

*February 2018*

## **CURRICULUM VITAE**

### **Sonja Opper**

Gad Rausing Professor in International Economics and Business (focus China)

Lund University

Lund School of Economics and Management

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### **EDUCATION**

2003 Professorship qualification thesis (Habilitation); Eberhard-Karls-University Tübingen,

1999 Ph.D. Economics, Eberhard-Karls-University Tübingen,  
(Dissertation: "Economic Reforms and Employment Change in China", summa cum  
laude)

1995 M.A., Economics, Eberhard-Karls-University Tübingen

### **PRESENT POSITION**

03/2005 Gad Rausing Professor in International Economics and Business  
Department of Economics, Lund University (Sweden)

### **POSITIONS HELD**

07/2003-02/2005 Associate professor (Privatdozentin), Department of Economics, Tübingen  
University

1999-2003 Assistant professor, Department of Economics, Tübingen University

1995-1999 Research assistant, Department of Economics, Tübingen University

### **RESEARCH INTERESTS**

Institutional Change, Behavioral Economics, Organization and Management Theory, Entrepreneurship

## **LEADER OF RESEARCH GRANTS**

“The Making of Knowledge-based Metropolitan Economies: IT Start-ups in International Comparison,” Marianne and Marcus Wallenberg Foundation, 2014-2017, 6,988k SEK.

“How China Innovates: Interfirm-cooperation in High-risk Environments,” Craafordska Stiftelsen, 2012-2013, 250 SEK.

“Firms and Politicized Capitalism: A Longitudinal Study of China’s Private Enterprise Economy,” Jan Wallander’s and Tom Hedelius’ Foundation, 2,000k SEK, 2011-2014.

“Political Connections and External Shocks: Evidence from China,” Craafordska Stiftelsen, 250k SEK, 2010.

“Comparative Institutional Analysis,” Seed grant of the University of Lund; 3,000k SEK, 2009-2012.

“Social Capital and Finance,” Vetenskapsrådet (Swedish Science Council), 2,400k SEK, 2008-2011.

VG-Wort; publication grant / publication of professorship qualification thesis, 2004

Research grant of the German Science Foundation, 2000-2002

Travel grant from the Deutscher Akademischer Austauschdienst (DAAD), 1996

Scholarship from the state of Baden-Württemberg, 1996-1997

## **AWARDS**

OMT Best Paper in Entrepreneurship Award, Academy of Management, 2016

George R. Terry Best Book Award in Management, Academy of Management, 2013

Gold Medal Axiom Business Book Award in International Business and Globalization, 2013

Choice Outstanding Academic Title, 2012

Dissertation Award of Excellence, Chamber of Industry and Commerce, 1999

## **PUBLICATIONS**

### *I) Books*

*Capitalism from Below: Markets and Institutional Change in China* (with Victor Nee), Cambridge, MA: Harvard University Press, 2012.

Chinese translation: Peking: Peking University Press, 2016

- Winner of the George R. Terry Award 2013
- Winner of the Gold Medal of the Axiom Business Book Award in the category for International Business and Globalization 2013
- A Choice Outstanding Academic Title 2012

*Zwischen Political Governance und Corporate Governance: Eine institutionelle Analyse chinesischer Aktiengesellschaften (Between Political Governance and Corporate Governance. An*

*Institutional Analysis of China's Listed Firms*), Habilitation, Schriftenreihe zur Ostasienforschung (ed. Dieter Cassel, Winfried Flüchter, Thomas Heberer, Günter Heiduk, Carsten Herrmann-Pillath and Werner Pascha), Baden-Baden, 2004.

*Wirtschaftsreform und Beschäftigungswandel in der VR China (Economic Reforms and Employment Change in the PR of China)*, Schriftenreihe zur Ostasienforschung (ed. Dieter Cassel, Winfried Flüchter, Thomas Heberer, Günter Heiduk, Carsten Herrmann-Pillath and Werner Pascha), Bd. 11, Baden-Baden 1999.

