: Towards the Coordinated Market Economy*, by Peter Nolan. *The China Quarterly*.
37. 2009 Guthrie, Doug. Review of *How China Grows: Investment, Finance, and Reform*, by James Riedel, Jing Jin, and Jian Gao and *Factions and Finance in China: Elite Conflict and Inflation*, by Victor C. Shir. *The China Quarterly*.
38. 2009 Guthrie, Doug. Review of *China's Emergent Political Economy: Capitalism in the Dragon's Lair*, edited by Christopher A. McNally. *The China Journal*.
39. 2009 Guthrie, Doug. Review of *Entrepreneurship in China* by Keming Yang. *Contemporary Sociology*.
40. 2008 Guthrie, Doug. "Point/Counterpoint: Comment on 'Competitive Advantage, Human Resource Strategy, and the 2008 Olympics,'" by Jeremy Fox et al. *People and Strategy* 31(1).
41. 2008 Guthrie, Doug. Review of *How China Grows: Investment, Finance and Reform*, by James Riedel, Jing Jin and Jian Guo. *The China Quarterly*.
42. 2008 Cooley, Thomas and Doug Guthrie. "The Values Proposition." *SternBusiness* (April).
43. 2008 Guthrie, Doug. "The Great Helmsman's Cultural Death." *Contexts Magazine* 7(2).
44. 2008 Guthrie, Doug. Review of *Interfirm Relations in Late Industrialization in China: The Supplier System in the Motorcycle Industry*, by Moriki Ohara. *The China Journal*.
45. 2007 Guthrie, Doug. "Challenges and Opportunities for Multinationals in China." *The International Consortium for Executive Development Research* (November).

46. 2007 Guthrie, Doug. Review of *China's Domestic Private Firms: Multidisciplinary Perspectives on Management and Performance*, edited by Anne S. Tsui, Yanjie Bian and Leonard Cheng. *The China Journal*.
47. 2007 Guthrie, Doug. Review of *The Chinese Economy: Transitions and Growth* by Barry Naughton. *The China Quarterly*.
48. 2006 Guthrie, Doug. "The View from the Middle Kingdom: CSR in the People's Republic of China." *Leading Perspectives: A Trends and Solutions Publication from Business for Social Responsibility* (Summer).
49. 2006 Guthrie, Doug. Review of *The Growth Gamble: When Leaders Should Bet Big on New Businesses and How They Can Avoid Expensive Failures* by Andrew Campbell and Robert Park. *Manageris: La Synthèse du Management*.
50. 2006 Guthrie, Doug. Review of *Contagious Capitalism: Globalization and the Politics of Labor in China* by Mary Gallagher. *The China Quarterly*.
51. 2006 Guthrie, Doug. Review of *Northeast Asia's Stunted Regionalism: Bilateral Distrust in the Shadow of Globalization* by Gilbert Rozman. *American Journal of Sociology*.
52. 2005 Guthrie, Doug. Review of *Law and Investment in China: The Legal and Business Environments after WTO Accession* by Vai Io Lo and Xiaowen Tian. *The China Journal*.
53. 2005 Guthrie, Doug. "The Corporate Corruption of Higher Education: An Interview with Jennifer Washburn, author of University, Inc." *Contexts Magazine*.
54. 2003 Guthrie, Doug. Review of *Back Alley Banking: Private Entrepreneurs in China* by Kellie Tsai. *Journal of Asian Studies*.
55. 2002 Guthrie, Doug. Review of *The Making of the Chinese Industrial Workplace: State, Revolution and Labor Management* by Mark Frazier. *The Journal of Asian Studies*.
56. 2002 Guthrie, Doug. Review of *Opening Up: Youth Sex Culture and Market Reform in Shanghai* by James Farrer. *Contexts Magazine*.
57. 2002 Guthrie, Doug. Review of *Buying and Believing: Sri Lankan Advertising and Consumers in a Transnational World* by Steven Kemper. *American Journal of Sociology*.
58. 2002 Guthrie, Doug. Review of *Chinese Business Groups: The Structure and Impact of Interfirm Relations During Economic Development*, by Lisa Keister. *Contemporary Sociology*.
59. 2001 Guthrie, Doug. Review of *Property Rights and Economic Reform in China* by Jean Oi and Andrew Walder. *Journal of Asian Business*.
60. 2001 Guthrie, Doug. Review of *The Basic Features of Postcommunist Capitalism in Eastern Europe: Firms in Hungary, the Czech Republic, and Slovakia* by Lawrence Peter King. *Administrative Science Quarterly*.
61. 2001 Guthrie, Doug. Review of *Cadres and Corruption: The Organizational Involvement of the Chinese Communist Party* by Xiaobo Lu. *American Journal of Sociology* 106(5).

