

Curriculum Vitae**Arlie O. Petters, MBE<sup>1</sup>**

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**Research Interests**

- Mathematical Physics
  - Mathematics—tools from differential geometry, the theory of singularities, and probability theory
  - Physics—problems connected to the interplay of gravity and light (gravitational lensing, general relativity, astrophysics, cosmology)
- Mathematical and Scientific Methods in Business Administration
  - Mathematical finance with applications
  - Entrepreneurship and innovation in STEM fields, developing nations

**Professional History**

- Dean of Academic Affairs for Trinity College of Arts & Sciences and Associate Vice Provost of Undergraduate Education, Duke University (2016–2019)
- Benjamin Powell Distinguished Professor of Mathematics, Duke University (2009–present)
  - Professor of Economics, Duke University (2016–present)
  - Professor of Business Administration, Fuqua School of Business, Duke University (2008–2017)
  - Professor of Mathematics and Physics, Duke University (2003–present)
  - William and Sue Gross Associate Professor of Mathematics, Bass Professorship, Duke University (1998–2003)
- Chair, Council of Science Advisers to the Prime Minister of Belize (2010–2013)
- President and Founder, Petters Research Institute, Dangriga, Belize (2005–present)
- Martin Luther King, Jr., Visiting Professor of Physics, MIT (2003–2004)
- Director of Undergraduate Studies, Mathematics, Duke University (2002)
- Assistant Professor of Mathematics, Princeton University (1993–1998)
- Co-Director of Graduate Studies, Mathematics, Princeton University (1996–1998)
- Instructor of Pure Math, MIT (1991–1993)
- Member of Technical Staff, Bell Laboratories, Murray Hill, NJ (Summers, 1986–1990)
- Visiting Positions
  - Princeton University (2007), MIT (2003–2004), Harvard University (2002), Oxford University (1995), Max-Planck-Institut für Astrophysik (1994)

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<sup>1</sup>Member of the Most Excellent Order of the British Empire

## Education

- Ph.D., MIT, Department of Mathematics (1986-1991)
  - Ph.D. thesis title: *Singularities in Gravitational Microlensing* (1991)
  - Ph.D. thesis advisers: Bertram Kostant (MIT) and David Spergel (Princeton)
  - Exchange Scholar, Department of Physics, Princeton University (in absentia from MIT, 1988–1991)
- B.A. and M.A., Hunter College of the City University of New York, Departments of Mathematics and Physics (1981-1986)
  - M.A. thesis title: *The Mathematical Theory of General Relativity* (1986)

## Awards and Honors

- Grand Marshal, 2012 Central American Independence Day Parade in Los Angeles, received certificate of recognition from the mayor of Los Angeles (2012)
- Caribbean American Heritage Award for Excellence in Science and Technology, The Institute of Caribbean Studies, Washington, DC (2011)
- Robert L. Clark Award for Scientific Achievement, Bronx Community College of the City University of New York (2011)
- Chair, Council of Science Advisers to the Prime Minister of Belize (2010–2013)
- Eponym honor, *Dr. Arlie Petters Street*, Dangriga, Belize (2009)
- Member, Most Excellent Order of the British Empire (MBE), named by the Queen of England (2008)
- Honorary Doctor of Science, Hunter College of the City University of New York (2008)
- Award for Service to Dangriga and Belize, The New York City Garifuna Community Association (2007)
- Award for Service to the Educational Development of Belize, Friends in Support of the Diocese of Belize, New York (2007)
- Portrait Inductee, National Academy of Sciences Portrait Gallery of Distinguished African American Scientists and Engineers (2006)
- NSF Mathematical Innovations Grant Award (2004–2008)
- Blackwell-Tapia Prize in Mathematical Science (first recipient, 2002)
- Inductee, Bass Society of Fellows, Duke University (1998–present)
- NSF CAREER Award (1998–2003)
- Alfred P. Sloan Research Fellowship Award (1998–2000)
- Hall of Fame Inductee, Hunter College of the City University of New York (1999)
- Belizeans in Solidarity Award for Outstanding Academic Achievement (1996)
- Award for Service to African American Students at Princeton University, Princetonians of Color Network (1996)
- Member, Sigma Xi, MIT Chapter (1992–present)
- Bell Laboratories Cooperative Research Fellowship Award (1986–1991)
- Harold Hoey, Jr., Award in Mathematics (1986)
- Gillet Alumni Prize in Physics (1986)
- Joseph A. Gillet Memorial Prize in Physics (1986)

- Rainer Sachs Award in Mathematics (1986)
- Minority Access to Research Careers Fellowship award (1983–1985)

## Boards

- Board of Trustees, The Mathematical Sciences Research Institute, Berkeley, California (2020–2024)
- Board of Trustees, Institute of Pure and Applied Mathematics, UCLA, Los Angeles, California (2006–2010)
- Board of Governors, Institute for Mathematics and its Applications, University of Minnesota, Minneapolis, Minnesota (2006–2010)

## Societies

- Fellow, The American Mathematical Society (2013-present)
- Fellow, The Royal Astronomical Society (2010-present)
- Bass Society of Fellows, Duke University (1998-present)

## Selected Media Profiles

### Biographical:

- *The History Makers* (“Arlie Petters Profile,” February 21, 2012)
- *PBS NOVA scienceNOW* (“Profile: Arlie Petters; A boy from a rural village in Belize grows up to be become a world-class mathematician and cosmologist,” July 23, 2007)
- *New York Times* (“A Conversation with: Arlie Petters; A Journey to Bridge Math and the Cosmos,” by Claudia Dreifus, May 17, 2003)

### Research:

- *Duke Research* (“Prescription lens brings spinning black holes into focus,” by Ashley Yeager, November 4, 2011)
- *MIT Technology Review* (“Arlie Petters, PhD ’91. Duke mathematician seeks fourth dimension,” by Eileen McCluskey, December 22, 2008)
- *MSNBC* (“Physicists probe the fifth dimension,” by Alan Boyle, June 6, 2006)

### Outreach:

- *Duke Chronicle* (“Arlie Petters is one of the few tenured black mathematicians. He wants to diversify his field,” by Isabelle Doan, May 20, 2019)
- *Channel 5 News, Belize* (“Gifted students complete two week academic program,” July 23, 2009)
- *7 News, Belize* (“What a difference Dr. Petters makes,” August 4, 2006)

## Personal Information

- Date and country of birth: February 8, 1964, Belize
- Citizenship: U.S.A. (1990)

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# 1 Research Experience

In this section, an expression of the form “[x]” cites the corresponding entry in the list of publications in Section 1.3 (page 25).

## 1.1 Research Overview

My research deals with the mathematical and physical aspects of *gravitational lensing*, which is the action of gravity on light. In a typical gravitational lensing scenario, light originates from a distant source like a star, galaxy, or quasar, and experiences deflection by the gravity of a foreground mass before arriving on earth. The deflector could be a star, galaxy, clump of dark matter, or even a black hole.

The earliest scientific papers on gravitational lensing date back to at least the early 1780s, when Michel, Laplace, and Cavendish applied Newton’s theory of gravity to lensing. However, it was not until 1915 that Einstein, using his brand-new gravitational theory—the General Theory of Relativity—derived the correct formula for how much gravity bends light. His prediction for the bending angle of starlight grazing the sun, which is twice the angle obtained via Newton’s gravitational theory, was confirmed in 1919 by Sir Arthur Eddington (within the experimental accuracy of the time). This marked the first observed example of gravitational lensing. The turning point in the subject, though, was triggered by the 1979 discovery of lensing outside our solar system. Since then, hundreds of examples of extra-solar gravitational lensing events have been observed and the field has undergone exponential growth.

Today, gravitational lensing attracts observational astronomers, astrophysicists, mathematical physicists, and mathematicians from around the globe. Lensing is exciting because, for example, it can address the nature of black holes, the distribution of dark matter, the detection of extra-solar planets, and the existence of a possible fifth dimension. My work straddles and creates synergistic interactions between the mathematical and physical aspects of the subject.

### Research Period: 1991–2001

#### DEVELOPMENT OF A MATHEMATICAL THEORY OF WEAK-DEFLECTION GRAVITATIONAL LENSING

**Why Develop a Mathematical Theory of Gravitational Lensing?** Astrophysicists typically infer physical properties like the mass composition and cosmological parameters of the universe using heuristic physical arguments, intuition gained from numerical simulations, and models based on idealized analytical forms, causing some theorists to oversimplify the richness and complexity of real systems. In addition, prior to 1991 most lensing research focused only on the situation of a single deflector between the source and observer, so little was known about the multiple lens plane case. This begged for a theory that would yield the *universal* properties of multi-plane lens systems, namely, those features that are *generic* among lens models and *stable* against small perturbations of the models. Such universal properties would be essentially independent of the details of a chosen lens model and provide important insights into the intrinsic physical features of realistic lens systems.

To accomplish this ambitious feat, one needed to develop a mathematical theory of genericity and stability for general multi-plane gravitational lens systems. This is because astrophysics serves as a guide to understanding *specific examples* of gravitational lensing, but it is the mathematics

that enables the creation of a general theory applicable to *essentially all* lens systems. The desired theory would put the field on a solid mathematical foundation and simultaneously solve a string of core theoretical lensing problems. A further important benefit was that such a mathematical theory would transcend gravitational lensing. In other words, the theory became applicable to any real-world setting invoking a mathematical framework similar to the one in lensing. For example, the caustics of gravitational lensing appear not only in that subject, but also in fields ranging from industrial robotics to oil exploration. Hence, a mathematical theory of gravitational lensing not only provided tools for the field of lensing, but demonstrated applicability to several areas outside the subject.

### Overview of Papers [31] to [55]

From 1991 to 2001, the research in papers [31–55] was focused primarily on developing a mathematical theory of weak-deflection gravitational lensing through solving several key theoretical lensing problems. This required unlocking the mathematical theorems and structures governing the core of gravitational lensing, namely, *images*<sup>2</sup> (multiple images, image magnification, image time delays) and *caustics* (local and global properties).

- **Images**

- **Image Counting Problem**

- A striking feature of gravitational lensing is the formation of multiple images of a background source. The Image Counting Problem is determining counting information about the number of images produced by general deflectors distributed over a finite number of lens planes. This complicated problem was addressed in the papers [47, 53–55] using Morse theory. The basic strategy was to convert the Image Counting Problem into counting critical points of a non-degenerate function. The papers showed that all the Betti numbers of the domains of the appropriate non-degenerate functions can be computed for single and multi-plane lensing, giving a general set of counting formulas and lower bounds on the number of images. The results included an odd-number-image theorem for multi-plane nonsingular lensing.

- An upper bound on the number of images in the multi-plane point mass case was found in paper [39]. In the paper, I used the theory of resultants, rather than Morse theory, to find an upper bound. The paper also recovered the single-plane result and provided a rigorous proof for that case. In the paper [36], we presented a conjecture about the maximum number of images due to point mass lenses: the maximum number  $N_{\max}$  of images is linear (rather than quadratic) in the number  $g$  of point masses. The conjecture was shown to hold.<sup>3</sup>

- **Fixed-Point Images, Image Magnification, and Image Time Delays**

- When a source is gravitationally lensed, its images are shifted from the true position of the source. A *fixed-point image* is an angular image position that corresponds to the original angular source position, despite gravitational lensing. Do such images exist and, if so, how many are there? Papers [34, 35] introduced the notion of fixed-point images

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<sup>2</sup>These are optical lensed images.

<sup>3</sup>The cases  $g = 1, 2,$  and  $3$  were known to produce a maximum of 2, 5, and 10 images, respectively (e.g., see [36]). In 1997, we ran numerical experiments supporting a linear maximum as conjectured [36]. In 2004, Khavinson and Neumann proved the linearity for  $g \geq 4$ : the maximum number of images satisfies  $N_{\max} \leq 5g - 5$  for  $g \geq 2$ , with attainable upper bound.

in gravitational lensing, established the existence of such images, and used Morse theory and the theory of resultants to find counting formulas and bounds for the number of these images. Paper [34] also established an odd-number theorem for the fixed-point images due to nonsingular isolated deflectors. For three-point masses, the paper showed that there are two fixed points and they lie at the foci of an ellipse inscribed in the triangle defined by the positions of the three masses. Each image of a lensed source has a magnification. Paper [40] used Morse theory to determine lower bounds on the total magnification due to a generic single-plane gravitational lens. The lower bounds are given in terms of the number of images of the source, number of obstruction points of the deflector, and mass density of the deflector. The paper included a treatment of the magnifications and trajectories of the images as the source moves to infinity.

-Paper [52] was the first to formulate gravitational lensing from a symplectic geometric viewpoint using Arnold's singularity theory. The latter was employed to give a local classification of the image surfaces and time-delay surfaces for a generic gravitational lens system. This includes a local classification of the lens system's Maxwell set (source positions where at least two images have the same time delay), which defines the boundary between regions where all the images have distinct time delays. Note that the time delay between images of a lensed quasar is important as the delays are connected with the age of the universe.

- **Caustics**

Caustics play a central role in the theory of gravitational lensing. They are the places where a source appears the brightest, meaning positions from which a source has at least one image with a formal infinite magnification. The local and global geometry of caustics were explored in papers [28, 31, 32, 33, 37, 38–46, 48–52].

- **Local Geometry of Caustics**

-Paper [52] reformulated gravitational lensing from the viewpoint of Arnold's singularity theory. This resulted in a local classification of the caustics, caustic evolution (metamorphoses), big caustics, and bi-caustics (curves traced out by cusps) for a generic gravitational lens system. Some additional caustic phenomena, such as handkerchief singularities, were also explored in [48].

-Paper [33] was the first to characterize the qualitative local behavior of the center-of-light or centroid of a source crossing the caustics due to a generic gravitational lens. The primary mathematical tool employed was Whitney's singularity theory.

- **Global Geometry of Caustics**

-Paper [46] gave a global mathematical law connecting the curvature of caustics to obstruction points of the lens (opacity of the lens). The paper also determined lower bounds on the number of obstruction points, upper bounds for the total curvature of the caustics, and a cusp counting formula, which refined and expounded further on an earlier formula in [49].

-Paper [44] determined an upper bound on the total number of cusps in a caustic network due to point masses on a plane with continuous matter and shear and showed that all the cusps can be eliminated if the density of continuous matter is sufficiently large. The paper also determined the global equations governing bi-caustics.

-Papers [43, 45] discovered new caustic phenomena in double-plane lensing, with each plane having a point mass with continuous matter and shear. Some of these new geometric caustic forms include teardrop, cardioid, and kidney-bean caustics. The paper showed

how certain caustics in double-plane lensing cannot occur in the single-plane case. For example, all five generic caustic metamorphoses—lips, beak-to-beak, swallowtails, elliptic umbilics, and hyperbolic umbilics—occur in double-plane point mass lensing, while lips and hyperbolic umbilics are impossible for the single-plane point mass case.

-Paper [50] gave an extensive classification of the number caustics and cusps due to one- and two-point mass lenses on a plane with continuous matter and shear. The paper also established that  $g$ -point masses with continuous matter and shear can have at most  $3g - 3$  beak-to-beak caustic singularities.

-Papers [31, 38, 41, 42, 48] made the first steps towards a unified, coherent theory of the many global results in [43, 44, 45, 46, 50].

#### o **Wavefronts, Caustic Surfaces and Caustic Surfing**

Gravitational lensing can also be studied from a wavefront perspective. The source emits a wavefront that is initially spherical, but which becomes distorted and develops singularities as it passes through the lens. The caustics on the wavefront then trace out surfaces in space as the wavefront moves. These caustic surfaces are extensions of the planar caustic curves studied earlier in papers [31, 33, 37, 38–46, 48–52].

-Paper [32] briefly investigated the wavefronts and caustic surfaces due to a lens with an elliptical potential (e.g., galaxy lens).

