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**Curriculum Vitae**  
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**Date of Birth:** March 1, 1945

**Education:** B.A., Physics, Wellesley College, 1966  
Ph.D., Economics, Stanford University, 1988  
[M.A., Oxford University, 1996]

**CURRENT POSITIONS**

**2016-:** Chercheur Associé, Centre de l'économie de l'innovation, Collège de France, Paris.

**2015-:** Visiting Professor, Max Planck Institute, Munich.

**2012-:** Visiting Fellow, National Institute of Social and Economic Research, London.

**1995-:** International Research Associate, Institute for Fiscal Studies, London.

**1988-:** from Faculty Research Fellow to Research Associate, National Bureau of Economic Research, Member, Programs on Productivity and Technical Change; Industrial Organization

**1987-:** from Assistant Professor to Full Professor Emerita of Economics, University of California at Berkeley.

**PAST POSITIONS:**

**2005 to 2015:** Professor of Technology and the Economy, University of Maastricht, Netherlands and Professorial Research Fellow, UNU-MERIT.

**1977 to 2012:** Founder, Owner, and Partner, TSP International, a computer software firm that maintained, distributed, and did continuing development on the TSP econometrics package.

**1996 to 2001:** Temporary Professor of Economics, Oxford University, and Professorial Fellow, Nuffield College.

[**1963-1983:** computer programmer at Berkeley Lawrence Laboratory; Lyman Laboratory and Department of Economics, Harvard University].

**PUBLICATIONS**

“The impact of international patent systems: Evidence from accession to the European Patent Convention” (2019), with Christian Helmers, **Research Policy**, forthcoming.

[Earlier versions: NBER Working Paper No. 24207. Max Planck Institute for Innovation and Competition Research Paper No. 18-03.]

“Pledging patents for the public good: Rise and fall of the Eco-Patent Commons” (2019), with Jorge Contreras and Christian Helmers. **Houston Law Review**, forthcoming.

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- “The Market Value of R&D in Emerging Economies: Evidence from India” (2017), with Sunil Kanwar. **B. E. Journal of Economic Analysis and Policy** 17(1), *doi: 10.1515/bejeap-2016-0103*.  
[NBER Working Paper No. 21196 (May).]
- “Financing constraints, R&D investments and innovative performances: new empirical evidence at the firm level for Europe” (2016), with Pietro Moncada-Paterno-Castello, Sandro Montresor, and Antonio Vezzani, **Economics of Innovation and New Technology** 25 (3): 183-196.
- “Patents as Quality Signals? The Implications for Financing Constraints on R&D” (2017), with Dirk Czarnitzki (KU Leuven) and Hanna Hottenrott (DICE, Heine Universitaet, Dusseldorf). **Economics of Innovation and New Technology** 25 (3): 197-217. *doi: 10.1080/10438599.2015.1076200*.  
[NBER Working Paper No. 19947; UNU-MERIT wp2014-013; NIESR Discussion Paper No. 430.]
- “Appropriability mechanisms, innovation and productivity: Evidence from the UK,” with Vania Sena, University of Essex (2017). **Economics of Innovation and New Technology** 26 (1-2): 42-62. *doi:10.1080/10438599.2016.1202513*.  
[Paper prepared for the CDM conference, Paris, Oct. 8-9, 2014. NBER Working Paper No. 20514 and UNU-MERIT Working Paper No. 2014-059.]
- “An Empirical Analysis of Primary and Secondary Pharmaceutical Patents in Chile,” with Maria Jose Abud Sittler and Christian Helmers (2015). **PLOS ONE**. *doi:10.1371/journal.pone.0124257*.  
[NBER Working Paper No. 20995.]
- “The choice between formal and informal intellectual property: A literature review,” with Christian Helmers, Mark Rogers, and Vania Sena (2014). **Journal of Economic Literature** 52(2): 375–423. *doi:10.1257/jel.52.2.375*.  
[NBER Working Paper No. 17983 (April 2012, revised May 2013)].
- “Does Patent Protection Help or Hinder Technology Transfer? (2014). In S. Ahn, B. H. Hall, and K. Lee (eds.), **Intellectual Property for Economic Development: Issues and Policy Implications**, Edward Elgar.
- “Innovation and Productivity: An Update,” with Pierre Mohnen (2013). **Eurasian Business Review** 3(1): 47-65.  
[UNU-MERIT Working Paper No. 2013-021]
- “The importance (or not) of patents to UK firms,” with Christian Helmers, Mark Rogers, and Vania Sena (2013). **Oxford Economic Papers** 65 (3): 603-629. *doi:10.1093/oep/gpt012*.  
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- “Innovation in clean/green technology: Can patent commons help?,” with Christian Helmers (2013). **Journal of Environmental Economics and Management** 66(1): 33-51, *doi:10.1016/j.jeem.2012.12.008*.  
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“Evidence on the impact of R&D and ICT investment on innovation and productivity in Italian firms,” with Francesca Lotti and Jacques Mairesse (2013), **Economics of Innovation and New Technology** 22 (3): 300-328. *doi:10.1080/10438599.2012.708134*

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“Innovation and Productivity,” **Nordic Economic Policy Review** 2011 (2): 167-204.

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“The role of patent protection in (clean/green) technology transfer,” with Christian Helmets, **Santa Clara High Technology Law Journal** 26 (2010): 487-532.

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“Issues in and Possible Reforms of the U. S. Patent System” (2009), in S. Nagaoka, M. Kondo, K. Flamm, and C. Wessner (eds.), **21<sup>st</sup> Century Innovation Systems for Japan and the United States**, Washington, DC: The National Academies Press. Reprinted in C. Sri Krishna (ed.), **Patent Reforms: Policy Approaches**. Hyderabad, India: Amicus Books, ICFAI (2009).

