

## JONATHAN S. FEINSTEIN

John G. Searle Professor of Economics and Management  
Yale School of Management

### CONTACT INFORMATION:

Yale School of Management  
Box 208200  
New Haven CT 06520-8200  
(203) 432-5975  
email: jonathan.feinstein@yale.edu  
website: www.jonathanfeinstein.com.

### EDUCATION:

B.A. Stanford University, 1982, Economics.  
Ph.D. Massachusetts Institute of Technology, 1987, Economics.

### APPOINTMENTS:

John G. Searle Professor of Economics and Management, Yale School of Management, 2007 to present.  
Co-Director, Yale Center for Business and the Environment, 2009 to present.  
Faculty Fellow, Daniel Rose Yale-Technion Counterterrorism Research Initiative, 2008 to present.  
Professor, Yale School of Management, 1995 to 2007.  
Faculty Fellow, Center for Research on Inequalities & the Life Course,  
Department of Sociology, Yale University, 2005 to present.  
Yale University Interdisciplinary Reading & Discussion Group on Aesthetics,  
Ethics, & Economics, 2005 to 2007.  
Professor By Courtesy, Yale School of Forestry and Environmental Studies, 2000 to present.  
Associate Professor, Yale School of Management, 1992 to 1995.  
Fellow, National Bureau of Economic Research, Economics of Aging Program, 1991-1992.  
Associate Professor, Stanford Graduate School of Business, 1990-1992.  
Assistant Professor, Stanford Graduate School of Business, 1987-1990.  
Visiting Scholar, Yale University, 1990-1991.  
Visiting Scholar, Columbia University Graduate School of Business, Summer 1989.

### HONORS:

Frank and Shorenstein Funds Research Award, Yale School of Management, 1997-98.  
John M. Olin Faculty Fellow in the Social Sciences for 1993-94.  
Compagnia di San Paolo Award for the best paper presented at the 49th Congress of the International  
Institute of Public Finance, Berlin, 1993.  
Fletcher Jones Faculty Scholar for 1990-1991.  
National Science Foundation Fellowship for Graduate Studies, 1984-1987.  
Phi Beta Kappa, 1981 (Junior year).  
Omicron Delta Epsilon (Charter Member).  
Winner, Westinghouse Science Talent Search, 1978.

## AFFILIATIONS:

National Bureau of Economic Research, Research Associate, 1987-2003, Health Care Program.  
Member, NBER Program on the Economics of National Security, 2004-2009.  
American Economic Association.

## RESEARCH AND PUBLICATIONS

### WORKING PAPERS AND MANUSCRIPTS:

“Creative Development in a Field,” Summer 2009. Original draft May 2008.  
“Knowledge, Education, and Innovation in a Field” (joint with Arthur Campbell), in progress.

### BOOKS:

*The Nature of Creative Development.* Stanford University Press, 2006. 572 pages. Paperback edition 2008.

### ARTICLES:

“Analysis of a Strategic Terror Organization” (with Edward Kaplan). Forthcoming, 2010, *Journal of Conflict Resolution*.

“Econometric Models for Multi-Stage Audit Processes: An Application to the IRS National Research Program” (with Brian Erard). Forthcoming, 2010, in *Developing Alternative Frameworks for Explaining Tax Compliance*, edited by James Alm, Jorge Martinez-Vazquez and Benno Torgler, Routledge.

“Creativity & The Economic System.” Entry for the *Encyclopedia of Giftedness, Creativity, and Talent*, edited by Barbara Kerr, SAGE Publications, 2009.

“*The Bourgeois Virtues: Ethics for an Age of Commerce,*” *Journal of Economic Literature*, Volume 45, No. 2, June, 2007, pages 466-79.

“The Distinctiveness of Individuals: Using Knowledge Structures To Represent Research Focuses; The Field of Stem Cell Research,” *Proceedings of the 9<sup>th</sup> Joint Conference on Information Sciences, Advances in Intelligent Systems Research*, Atlantis Press, online, October, 2006.

“Public Goods in Trade: On the Formation of Markets and Jurisdictions” (with Alessandra Casella), *International Economic Review*, Volume 43, Number 2, May, 2002, pages 437-62.

