

Curriculum Vitae
Daniel Gozman BSc. MSc. PG Cert. MBCS. PhD.

Degrees:

London School of Economics and Political Science – Information Systems and Innovation PhD: Oct 2009 – Dec 2014
Warwick Business School – Information Systems and Management MSc with Distinction: Oct 2005 – Nov 2006
London Metropolitan University – First Class Honours Computer Science Degree: Sept 2000 – Jun 2004

Other qualifications:

University of Greenwich - Postgraduate Certificate in Higher Education: Oct 2011 – May 2012
University of Cambridge – Level 4 Certificate Teaching English to Speakers of Other Languages: Nov 2003 - Jan 2004
University of North London – Foundation Year (Equivalent to A Level Study): Sept 1999 – Jun 2000
Maiden Erlegh School, Reading – 9 G.C.S.E's: Sept 1990 – Jun 1995

Professional membership:

Fellow of the Higher Education Academy
Professional Membership of the British Chartered Institute for IT (MBCS)
Membership of the Association of Information Systems (AIS)
Worshipful Company of Information Technologists (application pending)

Peer reviewed journal papers:

Gozman, D., Liebenau, J. & Mangan, J "The Innovation Mechanisms of Fintech Start-Ups: Insights From Swift's Innotribe Competition" Journal of Management Information Systems FinTech Special Issue (forthcoming)

Estrin, S., Gozman, D. and Khavul, S. "Equity Crowdfunding and Early Stage Entrepreneurial Finance: Damaging or Disruptive?" Journal of Small Business Economics (forthcoming)

Currie, W., Gozman, D. and Seddon, J. "Calculative Tensions in the Pre - And Post – Crisis Financial Markets: A Longitudinal Study of Regulatory Technology" Journal of Information Technology (forthcoming)

**Gozman, D. and Currie, W. (2014) "The Role of Rules-Based Compliance Systems in the New EU Regulatory Landscape: Perspectives of Institutional Change." Journal of Enterprise Information Management, 27 (6). pp. 817-830.

*Gozman, D. and Currie, W. (2014) " The Role of Investment Management Systems in Regulatory Compliance: A Post-Financial Crisis Study of Displacement Mechanisms" Journal of Information Technology, 29, (99), pp. 44-58

Currie, W., Finnegan, D., and Gozman, D. (2011) "E-Government for the Economic Crisis," European Journal of ePractice (11), 55-71.

** Selected by the Journals' Editorial Team as a Highly Commended Paper of 2014.

*Selected for Inclusion in the National Research Excellence Framework (REF) exercise for Henley Business School/University of Reading.

Papers currently in review:

Gozman, D. and Willcocks, L. "The Cloud Dilemma: Balancing Innovation and Outsourcing Risk" Journal of Business Research Special Issue on Global environment, contemporary business risks and business failures in the 21st century (Revise and resubmit)

Research funding:

Principal Investigator: Grant (15,000 EUR) from SWIFT (Society for Worldwide Interbank Financial Telecommunication) Institute to deliver a white paper on “Future Generation of Payments Market Infrastructures” in collaboration with the International Payments Think Tank

Investigator (2017): Blockchain technology for Algorithmic Regulation and Compliance (BARAC) Grant totalling 616, 794 GBP. Awarded by the EPSRC/ESRC: RCUK Digital Economy in collaboration with FCA, R3, UCL, LSE and Kings College

3000 GBP awarded by Henley’s Building Outstanding Impact Support Programme in 2017.

3000 GBP Research Fellowship 2020 Award by Reading University Research Committee in 2016.

Principal Investigator (2015): Grant received (15,000 EUR) from SWIFT (Society for Worldwide Interbank Financial Telecommunication) Institute to deliver a white paper on Big Data and RegTech. (2014).

Doctorate funded through an award from the UK Economic Social Research Council (ESRC) included stipend and fees. (2009).

Industry reports and practitioner articles:

Gozman, D and Mangan, J. (2017) “How Do Application Lifecycle Management Practices Address Hidden, Underlying and Embedded Risks Built into Fintech Innovations” For Siemens and Phrontier Systems.