-Paper [28] significantly extended the work in [32] by deriving the equations governing wavefronts and caustics on wavefronts and giving detailed illustrations of the caustics and wavefronts in space. An interesting application of these results is to caustic surfing, a futuristic notion suggested by Roger Blandford in his 2001 Millennium Essay. By surfing a caustic surface, a space-borne telescope can be fixed on a gravitationally-lensed source to obtain observations of the source at an extremely high magnification over an extended time period. Such observations would reveal the structural nature of distant sources like quasars that could not otherwise be resolved. In paper [28], we presented a way to surf caustic sheets due to a lensed source in rectilinear motion. This paper also used wavefronts to explain a puzzling effect that was first mentioned in the book [2, p. 188]. Specifically, for a singular isothermal sphere lens there is a simple closed non-caustic curve that separates the plane of the source into two regions where the number of images differs by one, rather than the expected number of two. We showed that such a curve is the boundary of the associated wavefront, and the number of images differs by one because a whole sheet of the wavefront is missing due to the obstruction point of the singular isothermal sphere.



## Monograph: *Singularity Theory and Gravitational Lensing* [2]

The work in papers [31] to [55] culminated in the monograph [2] by me (lead author), Levine, and Wambsganss. The book refined some of the findings in those papers and included new results. It gave a comprehensive and detailed exposition of the mathematical theory of gravitational lensing.

After a historical overview of gravitational lensing (Chapter 1), the book [2] framed two central problems from which the theoretical foundation of lensing flows: given a spacetime setting with at least one lens, determine the lensing properties; conversely, given a lensing signature, determine the properties of the lens system, which includes its spacetime context (Chapter 2). These issues are first addressed from an astrophysical perspective in Chapter 3 (physical concepts and approximations), Chapter 4 (physical applications), and Chapter 5 (observations).

The book then employed heavily geometric and algebraic tools from an area of pure mathematics, called *singularity theory*, to address the central problems. The physical concepts, postulates, approximations, and core results in Chapter 3 were codified in Chapter 6 into precise mathematical definitions and theorems. In Chapters 6–15, the book not only placed gravitational lensing on a unified mathematical foundation, but showed in great detail how the mathematical framework can be employed to address the two central problems as well as solve certain key lensing problems, derived from the central ones, that were impenetrable using non-singular-theoretic tools. For example, the book gave detailed solutions for the following problems for  $k$ -plane lensing: classify the stable properties of time delay families and lensing maps using an astrophysically natural notion of equivalence and establish the genericity of stable properties among all lens systems (Chapter 8); characterize the generic local qualitative properties of critical curves, caustics, and their metamorphoses (Chapter 9); determine invariant counting formulas for the number of images (Chapters 10–12); characterize the behavior of individual image magnifications, determine lower bounds on the total magnification, and establish a global magnification cross section formula and its scalings near caustics (Chapters 9, 13); and determine a formula relating the curvature of caustics with the opacity of a lens (Chapter 15), which addressed inferring properties of a lens(es) given properties of its caustics. On the other hand, the astrophysics of gravitational lensing came to bear on the theory of singularities. For example, lensing issues led us to develop a theory of stability and genericity for families of time delay functions and lensing maps for  $k$ -plane lensing, generalize Thom’s fundamental catastrophe theorem for two control parameters, link the curvature of caustics curves to topological invariants of the lens, create a theory of local convexity of caustics, and introduce probability theory into singularity theory via magnification cross sections (Chapters 8, 9, 13, 15). Overall, the book established a cross-fertilization spanning the spectrum from highly abstract mathematical methods to practical astrophysical theory pertinent to observational lensing data.

It is important to add that singularity theory is a collection of many theories. We employed five of these theories in the book: Morse theory, Whitney singularity theory, Thom catastrophe theory, Mather stability theory, and Arnold singularity theory. We created a seamless joining of all these theories in order to have a single coherent theory that is applicable to gravitational lensing—a highly nontrivial task! This synthesis involved establishing the equivalence of certain concepts and results from the different singularity theories and included retooling certain key definitions and theorems as well as introducing new ones (Chapters 7–10, 14, 15). For example, we established the equivalence of seven different ways of representing fold and cusp caustics in the various theories; introduced a fold-cusp function as a tool in characterizing the approximate quantitative behavior of lensing near caustics; adopted the notion of genericity to the space of families of time delay functions; and dissected each concept of differentiable equivalence (at least ten) to determine those that are consistent with the physics of lensing. Furthermore, given the theoretically hard and technical nature of singularity theory, we had to translate many abstract results—most of which

involved calculations with abstract mathematical spaces (singularity manifolds, multijet bundles, etc.) rather than numbers or variables—into practical formulas that could be used to compute explicitly the key physical quantities of a lens system (e.g., lens mass, lens distance, source radius).

Overall, the core techniques and theorems presented in the book [2] can be used to make explicit predictions about lensing behavior accessible to current and near-future instrumentation. In addition, the book provides a platform from which to generalize weak-deflection gravitational lensing to the strong deflection case (e.g., lensing by black holes). These aspects were addressed in the research papers that came after completing the book in June of 2001 and are taken up in the next subsection.

## Research Period: 2002–2007

### PREDICTIONS ABOUT CENTER-OF-LIGHT

Employing some of the results from the mathematical theory of lensing [31–55], papers [29] and [30] advanced the theory of the center-of-light curves (or image centroids) due to caustic crossings in a generic setting. This resulted in the characterization of those curves and their predicted shapes.

- **Center-of-Light for Sources Crossing Fold Caustics**

Paper [30] explored microlensing near fold caustics. Microlensing describes gravitational lensing of a source whose multiple images are not resolved. The fundamental microlensing observables are the total magnification (photometry) and centroid (astrometry) of the images of a lensed source. Using some of the mathematical results from the book (especially Sections 9.2 and 9.3), we characterized in [30] the local behavior and derived analytic expressions for the photometric and astrometric behavior near a generic fold caustic for point and extended sources. Additionally, we predicted the detailed shape of the astrometric curve of an extended source (with uniform as well as limb darkening surface brightness profiles) crossing a fold caustic. The predicted curve has a generic S-like shape and should be accessible to current or near-future instrumentation. Furthermore, we showed how the predicted astrometric curve can be used to infer the angular size of the source. Coupling photometric and astrometric data, we also illustrated how our equations can be used to determine the mass of the lens. The results in [30] can be applied to binary lenses in our galaxy and cosmological (quasar) microlensing.

- **Center-of-Light for Sources Crossing Cusp Caustics**

Paper [29] investigated microlensing near cusp caustics by drawing on some of the results in Sections 9.2 and 9.3 of the book. We derived explicit formulas for the total magnification and centroid of the images created for sources outside, on, and inside a cusped caustic curve. We obtained new results on how magnification scales with respect to separation from the cusped caustic curve for arbitrary source positions. For example, along the axis of symmetry of the cusp, the magnification  $\mu$  is proportional to  $u^{-1}$ , where  $u$  is the distance of the source from the cusp, whereas perpendicular to this axis,  $\mu$  is proportional to  $u^{-2/3}$ . We also predicted that the generic shape of the image centroids for point and extended sources have swallowtail-like and parabolic-like features, respectively. When a point-like source passes through a fold arc, the image centroid has a jump discontinuity. We derived a formula for the size of the image centroid jumps for the folds abutting a cusp and used the formula to outline a method by which the central parameter for microlensing (i.e., the angular Einstein ring radius) can be estimated using measurements of the jump. Similar to the fold case, the results in [29] are applicable to Galactic binary lenses and cosmological microlensing, which can yield estimates of the lens's mass and angular radius of the source.

## PREDICTIONS IDENTIFYING SMALL-SCALE STRUCTURE IN GALAXIES USING FLUX-RATIO ANOMALIES

The problems of what fraction of dark matter exists in galactic halos and the degree to which the dark matter is clumpy or smoothly distributed are indeed pressing in astronomy. Papers [25] and [26] also apply results from the mathematical theory of lensing [31–55], showing rigorously how flux-ratio anomalies of sources near fold and cusp caustics can be used to test, in the most generic way possible, for the presence of small-scale structure (like dark matter clumps) in galactic halos.

- **Identifying Small-Scale Structure Using Cusp Lenses**

Paper [26] gave a more robust and generic method for identifying galactic gravitational lenses with small-scale structure (possibly dark matter clumps) using cusp caustic singularities. For a close triplet of images associated with a source near a cusp caustic, the sum of the signed magnifications should approximately vanish. We derived realistic upper bounds on the sum and argued that lenses with flux ratios that significantly violate the bounds can be said to have structure in the lens potential on scales smaller than the image separation. We predicted that three of the observed cusp lenses have small-scale structure giving rise to flux ratio anomalies in their quad-images: B2045+265, B0712+472, and 1RXS J1131-1231.

- **Identifying Small-Scale Structure Using Fold Lenses**

When the source in a 4-image gravitational lens lies close to a fold caustic, two of the lensed images lie close together. If the lens potential is smooth on the scale of the separation between the two close images, then the normalized difference  $R_{\text{fold}}$  between their fluxes should approximately vanish. Violations of this fold relation in observed lenses are thought to indicate the presence of structure (possibly dark matter clumps) on scales smaller than the separation between the close images. Paper [25] studied the fold relation and found it to be more subtle and rich than was previously realized. The degree to which  $R_{\text{fold}}$  can differ from zero for realistic smooth lenses depends not only on the distance of the source from the caustic, but also on its location along the caustic, and on the angular structure of the lens potential. It is then impossible to say from  $R_{\text{fold}}$  alone whether observed flux ratios are anomalous or not. Instead, what is needed is to have the full distribution of  $R_{\text{fold}}$  values that can be obtained from smooth potentials reproducing the separation between the two close images and the distance to the next nearest image. We analyzed the generic and specific features of this distribution, and then predicted that 5 of the 12 known lenses with fold configurations have flux ratio anomalies: B0712+472, SDSS 0924+0219, PG 1115+080, B1555+375, and B1933+503. Combining this with the results of paper [26], we concluded that at least half (8 out of 16) of all 4-image lenses (known in March of 2005) that admit generic, local analyses exhibit flux ratio anomalies indicative of small-scale structure.

## TESTS OF GRAVITATIONAL THEORIES THROUGH ACCESSIBLE LENSING PREDICTIONS

One of the fundamental goals of physics is to test whether Einstein's theory of gravity is correct on different scales. Papers [22–24, 27] present tests of general relativity and other gravitational models using gravitational lensing by compact objects like black holes and neutron stars.

- **Einstein's Theory of Gravity: Probing Black Holes**

- **Schwarzschild Black Holes, Primary and Secondary Relativistic Images**

Lensing by a black hole produces two outer images, called *primary images*, and a family of *secondary images* that loop around the black hole. The centroid and total magnification of these images provide a potential test of general relativity. In paper [27], I determined an analytical framework for how the secondary relativistic images perturb the image centroid and total magnification of the primary images for point-like and extended sources with arbitrary surface brightness profiles. I applied the results to the massive black hole at the center of our galaxy, showing that a single factor characterizes the full relativistic secondary-image correction to the image centroid and total magnification. I also showed that as the lens-source distance increases, the relativistic correction factor strictly decreases and that the correction factor is minuscule, of order  $10^{-14}$ . This demonstrates the importance of the primary images relative to the secondary ones in terms of the capabilities of near-future instrumentation.

- **Spherically Symmetric Black Holes, Primary Images, and Cosmic Censorship**

Paper [24] provided a higher-order asymptotic framework for testing general relativity using lensing by a spherically symmetric black hole. The paper gave an invariant series that went beyond the standard weak-deflection bending angle term. We computed first- and second-order corrections to the primary image positions, magnifications, and time delays to lensing by a Schwarzschild black hole. For a Reissner-Nordstrom black hole, our formalism revealed an intriguing mathematical connection between lensing observables and the condition for having a naked singularity. This could provide an observational method for testing the existence of such objects and so impact the Cosmic Censorship Conjecture (which rules them out). This conjecture is one of the most important in General Relativity. We applied the analytical results of the paper to the Galactic black hole and predicted that the corrections to the image positions are at the level of 10 micro-arcseconds, while the correction to the time delay is a few hundredths of a second. These corrections would be measurable if a pulsar were found to be lensed by the Galactic black hole.

- **Kerr Black Holes, Spin, and Cosmic Censorship**

Paper [19] extended the weak-deflection work of [23, 24] from static spherically symmetric black holes to the non-static case, namely, Kerr black holes. A Kerr black hole with mass parameter  $m$  and angular momentum parameter  $a$  acting as a gravitational lens gives rise to two images in the weak field limit. We derived the magnification relations, namely the signed and absolute magnification sums and the centroid up to post-Newtonian order for Kerr black holes. We showed that there are post-Newtonian corrections to the total absolute magnification and centroid proportional to  $a/m$ , which is in contrast to the spherically symmetric case where such corrections vanish. The paper then proposed a new system of equations involving lensing observables for the two primary images that allow an observational determination of  $a/m$  using gravitational lensing. The resolution capabilities needed to observe this for the Galactic black hole should in principle be accessible to current and near-future instrumentation. This shows that if  $m$  is known, which is the case for quite a number of black hole candidates, then the spin  $a$  can be determined.

In addition to a black hole's spin, the work yielded a lensing way to determine whether the spinning black hole is actually a naked singularity. In fact, since a black hole becomes a naked singularity for spin-mass ratio of  $a/m > 1$ , a lensing measurement of  $a/m$  gives an observational test of the Cosmic Censorship conjecture for realistic black holes. The technique we used in [19] to derive the image properties was based on the degeneracy of the Kerr lens and a suitably displaced Schwarzschild lens at post-Newtonian order. A simple physical explanation for this degeneracy was also given in [19].

- **Schwarzschild Black Holes and the Strong-Deflection Bending Angle**

Paper [20] extended some of the work in [23, 24] to strong-deflection deep inside the potential of a Schwarzschild black hole. One of the fundamental quantities in gravitational lensing is the bending angle of light. Papers [23, 24] gave an invariant series for the weak-deflection bending angle of light, where the first order term was the one Einstein found in 1915. These results were extended in paper [20] to the more difficult situation of strong-deflection lensing, where the light ray is close to the black hole.

For Schwarzschild black holes, we developed in [20] a perturbation theory to compute the bending angle going outwards from the photon sphere, i.e., extending beyond the logarithmic deflection term, to infinity. In the process, however, we discovered the surprising result that the standard logarithmic deflection term commonly used in the literature since 1959 was not the most optimal. We gave a new logarithmic deflection term that is more accurate.

Our perturbation framework was also used to reformulate the weak-deflection bending angle series of [23, 24] in terms of a more natural invariant perturbation parameter, one that smoothly transitions between the weak- and strong-deflection bending series.

The paper [20] then presented in invariant form a comparison of the new strong-deflection bending angle series with the numerically integrated exact formal bending angle expression, and found less than 1% discrepancy for light rays as far out as twice the critical impact parameter. The paper concluded by showing that the strong and weak deflection bending angle series provide an approximation that is within 1% of the exact bending angle value for light rays traversing anywhere between the photon sphere and infinity.

- **PPN Gravity Models**

Paper [23] developed a formalism for testing Post-Post-Newtonian (PPN) gravitational models by characterizing their gravitational lensing signatures. There are infinitely many such gravity models. The associated metrics are static, spherically symmetric and can be written as a series involving the gravitational radius of the compact object doing the lensing. Working invariantly, we computed corrections to standard weak-deflection lensing observables at first and second order in the ratio of the angular gravitational radius to the angular Einstein ring radius of the lens. We showed that the first-order corrections to the total magnification and centroid position vanish universally for gravity theories that can be written in the PPN framework.

This result arises from some surprising, universal relations that we discovered among the lensing observables in PPN gravity models [23]. These universal relations are in terms of the image positions, magnifications, and time delays. An important consequence is that any violation of the universal relations would signal the need for a gravity model outside the PPN framework. In practical terms, the universal relations can guide observational programs to test general relativity, modified gravity theories, and possibly the Cosmic Censorship conjecture.

We used the new universal relations to identify lensing observables that are accessible to current or near-future technology and to find combinations of observables that are most useful for probing the spacetime metric. We gave several explicit predictive applications to the Galactic black hole and the binary pulsar J0737-3039, including a means of knowing observationally when one is probing beyond the weak-deflection limit in a PPN gravity model.

