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**Derek YIM, Ph.D.**  
**Teaching Fellow**  
**Accounting & Finance**  
**Faculty of Business**  
[derek.yim@polyu.edu.hk](mailto:derek.yim@polyu.edu.hk)

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## **Professional Interests**

### **Academic Background**

Ph.D. The Hong Kong Polytechnic University, Hung Hom, Hong Kong, Accounting and Finance, 2016

M.B.A. York University, Schulich School of Business, Toronto, Canada, Finance, 1995

B. Bus. The Hong Kong Polytechnic University, Hung Hom, Hong Kong, 1990

### **Memberships**

Chartered Financial Analyst, CFA Institute, 2000

## **Work Experience**

### **Academic Experience**

Teaching Fellow, The Hong Kong Polytechnic University (September, 2009 - Present), Hong Kong, China.

Lecturer in Finance, The Hong Kong Polytechnic University (2000 - August, 2009), Hong Kong, China.

### **Non-Academic Experience**

#### **National**

Vice-President, Salomon Smith Barney Inc (1999 - 2000), Hong Kong, China.

### **Consulting**

2016-2011: HKTDC, In-house training,  
簡介香港金融體系及亞洲金融中心之地位, 及聯系匯率制度

### **Other Teaching Activities**

#### **Student Team Evaluations**

2007 - Student Team Evaluations.

## **Intellectual Contributions:**

### **Refereed Articles**

YIM, D., WONG, A., CAI, C., LIU, S., & ZHU, J. (2016). CSR & CNR Merged into CRRC in China. *INTERNATIONAL RESEARCH JOURNAL OF APPLIED FINANCE*, 26.

## Service:

### Service to the University

#### Department Assignments

##### **Member:**

2007-2008 – 2011-2012: MPAcc Programme Committee: April 2007: Reflect opinion of the proposed Sunday teaching arrangement (10-12noon and 1:30-5:30pm), which will be implemented from Sept 2007-8.

May 2007: As one of the panel interviewer for MCF interview exercise scheduled from 2-5:10 pm at Room M712. 19 candidates interview were conducted with Raymond Chan

May 2007: Provide an outcome-oriented subject syllabus of AF5321 with the following input:

1. Review the subject learning outcomes of your teaching subject and incorporate them into your subject syllabus with reference to subject learning outcomes submitted as per 'Revisions for an Outcome-oriented Curriculum'.

2. Review and modify, where appropriate, the teaching/learning approach of your subject in the direction of ensuring the achievement of your subject learning outcomes as well as the programme outcomes.

3. Review and update your subject syllabus.

4. When setting your subject assessment components and examination paper, ensure alignment of these assessment components with your subject learning outcomes as well as the programme outcomes.

June 1, 2007: As one of the panel interviewer with Dr HW LEE from 2:10 to 6pm in Room M712 for MCF/MoF Admission interview

June 28, 2007: As one of the panel interviewer with Alan CHUNG from 2:30 to 5:30pm in Room M712 for MCF/MoF Admission interview

July 2007: Revise the subject syllabus and include 4 academic journal articles in the revised syllabus

July 2007: As one of the panel interview for MCF/MoF Admission interview with Karen LAI from 2:30 to 5:50pm at Room M714. 19 candidates interview conducted

August 2007: Assist in preparing the MCF/MoF Definitive Program Document (DPD) by providing my subject syllabus on 'learning outcomes' and 'indicative readings'.

2007-2008 – 2009-2010: MPAcc Programme Committee (Traditional mode and CyberU mode):

January 2007: Prepare teaching and assessment information to program director so as to facilitate production of a summary of course work components of year 2 subjects in second semester.

March 2007 meeting: Suggest to invite adjunct professors to deliver lectures and volunteer to help interviewing applicants for Sept 2007 intake

March 2007: As one of the panel interviewer of the MPAcc interview exercise scheduled from 2 to 7:15 pm at Room QR512. 24 candidates interview conducted with Dr Samuel Chan.

