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Emotional Intelligence in Hypercrisis: A Content Analysis of World Trade Center Leadership Response to the Terrorist Attacks of September 11, 2001

Megan Lindsay Schwartz
Wright State University

EMOTIONAL INTELLIGENCE IN HYPERCRISIS: A CONTENT ANALYSIS OF

WORLD TRADE CENTER LEADERSHIP RESPONSE TO THE TERRORIST

ATTACKS OF SEPTEMBER 11, 2001

A thesis submitted in partial fulfillment of the
requirements for the degree of
Master of Science

By

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<u>April 27, 2013</u>

I HEREBY RECOMMEND THAT THE THESIS PREPARED UNDER MY
SUPERVISION BY <u>Megan Lindsay Schwartz</u> ENTITLED <u>Emotional Intelligence in
Hypercrisis: A Content Analysis of World Trade Center Leadership Response to the
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ABSTRACT

Schwartz, Megan Lindsay. M.S., Department of Leadership Studies in Education and Organizations, Wright State University, 2013. Emotional Intelligence in Hypercrisis: A Content Analysis of World Trade Center Leadership Response to the Terrorist Attacks of September 11, 2001.

The purpose of this qualitative content analysis was to examine World Trade Center

(WTC) leadership response to the hypercrisis of 9/11. Information on surviving leaders of

four companies housed in the WTC on 9/11 was gathered from ten sources including

journal articles, newspaper article, magazine articles, a book, and a documentary. The

information was analyzed for evidence of emotional intelligence according to Daniel

Goleman's five-construct model. Phrases drawn from the sources were coded according

to construct. Results indicated empathy to be the most prevalent response, followed by

self-regulation, relationship management, self-awareness, and self-motivation. A second

round of coding classified the phrases into attributes according to each construct. The

findings indicated service orientation, social awareness, and adaptability to be the most

common attributes demonstrated by the WTC leaders.

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ACKNOWLEDGEMENTS

DEDICATION

This thesis is dedicated to my husband, Bobby, who showed me patience, understanding, compassion, encouragement, and love throughout my graduate program. I could not have gotten this far without your support.

Additionally, this thesis is dedicated to my parents who have always encouraged and supported me unconditionally.

Finally, this thesis is dedicated to those who lost their lives on 9/11 and the loved ones they left behind.

I.   Introduction

Introduction

On Tuesday, September 11, 2001 (9/11), the deadliest terrorist attack in history

struck the United States. The basic facts are well-known. Four hijacked passenger planes

crashed into various targets: one into the North Tower of the World Trade Center (WTC)

in Lower Manhattan; one into the adjacent South Tower of the WTC; one into the

Pentagon in the District of Columbia; and one intended for a target in the Capitol was

downed in a field in Pennsylvania after passengers overpowered the hijackers. The

attacks resulted in approximately 3,000 deaths, the majority of which came from the

WTC. Most Americans can recite these facts and figures as well as their whereabouts on

that fateful day.

The topic of 9/11 has been scrutinized from different angles in the decade since

the events. A basic search in most library database yields studies ranging from the

treatment of Post-Traumatic Stress Disorder on children following 9/11 (Vardi, 2005) to

changes in United States/Canadian border security since the attacks (Ackleson, 2009).

The events of 9/11 made a lasting impression on the world and researchers are working to

determine the impact in countless topics.

In the shadow of monumental tragedy, stories of triumph immediately began to

emerge. Despite suffering immense loss, four companies from the WTC arose from the

ashes and began the arduous task of rebuilding. Trading firm Cantor Fitzgerald,

investment banks Keefe, Bruyette & Woods (KB&W) and Sandler O'Neill, and law firm

Sidley, Austin, Brown & Wood (SAB&W) each resumed operations within days of the attacks. Furthermore, each company still thrives over 11 years later.

Statement of the problem

In the terrorist attacks of 9/11, leaders faced a previously unimaginable "hypercrisis" (Maggitti, Slay & Clark, 2010). Despite enduring enormous losses of capital and human life, leaders successfully rebuilt organizations. Methods used by each leader to overcome the immense setbacks were compared using the theoretical framework of Daniel Goleman's emotional intelligence model. Recommendations on how to build emotional intelligence were provided for future leaders facing crisis situations.

Existing literature describing leader responses to 9/11 were examined. Passages from articles, interview transcripts, and books were compared to the five constructs of Goleman's model of emotional intelligence. The information collected from this comparison was analyzed and conclusions were drawn as to the effect of emotional intelligence on the rebuilding of the organizations following 9/11.

Definition of terms

Please see Appendix A for a list of the definitions of terms used within this study.