- **Testing for a Possible Fifth Dimension**

Hyperspace models of gravity postulate that physical space has more than the familiar three dimensions. A relatively tractable example is the Randall-Sundrum Type II braneworld model. It was inspired by the Hořava-Witten theory from string theory and postulates that spacetime is five dimensional with one dimension of time and four dimensions of space, where the extra spatial dimension is the *fifth dimension*. One of the major challenges faced by such hyperspace theories of gravity is that they are extremely difficult to test. This is a pressing issue, which was eloquently summarized by the string theorist Brian Greene:<sup>4</sup>

“... it’s hard for me to imagine a discovery that would be more exciting than finding evidence for dimensions [of space] beyond the three with which we’re familiar. To my mind, there is currently no other serious proposal whose confirmation would so thoroughly shake the foundation of physics and so thoroughly establish that we must be willing to question basic, seemingly self-evident, elements of reality.”

In paper [22], we discovered a new way to test the Randall-Sundrum Type II braneworld model and, hence, whether physical space has an extra dimension. We had to develop a wave-optics theory of braneworld gravitational lensing. Our theory characterized the interference patterns due to lensing by a tiny primordial braneworld black hole. We gave explicit equations for the locations of the peaks and troughs in the energy spectrum of the interference pattern. In fact, the equations show explicitly how effects from the fourth dimension of space arise in the energy spectrum: contributions from an extra dimension of space would shift the interference fringes to lower energies and reduce the peak-to-trough separation in the fringe pattern, relative to what would be expected from general relativity. Furthermore, the theoretical framework and testing mechanism we presented allow for generalizations to other hyperspace gravitational models.

Here is a summary of our test and other findings:

- **Predicted Signal of Tiny Primordial Braneworld Black Holes**

We showed that the lensing wave signal due to a primordial braneworld black hole is pronounced when its mass  $M$  is of order that of an asteroid or less—say,  $M \lesssim 10^{-18} M_{\odot}$ , which has a Schwarzschild radius of order the size of an atomic nucleus. We predicted that if these tiny primordial braneworld black holes exist, then such black holes can gravitationally lens light waves and produce interference fringes in the energy spectra of gamma-ray bursts at energies around  $100 \times (M/10^{-18} M_{\odot})^{-1}$  MeV. For primordial braneworld black holes with asteroid-like masses, observations at these energies should be accessible to near-future instruments. In a cosmological setting, one may also wonder whether the probability of black-hole lensing of gamma ray bursts is nontrivial. We pointed out that if primordial braneworld black holes contribute a fraction  $\Omega_{\bullet}$  to the total mass-energy of the cosmos, then the probability that gamma ray bursts are lensed by these objects is roughly  $0.1 \Omega_{\bullet}$ . Current observations do not rule out fractions as high as  $\Omega_{\bullet} \sim 0.1$  [22].

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<sup>4</sup>B. Greene, *The Fabric of the Cosmos* (New York: Vintage Books, 2004), p. 426.



If an interference fringe pattern due to a primordial black hole is observed, then our formulas show that the fringe energies and spacing would yield a simple upper limit on the black hole's mass  $M$ . For instance, detection of a black hole that began with primordial mass  $M \lesssim 10^{-19} M_{\odot}$  would challenge general relativity. This is because according to general relativity, primordial black holes in the previous mass range would have evaporated by the present epoch. However, standard braneworld cosmology predicts that primordial braneworld black holes starting with this upper mass limit, and even significantly smaller, could survive to the present time. Such a detection would favor a five-dimensional braneworld model or perhaps some string-theoretic-type hyperspace model of gravity.

○ **Nearby Primordial Braneworld Black Holes?**

We also established in [22] that if primordial braneworld black holes exist, have mass  $M$ , and contribute a fraction  $f$  of the dark matter, then roughly  $3 \times 10^5 \times f \times (M/10^{-18} M_{\odot})^{-1}$  of them should lie within our Solar System. For example, if 1% of the dark matter in the neighborhood of our Solar System consists of primordial braneworld black holes with mass near  $M \sim 10^{-18} M_{\odot}$  (mass of some asteroids), then we predict that there would be roughly 300,000 such objects in our solar neighborhood. Though these black holes would be harder to detect the closer they are to Earth, any absence of such objects in observations would put constraints on their possible contribution to the distribution of dark matter.

## Research Period: 2008–Present

The research program described in this section covers stochastic lensing, universal magnification invariants, and Kerr black hole lensing.

### DEVELOPING A MATHEMATICAL THEORY OF STOCHASTIC LENSING

The research I did prior to 2008 dealt largely with the non-random aspects of gravitational lensing. Since the positions of compact bodies in microlensing systems with a sufficiently large number of such objects can be treated as random, I then naturally wanted to develop a mathematical theory of stochastic gravitational lensing. A first step was to initiate such a theory for stochastic microlensing, which was started in the 2009 papers [15, 16], and determine invariants that help to advance the theory (papers [17, 18]). Stochastic lensing applies to the study of the distribution of dark matter on galactic scales (e.g., papers [25, 26] and references therein) and provides a specific theoretical framework from which to generalize to a broader mathematical study of more general random maps.

- **A Mathematical Theory of Stochastic Microlensing I. Random Time-Delay Functions and Random Lensing Maps [16]**

Stochastic microlensing is a central tool in probing dark matter on galactic scales. From first principles, paper [16] initiated the development of a mathematical theory of stochastic microlensing. Beginning with the random time delay function and associated lensing map, we determined exact expressions for the mean and variance of these transformations. In addition, we derived the probability density function (p.d.f.) of a random point-mass potential, which forms the constituent of a stochastic microlens potential. We also characterized the exact p.d.f. of a normalized random time delay function at the origin, showing that it is a shifted gamma distribution, which also holds at leading order in the limit of a large number of point masses if the normalized time delay function was at a general point of the lens plane. For the large number of point masses limit, we proved that the asymptotic p.d.f. of the random lensing map under a specified scaling converges to a bivariate normal distribution. It showed analytically that the p.d.f. of the random scaled lensing map at leading order depends on the magnitude of the scaled bending angle due purely to point masses as well as demonstrated explicitly how this radial symmetry is broken at the next order. Interestingly, we found at leading order a formula linking the expectation and variance of the normalized random time delay function to the first Betti number of its domain. Additionally, we determined an asymptotic p.d.f. for the random bending angle vector and found an integral expression for the probability of a lens plane point being near a fixed point. Lastly, we showed explicitly how the results are affected by location in the lens plane. The results of [16] are relevant to the theory of random fields and provide a platform for further generalizations as well as analytical limits for checking astrophysical studies of stochastic microlensing.

- **A Mathematical Theory of Stochastic Microlensing II. Random Images, Shear, and the Kac-Rice Formula [15]**

Continuing the development of a mathematical theory for stochastic microlensing initiated in [16], paper [15] explored the expected number of random lensed images of different types. This expectation required a study of the random microlensing shear, viewed as a random field. We first computed exact expressions for the expectation and variance of the components of the random shear vector due to point masses. It then characterized up to three orders the asymptotic behavior of the joint probability density function (p.d.f.) of the random shear vector due to point masses in the large number of stars limit. At third order, we showed that this p.d.f. depends on the magnitude of the shear vector, position in the lens plane, and the star's mass. As a consequence, the p.d.f.s of the shear components converge, in the infinite number of stars limit, to shifted Cauchy distributions, yielding that the shear components have heavy tails in that limit. We also presented the asymptotic p.d.f. of the shear magnitude in the large number of stars limit. All the results on the random microlensing shear were given for a general point in the lens plane. Second, using the co-area proof of the Kac-Rice formula, we derived a formula for the expected number of positive parity images due to a *general* lensing map. This result was employed to deduce similar general formulas for the expected total number of images and the expected number of saddle images. The formulas are applicable to the case of general random distributions of the lenses and light source positions. We applied these formulas to determine the asymptotic global expected number of minimum microimages in the large number of stars regime, where the stars are uniformly distributed. This global expectation is bounded, while the global expected number of images and the global expected number of saddle images diverge as the order of the number of stars.

## UNIVERSAL GEOMETRIC INVARIANTS IN GRAVITATIONAL LENSING

This work explored certain geometric invariants in gravitational lensing that transcend lens model type. Such results hold with probability 1 for random lenses and so are also important consistency checks for stochastic lensing results dealing with random image magnification near generic caustics. The findings have application to the detection of dark substructures in galaxies and clusters of galaxies.

- **A Universal Magnification Theorem for Higher-Order Caustic Singularities [18]**

Paper [18] proved that, independent of the choice of a lens model, the total signed image magnification<sup>5</sup> always sums to zero for a source anywhere in the four-image regions of swallowtail, elliptic umbilic, and hyperbolic umbilic caustics. This magnification-relation theorem is a more global and higher-order analog of the well-known fold and cusp magnification relations, in which the total signed magnification in the two-image region of the fold, and the three-image region of the cusp, are both always zero. As an application, we constructed a lensing observable for the hyperbolic umbilic magnification relation and compare it with the corresponding observables for the cusp and fold relations using a singular isothermal ellipsoidal lens. We demonstrated the greater generality of the hyperbolic umbilic magnification relation by showing how it applies to the fold image doublets and cusp image triplets and extends to image configurations that are neither. We also established the magnification relations for generic 1-parameter families of mappings between planes, extending their potential range of applicability beyond lensing.

- **A Universal Magnification Theorem II. Generic Caustics up to Codimension Five [17]**

Paper [17] extended the magnification-relation theorem in [18] up to generic caustics of codimension five: folds, cusps, swallowtail, elliptic umbilic, hyperbolic umbilic, butterfly, parabolic umbilic, wigwam, symbolic umbilic, 2nd elliptic umbilic, and 2nd hyperbolic umbilic. Specifically, we proved that for a generic family of general mappings between planes exhibiting any of these singularities, and for a point in the target lying anywhere in the region giving rise to the maximum number of real pre-images (lensed images), the total signed magnification of the pre-images will always sum to zero. The proof is algebraic in nature and makes repeated use of the Euler trace formula. We also determined a general algebraic result about polynomials that yields the Euler trace formula. The wide field imaging surveys slated to be conducted by the Large Synoptic Survey Telescope are expected to find observational evidence for many of these higher-order caustic singularities. Finally, since the results of the paper are for generic general mappings, not just generic lensing maps, the findings are expected to be applicable not only to gravitational lensing, but to any system in which these singularities appear.

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<sup>5</sup>Each image magnification is a geometric invariant since it is the reciprocal of the Gaussian curvature at a critical point of the associated time delay surface.

- **A Universal Magnification Theorem III. Caustics Beyond Codimension Five [14]**

The final paper [14] in this series generalized the magnification-relation theorem even further, namely, to the infinite family of A, D, E caustic singularities. We proved that for families of general mappings between planes exhibiting any caustic singularity of the A, D, E family, and for a point in the target space lying anywhere in the region giving rise to the maximum number of lensed images (real pre-images), the total signed magnification of the lensed images will always sum to zero. The proof is algebraic in nature and relies on the Euler trace formula.

- **Orbifolds, the A, D, E Singularities, and Gravitational Lensing [11]**

Paper [11] presented a geometric explanation for the existence of a magnification-relation theorem for the A, D, E family of caustic singularities using compact orbifolds. We generalized certain multi-dimensional residue techniques and introduced weighted projective space as a new tool in the theory of caustic singularities and gravitational lensing.

- **Magnification Cross Sections for the Elliptic Umbilic Caustic Surface [7]**

Gravitational lensing magnification cross sections characterize the probability of a light source being magnified above a certain threshold. These probabilities can constrain cosmological models and are important in observational programs employing lensing magnification to detecting very faint galaxies. Paper [7] determined the asymptotic limit of the magnification cross section due to an elliptic umbilic caustic surface, which is a higher-order caustic singularity that can be produced by a two- or three-galaxy lens system. Specifically, we showed that the volume cross section of an elliptic umbilic caustic surface scales as  $\mu^{-2.5}$  in the two-image region and  $\mu^{-2}$  in the four-image region for total unsigned magnification  $\mu \rightarrow \infty$ .

## GRAVITATIONAL LENSING BY KERR BLACK HOLES

Paper [10] generalized the Schwarzschild black hole lens equation with displacement to the fully three-dimensional setting of axisymmetric lenses, which includes Kerr black holes. The formalism in [10] assumes that the source and observer are in the asymptotically flat region, and does not require a small angle approximation. The companion paper [9] extended the analysis in [10] deeper into the gravitational field of a Kerr black hole, by providing explicit perturbative analytical formulas showing how each lensing observable is affected by higher-order terms. These results should be useful in observing general relativistic corrections, and can be used as a tool in testing Einstein's theory and perhaps also Cosmic Censorship.

- **Lensing by Kerr Black Holes. I. General Lens Equation and Magnification Formula [10]**

Paper [10] developed a unified, analytic framework for gravitational lensing by Kerr black holes. The paper established a new, general lens equation and magnification formula governing lensing by a compact object. The lens equation assumes that the source and observer are in the asymptotically flat region and does not require a small angle approximation. Furthermore, the lens equation takes into account the displacement that occurs when the light ray's tangent lines at the source and observer do not meet on the lens plane. Paper [10] then explored the lens equation in the case when the compact object is a Kerr black hole. Specifically, the paper gave an explicit expression for the displacement when the observer is in the equatorial plane of the Kerr black hole as well as for the case of spherical symmetry.

- **Lensing by Kerr Black Holes. II. Quasi-Equatorial Lensing Observables [9]**

Paper [9] developed an analytical theory of quasi-equatorial lensing by Kerr black holes. It solved perturbatively the general lens equation with displacement given in [10], going beyond weak-deflection Kerr lensing to third order in the expansion parameter  $\varepsilon$ , which is the ratio of the angular gravitational radius to the angular Einstein radius. Paper [9] obtained new formulas and results for the bending angle, image positions, image magnifications, total unsigned magnification, and centroid, all to third order in  $\varepsilon$  and including the displacement. New results on the time delay between images were also given to second order in  $\varepsilon$ , again including displacement. For all lensing observables, the paper also showed that the displacement begins to appear only at second order in  $\varepsilon$ . Additionally, when there is no spin, the paper presented new results on the lensing observables for Schwarzschild lensing with displacement.

## 1.2 Overview of Books

### Book in Preparation

- ***Gravitational Lensing and Black Holes* [1]**

This monograph is being coauthored with Werner and under contract with Springer. It covers spacetime kinematics and optics, spacetime dynamics and black holes, Schwarzschild spacetime and optics, Schwarzschild deflection angle, Schwarzschild lensing, Kerr spacetime and optics, Kerr deflection angle, Kerr lensing, post-post-Newtonian lensing, gravitational waves and lensing, braneworld gravity and lensing, constructive gravity and area metric lensing. The monograph is a natural continuation of the book, *Singularity Theory and Gravitational Lensing* [2], which dealt primarily with non-black-hole, weak-deflection gravitational lensing.

### Published Books

- ***Singularity Theory and Gravitational Lensing* [2]**

This monograph, coauthored with Levine and Wambsganss, presents a comprehensive and detailed mathematical theory of weak-deflection gravitational lensing and its physical applications in astronomy and cosmology. It treats single and multi-plane gravitational lensing by generic and stable lens systems, as well as specific physical models. See page 9 for a more extended discussion.

From 2012-2017, my scholarly activities were centered on writing the finance textbook below. It targets advanced undergraduates and first-year graduate students from mathematics, economics, computer science, and physics. I developed and piloted parts of the manuscript in Duke's Department of Mathematics, particularly, the mathematical framework, and Fuqua School of Business (2008-2017), where I focused on the applications and intuition behind the mathematics.