Gozman, D., Willcocks, L.P. Andrew Criag O.BE. (2017) “From Risk to Resilience: Business Continuity Management. “Intelligent Sourcing: Autumn edition

Willcocks, L.P. and Gozman, D. (2017) “Accessing Innovation: Shadow IT and FinTech” Cutter Business Technology Journal

Willcocks, L.P. and Gozman, D. (2017) “Disruption and Collaboration in Financial Technologies” Cutter Consortium

Willcocks, L.P. and Gozman, D. (2017) “Barriers to cloud innovations: outsourcing risk and challenges” Cutter Consortium: Executive Update

Willcocks, L.P. and Gozman, D. (2017) “Governing the cloud: managing daily compliance” Cutter Consortium: Executive

Willcocks, L.P. and Gozman, D. (2017) “Managing the cloud dilemma: to outsource or not to outsource...” Cutter Consortium: Executive Update

Estrin, S., Gozman, D. & Khavul S. (2016) Case Study of the Equity Crowdfunding Landscape in London: An Entrepreneurial and Regulatory Perspective, EU Horizon 2020: Financial and Institutional Reforms to build an Entrepreneurial Society (FIREs) in Europe

Gozman, D., Currie, W. and Seddon, J. (2016) “The Role of Big Data in Governance: A Regulatory and Legal Perspective of Analytics in Global Financial Services” SWIFT Institute Working Paper No. 2014-009.

Gozman, D. and Willcocks, L.P. (2015) “Shadow Boxing Clever” Professional Outsourcing, 21. pp. 38-45.

Book chapters:

Gozman, D., Liebenau, J and Ferris, P. “I regulate therefore I am? Regulating humans and machines conduct and culture” in Arner, D. Barbaris, J. and Buckley, R. (eds.) The RegTECH Book, Wiley (Forthcoming)

Currie, W. and Gozman, D. (2014) “The Post Crisis Outsourcing Relationship: Building Institutional Trust, Technology And Regulatory Controls.” in: Hirschheim, R., Heinzl, A. and Dibbern, J. (eds.) Information Systems Outsourcing: Towards Sustainable Business Value. Progress in IS. Springer: Berlin, pp. 89-114.

Conferences and invited talks:

Gozman, D., Currie, W. and Seddon, J. (2018) Catching the Banksters: The Use of Big Data in Billion Dollar Regulatory Investigations. 51st Hawaii International Conference on System Sciences, Hawaii, USA

- Gozman, D (2016) The Global Fintech Landscape, Bank of China, UK Office.
- Estrin, S, Gozman, D & Khavul S. (2016) Case Study of the Equity Crowdfunding Landscape in London: An Entrepreneurial and Regulatory Perspective ESRC SME Finance Seminar, University of Brighton
- Liebenau, J. and Gozman, D. (2016) Challenged regulatory realms: FinTech and the boundaries of financial, communications and digital regulatory authority. In: The Fourth Annual Roundtable on Computer Science and the Law (CTIC: 24-25 May), University of Pennsylvania
- Gozman, D. and Liebenau, J. (2016) "Challenged Regulatory Realms: FinTech and the boundaries of financial, communications and digital regulatory authority" The Fourth International Cashless Society Roundtable (ICSR: 7-8 April) Copenhagen Business School
- Gozman, D. and Willcocks, L.P. (2015) "Crocodiles in the Regulatory Swamp: Navigating the Dangers of Outsourcing, SaaS and Shadow IT" International Conference on Information Systems (ICIS) Dallas Fort Worth
- Gozman, D. (2015) "The Rise of Shadow IT. - Threat or Opportunity?" Cloud World Forum Executive Summit 24th June, London Olympia
- Gozman, D. and Currie, W. (2015) "Managing Governance, Risk and Compliance for Post-Crisis Regulatory Change: A Model Of IS Capabilities for Financial Organizations" 48th Hawaii International Conference on System Sciences, Hawaii, USA
- Currie, W. and Gozman, D. (2014), "Institutional Pressures On Financial Services Firms: The Role of Information Systems in Regulatory Compliance", 8th Mediterranean Conference on Information Systems, Verona Italy
- Gozman, D. and Currie, W. (2013) "Building Post Crisis Watchtowers: Investment Management Systems and New Institutional Logics for Regulatory Compliance" International Conference on Information Systems (ICIS) Milan
- Currie, W. and Gozman, D. (2013) "From Free Markets to Logics of Intense Supervision: Dynamics of Institutional Trust, Technology and Regulatory Controls" International Conference on the Outsourcing of Information Services 2013 Mannheim, Germany
- Currie, W. and Gozman, D. (2013) "IS Capabilities for Supporting Post Crisis Regulatory Compliance" UK AIS Conference 2013 Oxford
- Currie, W. and Gozman, D. (2012) "The Role of Rules-Based Compliance Systems in the New EU Regulatory Landscape: Perspectives of Institutional Change and Agency" The 20th European Conference for Information Systems, ESADE, Barcelona
- Currie, W., Finnegan, D., and Gozman, D. (2011). "Accounting Information Systems as Institutional Carriers: A Case Study of Regulatory Compliance in UK Asset Management Houses," The 19th European Conference for Information Systems, Aalto University, Helsinki,
- Currie, W., Gozman, D., and Koshy, M. (2011) "Transforming the English NHS Using Information Technology: The Story So Far," 2nd Transforming Government Workshop, Brunel University, London.
- Gozman, D. (2011) "IS Capabilities for Regulatory Compliance Framework", delegation of 23 employees from China Huarong Asset Management Corporation