“Elderly Asset Management and Health” (with Chih-Chin Ho) (with commentary by Jonathan Skinner), in *Rethinking Estate and Gift Taxation*, edited by William G. Gale, James R. Hines, and Joel Slemrod, Brookings Institution Press, 2001, pages 457-503.

“Approaches for estimating noncompliance: Examples from federal taxation in the United States,” *The Economic Journal*, Volume 109, Number 456, June, 1999, pages 360-69.

“Predicting Estate Tax Filings and Taxable Gifts,” (with Chih-Chin Ho), *IRS Research Bulletin*, 1999, pages 39-45.

- “Tax Compliance,” (with James Andreoni and Brian Erard), *Journal of Economic Literature*, Volume 36, No. 2, June 1998, pages 818-860. Reprinted in *Taxation: Critical Perspectives on the World Economy*, edited by Simon James, Routledge, 2002, Volume 3, Chapter 41, pages 3-55. To be reprinted in *The Economics of the Hidden Economy*, edited by Friedrich Schneider, Edward Elgar Publishing.
- “Tax Compliance,” entry in *The New Palgrave Dictionary of Economics and the Law*, edited by Peter Newman, MacMillan References Limited (in U.S. Stockton Press), 1998, Volume 3, pages 574-9.
- “The Relationship Between State and Federal Tax Audits,” (with James Alm and Brian Erard), in *Empirical Foundations of Household Taxation*, edited by Martin Feldstein and James Poterba, University of Chicago Press (published for the NBER), 1996, pages 235-273.
- “Elderly Health, Housing, and Mobility,” in *Advances in the Economics of Aging*, edited by David Wise, University of Chicago Press (published for the NBER), 1996, pages 275-317.
- “Asymmetric Information, Accounting Manipulations, and Partnerships,” *Journal of Economic Behavior and Organization*, Volume 26, 1995, pages 49-73.
- “Honesty and Evasion in the Tax Compliance Game,” (with Brian Erard), *RAND Journal of Economics*, Vol. 25, No. 1, Spring 1994, pages 1-19.
- “The Role of Moral Sentiments and Audit Perceptions in Tax Compliance,” (with Brian Erard), *Public Finance*, Vol. 49, Supplement, 1994, pages 70-89.
- “Comment on Cutler and Sheiner and Dick, Garber, and MaCurdy,” in *Studies in the Economics of Aging*, edited by David Wise, University of Chicago Press (published for the NBER), 1994, pages 434-442.
- “The Relationship Between Socioeconomic Status and Health: A Review of the Literature,” *The Milbank Quarterly*, Vol. 71, No. 2, 1993, pages 279-322.
- “Public Good Provision and Political Stability in Europe,” *The American Economic Review, Papers and Proceedings*, Vol. 82, No. 2, May 1992, pages 323-29.
- “A Note on Bargaining and Inflation,” (with Alessandra Casella), *Economics Letters*, Vol. 38, 1992, pages 393-98.
- “Comment on Beron, Tauchen, and Witte,” in *Why People Pay Taxes? Tax Compliance and Enforcement*, edited by Joel Slemrod. Ann Arbor: The University of Michigan Press, 1992, pages 90-94.
- “The Econometric Implications of Incentive Compatible Regulation,” (with Frank Wolak), in *Advances in Econometrics*, Vol. 9, edited by George Rhodes, JAI Press, 1991, pages 159-204.
- “An Econometric Analysis of Income Tax Evasion and Its Detection,” *RAND Journal of Economics*, Vol. 22, No. 1, Spring 1991, pages 14-35.
- “Detection Controlled Estimation,” *Journal of Law and Economics*, Vol. 33, No. 1, April 1990, pages 233-76.
- “The Dynamics of Housing Demand by the Elderly: User Cost Effects,” (with Chunrong Ai, Daniel McFadden, and Henry Pollakowski), in *Issues in The Economics of Aging*, edited by David Wise, University of Chicago Press (published for the NBER), 1990, pages 33-82.
- “Economic Exchange During Hyperinflation,” (with Alessandra Casella), *Journal of Political Economy*, Vol. 98, No. 1, February 1990, pages 1-27.
- “Reassessing the Tax Gap: New Estimates of Filer Income Tax Evasion and Its Detection,” *Tax Notes*, Vol. 45, No. 8, November 1989, pages 1003-9.