- ***An Introduction to Mathematical Finance with Applications: Understanding and Building Financial Intuition* [3]**

This textbook, coauthored with Dong, aims to fill the gap between those that offer a theoretical treatment of finance without many applications and those that present and apply formulas without appropriately deriving them. The book then keeps a good balance between rigor and depth in mathematics on the one hand and its applications in finance on the other. It was written for advanced undergraduates and first-year graduate students who are new to finance. It dissects mathematical models of financial securities and portfolios by isolating their central assumptions and conceptual building blocks, showing explicitly and clearly how their governing equations and relations are derived, applying the models in relevant financial scenarios, and weighing critically the models' strengths and weaknesses. The topics covered include the time value of money, portfolio theory, capital market theory, portfolio risk measures, binomial-tree models of security prices, stochastic calculus, continuous-time security price modeling, the Black-Scholes-Merton model, and the Merton jump diffusion model.

Dong and I also developed instructor and student solutions manuals for the textbook.

In keeping with my philosophy of knowledge in service to society, I wrote three problem-solving books [4, 5, 6] aimed at high-school and middle-school students. These books have Student and Teacher Editions. They were part of me giving back to Belize through education.

- ***Scientific Reasoning*** [4]

This book introduces high-school students to the scientific method and utilizes problem solving to train them in data representation and interpretation, the analysis of research summaries of experiments, and the assessment of conflicts in scientific viewpoints. The book can be used to prepare for standardized tests (e.g., ACT and SAT).

- ***Algebra, Geometry, and Trigonometry*** [5]

This book gives high-school students a solid reinforcement in pre-calculus via problem solving in pre-algebra, elementary algebra, intermediate algebra, coordinate geometry, plane geometry, solid geometry, and trigonometry. Similar to [4], students can also use the book to prepare for standardized tests such as the ACT and SAT.

- ***PSE Mathematics*** [6]

This book provides 8th-grade students with a comprehensive reinforcement of pre-high school mathematics through problem solving. This book has been used to prepare for the mathematics portion of the national primary school exams in Belize.



## 1.3 List of Publications

### Books

#### Research Level

- [1] ***Gravitational Lensing and Black Holes***  
A. O. Petters and M. C. Werner (Springer, New York, 2021); in preparation
- [2] ***Singularity Theory and Gravitational Lensing***  
A. O. Petters, H. Levine, and J. Wambsganss (Birkhäuser-Springer, Boston, 2001; Progress in Mathematical Physics Series, Volume 21)

#### Advanced-Undergraduate/Beginning-Graduate Level

- [3] ***An Introduction to Mathematical Finance with Applications: Understanding and Building Financial Intuition***  
A. O. Petters and X. Dong (Springer, SUMAT Series, New York, 2016)
- Solutions Manual for An Introduction to Mathematical Finance with Applications***  
A. O. Petters and X. Dong (Springer, SUMAT Series, New York, 2017); instructor and student editions

#### High-School Level

- [4] ***Scientific Reasoning: Student Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)
- Scientific Reasoning: Teacher Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)
- [5] ***Algebra, Geometry, and Trigonometry: Student Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)
- Algebra, Geometry, and Trigonometry: Teacher Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)

#### Middle-School Level

- [6] ***PSE Mathematics: Student Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)
- PSE Mathematics: Teacher Edition***  
A. O. Petters (BRC, Benque-Belize, 2007)

## Articles

The articles are listed in reverse chronological order.

- [7] **Magnification Cross Sections for the Elliptic Umbilic Caustic Surface**  
A. B. Aazami, C.R. Keeton, and **A. O. Petters**, *Universe* **5**, No. 7, 161 (2019)

- [8] **Belonging**  
**A. O. Petters**, *Notices of the AMS* **65**, No. 2, 120 (2018)

The above article takes up the issue of diversity in the mathematical sciences. It was inspired by my personal journey and experiences as a dean (2016-2019) grappling with diversity.

### N.B. Period 2012-2017

During that time, and in keeping with my long-standing interest in finance and business, my coauthor and I developed the finance textbook [3] described on page 23, and I designed a finance track in Duke's Department of Mathematics; see the new courses on page 38.

- [9] **Lensing by Kerr Black Holes. II. Quasi-Equatorial Lensing Observables**  
A. B. Aazami, C. R. Keeton, and **A. O. Petters**, *J. Math. Phys.* **52**, 102501 (2011)
- [10] **Lensing by Kerr Black Holes. I. General Lens Equation and Magnification Formula**  
A. B. Aazami, C. R. Keeton, and **A. O. Petters**, *J. Math. Phys.* **52**, 092502 (2011)
- [11] **Orbifolds, the A, D, E Family of Caustic Singularities, and Gravitational Lensing**  
A. B. Aazami, **A. O. Petters**, and J. Rabin, *J. Math. Phys.* **52**, 022501 (2011)
- [12] **Gravity's Action on Light**  
**A. O. Petters**, *Notices of the AMS* **57**, No. 11, 1392 (2010)
- [13] **Mathematics of Gravitational Lensing: Multiple Imaging and Magnification**  
**A. O. Petters** and **M. C. Werner**, *Gen. Rel. and Grav.*, Special Issue on Gravitational Lensing (2010)
- [14] **A Universal Magnification Theorem. III. Caustics Beyond Codimension Five**  
A. B. Aazami and **A. O. Petters**, *J. Math. Phys.* **51**, 023503 (2010)
- [15] **A Mathematical Theory of Stochastic Microlensing. II. Random Images, Shear, and the Kac-Rice Formula**  
**A. O. Petters**, A. Teguiã, and B. Rider, *J. Math. Phys.* **50**, 122501 (2009)
- [16] **A Mathematical Theory of Stochastic Microlensing. I. Random Time-Delay Functions and Lensing Maps**  
**A. O. Petters**, A. Teguiã, and B. Rider, *J. Math. Phys.* **50**, 072503 (2009)
- [17] **A Universal Magnification Theorem. II. Generic Caustics up to Codimension Five**  
A. B. Aazami and **A. O. Petters**, *J. Math. Phys.* **50**, 082501 (2009)

- [18] **A Universal Magnification Theorem for Higher-Order Caustic Singularities**  
A. B. Aazami and **A. O. Petters**, *J. Math. Phys.* **50**, 032501 (2009)
- [19] **Magnification Relations for Kerr Lensing and Testing Cosmic Censorship**  
M. C. Werner and **A. O. Petters**, *Phys. Rev. D*, **76**, 064024 (2007)
- [20] **Light's Bending Angle due to Black Holes. From the Photon Sphere to Infinity**  
S. I. Iyer and **A. O. Petters**, *Gen. Rel. and Grav.*, **39**, 1563 (2007)
- [21] **Testing Theories of Gravity with Black Hole Lensing**  
C. Keeton and **A. O. Petters**, in *Proceedings of the Eleventh Marcel Grossmann Meeting on General Relativity*, ed. R. Ruffini (World Scientific, Singapore, 2006)
- [22] **Formalism for Testing Theories of Gravity Using Lensing by Compact Objects. III. Braneworld Gravity**  
C. Keeton and **A. O. Petters**, *Phys. Rev. D*, **73**, 104032 (2006)
- [23] **Formalism for Testing Theories of Gravity Using Lensing by Compact Objects. II. Probing Post-Post-Newtonian Metrics**  
C. Keeton and **A. O. Petters**, *Phys. Rev. D*, **73**, 044024 (2006)
- [24] **Formalism for Testing Theories of Gravity Using Lensing by Compact Objects. I. Static, Spherically Symmetric Case**  
C. Keeton and **A. O. Petters**, *Phys. Rev. D*, **72**, 104006 (2005)
- [25] **Identifying Lenses with Small-Scale Structure. II. Fold Lenses**  
C. Keeton, S. Gaudi, and **A. O. Petters**, *Astrophys. J.* **635**, 35 (2005)
- [26] **Identifying Lenses with Small-Scale Structure. I. Cusp Lenses**  
C. Keeton, S. Gaudi, and **A. O. Petters**, *Astrophys. J.* **598**, 138 (2003)
- [27] **On Relativistic Corrections to Microlensing Effects: Applications to the Galactic Black Hole**  
**A. O. Petters**, *Mon. Not. R. Astron. Soc.* **338**, 457 (2003)
- [28] **Wavefronts, Caustic Sheets, and Caustic Surfing in Gravitational Lensing**  
S. Frittelli and **A. O. Petters**, *J. Math. Phys.* **43**, 5578 (2002)
- [29] **Gravitational Microlensing Near Caustics. II: Cusps**  
B. S. Gaudi and **A. O. Petters**, *Astrophys. J.* **580**, 468 (2002)
- [30] **Gravitational Microlensing Near Caustics. I: Folds**  
B. S. Gaudi and **A. O. Petters**, *Astrophys. J.* **574**, 970 (2002)
- [31] **Stable Lens Systems, Lensed Image Magnification, and Magnification Cross Sections**  
**A. O. Petters**, in *Proceedings of the Ninth Marcel Grossmann Meeting on General Relativity*, eds. V. Gurzadyan, R. T. Jantzen, and R. Ruffini (World Scientific, Singapore, 2001)
- [32] **Wavefront Singularities due to an Elliptical Potential**  
S. Frittelli and **A. O. Petters**, in *Proceedings of the Ninth Marcel Grossmann Meeting on General Relativity*, eds. V. Gurzadyan, R. T. Jantzen, and R. Ruffini (World Scientific, Singapore, 2001)

- [33] **Center of Light Curves for Whitney Fold and Cusp**  
B. S. Gaudi and A. O. Petters, in *Proceedings of the Ninth Marcel Grossmann Meeting on General Relativity*, eds. V. Gurzadyan, R. T. Jantzen, and R. Ruffini (World Scientific, Singapore, 2001)
- [34] **Fixed Points due to Gravitational Lenses**  
A. O. Petters and F.J. Wicklin, *J. Math. Phys.* **39**, 1011 (1998)
- [35] **Counting Formulas and Bounds on Number of Fixed Points due to Point-Mass Lenses**  
A. O. Petters and F.J. Wicklin, in *Proceedings of the Eighth Marcel Grossmann Meeting on General Relativity*, ed. R. Ruffini (World Scientific, Singapore, 1997)
- [36] **Properties of Point Mass Lenses on a Regular Polygon and the Problem of Maximum Number of Lensed Images**  
S. Mao, A. O. Petters, and H. Witt, in *Proceedings of the Eighth Marcel Grossmann Meeting on General Relativity*, ed. R. Ruffini (World Scientific, Singapore, 1997)
- [37] **Some Global Results on Gravitational Lensing**  
A. O. Petters, in *Proceedings of the Eighth Marcel Grossmann Meeting on General Relativity*, ed. R. Ruffini (World Scientific, Singapore, 1997)
- [38] **Curvature of Caustics and Singularities of Gravitational Lenses**  
A. O. Petters, in *Proceedings of the Second World Congress of Nonlinear Analysts*, ed. V. Lakshmikantham (Elsevier Science Ltd., Oxford, 1997)
- [39] **Multiplane Gravitational Lensing III. Upper Bound on Number of Images**  
A. O. Petters, *J. Math. Phys.* **38**, 1605 (1997)
- [40] **Lower Bounds on Image Magnification in Gravitational Lensing**  
A. O. Petters, *Proc. R. Soc. Lond. A* **452**, 1475 (1996)
- [41] **A Cusp-Counting Formula for Caustics due to Multiplane Gravitational Lensing**  
A. O. Petters, in *Astrophysical Applications of Gravitational Lensing*, eds. C. S. Kochanek and J.N. Hewitt (Kluwer Academic, Dordrecht, 1996)
- [42] **Mathematical Aspects of Gravitational Lensing**  
A. O. Petters, in *Proceedings of the Seventh Marcel Grossmann Meeting on General Relativity*, vol. B, eds. R. T. Jantzen and G. M. Keiser (World Scientific, Singapore, 1996)
- [43] **New Caustic Phenomena for Caustics in Double-Plane Lensing**  
A. O. Petters and F.J. Wicklin, in *Astrophysical Applications of Gravitational Lensing*, eds. C. S. Kochanek and J.N. Hewitt (Kluwer Academic, Dordrecht, 1996)
- [44] **Bounds on Number of Cusps due to Point Mass Gravitational Lenses with Continuous Matter and Shear**  
A. O. Petters and H. Witt, *J. Math. Phys.* **37**, 2920 (1996)
- [45] **Caustics of the Double-Plane Two Point-Mass Gravitational Lens with Continuous Matter and Shear**  
A. O. Petters and F.J. Wicklin, *Mon. Not. R. Astron. Soc.* **277**, 1399 (1995)

- [46] **Multiplane Gravitational Lensing. II. Global Geometry of Caustics**  
A. O. Petters, *J. Math. Phys.* **36**, 4276 (1995)
- [47] **Multiplane Gravitational Lensing. I. Morse Theory and Image Counting**  
A. O. Petters, *J. Math. Phys.* **36**, 4263 (1995)
- [48] **Singularities and Gravitational Lensing**  
H. Levine and A. O. Petters, in *Passion des Formes: Hommage à René Thom*, vol. 1, ed. M. Porte (E.N.S. Edition, Fontenay-St Cloud, 1994)
- [49] **Applications of Singularity Theory to Gravitational Lensing**  
H. Levine, A. O. Petters, and J. Wambsganss, *J. Math. Phys.* **34**, 4781 (1993)
- [50] **Singularities of the One and Two Point Mass Gravitational Lens**  
H. Witt and A. O. Petters, *J. Math. Phys.* **34**, 4093 (1993)
- [51] **New Caustic Singularities in Multiple Lens Plane Gravitational Lensing**  
H. Levine and A. O. Petters, *Astron. Astrophys.* **272**, L17 (1993)
- [52] **Arnold's Singularity Theory and Gravitational Lensing**  
A. O. Petters, *J. Math. Phys.* **34**, 3555 (1993)
- [53] **Morse Theory and Gravitational Microlensing**  
A. O. Petters, *J. Math. Phys.* **33**, 1915 (1992)
- [54] **An Analytical Approach to Quasar Variability due to Microlensing**  
A. O. Petters and D. Spergel, in *Gravitational Lenses*, eds. R. Kayser, T. Schramm, and L. Nieser (Lecture Notes in Physics **406**, Springer, Berlin, 1992)
- [55] **Morse Theory and Gravitational Microlensing**  
A. O. Petters, in *Gravitational Lenses*, eds. R. Kayser, T. Schramm, and L. Nieser (Lecture Notes in Physics **406**, Springer, Berlin, 1992)

## 1.4 Grants

Listed below are externally funded grants for which I was the PI/Program Director.

N.B. After 2011, I was heavily focused on pedagogical work (co-writing a textbook on finance [3] and creating a finance track, including new courses, in the Department of Mathematics at Duke; see page 38) and administrative service (Dean of Academic Affairs and Associate Vice Provost for Undergraduate Education, Duke; see page 42).

- **2007–2011: NSF Grant DMS-0707003** (Geometric Analysis)  
*Geometric Analysis, Wave Optics, and Geometric Gravity*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Duke University, Department of Mathematics  
 Total: \$353,000 (September 1, 2007–August 31, 2011)
- **2004–2009: NSF Grant AST-04344277/-0433809** (Astronomy)  
*The Mathematics of Stochastic Gravitational Lensing*  
*—Applications to Flux Ratio Anomalies and Dark Matter*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Duke University, Department of Mathematics  
 Total: \$600,000 (Duke \$400,000, MIT \$200,000; July 1, 2004–June 30, 2009)
- **2003–2007: NSF Grant DMS-0302812** (Geometric Analysis)  
*Random Gaussian Curvatures, Image Centroids,*  
*and Caustic Surfaces in Gravitational Lensing*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Duke University, Department of Mathematics  
 Total: \$135,000 (July 1, 2003–June 30, 2007)
- **1998–2003: NSF CAREER Grant DMS-9896274** (Geometric Analysis)  
*Gravitational Lensing Geometry and Optics*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Duke University, Department of Mathematics  
 Total: \$211,254 (July 1, 1998–June 30, 2003)
- **1998–2002: Alfred P. Sloan Research Fellowship** (# BR-3772)  
*Mathematical Theory of Gravitational Lensing*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Duke University, Department of Mathematics  
 Total: \$35,000 (September 16, 1998–September 15, 2002)
- **1994–1997: NSF Grant DMS-9404522** (Geometric Analysis)  
*Singularity Theory and Gravitational Lensing*  
 Principal Investigator/Project Director: **A. O. Petters**  
 Princeton University, Department of Mathematics  
 Total: \$49,998 (July 15, 1994–December 31, 1997)

## 1.5 Talks

This list is in reverse chronological order and includes only talks with properly recorded dates. Not included are the many invited talks I gave in my capacity as a dean (2016-2019).