62. 2001 Guthrie, Doug. Review essay on *East Meets West: Human Rights and Democracy in East Asia* by Daniel Bell and *The East Asian Challenge for Human Rights*, edited by Joanne Bauer and Daniel Bell. *Journal of Asian Studies* (May).
63. 2001 Guthrie, Doug. "The Clanging Harbinger of an Unnoticed Revolution." *China Online*, Commentary, January 16.
64. 2000 Guthrie, Doug. "The Argument for Engagement with China: The Case for PNTR." *The Progressive Response*, May 15.
65. 2000 Guthrie, Doug. "The Evidence Is Clear: Foreign Investment Spurs Workplace Reform in China." *The Chronicle of Higher Education*, March 17.
Reprinted in: *Faculty Matters*, April 24; *The Asia Insider*, April/May; *VirtualChina.com*, May 8; *Emerging Economies Portfolio*, May 12.
66. 2000 Guthrie, Doug. "Detention and Release in Beijing: the Case of Yongyi Song." *The Chronicle of Higher Education*, February 18.
67. 1999 Guthrie, Doug. Review of *New Ghosts, Old Ghosts: Prisons and Labor Reform Camps in China* by James D. Seymour and Richard Anderson. *Punishment and Society* 1(2).
68. 1999 Guthrie, Doug. "Can Trade Lift Oppression?: Foreign Investment Slowly Bringing About Change." *San Jose Mercury News, Perspective Section*, November 21.
69. 1999 Guthrie, Doug. Review of *Growing out of the Plan: Chinese Economic Reform, 1978-1993* by Barry Naughton. *Journal of Economic Literature* 37(December).
70. 1999 Guthrie, Doug. "Great Strides Still Needed on Road to SOE Change: Research on Factory Floor Reveals Gradual Move Towards Market-Based Systems." *China Business Review, South China Morning Post*, September 9.
71. 1999 Guthrie, Doug. Review of *Making Capitalism in China: The Taiwan Connection* by You-tien Hsing. *American Journal of Sociology* 104(6).
72. 1999 Guthrie, Doug. Review of *Producing Guanxi: Sentiment, Self, and Subculture in a North China Village* by Andrew B. Kipnis. *The China Quarterly* 158.
73. 1999 Guthrie, Doug. Review of *China's New Business Elite: The Political Consequences of Economic Reform* by Margaret M. Pearson. *The China Quarterly* 158.
74. 1999 Guthrie, Doug. "The World Sees Reforms with Two Vastly Differing Faces." *China Business Review, South China Morning Post*, June 10.
75. 1999 Guthrie, Doug. Review of *Danwei: The Changing Chinese Workplace in Historical and Comparative Perspective*, by Xiaobo Lu and Elizabeth J. Perry. *Contemporary Sociology* 28(1).

Cases, research reports

- 2008 Guthrie, Doug and Brendon McKeon. "Yanlord Property Development Company." NYU-Stern School of Business Case, Department of Management and Organizations.
- 2008 Guthrie, Doug and Brendon McKeon. "China Coal Energy Company." NYU-Stern School of Business Case.