Research questions

The following six research questions guided the study:

Research question I: What (if any) evidence exists for the use of self-awareness by the WTC leaders?

Research question II: What (if any) evidence exists for the use of self-regulation by the WTC leaders?

Research question III: What (if any) evidence exists for the use of self-motivation by the WTC leaders?

Research question VI: What (if any) evidence exists for the use of empathy by the WTC leaders?

Research question V: What (if any) evidence exists for the use of relationship management by the WTC leaders?

Research question VI: Based on the evidence analyzed, which areas of emotional intelligence (if any) appear to be particular strengths for the WTC leaders?

Assumptions

In conducting a content analysis, the researcher analyzed existing sources including interviews, journal and magazine articles, books, and videos published since 9/11. The researcher assumed the published information utilized in the study was factual and reliable.

Scope

In this study the researcher examined leaders from four companies located in the WTC prior to its destruction: Cantor Fitzgerald; Keefe, Bruyette & Woods; Sandler O'Neill; and Sidley, Austin, Brown & Wood (please see Appendix B for detailed information on each of the companies). The companies were chosen for the following reasons: (1) the total loss of WTC office space and the death of at least one employee; (2) the survival of each company at time of research (late 2012 through early 2013); and (3) the amount of information available regarding each company's response to 9/11.

The researcher approached the study from a constructivist world view. When the attacks of 9/11 took place, the researcher was a junior in high school and not in a

leadership role. Advanced education in leadership development sparked an interest in the researcher learning more about the role leadership styles and principles played in the success stories from 9/11. Despite the researcher's passion on the topic of 9/11, the study was designed to present unbiased findings. This was accomplished by demonstrating components of trustworthiness, credibility, confirmability, transferability, and dependability as discussed in chapter three. The researcher focused on the application of emotional intelligence in a hypercrisis.

Significance of the study

The researcher intended to present leadership responses to the hypercrisis of 9/11. These methods can serve as examples for other leaders faced with organizational crises as well as highlighting the importance of emotional intelligence.

The researcher compiled information on the application of emotional intelligence in leadership practices of 9/11. The researcher ascribed the constructs from Goleman's model of emotional intelligence to existing literature and elaborate on the methods used by WTC leaders from 9/11. The researcher conducted a search for peer-reviewed journal articles on databases Academic Search Complete, Psychology and Behavioral Sciences Databases, Social Sciences Citation Index, and Business Search Complete using the parameters "emotional intelligence 9/11" published since 2001. Academic Search Complete returned twelve items; Business Search Complete returned three items; and Psychology and Behavioral Sciences Databases and Social Sciences Citation Index each returned two items. None of the articles returned in these searches discussed WTC response.

Conclusion

The events of 9/11 left an indelible mark on American history. Even more than a decade later, researchers continue to examine the attacks from many different angles. The researcher will analyze the WTC leadership response through the lens of emotional intelligence.

Overview

In the following chapters the researcher will accomplish the following: (1) review of literature; (2) discussion of methods and design; (3) analysis of results; and (4) summary of conclusions and recommendations.

II.   Literature Review

Introduction

   While the idea of emotional intelligence is not new, the field of study has gained

significant attention in the past thirty years. Psychologist Daniel Goleman is renowned as

a researcher in the field, introducing a five-construct model of emotional intelligence as

well as contributing to an assessment tool, the Emotional and Social Competency

Inventory (ESCI). The following paragraphs review the history of emotional intelligence,

Goleman's contributions, the ESCI, and other research in the field of emotional

intelligence.

Emotional intelligence

   The emotional intelligence construct evolved over the 20th century as a way to

differentiate strengths and talents from traditional Intelligence Quotient (IQ)-based

thinking. Gardner (1983), a pioneer in the field, posited the idea of "multiple

intelligences." With further research, it was determined that IQ tests simply measure

pattern-recognition, reasoning, and memory, but ignore the critical factor of context

(Chari, 2008). To take into account all aspects of intellectual performance, multiple forms

of intelligence had to exist, just as Gardner hypothesized.

   Psychologist Daniel Goleman has been a driving force in the emotional

intelligence movement for over twenty years (Kobe, Reiter-Palmon & Rickers, 2001).

His work on emotional intelligence is built upon the foundations of self-mastery and

social intelligence and their use in being aware of one's emotions and their impact on self

and others (Goleman, 2011). According to his website, Goleman's influential 1995 book,

Emotional Intelligence: Why it can matter more than IQ, spent over a year on the New

York Times bestseller list and has been translated into forty languages (Goleman, 2012).