April 2007: Endorsement of the CyberU in planning to establish a Common Pool of Electives for all PolyU programmes leading to PolyU awards offered via HKCyberU starting from Sept 2007-8

May 2007: Prepare and submit an analysis report in respect of how assessment components in my subject taught (AF5321) align with assessment of my subject learning outcomes

September 2007: Assess individual students' suitability to study on subject AF5321 (mergers & acquisitions)

2007-2008: MPAcc Programme Committee: April 2007: Reflect opinion of the proposed Sunday teaching arrangement (10-12noon and 1:30-5:30pm), which will be implemented from Sept

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2004-2005 – 2006-2007: Department Management Group: Elected member

### **Department Assignments**

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### **Department Assignments**

#### **Member:**

2006-2007 – 2007-2008: X'mas dinner: Dec 2007: Organize the dinner with 126 teaching and general staff, research students attended the dinner party with Chinese food, drinks, lucky draw, singing performance and karaoke by staff. Original proposal to have it held at the Racecourse was rejected due to overbudget: minimum \$80,000. According to committee members' opinion, the no. of lucky prizes has scaled down from 20 to 14.

#### **Mentoring Activities:**

2011-2012: Foundation Year Mentorship Program

2009-2010 – 2010-2011: Foundation Students Mentorship Programme: August 2007: Volunteer to serve as one of the 25 faculty mentors again for the 94 foundation year students in the new academic year.

August 29, 2007: Attend the Foundation Programme Student Orientation 2007/08 from 4:30-5:30pm. Meet the 4 new mentees and exchange views with them in the breakout session.

Sept, Oct, Nov 2007: Meet up with 4 mainland students (3 girls and 1 boy) so that they could reflect their comments or problems encountered during their study life at PolyU in HKG.

Channel the information to Dr Shimen CHEN such that he could provide support and follow-up actions to the students in cultural, learning and living environment issues.

September 28, 2007: Some issues brought up by the mentees and forwarded the School to follow up:

- 1) Some instructors post the lecture material only a few hours before class: Students have not enough time to read in advance;
- 2) For some professional or technical jargons, a Chinese translation would be helpful for their understanding;
- 3) Tutorial instructors are not well-prepared. Students could hardly understand clearly of what instructors try to convey.
- 4) For Hong Kong Community course, it seems to them there is no focus at all.

September 2007: Provide information to one of the mentees HE Yunjing on the possibility of taking employment in HK.

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- 3) Tutorial instructors are not well-prepared. Students could hardly understand clearly of what instructors try to convey.

4) For Hong Kong Community course, it seems to them there is no focus at all.  
September 2007: Provide information to one of the mentees HE Yunjing on the possibility of taking employment in HK.

2006-2007: Foundation Year Student Mentors: August 2006: As one of the 20 faculty staff volunteered to serve as mentor. Regularly meet up with 4 mainland students with Professor Michael FIRTH so that they could reflect their comments or problems encountered during their study life at PolyU in HKG. Channel the information to the School such that it could provide support and follow-up actions to the students. May 2007: Send meeting record to Dr Daniel Cheung for his reference and action.

#### **Other Institutional Service Activities:**

2006-2007: AACSB accreditation: July 2007: update the CV in order to meet the AQ and PQ criteria on the sufficiency of AF staff under AACSB purpose.

#### **Department Assignments**

#### **Other Institutional Service Activities:**

2016-2017: Assistant Program Leader, BBA (Financial Services)

2016-2017: Coordinator, Service Learning, Service Council, The School of Accounting and Finance

2014-2015 – 2016-2017: Coordinator: Industry interest group: Invite speakers to share the work life and expectation of career related to our students at the School.

#### **Department Assignments**

#### **Other Institutional Service Activities:**

2012-2013 – 2016-2017: Interview panel: Nominated as interview panel member for interviewing applicants of Master of Professional Accounting on May 28, 2012.

2011-2012 – 2012-2013: Interview panel: Nominated as interview panel member for interviewing applicants of Master of Professional Accounting on May 28, 2012.

2011-2012: Interview panel: Nominated as interview panel for interviewing applicants of Master of Corporate Finance/Master of Finance (IMM) on May 25 and June 1, 2012.