- 2008 Guthrie, Doug and Brendon McKeon. "Local Economic Development in Suzhou: The Case of Solutia." NYU-Stern School of Business Case, Department of Management and Organizations.
- 2008 Guthrie, Doug and Brendon McKeon. "Local Economic Development in Lijiang." NYU-Stern School of Business Case, Department of Management and Organizations.
- 2008 Guthrie, Doug and Brendon McKeon. "Jili in the Global Economy." NYU-Stern School of Business Case, Department of Management and Organizations.
- 2008 Guthrie, Doug and Brendon McKeon. "The Lenovo Group, Ltd." NYU-Stern School of Business Case, Department of Management and Organizations.
- 2008 Guthrie, Doug. "PetroChina in the Global Economy." NYU-Stern School of Business Case.
- 2007 Marquis, Chris, Doug Guthrie and Richard Arum. "Joel Klein and Leadership in the New York City Public Schools." Harvard Business School Case.
- 2006 Marquis, Chris, Doug Guthrie and Yannis Katsarakis. "Gianna Angelopoulos-Daskalaki and the 2004 Athens Olympic Games (A)." Harvard Business School Case.
- 2006 Marquis, Chris, Doug Guthrie and Yannis Katsarakis. "Gianna Angelopoulos-Daskalaki and the 2004 Athens Olympic Games (B)." Harvard Business School Case.
- 2004 Guthrie, Doug. *Codebook for Corporate-Community Relations Study: 2001-2002 Survey of Corporate Involvement*. New York: Social Science Research Council.
- 2004 Guthrie, Doug. *Survey on Corporate-Community Relations*. Report for the Ford Foundation on the results of the *Corporate-Community Relations Study*.

Books in preparation

Guthrie, Doug. *China's Radical Transformation: Economic Reform, Global Integration, and the Prospects for Democracy in the World's Largest Nation*. Cambridge, England: Polity (under contract).

Guthrie, Doug, Michael McQuarrie, and Justin Miller. *The Rise of Corporate Social Responsibility in the United States: Responsibility, Deregulation and Corporate Control*.

Guthrie, Doug. *Leadership and Corporate Governance in China: Opportunities and Pitfalls*.

Articles in preparation ('u.r.' = under review)

- u.r. Marquis, Christopher and Doug Guthrie. "State Activism and the Hidden Incentives behind Bank Mergers, 1990-2000: Tax Credits, the Community Reinvestment Act, and Economic Change." Revise and resubmit at *Organization Science*.
- u.r. Miller, Justin and Doug Guthrie. "Setting the Agenda: Corporate Social Responsibility as a New Conception of Control." Under review at *Social Science Research*.
- u.r. 2008 Guthrie, Doug, Zhixing Xiao, and Junmin Wang. "Corporate Governance in Transition: The Rise of State-Owned Asset Management Companies in Reform-Era China." Under review at *Journal of Contemporary China*.

Guthrie, Doug. “An Institutional History of Corporate Citizenship in the United States.”

Bae, Jonghun, Doug Guthrie and Zhixing Xiao. “Between Market and Hierarchy Reconsidered: Multiple Principals and Investment in China’s Capital Markets.”

Guthrie, Doug, Zhixing Xiao and Joonhong Bae. “The Network Structure of China’s Capital Markets.”

Guthrie, Doug, Ilya Okhmatovskiy Roger Schoenman, and Zhixing Xiao. “Ownership Networks and New Institutional Forms in Transitions from Plan to Market.” In *Small Worlds in Comparative Context*, edited by Bruce Kogut. Manuscript complete, book in preparation.

RECENT INVITED LECTURES, PRESENTATIONS, MEDIA (*= KEYNOTE LECTURE)

Haas School of Business, University of California, Berkeley (“The Rise of SASAC”), Berkeley, CA (9/08)

KZYX-FM, Interview with Todd Wodetski (“Economic and Political Change in China”), Philo, CA, (8/08)

KPHX-FM, Interview with Jeff Farias (“Economic and Political Change in China”), Phoenix, AZ (8/08)

WJFF-FM, Interview with Dick Riseling (“Economic and Political Change in China”), Jeffersonville, NY (8/08)

WWNF-FM, Interview with Rob Lorei (“Economic and Political Change in China”), Tampa, FL (8/08)

KMMS-AM, Interview with Diane and Dave Zollinger for “Democracy’s Edge” (“Economic and Political Change in China”), Bozeman, MT (8/08)

KROC-FM, Interview with Bob Salter for KROC’s “Public Affairs” (“Economic and Political Change in China”), New York, (8/08)

WLTN-FM, Interview on the relationship between China’s economic and political reforms and the meaning of the Olympics, New York, NY (8/08)