- “Management of a Common Currency,” (with Alessandra Casella), in *A European Central Bank?*, edited by Alberto Giovannini and Marcello DeCecco, Cambridge University Press, 1989, pages 131-161.
- “The Safety Regulation of U.S. Nuclear Power Plants: Violations, Inspections, and Abnormal Occurrences,” *Journal of Political Economy*, Vol. 97, No. 1, February 1989, pages 115-54.
- “Employee Opportunism and Redundancy in Firms,” (with Jeremy Stein), *Journal of Economic Behavior and Organization*, Vol. 10, No. 3, December 1988, pages 401-14.
- “The Dynamics of Housing Demand by the Elderly: Wealth, Cash Flow, and Demographic Effects,” (with Daniel McFadden), in *The Economics of Aging*, edited by David Wise, University of Chicago Press (published for the NBER), 1988, pages 55-86.
- “Die Wirksamkeit der jüngsten Antikartelltatbigkeit der US – Regierung im Bereich der Baundustrie,” (with Michael K. Block and Frederick C. Nold), *Internationale Forschungsergebnisse auf dem Gebiet der Wirtschaftskriminalitat*, Centaurus Verlagsgesellschaft mit beschränkter Haftung, Pfaffenweiler, 1987, pages 28-52.
- “Controlling Collusion in the Construction Industry: Some Lessons from Recent U.S. Experience,” (with Michael K. Block), *Swiss Review of International Competition Law*, No. 28, October 1986, pages 41-55.
- “The Spillover Effect of Antitrust Enforcement,” (with Michael K. Block), *The Review of Economics and Statistics*, Vol. 68, No. 1, February 1986, pages 122-31.
- “Asymmetric Information and Collusive Behavior in Auction Markets,” (with Michael K. Block and Frederick C. Nold), *The American Economic Review*, Vol. 75, No. 3, June 1985, pages 441-60.

#### **OTHER PUBLICATIONS:**

- “Die Natur der Kreativität,” *Innovations Manager*, published by F.A.Z. Institut, Germany. Issue 4, December, 2008.
- Yale University Art Gallery website, editorial in What Is Art, Questions and Controversies Section, in response to the question, “Would art sink without money?” Posted 10/04 – present.

#### **UNPUBLISHED MANUSCRIPTS:**

- “Elderly Asset Management” (with Ching-Yang Lin), December, 2006. Available on SSRN.
- “An Economic Analysis of Life Care” (with Edward Keating). Available on SSRN.
- “Econometric Models of Compliance and Enforcement: Reporting Behavior and Audit Selection Decisions” (with Brian Erard), revised version, April, 1996.
- “An Econometric Model of the Tax Compliance Game” (with Brian Erard). 1995.
- “A Microeconomic Analysis of Income Tax Evasion” (with Craig Alexander), 1987.

#### **CASE PREPARATIONS:**

- “Novelis” innovation case. (Prepared by Allison Mitkowski, casewriter, and with the assistance of Paola Allais). 2008.
- “Mercy Corps: Sustainable Innovation Through Partnerships.” (Prepared by Andrea Nagy, casewriter, under my guidance). 2007.

- “Veterans Health Administration.” (Prepared by Allison Mitkowski, casewriter, under my guidance). 2007.
- “New Projects at World Epoch Publishing: A Role-Play Simulation.” (Prepared by Jean Rosenthal, under the guidance of Jaan Elias and me). 2007.
- “Propulsion,” a simulation case. Winter, 2002.
- “Intrigue,” parts A, B, C, and D. Winter, 2001.
- “NP Inc.” (A Biotech Start-Up.) Spring, 2000.
- “Water, Land, and Development in Southern Africa; Namibia,” (prepared by Saleem Ali and Victoria Guisinger under my guidance), Spring, 1996.
- “Should the Water Authorities of England and Wales Be Privatized?,” (with Becky Epstein), November 1990.
- “The 1990 Clean Air Act and the Use of Market-Based Systems to Control Pollution: Contrasting Acid Rain and Mobile Source Provisions,” revised September 1992.
- “Yosemite National Park,” Cases A-D, (prepared by Peter Cooley under my guidance), April 1991.
- “Screening for Breast Cancer: Decision Analysis and Organizational Issues,” (with Wendell Gilland), October 1989.