- MathFest 2019, AMS Special MRC Session on The Mathematics of Gravity and Light Joint Invited Address (Baltimore, Maryland, January 17, 2019)
- ICERM, Brown University Presidential Colloquium Series Thinking Out Loud (Providence, Rhode Island, November 8, 2018)
- MathFest 2018, AMS-MAA Joint Invited Address (Denver, Colorado, August 2, 2018)
- Duquesne University, Physics Department, Einstein Centennial Lecture (Pittsburgh, Pennsylvania, September 24, 2015)
- Smithsonian, National Math Festival by the Mathematical Sciences Research Institute and the Institute for Advanced Study (Washington DC, April 18, 2015)
- University of Arkansas, Mathematics Department Spring Lecture Series (Fayetteville, Arkansas, April 4, 2013)
- NCSSM, TEDxNCSSM Lecture—Is There a Fifth Dimension? (Durham, North Carolina, May 3, 2012)
- Duplin Early College High School, Science Lecture (Duplin, North Carolina, February 25, 2011)
- University of South Florida, Mathematics Department Seminar (Tampa, Florida, April 2, 2010)
- University of South Florida, Nagle Lecture (Tampa, Florida, April 1, 2010)
- Rice University, Tapia 70 Conference (Houston, Texas, May 29, 2009)
- Penn State University—College Station, Penn State Forum Lecture Series (College Station, Pennsylvania, March 11, 2009)
- North Park University, Arts and Sciences Campus Theme Lecture Series (Chicago, Illinois, October 2, 2008)
- Johnson C. Smith University, Lyceum Lecture Series (Charlotte, North Carolina, September 24, 2008)
- City University of New York—Hunter College, Science 200 Lecture Series (New York, New York, September 10, 2008)
- Francis Marion University, Department of Mathematics Conference (Florence, South Carolina, March 30, 2007)
- NASA Goddard Space Center and University of Maryland—College Park, 2007 Eyes on the Sky Colloquium Series (College Park, Maryland, March 8, 2007)
- University of North Carolina—Chapel Hill, Twelfth Conference for African American Researchers in the Mathematical Sciences (Chapel Hill, North Carolina, June 20, 2006)
- Institute of Mathematics and its Applications, University of Minnesota (Minneapolis, Minnesota, March 22, 2006)
- Duke University, Einstein Week Lecture, Celebration of the 100th Birthday of Relativity Theory (Durham, North Carolina, September 6, 2005)
- University of Texas—Arlington, MAA Invited Address, 85th Meeting of the Texas Section of the MAA (Arlington, Texas, April 15, 2005)

- Arizona State University—Tempe, Mathematics Awareness Month, Mathematics and the Cosmos, Department of Mathematics (Tempe, Arizona, April 13, 2005)
- Emory University, Southeastern Geometry Seminar, Department of Mathematics (Atlanta, Georgia, March 16, 2005)
- Centre International de Rencontres Mathématiques, Workshop on Applications of Singularity Theory (Luminy-Marseille, France, February 11, 2005)
- University of Michigan, Mathematics Colloquium (Ann Arbor, Michigan, April 20, 2004)
- University of Miami, Math-Physics Colloquium (Miami, Florida, April 8, 2004)
- Purdue University, Math-Physics Colloquium (Lafayette, Indiana, March 30, 2004)
- Duke University, Physics Colloquium (Durham, North Carolina, March 3, 2004)
- University of Massachusetts—Lowell, Physics Colloquium (Lowell, Massachusetts, October 29, 2003)
- SACNAS Conference, Keynote Address (Albuquerque, New Mexico, October 4, 2003)
- MIT, Physics Seminar (Cambridge, Massachusetts, May 1, 2003)
- Rice University, President’s Lecture Series by Diverse Scholars (Houston, Texas, March 21, 2003)
- Harvard University, Mather House Lecture Series (Cambridge, Massachusetts, February 20, 2003)
- Spelman College, NSBP Conference (Atlanta, Georgia, February 14, 2003)
- MSRI, Blackwell-Tapia Prize Lecture (Berkeley, California, November 2, 2002)
- Duke University, Nuclear/Particle Theory Seminar (Durham, North Carolina, May 1, 2002)
- Cornell University, TAM-IGERT Colloquium (Ithaca, New York, February 16, 2001)
- UCLA, NAM/MAA David Blackwell Invited Address (Los Angeles, California, August 5, 2000)
- University of Texas—Dallas, Math-Physics Seminar (Dallas, Texas, June 30, 2000)
- Lensing Conference, Recent Progress and Future Goals (Boston, Massachusetts, July 26, 1999)
- Stanford University, Math-Physics Colloquium (Palo Alto, California, April 6, 1998)
- Brown University, Math-Applied Math-Physics Colloquium (Providence, Rhode Island, March 16, 1998)
- Columbia University, Math Colloquium (New York, New York, February 24, 1998)
- Duke University, Math-Physics Colloquium (Durham, North Carolina, January 9, 1998)
- Cairo University, Math-Physics Colloquium (Cairo, Egypt, June 30, 1997)
- Marcel Grossmann Meeting on General Relativity (Jerusalem, Israel, June 23, 1997)
- Virginia State University, Math-Physics Colloquium, Guest Speaker for Black-History Month (Petersburg, Virginia, February 11, 1997)
- Fourth Invitational Mathematics Meeting, National Security Agency (Fort G. Meade, Maryland, November 17, 1996)
- Second World Congress of Nonlinear Analysts (Athens, Greece, July 10, 1996)
- Princeton University, Math Colloquium (Princeton, New Jersey, November 29, 1995)
- Seventh Annual Symposium on Frontiers of Science, National Academy of Sciences (Irvine, Cali-



fornia, November 2, 1995)

- University of Bristol, Michael Berry's Research Group, H. H. Wills Physics Laboratory (Bristol, United Kingdom, August 29, 1995)
- International Conference on General Relativity and Gravitation (Florence, Italy, August 6, 1995)
- Oxford University, Roger Penrose's Relativity Group, Mathematical Institute (Oxford, United Kingdom, August 18, 1995)
- First Conference for African American Researchers in the Mathematical Sciences, M.S.R.I. (Berkeley, California, June 21, 1995)
- Caltech, Theoretical Astrophysics Seminar, Roger Blandford's Research Group (Pasadena, California, April 20, 1995)
- Observatoire de Paris-Meudon, Astrophysics Seminar (Meudon, France, March 21, 1995)
- University of Minnesota—Minneapolis, Math Seminar, The Geometry Center (Minneapolis, Minnesota, November 3, 1994)
- Max-Planck Institut für Astrophysik, Astrophysics Seminar (Garching, Germany, June 15, 1994)
- Brandeis University, Math Conference in Honor of Harold Levine's Retirement (Waltham, Massachusetts, April 29, 1994)
- Princeton University, Mathematics Seminar (Princeton, New Jersey, March 1, 1994)
- Bell Labs - Lucent Technologies, Math Seminar, (Murray Hill, New Jersey, February 21, 1994)
- Brown University, Joint L.C.D.S. and Math/Physics Seminar (Providence, Rhode Island, October 26, 1992)
- Northeastern University, Math Colloquium (Boston, Massachusetts, May 22, 1992)
- Brandeis University, Special Math Lecture (Waltham, Massachusetts, April 16, 1992)
- Howard University, Math Colloquium (Washington, DC, April 10, 1992)
- University of Massachusetts—Boston, Ronald E. McNair Program Seminar Series (Boston, Massachusetts, February 22, 1992).
- MIT, Mathematics Seminar (Cambridge, Massachusetts, 1991)
- York College, CUNY, Physics Colloquium (Queens, New York, 1990)
- Bell Labs, Lucent Technologies, Math Colloquium (Murray Hill, New Jersey, 1988)
- NIH Conference (Washington, DC, 1986)

## 1.6 Conferences, Workshops, and Sessions Organized

The list includes only conferences, workshops, and sessions I organized that have properly recorded dates.

- The Mathematics of Gravity and Light, co-organizer, American Mathematical Society Mathematics Research Communities (Providence, Rhode Island, June 3-9, 2018)
- Race in Space, session chair, Duke University (Durham, North Carolina, October 25-26, 2013)
- Dark Matter, Complex Methods, and Orbifolds in Gravitational Lensing Workshop, co-organizer, Petters Research Institute (Dangriga, Belize, March 19–23, 2010)
- Probability and its Lensing Applications, workshop co-organizer, Petters Research Institute (Dangriga, Belize, December 16–22, 2008)
- Magnification Profile of Elliptic Umbilics, workshop organizer, Petters Research Institute (Dangriga, Belize, August 4–8, 2008)
- Singularities and Magnification Cross Section, workshop organizer, Petters Research Institute (Dangriga, Belize, March 7–11, 2008)
- Geometric and Stochastic Lensing, workshop co-organizer, Petters Research Institute (Dangriga, Belize, January 5–12, 2007)
- Blackwell-Tapia 2006 Conference, co-organizer, Institute of Mathematics and its Applications, University of Minnesota (Minneapolis, Minnesota, November 3–4, 2006)
- Einstein Week, Centennial Celebration of Relativity Theory, conference co-organizer, Departments of Mathematics and Physics, Duke University (Durham, North Carolina, September 5–10, 2005)
- Tenth Conference for African American Researchers in the Mathematical Sciences, session chair and organizer, MSRI and Lawrence Livermore Laboratories (Berkeley, California, June 22–25, 2004)
- Seventh Conference for African American Researchers in the Mathematical Sciences, co-organizer, Duke University (Durham, North Carolina, June 22–25, 2001)
- Gravitational-Lenses, session chair and organizer, The Ninth Marcel Grossmann Meeting on General Relativity, La Sapienza (Rome, Italy, July 4, 2000)
- Gravitational-Lenses, session chair and organizer, The Eighth Marcel Grossmann Meeting on General Relativity Hebrew University (Jerusalem, Israel, June 23, 1997)
- Gravitational-Lenses, session chair and srganizer, The Seventh Marcel Grossmann Meeting on General Relativity Stanford University (Stanford, California, July 24, 1994)

## 2 Teaching

### 2.1 Teaching Statement

#### Philosophy, Goals, and Approaches

My teaching philosophy is that professors are *facilitators* of the learning process, who often play the role of coach. I have a lot of regard for my students and encourage them to contribute actively to the learning process, especially through their fresh questions and unbiased outlook.

Two broad goals I have in mathematics teaching are to help students **discover** how to do the following:

- **Think precisely, logically, and abstractly; compute efficiently** (even with structures more complicated than numbers); **and communicate mathematical reasoning effectively.** In the process, I also try to foster an appreciation for the roles of different mathematical modes of thinking (analytical, algebraic, probabilistic, etc.) and cultivate an intuition for the beauty with which mathematics fits together and flows.
- **Apply mathematics to solve problems in a variety of fields.** I strive to have students obtain an appreciation for the power of mathematical abstraction by having them see how the exact mathematical technique or theorem can be used in fields as diverse as ecology, computer science, finance, astrophysics, etc. I also aim to have them develop an ability to separate out the extraneous elements from a complex real-world problem and focus rigorously on the underlying core mathematical issue.

The approaches that have worked for me in achieving the above goals are as follows:

- **Learn about students' backgrounds.** On the first day of class, I have all my students introduce themselves and talk about the math courses they have taken, why they are taking my class, and their academic goals. This helps me tailor the flow of the lectures to fit the class' math profile.
- **Employ a bottom-up approach.** I start from concrete examples and work my way systematically to general theorems and techniques. Whenever possible, my choice of examples adjusts to reflect the academic and professional interests of the students.
- **Integrate problem-based learning.** This is the bread-and-butter of mathematics teaching. Along with mastering important mathematical methods and ideas, extensive training with problem-solving allows students to see different techniques repeated in a variety of situations and appreciate how and why these techniques were webbed together into a general theory. Problem-solving also enables students to learn how to employ mathematical reasoning to guide sophisticated symbolic and numerical software in addressing complicated problems that are intractable without computer technology.
- **Encourage group work.** This is a critical skill in today's world. It also helps to alleviate some students' anxiety about being able to get through the material successfully. For example, one can have students work together on certain homework sets that are not collected, but give quizzes that come directly from them. This teaches students about responsibility for their own learning outside the classroom and helps them discover how to negotiate the currents of group dynamics.

- **Focus on the mechanics of teaching.** I go to great pains to present well organized lectures, write legibly on the blackboard (especially given the many exotic symbols in mathematics), and make sure that what I am saying is in step with what I am writing. Students quickly lose confidence in professors whose lectures are poorly organized and have frequent mistakes.

In addition to the above approaches, I am available to students, clear about my expectations, and meticulous in making sure that I assign rewards consistent with these expectations.

### Introduced Interdisciplinary Area

In 1998, I introduced gravitational lensing as a new interdisciplinary research area at Duke, one that bridges mathematics and astronomy. The field is also quite intra-disciplinary, drawing on several areas within mathematics—differential geometry, singularity theory, complex analysis, probability theory, etc. Since Duke has one of the best undergraduate mathematics programs in the nation, my approach was to start with our mathematics undergraduates.

To target the undergraduate mathematics audience, I created a *Mathematics of Gravitational Lensing* seminar (page 39). It took effort to encourage students to enroll in the seminar since the majority of the math majors at that time were not engaged in physics related work; most were focused on only a specific area in mathematics or mathematics linked to economics and computer science. The students enjoyed the seminar as they saw the many links within and outside mathematics that the subject offers. They, in turn, spread the word about the field to their friends. Since then *ten* Duke undergraduates have had *long-term* independent research projects with me in gravitational lensing. These were not semester research projects; each was quite involved and lasted for no less than a year. The students voluntarily extended their independent study each semester. In a similar way, my *General Relativity* course attracted graduate students to gravitational lensing. These efforts have culminated with the field becoming a key part of Duke's gravitational research.

*I supervised 22 undergraduate research projects* (see page 52). The students were also mentored and have pursued a diverse array of careers. Here are some examples:

- **Wifag Adnan** earned a B.A. from Duke. After Duke, she completed a Ph.D. in economics at Princeton University.
- **Peter Blair** won a *Goldwater Scholarship*, *APS Fellowship*, and *Bell Laboratories Fellowship*. He earned a B.S. from Duke, after which he completed a Ph.D. in applied economics at The Wharton School, University of Pennsylvania.
- **Gil Libling** earned a B.A. and M.B.A. from Duke. He has worked at several investment banks, including *Morgan Stanley*.
- **Samuel Malone** won a *Rhodes Scholarship*, *Goldwater Scholarship*, and *Duke Faculty Scholar Award*. He earned a B.S. from Duke and Ph.D. in economics from the University of Oxford.
- **Michelle Sowemimo** earned a B.A. from Duke and J.D. from the University of Chicago.
- **Luke Stewart** earned a B.S. from Duke and an M.B.A. from Stanford University.
- **Jay Strader** earned a B.S. from Duke and Ph.D. in astronomy from the University of California, Santa Cruz, followed by a *Hubble Fellowship* at the Harvard-Smithsonian Center for Astrophysics.

## Synergies Between Teaching and Research

I always seek to create synergies between my teaching and research. Indeed, the impact of research on teaching is well known—introducing new courses, updating textbooks to reflect cutting-edge results, etc. Conversely, graduate-level teaching can further research through seminars that deal with open questions in one’s field. Although the influence of undergraduate teaching on mathematical research is less obvious, I have found undergraduate teaching to have a subtle impact on my research. For example, freshman-sophomore undergraduate courses like calculus and linear algebra are overviews of some of the most successful mathematical theories ever developed and applied to the sciences. Knowing the detailed architecture of these theories gave me a lot of insight into how to assemble effectively a mathematical theory of gravitational lensing (see *Research Overview*, page 5). Undergraduate teaching also helps clarify core concepts and keeps the fundamental theorems fresh in one’s mind, which are important to my research, since I often need to invoke results and techniques from many different areas of mathematics. Overall, the synergies between teaching and research have continued to fuel me as a scholar-teacher.