[presentation to the Cooperative Symposium on 21st Century Innovation Systems for Japan and the United States: Lessons from a Decade of Change, 10 January 2006, Tokyo, Japan.]

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[NBER Working Paper Number 10408 (2004). European University Institute ECO-WP Number 2004/13]

“Proprietary vs. Public Domain Licensing of Software and Research Products” (2006), with Alfonso Gambardella, **Research Policy** 35 (6): 875-892. Reprinted 2010 in **The Capitalization of Knowledge**, Riccardo Viale and Henry Etkowitz (eds.), Edward Elgar, pp. 167-200.

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“Market Valuation of US and European Intellectual Property” (2006), with Dirk Czarnitzki and Raffaele Oriani. In Bosworth, D. and E. Webster (eds), **The Management Of Intellectual Property**, Cheltenham, UK: Edward Elgar.

“Measuring the Returns to R&D: The Depreciation Problem” (2005), new version of “R&D, Productivity, and Market Value ,” **Annales d'Economie et de Statistique** N° 79/80: 341-382, special issue in memory of Zvi Griliches, dated July/December.

[Paper presented at the Zvi Griliches Memorial Conference, Paris, August 2003 and the Tor Jakob Klette Memorial Conference, Oslo, Norway 2004, IFS Working Paper No. 06/23, NBER Working Paper No. 13473 (September 2007)].

“Uncovering General Purpose Technologies using Patent Data” (2005), with Manuel Trajtenberg. In Antonelli, C., D. Foray, B. H. Hall, and W. E. Steinmueller, **New Frontiers in the Economics of Innovation and New Technology**, Cheltenham, UK: Edward Elgar (paperback edition 2007).

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“Testing for Unit Roots in Panel Data: An Exploration with Real and Simulated Data” (2005), with Jacques Mairesse, in Andrews, D., and Stock, J. (eds.), **Identification and Inference in Econometric Models: Essays in Honor of Thomas J. Rothenberg**, Cambridge University Press.

[Nuffield College, Oxford, UC Berkeley, INSEE-CREST, and NBER: September 1999. Revised version presented at the World Congress of the Econometric Society, Seattle, August 2000 and the Conference in Honor of T. Rothenberg, University of California at Berkeley, August 2001.]

“Exploring the Patent Explosion” (2005), **Journal of Technology Transfer** 30: 35-48.

[invited lecture at the ZEW Workshop on Empirical Economics of Innovation and Patenting, Mannheim, Germany, March 14/15, 2003. NBER Working Paper No. 10605 (July 2004). University of Cambridge: Cambridge Business Research Working Paper No. 292 (September 2004).]

“University-Industry Research Partnerships in the United States” (2004), in Contzen, Jean-Pierre, David Gibson, and Manuel V. Heitor (eds.), **Rethinking Science Systems and Innovation Policies**, Proceedings of the 6<sup>th</sup> International Conference on Technology Policy and Innovation, Connecticut: Greenwood Press.

[Paper presented in Kansai, Japan, August 2002, European University Institute ECO-WP Number 2004/14.]

“Innovation and Diffusion” (2004), in Fagerberg, J., D. Mowery, and R. R. Nelson (eds.), **Handbook of Innovation**, Oxford University Press.

[NBER Working Paper No. 10212 (Jan. 2004).]

“Post-Grant Patent Reviews in the United States - Design Choices and Expected Impact” (2004), with Dietmar Harhoff, **Berkeley Technology Law Journal** 19: 989-1016.

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“On Copyright and Patent Protection for Software and Databases: A Tale of Two Worlds” (2004), in Granstrand, Ove (ed.), **Economics, Law, and Intellectual Property**, Boston/Dordrecht: Kluwer Academic Publishers, pp. 259-278.

[presented at the ESF-IIASA-NSF Science Policy Workshop on Digital Collaboration Technologies, Laxenburg, Austria, December 1999.]

“Prospects for Improving U.S. Patent Quality via Post-grant Opposition” (2003), with Stuart J. H. Graham, Dietmar Harhoff, and David C. Mowery. **Innovation Policy and the Economy**, Volume 4: 115-143. [NBER Working Paper No. W9731. UC Berkeley Department of Economics Working Paper No. E03-329 and Competition Policy Center Working Paper No. CPC03-038.]

“Post-issue Patent ‘Quality Control’: A Comparative Study of U.S. Patent Re-examinations and European Patent Oppositions” (2003), with Stuart J. H. Graham, Dietmar Harhoff, and David C. Mowery. In W. Cohen and S. Merrill (eds.), **Intellectual Property in the Knowledge-Based Economy**. Washington, DC: National Academies Press. [NBER Working Paper No. 8807 (February 2002)].

“Adoption of New Technology” (2003), with Beethika Khan. In Jones, Derek C. (ed.), **New Economy Handbook**, Amsterdam: Elsevier Science. [NBER Working Paper No. W9730. UC Berkeley Department of Economics Working Paper No. E03-330.]

“Universities as Research Partners” (2003), with Albert N. Link and John T. Scott. **Review of Economics and Statistics** 85: 485-491. Reprinted in Martin, S. (ed.), *Market Failure*, The International Library of Critical Writings in Economics, Cheltenham, UK: Edward Elgar (2018). Reprinted in Link, A. N. (ed.), **Entrepreneurship and Technology Policy**, Cheltenham, UK: Edward Elgar (2005). Reprinted in Audretsch, D. B. and A. N. Link (eds.). **Universities and the Entrepreneurial Ecosystem** Cheltenham, UK: Edward Elgar (2016). [Paper prepared for presentation at the ASSA Meetings, Boston, Mass., January 7-9, 2000. UC Berkeley, Oxford University, University of North Carolina, and Dartmouth College. NBER Working Paper No. 7643 (March 2000).]