United Nations, Speech to Investment Group (“China’s Current Investment Climate”), United Nations, New York (8/08)

BNR Dutch Newsradio, Interview for news segment on China’s investment in US banks (8/08)

* Daiwa Securities Investment Conference, Keynote (“China’s Current Investment Climate”), Daiwa Securities, New York (7/08)

Center for China-US Cooperation (“How Robust are China’s Institutions?”), University of Denver (5/08)

* NYU Alumni Association, Speakers on the Square (“The Politics of Economic Reform in China and the Implications for US-China Policy”), NYU (4/08)

McDonough School of Business, Georgetown University (“The Political, Economic, and Social Transformation of Chinese Society”), Georgetown (2/08)

* International Consortium for Executive Development Research, Keynote (“Strategy, Leadership, and Transformation: Multinational Corporations in the Global Economy”), New York (11/07)

Watson Institute Series on “The Next Generation of CSR: Innovating Private Sector Provision of Public Goods” (“The House that Reagan Built: Corporate-Community Relations in the Age of Deregulation”), Brown University, Providence, RI (11/07)

Skoll/China International Forum on Social Entrepreneurship (“Social Innovation in China”), Hangzhou, China (5/07)

Renmin School of Business (“The Political Economy of Publicly Traded Firms in China”), Ithaca, NY (5/07)

8th Annual Chinese MBA Forum, (“MBA Education in China: Understanding Chinese Economic Change”), Beijing, China (5/07)

Cornell University Center for Economy and Society (“The Political Economy of Publicly Traded Firms in China”), Ithaca, NY (4/07)

* International Association of Chinese Management Research—Keynote (“The Political Economy of Publicly Traded Firms in China”), Nanjing, China (6/06)

INSEAD (“The Political Economy of Publicly Traded Firms in China”), Singapore (5/06)

University of Cambridge, Department of Social and Political Sciences (“The Political Economy of Publicly Traded Firms in China”), Cambridge, England (4/06)

Tufts University, Fletcher School of International Affairs (“Finance and Trade in China: The Political Economy of Publicly Traded Firms in China”), Cambridge, MA (1/06)

Harvard Business School, Business and Government in the International Economy (“The Political Economy of Publicly Traded Firms in China”), Cambridge, MA (1/06)

Hong Kong University of Science and Technology, Department of Management and Organization (“The Political Economy of Publicly Traded Firms in China”), Hong Kong (1/06)

Ecole Thematique CNRS, CIRAD, INRA, Analyse des Changements Institutionnels: Caracterisation, Methodes, Theories et Acteurs (“The New Corporate Agenda: The Rise of Corporate Social Responsibility in the United States”), La Rochelle, France (9/05)

International School of Business (IESE), University of Barcelona (“The New Corporate Agenda: The Rise of Corporate Social Responsibility in the United States”), Barcelona, Spain (5/05)

Harvard Business School, Seminar on Ethics, Law, and Leadership (“The New Corporate Agenda: The Rise of Corporate Social Responsibility in the United States”), Cambridge, MA (4/05)

Harvard University, Harvard-MIT Joint Seminar on Economic Sociology (“The New Corporate Agenda: The Rise of Corporate Social Responsibility in the United States”), Cambridge, MA (2/05)

Princeton University, Department of Sociology (“The House that Reagan Built: Corporate-Community Relations in the Age of Deregulation”), Princeton, NJ (9/04)

China-European International Business School (CEIBS) (“Foreign Investment and the Rise of the Chinese Corporation”), Shanghai, China (8/04)

* International Academy of Chinese Management Research, Keynote Panel, (“Organizational Learning and Productivity: State Structure and Foreign Investment in the Rise of the Chinese Corporation”), Beijing, China (6/04)

Harvard University, Graduate School of Business (“The House that Reagan Built: Corporate-Community Relations in the Age of Deregulation”), Cambridge, MA (4/04)

University of North Carolina, Chapel Hill, (“Global Corporations, Local States and the Transformation of Chinese Society”), Chapel Hill, NC (3/04)

Guest on National Public Radio’s “The Connection” (3/04)

