

**R U T C O R**  
**R E S E A R C H**  
**R E P O R T**

**A BIBLIOGRAPHY OF  
DATA ENVELOPMENT ANALYSIS**  
*(1978-2001)*

Gabriel Tavares<sup>a</sup>

RRR 01-02, JANUARY, 2002

RUTCOR  
Rutgers Center for  
Operations Research  
Rutgers University  
640 Bartholomew Road  
Piscataway, New Jersey  
08854-8003  
Telephone: 732-445-3804  
Telefax: 732-445-5472  
Email: [rrr@rutcor.rutgers.edu](mailto:rrr@rutcor.rutgers.edu)  
<http://rutcor.rutgers.edu/~rrr>

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<sup>a</sup> RUTCOR, Rutgers University, 640 Bartholomew Road,  
Piscataway, NJ 08854-8003, USA. Email: [gtavares@rutcor.rutgers.edu](mailto:gtavares@rutcor.rutgers.edu)

RUTCOR RESEARCH REPORT

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Gabriel Tavares<sup>ξ</sup>

**Abstract.** A bibliography (1978-2001) of Data Envelopment Analysis (DEA) is presented. Some statistical numbers concerning the evolution of DEA are given. An index for the authors' publications list and an index for the keywords publications list are included.

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# 1 Introduction

In 1996 I started to design a database system where I could manage my collection of Data Envelopment Analysis (DEA) publications. In 1998 I decide to use the World Wide Web technology to make a searchable web page for DEA publications. Since then and until the end of 2001, these pages and the DEA database were placed in an Internet server at Instituto Politécnico da Guarda in Portugal (<http://www.ipg.pt/dea>).

I would like to express many thanks to the Instituto Politécnico da Guarda for allowing me to have used its computer systems during the past 3 years. Also, I would like to thank the many contributions of several DEA researchers to this DEA database.

To have an idea of the current dimension of the DEA bibliography database, in figure 1 some statistics can be seen. In section 2 (p. 3), a more specific analysis to these numbers is given.

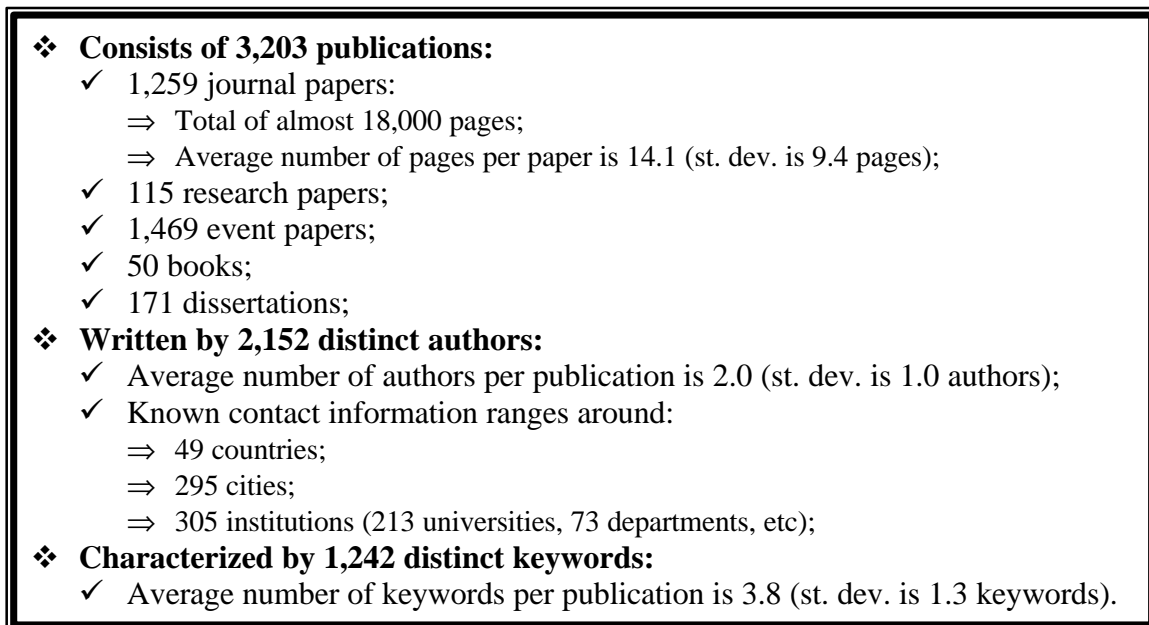


Figure 1: General statistics about the DEA bibliography database.

One interesting point is why I decided to put so much effort in the event papers. In the DEA database there are 35 papers published in journals that have been presented in conferences prior to their publication (with the exact same title). In average, these 35 papers were presented almost after 2 years. This number corroborates the fact that the state of the art of any field cannot ignore this type of work.

The majority of the event papers have been published in conference proceedings. The events with the most contributions to this document were:

- The INFORMS national and international meetings;
- The EURO annual meetings;
- The Operations Research Society annual meetings;
- The biannual North American Productivity Workshop and
- The biannual European Workshop on Efficiency and Productivity Analysis.

In this bibliography, there are 2,152 DEA authors. The list of DEA references of each one of these authors can be seen in section 4 (p. 135). In section 4, the known email addresses of the authors are also given. Further, the number of different types (i.e., journal paper, event paper, book, book chapter, dissertation, special journal and working paper) of publications is also distinguished for each author.

In this bibliography, there are 1,242 keywords. There are some publications that in fact do not have keywords, but there are many other publications that have keywords that are unknown. A little more than  $\frac{1}{4}$  of the DEA references have keywords. The list of DEA references where each particular keyword appears can be obtained in section 5 (p. 169).

To the best of my knowledge, the data was correctly introduced in the DEA database. However, due to its large dimensions, the information contained in the DEA database cannot be 100% accurate. Therefore, I apologize in advance for any inconvenience introduced by any imprecisions. If any errors are found, please email me the errors/corrections.

Also, I invite each DEA author to check his current list of DEA publications in this paper and to send me the new/updated list for a future revision/version of this document.

## 2 DEA publication statistics

Currently, the DEA database has registered 3,203 DEA references, 2,152 authors and 1,242 keywords. The DEA references are distributed as 7 publication types: event paper, journal paper, dissertation, book chapter, research paper, book and special journal editions related to DEA. In the following chart, the number of DEA references of each publication type can be seen:

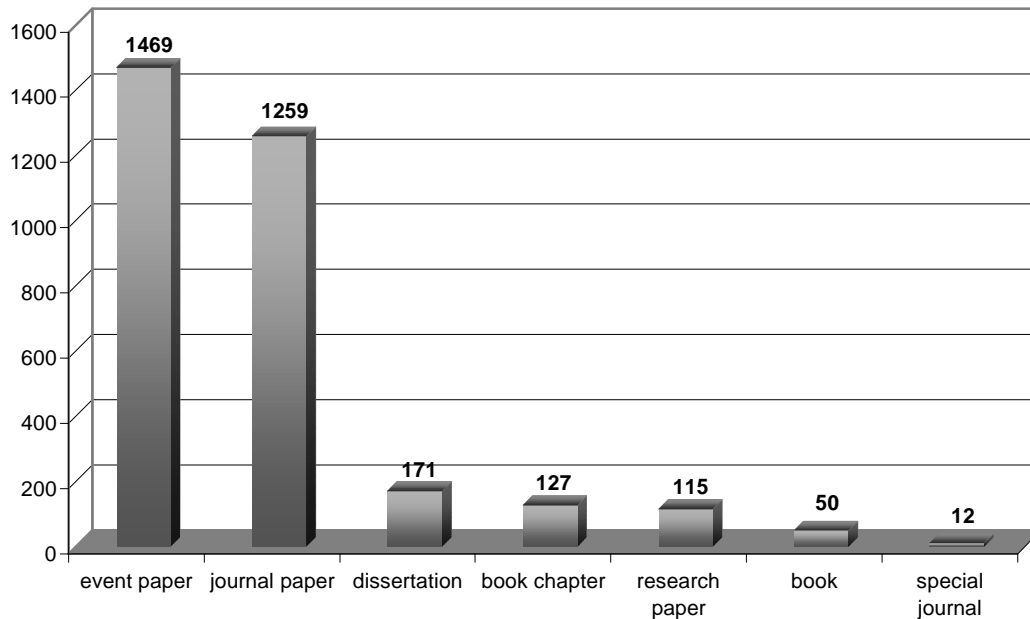


Figure 2: DEA publications number by type.

In figure 3, the number of DEA references in each year can be seen. In the corresponding chart, it can be seen that, between the seminal work of Charnes, Cooper and Rhodes in 1978 ([617], p. 38) and the year of 1997, there was an “exponential” growth in the number of publications. Between 1997 and 1999, the number of DEA publications stabilized around 410 references per year. However, we can see that in 2000 and 2001 this number decreased to about 330.

One possible explanation to this smaller rate in 2000 and 2001 could be the fact that there are more publications that are not part of the DEA database than in the previous years. However, it should be stressed that the same DEA sources were consulted as in the previous years.

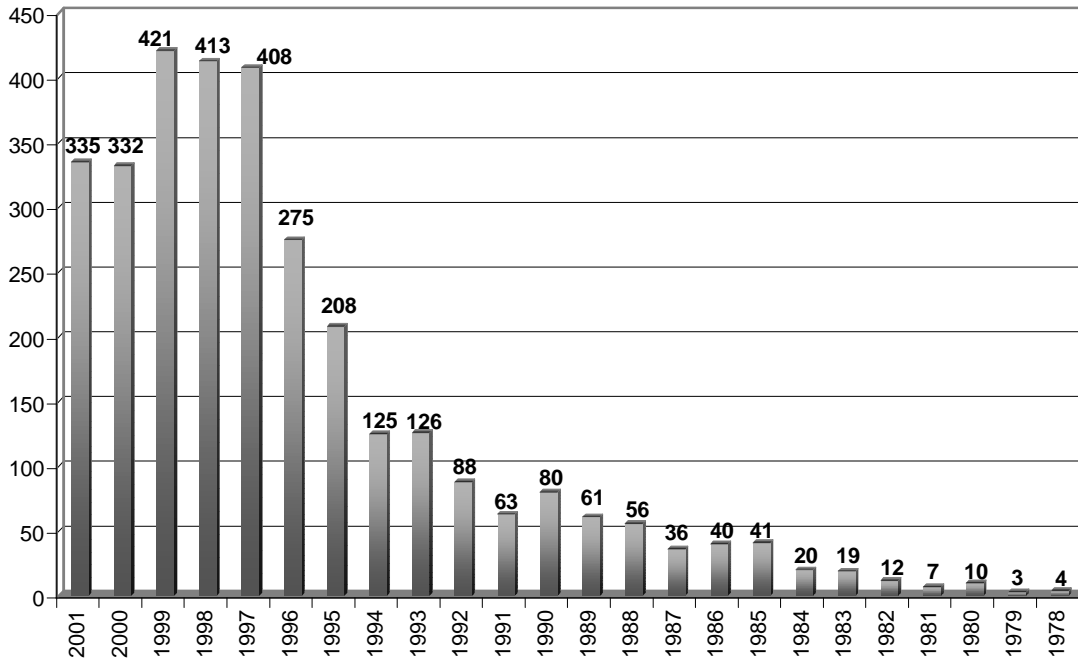


Figure 3: DEA publications number by year.

In the following table, the distribution of these references in the different types of publications can be seen:

Table 1: DEA publications number by year and type.

Year	book	book chapter	special journal	journal paper	dissertation	research paper	event paper	Total
2001	1	0	0	92	10	7	225	335
2000	2	1	1	95	29	7	197	332
1999	4	0	1	127	10	12	267	421
1998	2	3	1	112	15	15	265	413
1997	3	3	2	135	1	10	254	408
1996	3	2	3	133	0	16	118	275
1995	3	5	1	99	5	7	88	208
1994	3	27	0	52	5	8	30	125
1993	2	32	0	52	15	5	20	126
1992	5	9	0	62	10	2	0	88
1991	1	6	0	45	8	3	0	63
1990	0	2	1	57	13	5	2	80
1989	1	3	0	46	3	7	1	61
1988	4	12	0	29	7	3	1	56
1987	2	3	0	19	7	4	1	36
1986	1	4	0	24	10	1	0	40
1985	5	5	1	20	10	0	0	41
1984	2	3	0	12	2	1	0	20
1983	1	3	0	8	5	2	0	19
1982	0	0	0	11	1	0	0	12
1981	0	0	0	4	3	0	0	7
1980	1	1	0	7	1	0	0	10
1979	0	0	0	3	0	0	0	3
1978	0	0	0	3	1	0	0	4

## 2.1 Author statistics

In the DEA database, out of the total of 3,203 publications, in 3,184 (99.4%) of them the corresponding authors are known. A total of 6,365 authors (from which 2,152 are distinct) have been introduced in the DEA database. The average number of authors per publication is 2.0 (with a standard deviation of 1.0 author).

