

Taylor, Sarah

From: GraduateSchool, Resource
Sent: 31 October 2017 15:24
To: Dobra-Kiel, Alexandra
Subject: RE: PhD Dissertation Embargo Request

Dear Alexandra,

The Academic Director has approved an extended embargo for four years. If after four years, you require an additional embargo, then you will just need to send us an email to request this.

Kind regards,

Sarah Taylor | Research Degree Examinations Officer | Warwick Graduate School | Senate House | University of Warwick | Coventry | CV4 7AL | UK
Tel: +44 (0) 24 7657 5533 | Fax: +44 (0) 24 7657 2906 | Email: graduateschool@warwick.ac.uk

From: Dobra-Kiel, Alexandra
Sent: 30 October 2017 22:17
To: GraduateSchool, Resource <GraduateSchool@warwick.ac.uk>
Subject: Re: PhD Dissertation Embargo Request

Dear Sarah,

Thank you for having passed the request to the Academic Director.

Kind regards,

Alexandra

From: "GraduateSchool, Resource" <GraduateSchool@warwick.ac.uk>
Date: Monday, 30 October 2017 11:28
To: Alexandra Dobra <a.dobra@warwick.ac.uk>
Subject: RE: PhD Dissertation Embargo Request

Dear Alexandra,

Thank you for submitting your thesis. I will pass your request for an extension to the embargo on your thesis, to the Academic Director of the Graduate School for his approval and I will be in touch to let you know his response.

Kind regards,

Sarah Taylor | Research Degree Examinations Officer | Warwick Graduate School | Senate House | University of Warwick | Coventry | CV4 7AL | UK
Tel: +44 (0) 24 7657 5533 | Fax: +44 (0) 24 7657 2906 | Email: graduateschool@warwick.ac.uk

From: Dobra-Kiel, Alexandra
Sent: 28 October 2017 12:03
To: GraduateSchool, Resource <GraduateSchool@warwick.ac.uk>
Subject: PhD Dissertation Embargo Request

Dear Madam/Sir,

I have submitted today (28 October 2017) my PhD Dissertation. I would like to make an embargo request for my PhD Dissertation. I am attaching a letter outlining the rationale for the embargo (from both myself and my supervisor, Prof. Dr. Richard Aldrich). I have also added this letter, separately, to the materials I have submitted as part of my PhD Dissertation.

Thank you,
Kind regards,

Alexandra Dobra

PhD Dissertation Embargo Request

approved
4 years &
then he can
ask for an
ext if justified
C.R.S. w
31/10/17

Supporting Statement by PhD Candidate Alexandra Dobra-Kiel

Dear Graduate School,

I am currently in the process of submitting my PhD Dissertation, 'Emotions and Behavioural Ethics. The Case of Asset Management and Investment Banking', to the Graduate School.

In doing so, I would like to request an extended embargo of ten years on my PhD Dissertation based on three reasons, outlined thereafter.

First, this PhD Dissertation is based, inter alia, on interviews with elite fund managers based in the UK. Due to the particularly heightened sensitivity of the topic of this PhD Dissertation (i.e., ethical decision-making and emotions) and the trust that respondents have manifested towards me, and in the absence of which, I would not have been able to conduct this research, I would like to ensure that all steps are taken to preserve the anonymity of the respondents.

Second, this dissertation contains data relating to major banks and businesses that is commercially sensitive and may result in controversy and unwelcome repercussions if released into the public domain.

Third, this PhD Dissertation is aimed to be published in external academic outlets (i.e., journals and/or book) in the field of management studies. The specific rules outlined by the academic outlets aimed at within management studies, stipulate that no prior available materials (online or offline) similar to the ones submitted should exist.

Thank you for your understanding,
Kind regards,

Alexandra Dobra

Supporting Statement by Supervisor Professor Dr. Richard Aldrich

Alexandra Dobra has been a remarkable student who has conducted interview work around ethics in a highly sensitive field. Her main focus has been hedge fund managers and, supported by colleagues in WBS, she has achieved excellent access within leading institutions. This has resulted in an outstanding PhD but it also means that the data it contains is both personally and commercially sensitive, despite following the normal conventions for anonymity - fund management is a small world. So I would like to offer my strong support for the suggestion that this should be close for a period of ten years.

Professor Richard J Aldrich, FRHistS
Leverhulme Major Research Fellow
Politics and International Studies
University of Warwick
Gibbet Hill Road
Coventry CV4 7AL
United Kingdom

1. The first part of the document is a list of names and addresses of the members of the committee. The names are written in a cursive hand, and the addresses are written in a more formal, printed hand. The list is organized in a table-like format with three columns: Name, Address, and a third column that appears to contain some numerical or alphabetical data.