## II) *Journal articles*

Nee, Victor, Håkan J. Holm, and Sonja Opper. "Learning to Trust: From Relational Exchange to Generalized Trust in China." *Organization Science*. accepted.

Burt, Ronald S., Yanjie Bian and Sonja Opper. 2018. "More or Less Guanxi: Trust is 60% Network Context, 10% Individual Differences." *Social Networks* 54 (July):12-25.

Burt, Ronald S. and Sonja Opper. 2017. "Early Network Events in the Later Success of Chinese Entrepreneurs." *Management and Organization Review* 12(3): 497-537.

Opper, Sonja, Victor Nee and Håkan J. Holm. 2017. "Risk Aversion and Guanxi Activities: A Behavioral Analysis of CEOs in China." *Academy of Management Journal* 60(4): 1504-1530.

DellaPosta, Daniel, Victor Nee and Sonja Opper. 2017. "Endogenous Dynamics of Institutional Change." *Rationality and Society* 29(1): 5-48.

Andersson, Fredrik N.G., Katarzyna Burzynska and Sonja Opper. 2016. "Lending for Growth? A Granger Causality Analysis of China's Finance-Growth Nexus." *Empirical Economics* 51(3): 897-920.

Opper, Sonja, Victor Nee and Stefan Brehm. 2015. "Homophily in the Career Mobility of China's Political Elite." *Social Science Research* 54: 332-352.

Opper, Sonja and Victor Nee. 2015. "Network Effects, Cooperation and Entrepreneurial Innovation in China." *Asian Business & Management* 14(4): 283-302.

Holm, Håkan, Sonja Opper and Victor Nee. 2013. "Entrepreneurs under Uncertainty: An Economic Experiment in China." *Management Science* 59:1671-1687.

Andersson, Fredrik N.G., David L. Edgerton and Sonja Opper. 2013. "A Matter of Time: Revisiting Growth Convergence in China." *World Development* 45: 239-251.

Opper, Sonja, Sonia Wong and Yong Yang. 2012. "Sales Maximization or Profit Maximization: How State Shareholders Discipline their CEOs in China." *Asia-Pacific Journal of Financial Studies* 41(3).

Westerlund, Joakim, David Edgerton and Sonja Opper. 2010. "Why is Chinese Provincial Output Diverging?" *Journal of Asian Economics* 21(4): 333-345.