#### **DISTINGUISHED, KEYNOTE AND PUBLIC LECTURES:**

- Distinguished Lecture Series, University of Louisiana at Lafayette Institute of Cognitive Studies: “Creative Development in a Field.” Lafayette, March 11, 2009. (Part of a two-part lecture series. Delivered “The Nature of Creative Development” at the Moody Business School, March 10.)
- Harland G. Bloland Memorial Lecture, Association for the Study of Higher Education Annual Conference: “The Nature of Creative Development and Creative Prospects Later in the Life Course.” Jacksonville, November 8, 2008.
- Keynote Address, 49<sup>th</sup> International Conference on Health & Science Communications: “The Nature of Creative Development: Managing Creativity.” New Haven, June 21, 2008.
- Stephen E. Weil Memorial Lecture, Mid-Atlantic Association of Museums Annual Conference: “Paths of Creativity: Creative Development and Creative Organizations.” Pittsburgh, October 25, 2007.
- Inaugural Lecture, National Taiwan University Advanced Institute for Humanities and Social Sciences Distinguished Lecture Series: “The Nature of Creative Development; Depicting a World of Individuals.” Taipei, Taiwan, October 11, 2006. Part of a series of three distinguished lectures delivered in Taipei, October 11-12, 2006: other lectures in series: Ministry of Finance Lecture: “The U.S. IRS National Research Program: Measurement of Tax Compliance; Analysis of the Tax Enforcement Process”; and College of Social Sciences Lecture: “Elderly Asset Management.”
- Keynote Address, 2006 CIEF (Computational Intelligence in Economics and Finance) Conference (part of JCIS (Joint Conference on Information Sciences): “The Distinctiveness of Individuals: Using Knowledge Structures To Represent Research Focuses; The Field of Stem Cell Research.” Kaohsiung, Taiwan, October 9, 2006.

#### **SERVICE ON COMMITTEES AND BOARDS:**

- Institutional Review Board, Connecticut Association of Not-for-profit Providers For the Aging and Institute for Long Term Care Policy, Inc. September 1997 – 1999.

## **CONSULTANCIES:**

Transportation Security Administration. HSTS04-07-P-DEP459 - Probing Air Traffic Patterns, and Game Theoretic Analysis of Detection Systems.

Internal Revenue Service. Contracts awarded from the IRS:

TIRNO-05-D-00050 - Detection Controlled-Based Analysis of NRP Data for Estimating Tax Noncompliance and Tax Gap Calculation. Awarded to B.Erard & Associates, I worked as principal subcontractor.

TIRNO-03-Q-00157 - Development of Detection Controlled Methodology for Estimating Tax Noncompliance.

TIRNO-01-P-00838 - Estimates of the Gift Tax Gap.

TIRNO-00-P-01128 - Estimates of the individual Tax Gap Using Operational Audit Data (with Brian Erard).

TIRNO-99-P-00525 - The Estate Tax Gap Due to Nonfilers and Gift-Giving in Later Life.

TIRNO-98-C-00030 - Developing Alternative Tax Scoring Systems (with Joel Slemrod and Brian Erard).

TIRNO-97-P-00449 - Develop a Strategy for Estimating the Estate and Gift Tax Gap.

88-24321.000 - Estimation of the Individual Income Tax Gap Using TCMP and Detection Controlled Methodology.

Bristol-Myers Squibb, 1997.

National Institute on Aging, 1991-2.

Oregon Department of Revenue, 1994-5.

## **TESTIMONY:**

Inspector General for Tax Administration, United States Department of the Treasury, April 27, 2005, in regards the Internal Revenue Service's ability to improve voluntary compliance. Testimony given by phone – 45 minutes in length.

Subcommittee on Oversight, Committee on Ways and Means, U.S. House of Representatives, One Hundred Fourth Congress, Tuesday, July 18, 1995, in regards the Internal Revenue Service's Taxpayer Compliance Measurement Program. Serial 104-30, ISBN 0-16-052358-3, pages 123-127.