2011-2012: Interview Panel: Nominated as the interview panel for interviewing HKDSE applicants of Broad Discipline of Business on June 26 and July 3, 2012.

2007-2008: Postgrad program of FB: Dec 2007: Moderation of marked examination scripts for subject AF5302 Finance for Multinational Corp.

2007-2008: E\*Trade competition advisor: Sept & October 2007: Volunteer to offer help, assistance and advice to 4 students who joined the competition, especially on short term US equity trading issues.

2006-2007: Departmental Assessment panel: May 2007: Verification and update of CV on Sedona so that the panel could retrieve the academic staff profile.

2006-2007: Faculty of Business: May 10, 2007: Moderation of examination paper and solutions (AF5449 Mergers & Acquisitions in Chinese). The course is under China MBA programme and taught by an external lecturer, Dr Pijan WU, in Xian, China. There are 4 separate question papers (Case A, B, C and D) and each student is required to answer either one on May 12, 2007 (Sat).

## **Department Assignments**

### **Other Institutional Service Activities:**

2015-2016 – 2016-2017: Program Manager of MCF/MoF

## **Department Assignments**

### **Other Institutional Service Activities:**

2008-2009 – 2011-2012: Services: Examination paper moderation and appeal case review  
- courses included: Finance for multinational corporations, Mergers and acquisitions in Chinese (postgrad programs), International finance (undergrad program)

2006-2007: Undergrad program of School of AF: June 2007: Review examination appeal case on subject AF3206 Decision Making in Accounting & Finance (LAM Ka Ho 04070833D)

2006-2007: Undergrad programme under School of AF: April 2007: Moderate the final examination paper and suggested solution for Dr Anthony Ng on subject code AF3206 May 2007: Conduct application for credit transfer of two students LAM Chi Ming and LAM Wing Chi on the courses they took in FH KufsteinTirol of Austria after reviewing the course content and their performance July 2007: Moderation of AF3313 Business Finance examination paper and solutions prepared by Dr Anthony NG

## **University Assignments**

### **Member:**

2003-2004 – 2008-2009: Non-Heads of Department Consultative Group: Elected member  
May 2007: Attend the regular meeting with the President in the Senate Room (M1602).  
Discussion includes salary adjustment based on cost of living, leave terms, contract renewal notification, early retirement age, contract renewal exercise, RAE exercise, staff appraisal system

### **Other Institutional Service Activities:**

2006-2007: Task Force on Internationalisation: May 2007: Provide personal information for the ranking exercise to the Chairman

2003-2004 – 2006-2007: University's Student Hall of Residence: Senior Hall Tutor

## **Service to the Profession**

### **Other Professional Service Activities**

2017: Hong Kong Institute of Accredited Accounting Technicians (HKIAAT). Assessor

2017: Hong Kong Institute of Certified Public Accountants (HKICPA), Examination Committee.  
Examiner for Module B of QP examination from 2013 to 2016

2004 – 2006: Hong Kong Institute of Bankers (HKIB). Examiner

2002 – 2005: Hong Kong Institute of Certified Public Accountants (HKICPA) Qualification Programme. Examiner of Module B (Financial Management)

## **Service to the Community**

### **Member of a Committee**

2017: Methodist College Alumni Association, Elected as the Vice-Chairman from 2014 onwards.

2014 – 2017: Incorporated Management Committee, Methodist College (Under Education Ordinance)

## **Faculty Development**

### **Research-Related Conference/Seminar**

2013: School of Accounting and Finance, The Hong Kong Polytechnic University, Hunghom, China- Hong Kong. Participate in the presentaion of Professor Eli Bartov, New York University on "Does income statement placement matter to investors?".

2012: School of Accounting and Finance, The Hong Kong Polytechnic University, Hunghom, China- Hong Kong. Participate in the presentation of Professor Rudolf Hirschheim, Ourso Family Distinguished Professor of Information Systems, Louisiana State University, on Global sourcing of services: myths, realities and future directions.