## 2.2 New Courses Developed

I developed the following new courses at Duke, except the last one, which was created at Princeton:

- [1] **Financial Derivatives** (Math 582/Econ 674; created fall 2013; advanced undergraduates and first-year graduate students)

This rigorous introduction to financial derivatives starts with the modeling of security prices using binomial trees and geometric Brownian motion. European Options, American options, forwards, and futures are then treated along with put-call parity. It is followed by an introduction to the Black-Scholes-Merton (BSM) Model, which includes Delta and Gamma hedging and the volatility index VIX. The BSM pricing formula is then derived by a binomial-tree, risk-neutral-expectation, and p.d.e. approach. A critique is given of the BSM model and extensions to underliers with discontinuous prices and stochastic volatility are treated using the Merton jump diffusion, Heston, and GARCH models.

- [2] **Topics in Mathematical Finance** (Math 690-82/Econ 690-82; created fall 2013; advanced undergraduates and first-year graduate students)

This course gives students an opportunity to probe deeper, in teams or individually, topics in quantitative finance of interest to them. It can serve as a means to initiate a research project, work through a paper in progress, or even learn about a specific model(s) one needs for later research. Topics can deal with financial modeling issues drawn from academic foundational problems (e.g., stochastic volatility, security price modeling, incomplete markets) as well as applied problems from governmental and state agencies (e.g., management of state pension funds), the nonprofit sector (e.g., the World Bank), foreign markets (e.g., securities markets in BRIC nations, modeling financial products and portfolio management in a non-Western context), non-proprietary problems from the private sector, etc. The format of the course's dynamics will be tailored to the registered students. The course culminates with each team or individual (if one elects not be in a team) producing a paper, which will be presented to the class.

- [3] **Quantitative Finance: The Black-Scholes-Model and Beyond** (Finance 491.301; created spring 2009; MBA students)

I developed this course at the Fuqua School of Business. It explores in depth the most generalized Black-Scholes-Merton option pricing model and its extensions to stochastic interest rates and stochastic volatility.

- [4] **General Relativity** (Math 236/Physics 292; created fall 2002; graduate students)

I co-developed this course as a joint offering between the mathematics and physics departments. It treats the fundamentals of general relativity, covering Einstein's equations and the curvature of spacetime with applications to cosmology and black holes. This course provides a rich arena for students to develop their mathematical and physical intuition, and to experience how both insights can come to bear significantly on important physical problems.

- [5] **Mathematical Finance with Applications** (Math 215 renamed to Math 581/Econ 673; created spring 2001; advanced undergraduates and first-year graduate students)

I developed this course in the mathematics department and was able to pilot it in the fall of 2001 through the sponsorship of Goldman-Sachs (see page 47). The course gives a broad introduction to mathematical finance, covering the time value of money, portfolio theory, capital market theory, the modeling of security prices, and the Black-Scholes-Merton model. It attracted students from mathematics, economics, computer science, engineering, physics, and Fuqua School of Business.

[6] **Mathematics of Gravitational Lensing** (Math 196S; created fall 1999; advanced undergraduates)

The course deals with applications of Morse theory to image counting problems in gravitational lensing. It had students from mathematics, physics, and computer science.

[7] **Mathematics of Light Deflection** (Math 331; created fall 1995; advanced undergraduates)

I developed this course at Princeton. The course explores the mathematical framework for how gravity acts on light as it propagates through the universe. It enrolled students from mathematics and physics.

## 2.3 List of Courses Taught

### Duke University (1998–2002, 2004–present)

#### Trinity College of Arts & Sciences

- Financial Derivatives (Math 582/Econ 674; taught springs 2014–2016; advanced undergraduates and first-year graduate students)
- Mathematical Finance (Math 581/Econ 673, Math 215/Econ 225; taught falls of 2001, 2004, and 2006, spring 2008, and falls of 2008–2011 and 2013–2015; advanced undergraduates and first-year graduate students)
- Research in Differential Equations (Math 790-50; taught spring 2013; graduate students)
- Freshman Seminar: Finance (Math 89S; taught spring 2013; undergraduates)
- Topics in Probability: The Black-Scholes-Merton Model and Beyond (Math 690-40, Math 288; taught summers of 2012 and 2013; advanced undergraduates and first-year graduate students)
- Probability Theory (Math 135/Stat 104; taught spring 2005 and spring 2008; undergraduates)
- Linear Algebra and Differential Equations (Math 107; taught spring 2006; advanced undergraduates and graduate students)
- General Relativity Seminar (Physics 222S; taught fall 2004; undergraduates)
- General Relativity (Math 236/Physics 292; taught fall 2002; graduate students)
- Linear Algebra and Applications (Math 104; taught spring 1999, fall 2000, fall 2001, and fall 2001; undergraduates)
- Advanced Calculus I (Math 139; taught fall 2000; undergraduates)
- Mathematics of Gravitational Lensing (Math 196S; taught fall 1999; advanced undergraduates)
- Multivariable Calculus (Math 103; taught fall 1998; undergraduates)

#### Fuqua School of Business

- Finance Concentration Project (Finance 897, Finance 480E; taught springs of 2010–2014; Executive MBA students)
- Special Topics: Quantitative Finance (Finance 491.301; taught springs 2009 and 2010; Daytime MBA students)
- Global Consulting Practicum (Strategy 490; taught spring 2010; Daytime MBA students)



Duke Kunshan University (China)

- Foundations of Corporate Finance (Finance 525K; taught fall 2015; masters students)

**Princeton University (1993–1998, 2007)**

- Regression and Applied Time Series (ORF 405; taught fall 2007; undergraduates).
- Advanced Linear Algebra with Applications (Math 204; taught falls of 1995–1997; undergraduates)
- Mathematics of Light Deflection in the Universe (Math 331; taught falls of 1995 and 1996; advanced undergraduates)
- Multivariable Calculus (Math 201; taught spring and fall of 1994; undergraduates)
- Calculus II (Math 104; taught spring 1994; undergraduates)
- Calculus I (Math 103; taught fall 1993; undergraduates)

**MIT (1991–1993, 2003–2004)**

- Relativity (Physics 8.033; taught fall 2003; undergraduates).
- General Relativity (Physics 8.962; taught spring 2003; graduate students)
- Advanced Calculus for Engineers II (Math 18.076; spring 1993; advanced undergraduates and first-year graduate students)
- Advanced Calculus for Engineers I (Math 18.075; taught spring, summer, fall 1992; advanced undergraduate and first-year graduate students)
- Complex Variables with Applications (Math 18.04; taught fall 1992; undergraduates)
- Multivariable Calculus (Math 18.02; taught fall 1991 and spring 1992; undergraduates)

## 3 Administrative and Service Experience

### 3.1 Overview of Administrative and Service Experience

Over the past 20 years, I have gained in-depth experience covering numerous aspects of the academic enterprise at a top-ten, private, research university in the U.S. This section summarizes the responsibilities I had as a dean and associate vice provost as well as my administrative and service experience prior to that position.

#### 3.1.1 Dean of Academic Affairs for Arts & Sciences, Duke University (2016-2019)

Duke's Trinity College of Arts & Sciences, or simply, Trinity, is the heart and soul of the university. During 2016-2019, Trinity had about 5,770 undergraduates and offered 47 A.B. majors, 14 B.S. majors, 54 minors, and 21 certificates; had about 1,551 graduate students, including masters students; and had some 656 Trinity faculty members with 208 in the Arts and Humanities, 227 in the Natural Sciences, and 221 in the Social Sciences. Interdisciplinarity is an integral part of the Duke DNA and connects students, faculty, and community partners through a rich and vibrant network of academic and service opportunities.

As Dean of Academic Affairs for Trinity, I was responsible for ensuring Trinity delivers a world class liberal-arts undergraduate education embedded synergistically in a research environment. Trinity's curriculum aims to develop our students in five areas of knowledge (arts, literatures, and performance; civilizations; social sciences; natural sciences; and quantitative studies) and six modes of inquiry (cross-cultural inquiry; ethical inquiry; science, technology, and society; foreign language; writing; and research). The targeted general-education outcomes 1) deepen their knowledge and understanding of self, cultures and societies, and the nature of the physical and natural world; 2) advance their competencies and skills (e.g., critical thinking, analytical reasoning, and skill with written and oral expressions); and 3) develop a sense of personal and social responsibility. Along with academic excellence, my aspirations were to see our students apply their knowledge in service to society, foster empathy towards others, develop emotional intelligence and social intelligence, and embrace diversity and engage difference.

My portfolio had a corps of 195 support staff and faculty,<sup>6</sup> which included 15 academic deans, 44 directors of undergraduate studies, and 21 directors of certificates, and my responsibilities spanned the categories itemized below:<sup>7</sup>

- **Academic Deaning:** A cohort of 15 academic deans administer Trinity's academic policies and procedures. They are charged with applying the policies equitably and granting exceptions with consistency, with one of them responsible for the implementation of these policies for Duke Kunshan University students taking courses at Duke in Durham. The academic deans also oversee the progress of Trinity undergraduate students towards graduation and provide counsel and advice to students regarding their present and future academic plans.
- **Academic Pathways:** These functions cover the following, which are listed alphabetically:

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<sup>6</sup>An additional 153 seasonal staff were hired in the summer to help administer Trinity's Summer College for High School Students, Summer Academy for High School Students, and Youth Programs (includes middle school students).

<sup>7</sup>Note that a number of these descriptions are reprinted from Trinity's Academic Affairs website with permission.

- *Cardea Fellows Program:* The Cardea Fellows Program targets Duke undergraduates with an interest in a health profession. The program is based on a living-learning community model that helps to prepare students to be highly competitive in their applications to health-professions schools, especially medical school.
- *Curriculum and Course Development:* This office guides the processes for requesting and approving new courses, revisions to existing courses, and curricular changes. This includes proposals for new majors, minors, and interdisciplinary certificate programs.
- *Directors of Undergraduate Certificate Programs:* The undergraduate certificate programs provide an opportunity for students to take advantage of Duke as a highly interdisciplinary research university. Duke has 21 undergraduate certificate programs, each under the directorship of a faculty member and with at least two departments or programs represented. Examples are Markets and Management, Innovation and Entrepreneurship, Policy Journalism and Media Studies, Documentary Studies, Decision Sciences, and Arts of the Moving Image.
- *Directors of Undergraduate Studies:* These 44 faculty members oversee the courses and undergraduate curriculum within their departments/programs. The responsibilities of each director of undergraduate studies include monitoring the world-class quality of the undergraduate education in the director's department/program, granting departmental approval of new courses, authorizing transfer credits, and certifying that each undergraduate student has met the requirements for the major or minor within their department/program at the point of graduation.
- *FOCUS Program:* This signature program of Duke is a living-learning community of first-year students. The program admits about one-fifth to one-fourth of the incoming first-year class to themed interdisciplinary course clusters consisting of small-group seminars taught by faculty from different departments across the university. Typically, the students take two of three or four courses from different departments in each cluster plus a weekly discussion seminar in which all faculty and students in the cluster participate. The program aims to introduce first-semester students to interdisciplinary learning and intellectual engagement both in and out of the traditional classroom environment. Faculty and students work together to apply multiple disciplinary perspectives on a common theme or topic within a cluster. Examples include: Cognitive Neuroscience and Law; Ethics, Leadership and Global Citizenship; Narratives and the Meaning of DNA: Genomes in Our Lives; Global Health: Local and International Disparities; Humanitarian Challenges; Knowledge in the Service of Society; Modeling Social and Economic Systems; and the Power of Language.
- *Graduation with Distinction:* The Graduation with Distinction program recognizes students who demonstrate academic excellence through the successful completion of a substantive written project (e.g., senior thesis) evaluated by a committee of three faculty members.
- *Interdepartmental Majors and Individualized Major Program:* The Interdepartmental Major draws in equal measure upon two Trinity College departments or programs that offer a major. Students with interests that cut across several fields may consider the Individualized Major Program, which enables them to examine and explore an interdisciplinary or emerging area of knowledge not generally available within a traditional major or via Interdepartmental Major.

- *Pre-Professional School and Pre-Graduate School Advising:* These offices offer advising for students interested in health professions, business school, law school, and graduate school. The Health Professions Office advises about 1,000 students per year and writes about 350 recommendation letters annually for pre-health students.
- *Service Learning Program:* This program links classroom learning with service to communities. Its method of learning enhances and deepens students' understanding of an academic discipline or subject, while providing them with experience that develops leadership and life skills and engages them in critical reflection about individual, institutional, and social ethics. At Duke, service opportunities are created through collaboration among faculty, students, and individuals and organizations in the community. Service placements both enhance the educational goals of a course and aid the public good by providing a needed assistance to individuals, organizations, schools, or other entities in the community. Typically, at least 70 service learning courses are offered annually with more than 1,000 students participating in over 23,000 hours of service.
- *SPIRE Program:* I created the SPIRE program as part of my efforts with excellence through diversity. SPIRE represents Stem Pathways for Inclusion, Readiness, and Excellence. The Duke SPIRE Fellows Program is a deeply responsive mentoring and academic support system for high-achieving undergraduates from diverse backgrounds with an interest in pursuing a major and/or career in science, technology, engineering, and mathematics (STEM) fields. The program builds on the power of academic mentoring and STEM learning communities, providing high-level STEM tutoring, academic skills development, access to a network of STEM role-models/mentors, and pathways to internships and research opportunities in the summer.
- *Student Returns Office:* The Office of Student Returns (OSR) reviews, develops and implements official university policies related to undergraduate students leaving and returning to Duke post-matriculation. The mission of the OSR is to guide students through the process of a separation from Duke (e.g., due to medical, personal, and conduct reasons) and return to Duke, and to make both points of transition as smooth as possible. In accomplishing this aim, the OSR works closely with the student's academic dean and other campus partners in order to maximize a student's successful transition. An important objective of the OSR is to create a welcoming environment for all returning students through the OSR Student Ambassadors program.
- *Summer Session and Continuing Studies:* Summer Session courses are not only for Duke undergraduates. College students from around the world can participate in this program. Additionally, Duke offers Summer College, which is a four-week Duke-credit-bearing summer academic experience for high school juniors and seniors, and Summer Academy, which is non-credit bearing and for high school students. Continuing Studies offers the Professional Certificates Program, Nonprofit Management Program, Osher Lifelong Learning Institute, Duke Youth Programs (a summer enrichment academic experience for middle and high school students), and university courses on a non-degree basis (Duke employees can take these courses).
- *Thompson Writing Program:* Writing and research are the cornerstones of the Duke curriculum. The Thompson Writing Program (TWP) helps students develop as writers from their first through senior years at Duke and beyond, as well as supports faculty who teach writing in a wide range of courses across the curriculum. The program does so in three main ways: 1) Academic Writing (Writing 101), which is required for all entering

undergraduates in their first year at Duke and is an intense introduction to critical thinking and writing that teaches students how to argue creatively in response to the work of other scholars and intellectuals; 2) Writing in the Disciplines, since all undergraduates in Trinity must also take two writing-designated courses in the disciplines; and 3) the TWP Writing Studio, which offers free, one-on-one writing consultations to Duke students so they can move forward at any stage of their work on a piece of writing—from developing ideas to drafting to revising.