Referee service:

- Journal of Information Technology (senior editor)
- Electronic Commerce Research and Applications (associate editor)
- Human Behaviour in IS Track for ICIS 2017 (associate editor)
- Grant review for Engineering and Physical Sciences Research Council (EPSRC)
- European Journal of Information Systems (ad-hoc reviewer)
- Journal of Management Information Systems (ad-hoc reviewer)
- MISQ Executive (ad-hoc reviewer)
- Qualitative Research in Financial Markets (ad-hoc reviewer)
- Academy of Management Perspectives (ad-hoc reviewer)
- ICIS and ECIS academic conferences 2013 onwards (ad-hoc reviewer)
- Information Technology & People (ad-hoc reviewer)

Research Awards:

Highly Commended Paper of 2014: "The Role of Rules-Based Compliance Systems in the New EU Regulatory Landscape: Perspectives of Institutional Change" Published in Journal of Enterprise Information Management selected by the Editorial Teams as a Highly Commanded Paper.

Teaching Awards:

Henley Celebrating Success Award for demonstrating excellence in managing personal tutees particularly ones with special needs. (2007)

Internal Henley Award for Innovation: Awarded in recognition of the development and delivery of a Business 'Hackathon' for engaging the elderly in collaboration with IBM. (2016).

Internal Henley Award for Teaching: Awarded in recognition of the development and delivery of the Technology Advisory Practice Module in collaboration with Oxfam and Reading's Deputy Mayor. (2015).

Media contributions:

Contributed to Sunday Times "Future of Banking" Raconteur Special Issue "How Banks Use Data" (2017 January 22nd)

Interviewed for Vice Magazine "The Terrorism Blacklist Secretly Wielding Power Over the Lives of Millions" (2016 February 4th)

Interviewed for Computer Weekly "The FCA is open to cloud – but what of the firms it regulates?" (2016 9th December)

Current appointments:

University of Sydney | University of Sydney Business School - Sydney (AUS)

Senior Lecturer: March 2018 – Present

Henley Business School (AACSB, EQUIS, AMBA) – Reading (UK)

Visiting Fellow in Business Informatics, Systems and Accounting: March 2018 – Present

University College London (UCL) Centre for Blockchain Technologies - London (UK)

Research Fellow: February 2017- Present

London School of Economics and Political Science (LSE) Outsourcing Unit – London (UK)

Associate: December 2014 - Present

British Standards Institute (BSI) – International

UK Committee Member for DLT/1 to mirror the work of ISO/TC 307: September 2017 - Present

International RegTech Association (IRTA) - International

Member of the Innovation Group: August 2017- Present

Bloor (Independent IT Advisory Firm) – London (UK)

Practice Leader, Financial Technology: August 2016 – Present

Journal of Information Technology (Palgrave) – International

Senior Editor: October 2017 – Present

Electronic Commerce Research and Applications (Elsevier) – International

Associate Editor: May 2017 - Present

University of London International Academy – London (UK)

Associate Examiner: June 2015 – Present

Westerdals: Oslo School of Arts, Communication and Technology – Oslo (Norway)

Associate Examiner: – December 2017 - Present

Previous appointments:

Henley Business School (AACSB, EQUIS, AMBA) – Reading (UK)

Lecturer in Business Informatics, Systems and Accounting: September 2013 – Present

Kemp Little Consulting LLP (New Consultancy to partner with Kemp Little Law Firm) – London

Academic Advisor: 2013 – 2017

Greenwich University – London

Lecturer in International Business: September 2011 – August 2013

Accenture – London

Business Analyst in Consulting Workforce: May 2007-December 2008

- **Project -Risk Control Integration for a Top Tier European Investment Bank**
- **Project - Implementing Asset and Licence Management Team for Global Telecommunications Company**
- **Project - Order to Cash Business Transformation for Global Mailstream Provider**

Deloitte & Touche LLP – London

Securitization Consultant: January 2007 - April

Pershing LLC (Bank of New York Securities Group) – London

MSc Dissertation (Work Placement): May 2006 – November 2006

Europa – Manchester / Cookham

Sales/Research Contractor (Self Employed): July 2004 – September 2005

DataStream Systems – Slough, Berkshire

Jan 1999 – May 1999