In figure 4, the (top 20) authors with the most references in the DEA database, can be seen:

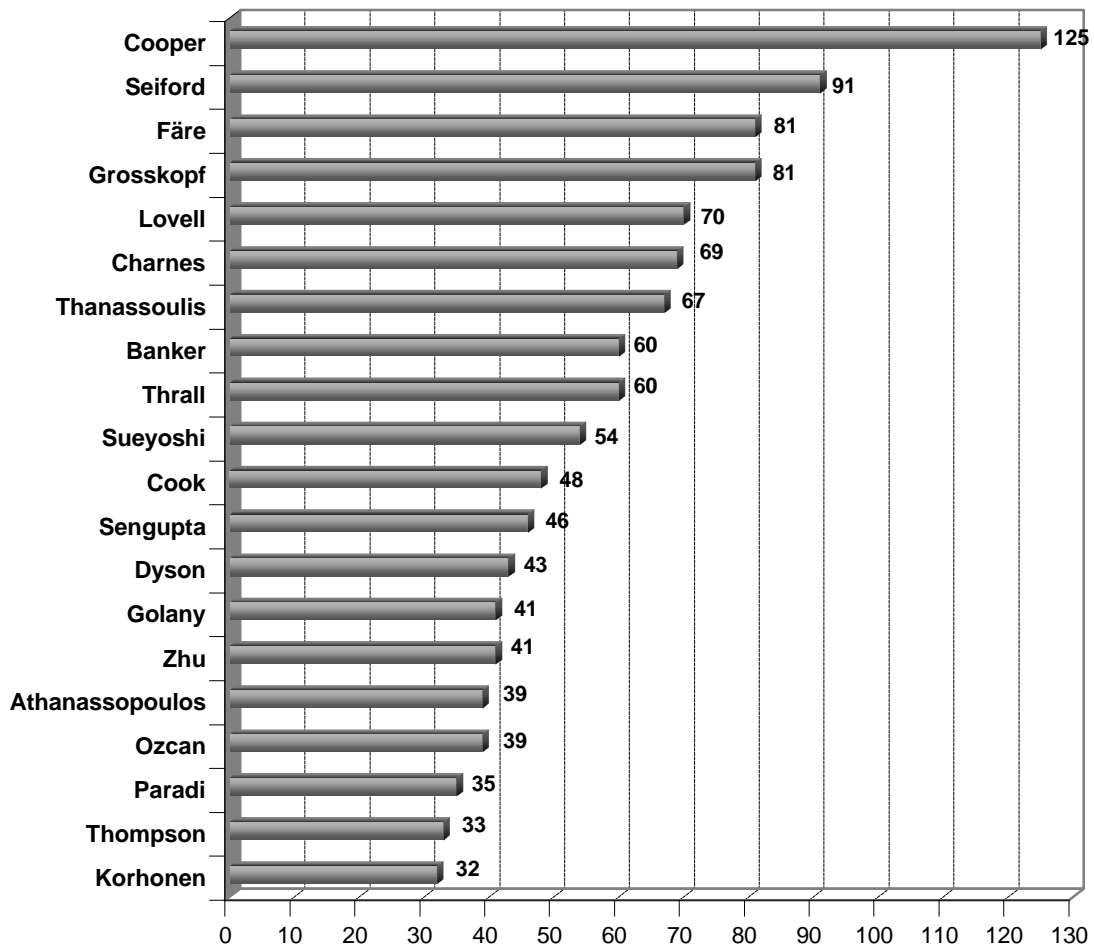


Figure 4: DEA publications number by author.

In figure 5, the (top 20) authors with the most references in the DEA database, but without taking into account the event papers, can be seen:

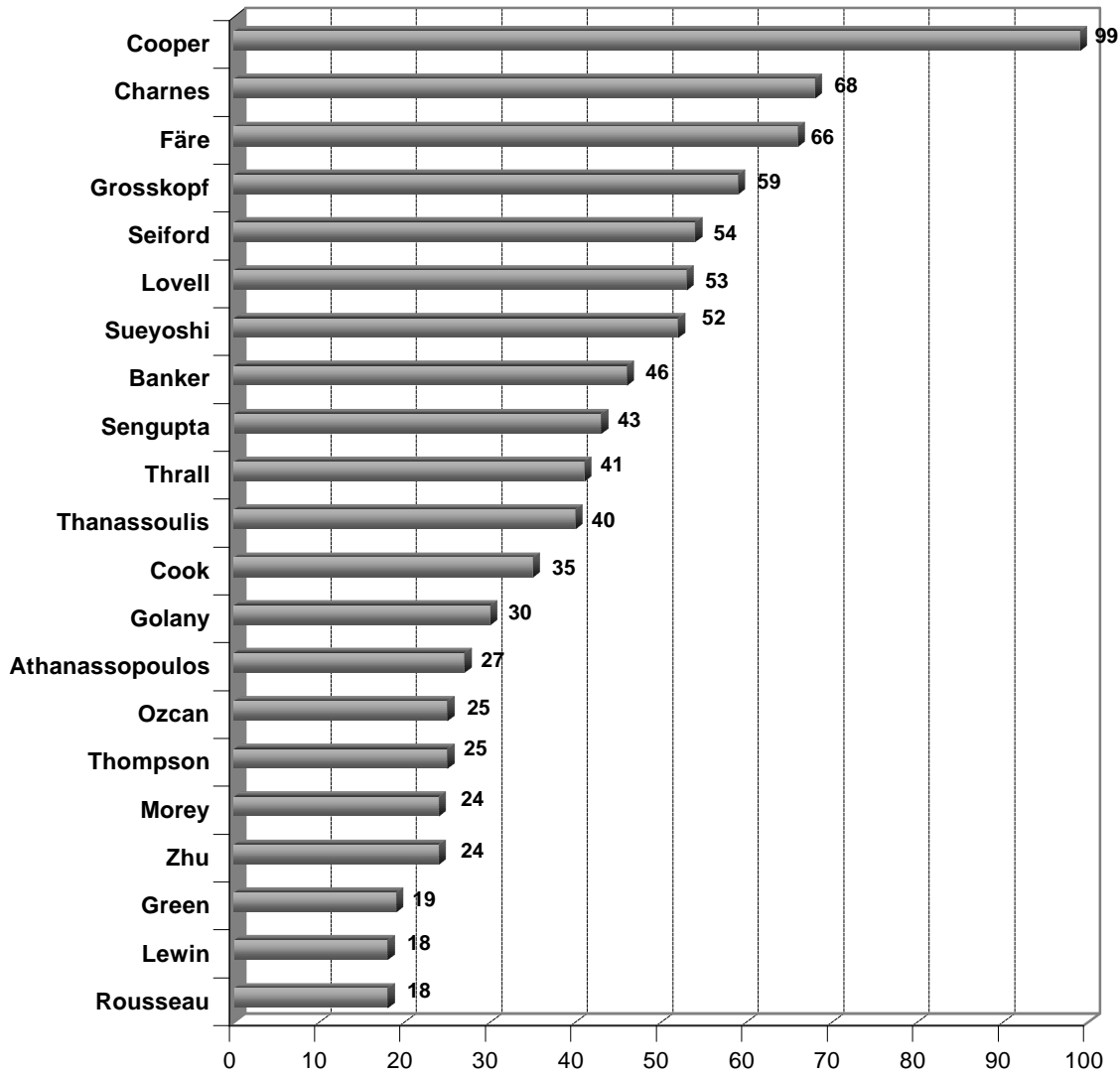


Figure 5: DEA publications number by author, without event papers.

In figure 6, the (top 20) authors with the most event papers in the DEA database can be seen:

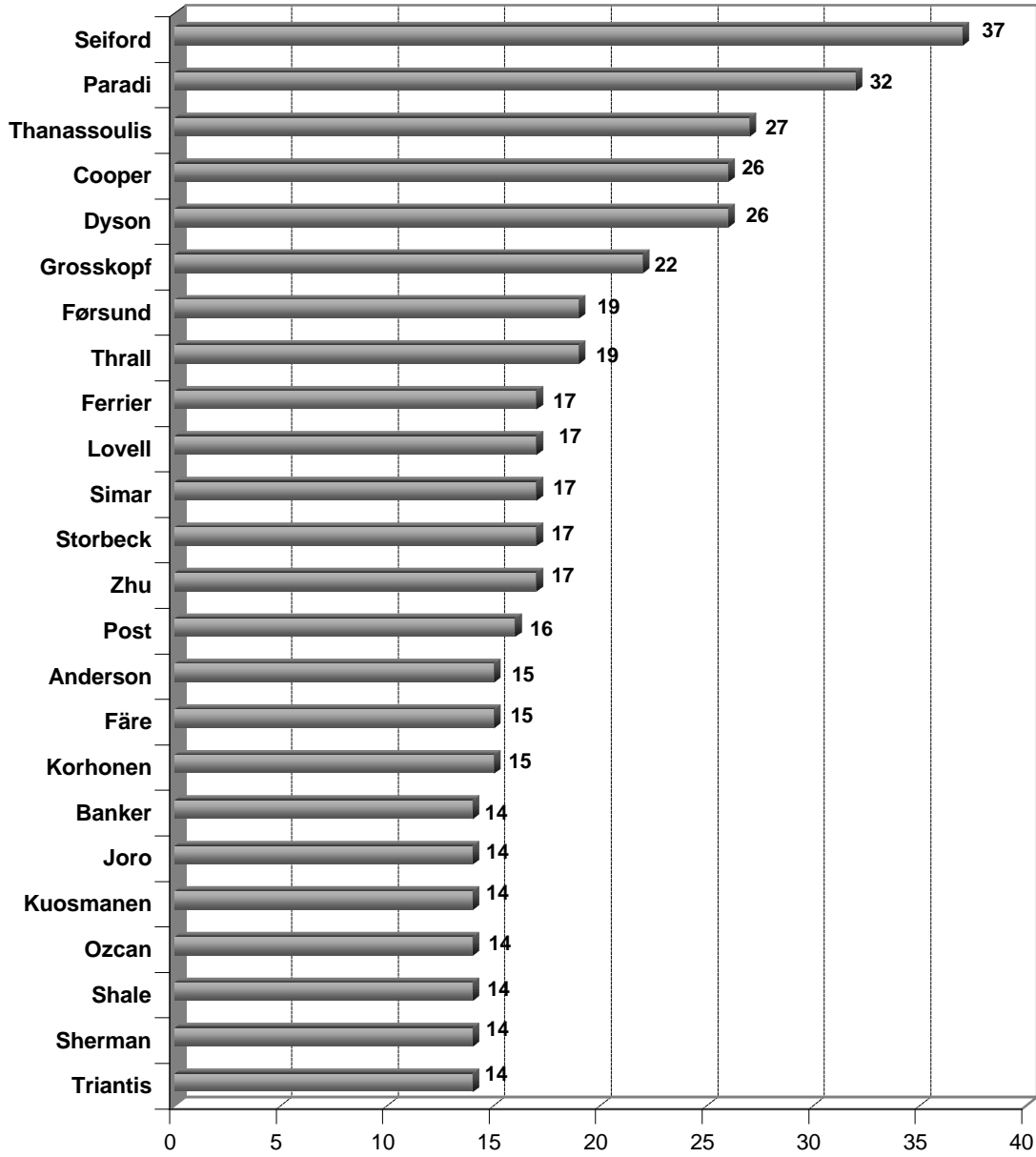


Figure 6: DEA paper events number by author.

In figure 7, the (top 5) authors with the most references in the DEA database during several periods can be seen.