“The Financing of Research and Development” (2002), **Oxford Review of Economic Policy** 18 (1): 35-51. Reprinted in A. Bartzokas and S. Mani (eds.), **Financial Systems, Corporate Investment in Innovation and Venture Capital**, Cheltenham, UK: Edward Elgar, (2004); P. Auerswald and A. Bozkaya (eds.), **Financing Entrepreneurship**, Cheltenham, UK: Edward Elgar (2008); D. C. Mowery and J. Fagerberg (eds.), **Innovation, Technology and Economic Change**, Cheltenham, UK: Edward Elgar (2014). [NBER Working Paper No. 8773 (February 2002); University of California at Berkeley Dept. of Economics Working Paper No. E02-311 (January 2002)]. Revised version published as “The Financing of Innovation” in Scott Shane (ed.), **Blackwell Handbook of Technology and Innovation Management**, Oxford: Blackwell Publishing Ltd. (2008) and in D. Foray (ed.), **The New Economics of Technology Policy**, 2009.

“Investissement des entreprises et contraintes financières en France et aux États-Unis” (2001), with Jacques Mairesse and Benoit Mulky. **Économie et Statistique** No. 341-342 (Juillet): \_\_\_\_.

“The Effects of Strengthening Patent Rights on Firms Engaged in Cumulative Innovation: Insights from the Semiconductor Industry” (2001), with Rosemarie Ham Ziedonis. In Libecap, Gary (ed.), **Entrepreneurial Inputs and Outcomes: New Studies of Entrepreneurship in the United States**, Vol. 13 of **Advances in the Study of Entrepreneurship, Innovation, and Economic Growth**, Amsterdam: Elsevier Science.

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Conference on Financing and Entrepreneurship in Science-Based Industries, January 22-23, Mannheim, Germany, the 1999 European Meetings of the Econometric Society, Santiago de Compostella, Spain (August 1999); revised version presented at the Deutsche Bundesbank, April 27-29, 2000, Frankfurt, Germany.]

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“Heart of Darkness: Public-Private Interactions Inside the R&D Black Box” (2000), with Paul A. David. **Research Policy** 29: 1165-1183.

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## SHORTER PAPERS AND COMMENTS

“Suzanne Scotchmer: A Bibliographic Study” (2017), in S. M. Maurer (ed.), **On the Shoulders of Giants**, Cambridge University Press, 350-357.

“Do patent thickets have real effects,” with Georg von Graevenitz and Christian Helmers (2013), **CCP Research Bulletin** 25: 11-13.

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“Patents” (2008), entry for L. Blume and S. Durlauf (eds.), **New Palgrave Dictionary of Economics**, 2<sup>nd</sup> edition. Palgrave Macmillan.

“Comment on Fraumeni and Okubo: R&D in the National Income and Product Accounts” (2005), in Corrado, Haltiwanger, and Sichel (eds.), **Measuring Capital in the New Economy**, Chicago: CRIW conference volume, University of Chicago Press.

“The Global Nature of IP Protection: Discussion” (2006), in **Intellectual Property and Innovation in the Knowledge-Based Economy**, Toronto: Industry Canada, digitally published at <http://strategis.ic.gc.ca/epic/internet/inippd-dppi.nsf/en/ip01236e.html> [Presentation to the Industry Canada Conference on Intellectual Property, Toronto, Canada, May 23-24, 2001].

“Models of Research Funding: Discussion” (2003), in A. Guena, A. Salter, and W. E. Steinmueller (eds.), **Science and Innovation: Rethinking the Rationales for Funding and Governance**. Edward Elgar.

“University-Industry Research Partnerships and Intellectual Property – A View from the United States” (2001), in Granstrand, Ove (ed.), **IPR Aspects of Internet Collaborations**, European Commission (DG Research) Workshop Report (March).

“Investment and Taxation in Germany - Evidence from Firm-Level Panel Data by Harhoff and Ramb: Discussion” (2001), in Herrman, Heinz, and Rolf Strauch (eds.), **Investing Today for the World of Tomorrow**, Springer Verlag.

“Tax Policy and Investment Incentives, by Kevin Hassett and Glenn Hubbard: Comment” (1996), in Auerbach, Alan (ed.), **Fiscal Policy: Lessons from Economic Research**, Cambridge, Mass.: MIT Press.

“Valuing Intangible Assets” (1997). Nuffield College, Oxford University: photocopied.

“Incremental Tax Credits for R&D: The United States Experience” (1005), presentation to the Save British Science meeting on measures to encourage innovation in industry, Milton Hill, Abingdon, UK, June 3.

“Fiscal Policy Towards R&D in the United States: Recent Experience” (1995), presentation to the OECD meeting on Fiscal Measures to Promote R&D, Paris, France, January 19.

“On the Sensitivity of R&D to Delicate Tax Changes: The Behavior of U.S. Multinationals in the 1980s, by James R. Hines, Jr.: Comment” (1995), in Slemrod, Giovannini, and Hubbard (eds.), **International Aspects of Taxation**, NBER Conference Volume, University of Chicago Press, Chicago, Ill.

“Empirical Analysis of the Size Distribution of Farms: Discussion” (1987), **American Journal of Agricultural Economics**, May.

#### **BOOKS and SPECIAL JOURNAL ISSUES edited**

“Financing constraints, R&D investments and innovative performances: new empirical evidence at the firm level for Europe” (2016), with Pietro Moncada-Paterno-Castello, Sandro Montresor, and Antonio Vezzani, **Economics of Innovation and New Technology** 25 (3).