- Nee, Victor and Sonja Opper. 2010. "Endogenous Institutional Change and Dynamic Capitalism." *Sociologia del Lavoro* 118: 15-37.
- Nee, Victor and Sonja Opper. 2010. "Political Connections in China's Market Economy." *Social Forces* 88(5): 2105-2133.
- Nee, Victor, Jeong-han Kang and Sonja Opper. 2010. "Entrepreneurial Action: Market Transition, Property Rights, and Innovation." *Journal of Institutional and Theoretical Economics* 166(3): 397-425.
- Nee, Victor and Sonja Opper. 2009. "Bureaucracy and Finance." *Kyklos* 62(2): 293-315.
- Opper, Sonja and Sylvia Schwaag-Serger. 2008. "Institutional Analysis of Legal Change: The Case of Corporate Governance in China." *Journal of Law & Policy* 26,
- Nee, Victor, Sonja Opper and Sonia Wong. 2007. "Developmental State and Corporate Governance in China." *Management Organization Review* 3(1):19-53.
- Hu, Yifan, Sonja Opper and Sonia Wong. 2006. "Political Economy of Labor Retrenchment: Evidence based on China's SOEs." *China Economic Review* 17(3):281-299.
- Wong, Sonia M.L., Sonja Opper and Ruyin Hu. 2004. "Shareholding Structure, De-politicization and Enterprise Performance: Lessons from China's Listed Companies." *Economics of Transition* 12(1): 29-66.
- Opper, Sonja. 2004. "The Political Economy of Privatization: Empirical Evidence from Transition Economies." *Kyklos* 57(4): 567-594.
- Opper, Sonja. 2003. "Enforcement of China's Accounting Standards: Reflections on Systemic Problems." *Business and Politics* 5(2): 151-173.
- Opper, Sonja, Sonia M.L. Wong and Ruyin Hu "Party Power, Market and Private Power: CCP Persistence in China's Listed Companies." 2002. *Research in Social Stratification and Mobility*, 19: 103-136.
- Opper, Sonja. 2001. "Dual-Track Ownership Reforms: Lessons from Structural Change in China, 1978-1997." *Post-Communist Economies* 13(2): 205-227.
- Opper, Sonja. 2001. "Der Stand der Neuen Institutionenökonomik." *Wirtschaftsdienst. Zeitschrift für Wirtschaftspolitik* 10(Okt.): 601-608.
- Gurbaxani, Indira and Sonja Opper. 1998. "How Tensions between Specific Chinese and American Interests Affect China's Entry into the WTO," *Intereconomics. Review of International Trade and Development*, September/October 1998, 33: 212-222.
- Gurbaxani, Indira and Sonja Opper. 1998. "Chinas Weg in die WTO." *Das Wirtschaftsstudium. Zeitschrift für Ausbildung, Examen und Berufseinstieg* 10: 1106-08.
- Feldmann, Horst and Sonja Opper. 1998. "Neue Reformen der chinesischen Staatsbetriebe." *Ost-europa-Wirtschaft*, 4: 396-414.

Opper, Sonja. 1997. "Chinesische Beschäftigungspolitik zwischen Stabilitäts- und Effizienzzielen." *Asien* 65: 23-38.

### III) Book chapters

Nee, Victor and Sonja Opper. 2015. "From Networks to Norms and Economic Institutions," *Re-Imagining Economic Sociology*, edited by Patrik Aspers and Nigel Dodd. Oxford: Oxford University Press, pp. 148-173.

Nee, Victor and Sonja Opper. 2015. "Sociology and the New Institutionalism," *International Encyclopedia of the Social and Behavioral Sciences*, edited by Wright, James D. (ed.), 2<sup>nd</sup> edition, Elsevier, pp. 979-983.

Nee, Victor and Sonja Opper. 2014. "Markets and Institutional Change in China." *The Oxford Companion to the Economics of China*, Shengen Fan, Ravid Kanbur, Shang-jin Wei and Xiaobo Zhang, Eds. Oxford: Oxford University Press, pp. 267-272.

Nee, Victor and Sonja Opper. 2009. "Bringing Market Transition Theory to the Firm." in *Work and Organizations in China After Thirty Years of Transition*, edited by Lisa A. Keister. Emerald Group Publishing.

Opper, Sonja. 2008. "New Institutional Economics in Transition & Developing Economies." *NIE-textbook*, edited by Jean-Michel Glachant and Eric Brousseau, Cambridge University Press.

Opper, Sonja. 2007. "Going Public without the Public: Between Political Governance and Corporate Governance." in Barbara Krug/Hans Hendrichske (eds.) *China in the 21st Century: Economic and Business Behaviour*, London: Edward Elgar, pp. 1-20.

Opper, Sonja 2007. "Privatization," *Encyclopedia of Law and Society. American and Global Perspectives*. Thousand Oaks: Sage, 2007.

Nee Victor and Sonja Opper. 2007. "On Politicized Capitalism." in Victor Nee/Richard Swedberg (eds.) *On Capitalism*, Stanford: Stanford University Press, pp. 93-127.

Opper, Sonja, Sonia M.L. Wong and Ruyin Hu. 2005. "The Power Structure in China's Listed Companies: The Company Law and its Enforcement." *China's New Role in the International Community: Challenges and Expectations for the 21st Century*, edited by H.D. Assmann and K. Moser v. Filseck, Frankfurt: Peter Lang, pp. 119-148.