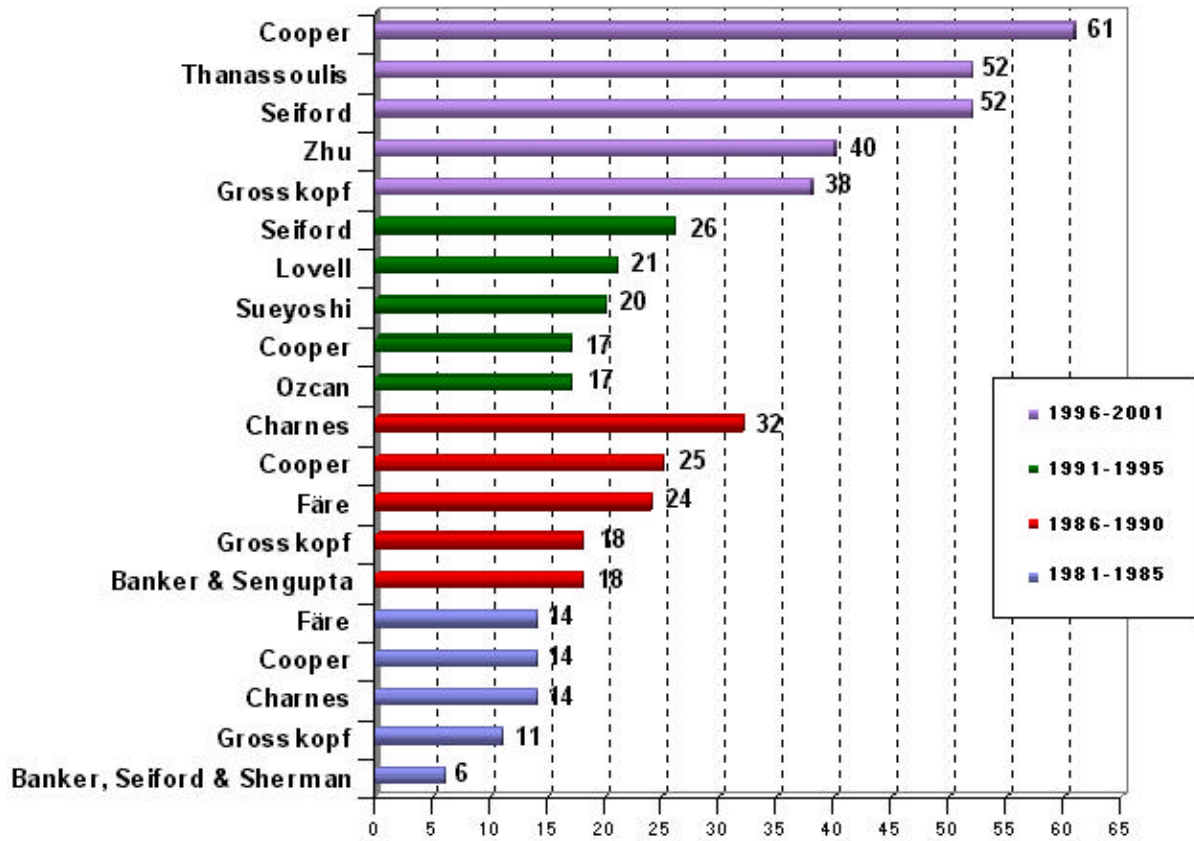


Figure 7: Top 5 DEA authors in several periods.

In figure 8, the (top 5) authors with the most references in the DEA database during several periods, but without taking into account the event papers, can be seen.

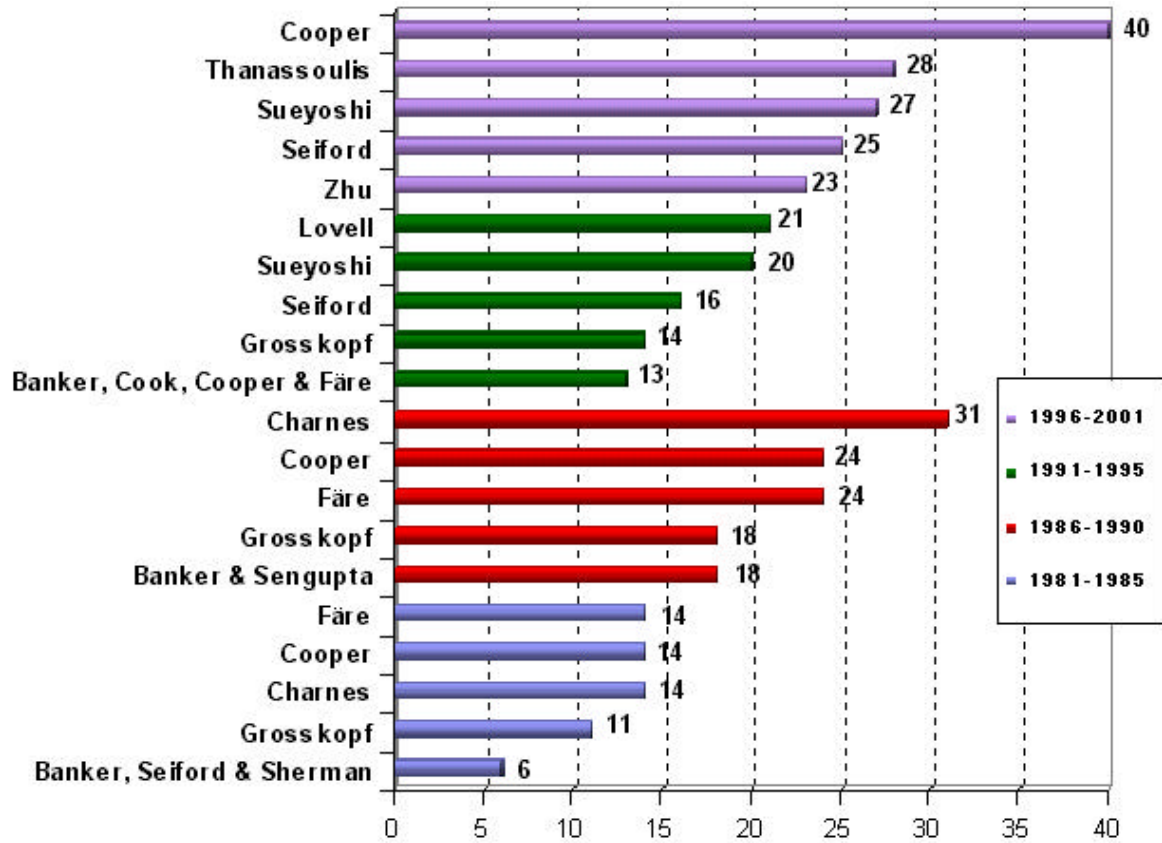


Figure 8: Top 5 DEA authors in several periods, but without event papers.

## 2.2 Keyword statistics

In the DEA database, out of the total of 3,203 publications, 725 (22.6%) have the corresponding keywords known. A total of 2,766 keywords (from which 1,242 are distinct) have been introduced in the DEA database. The average number of keywords per publication is 3.8 (with a standard deviation of 1.3 keywords).

In table 2, the (top 35) keywords the most used in the DEA database, can be seen:

Table 2: DEA publications number by keyword.

<b>Keywords</b>	<b>Publications</b>
data envelopment analysis	370
efficiency	115
DEA	94
linear programming	49
data envelopment analysis (DEA)	45
technical efficiency	40
productivity	39
performance measurement	30
efficiency measurement	26
returns to scale	23
banking	21
sensitivity analysis	18
efficiency analysis	17
goal programming	15
technical change	14
bootstrap	14
panel data	12
education	11
mathematical programming	10
Malmquist index	10
congestion	10
benchmarking	10
allocative efficiency	10
stochastic frontier	9
simulation	9
scale efficiency	9
ranking	9
weight restrictions	8
value function	8
target setting	8
stochastic frontiers	8
production functions	8
performance evaluation	8
performance	8
multiple objective linear programming	8

### 2.3 Other statistics

In the DEA database, out of the total of 3,203 publications, 1,259 (39.3%) are journal papers. A total of 235 distinct journals have been introduced in the DEA database. The average number of pages per paper is 14.1 (with a standard deviation of 9.4 pages);

In table 3, the (top 40) journals the most referred in the DEA database, can be seen:

Table 3: DEA publications number by journal.

<i>Journals</i>	<i>Publications</i>
European Journal of Operational Research	204
The Journal of Productivity Analysis	171
Journal of the Operational Research Society	76
Management Science	62
Annals of Operations Research	47
Omega, International Journal of Management Science	44
Socio-Economic Planning Sciences	37
Applied Economics	28
International Journal of Production Economics	27
Computers & Operations Research	25
International Journal of Systems Science	23
Journal of Econometrics	20
Health Care Management Science	17
Interfaces	13
INFOR - Information Systems & Operational Research	12
Journal of the Operations Research Society of Japan	12
Managerial and Decision Economics	12
O. R.: Communications of the Operations Research Society of Japan	12
Applied Economics Letters	11
Journal of Medical Systems	11
Journal of Banking and Finance	10
Computers, Environment and Urban Systems	9
O.R. insight	9
Operations Research Letters	9
The Economic Journal	9
Medical Care	8
Research in Governmental and Nonprofit Accounting	8
International Journal of Production Research	7
Operations Research	7
Decision Sciences	6
Glasnik Matematicki	6
Health Services Research	6
Scandinavian Journal of Economics	6
Applied Financial Economics	5
Health Economics	5
J Health Hum Resour Adm	5
Review of Economics and Statistics	5
The American Economic Review	5
Transportation Research Part A: Policy and Practice	5
Computers & Industrial Engineering	4

In table 4, the (top 40) universities with the most researchers in the DEA publications database, can be seen. A total of 213 universities have been introduced in the DEA database. From the 2,152 authors in the DEA database, there are 1,005 authors for which a particular city/country of the authors' institution is known. The information in table 4 only takes into consideration these authors.

Table 4: DEA publications number by university.

<b>Universities</b>	<b>Country</b>	<b>Publications</b>
University of Texas, Austin	USA	251
Warwick University	United Kingdom	247
University of Massachussets	USA	165
University of Michigan, Ann Arbor	USA	91
The University of Texas at Dallas	USA	88
Oregon State University	USA	81
University of Georgia	USA	76
Rice University	USA	72
University of Toronto	Canada	66
Carnegie-Mellon University	USA	65
University of Minnesota	USA	63
York University	Canada	61
Science University of Tokyo	Japan	56
Université Catholique de Louvain	Belgium	55
Université Catholique de Lille	France	54
University of California, Santa Barbara	USA	51
Odense Universitet	Denmark	50
University of Gothenburg	Sweden	44
University of Strathclyde	Scotland/UK	43
Universidad Miguel Hernandez	Spain	43
Virginia Commonwealth University	USA	43
Ohio State University	USA	41
Adelphi University	USA	40
George Mason University	USA	39
University of Pennsylvania	USA	38
University of Arkansas	USA	36
Erasmus University Rotterdam	Netherlands	34
University of York	United Kingdom	34
The Royal Veterinary and Agricultural University	Denmark	33
Ben-Gurion University of the Negev	Israel	33
University of Houston	USA	33
University of Oslo	Norway	31
Universidade Técnica de Lisboa	Portugal	30
Cornell University	USA	29
Universitat Autònoma de Barcelona	Spain	28
University of New England	Australia	28
University of Mississippi	USA	25
Universidad de Alicante	Spain	25
Saitama University	Japan	25
Southern Methodist University	USA	25

In table 5, the (top 40) institutions with the most researchers in the DEA publications database, can be seen. A total of 305 institutions have been introduced in the DEA database. As in the previous table, the information in table 5 only takes into consideration those authors for which the city/country of the authors' institution is known.

Table 5: DEA publications number by institution.