**Intellectual Property for Economic Development: Issues and Policy Implications**, (2013), with Sanghoon Ahn and Keun Lee, Korean Development Institute. Cheltenham: Edward Elgar.

“Empirical studies of employment and performance of scientists and engineers” (July 2010), with Andries de Grip and Wendy Smits, **Economics of Innovation and New Technology** 19 (5).

**Handbook of the Economics of Innovation** (2010), with Nathan Rosenberg, Elsevier.

“Property and the Pursuit of Knowledge: IPR issues affecting scientific research” (2006), with Paul A. David, **Research Policy** 35 (6).

“Empirical studies of innovation in the knowledge driven economy: An introduction” (2006), with Jacques Mairesse. **Economics of Innovation and New Technology** 15(4/5). [NBER Working Paper No. w12320; UNU-MERIT Working Paper No. 2006-028]

**New Frontiers in the Economics of Innovation and New Technology: Essays in Honot of Paul A. David** (2005), with C. Antonelli, D. Foray, and W. E. Steinmueller. Cheltenham, UK: Edward Elgar Publishing Limited.

“Technology Policy: The Assessment” (2002), **Oxford Review of Economic Policy** 18 (1).

“Économie et Économétrie de l'Innovation: Avant-propos” (en français) and “Overview” (in English) (1998), with David Encaoua, François Laisney, and Jacques Mairesse, **Annales d'Économie et de Statistique** 49/50 (Janvier-Juin): 1-50.

“The Effects of Technology and Innovation on Firm Performance, Employment, and Wages: Introduction” (1998), with Francis Kramarz. Introduction to a special volume of **Economics of Innovation and New Technology**, Volume 5 (2/4).

#### **UNPUBLISHED WORKING PAPERS**

“Tax Policy and Innovation.” (2019). NBER Working Paper No. 25773.

“Should there be lower taxes on patent income?” (2018), with Fabian Gaessler and Dietmar Harhoff. MPI Munich. NBER Working Paper No. 24843. Max Planck Institute for Innovation and Competition Research Paper No. 18-18.

“Assessing the Effectiveness of the Eco-Patent Commons: A Post-mortem Analysis (2018), with Jorge Contreras and Christian Helmets. Waterloo, Canada: CIGI Working Paper No. 161. Max Planck Institute for Innovation & Competition Research Paper No. 19-02. NBER Working Paper No. 25271.

“IP use in middle income countries: The case of Chile (2018), with Carsten Fink and Christian Helmets. WIPO, Geneva. NBER Working Paper No. 24348. WIPO Economic Research Paper No. 43.

“Technology Entry in the Presence of Patent Thickets,” with Christian Helmets, and Georg von Graevenitz (July 2015). NBER Working Paper No. 21455 (August 2015, revised January 2017). Queen Mary University of London CGR Working Paper No. 60.

“The market value of patents and R&D: Evidence from European firms,” with Grid Thoma and Salvatore Torrisi, UC Berkeley and University of Maastricht, University of Camerino, University of Bologna, and CESPRI, October 2006, NBER Working Paper No. 13426 (September 2007), revised 2010.

“The Use and Value of Patent Rights,” in UK IPO (eds.), *The Economic Value of Intellectual Property: An Agenda for Policy-Relevant Research*,” Report of a forum hosted by David Lammy, Minister of State for Intellectual Property, June 2009.

“Do R&D Tax Credits Increase Innovation? Panel Evidence from US Firms,” with Nicholas Bloom (Stanford University), Chiara Criscuolo (LSE), and John Van Reenen (LSE),” first draft, April 2008, for presentation at the International Conference on Knowledge for Growth, Toulouse, July 7-9, 2008.

“Which firms participate in open source software development? A study using data from Debian,” with Rishab Ghosh and Kirsten Haaland, UNU-MERIT, The Netherlands, May 2008, presented at the DIME-DRUID Fundamental on Open and Proprietary Innovation Regimes, Copenhagen, June 2008.

“An Empirical Analysis of Patent Litigation in the Semiconductor Industry ,” with Rosemarie Ham Ziedonis, paper presented at the ASSA meetings, Chicago, IL, 4-7 January 2007, and the EPIP Annual Conference, Lund, Sweden, September 2008.

“Innovation in Non-bank Payment Systems,” (2007). [Paper presented at the Federal Reserve Bank of Kansas City 2007 Payments Conference, Santa Fe, New Mexico, May 2-4, 2007].

“Comparing the Market Valuation of Innovative Assets in U.S. and German Firms,” with Dirk Czarnitzki, paper presented at the International Industrial Organization Conference, Chicago, April 23-24, 2004 and the Applied Econometrics Association Conference, Singapore, July 2004. *under revision*

“Incentives for Knowledge Production with Many Producers,” paper presented at the European Commission/NSF/OECD Conference on Networks of Knowledge: Research and Policy for the Knowledge-Based Economy, Brussels, June 7/8, 2004.

“A Note on Measurement Error and Proxy Variables,” May 2004.

“Business Method Patents, Innovation, and Policy,” paper prepared for the Financial Markets Conference of the Atlanta Federal Reserve Bank, Sea Island, Georgia, April 3-5, 2003. NBER Working Paper No. W 9717. UC Berkeley Department of Economics Working Paper No. E03-331 and Competition Policy Center Working Paper No. CPC03-039.

“Universities as Partners in ATP-Funded Research Projects,” with Albert N. Link and John T. Scott. Report to the Advanced Technology Program. UC Berkeley, Oxford University, University of North Carolina, and Dartmouth College. (Final version 2002; Preliminary version April 1998).

“Intellectual Property Strategy in the Global Cosmetics Industry,” with Dietmar Harhoff. 2002. Ludwig-Maximilians-Universitaet Muenchen and UC Berkeley.