Nee, Victor and Sonja Opper. 2005. "Economic Transformation in Post-Communist Societies." in Jens Beckert and Milan Zafirovski, eds., *International Encyclopedia of Economic Sociology*, Routledge.

Opper, Sonja. 2004. "Inefficient Property Rights and Corruption: The Case of Accounting Fraud in China." in Johann Graf Lambsdorff, Matthias Schramm, Markus Taube (eds.), *Corruption and the New Institutional Economics*, Routledge.

Opper, Sonja. 1999. "Arbeitsmarktinstitutionen und arbeitsmarktpolitische Instrumente in der VR China." in: Hebel, Jutta and Schucher, Günter (ed.): *Der chinesische Arbeitsmarkt. Strukturen, Probleme, Perspektiven*, Mitteilungen des Instituts für Asienkunde, Nr. 306, pp. 45-67.

Opper, Sonja and Joachim Starbatty. 1999. "Menschenrechte und die Globalisierung der Wirtschaft - Konflikt oder Chance." n: Benita von Behr, Lara Huber, Andrea Kimmi and Manfred Wolff (eds.): *Perspektiven der Menschenrechte, Beiträge zum fünfzigsten Jubiläum der UN-Erklärung*, pp. 127-145.

#### IV) Newspaper articles

Opper, Sonja. 2010. "Capitalist Spirit under Communist Leadership." in *Utrikes perspektiv*, 2010, No. 1, p.13.

Opper, Sonja and Joachim Starbatty. 1999. "Die Menschenrechtsdiskussion braucht einen analytischen Ansatz. Der Druck zum weltwirtschaftlichen Wettbewerb als Chance," *Neue Zürcher Zeitung* (Fokus der Wirtschaft), July 17./18., p. 14.

Opper, Sonja. 1999. "Chinas ideologische Sparmaßnahmen." in: *Frankfurter Allgemeine Zeitung* (Die Ordnung der Wirtschaft), September 25, p. 15.

Gurbaxani, Indira and Sonja Opper. 1998. "Gute Gründe für einen WTO-Beitritt Chinas," in: *Neue Zürcher Zeitung*, June 23, p. 11.

#### SELECTED PRESENTATIONS (SINCE 2010)

- 01/2010 China. Verursacher, Opfer oder Profiteur der Krise. Studium Generale of the University of Tuebingen (Germany)
- 05/2010 Big is beautiful. How State Shareholders Monitor their Managers in China, Shanghai Forum, Shanghai (China)
- 06/2010 Capitalism from Below, Annual Conference of the International Academy of Chinese Management Research (IACMR), Shanghai (China)
- 06/25/2010 Entrepreneurship in China. Business Norms in a High-risk Environment, International Symposium, University of Duisburg-Essen (Germany)
- 09/06/2010 China's New Entrepreneurs: A Global Challenge? Medicon Executive Club, Copenhagen.
- 04/14/2011 Decoupling and Mimetic Isomorphism: Strategies of Private Firm Survival in China, Cornell University (USA)
- 06/16/2011 Bottom-up Entrepreneurship in China. Annual Meeting of the International Society of New Institutional Economics, Stanford University, (USA)
- 10/12/2011 The Miracle of Private Enterprise in China, Alumni Talks, Lund University.
- 04/21/2012 Factions versus Economic Performance: The Institutional Basis of Leadership Recruitment in China, Reykjavik University.
- 06/15/2012 Trust and Economic Behavior in a Low-Trust Society, Annual Meeting of the International Society of New Institutional Economics, Los Angeles, (USA)
- 06/29/2012 Capitalism from Below, University of Bochum (Germany)
- 09/06/2012 Reflexive Reputation, Networks and Norms, Reputation Symposium 2012, Oxford University (UK)

