Steven James Lee

Curriculum Vitae
July, 2021

Finance, Real Estate and Law Department
College of Business Administration
California State Polytechnic University, Pomona
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Social Science Research Network

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@sleegja
GJA Research Tools Channel

EDUCATION

2022 DCJ (*currently ABD*)
Northcentral University
Criminal Justice

2021 Ph.D.
The American College of Financial Services
Financial & Retirement Income Planning
Dissertation Title: "Fraud in Financial Services & Its Impact on Retirement Portfolios"

2016 M.B.A.
California Lutheran University
Personal Financial Planning

2008 M.Th.
St. Vladimir's Orthodox Theological Seminary
Dogmatic Theology
Thesis Title: "On First Principles and General Theories"

2006 M.A.
Claremont Graduate University
Philosophy

2004 B.A.
Austin College
Religion-Philosophy; Japanese
Thesis Title: "The Portrayal of the Samurai Warrior Ethic in Contemporary Film

PUBLICATIONS

Refereed Journal Articles

2021 "Crime in the New U.S. Epicenter of COVID-19"
Crime Prevention and Community Safety, forthcoming (with Daniel Augusto)

2020 "Do CFP® professionals engage in less misconduct? Exploring the importance of job classification when comparing misconduct rates among financial service professionals.
Applied Economics Letters, forthcoming (with Derek Tharp, Jeff Camarda, & Pieter de Jong). https://doi.org/10.1080/13504851.2020.1854441

2019 "The forced registration of hedge funds in the United States"
Economic Affairs, 39(3), 381-390 (with Edward W. Kramer II).
https://doi.org/10.1111/ecaf.12378

Refereed Books

2021 *The Financial Storm Warning for Investors – How to Prepare and Protect Your Portfolio from Tax Hikes and Market Crashes* (with Jeff Camarda and Jerusha Lee)
Palgrave Macmillan (In Press). ISBN: 978-3-030-77270-3.

Manuscripts in Submission

"Does Fixed Income Buffer Against Fraud Shocks?"
Journal of Risk and Financial Management (Special Issue on Fixed Income Securities)

"Financial Advisor Misconduct in the United States" (with Jeff Camarda, Pieter de Jong, and Jerusha Lee)
Financial Analysts Journal

"Victim Characteristics of Investment Fraud" (with Benjamin Cummings and Jason Martin)
Journal of Financial Counseling & Planning

"Financial Elder Abuse: A (Dis)Confirmatory Analysis"
Ethics and Behavior

Financial Planning: Paths to a Profession (with Jeff Camarda and John Robinson)
Palgrave Macmillan

"A New Localization Model for Client Reluctance"
Journal of Financial Therapy

Manuscripts in Preparation

"The Effect of Fraud Shocks on Retirement Portfolio Success Rates"

"Financial Adviser Fees and Retirement Accounts" (with Ross Riskin)

TEACHING EXPERIENCE

Lecturer
California State Polytechnic University, Pomona

Personal Money Management
August-December, 2021

Real Estate Law
August-December, 2021

Adjunct Professor
California Lutheran University

Ethics in Financial Planning
June-July, 2021

Instructor
University of California Riverside Extension

Professional Fiduciary Business Practices
May-June, 2021

Introduction to Conservator of the Person & Conservator of the Estate
February-March, 2021; July-August, 2021

Decedent Estates & Procedures
February-March, 2021

Practical Applications of Accounting for the Professional Fiduciary
November-December, 2020; January-February, 2021

Management of Estate Assets
November-December, 2016; March-April, 2017; April-May, 2017; March-April, 2018; October-November, 2018; June-July, 2019; April-May, 2020; April-May, 2021

Overview of Fiduciary Management
March-April, 2016; September-October, 2016; November-December, 2016; January-February, 2017; April-May, 2017; May-June, 2017; June-July, 2017; September-October, 2017; January-February, 2021; June-July, 2021; September-October, 2021

OTHER COURSES PREPARED TO TEACH

Introduction to Personal Finance	Risk Management & Insurance
Survey of Financial Planning	Applied Statistics
Computer Applications for Financial Planning	Financial Econometrics
Wealth Management	Research Methods & Policy Evaluation
Retirement Planning & Employee Benefits	Case Studies in Financial Decisions
Estate Planning	Fraud Examination and Prevention
Family Tax Planning	Financial Planning & Analysis
Applied Financial Planning	Money and Relationships
Practice Management in Financial Planning	Capstone Course in Financial Planning

CONFERENCE ACTIVITY

Conferences Organized

2021 Academy of Financial Services
Virtual

2020 Academy of Financial Services
Virtual

Papers Presented

2020 Academy of Financial Services Annual Meeting, September 39 – October 2
Virtual
"Rational Agents in an Irrational World: The Effect of Fraud Shocks on Retirement Portfolio Success Rates"