Harvard University, Graduate School of Business (“Learning Capitalism: State Structure and Foreign Investment in the Rise of the Chinese Corporation”), Cambridge, MA (2/04)

Emory University, Goizueta Business School (“The House that Reagan Built: Corporate-Community Relations in the Age of Deregulation”), Atlanta, GA (2/04)

Baruch School of Business (“The Emergence of Capitalism in China”), New York, NY (11/03)

University of Arizona, Department of Sociology (“Institutional Structure and Local Networks: Corporate and Philanthropic Ties to Nonprofits in Three Cities”), Tucson, AZ (2/03)

University of California, Berkeley, Department of Sociology (“Institutional Structure and Local Networks: Corporate and Philanthropic Ties to Nonprofits in Three Cities”), Berkeley, CA (2/03)

Stanford University, School of Business, featured speaker for development office in corporate outreach event (“What do Corporations Give?”), Palo Alto, CA (2/03)

* Keynote speech at the national meeting of the Friend’s Committee on National Legislation (“Economic Reform, China’s Military, and the Future of US-China Relations), Washington DC (11/01)

Northwestern University, Department of Sociology (“The Relationship between Law and Corporate Practice”), Chicago, IL (4/01)

Research Council Meeting, Hopkins-Nanjing Center (“The Relationship between Economic and Political Reform in China”), Nanjing, China (3/01)

Inter-University Program, Qinghua University (“The Relationship between Economic and Political Reform in China”), Beijing, China (3/01)

Guest on Voice of America (Mandarin Service—“The impact of foreign investment in China”), Washington DC (2/01)

Northwestern University, Kellogg School of Management (“Foreign Investment in the Emergence of the New Economy in China”), Chicago, IL (11/00)

Stanley Foundation/Council on Foreign Relations 41st Strategy for Peace Conference, China-US Economic Relations, Washington DC (10/00)

Senator Charles Schumer’s New York office (briefing for Senator Schumer’s staff on PNTR vote in Senate), New York (8/00)

WBAI-FM 99.5 Radio Interview (“Labor Rights in China”), New York, NY (6/00)

Institute of Sociology, Beijing University (“Foreign Investment and Economic Reform in China”), Beijing, China (6/00)

Institute for Policy Studies (“Human Rights and Economic Reform in China”), Washington DC (5/00)

United States House of Representatives (“Human Rights and Economic Reform in China”—sponsored by Representatives Blumenauer and Dreier), Washington DC (5/00)

Council on Foreign Relations and United States Senate (testimony on economic change and human rights in China), Washington DC (5/00)

United States House of Representatives (individual briefings of Representatives Filner, Blagojevich, Holt, DeGette, Oberstar, Meeks on Permanent Normal Trade Relations vote in House), Washington DC (5/00)

Cornell University, Department of Sociology (“Economic reform in China: The Role of Foreign Investment in Organizational Change”), Ithaca, NY (4/00)

University of Wisconsin, School of Law (“Legal changes in China”), Madison, WI (3/00)

Yale University, Center for Comparative Studies (“The impact of law in U.S. corporations”), New Haven, CT (2/00)

Columbia University, School of Business (“Economic reform in China: The Guanxi Question”), New York (1/00)

Johns Hopkins University, Department of Sociology (“Economic reform in China: The Role of Foreign Investment in Organizational Change”), Baltimore, MD (12/99)
Columbia University, Department of Sociology, (“U.S. Law and the Structure of the U.S. Workplace”), New York (11/99)
American Forum on Global Education (“Economic and Social Change in China), New York (8/99)
WNYC Radio (guest on Brian Lehrer’s *On the Line*), New York (7/99)
United States Senate (book lecture sponsored by Senator Charles Schumer) The Capitol, Washington DC (7/99)
United States Senate (briefing of Senator Joseph Lieberman), Senate Hart Building, Washington DC (6/99)