The Harvard Business Review called emotional intelligence "a revolutionary, paradigm-

shattering idea" and listed one of Goleman's articles on the topic as a "must-read,"

(Goleman, 2012). Goleman continues to write on the topic of emotional intelligence,

including books inspired by conversations he facilitated between the Dalai Lama and

leading scientists (Goleman, 2012).

Emotional and Social Competency Inventory (ESCI). Collaborating with Dr.

Richard Boyatzis, Goleman developed the Emotional and Social Competence Inventory

(ESCI), a 68-item assessment used to "assess the emotional and social competencies that

distinguish outstanding leaders" (Goleman, 2012). Based on Goleman's model of

Emotional Intelligence, the ESCI measures self-awareness, self-motivation, social

awareness, and relationship management using the following twelve attributes (listed

with Cronbach's Alpha Reliability, all of which meet the recommended cut-off of .70

[Nunnally, 1978]) as illustrated in Table 1:

Table 1

ESCI Measures

Attributes	Cronbach's Alpha
Emotional Self-Awareness	.83
Achievement Orientation	.74
Adaptability	.76
Emotional Self-Control	.80
Positive Outlook	.76
Empathy	.79
Organizational Awareness	.76
Conflict Management	.84
Coach and Mentor	.83
Influence	.74
Inspirational Leadership	.79
Teamwork	.87

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

The ESCI was piloted using 116 participants and 1022 raters in the United States and the United Kingdom (Hay Group, n.d.). An original pool of 96 items was reduced to 68 to ensure only the most valid and reliable items were included in the final inventory (Hay Group, n.d.)

A previous study utilizing the ESCI (with a Cronbach's alpha of .93) was conducted by Shanmugasundaram and Mohamad (2011) to evaluate the levels of emotional intelligence in new teachers. The study found social awareness (specifically, organizational awareness and empathy) to be prevalent in their study and "critical for superior job performance and interactions with people," (Shanmugasundaram & Mohamad, 2011). A doctoral dissertation by Elizabeth Roberson (2010) used the ESCI to compare the relationship between emotional intelligence and administrative advancement in urban school districts, however, no link was established.

While other assessment tools were considered for this study (including the Bar-On Emotional Quotient Inventory and the Mayer-Salovey-Caruso Emotional Intelligence

Test), the ESCI is being utilized in this study as it was accessible, and supplemental materials were provided at no cost to the researcher. The ESCI also has adequately high self-reported levels of validity and reliability (Hay Group, n.d.). For these reasons, the ESCI is utilized to aid in identification of use of emotional intelligence.

Goleman's model of emotional intelligence. For the purpose of this study, Goleman's (1995) original five-construct model on emotional intelligence will be utilized. This model of emotional intelligence is composed of self-awareness, self-regulation, self-motivation, empathy, and relationship management as discussed below.

Self-awareness. Self-awareness, identified by Goleman (1995) as the most important construct of emotional intelligence, is the ability to correctly recognize one's own emotions as well as the components that drive one's emotions. In their 2006 study of job advertisements for university library directors also utilizing Goleman's model, Hernon and Rossiter (2006) named resilience, tenacity, and confidence as aspects of self-awareness.

Goleman (1998) identified three attributes of self-awareness to include emotional self-awareness, accurate self-assessment, and self-confidence. Those with high emotional awareness not only recognize their emotions, but the impact of those emotions (Goleman, 1998). Individuals who are competent in self-assessment are usually mindful of their abilities and limitations, have a sense of humor, learn from past experiences, and constantly strive for improvement (Goleman, 1998). Finally, those who are self-confident stand up for themselves regardless of consequences, make difficult decisions with authority, and have an air of confidence as opposed to arrogance (Goleman, 1998).

Six items from the ESCI are labeled as part of the self-awareness cluster, all with emotional self-awareness attributes. These items are listed in Table 9 in Appendix C.

Self-regulation. The second construct of Goleman's (1995) model of emotional intelligence is self-regulation, which refers to the ability to control one's emotions. In their recent study on the role of emotional intelligence in impression management, Cole and Rozell (2011) identified trustworthiness, conscientiousness, adaptability, and innovation as important areas of self-regulation. Hernon and Rossiter (2006) indicated that leaders with high emotional intelligence would be flexible, emotionally stable under pressure, and comfortable making tough decisions.