<i><b>Institutions</b></i>	<i><b>Country</b></i>	<i><b>Publications</b></i>
Warwick Business School, Warwick University	UK	246
College and Graduate School of Business, University of Texas, Austin	USA	171
University of Massachussets	USA	91
College of Engineering, University of Michigan, Ann Arbor	USA	91
Department of Economics, Southern Illinois University	USA	89
School of Management, The University of Texas at Dallas	USA	88
Department of Economics, Oregon State University	USA	81
Department of Economics, University of Georgia	USA	73
Centre for Management of Technology and Entrepreneurship, University of Toronto	Canada	66
School of Urban and Public Affairs, Carnegie-Mellon University	USA	61
Schulich School of Business, York University	Canada	61
Carlson School of Management, University of Minnesota	USA	60
Jesse H. Jones Graduate School of Administration, Rice University	USA	60
Center for Operations Research and Econometrics, Université Catholique de Louvain	Belgium	55
Department of Industrial Administration, Science University of Tokyo	Japan	54
Department of Management, Odense Universitet	Denmark	50
Department of Economics, University of California, Santa Barbara	USA	46
Department of Economics, University of Texas, Austin	USA	45
Department of Economics, University of Gothenburg	Sweden	44
Department of Health Administration, Virginia Commonwealth University	USA	43
Department of Mechanical and Industrial Engineering, University of Massachussets	USA	41
Department of Management Science, University of Strathclyde	Scotland/UK	41
School of Management & Business, Adelphi University	USA	40
Université Catholique de Lille	France	38
The Institute of Public Policy, George Mason University	USA	37
School of Public Policy and Management, Ohio State University	USA	35
Dep. of Economics and Natural Resources, The Royal Veterinary and Agricultural University	Denmark	33
Department of Industrial Engineering and Management, Ben-Gurion University of the Negev	Israel	33
College of Business, University of Houston	USA	33
University of Oslo	Norway	31
School of Management, University of Massachussets	USA	31
Department of Economics and Related Studies, University of York	UK	29
School of Hotel Administration, Cornell University	USA	29
Department of Finance, Erasmus University Rotterdam	Netherlands	29
Departament d'Economia de l'Empresa, Universitat Autònoma de Barcelona	Spain	28
Department of Economics, University of Arkansas	USA	28
Universidad Miguel Hernandez	Spain	25
Departamento de Estadística e Investigacion Operativa, Universidad de Alicante	Spain	25
Graduate School of Policy Science, Saitama University	Japan	25
College of Business Administration, Northeastern University	USA	24

In table 6, the (top 40) countries with the most researchers in the DEA publications database, can be seen. A total of 49 countries have been introduced in the DEA database. As in the previous 2 tables, the information in table 6 only takes into consideration those authors for which the city/country of the authors' institution is known.

Table 6: DEA publications number by country.

<b>Countries</b>	<b>Publications</b>
USA	1981
United Kingdom	458
Canada	193
Spain	147
Finland	119
Japan	110
Israel	103
Belgium	99
Denmark	97
Australia	93
Sweden	85
Portugal	82
France	70
Greece	59
Netherlands	55
Brazil	53
Austria	52
Scotland/UK	46
Norway	44
Taiwan	35
New Zealand	28
Cyprus	21
Croatia	20
South Korea	19
Oman	19
Republic of China	18
Turkey	17
Italy	16
Germany	14
Hong Kong	8
India	8
South Africa	6
Ireland	5
Zimbabwe	4
Wales/United Kingdom	4
Peru	3
Iceland	2
Czech Republic	2
Mexico	2
Yugoslavia	2

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## 4 Author index

After each author's name, a vector with 6 entries is given. The meaning of each position entry is the number of DEA:

- 1) Books;
- 2) Book chapters;
- 3) Special journals;
- 4) Journal papers;
- 5) Dissertations;
- 6) Working papers;
- 7) Event papers.