Participate in Dr HYUN Seung Na's (City University of HK) presentation on his paper "Are institutional investors with multiple blockholdings effective monitors."

Participate in the presentation of Professor Michael Adams of University of Western Sydney on his paper "Global trends in corporate governance."

2011: Journal of Contemporary Accounting & Economics (JCAE) Symposium, Hunghom, China- Hong Kong. Attend the two-day symposium that provides a platform for world renowned academics from accounting, economics and corporate governance disciplines to present cutting-edge research findings and to exchange insightful perspectives.

2011: School of Accounting and Finance, The Hong Kong Polytechnic University, Hunghom, China- Hong Kong. Attend the talk by Mr. Charles Haddon-Cave QC on Leadership & Culture, Principles & Professionalism, Simplicity & Safety - Lessons from the Nimrod Review.

Participate in Dr Darwin CHOI's (HKUST) presentation of his paper titled - A test of the self serving attribution bias: evidence from mutual funds.

Participate in Dr Huiwen LAI's presentation of his paper titled - Intermediates Import and Gains from Trade Liberalization.

Participate in Dr John Goodwin's presentation of his paper titled - Audit Partner Busyness and Audit Quality.

Participate in Professor Charles Wasley's presentation of his paper titled - Information Externalities along the Supply Chain: The Economic Determinants of Suppliers' Stock Price Reaction to Their Major Customers' Earnings Announcements.

Participate in Dr. Yongtae's presentation of his paper titled - Does Eliminating the Form 20-F Reconciliation from IFRS to US GAAP Have Capital Market Consequences?

2008: JCAE/AJPT Joint Symposium 2008, Hong Kong, China. Participate in the Doctoral Consortium as well.

2008: School of Accounting and Finance, The Hong Kong Polytechnic University, Hong Kong, China- Hong Kong. Participate in Professor David Ng's presentation on his paper: Cross-Country Differences in Firm Multiples.

Discussant of Dr. Byungcherl Charlie Sohn from City University presentation of his paper: Equity Value, Implied Cost of Equity, and Sharholders' Real Options.

Participate in Dr. Francis Kim's presentation on his paper: Analyst-Forecast Inefficiency in Reaction to Earnings News: Cognitive Bias vs. Economic Incentives.

Participate in Dr Lai Huiwen's presentation on Forecasting US Recession in a Data Rich Environment.

Participate in Dr Li Tao of Chinese University of Hong Kong presentation on Heterogeneous



Beliefs, Option Prices, and Volatility Smiles.

2007: The Hong Kong Polytechnic University, Hong Kong, China. March 2007: Participate in Dr. LAI Kam-Wah's presentation on Reduction of non-audit fees and earnings management. The paper shows that those firms having higher reduction of non-audit fees after The Sarbanes-Oxley Act are less likely to engage in earnings management as well as higher levels of discretionary accruals.

2007: The Hong Kong Polytechnic University, Hong Kong, China. March 2007 Participate in Professor Gerald J. LOBO's presentation on Is there a relation between abnormal bank loan loss provision and auditor fees? This paper focus on single accrual on a single industry (banking), which is capable to estimate the abnormal accrual, a proxy for earnings management better than other previous studies. They document that abnormal loan loss provisions are associated with fees paid to the auditor.

2007: The Hong Kong Polytechnic University, Hong Kong, China. April 2007 Participate in Dr Steven WANG and Dr LI Wei's presentation on Stock returns, consensus beliefs, and individual and institutional trades. The paper study the relation between stock returns, consensus beliefs, and investors trading volume changes in Chinese Shanghai stock market. They find that better informed institutions tend to selectively trade on some particular stocks, while less informed individuals tend to allocate their investments more evenly across different stocks.