Self-regulation includes the attributes of emotional self-control, trustworthiness, conscientiousness, adaptability, and innovativeness (Goleman, 1998). Those with high levels of self-control appropriately manage impulsivity and retain focus, positivity, and composure regardless of circumstances (Goleman, 1998). Trustworthy individuals are ethical, reliable, and authentic. They can admit when they are wrong and will stand behind the right choice even if it causes consequences (Goleman, 1998). Individuals with high levels of conscientiousness hold themselves accountable, are precise and thoughtful in their work, and do what they say they will do (an idea so important to leadership that it has its own excessively long acronym <u>D</u>o <u>W</u>hat <u>Y</u>ou <u>S</u>ay <u>Y</u>ou <u>W</u>ill <u>D</u>o) (Goleman, 1998). Adaptable individuals maintain flexibility in the face of changing circumstances (Goleman, 1998). Finally, innovative individuals use many sources and perspectives to generate new ideas and solutions (Goleman, 1998).

Six items from the ESCI are described as having the attribute of emotional self-control. Additionally, six items are listed as having the attribute of adaptability, which

Goleman (1998) includes as a facet of self-regulation. These items comprise the self-regulation portion of the study and are listed in Table 10 in Appendix C.

Self motivation. Goleman (1995) named self-motivation as the third construct of his model of emotional intelligence. Self-motivation refers to the role of emotions in reaching one's goals. Leaders who excel in this construct of emotional intelligence will be driven to succeed, committed, and optimistic (Cole & Rozell, 2011; Hernon & Rossiter, 2006).

Self-motivation includes attributes such as achievement drive, commitment, initiative, and a positive outlook (Goleman, 1998). Those with a high achievement drive seek to constantly improve themselves and set ambitious but attainable goals (Goleman, 1998). Individuals with high levels of commitment not only identify with their group or organization, but make decisions based on what is best for the mission (Goleman, 1998). Initiative is shown when an individual will do whatever it takes to meet goals and take advantage of opportunity (Goleman, 1998). Finally, those who have a positive outlook find ways around roadblocks and look for the positive in difficult situations (Goleman, 1998).

Twelve items from the ESCI are associated with self-motivation. Those items fall under the self-motivation cluster and the positive outlook attribute as well as the achievement attribute. These items are listed in Table 11 in Appendix C.

Empathy. Empathy is often identified as an important characteristic in leaders and is included as the fourth construct of Goleman's (1995) model of emotional intelligence. Empathy is the ability to recognize and react appropriately to the feelings of others (Cole & Rozell, 2011). Leaders who rate high in empathy are good listeners, have a service mentality, and are considerate of others (Cole & Rozell, 2011; Hernon & Rossiter, 2006).

Goleman (1998) identified attributes of empathy to include service orientation, developing others, leveraging diversity, political/organizational awareness, and social awareness. Those with a service orientation place others before themselves and strive to fulfill their needs (Goleman, 1998). Individuals strong in developing others appropriately give feedback, rewards, recognition, and coaching (Goleman, 1998). Leveraging diversity entails working well with people from different backgrounds and seeking a shared understanding (Goleman, 1998). Social awareness is comprised at being able to sense and appropriately respond to the feelings of others (Goleman, 1998). Finally, being politically/organizationally aware requires an ability to identify and manage organization culture including authority, power, and relationships (Goleman, 1998).

Five items from the ESCI are described as having empathy attributes (under the social awareness cluster). Additionally, actions that demonstrate a service orientation (Goleman, 1998) are included as empathy. Items from the ESCI associated with empathy are listed in Table 12 in Appendix C.

Relationship management. The fifth and final construct of Goleman's (1995) model of emotional intelligence is relationship management, which refers to the way a leader interacts with others. Leaders with excellent relationship management skills are

able to collaborate well with others, develop subordinates, and effectively lead change (Cole & Rozell, 2011; Hernon & Rossiter, 2006).

Goleman (1998) identified attributes of relationship management to include conflict management, coaching and mentoring, influence, inspirational leadership, and teamwork. Those strong in conflict management can resolve existing conflicts with a win-win outcome and prevent conflicts (Goleman, 1998). Coaching and mentoring involves taking an active interest in others and helping them work toward goals (Goleman, 1998). Those with influence are persuasive and know how to reach their audience (Goleman, 1998). Individuals with inspirational leadership skills articulate shared goals and motivate others to reach them (Goleman, 1998). Finally, those with team capabilities are able to build and lead effective groups, fostering respect and enthusiasm and commitment (Goleman, 1998).

Thirty-three items from the ESCI are described as involving relationship management. These items have a range of attributes including influence, organizational awareness, teamwork, inspirational leadership, coach and mentor, and conflict management. Items from the ESCI associated with relationship management are listed in Table 13 in Appendix C.

Emotional intelligence in research. The research on emotional intelligence indicates the importance of emotionally intelligent leaders and has led to a famous unattributed quote: "IQ gets you hired, but EQ [emotional quotient] gets you promoted" (Hicks & Dess, 2008, p. 18). Emotional intelligence is in demand in many areas, including the military (Sewell, 2011), sports (Sidle, 2007), law enforcement (Turner,

2006), libraries (Hernon & Rossiter, 2006), medicine (Chari, 2008), and engineering (Palethorpe, 2006).