- Abad, Cristina (0,0,0,0,0,0,1)  
[20]
- Abdullah, Mokhtar (0,0,0,1,0,0,0)  
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- Abel, Lecir (0,0,0,0,0,0,1)  
(*lecir@eps.ufsc.br*)  
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- Adler, Nicole (0,0,0,1,0,0,4)  
(*nicolea@bgumail.bgu.ac.il*)  
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- Adolphson, Donald L. (0,2,0,1,0,0,1)  
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- Adu, Lily M. (0,0,0,0,0,0,2)  
(*lily-adu@uiowa.edu*)  
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- Agnarsson, Sveinn (0,0,0,0,0,0,2)  
(*sveinnag@hi.is*)  
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- Agrell, Per J. (0,0,0,2,0,0,12)  
(*pag@kvl.dk*)  
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- Ahern, Melissa (0,0,0,2,0,0,0)  
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- Akhavein, Jalal D. (0,0,0,1,0,0,0)  
(*akhavein@wharton.epenn.edu*)  
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- Alam, Ila M. Semenick (0,0,0,1,0,0,2)  
(*ila.alam@tulane.edu*)  
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- Aldaz, Natalia (0,0,0,0,0,0,1)  
(*natalia@aegern.udl.es*)  
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- Aleskerov, Fuad (0,0,0,0,0,1,0)  
(*aleskero@boun.edu.tr*)  
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- Alexander, Brian (0,0,0,0,0,0,2)  
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- Ali, Agha Iqbal (0,2,0,8,0,2,12)  
(*aiali@som.umass.edu*)  
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(*allen@lut.rwth-aachen.de*)  
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- Allen, Rachel (0,0,0,3,0,2,7)  
(*phdral@wbs.warwick.ac.uk*)  
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- Álvarez, Ana Rodríguez (0,0,0,0,0,0,3)  
(*ana@sci.cpd.uniovi.es*)  
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- Álvarez, Antonio M. (0,0,0,1,0,0,7)  
(*aalvarez@econo.uniovi.es*)  
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- Anderson, Timothy R. (0,0,0,1,1,1,15)  
(*tima@emp.pdx.edu*)  
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- Appa, Gautam (0,0,0,2,0,0,3)  
(*g.appa@lse.ac.uk*)  
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- Arai, K. (0,0,0,1,0,0,0)  
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- Arakawa, Masao (0,0,0,1,0,0,1)  
(*arakawa@eng.kagawa-u.ac.jp*)  
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- Arcelus, Francisco J. (0,0,0,2,0,0,6)  
(*arcelus@unb.ca*)  
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- Arocena, Pablo (0,0,0,0,0,0,3)  
(*pablo@upna.es*)  
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- Aronson, Jay E. (1,0,0,0,0,0,1)  
(*jaronson@blaze.cba.uga.edu*)  
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- Athanassopoulos, Antreas D.  
(0,0,0,23,1,3,12)  
(*athan@bpm.gr*)  
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(*n.avkiran@mailbox.uq.edu.au*)  
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(*sbackman@millipede.helsinki.fi*)  
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(*bblk@cbs.nl*)  
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(*rbanker@tc.umn.edu*)  
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(*rbarcia@eps.ufsc.br*)  
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(*barr@seas.smu.edu*)  
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(*p.barrar@s2.mbs.ac.uk*)  
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- Battese, George E. (1,0,0,2,0,1,6)  
(*george.battese@redcap.econ.gu.se*)  
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- Bauer, Paul W. (0,1,0,1,0,0,4)  
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- Bayarsaihan, T. (0,0,0,0,0,0,1)  
(*tbayarsa@metz.une.edu.au*)  
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- Beard, T. R. (0,0,0,1,0,0,0)  
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- Beasley, John E. (0,0,0,3,0,0,0)  
(*j.beasley@ic.ac.uk*)  
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- Beenstock, Michael (0,0,0,1,0,0,0)  
(*msbin@pluto.msc.huji.ac.il*)  
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- Begun, James W. (0,0,0,1,0,0,2)  
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- Bell, R. A. (0,0,0,1,0,0,0)  
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- Belsom, Einar (0,0,0,0,0,0,3)  
(*enar.belsom@iot.ntnu.no*)  
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- Belton, Valerie (0,5,0,1,0,0,4)  
(*val@mansci.strath.ac.uk*)  
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- Beltov, Tor (0,0,0,0,0,0,5)  
(*tor@busieco.ou.dk*)  
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- Bendheim, C. L. (0,0,0,1,0,0,0)  
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- Bessent, Edgar Willand (0,1,0,7,0,0,0)  
(*w.bessent@mail.utexas.edu*)  
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- Bhabra, Gurmeet Singh (0,0,0,0,0,0,1)  
(*gbhabra@commerce.otago.ac.nz*)  
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- Bhalotra, Sarita (0,0,0,0,0,0,1)  
(*bhalotra@brandeis.edu*)  
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- Bhargava, Mukesh (0,0,0,0,0,0,3)  
(*bhargava@oakland.edu*)  
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- Bhatnagar, Rohit (0,0,0,0,0,0,2)  
(*arbhatnagar@ntu.edu.sg*)  
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- Bhattacharyya, Anjana (0,0,0,1,0,0,0)  
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(*arunb@atmail.com*)  
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- Biffignandi, S. (0,0,0,0,0,0,1)  
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- Bigsten, A. (0,0,0,1,0,0,0)  
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- Birkhead, Wendy A. (0,0,0,0,0,0,1)  
(*birkheaw@lafayette.edu*)  
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- Bitran, G. R. (0,0,0,1,0,0,0)  
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- Björk, S. (0,0,0,0,0,1,0)  
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- Björkgren, Magnus A. (0,0,0,1,0,0,0)  
(*magnus.bjorkgren@chydenius.fi*)  
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- Blank, Jos L. T. (0,0,0,0,0,0,6)  
(*j.blank@ape.nl*)  
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- Bogetoft, Peter (0,0,0,7,0,0,12)  
(*pb@kvl.dk*)  
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- Boggs, Robert L. (0,0,0,0,0,0,2)  
(*bob\_boggs@unc.edu*)  
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- Boile, Maria P. (0,0,0,0,0,0,1)  
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- Boles, James N. (0,1,0,0,0,0,0)  
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- Boljuncic, Valter (0,0,0,2,0,0,5)  
(*vbolj@oliver.efpu.hr*)  
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- Bonaccorsi, Emilia (0,0,0,0,0,0,1)  
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- Bonzani, S. (0,0,0,0,0,0,1)  
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- Borger, Bruno de (0,0,0,2,0,0,2)  
(*dse.deborger.b@alpha.ufsia.ac.be*)  
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- Borges, Pedro Castro (0,0,0,0,0,0,3)  
(*pmb@porto.ucp.pt*)  
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- Borrás, F. (0,0,0,0,0,0,2)  
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- Bougnol, Marie-Laure (0,0,0,0,0,0,2)  
(*mbougnol@bus.olemiss.edu*)  
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- Bouhnik, Sylvain (0,0,0,1,0,0,0)  
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(*ph.bourgeois@afb.fr*)  
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(*a.e.a.bousofiane@herts.ac.uk*)  
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- Bouyssou, Denis (0,1,0,1,0,0,2)  
(*bouyssou@edu.essec.fr*)  
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- Bowen, William M. (0,0,0,1,1,0,1)  
(*bowen@wolf.csuohio.edu*)  
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- Bowlin, William Frank (0,1,0,8,1,0,5)  
(*bud.bowlin@uni.edu*)  
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- Bramble, James D. (0,0,0,0,0,0,1)  
(*jbramble@creighton.edu*)  
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(*dbricker@icaen.uiowa.edu*)  
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- Briec, Walter (0,0,0,4,0,0,2)  
(*walter.briec@univ-rennes1.fr*)  
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- Brock, Gregory (0,0,0,0,0,0,1)  
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- Brown, Kenneth H. (0,0,0,0,0,0,1)  
(*ken.brown@uni.edu*)  
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- Butt, Steven E. (0,0,0,0,0,0,1)  
(*steven.butt@wmich.edu*)  
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- Byrd, Terry Anthony (0,0,0,1,0,0,1)  
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(*byrnesp@cob.ohio-state.edu*)  
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- Camanho, Ana Santos Ribeiro  
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(*phdasa@wbs.warwick.ac.uk*)  
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- Castelli, Lorenzo (0,0,0,1,0,0,3)  
(*castelli@univ.trieste.it*)  
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- Casu, Barbara (0,0,0,0,0,0,4)  
(*abp872@bangor.ac.uk*)  
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- Caudill, Steven B. (0,0,0,2,0,0,1)  
(*scaudill@business.auburn.edu*)  
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(*swchang@utdallas.edu*)  
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- Chang, Kuo-Ping (0,0,0,6,0,0,2)  
(*kpchang@econ.nthu.edu.tw*)  
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- Chang, Ray-E (0,0,0,0,0,0,2)  
(*rchang@ccms.ntu.edu.tw*)  
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- Chang, Sheng-Lin (0,0,0,1,0,0,0)  
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- Chang, Yih-Long (0,0,0,3,0,0,0)  
(*yihlong.chang@mgt.gatech.edu*)  
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- Chattopadhyay, Sajal Kumar (0,0,0,1,1,0,0)  
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- Chatzoglou, Prodromos D. (0,0,0,1,0,0,0)  
(*pdchatz@kavala.teikav.edu.gr*)  
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- Chavas, Jean Paul (0,0,0,1,0,0,0)  
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- Chehade, Ramez (0,0,0,0,0,0,1)  
(*ramez@ie.utoronto.ca*)  
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- Chen, Chin-Tai (0,0,0,0,0,0,1)  
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- Chen, Tser-Yieth (0,0,0,3,0,0,1)  
(*city@rs930.cier.edu.tw*)  
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- Chen, Yao (0,0,0,0,1,0,6)  
(*yao@som.umass.edu*)  
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- Chen, Yong-sheng (0,0,0,0,0,0,1)  
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- Cherchye, Laurens (0,0,0,7,1,1,6)  
(*laurens.cherchye@econ.kuleuven.ac.be*)  
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- Cherian, Joseph (0,0,0,0,0,0,1)  
(*cherian@uic.edu*)  
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- Chilingerian, Jon A. (0,1,0,4,0,0,11)  
(*chilingerian@binah.cc.brandeis.edu*)  
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- Choi, Hong (0,0,0,0,0,0,1)  
(*sasman@yonsei.ac.kr*)  
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- Choi, In-Chan (0,0,0,0,0,0,1)  
(*ichoi@kucxn.korea.ac.kr*)  
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- Choi, Yoon K. (0,0,0,1,0,0,0)  
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- Claxton, Karl (0,0,0,0,0,0,1)  
(*kclaxton@hsph.harvard.edu*)  
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- Coeck, Chris (0,0,0,0,0,0,1)  
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- Coelli, Tim J. (1,0,0,4,0,2,10)  
(*tcoelli@metz.une.edu.au*)  
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- Cook, Thomas J. (0,0,0,2,0,0,1)  
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- Cook, Wade D. (1,2,0,32,0,0,13)  
(*wcook@bus.yorku.ca*)  
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- Cooper, William Wager (2,10,3,79,0,5,26)  
(*cooperw@mail.utexas.edu*)  
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- Cotter, J. James (0,0,0,1,0,0,1)  
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- Coughlan, Joseph (0,0,0,0,0,0,5)  
(*Joseph.Coughlan@dit.ie*)  
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- Cuesta, Rafael Alvarez (0,0,0,1,0,0,5)  
(*ralvarez@econo.uniovi.es*)  
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- Cui, Jin-Chuan (0,0,0,1,0,0,2)  
(*cjc@amath8.amt.ac.cn*)  
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- Cummings-Saxton, James (0,0,0,1,0,0,0)  
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- Cummins, J. David (0,0,0,2,0,0,2)  
(*cummins@wharton.upenn.edu*)  
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- Cunningham, Reba (0,0,0,0,0,0,1)  
(*rccunning@utdallas.edu*)  
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- Curram, Stephen P. (0,0,0,1,0,0,1)  
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(*farinacc@di.unipi.it*)  
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(*karenf@graceland.edu*)  
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(*gferrier@comp.uark.edu*)  
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(*mdf2@le.ac.uk*)  
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- Fidalgo, Eduardo González (0,0,0,0,0,0,1)  
(*fidalgo@hp845.econo.uniovi.es*)  
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(*b-flores@mail.tamu.edu*)  
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(*finn.forsund@econ.uio.no*)  
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(*fotiou@for.auth.gr*)  
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- Frazier, T. P. (0,1,0,0,0,0,0)  
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- Freeman, Mark A. (0,0,0,0,0,0,2)  
(*mfreeman@adamh.co.franklin.oh.us*)  
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- Frei, Frances X. (0,0,0,3,0,0,2)  
(*frei@mail.ssb.rochester.edu*)  
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- Frenkel, A. (0,0,0,1,0,0,0)  
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- Fried, Harold O. (1,0,0,5,0,2,8)  
(*friedh@union.edu*)  
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(*lea@bgumail.bgu.ac.il*)  
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- Fries, Carlos Ernani (0,0,0,0,0,0,1)  
(*fries@eps.ufsc.br*)  
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- Fu, Feng-cheng (0,0,0,0,0,0,1)  
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- Fu, Tsu-Tan (1,0,0,1,0,0,3)  
(*tfu@ieas.econ.sinica.edu.tw*)  
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- Fukuda, Fernando Hideo (0,0,0,0,0,0,1)  
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- Fukukawa, Tadaaki (0,0,0,0,0,0,3)  
(*fukukawa@ae.keio.ac.jp*)  
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- Fukuyama, Hirofumi (0,0,0,9,0,0,1)  
(*fukuyama@jsat.fukuoka-u.ac.jp*)  
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- Fulginiti, Lilyan E. (0,0,0,0,0,0,4)  
(*lfulginiti@unl.edu*)  
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- Fülöp, János (0,0,0,0,0,0,1)  
(*fulop@oplab.sztaki.hu*)  
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- Fumero, Francesca V. (0,0,0,0,0,0,2)  
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(*agalle@esan.edu.pe*)  
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- Gelinas, Rene (0,0,0,0,0,0,1)  
(*gelinare@uqtr.quebec.ca*)  
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- Gemser, Gerda (0,0,0,0,0,0,1)  
(*ggemser@hotmail.com*)  
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- George, Anna (0,0,0,1,0,0,0)  
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- Gerardo, Marie (0,0,0,0,0,0,1)  
(*mgerardo@hsc.vcu.edu*)  
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- Ghavami, Peter K. (0,0,0,0,0,0,1)  
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- Ghosh, Jay B. (0,0,0,0,0,0,1)  
(*jghosh@squ.edu.om*)  
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- Giglio, Richard J. (0,0,0,0,1,0,1)  
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- Gilbarg, Paul (0,0,0,0,0,0,1)  
(*paulg@emp.pdx.edu*)  
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- Gillen, David (0,0,0,1,0,0,0)  