American Council on Consumer Interests Conference, May 17-23
Virtual
"Are CFP Professionals Less Likely to Engage in Misconduct? Exploring the Importance of Job Classification When Comparing Misconduct Rate Among Financial Service Professionals"

2019 Academy of Financial Services Annual Meeting, October 15-16
Minneapolis, MN
"Financial Elder Abuse: A (Dis)Confirmatory Analysis"

Academic Research Colloquium for Financial Planning, February 19-21
Arlington, VA
"Victim Characteristics of Investment Fraud"

2015 Financial Planning Association Retreat, April
Atlanta, GA
"What is Your Process? Or What is Your Process For?"

INVITED TALKS

2021 Financial Abuse Specialist Team (FAST) of America
Ventura, CA (Remote)
"Professional Fiduciaries in California"

CERTIFICATIONS

2020 Candidate, Certified Fraud Examiner

2019 Candidate, Certified Financial Planner

2017 Voluntary Income Tax Assistance: Basic; Advanced; HSA

2011 California Life, Accident, Health License

AWARDS & HONORS

2021 Alpha Phi Sigma, National Criminal Justice Honor Society

Top 10% Author, Social Science Research Network

Top 10 Download List, Social Sciences Research Network

2020 Sigma Alpha Pi, National Society of Leadership & Success

Top 10% Author, Social Science Research Network

Top 10 Download List, Social Sciences Research Network

2019 Best Paper Award in Risk Management & Insurance
CFP Board Center for Financial Planning's 2019 Academic Research Colloquium
$2,500

Top 10% Author, Social Science Research Network

Top 10 Download List, Social Science Research Network

Featured Instructor: UCRx *Insights*
University of California Riverside
Riverside, CA

2016 Sigma Beta Delta, International Honor Society in Business
California Lutheran University
Thousand Oaks, CA

GRANTS & FELLOWSHIPS

2020 Experiment.com
Funding for dissertation primary data collection
Virtual
$2,759

2016 Sternberg-Sievert Doctoral Fellowship
The American College of Financial Services
King of Prussia, PA
$200,000

Dr. J. Preston Jones Fellowship
Sigma Beta Delta
California Lutheran University
Thousand Oaks, CA
$1,000

2014 Silver Anniversary Fellowship
California Lutheran University
Thousand Oaks
$500

SERVICE TO PROFESSION

Arbitrator, Financial Industry Regulatory Authority, 2019-

Reviewer, *Journal of Financial Therapy*, 2017-

Volunteer, Oyez Project, Justia & Cornell University, 2016-

Chief Editor, *ACUMEN*, Austin College, 2003-2004

COMMUNITY INVOLVEMENT

2015- Venture Captain, Inland Empire Pathfinder Society

2013-2016 Delegate, Romanian Orthodox Episcopate of America

2012- President & Vice President, St. Anne Orthodox Church Parish Council

MEDIA COVERAGE

2021 MarketWatch
"How to Prevent Fraud from Ruining Your Retirement"

2019 Nerd's Eye View
"Financial Planning Research Highlights From The 2019 CFP Board Academic Research Colloquium"

Financial Advisor Magazine
"How Advisors Can Teach Their Clients The ABCs of Financial Fraud"

MarketWatch
"Those most vulnerable to financial scams are not necessarily lonely, older people with little money or education"

The American College of Financial Services News Center
"The Five Financial Fraud Languages to Listen For"

RELATED PROFESSIONAL SKILLS

2021 R

Prolific

2020 Qualtrics

Semantria

Canvas

Amazon Mechanical Turk

2019 Matlab/Octave

2018 SAS Enterprise Guide

2016 Moodle

Adobe Connect

2015 Microsoft Excel for Business Statistics

2012 Blackboard

NON-ACADEMIC WORK

2012- Executive Vice President, George James & Associates

2011-2012 Registered Representative, Independent Capital Management

2007-2011 Associate, Wexford Systems, LLC

PROFESSIONAL MEMBERSHIPS

2020- Association of Certified Fraud Examiners

American Risk and Insurance Association

2019- Academy of Financial Services

REFERENCES

Wade Pfau, Ph.D., CFA, RICP
Professor of Retirement Income
The American College of Financial Services
630 Allendale Road, Suite 400
King of Prussia, PA 19406
(657) 201-9233
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Jason Martin, Ph.D.
Assistant Director for Institutional Research
Swarthmore College
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Pieter de Jong, Ph.D.
Professor of Finance
University of North Florida
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Lee Schuh, J.D., EA, CFP® (Teaching Reference)
Senior Adjunct Faculty
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