- 09/11/2012 Reflexive Reputation, Networks and Norms, Asia Economic Panel Conference, Lund University
- 09/19/2012 Capitalism from Below: Markets and Institutional Change in China (a book seminar), EHL, Lund University
- 10/16/2012 Capitalism from Below: Markets and Institutional Change in China (a book seminar), Center for East and Southeast Asian Studies, Lund University
- 01/23/2013 Capitalism from Below: Markets and Institutional Change in China (a book seminar), ERIM, Rotterdam
- 02/08/2013 Reflexive Reputation, Networks and Norms, CBS, Copenhagen (Denmark)
- 05/15/2013 Trust and Economic Behavior in a Low-Trust Society, University of Frankfurt (Germany), Economics Department
- 06/07/2013 Trust and Economic Behavior in a Low-Trust Society, University of Amsterdam, Amsterdam Center for Entrepreneurship.
- 06/21/2013 Endogenous Institutional Change, Annual Meeting of the International Society of New Institutional Economic, Florence (Italy)
- 06/28/2013 Capitalism from Below: Markets and Institutional Change in China (author meets critics, keynote panel), Annual meeting of the Society of the Advancement of Socio-Economics, Milan (Italy)
- 10/04/2013 Dynamics of Institutional Change, Workshop on Institutions in Transition, Comparative Institutional Analysis Research Group, Lund University.
- 11/28/2013 Norms, Networks and Innovation in China (keynote lecture), Europe-Asia Management Studies Association, Duisburg (Germany).
- 05/20/2014 Trust and Economic Behavior in a Low-Trust Society, University of Würzburg (Germany).
- 12/09/2014 Why Risk Aversion Affects Guanxi Activities, Copenhagen University, Development Economics Research Group (DERG)
- 08/07/2015 Dynamics of Institutional Change, Academy of Management Meeting, Vancouver (Canada)
- 04/18/2016 Cracking the Glass Ceiling: Gender Norms at the Executive Floor. Radboud University, Nijmegen (The Netherlands)
- 04/28/2016 Relational Exchange and Generalized Trust in China. Linköping University
- 06/23/2016 Relational Exchange and Generalized Trust in China, University Duisburg-Essen (Germany)
- 08/08/2016 Culture and Entrepreneurship in China: Evidence on Stable Long-run Regional Variation, Academy of Management Meeting, Anaheim (US)
- 08/09/2016 Relational Exchange and Generalized Trust in China, Academy of Management Meeting, Anaheim (US)
- 03/08/2017 Regional Culture, Entrepreneurial Talent, and Institutional Change: Evidence from Private Firm Allocation in China, IFN, Stockholm

05/30/2017 Regional Culture, Entrepreneurial Talent, and Institutional Change: Evidence from Private Firm Allocation in China, Renmin University, Beijing

#### **EXTRAMURAL ACTIVITIES**

- 10/13/2004 Chinas Growing Market – Chances and Risks for German Entrepreneurs, St-Leo Rot (Germany), Siemens AG
- 04/21/2005 Chinas Growing Market – Chances and Risks for German Entrepreneurs, Munich (Germany), Siemens AG.
- 06/12/2005 China's Stock Market Development: A Corporate Governance Perspective, **2005民营企业发展论坛**, Annual Meeting of China's 100 biggest Private Firms, Shanghai (China).
- 07/15/2005 Innovation in China; Membership meeting of the VDMA (Organisation of German machinery building manufacturers), Würzburg (Germany).
- 01/12/2006 Growth and Innovation in China, EFL, Lund (Sweden)
- 05/03/2006 High Tech Entrepreneurship in China, Kungl Ingenjörsvetenskapsakademien, Lund (Sweden)
- 05/19/2006 China: Achievements and Challenges, EHL Alumni Dagen, Lund (Sweden)
- 10/08/2009 Thought Leader at TetraPak TopEx Leadership Training, Lund (Sweden)
- 10/02/2012 Capitalism from Below: Markets and Institutional Change in China , a book seminar, Rotary Club (Lund)
- 11/08/2012 How Innovative is China, SEB Asia Council (Sweden)
- 11/19/2012 Panel discussion at Danske Invest Dagen, Stockholm (Sweden)
- 02/28/2013 Capitalism from Below: Markets and Institutional Change in China , a book seminar, Sweden-China Trade Council (Malmö)
- 03/25/2013 Capitalism from Below: Markets and Institutional Change in China , a book seminar, Sweden-China Trade Council (Stockholm)
- 02/26/2014 Norms, Networks and Innovation of China's Private Firms, The Association of Foreign Affairs (Lund)