(*dgillen@euler.berkeley.edu*)  
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- Giménez, Victor (0,0,0,0,0,0,1)  
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- Giokas, Dimitris I. (0,0,0,8,0,0,1)  
(*dgiokas@cc.uoa.gr*)  
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(*glavin@brandeis.edu*)  
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(*dglenn@coe.ubc.ca*)  
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- Goaï ed, Mohamed (0,0,0,1,0,0,0)  
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- Gökçekus, Ömer (0,0,0,1,0,0,0)  
(*gokcekus@econ.duke.edu*)  
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- Golan, I. (0,0,0,1,0,0,0)  
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- Golany, Boaz (0,8,0,21,1,0,11)  
(*golany@technion.ac.il*)  
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- Golden, Linda L. (0,0,0,0,0,0,2)  
(*mksmv@mail.utexas.edu*)  
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(*jgonzalez@utsa.edu*)  
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- González-Araya, Marcela Cecilia  
(0,1,0,0,0,0,1)  
(*marcela@pep.ufrj.br*)  
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- Good, David H. (0,0,0,1,0,0,1)  
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- Gopal, Ram D. (0,0,0,1,0,0,0)  
(*ram@sbaserv.sba.uconn.edu*)  
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- Gorr, Wilpen L. (0,0,0,1,0,0,0)  
(*wg0g+@andrew.cmu.edu*)  
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- Goto, Jason (0,0,0,0,0,1)  
(*jgoto@coe.ubc.ca*)  
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- Goudriaan, René (0,0,0,0,0,0,2)  
(*goudrian@IvOvO.nl*)  
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(*grandegd@muohio.edu*)  
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(*egrifell@volcano.uab.es*)  
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(*shawna.grosskopf@orst.edu*)  
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- Gruca, Thomas S. (0,0,0,1,0,0,3)  
(*thomas-gruca@uiowa.edu*)  
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- Grupp, H. (0,0,0,1,0,0,0)  
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- Gstach, Dieter (0,0,0,1,0,0,6)  
(*gstach@wu-wien.ac.at*)  
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(*guisset@hosp.ucl.ac.be*)  
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- Gujadhur, Tej Kumar (0,0,0,0,0,1,0)  
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- Gulledge, Thomas R. (0,1,0,3,0,0,2)  
(*gulledge@gmu.edu*)  
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- Gyimah-Brempong, K. (0,0,0,1,0,0,0)  
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- Ha, Sung Ho (0,0,0,0,0,0,1)  
(*shha@major.kaist.ac.kr*)  
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- Haag, Stephen (0,0,0,4,0,0,0)  
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- Hababou, Moez (0,0,0,2,1,0,6)  
(*mhababou@bus.yorku.ca*)  
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Hackemack, Patricia Lynn (0,0,0,0,1,0,0)  
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Hackman, Steven T. (0,0,0,5,0,0,3)  
(*shackman@isye.gatech.edu*)  
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Hall, Peter (0,0,0,1,0,0,0)  
(*halpstat@fac.aru.edu.au*)  
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Halme, Merja (0,0,0,3,0,4,5)  
(*mhalme@hkkk.fi*)  
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Halsteinli, Vidar (0,0,0,0,0,0,1)  
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Härdle, Wolfgang (0,0,0,1,0,0,0)  
(*hardle@wini.hu-berlin.de*)  
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Harel, E. (0,0,0,0,0,0,1)  
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Harker, Patrick T. (0,0,0,2,0,1,7)  
(*harker@wharton.upenn.edu*)  
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Harris II, J. M. (0,0,0,3,0,0,0)  
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Harrison, J. (0,0,0,1,0,0,0)  
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Harrison, Teresa (0,0,0,0,0,0,1)  
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Hartman, Thomas E. (0,2,0,2,0,0,3)  
(*t.e.hartman@keele.ac.uk*)  
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Hasan, Iftekhar (0,0,0,0,0,0,4)  
(*hasan@tesla.njit.edu*)  
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Hasebe, Tadashi (0,0,0,1,0,0,0)  
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Hashimoto, Akihiro (0,0,0,5,0,0,0)  
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Hattori, Toru (0,0,0,0,0,0,2)  
(*toru-h@criepi.denken.or.jp*)  
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Hatzigayos, Thomas G. (0,0,0,0,0,0,1)  
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Hauksson, Arni G. (0,0,0,0,1,0,0)  
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Hayashi, Takafumi (0,0,0,0,0,0,1)  
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Hayes, Kathy J. (0,0,0,2,0,0,4)  
(*khayes@post.cis.smu.edu*)  
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Hayes, Kevin Joseph (0,0,0,0,1,0,0)  
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Haynes, Kingsley E. (0,1,0,8,0,0,7)  
(*khaynes@gmu.edu*)  
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Helgason, R. V. (0,0,0,1,0,0,0)  
(*helgason@seas.smu.edu*)  
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Helmers, Glenn (0,0,0,0,0,0,1)  
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Henderson, J. Stephen (0,0,0,1,0,0,0)  
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Hendry, Linda C. (0,0,0,1,0,0,0)  
(*L.Hendry@Lancaster.ac.uk*)  
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Henn, R. (1,0,0,0,0,0,0)  
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Heshmati, Almas (0,0,0,2,0,0,8)  
(*almas.heshmati@economics.gu.se*)  
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Hewlitt, Allison J. (0,0,0,0,0,0,2)  
(*hewlitt@mie.utoronto.ca*)  
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Hibiki, Norio (0,0,0,1,0,0,1)  
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- Hill, Robert J. (0,0,0,0,0,1)  
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- Hiroshi, Morita (0,0,0,1,0,0,0)  
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- Hirschberg, Joseph G. (0,0,0,3,0,0,0)  
(*jhirsch@cupid.ecom.unimelb.edu.au*)  
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- Hjalmarsson, Lennart (0,1,0,9,0,0,8)  
(*lennart.hjalmarsson@economics.gu.se*)  
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- Ho, David C. (0,0,0,1,0,0,0)  
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- Hokkanen, Joonas (0,0,0,0,0,0,1)  
(*joonas.hokkanen@iprosci.fi*)  
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- Hollingsworth, Bruce (0,0,0,9,0,1,9)  
(*bruce.hollingsworth@newcastle.ac.uk*)  
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(*khollingsworth@morehouse.edu*)  
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(*j7400704@ed.noda.sut.ac.jp*)  
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- Hoopes, Barbara J. (0,0,0,0,0,0,3)  
(*bhoopes@vt.edu*)  
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- Horrace, William C. (0,0,0,2,0,0,2)  
(*whorrace@u.arizona.edu*)  
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- Hougaard, Jens Leth (0,0,0,3,0,0,4)  
(*haugaard@dasy@cbs.dk*)  
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(*huang@ieas.econ.sinica.edu.tw*)  
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(*yiping.huang@anu.edu.au*)  
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- Huang, Yueh-Guey Laura (0,0,0,3,1,0,0)  
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- Huang, Zhimin M. (0,1,0,10,0,0,11)  
(*huang@panther.adelphi.edu*)  
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- Hughes, Andrew (0,0,0,0,0,1,3)  
(*andrew.hughes@mail.ccsu.nsw.gov.au*)  
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- Hughes, P. N. (0,0,0,1,0,0,0)  
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- Hultberg, Patrick T. (0,0,0,0,0,0,1)  
(*hultberg@uwyo.edu*)  
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- Humphrey, David B. (0,1,0,3,0,1,4)  
(*dhumphr@postoffice.cob.fsu.edu*)  
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- Husain, Nooreha (0,0,0,1,0,0,0)  
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- Hussain, Asia (0,0,0,0,0,0,2)  
(*aa95150@ccsun.strath.ac.uk*)  
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- Hyde, William (0,0,0,0,0,0,1)  
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- Ibanez, Marcella (0,0,0,0,0,0,1)  
(*marcella@mail.udlap.mx*)  
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- Ibourk, Aomar (0,0,0,0,0,0,2)  
(*lbouk@univ-aix.fr*)  
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- Ide, Hiroyuki (0,0,0,1,0,0,0)  
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Iftexhar, Hasan (0,0,0,0,0,0,1)  
(*hasan@tesla.njit.edu*)  
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Imam, D. (0,0,0,0,0,0,1)  
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Inal, G. (0,0,0,0,0,0,1)  
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Inman, Lane (0,0,0,0,0,0,3)  
(*lanei@emp.pdx.edu*)  
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Isgut, Alberto (0,0,0,0,0,1,0)  
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Ishii, Hiroaki (0,0,0,0,0,0,1)  
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Ishikawa, Hiroshi (0,0,0,1,0,0,1)  
(*ishikawa@eng.kagawa-u.ac.jp*)  
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Islei, G. (0,0,0,1,0,0,0)  
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Israilevich, P. R. (0,0,0,1,0,0,0)  
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Iwasa, Yoh (0,0,0,1,0,0,0)  
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Jablonsky, Josef (0,0,0,0,0,0,3)  
(*jablon@vse.cz*)  
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Jackson, Marlene Frances (0,0,0,0,1,0,0)  
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Jackson, P. M. (0,0,0,0,0,0,1)  
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Jackson, Peter (0,0,0,0,0,0,1)  
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Jacobs, Rowena (0,0,0,1,0,0,0)  
(*roj3@york.ac.uk*)  
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Jacques, J. M. (0,0,0,1,0,0,0)  
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Jaenicke, Edward C. (0,0,0,1,0,0,0)  
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Jahanshahloo, G. R. (0,0,0,0,0,0,1)  
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jamar, Marie Astrid (0,1,0,0,0,0,0)  
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Jamasb, Tooraj (0,0,0,0,0,0,1)  
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Janakiraman, Surya (0,0,0,0,0,0,4)  
(*suryaj@utdallas.edu*)  
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Jang, S. L. (1,0,0,0,0,0,0)  
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Jansen, Eilev S. (0,0,0,1,0,0,0)  
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Jara, Sergio (0,0,0,0,0,0,1)  
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Jarmin, Ronald S. (0,0,0,0,0,0,2)  
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Järviö, Maija-Liisa (0,0,0,1,0,0,2)  
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Jaska, Patrick V. (0,0,0,3,1,0,0)  
(*jaska@uta.edu*)  
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Jayanthi, Shekhar (0,0,0,0,0,0,1)  
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Jayasinghe, Milan John Chrysustom  
(0,0,0,0,1,0,0)  
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Jefferson, Shea R. (0,0,0,0,0,0,1)  
(*sheajeff@aol.com*)  
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Jemric, Igor (0,0,0,0,0,0,1)  
(*igor.jemric@nbh.hr*)  
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Jeon, Yongil (0,0,0,0,0,0,1)  
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Jeong, Hongjae (0,0,0,0,0,0,1)  
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Jesson, David (0,0,0,1,0,0,0)  
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Jewell, Dianne (0,0,0,0,0,0,1)  
(*djewell@hsc.vcu.edu*)  
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(*djin@whoi.edu*)  
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Johnson, Sharon A. (0,0,0,0,0,0,1)  
(*sharon@wpi.edu*)  
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Johnston, David A. (0,0,0,2,0,0,0)  
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Johnston, Holly Hanson (0,1,0,0,1,0,0)  
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Johnston, Warren E. (0,0,0,0,0,0,1)  
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Jondrow, J. (0,0,0,1,0,0,0)  
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Jones, Dylan (0,0,0,1,0,0,0)  
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Joro, Tarja (0,0,0,2,1,6,14)  
(*joro@hkkk.fi*)  
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- Kalhagen, Kjell-Ove (0,0,0,0,0,0,2)  
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- Kalirajan, K. P. (0,0,0,0,0,0,1)  
(*kalirajan@economics.anu.edu.au*)  
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- Kalyanaram, G. (0,0,0,0,0,0,1)  
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- Kantor, Jeffrey (0,0,0,1,0,0,0)  
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(*ckao@mail.ncku.edu.tw*)  
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- Karagiannis, Giannis (0,0,0,1,0,0,5)  
(*igeke@eexi.gr*)  
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- Karkazis, John (0,0,0,2,0,0,1)  
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- Kerstens, Kristiaan (0,0,0,8,0,0,8)  
(*ieseg@ieseg.fr*)  
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- Khamliche, Rachid (0,0,0,0,0,0,1)  
(*rkhamlic@ulb.ac.be*)  
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- Khoo, Kerry (0,0,0,0,0,0,1)  
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- Khouja, Moutaz J. (0,0,0,1,0,0,0)  
(*mjkhouja@email.uncc.edu*)  
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- Kim, Bowon (0,0,0,0,0,0,1)  
(*bwkim@kgs.m.kaist.ac.kr*)  
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- Kim, Hiung Joon (0,0,0,1,0,0,0)  
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- Kim, Hyun-chan (0,0,0,0,0,0,1)  
(*hanara@hanmail.net*)  
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- Kim, I. (0,0,0,1,0,0,0)  
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- Kim, Jin H. (0,0,0,0,0,0,2)  
(*kjh6776@nownuri.net*)  
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- Kim, John (0,0,0,0,0,0,2)  
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- Kim, Sangho (0,0,0,1,0,0,0)  
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- Kim, Tae-Sung (0,0,0,0,1,0,1)  
(*mangho@hotmail.com*)  
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(*keziah@unitel.co.kr*)  
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- Kinase, Youichi (0,0,0,1,0,0,1)  
(*kinase@beige.ocn.ne.jp*)  
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- Kinoshita, A. (0,0,0,1,0,0,0)  
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- Kinoshita, Randal Mitsugi (0,0,0,0,1,0,1)  
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- Kirkley, James (0,0,0,1,0,0,1)  
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- Kirthisingha, H. A. (0,1,0,0,0,0,0)  
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- Kittelsen, Sverre A. C. (0,0,0,2,0,0,6)  
(*s.a.c.kittelsen@snf.uio.no*)  
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- Kiyota, Kozo (0,0,0,0,0,0,2)  
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- Kjulin, Urban (0,0,0,1,0,0,0)  
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- Klein, J. Douglass (0,0,0,0,0,0,4)  
(*kleind@union.edu*)  
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- Kleinbeck, Susan V. M. (0,0,0,1,0,0,0)  
(*skleinbe@kumc.edu*)  
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- Kleinsorge, Ilene K. (0,0,0,4,1,0,0)  
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- Klimberg, Ron (0,0,0,0,0,0,1)  
(*klimberg@sju.edu*)  
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Kogan, M. (1,0,0,0,0,0,0)  
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Kohli, Ulrich (0,0,0,0,0,0,1)  