RECENT CONFERENCES ORGANIZED

The Transformation of the Nonprofit Sector, La Pietra, Florence, Italy, (with Elisabeth Clemens, David Hammick, and Steve Heydeman) funded by the Atlantic Philanthropies and the Social Science Research Council (March 05)
Corporate Social Responsibility in the Era of the Transforming Welfare State, La Pietra, Florence, Italy, (with Kerstin Sahlin-Anderson) funded by the Alfred P. Sloan Foundation and the Scandinavian Consortium on Organizational Research (May 04)
Corporate Social Responsibility and Diversity, University of Capetown, funded by the Alfred P. Sloan Foundation and the Social Science Research Council (June 03)
Fourth Annual Workshop on the Corporation as a Social Institution, UC Berkeley, Center for Culture, Politics and Organization, Institute of Industrial Relations (with Neil Fligstein), funded by the Alfred P. Sloan Foundation and the Social Science Research Council (June 03)
Markets and Corporations as Social Institutions: Assessing the Field of Economic Sociology, Bellagio, Italy (with Neil Fligstein), funded by the Rockefeller Foundation and the Alfred P. Sloan Foundation (August 02)
Third Annual Workshop on the Corporation as a Social Institution, UC Berkeley, Center for Culture, Politics and Organization, Institute of Industrial Relations (with Neil Fligstein), funded by the Alfred P. Sloan Foundation and the Social Science Research Council (June 02)
The Corporation in the New Economy, Emory University, (with Melissa Fischer), funded by the Alfred P. Sloan Foundation and the Social Science Research Council (April 01)
Second Annual Workshop on the Corporation as a Social Institution, UC Berkeley, Center for Culture, Politics and Organization, Institute of Industrial Relations (with Neil Fligstein), funded by the Alfred P. Sloan Foundation and the Social Science Research Council (May 01)
First Annual Workshop on the Corporation as a Social Institution, UC Berkeley, Center for Culture, Politics and Organization, Institute of Industrial Relations (with Neil Fligstein), funded by the Alfred P. Sloan Foundation and the Social Science Research Council (June 00)
Information Technology and New Data Infrastructure, New York University, funded by the Russell Sage Foundation (September 99)

Exploratory Workshop on the study of Corporations in Economic Sociology, Chicago, funded by the Alfred P. Sloan Foundation and the Social Science Research Council (August 99)

PROFESSIONAL MEMBERSHIPS AND DUTIES

Membership

Academy of Management
International Association of Chinese Management Research
American Sociological Association
Consortium for the Study of the Asian Economies
National Committee on United States-China Relations
Association of Asian Studies
Phi Beta Kappa

Editorial Duties

Senior Editor, *Management and Organization Review* (2006-)
Editorial Board, *Journal of Contemporary China* (2008-), *Administrative Science Quarterly* (2006-), *American Journal of Sociology* (2004-06), *Management and Organization Review* (2004-)
Peer reviewer: *Management and Organization Review*, *Journal of Contemporary China*, *Journal of Asian Business*, *Administrative Science Quarterly*, *American Journal of Sociology*, *American Sociological Review*, *Contexts*, *Theory and Society*, *Sociological Theory*, *Social Forces*, *Sociological Forum*, *Social Science Research*, *Organization Science*, *Comparative Studies in Society and History*, *Journal of Management Studies*, *Westview Press*, *Curazon Press*, *Cornell University Press*, *Princeton University Press*, *University of Chicago Press*, *University of California Press*, *National Science Foundation*

RESPONSIBILITIES AND SERVICE AT NYU

Stern School of Business

Faculty Director, Executive Education (2007-); Academic Director, TRIUM (2007-08); Course head, Leadership in Organizations, Department of Management and Organizations (2006-09); Member, Core Curriculum Committee (2006-08); Member, School-wide Strategic Planning Committee (2006-07).

Department of Sociology

Director of Graduate Studies (2003-05); Graduate Curriculum Committee (2002-03); Recruitment Committee (Chair) (2001-02); Faculty Review/Salary Advisement Committee (2001); Director of Undergraduate Studies (Fall 2000); Recruitment Committee (2000-01); Advisory board member, Center for Applied Social Science Research (2000-01); Director of Graduate Admissions (1999-2000); Graduate Placement Committee (Chair) (1999-2000); Recruitment Committee (1999-2000); Faculty Review/Salary Advisement Committee (1999); Global University Liaison (1998-99); Recruitment Committee (1998-99); Graduate Placement Committee (Chair) (1998-99); Graduate Admissions Committee (1998-99); Computer Committee (1998-99); Workshop Director for Culture, Institutions, and Social Action (1998-99); Recruitment Committee (1997-98); Graduate Placement Committee (1997-98).