“Redefining the Takeover Target: An Empirical Investigation Using Duration Models,” with Constance Phelizon. UC Berkeley and Université Paris I: Photocopied.

“Mergers and R&D Revisited.” Paper prepared for an NBER Conference on Mergers and Productivity, Key Largo, Florida, January 1997; revised for a Eurofin Conference on Restructuring in Science-Based Industries, Milano, Italy, May 1999 and the UC Berkeley/NSF Symposium on Quasi-experimental Methods in Economics, August 1999.

“Differences in Reported R&D Data on the NSF/Census RD-1 Form and the SEC 10-K Form: A Micro-Data Investigation,” with William F. Long. NBER, UC Berkeley, Oxford University, and BPRA. Photocopied (October 1997, revised October 1999).

“Market Value, Market Share, and Innovation,” with Katrin Vopel. NBER, the University of California at Berkeley, and the University of Mannheim. Photocopied (May 1996, revised May 1997).

“The Role of Working Capital in the Investment Process,” with Hugo Kruiniker. NBER, the University of

California at Berkeley, and the Rijksuniversiteit Limburg; Photocopied (December 1995).

“Firm-Level Investment with Liquidity Constraints: What Can the Euler Equations Tell Us?” NBER and the University of California at Berkeley (April 1991).

“Investment and Research and Development at the Firm Level: Does the Source of Financing Matter?” Paper presented at the International Conference on Quantitative Economics and Its Applications to Chinese Economic Development and Reform in the 1990s, Beijing, People's Republic of China, June 24-28, 1990 (published in Chinese), and at the North American Winter Meetings of the Econometric Society, Washington D.C., December 28-30, 1990. IBER Working Paper No. 92-194 (May 1992). NBER Working Paper No. 4096 (June 1992).

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“Estimation of the Probability of Acquisition in an Equilibrium Setting.” Berkeley, CA: IBER Working Paper No. 8887 (August 1988). Revised January 1991.

“A Descriptive Analysis of the Growth and Fluctuations of French Manufacturing Firms.” NBER and ENSAE/INSEE, (June 1987).

## **TECHNICAL REPORTS**

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**The importance of patents and other formal intellectual property in comparison to informal protection methods**, with Christian Helmers, Mark Rogers, and Vania Sena (2011). Report to the UK Intellectual Property Office.

**Government Policy for Innovation in Latin America**, a Report to the World Bank, May 2005.

**The California R&D Tax Credit: Description, History, and Economic Analysis**, with Marta Wosinska. UC Berkeley: Report to the California Council on Science and Technology, June 1999.

**Effectiveness of Research and Experimentation Tax Credits: Critical Literature Review and Research Design**, Report written for the Office of Technology Assessment, U.S. Congress, Washington, DC, June 1995.

## DATA, DATA DOCUMENTATION, AND COMPUTATIONAL PUBLICATIONS

“Methods and software for the harmonization and integration of datasets: A test based on IP-related data and accounting databases with a large panel of companies at the worldwide level,” 2010, with G. Thoma, S. Torrisi, A. Gambardella, D. Guellec, and D. Harhoff. Paris, France: NBER Working Paper No. 15851. OECD/DSTI Working Paper DSTI/DOC(2010)99, available at [www.oecd.org/sti/working-papers](http://www.oecd.org/sti/working-papers) [paper presented at the EPO/OECD Conference on Patent Statistics for Policy Decision Making, Vienna, Austria, 3-4 September, 2008.]

**TSP 5.1 User's Manual**, Palo Alto, 2009 (and prior editions from Version 3.0, 1981).

**TSP 5.1 Reference Manual**, Palo Alto, 2009 (and prior editions from Version 3.0, 1981).

“The NBER Patent Citations Data File: Lessons, Insights and Methodological Tools,” with Adam Jaffe and Manuel Trajtenberg. In A. Jaffe and M. Trajtenberg (eds), **Patents, Citations and Innovations**, Cambridge, MA: The MIT Press, 2002. [NBER Working Paper No. 8498 (October 2001). CEPR Discussion Paper No. 3094 (December 2001).]

<http://www.nber.org/patents>

**TSP Handbook** to accompany Pindyck and Rubinfeld, *Econometric Models and Economic Forecasts*, Irwin-McGraw-Hill, 1997 (with Sergio L. Schmukler).

“The Manufacturing Sector Master File: 1959-1987.” NBER Working Paper No. 3366 (1990).

<http://www.nber.org/ftp/bhhall>

“The R&D Master File: Documentation,” with C. Cummins, E. S. Laderman, and J. Mundy. August 1982; revised 1983, 1984, 1985, 1988. NBER Technical Working Paper No. 72 (December 1988).

“Software for Computation of Tobit Model Estimates.” **Journal of Econometrics** 24 (1984): 215-22.

“Historical R&D Panel: 1957-1977 Public Use Correlation Matrices.” Computer tape documentation, September 1984.

“Census R&D Data Match Project: A Progress Report,” with Zvi Griliches. Paper presented at the Workshop on the Development and Use of Longitudinal Establishment Data, Bureau of the Census, Washington, D.C., January 14-15, 1982.

“A General Framework for the Time Series-Cross Section Estimation.” Paper presented at the INSEE-CNRS Conference on the Economics of Panel Data, Paris, France, August 1977. **Annales de l'INSEE** 30-31, Avril-Sept.1978.

“The Canadian Industrial Organization Data Base.” Cambridge, Mass.: Harvard Institute of Economic Research Technical Paper No. 15 (October 1977), (with Richard E. Caves).

## FELLOWSHIPS, HONORS, AND VISITING POSITIONS

National Associate of the National Research Council, 2016-present.

Università Luigi Bocconi, Milano, Italy, Spring 2012.