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Koivu, Matti (0,0,0,0,0,1,1)  
(*koivu@hkkk.fi*)  
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Kong, Xiang (0,0,0,0,0,0,1)  
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Konstans, Constantine (0,0,0,0,0,0,3)  
(*konstans@utdallas.edu*)  
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Kooreman, Peter (0,0,0,1,0,0,0)  
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Kopp, Raymond J. (0,0,0,2,0,0,0)  
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Korabathina, Ravikiran (0,0,0,0,0,0,1)  
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Korhonen, Pekka (0,0,0,5,0,12,15)  
(*korhonen@hkkk.fi*)  
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Kornbluth, J. S. H. (0,0,0,1,0,0,0)  
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Koshteh, Karim (0,0,0,0,0,0,1)  
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Kotamraju, Pradeep (0,0,0,1,0,0,0)  
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Kozmetsky, George (0,0,0,1,0,0,0)  
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Kraft, S. (0,0,0,1,0,0,0)  
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Kramer, Bert (0,0,0,1,0,0,0)  
(*bkramer@ortec.nl*)  
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Krasachat, Wirat (0,0,0,0,0,0,1)  
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Kress, Moshe (1,1,0,12,0,0,1)  
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Krivonozhko, Vladimir (0,0,0,0,0,0,3)  
(*Vladimir@dol.ru*)  
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Kronborg, Dorte (0,0,0,0,0,0,1)  
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Kuchta, Dorota (0,0,0,0,0,0,2)  
(*kuchta@ioz.pwr.wroc.pl*)  
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Kuman, Suresh (0,0,0,1,0,0,0)  
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Kumar, A. (0,0,0,0,0,0,1)  
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Kumbhakar, Subal C. (0,1,0,7,0,1,12)  
(*kkar@mundo.eco.utexas.edu*)  
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Kuosmanen, Timo (0,0,0,6,1,5,14)  
(*kuosmanen@hkkk.fi*)  
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Kwak, Young-Jin (0,0,0,0,0,0,2)  
(*yjk@woongjin.ac.kr*)  
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Kwan, S. (0,0,0,0,0,0,1)  
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Kwimbere, F. J. (0,0,0,0,1,0,0)  
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Kwinn, Michael John, Jr. (0,0,0,0,1,0,1)  
(*mike-kwinn@usma.edu*)  
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Kwon, Ik-Whan G. (0,0,0,0,0,0,1)  
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(*slall@gnu.edu*)  
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Lam, K. (0,0,0,1,0,0,0)  
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Lambrinos, James (0,0,0,0,0,0,2)  
(*lambrin@union.edu*)  
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Lambroukos, Nikos (0,0,0,1,0,0,0)  
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Lamdin, Douglas (0,0,0,0,0,0,1)  
(*lamdin@umbc2.umbc.edu*)  
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Lamotte, L. R. (0,0,0,1,0,0,0)  
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Lansink, Alfons Oude (0,0,0,1,0,0,6)  
(*alfons.oude.lansink@alg.aae.wau.nl*)  
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Lanzer, Edgar Augusto (0,0,0,0,0,0,7)  
(*ealanzer@eps.ufsc.br*)  
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- Lawrence, Denis (0,0,0,2,0,0,1)  
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- Lawrence, Kenneth (0,0,0,0,0,0,1)  
(*lawrence@tesla.njit.edu*)  
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- Lawson, Lartey (0,0,0,0,0,0,1)  
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- Leachman, Robert C. (0,0,0,0,0,0,2)  
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- Lee, Byungtae (0,0,0,1,0,0,0)  
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- Lee, C. Christopher (0,0,0,0,0,0,1)  
(*leec@cwu.edu*)  
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- Lee, Chih-Tah (0,1,0,1,1,3,1)  
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- Lee, Dong-Kyu (0,0,0,0,0,0,1)  
(*dklee@hanbat.chungnam.ac.kr*)  
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(*leejs@etri.re.kr*)  
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- Lee, Sangkyu (0,0,0,0,0,0,1)  
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- Lee, Seok-Young (0,0,0,0,0,0,2)  
(*sylee@cc.sungshin.ac.kr*)  
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- Lee, Wen-Fu (0,0,0,0,0,1,0)  
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- Lee, Young Bum (0,0,0,0,0,0,3)  
(*lee.1491@osu.edu*)  
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- Leleu, Hervé (0,0,0,1,0,0,10)  
(*h.leleu@cresge.fupl.asso.fr*)  
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- Levy, D. (0,0,0,1,0,0,0)  
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- Lewin, Arie Y. (1,4,3,10,0,0,3)  
(*Lewin@dukefsb.bimnet*)  
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- Lewis, Herbert F. (0,0,0,0,0,0,3)  
(*hlewis@notes.cc.sunysb.edu*)  
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- Lewis, Holly S. (0,0,0,0,0,0,1)  
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- Ley, Eduardo (0,0,0,0,1,0,0)  
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- Li, Dading (0,0,0,0,1,0,0)  
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(*fbalihy@nus.edu.sg*)  
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- Li, L. X. (0,0,0,1,0,0,0)  
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(*ming.li@bi.no*)  
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- Li, Qi (0,0,0,0,0,0,1)  
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- Li, Shan (0,0,0,1,0,0,0)  
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- Li, Shanling (0,0,0,5,0,0,5)  
(*li@management.mcgill.ca*)  
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- Li, Shu-Hsing (0,0,0,1,0,0,0)  
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- Li, Sung Ko (0,0,0,3,0,0,2)  
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- Li, Susan X. (0,0,0,7,0,0,11)  
(*susan@panther.adelphi.edu*)  
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- Lins, Marcos Estellita (1,1,0,0,0,0,9)  
(*marcos@ind.ufjr.br*)  
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- Linton, Jonathan (0,0,0,1,0,0,0)  
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- Linwill, Carl B. (0,0,0,3,0,0,4)  
(*clinwill@comp.uark.edu*)  
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- Liss, S. (0,0,0,1,0,0,0)  
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- Lissitsa, Alexej (0,0,0,0,0,0,1)  
(*alexej.lissitsa@rz.hu-berlin.de*)  
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- Littlechild, S. C. (0,0,0,1,0,0,0)  
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- Lootsma, Freerk A. (0,0,0,0,0,0,1)  
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- Lopes, Ana Maria Lúcia (0,0,0,0,0,0,7)  
(*ana@eps.ufsc.br*)  
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- López, Francisco J. (0,0,0,0,0,0,3)  
(*fflopez@olemiss.edu*)  
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- Lopez, Leovigildo (0,0,0,0,0,0,1)  
(*leolopez@mail.udlap.mx*)  
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- Loree, S. W. (0,0,0,2,0,0,1)  
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- Los, Bart (0,0,0,0,0,0,1)  
(*b.los@eco.rug.nl*)  
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- Löthgren, Michael (0,0,0,7,0,8,4)  
(*stml@hhs.se*)  
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- Lovell, C. A. Knox (4,8,3,37,0,1,17)  
(*knox@rigel.econ.uga.edu*)  
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- Luh, Yir-Hueih (0,0,0,0,0,0,2)  
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- Luke, Roice D. (0,0,0,2,0,0,1)  
(*luker@hsc.vcu.edu*)  
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- Luketich, W. (0,0,0,1,0,0,0)  
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- Lunati, Diego (0,0,0,0,0,0,1)  
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- Lund, Mogens (0,0,0,0,0,0,2)  
(*mogens@sjf.dk*)  
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- Lundstrom, Mats (0,0,0,1,0,0,0)  
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- Lundvall, Karl (0,0,0,0,0,0,1)  
(*karl.lundvall@economics.gu.se*)  
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- Luoma, Kalevi (0,0,0,1,0,0,2)  
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- Luptacik, Mikulas (0,0,0,0,0,2,6)  
(*mikulas@e119ws1.tuwien.ac.at*)  
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- Luu, H. (0,0,0,0,0,0,1)  
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- Lynch, Janet R. (0,0,0,2,0,0,0)  
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- Lyrودي, Katerina C. (0,0,0,0,0,0,1)  
(*lyroudi@macedonia.uom.gr*)  
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- Lyth, David M. (0,0,0,0,0,0,1)  
(*david.lyth@wmich.edu*)  
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- Mabbett, Alan (0,0,0,0,0,0,1)  
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- Maeda, Yoshihiro (0,0,0,0,0,0,1)  
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- Maeda, Yutaka (0,0,0,0,0,0,1)  
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- Magnussen, Jon (0,0,0,2,0,1,4)  
(*jonm@leland.stanford.edu*)  
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- Mahajan, Jayashree (0,0,0,1,0,0,0)  
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- Mahlberg, Bernhard (0,0,0,0,0,0,4)  
(*mahlberg@fgr.wu-wien.ac.at*)  
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- Maietta, Ornella Wanda (0,0,0,0,0,0,5)  
(*maietta@unina.it*)  
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- Maillard, Bénédicte (0,0,0,0,0,0,1)  
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- Maindiratta, Ajay (0,1,0,6,0,1,1)  
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- Maital, Shlomo (0,0,0,5,0,0,4)  
(*ierms01@technix.technion.ac.il*)  
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- Majumdar, Sumit Kumar (0,0,0,2,1,0,1)  
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- Makino, T. (0,0,0,1,0,0,0)  
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- Makki, Shiva S. (0,0,0,1,0,0,0)  
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- Malcolm, Scott A. (0,0,0,0,0,0,1)  
(malcolm@systems.seas.upenn.edu)  
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- Malek, M. (0,0,1,1,0,0,0)  
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- Malkia, Matti (0,0,0,0,0,0,2)  
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- Mallak, Larry (0,0,0,0,0,0,1)  
(larry.mallak@wmich.edu)  
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- Mallick, Naresh C. (0,0,0,0,0,0,1)  
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- Maltby, John R. (0,1,0,0,0,0,0)  
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- Mamgain, Vaishali (0,0,0,0,0,0,1)  
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- Manabu, Sugiyama (0,0,0,1,0,0,0)  
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- Managi, Shunsuke (0,0,0,0,0,0,1)  
(sman8824@postoffice.uri.edu)  
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- Mangum, Stephen L. (0,0,0,1,0,0,0)  
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- Maniadakis, Nikos (0,0,0,3,0,2,8)  
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- Manos, B. (0,0,0,1,0,0,0)  
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- Marcusson, M. (0,0,0,0,0,0,1)  
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- Mareshal, Bertrand M. (0,0,0,0,0,0,1)  
(bmaresc@csi.com)  
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- Margaritis, Dimitri (0,0,0,3,0,0,5)  
(dimitri@waikato.ac.nz)  
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- Marinho, Alexandre (0,0,0,0,0,0,1)  
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- Mark, Barbara (0,0,0,0,0,0,1)  
(b\_mark@unc.edu)  
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- Marlin, Dan (0,0,0,1,0,0,0)  
(marlind@cofc.edu)  
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- Marquès, Pilar (0,0,0,0,0,0,1)  
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- Martic, Milan (0,0,0,1,0,0,1)  
(milan@fon.fon.bg.ac.yu)  
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- Maurer, Ruth A. (0,0,0,0,0,0,1)  
(rmaurer@waldenu.edu)  
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- McAlearney, Ann S. (0,0,0,0,0,0,1)  
(mcalearney.1@osu.edu)  
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- McAulay, L. (0,0,0,1,0,0,0)  
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(mccue@gems.vcu.edu)  
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- McGarvey, Kimberly L. (0,0,0,0,0,0,1)  
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- Medina-Borja, Alexandra (0,0,0,0,0,0,1)  
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- Meyer, William B. (0,0,0,1,0,0,0)  
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- Meza, Angulo Lidia (1,0,0,0,0,0,0)  
(*lidia@pep.ufsj.br*)  
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- Michelon, Philippe (0,0,0,0,0,0,1)  
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- Michida, Hideo (0,0,0,0,0,0,2)  
(*michida@kaede.seg.kobe-u.ac.jp*)  
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(*pauli.miettinen@hut.fi*)  
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(*milioni@mec.ita.cta.br*)  
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(*jmillan@eco.etsia.upm.es*)  
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(*jhm36@cam.ac.uk*)  
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(*moita@eps.ufsc.br*)  
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(*davidm@ieor.berkeley.edu*)  
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(0,0,0,0,0,0,1)  
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(*morenoa@mscd.edu*)  
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- Morey, Matthew R. (0,0,0,1,0,0,0)  
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(*r.morey@bhm.gu.edu.au*)  
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(*morita@seg.kobe-u.ac.jp*)  
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(*morrison@primal.ucdavis.edu*)  
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(*manumuni@econo.uniovi.es*)  
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(*paul.na@bankofamerica.com*)  
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- Nadiri, M. Ishag (0,0,0,0,0,0,1)  
(*m.ishag.nadiri@nyu.edu*)  
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(*nosratollah.nafar@economics.gu.se*)  
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(*nakayama@konan-u.ac.jp*)  
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(*synam@yuhan.ac.kr*)  
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- Namatame, Takashi (0,0,0,0,0,0,1)  
(*namatame@ms.kagu.sut.ac.jp*)  
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- Nash, Debbie (0,0,0,1,0,0,0)  
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- Natarajan, Ram (0,0,0,0,0,0,5)  
(*nataraj@utdallas.edu*)  
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- Nath, Deepika (0,0,0,1,0,0,1)  
(*deepika.nath@ey.com*)  
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- Nathanson, Brian (0,0,0,0,0,0,1)  
(*brian.h.nathanson@att.net*)  
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- Nelson, J. (0,0,0,1,0,0,0)  
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(*neralic@oliver.efzg.hr*)  
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- Obersteiner, Michael (0,0,0,0,0,0,1)  
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(*obrien@latrobe.edu.au*)  
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- Odeck, James Oyugi (0,0,0,5,1,0,0)  
(*James.odeck@vegvesen.no*)  
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- Odening, Martin (0,0,0,0,0,0,1)  
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- Okasha, A. A. (0,0,0,1,0,0,0)  
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- Olesen, Ole Bent (1,1,1,8,0,1,11)  
(*ole@busieco.ou.dk*)  
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- O'Neill, Liam (0,0,0,1,0,0,5)  