University wide

Director of Global Education, Office of the Provost (2001-2003); Foundations of Contemporary Culture (MAP) Advisory Committee (2002-03); Global Education Curriculum Committee

(Chair) (2001-02); Foundations of Contemporary Cultures (MAP) Advisory Committee (2000-01); Advisory Board, New York University's Society of Fellows (2000); Faculty Mentor Program (2000); Ad hoc Faculty Prize Committee (2000); GSAS Committee on Honors and Awards (1999-2000); Undergraduate Curriculum Committee (1999-2000); Ad hoc Faculty Prize Committee (1999); Baird Scholars Faculty Mentor (1999); FAS Advisory Committee on Policy and Planning (1998-99); Undergraduate Curriculum Committee (Chair) (1998-99); GSAS Committee on Honors and Awards (1998-99); Institute of Law and Society Graduate Curriculum Committee (1998-99); NSEP Selection Committee (1998); Fulbright Selection Committee (Fall 1998); Ad hoc Faculty Prize Committee (Spring 1998); Faculty Chaperone, CAS Study Abroad Intersession Trip to China (Scholars' Program) (1998); GSAS Committee on Honors and Awards (1997-98); Search Committee for the Program in the Production of Knowledge (1997-98); Search Committee for the Assistant Dean for Student Affairs and Academic Services (1997-98); Search Committee for Institute of East Asian Studies (1997-98).

TEACHING EXPERIENCE

New York University, Stern School of Business and Faculty of Arts and Sciences

Multinational Corporations: China, Stern elective on multinational corporations with a focus on China (2008, 2009)

Leadership in Organizations (previously Managing Organizations), Core management course, Department of Management and Organizations; Course head, 2006-09

Managing Organizations, Core management course, Department of Management and Organizations (2004, 2005, 2006, 2007, 2008); Course head, 2006-09

Managing Organizations, Executive education course, Stern Executive Education Program (2005, 2006, 2007)

Leadership and Corporate Governance, Executive education course, Stern Executive Education Program (2007)

Business and its Publics, Required Corporate Social Responsibility course for all Stern BBA students (2006, 2008)

Introduction to Methods of Social Science Research, Graduate course, Department of Sociology (1998, 1999, 2000, 2001, 2004)

World Cultures: The Chinese Economy, Undergraduate course, College of Arts and Sciences (MAP) (1998, 1999, 2000, 2001, 2002, 2003, 2004, Spring 2006, Fall 2006)

Introduction to Statistics, Graduate course, Department of Sociology (1998, 1999, 2000, 2001)

Organizational Theory, Graduate course, Department of Sociology (1997)

Economic Sociology, Graduate course, Department of Sociology (1998)

Societies and the Social Sciences: Economy and Society, Undergraduate course, College of Arts and Sciences (MAP) (1998, 1999)

Harvard Business School

Leadership and Organizational Behavior (LEAD), Core organizational behavior course, Organizational Behavior Group (2005)

Emory University, Goizueta Business School

Strategic Management, Core strategy course, Management Department (2004)

Columbia University, Graduate School of Business

Creating Effective Organizations, Core organizational theory course, Management Department (2003, 2004, 2006)

Leadership, EMBA course, Management Department (2006)

Stanford University, Graduate School of Business

Corporate Social Responsibility, MBA elective course, Center for Social Innovation (2003, 2004)

RESEARCH AND CONSULTING EXPERIENCE

Executive Education Clients: AIG, Tata Group, Cleveland Cliffs, SASAC, UGS

Consultant, World Bank, 2008

Consultant, Katzenbach Partners, Ltd., New York, 2005-07

Organizational Consultant, Touchstone Consulting, Washington D.C., 1996-98

Strategic Market Entry Consultant, Pacific Rim Resources, San Francisco, CA, 1994-96

Field research, Mainland China, 1994-95, 1996, 1998, 1999, 2000, 2001, 2002, 2004, 2005, 2006, 2007, 2008

LANGUAGES

Fluent Chinese (Mandarin)

REFERENCES

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