Center for Advanced Studies, Norwegian Academy of Science, Oslo, Norway, Spring 2008.

Visiting Professor, Hitotsubashi University, Tokyo, Japan, Winter 2008.

Senior Visiting Fellow, Institute of Advanced Studies, Università di Bologna, Italy, Spring 2007.

Visiting Researcher, Ente “Luigi Einaudi”, Bank of Italy, Rome, Spring 2006.

Visiting Professor, Ludwig-Maximilians University of Munich, Germany, December 2005.

Visiting Professor, Katholieke Universitat Leuven, Belgium, September 2005.

Fulbright Distinguished Visiting Professor, EUI, Florence, Winter 2004.  
 Deloitte Distinguished Visitor, Judge Institute of Management, Cambridge, UK, 2004.  
 Visiting Fellow, Sidney Sussex College, Cambridge, UK, 2004.  
 Visiting Professor of Economics, Scuola Sant'anna Superiore, Pisa, June 2003.  
 TIM Visiting Professor of Economics, Scuola Sant'anna Superiore, Pisa, June 2002.  
 Omnitel Professor of Economics, Scuola Sant'anna Superiore, Pisa, June 2001.  
 Visiting Research Professor, Wissenschaftszentrum Berlin, May 2000.  
 Resident, Bellagio Study and Conference Center of the Rockefeller Foundation, April 1998.  
 Temporary Professor of Economics and Fellow of Nuffield College, Oxford University, 1996-2001.  
 Visiting Professor, New Economics School, Moscow, March-April 1996.  
 Economics Visitor, Nuffield College, Oxford University, Spring Term 1995; May 1996.  
 Visiting Researcher, CREST/INSEE, Paris, April-June 1987; January-July 1991; January-March 1995; June 1996.  
 Invited lecturer on Panel Data Econometrics, Complutense University, Madrid, March 1993.  
 Invited visitor, MERIT, University of Limburg, Maastricht, The Netherlands, October 1992.  
 Hoover Institution National Fellow, 1992-1993.  
 Alfred P. Sloan Dissertation Fellowship, 1985-1986.  
 Full Member, Sigma Xi Society, 1966-present.  
 Who's Who in Economics, 1995-present.  
 Who's Who, 1997-present.

## PROFESSIONAL SERVICE

Member, Conference on Income and Wealth, 1988-  
 Series Editor, *Practical Econometrics*, Oxford University Press  
 Associate Editor, *Industrial and Corporate Change*, 2008-  
 Associate Editor, *Economics of Innovation and New Technology*, 1994-  
  
 Panel member, European Research Council Advanced Grant evaluation panel, 2014/2016/2018  
 International Advisory Panel, Te Punaha Matatini Centre of Research Excellence, New Zealand, 2014-2017  
 International Advisory Board, Solvay School of Economics and Management, Univ Libre de Bruxelles, 2014-2017  
 Advisory Board member, National Institute of Social and Economic Research, London UK, 2014-2016  
 Panel member, Science of Research, Innovation and Enterprise programme, Singapore National Science Foundation, 2014-2015  
 Scientific Advisory Board, DIW (German Institute of Economic Research), Berlin, 2010-2015  
 Economic and Scientific Advisory Board, European Patent Office, 2012-2015  
 Panel Member, European Research Council Consolidator Grant evaluation panel, 2012-2013  
 Scientific Advisory Committee, SIMPATIC research network, EU 7<sup>th</sup> Framework program, 2012-2014  
 Committee to Assess the Value of Research in Advancing National Goals, National Research Council, US National Academies, 2012-2014  
 Board of Management, International Schumpeter Society, 2010-2014  
 Scientific Council, Solvay School of Economics and Management, Univ Libre de Bruxelles, 2009-2014  
 Consultant, WIPO, Geneva, 2009; 2011-2013  
 Advisory Board member, Innovation Research Centre, Imperial College, University of London, and University of Cambridge, 2009-2013  
 International Scientific Board, SEEK, ZEW, Mannheim, Germany, 2010-2013  
 Founding board member, European Policy for Intellectual Property Association, 2005-2012  
 High Level Panel on Innovation Indicators, DG Research, European Commission, Brussels, 2010-2011  
 Research Advisory Council, Deutsche Bundesbank, 2005-2011  
 STEP Board Committee on Comparative Innovation Policy, 2005-2011  
 Co-Chair, STEP/COSEPUP Committee on Measuring the Impacts of Federal Investments in R&D, National Research Council, 2010-2011  
 Review panel member, ESRC, UK, 2008