(*liam-oneill@uiowa.edu*)  
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(*jimo@uri.edu*)  
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- Orme, Christopher (0,0,0,1,0,0,0)  
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(*je@sji.dk*)  
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- Ozawa, Wataru (0,0,0,1,0,0,0)  
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(*paradi@ie.utoronto.ca*)  
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- Park, Byeong (0,0,0,0,0,0,2)  
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- Park, Kwangtae (0,0,0,0,0,0,1)  
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- Park, Kyung Sam (0,0,0,8,0,0,1)  
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(*jtpastor@umh.es*)  
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(*pesenti@univ.trieste.it*)  
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- Philogene, Stephane (0,0,0,0,1,0,2)  
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(*j.piesse@mbs.bbkc.ac.uk*)  
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(*orset@wbs.warwick.ac.uk*)  
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- Ravisankar, T. S. (0,0,0,1,0,0,0) [2421]
- Ray, Subhash C. (0,0,0,9,0,0,8) (*ray@uconnvm.uconn.edu*) [665] [886] [887] [888] [2302] [2303] [2304] [2305] [2306] [2307] [2308] [2309] [2310] [2311] [2312] [2313] [2314]
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- Rehnberg, Clas (0,0,0,2,0,2,0) (*hecr@hhs.se*) [1238] [1239] [1240] [2832]
- Reinhard, A. J. Stijn (0,0,0,1,0,0,4) (*a.j.reinhard@lei.dlo.nl*) [2321] [2322] [2323] [2324] [2325]
- Resende, Marcelo (0,0,0,0,0,0,1) [1909]
- Resti, Andrea (0,0,0,2,0,1,3) [2326] [2327] [2328] [2329] [2330] [2331]
- Restum, Antonio Elias (0,0,0,0,0,0,1) [2024]
- Retzlaff-Roberts, Donna L. (0,0,0,8,1,0,3) (*retzlaff@memphis.edu*) [1974] [1975] [1976] [1978] [2332] [2333] [2334] [2335] [2336] [2337] [2338] [2339]
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- Rhim, Hosun (0,0,0,0,0,0,2) (*hrhim@netian.com*) [1742] [2340]
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(*julie\_robaille@uqtr.quebec.ca*)  
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(*jerrera@cnbv.gob.mx*)  
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(*michael.d.rosko@widener.edu*)  
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- Ross, Anthony D. (0,0,0,1,0,0,2)  
(*aross@acs.tamu.edu*)  
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(*p.rouse@auckland.ac.nz*)  
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- Rousseau, John James (1,3,0,13,0,1,6)  
(*jjrousseau@mail.utexas.edu*)  
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- Ruggiero, John (0,0,0,11,0,0,3)  
(*ruggiero@udayton.edu*)  
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(*jlruiz@umh.es*)  
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(*sari.rytokoski@hkkk.fi*)  
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- Saal, David S. (0,0,0,0,0,0,1)  
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(*hsaber@squ.edu.om*)  
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- Sablin, Ilia Alekseevich (0,0,0,0,0,0,3)  
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(*pankaj@lrca.com*)  
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(*biresh\_00@yahoo.com*)  
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(*jsalinas@ba.unex.es*)  
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(*jsarkis@clarku.edu*)  
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(*C.S.Sarrico@warwick.ac.uk*)  
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- Sato, Shunsaku (0,0,0,0,0,0,1)  
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(*or-hosc@wiso.uni-dortmund.de*)  
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- Schmidt, Shelton S. (1,0,0,2,0,2,4)  
(*schmidts@union.edu*)  
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(*s.scholtes@jims.cam.ac.uk*)  
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- Schulman, C. (0,0,0,0,0,0,1)  
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- Schwarz, Harry E. (0,0,0,1,0,0,0)  
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- Schweikhart, Sharon (0,0,0,0,0,0,2)  
(*schweikhart.1@osu.edu*)  
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- Scully, Gerald W. (0,0,0,1,0,0,1)  
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- Sear, Alan M. (0,0,0,2,0,0,1)  
(*asear@com1.med.usf.edu*)  
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- Searer, Bill (0,0,0,0,0,0,1)  
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- Sears, M. (0,1,0,0,0,0,0)  
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- Seaver, Bill L. (0,0,0,2,0,0,1)  
(*wseaver@utk.edu*)  
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(*seiford@umich.edu*)  
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(*vs103@york.ac.uk*)  
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- Sengupta, Jati K. (4,3,0,36,0,0,3)  
(*sengupta@econ.ucsb.edu*)  
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(*aserrao@uevora.pt*)  
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- Severance-Lossin, Eric (0,0,0,0,0,1,0)  
(*eric@wiwi.hu-berlin.de*)  
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- Sexton, Thomas R. (0,2,0,3,0,0,4)  
(*tsexton@notes.cc.sunysb.edu*)  
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(*shaheen1000@yahoo.com*)  
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(*saleem@montana.edu*)  
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- Shakun, Melvin F. (0,0,0,1,0,0,0)  
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(*shang@katz.business.pitt.edu*)  
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- Shao, Benjamin B. M. (0,0,0,0,1,0,0)  
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- Sharifi, Alimorad (0,0,0,0,0,0,1)  
(*alimorad.sharifi@economics.gu.se*)  
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(*h.sherman@neu.edu*)  
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- Shin, Chang-hoon (0,0,0,0,0,0,1)  
(*chshin@hanara.kmaritime.ac.kr*)  
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- Shin, Chung Kwan (0,0,0,0,0,0,1)  
(*ckshin@major.kaist.ac.kr*)  
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- Shin, H. C. (0,0,0,0,0,0,1)  
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- Shinohara, Masaaki (0,0,0,0,0,0,2)  
(*sinohara@hashi.ml.ntt.co.jp*)  
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- Shokri, M. (0,0,0,0,0,0,1)  
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- Sholtes, Stefan (0,0,0,1,0,0,2)  
(*s.scholtes@jims.cam.ac.uk*)  
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- Shroff, Homeé Farrokh E. (0,0,0,4,1,0,2)  
(*hshroff@worldnet.att.net*)  
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- Shutler, Maurice F. (0,1,0,0,0,0,3)  
(*M.Shutler@lse.ac.uk*)  
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(*rsickles@rice.edu*)  
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- Siems, Thomas F. (0,0,0,2,1,1,3)  
(*tom.siems@dal.frb.org*)  
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- Siljamäki, Aapo (0,0,0,0,0,0,1,4)  
(*aapo.siljamaki@numplan.fi*)  
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- Silkman, Richard H. (1,1,0,1,0,0,1)  
(*rsilkman@cybertours.com*)  
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- Silva, Angela (0,0,0,0,0,0,2)  
(*estellit@iis.com.br*)  
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- Silva, Elvira (0,0,0,1,0,0,5)  
(*esilva@fep.up.pt*)  
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- Silverwood, L. (0,0,0,0,1,0,0)  
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- Simak, Paul (0,0,0,0,1,0,3)  
(*simak@ie.utoronto.ca*)  
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- Simar, Léopold (0,1,0,12,0,0,17)  
(*simar@stat.ucl.ac.be*)  
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- Singamsetti, Rao N. (0,0,0,1,0,0,1)  
(*singamset@uhavax.hartford.edu*)  
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- Singh, Satbir (0,0,0,0,0,0,3)  
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- Singleton, F. D. Jr. (0,0,0,1,0,0,0)  
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- Sinha, Bani K. (0,0,0,1,0,0,0)  
(*bani@iimcal.ernet.in*)  
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- Sinha, Kingshuk Kanti (0,0,0,2,1,0,0)  
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- Sinigaglia, Nadia (0,0,0,0,0,0,1)  
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(*zilla@bgumail.bgu.ac.il*)  
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(*isirvent@umh.es*)  
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- Soares de Mello, João Carlos  
(0,0,0,0,0,0,2)  
(*jcsmello@yahoo.com.br*)  
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- Soares de Mello, Maria Helena  
Campos (0,0,0,0,0,0,1)  
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- Sohn, So Young (0,0,0,0,0,0,1)  
(*sohna@yonsei.ac.kr*)  
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(*rsteuer@arches.uga.edu*)  
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(*tjstew@maths.uct.ac.za*)  
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(*sueyoshi@ia.noda.sut.ac.jp*)  
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(*msyrjane@hkkk.fi*)  
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- Tabata, Yoshio (0,0,0,0,0,0,1)  
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(*tadepall@admin.xu.edu*)  
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(*takeda@is.titech.ac.jp*)  
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(*k-tanaka@kjo.setsunan.ac.jp*)  
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(*ktang@coe.ubc.ca*)  
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(*m1sbt00@frb.gov*)  
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(*gtavares@rutcor.rutgers.edu*)  
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(*temesi@pegasus.bke.hu*)  
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(*orset@wbs.warwick.ac.uk*)  
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(*thore@mail.telepac.pt*)  
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(*m.p.timmer@eco.rug.nl*)  
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- Timo, Sipilainen (0,0,0,0,0,0,1)  
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- Tind, Jørgen (0,0,0,2,0,0,8)  
(*tind@math.ku.dk*)  
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(*c.tofallis@herts.ac.uk*)  
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- Tompkins, C. (0,0,0,0,0,0,1)  
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(*arne.torgersen@nve.no*)  
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- Triantis, Konstantinos P. (0,0,0,5,0,0,14)  
(*triantis@vt.edu*)  
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- Tsai, Pai-Fang (0,0,0,1,0,0,1)  
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- Tsybakov, A. B. (0,0,0,1,0,0,0)  
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- Tuenter, Hans (0,0,0,1,0,0,3)  
(*htuenter@bus.yorku.ca*)  
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- Tulkens, Henry (1,2,0,4,0,0,1)  
(*tulkens@core.ucl.ac.be*)  
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- Tveterås, Ragnar (0,0,0,1,0,0,4)  
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- Tweeten, Luther G. (0,0,0,1,0,0,0)  
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- Tyler, J. (0,0,0,0,0,0,1)  
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- Ukovich, Walter (0,0,0,1,0,0,3)  
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- Uslu, Akin (0,0,0,0,0,0,1)  
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- Utkin, Oleg Borisovich (0,0,0,0,0,0,3)  
(*arbisbank@mtu-net.ru*)  
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- Vakkuri, Jarmo (0,0,0,0,0,0,2)  
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- Valdmanis, Vivian Grace (0,2,0,7,1,0,13)  
(*vivan-valdmanis@ouhsc.edu*)  
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- Vaninsky, Alexander Y. (0,0,0,2,0,0,6)  
(*vaninsky@netanya.ac.il*)  
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- Vargas, S. Claudina (0,0,0,0,0,0,1)  
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(*ann.veiderpass@economics.gu.se*)  
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(*avivas@ccuma.sci.uma.es*)  
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(*boris.vujcic@nbh.hr*)  
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- Wächter, Jens-Uwe (0,0,0,0,0,0,1)  
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- Waddock, S. A. (0,0,0,1,0,0,0)  
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- Wagner, Janet M. (0,0,0,0,0,0,2)  
(*wagner@umb.edu*)  
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(*lcwalter@acd1.byu.edu*)  
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(*twan@hsc.vcu.edu*)  
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(*chien@cimsim.berkeley.edu*)  
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(*yuyingwang@amrcorp.com*)  
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- Weaver, Robert D. (0,0,0,1,0,0,3)  
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(*cweber@ida.org*)  
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(*weiner@stat.ucl.ac.be*)  
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- Weiss, Mary A. (0,0,0,1,0,0,0)  
(*mweiss@thunder.temple.edu*)  
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- Welzel, Peter (0,0,0,1,0,0,0)  
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- Wendell, Richard E. (0,0,0,0,0,0,2)  
(*wendell@katz.business.pitt.edu*)  
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(*wholey+@andrew.cmu.edu*)  
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- Whybark, D. Clay (0,0,0,1,0,0,0)  
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- Whynes, D. K. (0,0,0,1,0,0,0)  
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(*gerry@emp.pdx.edu*)  
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(*kwomer@bus.olemiss.edu*)  
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(*wu@utas.edu.au*)  
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(*ywu@ecel.uwa.edu.au*)  
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(*xuem@wharton.upenn.edu*)  
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- Yaisawarng, Suthathip (0,1,0,5,0,4,7)  
(*yaisawas@union.edu*)  
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- Yamaguchi, Toshikazu (0,0,0,0,0,0,1)  
(*yama@ms.kagu.sut.ac.jp*)  
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- Yamamoto, Yasutaka (0,0,0,0,0,0,1)  
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- Yan, Hong (0,0,0,3,0,0,0)  
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(*jyang@mail.gcsu.edu*)  
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- Yolalan, Osman Reha (0,0,0,5,1,4,0)  
(*ryolalan@ykb.com*)  
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- Yongqiang, Zhang (0,0,0,0,0,0,1)  
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- Yoo, Seuck-Cheun (0,0,0,0,0,0,1)  
(*scyoo@dgu.ac.kr*)  
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- Yu, Gang (0,0,0,8,0,1,0)  
(*yu@uts.cc.utexas.edu*)  
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(*yun@eng.kagawa-u.ac.jp*)  
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- Zaibet, Lockman (0,0,0,0,0,0,1)  
(*lzaibet@squ.edu.om*)  
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- Zaim, Osman (0,0,0,2,0,0,5)  
(*zaim@bilkent.edu.tr*)  
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- Zenios, Stavros A. (0,0,0,3,0,0,7)  
(*zenioss@atlas.pba.ucy.ac.cy*)  
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- Zethraeus, Niklas (0,0,0,0,0,2,0)  
(*henz@hhs.se*)  
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- Zhang, Xiang-Sun (0,0,0,2,0,0,1)  
(*zxs@amath8.amt.ac.cn*)  
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- Zhu, Joe (0,0,0,24,0,0,17)  
(*jzhu@ecs.umass.edu*)  
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(*zih@sejong.ac.kr*)  
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(*szionts@acsu.buffalo.edu*)  
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