- *Transfer Students:* This office manages students who transfer to Duke from other universities. The process involves advising/mentoring and evaluating the courses from the student's prior institution for their Duke transfer equivalents and providing information about what curricular requirements those courses fulfill at Duke.
- *Undergraduate Research Support Office:* The opportunity for undergraduates to participate in research, along with the curricular requirement of a research-intensive course, is one of the core features of the Duke undergraduate experience. This office promotes a culture of undergraduate research at Duke through four core practices: 1) provides grants to students participating in research independent studies, serving as research assistants, and/or traveling to and presenting data at academic conferences; 2) provides summer research scholarships via the Dean's Summer Research Fund and administers the Benenson Awards for the Arts; 3) hosts a campus-wide symposium showcasing undergraduate research in all disciplines called *Visible Thinking* every spring; and 4) provides the core financial support for the Biological Summer Undergraduate Research Fellowship. The office also manages the *Visible Thinking* journal, which I created to be a faculty-run multimedia online publication, highlighting the intellectually rigorous and creative research produced by undergraduates across Duke.
- **Data and Analytics:** Support in these critical areas is provided by the following offices, which helped me monitor the state of Trinity's academic enterprise:
  - *The Office of Assessment:* This research arm of Trinity played a critical role in my academic decision making and strategic planning. The office provides ongoing research and analytics on Trinity's undergraduate curriculum, courses, departments, and programs in efforts to improve student learning at Duke. Areas of investigation include, but are not limited to: course evaluations, curricular requirements, academic performance, academic advising, program and department level assessment, assessment of student learning outcomes, and grant related assessment.
  - *Information Systems and Data Management:* This office oversees all the academic systems and services for Trinity undergraduate academic data, including system alerts for midterm D or F grades, status of academic continuation requirements, and academic clearance for graduation.
- **Finance and Staff Administration:** I was responsible for overseeing the management and administration of the financial and staffing operations of Trinity's Office of Academic Affairs. The everyday implementation was executed by my Business Manager and her direct reports. My understanding of and experience with financial issues informed these administrative responsibilities. As noted earlier, I was a Professor of Business Administration in Duke's Fuqua School of Business for nine years and wrote a textbook on Mathematical Finance. With respect to overseeing staff, I promoted a culture based on organizational health and offered

opportunities for individual and group professional development, including training in conflict resolution, communicating with tact, and adapting to change.

- **Fundraising:** I traveled with Duke's Development Staff to fundraise for Trinity. This involved meeting with individual donors and speaking at special events for alumni. A foundational part of these activities included developing and making presentations to Duke's cohort of frontline fundraisers about Trinity's academic priorities, which they, in turn, conveyed to prospective donors while fundraising nationally and internationally.

I close this section by clarifying the other role I had, namely, **Associate Vice Provost for Undergraduate Education**. Through that position, I engaged with concerns that went beyond the context of Trinity, cutting across other schools at Duke. For example, I co-chaired a committee that assessed the standards, policies, and procedures of the undergraduate, graduate, and professional certificates offered by all of Duke's schools. I was also involved with matters pertaining to Duke's Admissions, Athletics, Student Affairs, diversity, and undergraduate national rankings. Overall, the responsibilities were organic and fluid, responding to provostial requests as certain university undergraduate-related issues arose.

### 3.1.2 Overview of Administrative and Service Experience Prior to Dean of Academic Affairs

In this section, I briefly describe some examples of my administrative and service experience before serving as Trinity's Dean of Academic Affairs. A comprehensive list is in Section 3.2 (page 50), while the international service work is in Section 4 (page 57).

My prior experience included:

- chairing the committee that evaluates the research credentials of Full Professors in the humanities, social sciences, and natural sciences who were nominated for distinguished professorships (Duke)
- serving on the committee that evaluates faculty nominated for Bass Professorships, which are rotating five-year named professorships for excellence in both teaching and research; recipients become permanent members of the Bass Society of Fellows (Duke)
- serving on departmental committees charged with hiring, promotion, and/or tenure evaluations of Full Professors, Associate Professors, Assistant Professors, Assistant Research Professors, Professors of the Practice, and Visiting Assistant Professors in mathematics and physics (Duke)
- serving on committees charged with hiring and/or reviewing senior administrators: Provost, Dean of the Faculty, Vice President for Student Affairs, and Assistant Dean for Student Development (Duke)
- serving on university budgetary committees (Duke)
- serving as Director of Undergraduate Studies, Department of Mathematics (Duke)
- serving as co-Director of Graduate Studies, Department of Mathematics (Princeton)
- directing an undergraduate scholarship program addressing diversity (Director of the Reginaldo Howard Program, Duke)

- serving as a pre-major adviser for undergraduates (Duke)
- serving as Faculty-in-Residence in student dormitories (Duke, MIT, and Princeton)
- recruiting and mentoring underrepresented minority students, faculty, staff (Duke, MIT, Princeton)
- leading, as president, the Petters Research Institute, a non-profit in Belize; see Section 4
- chairing the Council of Science Advisers to the Prime Minister of Belize; see Section 4

The remainder of this section highlights unique contributions of my service to Duke's mathematics department, student residential life, and underrepresented minority community.

### Selected Highlights: Service to Department

- **Recruiting underrepresented minority students to graduate program:** I recruited underrepresented minority students **Andrea Watkins** and **Alberto Teguia** to Duke's Mathematics graduate program. This recruitment is significant because *Andrea and Alberto were the second and third black students, respectively, to graduate from Duke's Mathematics Ph.D. program.* I served as a mentor to both students, with Alberto being one of my Ph.D. students. Andrea graduated in 2010 and Alberto in 2011.
- **Organizing a Duke/Goldman Sachs Conference:** Shortly after arriving at Duke in the fall of 1998, I saw a need for *mathematical finance* as an interdisciplinary course offering in our department. This led me to organize a Duke/Goldman Sachs conference in early spring 1999 with the support of the Duke administration and our departmental chair at the time. I brought in a team of mathematical finance experts from Goldman Sachs, who made presentations to our undergraduates, graduate students, postdoctoral fellows, and faculty about various facets of the financial services industry. In particular, they advised us on the latest mathematical tools and algorithms relevant to investment banking and securities firm research, and even recruited some of our mathematics students and postdoctoral fellows. Roughly 100 people from across the university attended.
- **Introducing a Mathematical Finance course in the math department:** Continued interactions following the Duke/Goldman Sachs conference led to a development opportunity from Steve Duncker (Managing Director) and Donna Winston (Vice President), in which they invited me to select for support an area of the university of importance to me. After consultation with my departmental chair and the Development Office, Goldman Sachs sponsored a new course on mathematical finance in fall 2001, which I developed spring 2001.

### Selected Highlights: Service to Residential Life

These highlights focus on my service to Duke's residential life as *Faculty-in-Residence* (1999-2003, 2004-2006) in two undergraduate dormitories, Wilson Hall and Bassett Hall. That role was special because it enabled me to integrate with student life by living in an apartment located in a first-year student dormitory. I was charged with enhancing the intellectual climate in my dormitory. Below are some examples of the variety of student events I organized and hosted:

- **Visits by two Nobel Prize winners**—physicists Val Fitch and Russell Hulse—and a **two-time Pulitzer Prize winning journalist**, Jon Franklin. These events were attended not only by Wilson students, but also by students and faculty from across the campus. At these events, the speakers not only addressed the content of their work, but also described the personal struggles they had with the research problems and issues that eventually brought them such high honors. One speaker even gave us an insider’s view of the whole process from arrival in Stockholm to the Nobel Prize ceremony.
- **Visits by groups of investment bankers**, who included several Duke alumni. They met with students, telling them about the pros and cons of life on Wall Street, and how best to prepare for such a career. These events provided special networking opportunities for students.
- **Visits by faculty**, where the students learned about the journey to tenure, how professors try to balance research and teaching, including what professors expect from their students. The students found these fascinating and got an even better appreciation for the pressures professors face.
- **Visits by graduate students**, who spoke about their academic life, including why they went to graduate school, how it compares with being an undergraduate, how they prepared for graduate school, the pros and cons of taking a job before going on to graduate school, etc. Similar to the “Academic Life of a Professor” event, the students really appreciated getting a glimpse into life of graduate students, who were often Teaching Assistants for their courses.
- **Visit by a group of sophomores, juniors, and seniors**, who gave words of advice ranging from the transition to post-first-year residential life to how to select courses and “good” professors.
- **Visit by the players on the men’s and women’s basketball teams**. Students were especially delighted not only to meet the players, but also to have a Q&A period where the players spoke about the challenges of balancing sports and academics.

Most of the above events were held in my Wilson and Bassett Hall apartments.

In the dorms, I also served as mentor and supervisor of undergraduates who wanted a research experience. For example, in fall 2001, I supervised a highly exceptional first-year undergraduate, **Vanessa Rousso**. She did a research project with me on the *Structure and Function of Electronic Exchange Networks for Financial Markets*. Vanessa completed her degree in 2.5 years and went on to become a world-class poker player. Wikipedia cites, “As of October 2017, Rousso ranks among the top ten women in poker history in terms of all-time money winnings.”

As Faculty-in-Residence, I was mindful to provide a good balance between educational and fun events. For example, I hosted dinners (some with international dishes) and invited the students over numerous times to watch the Duke basketball games. During finals, I would offer evening study breaks in my apartment, providing high-quality coffee, tea, and desserts, which the students really appreciated during such a time of anxiety and stress. With the educational events, I was also careful to not have them seem like just another seminar/colloquium, so we encouraged our guests to talk both about their work and the personal aspects of being a practitioner in that field. Overall, I was quite happy living in the residential halls. I especially took great pleasure in observing how our first-year students transformed quickly from feeling like timid newcomers to comfortably engaging the academic and student life possibilities at Duke.



**Selected Highlights: Service to the Underrepresented Minority Community**

- **My service to the underrepresented minority community** in addressing the issues of underrepresentation and persistence in STEM fields goes back to the 1980s when I was an undergraduate at Hunter College of the City University of New York. At Hunter, I founded a science academy for underrepresented minority undergraduates interested in research. We interacted weekly on the research we were doing as part of the MBRS<sup>8</sup> and MARC<sup>9</sup> programs. These synergistic interactions nurtured us as young minority researchers, giving us ownership and confidence in the field as we prepared to become scientists. In fact, our academy was such a success that it even energized the scientific climate among Hunter students in general, especially through our popular speaker series of distinguished scientists.

Without a doubt, an early exposure to role models has a positive impact on the types of careers underrepresented minority students choose. It was precisely such experiences that inspired me to go into academia. There is no substitute for the profound impact of testimonials from those who have traversed that road. From my arrival at Duke in 1998, I have mentored numerous Duke minority students and, equally important, have attended their events. I have also been involved with recruiting underrepresented minority undergraduates, graduate students, and faculty to Duke, and chaired the Executive Committee of the President's Council on Black Affairs. And I am honored to have been selected as guest speaker for many underrepresented minority events (see page 55).

- **I served as Director of the Reginaldo Howard Memorial Scholarship Program** (2002–2003). This undergraduate scholarship is awarded to students of African descent who were admitted to Duke and exhibited exceptional leadership potential and commitment to social justice. Graduates of the program have won prestigious fellowships/scholarships such as the Fulbright, Howard Hughes, Mellon, and Truman.

Overall, I have made myself available to minority students. Many come to see me for career advice and letters of recommendation. I should add that every Black History Month, I also receive emails from about 100 minority students in middle schools and high schools across the country who are doing projects on African American mathematicians. They want to know about my research work at Duke, who inspired me when I was their age, how I have dealt with racism, which math courses to take, what kinds of jobs they can get with a math degree, how they can prepare to attend a university like Duke, etc. I believe that these service activities are critical to my community and I do them with great pleasure.

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<sup>8</sup>Minority Biomedical Research Support

<sup>9</sup>Minority Access to Research Careers

## 3.2 List of Administrative and Service Experience

### University Service

- Dean of Academic Affairs, Trinity College of Arts & Sciences, Duke University (2016-2019)
- Associate Vice Provost for Undergraduate Education, Duke University (2016-2019)
- Member, Athletic Council, Duke University (2016-2019)
- Member, University Judicial Board, Duke University (2016-2019)
- Chair, Executive Committee of the President's Council on Black Affairs, Duke University (2018-2019)
- Member, Search Committee for Arts & Sciences Dean, Duke University (2015)
- Member, University Priorities Committee, Duke University (2013-2016)
- Chair, Distinguished Professor Nomination Committee in Arts & Sciences, Duke University (2011-2012)
- Member, Distinguished Professor Nomination Committee in Arts & Sciences, Duke University (2010-2012)
- Member, President's Committee on Provost's Review for Renewal, Duke University (2008)
- Member, Nomination Committee, Bass Professorships, Duke University (2005–2008)
- Pre-Major Adviser, Duke University (2004–2006)
- Panelist, Graduate School Recruitment Weekend for Underrepresented Minority Students, Duke University (2004)
- Associate Head of House, Simmons Hall dormitory, MIT (2003–2004)
- Director, Reginaldo Howard Memorial Scholarship Program, Duke University (2002–2003)
- Member, Arts & Sciences Task Force on the Budget, Duke University (2002)
- Member, Academic Council, Duke University (2002)
- Member, Selection Committee for Duke Endowment Graduate Fellowships, Duke University (2002)
- Member, Selection Committee for A. B. Duke Scholars, Duke University (2002)
- Member, Selection Committee for Residential Life Coordinators, Duke University (spring 2002)
- Presenter, Duke-Up-Close Recruiting Weekend, Duke University (2002)
- Presenter, The Faculty Member as University Citizen, fundraising, Duke Annual Fund (2002)
- Pre-Major Adviser, Duke University (2001–2002)
- Member, Search Committee for Vice President for Student Affairs, Duke University (2000–2001)
- Member, Search Committee for Assistant Dean for Student Development, Duke University (2000–2001)
- Member, Nomination Committee, Bass Professorships, Duke University (1999–2002)
- Faculty-in-Residence, Wilson Hall and Bassett Hall dormitories, Duke University (1999–2003, 2004–2006)
- Presenter, Arts & Sciences Steering Committee, Duke University (1999)

- Member, Selection Committee for Teaching Awards, Duke University (1999)
- Organized Duke/Goldman Sachs Diversity Forum, Duke University (January 26, 1999)
- Presenter, Duke Regional Campaign Council, fundraising (1999)
- Co-Chair, Action Committee of President's Council on Black Affairs, Duke University (1998–1999)
- Academic Adviser, Forbes College, Princeton University (1995–1998)
- Resident Faculty Member, Forbes College dormitory, Princeton University (1995–1997)
- Faculty Representative, Alumni Council of Princeton University (1995–1996)
- Martindale Scholarship Selection Committee, Forbes College, Princeton University (1996)
- Summer Scholars Program Lecturer, Princeton University (summers 1996–1997)

### Departmental Administrative and Service Experience

#### *Departmental Officer Positions and Committees*

- Member, Appointments Committee, Duke University, Department of Mathematics, (1998–1999, 2001–2002, 2003–2006, 2008–2016)
- Member, Search Committee for Professor of the Practice in Mathematics, Department of Mathematics, Duke University (2011–2012)
- Examiner, Qualifying and Preliminary Exams, Department of Mathematics, Duke University (2004–2006)
- Co-Organizer, Einstein Week, Centennial Celebration of Relativity Theory, Departments of Mathematics and Physics, Duke University (September 5–10, 2005)
- Director of Undergraduate Studies, Department of Mathematics, Duke University (2002)
- Member, Re-Appointment Committee for Assistant Professor of the Practice, Department of Mathematics, Duke University (spring 2002)
- Co-Organizer, Seventh Conference for African American Researchers in the Mathematical Sciences, Department of Mathematics, Duke University (June 22–25, 2001)
- Major Adviser, Department of Mathematics, Duke University (2000–2001, 2003–2006, 2010–2013)
- Organizer, Duke/Goldman Sachs Conference on Mathematical Finance, Department of Mathematics, Duke University (January 26, 1999)
- Examiner, Ph.D. General Exams, Department of Mathematics, Duke University (1999, 2007, 2008)
- Co-Director of Graduate Studies, Department of Mathematics, Princeton University (1996–1998)
- Advanced Placement Officer, Department of Mathematics, Princeton University (1994–1996)
- Examiner, Ph.D. General Exams and Undergraduate Comprehensive Exams, Department of Mathematics, Princeton University (1993–1998)

#### *Departmental Mentor of Junior Faculty*

- Michael Troxel, Assistant Professor, Department of Physics, Duke University (2018–2021)
- Carla Cederbaum, Visiting Assistant Professor, Department of Mathematics, Duke University (2011–2013)

- Amir Aazami, Visiting Assistant Professor, Department of Mathematics, Duke University (2011–2013)
- Marcus Werner, Visiting Assistant Professor, Department of Mathematics, Duke University (2009–2011)
- Kumar S. Virbhadra, Postdoctoral Fellow, Department of Mathematics, Duke University (2000–2002)

*Departmental Supervisor of Ph.D. Thesis Students*

- Marcus Werner, Institute of Astronomy, University of Cambridge (2007–2009, co-mentor)
- Amir Aazami, Department of Mathematics, Duke University (2006–2011)
- Alberto Tegua, Department of Mathematics, Duke University (2005–2011)

*Departmental Mentor of Ph.D. Students*

- Andrea Watkins, Department of Mathematics, Duke University (2004–2006)
- Nicholas Robbins, Department of Mathematics, Duke University (2003–2005)
- Sean McGee, Department of Physics, Duke University (2003)

*Supervisor of M.B.A. Student Research Projects (Fuqua School of Business, Duke University)*

- [1] As part of Fuqua’s Executive M.B.A. Finance Concentration Program, I have **supervised 31 finance concentration research projects** (2010-2016). These projects covered topics dealing with firm valuation, derivatives, portfolio theory, mergers and acquisitions, etc.