Expert Panel on Business Innovation, Council of Canadian Academies, 2007-2009  
 Expert Group, “Knowledge for Growth”, European Commission, 2007-2009  
 Advisory Board, BCLT Kauffman Project on Patent Reform and Entrepreneurship, 2006-2010.  
 Reviewer, various National Research Council volumes  
 Federal Economic Statistics Advisory Committee (FESAC), Washington, DC, 2005-2011  
 International Advisory Board, New Economics School, Moscow, 1997-2007  
 Science, Technology, and Economic Policy Board, National Research Council, 1999-2005  
 STEP Board Committee on Measuring and Sustaining the New Economy, 2003-2006  
 Chair, STEP Board Committee on R&D Statistics, 2002-2004  
 NRC CNSTAT Committee on R&D Statistics, 2002-2004  
 STEP Board Committee on Intellectual Property, 2000-2004  
 Board of CSWEP, American Economic Association 1998-2001.  
 Advisory Board, HeroArts, Emeryville, Calif., a privately held crafts company  
 Board member, California Census Research Data Center (CCRDC) at Berkeley  
 Nominating Committee of the Royal Economic Society, UK, 1997-1999.  
 Census Advisory Committee of the American Economic Association, 1990-1995.  
 Nominating Committee of the American Economic Association, 1994-1996.  
 Executive Committee, CAED (Comparative Analysis of Enterprise Data), 2005-2007.  
 Scientific Committee, LEM, Scuola Sant’anna Superiore, Pisa, 2003-2005.  
 Committee scientifique, Les Enjeux Economiques de l’Innovation, CNRS, Paris, France, 1997-2002.  
 NRC Committee to Assess the Portfolio of the Science Resources Studies Division of NSF, 1998-1999.  
 Scientific Committee, European Network on Financing and Innovation, 1997-2000.  
 Steering Group on Industrial Research and Innovation Indicators, National Research Council, 1997.  
 NRC Steering Committee for a Workshop on Industrial Science and Technology Indicators, 1995-1996.  
 Steering Committee, European Productivity and Innovation Network, 1994-1999.  
 Advisory Committee to the Panel Study of Entrepreneurial Dynamics, Institute for Social Research,  
 University of Michigan, 1993-1996.  
 Advisory Committee of Economists to the Inter-University Consortium for Political and Social Research,  
 1990-1991.  
 Data Base Review Committee of the Small Business Administration, 1984-1985.

Testimony before the FTC Hearings on the Evolving IP Marketplace, Haas School of Business, UC Berkeley,  
 May 4, 2009.  
 Testimony before the FTC/DOJ (Antitrust) hearings on Intellectual Property, Competition, and Innovation,  
 Haas School of Business, UC Berkeley, February 2002.  
 Testimony before the House Subcommittee on Science, Space, and Technology of the Committee on  
 Technology, etc., Washington, D.C., July 1989.

Advisory Editor, *Research Policy*, 2006-2012  
 Associate Editor, *Journal of Economic Behavior and Organization*, 2001-2007  
 Member, Advisory Board, *International Finance*, 1997-2005  
 Member, Editorial Board, *Economics of Innovation and New Technology*, 1989-1994

Referee for *American Economic Review*, *Berkeley Economics Journals*, *Canadian Journal of Agricultural Economics*,  
*Economic Inquiry*, *Economic Journal*, *Economics of Innovation and New Technology*, *European Economic Review*, *Financial  
 Management*, *Industrial and Corporate Change*, *International Journal of Electronic Business*, *Journal of Business*, *Journal of  
 Development Economics*, *Journal of Econometrics*, *Journal of Economic History*, *Journal of Economics and Management  
 Strategy*, *Journal of the European Economic Association*, *Journal of Financial Economics*, *Journal of Industrial Economics*,  
*Journal of Labor Economics*, *Journal of Law and Economics*, *Journal of Law, Economics, and Organization*, *Journal of Policy  
 Analysis and Management*, *Journal of Political Economy*, *Journal of Productivity Analysis*, *Journal of Public Economics*,  
*Management and Development Economics*, *Management Science*, MIT Press, *National Tax Journal*, *Oxford Bulletin of  
 Economics and Statistics*, *Oxford Economic Papers*, *Quarterly Journal of Economics*, *Princeton University Press*, *Rand Journal  
 of Economics*, *Research Policy*, *Review of Economics and Statistics*, *Review of Economic Studies*, *Review of Finance*, *Science and*



*Public Policy, Scottish Journal of Political Economy, Structural Change and Economic Dynamics.*

## **CONFERENCE ORGANIZATION**

Scientific Committee, Concord 2019 Conference on Corporate R&D, ITPS, European Commission, Seville, Spain, September 2019

Scientific Committee, Patent Statistics for Decision Makers Conference, Alicante, Spain, October 2018

Scientific Committee and Rapporteur, Concord 2018 Conference on Corporate R&D, ITPS, European Commission, Seville, Spain, September 2018

Scientific Committee and Rapporteur, Concord 2017 Conference on Corporate R&D, ITPS, European Commission, Seville, Spain, September 2017

Scientific Committee, Patent Statistics for Decision Makers Conference, Tokyo, November 2015

Scientific Committee, Patent Statistics for Decision Makers Conference, Rio de Janeiro, November 2013

Scientific Committee, 7th Conference on Micro Evidence on Innovation and Development (MEIDE), Santiago de Chile, November 6-8, 2013

Scientific Committee and Rapporteur, Concord 2013 Conference on Corporate R&D, ITPS, European Commission, Seville, Spain, September 2013

European Policy for Intellectual Property (EPIP) Annual Conference, Leuven, Belgium, September 2012

Rapporteur, Concord 2011 Conference on Corporate R&D, ITPS, European Commission, Seville, Spain, October 2011

Scientific Committee, Patent Statistics for Decision Makers Conference, USPTO, Washington, DC, 16-17 November 2011

Scientific Committee, 4th ZEW Conference on Economics of Innovation and Patenting & Finale Conference COST Network STRIKE, Mannheim, Germany, May 2011.

European Policy for Intellectual Property (EPIP) Annual Conference, Maastricht, Netherlands, September 2010

Scientific Committee, Knowledge for Growth/Pour une croissance intensive en connaissance, Toulouse, France, 7-9 July 2008

Scientific Committee, AEA Conference on Economic Insights into the Patent System, RIETI, Tokyo, Japan, December 2008

NIESR/ROA Conference on the Labor Market for Scientists and Engineers, Maastricht, Netherlands, May 2008

European Policy for Intellectual Property (EPIP) Workshop, Pisa, Italy, April 2004

Conference on Intellectual Property Economics, History, and Policy, Berkeley, California, September 2001

Coordinator with J. Mairesse, CREST-NBER Franco-American Seminar, shared organization of the Conference on Technological policy and innovation: Economic and historical perspectives, Paris, November 2000

R&D and Technology Conference, Urbino, Italy, 1998

Scientific Committee, The Economics and Econometrics of Innovation, 10<sup>th</sup> Intl ADRES Conference, Strasbourg, France, June 1996

## **RESEARCH GRANTS**

National Science Foundation, Grant #SES 8908521, 1989-1991.