#### **COURSES TAUGHT**

China's Economy (MSc-level)

Advanced Development Economics (MSc-level)

Institutions, Markets and the Firm (MSc-level)

Institutional Analysis for the Economic and Social Sciences (PhD-course)

#### **COMPLETED PH.D STUDENT SUPERVISION (CHAIR OF COMMITTEE)**

PhDstudent (Stuttgart, Germany)

Nicola Meier (2004-2008)



### PhD students (Lund)

Pernilla Johansson (2007-2010)

Erik Jonasson (2007-2009)

Peter Karpestam (2007-2009)

Katarzyna Burzynska (2012-2015)

Usman Khalid (2012-2016)

Ross Wilson (2012-2016)

Karl McShane (2014-2017)

### **COMMITTEE WORK / PLANNING GROUPS**

Board Member of the International Society for New Institutional Economics, 2003-2007

Board member of Center for East and Southeast Asian Studies (Lund University), 2005-2012

Organization of the Lund-Fudan Economic Forum, LUSEM, 2007, 2009, 2011

Member of PhD selection committee (Department of Economics, Lund University), 2008, 2009, 2010, 2011, 2012, 2013

Board member of Scientific Research Council at SIDA (Swedish International Development Co-operation Agency), 2010-2013

Member of the Advisory Board of SSRN New Institutional Economics Abstracting Journal, 2007-

Program Director, Master in International Economics with a focus on China (Department of Economics, Lund University), 2007-

Academic coordinator of the interdisciplinary research group “Comparative Institutional Analysis” (LUSEM), 2009-

Board member Lund Research Institute, 2010-2015

Board member, The Ostrom Workshop, University of Indiana, 2015-

Board member, IN-EAST School of Advanced Studies, University of Duisburg-Essen, 2015-

### **OTHER SELECTED ACADEMIC ACTIVITIES**

Local Organizer of the 4<sup>th</sup> annual meeting of the International Society for New Institutional Economics, 2000

Academic Director of the International summer school on New Institutional Economics, Sofia, September 2003

Member of the paper selection committee of the 7<sup>th</sup> annual meeting of the International Society for New Institutional Economics, Budapest, September 2003

Member of the paper selection committee of the 8<sup>th</sup> annual meeting of the International Society for New Institutional Economics, Tuscon (Arizona), September 2004

Organizer of the workshop-conference on “Endogenous Institutional Change”, Lund University, September 2011

Member of the George. R. Terry Award Committee, Academy of Management 2017.

### **MEMBERSHIP**

Academy of Management (AOM)

Association for Social Science China (ASC)

Deutsche Gesellschaft für Asienkunde (DGA)

Founding Member of the International Association for Chinese Management Research (IACMR)

Verein für Socialpolitik (VfS)

### **JOURNAL REVIEWS**

*American Journal of Sociology, American Sociological Review, Asia Pacific Journal of Management, China Economic review, Economics & Politics, Economic Systems, International Sociology, Journal of Business Venturing, Journal of Comparative Economics, Journal of Institutional and Theoretical Economics, Journal of Public Economics, Management and Organizations Review, Metroeconomica, Oxford Bulletin of Economics and Statistics, Policy Studies Journal, Rationality and Society, Social Forces, Social Science Research.*