May 2007 Dr Steven Wei, Large foreign ownership and firm level stock return volatility in emerging markets

June 2007 Participate in Dr. Bin Ke from Pennsylvania State University, currently visiting CityU, his paper 'The Effect of Cross Listing on the Sensitivity of Managerial Compensation to Firm Performance'

June 2007 Participate the seminar presented by Dr. George Wong from Monash University :'Multiplicative Risk Prudence'

July 2007 Participate and critique Professor Bin Srinidhi's paper. Research students Jerry Chen and Derek Yim will discuss Bin's paper: Informativeness of Discretionary Accruals:Evidence from Auditor and Investor Pricing. Comments from Prof Srinidhi

Hi Derek

Thanks very much for your discussion of the paper. You made some very good points and it should improve the paper.I would greatly appreciate it if you can send the discussion to me or Nancy.

Thanks

Bin

Thanks Derek, for your insightful comments.

Nancy

July 2007: Participate in the presentation of Professor Charles Chen's paper 'Private Benefits of Corporate Control and Sensitivity of CEO Turnover Rate to Accounting Performance Measures'

August 2007 Participate in the presentation by Dr. Kai Li from University of British Columbia with her paper 'Removing Market Friction and Sharing the Gain: Evidence from the Split Share Structure Reform in China'

August 2007: Participate in the presentation of Dr Subrata Sarkar from the Indira Gandhi Institute of Development Research paper titled 'Multiple Board Appointments and Firm Performance in Emerging Economies: Evidence from India'

September 2007: Participate in the presentation of Dr. Jonathan Reeves from University of New South Wales and currently visiting our School this semester with his paper 'Monthly Forecasts of Systematic Risk: An Evaluation'. Research students Sarah Yang and myself are discussants.

September 2007

(September 21), Participate the presentation of Professor Wilson Tong with Professor Tsui's paper 'Persistency of Market-to-Book Ratio'

October 15, 2007: Participate in the presentation of Dr Wei LI and Dr Steven WANG on the paper-- Do institutional trade stabilize the retail investor dominated market?

2007: Journal of Contemporary Accounting & Economics (JCAE) Symposium, Penang, Malaysia. Also participate in the Doctoral Consortium

2007: The Hong Kong Polytechnic University, Hong Kong, China. October 17, 2007: Participate in the presentation by Professor Jeffrey Callen from New York University, currently visiting CityU, his paper "The Impact of Earnings on the Pricing of Credit Default Swaps"

2007: The Hong Kong Polytechnic University, Hong Kong, China. October 26, 2007: Participate in the presentation of Dr. Steven Wang's paper "Do Institutional Trades Stabilize the Retail Investor Dominated Market?"

### **Other Professional Development**

2013: HKICPA, Wanchai, China- Hong Kong. Attend the seminar on the common application issues on HK FRS. It is presented by Joel CHAN, Partner of RSM Nelson Wheeler. This is part of the technical updates organized by HKICPA. It provides comprehensive training to build up knowledge on current financial reporting and auditing issues. It also aims to explore key areas of complexity within the standards and deal with issues arising from the application of standards.

2012: HKICPA, Wanchai, China- Hong Kong. Attend the seminar of Financial reporting on business valuation by Stella Law of CBRE and Ross Wang of CBRE. It covers what is purchase price allocation; common methodologies on business valuation and intangible assets valuation and wrap up with a case study

2011: Hong Kong Institute of Certified Public Accountants (HKICPA), Wanchai, China- Hong Kong. Attend the seminar on the revised Code of Ethics for Professional Accountants, presented by Steve ONG, HKICPA Director, Standard Setting. He covered the fundamental principles and the overview of changes on the revised Code of Ethics effective on 1 January, 2011. The second part is delivered by the Community Relations Department, ICAC on Professional Ethics. It discusses the Best Defense against Corruption.

### **Professional Seminars / Workshops**

2014: The Hong Kong Society of Financial Analysts (HKSFA), Central, China- Hong Kong. Mr Atul Sohdi, Managing Director and Head, Loan Syndication, Credit Agricole, Corporate and Investment Bank, presented the trends, opportunities and risks inherent in the Asia Pacific loan market.

2013: The Hong Kong Society of Financial Analysts (HKSFA), Hong Kong, China- Hong Kong.