National Science Foundation, Grant #SES 9022686, 1991-1993.

National Science Foundation, Grant #INT 9217489, 1993-1996 (with Zvi Griliches, intl. travel only).

National Science Foundation, Grant #SBR 9415252, 1994-1997 (with William F. Long).

National Science Foundation, Grant #SBR 9320973, 1994-1998 (with Adam Jaffe and Manuel Trajtenberg).

National Science Foundation, Grant #SBR 9510269, 1995-1996 (doctoral dissertation grant to Adela Luque).

National Science Foundation, Grant #INT 97....., 1998-2001 (with Zvi Griliches, intl. travel only)

National Institute of Science and Technology, ATP Program, 1997-1999 (with Albert Link and John Scott).

National Science Foundation, Grant #INT 00....., 2000-2004 (with Paul David, intl. Travel only)

STEP Board, National Academies of Science and Engineering, 2000-2002 (with David Mowery and Dietmar Harhoff).

Ewing Marion Kauffman Foundation, 2005-2006, graduate student support.  
 National Science Foundation, Grant #SES-0527657 “Harnessing Patent Data for Social Science Research,”  
 2005-2007 (with Iain Cockburn, Boston U., Walter Powell, Stanford U., and Manuel Trajtenberg, Tel  
 Aviv U.).  
 Ewing Marion Kauffman Foundation, 2008, patent data project.

## **TEACHING EXPERIENCE**

Econometrics  
 Applied econometrics  
 Applied industrial organization  
 Economics of innovation  
*all at both the graduate and undergraduate levels*

## **GRADUATE STUDENTS SUPERVISED**

### **First reader (UC Berkeley Economics):**

Michael St. John, 1989  
 Daniel Ryan, 1992  
 Sharman Haley, 1993  
 David Austin, 1993  
 My Caohuy, May 1996  
 Haru Connolly, August 1997  
 Rika Mortimer, April 1998  
 Suzanne Majewski, September 1998  
 Adela Luque, May 1999  
 Alan Marco, August 2000  
 Megan Macgarvie, August 2003  
 Jesse Giummo, August 2003  
 Beethika Khan, May 2004  
 Galen Hancock, August 2013

### **Second or third reader (UC Berkeley):**

Kate Rockett, Economics, 1988  
 Aslan Cohen, Economics, 1989  
 Armando Pinheiro, Economics, 1989  
 Hua Cheng Chang, Engineering and Electrical Computing Systems, 1989  
 David Parsley, Economics, 1989  
 Melanie Mauldin, Economics, 1990  
 Richard Howarth, Energy & Resource Economics, 1990  
 Achia Rosen, Economics, 1990  
 Barney Cohen, Economics, 1990  
 Freddie Balfour, Economics, 1991  
 James Angel, Haas School of Business, 1991  
 Lenny Sofer, Haas School of Business, 1991  
 Robert Uhlaner, Economics, 1992  
 Seung-Hee Choi, Economics, July 1994  
 Brian Silverman, Haas School of Business, June 1995  
 Joanne Oxley, Haas School of Business, July 1995  
 Peter Klein, Economics, September 1995  
 Thomas Starrs, Energy & Resource Economics, December 1996  
 Renato da Fonseca, Economics, May 1996  
 John Wald, Economics, May 1996  
 Hank Chesbrough, Haas School of Business, May 1997

Melissa Appleyard, Economics, May 1997  
 Marilyn Garcia, Economics, August 1997  
 Janet Berkowitz, Haas School of Business, December 1999  
 Rosemarie Ham Ziedonis, Haas School of Business, December 2000  
 Arvids Ziedonis, Haas School of Business, April 2001  
     Best dissertation in technology management 2001-2002, INFORMS (Institute for Operations Research and the Management Sciences).  
 Chris Boerner, Haas School of Business, July 2001  
 Steven Puller, Economics, August 2001  
 Jennifer Kuan, Haas School of Business, August 2001  
 Jeffrey Macher, Haas School of Business, September 2001  
 Deepak Somaya, Haas School of Business, April 2002  
     Best Dissertation Award at the Academy of Management, 2002.  
 Gregory Graff, Agricultural and Resource Economics, August 2002  
 Carlo Cafiero, Agricultural and Resource Economics, August 2002  
 Petra Moser, Economics, October 2002  
     Gerschenkron Prize for best dissertation in economic history, Economic History Association, 2002.  
 Patrick Moreton, Haas School of Business, December 2002  
 Anna Gueorguieva, Agricultural and Resource Economics, June 2003  
 Robert Lowe, Haas School of Business, 2003  
 Stuart Graham, Haas School of Business, 2004  
 Olga Khessina, Haas School of Business, 2004  
 Tim Simcoe, Haas School of Business, 2004  
 Daniel Snow, Haas School of Business, 2004  
 Lamar Pierce, Haas School of Business, 2005  
 Kira Markiewicz Fabrizio, Haas School of Business, 2005  
 Ronnie Chatterji, Haas School of Business 2006  
 Sara Boettiger, ARE, 2006  
 Evan Rawley, Haas School of Business, 2007  
 Simon Wakeman, Haas School of Business, 2007  
 Ian Larkin, Haas School of Business, 2007  
     one of top 3 student papers, Business Policy & Strategy Division, Academy of Management 2006  
 Chieh-Yu Hsiao, Transportation Engineering, 2008  
 Deepak Hegde, Haas School of Business, 2010  
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