I also supervised the following research projects as part of the Daytime M.B.A. program at Fuqua:

- [2] *Risk Measures in the Context of Global Financial Crises*  
Ramona Bejan, Cross Continent Executive M.B.A. Program, Fuqua School of Business (2009)
- [3] *Increasing Technology Awareness in the Belizean Population*  
Alfredo Frech and Ryan McCoy, Daytime M.B.A. Program, Fuqua School of Business (2009)
- [4] *Ecoresort in Belize: Research Report and Proposals*  
Siwon Baek, Isao Minegishi, and Travis Peoples, Daytime M.B.A. Program, Fuqua School of Business (2009)
- [5] *The Emerging Oil Industry in Belize*  
Valentina Nielsen, Daytime M.B.A. Program, Fuqua School of Business (2009)

*Supervisor of Undergraduate Research Projects*

- [1] *Filtering Financial Time Series using Transforms*  
Kyuwon Choi, Departments of Economics and Mathematics, Duke University (2011-2012)
- [2] *Carbon Credits*  
Kyuwon Choi, Departments of Economics and Mathematics, Duke University (2010)

- [3] *Whitney Singularities and Magnification Cross Sections*  
Luke Stewart, Mellon Fellow, Department of Mathematics, Duke University (2005–2007)
- [4] *Mathematical Pedagogy for STEM Fields*  
Michelle Sowemimo, Department of Psychology, Duke University (2006–2007)
- [5] *Global Magnification Sum Relations and Resultants*  
Ibraheem Mohammed, A.B. Duke Scholar, Department of Mathematics, Duke University (2005–2007)
- [6] *Magnification Probabilities in Microlensing*  
Wifag Adnan, Departments of Economics and Mathematics, Duke University (2005)
- [7] *Probability Density for Random Image Magnification*  
Gabriel Williams, Mellon Fellow, Department of Mathematics, Morehouse College (summer 2005)
- [8] *Magnification Fractional Differences for a Chang-Refsdal Lens*  
Peter Blair, Goldwater Scholar, APS Fellow, Mellon Fellow, Department of Mathematics, Duke University (2004–2006)
- [9] *The Chang-Refsdal Lens: Critical Curves and Caustics*  
Meredith Houlton, PRUV Research Fellow, Department of Mathematics, Duke University (2002–2003)
- [10] *Gravitational Microlensing*  
Jay Strader, Department of Physics, Duke University (2001–2002)
- [11] *Alternative Price Processes for Black-Scholes: Empirical Evidence and Theory*  
Samuel Malone, Rhodes Scholar, Goldwater Scholar, Duke Faculty Scholar, PRUV Research Fellow, Departments of Mathematics and Economics, Duke University (2000–2002)
- [12] *Markowitz Portfolio Theory and the Black-Scholes Equation*  
Paula Sardi, Duke University, Department of Mathematics/Economics (spring 2002)
- [13] *Electronic Communication Networks for Financial Markets*  
Vanessa Rousso, Dannenberg Fellow, Department of Mathematics, Duke University (fall 2001)
- [14] *Gravitational Lensing: Center of Light Curves for a Point-Mass Lens System*  
Paul Bunn, Department of Physics, Duke University (2000–2001)
- [15] *Mathematical Finance: Portfolio Theory and Option Pricing*  
Gil Libling, Department of Mathematics, Duke University (2000)
- [16] *Mathematical Finance: Portfolio Theory and Option Pricing*  
Joshua Schiffrin, Department of Mathematics, Duke University (2000)
- [17] *Mathematical Finance: Portfolio Theory and Option Pricing*  
Shiv Sudhakar, Department of Mathematics, Duke University (2000)
- [18] *The Morse Inequalities and Gravitational Lensing*  
Benni Goetz, A.B. Duke Scholar, Department of Mathematics, Duke University (1998–2000)

- [19] *Computing the Euler Characteristic*  
Jean Steiner, Department of Mathematics, Princeton University (1996)
- [20] *Complex Analysis and Gravitational Microlensing*  
Andre Dessources, Ronald McNair Program for Minority Students, MIT (1993)
- [21] *Stability and Genericity of Differentiable Maps*  
Michelle Wilson, Summer Science Research Program for Minority Students, MIT (1991)
- [22] *Robertson-Walker Universes*  
Gabriel Reynoso, Summer Science Research Program for Minority Students, MIT (1988)

### Service to the Discipline

- Member, Review Committee for the Mathematical Sciences Research Institute, Berkeley (2017)
- Member, Board of Trustees, Institute of Pure and Applied Mathematics, UCLA (2006–2010)
- Member, Board of Governors, Institute of Mathematics and its Applications, University of Minnesota (2006–2010)
- Member, Selection Committee for Centennial Fellowship, The American Mathematical Society (2004–2006)
- Member, African Scientific Committee, charged with developing the intellectual framework for the African University of Science and Technology, World Bank and Nelson Mandela Foundation (2004–2008)
- Member, Selection Committee for Blackwell-Tapia Prize in Mathematical Science (2004–2006)
- Invited Participant, U.S. National Committee for Mathematics, National Research Council of the National Academy of Sciences (2001)
- Referee for Journals: *Astronomy and Astrophysics*, *Journal of Mathematical Physics*, *Monthly Notices of the Royal Astronomical Society*, and *The Astrophysical Journal* (1998–present)
- Referee for Grant Proposals: National Science Foundation—Geometric Analysis and Gravitational Physics programs (1998–present)

### Service to the Underrepresented Minority Community

This list does not cover all my service to the underrepresented minority community. The goal is simply to give a sample of those service activities. Note that I did not keep a record after 2008.

- **Mentorship (1982–present):** I have mentored numerous minority students at Hunter College-CUNY (1982–1986), MIT (1986–1988), Princeton University (1993–1998, 2007), and Duke University (1998–present). As recognition for this mentoring, I received many plaques, including a Service Award from Princetonians of Color Network on February 8, 1996 (*Our Unsung Heroes and Heroines*). I continue to mentor underrepresented minority students from around the country.

- **Scholarships (2000–2006):** As a result of the Duke/Goldman Sachs Diversity Forum I organized in 1999, I developed a relationship between Goldman Sachs and Duke University that resulted in Goldman Sachs Scholarships for Duke underrepresented minority students. Some recipients: Lauren Moses (2000), Catalina Saldarriaga (2000), Latarsha Davidson (2001), Alina Henry (2001), Deja Lewis (2001), Richard Rivera (2002), Edward Errea (2002), and Edward Keith (2003).
- **Director of Reginaldo Howard Memorial Scholarship Program (2002–2003):** This program for students of African descent focuses on leadership and social justice. Students receive a full scholarship to attend Duke.
- **Selected Highlights: Guest Speaker and Panelist**
  - Guest Speaker, Underrepresented Minority Students, North Park University (October 2008)
  - Guest Speaker, Underrepresented Minority Students at Honors College, Johnson C. Smith University, an HBCU (September 2008)
  - Guest Speaker, MBRS-MARC Program Underrepresented Minority Students, Hunter College, CUNY (September 2008)
  - Guest Speaker, National Society of Black Engineers, Princeton University (October 2008)
  - Panelist, Recruiting Underrepresented Minorities for Careers in the Mathematical Sciences, Department of Mathematics, Boston University (April 2006)
  - Guest Speaker, African American Mathematics Symposium, Department of Mathematics, Boston University (April 2006)
  - Guest Speaker, National Institute of Science Beta Kappa Chi Awards Banquet, Montgomery, Alabama (March 2006)
  - Guest Speaker, HBCU-UP Conference, Baltimore, Maryland (February 2006)
  - Panelist, Mellon Mays Undergraduate Fellowship Fellowship Southern Regional Conference, Rice University (October 2005)
  - Guest Speaker, Mathematical Association of America Conference, University of Texas (April 2005)
  - Guest Speaker, Marjorie Lee Brown Colloquium, in celebration of Martin Luther King, Jr. Day, Department of Mathematics, University of Michigan (January 2004)
  - Panelist, African American Men in the Academy, Summer Pre-Graduate Program for Underrepresented Minorities, University of North Carolina, Chapel Hill (June 2004)
  - Guest Speaker, Lessons from My Academic Journey, Black Graduate Student Association, MIT (February 2004)
  - Guest Speaker, Corey T. Williams Banquet and Ball, underrepresented minority undergraduates, Duke University (February 2002)
  - Guest Speaker, Recommendation Paper on Education to Prime Minister of Belize, Belizean Professorship Program, Belize (May 2000)
  - Guest Speaker, Julian Abele Awards Banquet, underrepresented minority graduate and professional students, Duke University (March 2000)
  - Guest Speaker, Cook Society, Duke University (fall 1998)

- Guest Speaker, NSBE Awards Banquet, Princeton University (spring 1997)
- Guest Speaker, Princeton's Summer Program for Minority Students (summer 1995)
- Guest Speaker, Sixth Annual Career Day, West Athens Elementary School, Los Angeles (spring 1995)
- Panelist, African American and Latino Open House, Princeton University (fall 1994)
- Panelist, First Invitational Workshop on Leadership for Diversity, MIT (fall 1994)
- Guest Speaker, National Society of Black Engineers, Princeton University (spring 1994)
- Guest Speaker, Summer Program for Minority Students, Princeton University (summer 1994)



## 4 International Experience

My service to society in the U.S. has been marked by over two decades of work addressing the issue of minority underrepresentation in mathematics and the natural sciences; see pages 54-56. Along with this effort, and due to having come from and been raised in the developing nation of Belize, I am passionate about participating, where appropriate, in national development efforts, particularly in advancing the human capital to leverage knowledge-based economic activities. The current section summarizes three examples of my participation through the creation of two universities, an institute, and scientific advisory board.

### 4.1 Universities in Africa

I served as a member (2004–2008) of the African Scientific Committee involved with creating two new universities in Africa: *The African University of Science and Technology* (AUST) in Abuja, Nigeria, and the *Nelson Mandela African Institutions of Science and Technology* in Arusha (NM-AIST-Arusha), Tanzania. The committee was charged with designing a university wide-curriculum in science and engineering that meets world-class standards.

AUST was established in 2007 by the Nelson Mandela Institution for Knowledge Building and the Advancement of Science and Technology in Sub-Saharan Africa and with the incubating support of the World Bank.

The mission of AUST is to:

“... advance knowledge and educate students in science, technology, and other areas of scholarship that will best serve the African continent in the 21st century. AUST is dedicated to providing its students with an education that combines rigorous academic study and the excitement of discovery with the support and intellectual stimulation of a diverse international and diaspora community. We seek to develop in each member of the AUST community the ability and passion to work wisely, creatively, and effectively for the betterment of humankind.”

NM-AIST-Arusha was created in 2010 and aspires to “become a world-class institution of higher learning dedicated to the pursuit and promotion of excellence in Science, Engineering, Technology and Innovation (SETI), and their applications for economic growth and sustainable development in Africa.”

The goal is for AUST and NM-AIST-Arusha to be part of a substantial network of SETI centers of excellence across sub-Saharan Africa. Another university in the network is 2iE in Ouagadougou, Burkina Faso. These institutions align with the goal of “training and developing the next generation of African scientists and engineers with a view to impacting profoundly the continent’s development through the application of Science, Engineering and Technology, and Innovation.”

## 4.2 Institute in Belize

Drawing on the experience of a broad group of educators and stakeholders in Belize, building on the lessons learned from my work in the U.S. with underrepresented minorities in STEM fields, employing advice from the founder (Neil Turok) of the African Institute for Mathematical Sciences in South Africa, and being mindful of the intellectual framing of AUST, I founded in 2005 the *Petters Research Institute*<sup>10</sup> (PRI) in Dangriga, Belize, as a way of giving back to my place of birth.

PRI is a non-profit, private, politically neutral institute charged with:<sup>11</sup>

- creating an interdisciplinary center of excellence in the application, theory, and pedagogy of STEM fields, as well as their synergistic interactions with business administration and entrepreneurship to induce economic growth
- promoting outreach programs to scholars and professionals outside science, and to the community at large, encouraging collaboration and mutual understanding to create synergies for the betterment of the Belizean people.

Activities at PRI have included research in mathematics and science, summer academies for students,<sup>12</sup> workshops on pedagogical tools for teachers, and collaborations with the Belize Defence Force to train soldiers in mathematics and science. The institute also offers scholarships to Belizean students to attend primary, secondary, and tertiary schools.

PRI pursues its mission through programs that include (but are not limited to):

- helping to advance a technology sector in the Belizean economy by developing the Belizean human capital in STEM fields, and tying these fields intimately with the needs of businesses and entrepreneurs to create economic growth
- bringing together world-class researchers to generate practical findings and policy recommendations that ramify into the Belizean educational, technological, business, and health sectors
- partnering with primary, secondary, and tertiary academic institutions to offer enhanced e-learning environments and opportunities for students, educators, and the community
- developing ties with U.S. educational institutions and businesses to promote human capital development and cross-national job opportunities, particularly for low-income underrepresented minorities and non-minorities from economically challenged communities

## 4.3 Belize Prime Minister's Council of Science Advisers

I was the inaugural Chair of the Council of Science Advisers to the Prime Minister of Belize (PM-CSA). The PM-CSA was commissioned on March 29, 2010, and is charged with advising the Prime Minister and his Cabinet on furthering the development of Belize through practical and environmentally sustainable applications of STEM to create economic growth, strengthen education, enhance health, and fortify Belize's national security.

The charge includes providing advice on:

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<sup>10</sup>Named in honor of my family.

<sup>11</sup>Portions of the description have been drawn, with permission, from the PRI website.

<sup>12</sup>An example of one of our summer academies is *Biodiversity and DNA Barcoding*, which was led by researchers from the City University of New York Graduate Center.

- framing science policies that convert into practical programs that promote economic growth
- attracting science and technology investors and industries, particularly in green technologies
- identifying strategic economic opportunities that cut across different government ministries as well as creating synergistic opportunities for ministries using technology
- developing the Belizean human capital in STEM fields with emphasis on applications that advance national development
- evaluating selected STEM proposals submitted to the government

One primary aim of the PM-CSA is to assist the Prime Minister with framing a green policy that lays a path for Belize to grow economically in an environmentally responsible way. Specifically, the PM-CSA advises the Prime Minister on practical measures for how to:

- formulate a national development strategy that builds upon Belize's track record in ecotourism and environmental conservation to forge new economic growth through green technologies
- attract investors and innovators in renewable energy, recycling, waste management, and green construction to create new jobs, achieve consumer energy savings, and promote synergies enhancing ecotourism
- systematize, inventory, and manage the new economic value available to Belize through carbon sequestration credits from existing forest reserves and their replenishing, and the carbon offset credits realized from the introduction of renewable energy technologies
- advance purposefully computer technology, particularly software development and IT service, as an additional source of economic growth