Attend the seminar on the New trends and opportunities for offshore PE funds' integration into China market. It is delivered by YANG Wantao, partner of Zhong Lun Law Firm. He examines through some cases on how and to what extent some offshore typical PE investment mechanisms have been utilized in PRC, some alternative structures tested for offshore fund managers to tap into RMB funds market, the challenges and solutions for offshore investors' protections in a distressed situation.

2012: The Hong Kong Society of Financial Analysts (HKSFA), Central, China- Hong Kong. Attend the seminar: Exploring investment opportunities in currency markets by Dr A. Chung. Topics cover: basic facts and recent developments in currency markets; zero-sum game versus long-term sustainable risk premium in returns; carry trades in developed and emerging currencies; incorporate risk and return opportunities in portfolio construction; overlay versus absolute-return management; successful currency investments in an uncertain world.

2012: The Hong Kong Polytechnic University, China Business Centre, Hunghom, China- Hong Kong. Organize and deliver lectures for the International Trade Program targeting co-operatives candidates of Australian Institute for Mobility (AIM) Overseas developed by China Business Center, HK PolyU. The topics of the workshop were: Financial markets in Hong Kong; Financial institutions - Pension funds, hedge funds and private equities; Finance trends - equities, interest rates and commodities; Mergers and Acquisitions; Corporate finance; Equity capital markets and financing instruments.

2011: The Hong Kong Society of Financial Analysts (HKSFA), Central, China- Hong Kong. Attend the education programme: Acceptance of Mainland Standards and Mainland Audit Firms for Mainland Incorporated Companies Listed in Hong Kong presented by Colin Chau, SVP, HK Exchanges and Clearing Limited. It covered the background leading to the introduction of a framework for acceptance of Mainland standards and Mainland audit firms, convergence of accounting and auditing standards, regulatory systems over audit firms and audit quality expectations, and the list of approved mainland audit firms.

2011: The Hong Kong Society of Financial Analysts (HKSFA), Admiralty, China- Hong Kong. Attend the programme: China Banking Industry - Emerging Opportunities and Challenges, presented by Simon HO, Head of Asian Financial Research, Citi Investment Research - Asia Pacific. The second part is focused on the Moody's Outlook for Chinese Banking Industry, presented by Stephen LONG, Managing Director - Asia (ex-Japan), Financial Institutions Group, Moody's Investors Service.

2011: The Hong Kong Polytechnic University, Hunghom, China- Hong Kong. Organize and deliver a lecture for the Global Expert Program 2010-2011 jointly developed by China Business Centre, HK PolyU and Institute of International Cooperation and Education, University of Seoul

2011: The Hong Kong Polytechnic University, China Business Centre, Hunghom, China- Hong Kong. Organize and deliver a lecture for the candidates of Baden-Wuerttemberg Cooperative State University jointly developed by China Business Centre, HK PolyU. The topics of the workshop was: Hong Kong stock market – influences and dependencies to the European stock market.

2011: The Hong Kong Polytechnic University, China Business Centre, Hunghom, China- Hong Kong. Organize and deliver lectures for the International Trade Program targeting co-operatives candidates of Australian Institute for Mobility (AIM) Overseas developed by China Business Centre, HK PolyU. The topics of the workshop were: Financial markets in Hong Kong; Financial institutions – Pension funds, hedge funds and private equities; Finance trends – equities, interest rates and commodities; Mergers and Acquisitions; : Corporate finance; Equity capital markets and financing instruments

## **Honors-Awards-Grants**

### **Award**

2017: Award of Merit, hk polytechnic university, School of Accounting and Finance. recognition of outstanding performance in the competition for HKICS Teaching Award 2016/17.

2017: Faculty Prize for Services Team (Team Leader), hk polytechnic university.

2014: Outstanding Professional Services Award 2014, Ptec, The HK Polytechnic University. Under the consultancy activities category, we ranked number 2 in contract value for a multi-departmental project namely "Summer programme 2014 HK International Education and Culture Exchange".

Dollar amount was HKD468,000. I was the co-manager in this project. It involved business training to undergraduates from various universities in Guangzhou province, PRC.

**Last updated by member on 05-Oct-17 (05:29 PM)**