Emotional intelligence has been linked to resiliency, organizational culture, and decision making, all important attributes in crisis recovery. In his recent article, Sewell (2011) recommended the Bar-On emotional intelligence assessment as the first step in building resiliency in the military. He identified self-motivation as a key construct of emotional intelligence and a vital part of building an emotionally healthy solider. Revered Duke basketball coach Mike Krzyzewski utilizes the relationship management construct of emotional intelligence in building a team-oriented climate based on respect (Sidle, 2007). Chari (2008) discussed the implications of bias in decision making in the realm of nursing and determined that high levels of self-awareness were more effective in combating bias than traditional intelligence.

Studies indicate that high levels of emotional intelligence are beneficial to and highly desirable in both leaders (Ingram & Cangemi, 2012; Kobe et al., 2001; Turner, 2006) and managers (Abdul & Ehiobuche, 2011). Several studies suggest that emotional intelligence is learnable and fluid, whereas IQ is generally fixed and constant (Abdul & Ehiobuche, 2011; Palethorpe, 2006).

In their 2012 document analysis, Ingram and Cangemi discussed the importance of emotional intelligence in leadership. They found four constructs of emotional intelligence (self-awareness, self-regulation, empathy, and relationship management) to be integral in building relationships and appropriately managing conflict. Turner (2006) discussed similar findings in the arena of law enforcement, but only specifically suggested building relationship management skills. In their study of 192 undergraduate

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students from a Midwestern university, Kobe et al. (2001) found emotional and social intelligence were positively correlated to leadership experiences (as defined using a modified version of a leadership inventory) and highlighted relationship management. Abdul and Ehiobuche (2011) surveyed 35 graduate students in managerial roles, and their research suggested emotional intelligence is critical for individuals to cope with change and develop interpersonal skills, but did not point to a specific construct as being more important than others. Palethorpe's 2006 article geared toward engineers discussed the advantage of adding emotional intelligence to skills and knowledge, but similarly to Abdul and Ehiobuche, did not highlight one construct over another.

Bradberry (2012) conducted a study measuring emotional intelligence levels in 38,567 workers, from low-level employees to senior-level executives. While he found CEOs excelled in the conflict management realm of relationship management, they often lacked empathy (Bradberry, 2012).

Specifically, Goleman's model of emotional intelligence provided a theoretical basis for Hernon and Rossiter's 2006 study on library directors. The study gathered job descriptions for university library directors and coded each desired trait or skill under the headings of emotional intelligence before asking a population made up of current directors to rank the traits. Hernon and Rossiter (2006) were able to conclude that "an emotionally intelligent leader appears to have much in common with transformational leadership," (p. 272) a highly desired method of leadership. Specifically, they found self-regulation, self-motivation, and relationship management to be more important than self-awareness and empathy in the role of university library director.

The literature seems to suggest that while all five constructs of emotional intelligence are beneficial to leaders, some constructs such as relationship management may be more important than others. From undergraduate students, to law enforcement, and even CEOs, relationship management appears to be the focus of many articles on emotional intelligence, indicating that strengthening this area may be a better indicator of success than the other constructs.

Conclusion

Research on emotional intelligence has revealed its importance in many arenas. Prominent researchers such as Goleman offer insight into this rapidly growing field of study. In this study the researcher examines the response of WTC leaders to 9/11 against the backdrop of Goleman's model of emotional intelligence.

III.   Methods and Designs

Introduction

The events of 9/11 made a lasting impact on the researcher, leaving behind an interest in the topic. This passion presented an obstacle, as the study needed to be presented in a dispassionate and unbiased manner. The research design and methods discussed in the following section illustrates the means by which the researcher attempted to avoid bias in the study.

Research design

The researcher examined the response to the loss endured on 9/11. Each leader overcame similar circumstances including but not limited to the total loss of office space and physical assets in the WTC as well as at least one employee death. The researcher approached the research using a qualitative method due to the nature of the information being analyzed.

The study employed content analysis as the data collection and analysis method. Two veins of information were included in the research. Emotional intelligence was studied with special attention given to Goleman's (1995) five-construct model and the ESCI. Goleman (1995) provided definitions of each construct as well as descriptions of how each construct may be used in the workplace (1998). The ESCI also provided descriptions of the five constructs in action within the workplace. The study of emotional intelligence was then applied to existing sources regarding WTC leadership response to 9/11. Journal articles, newspaper articles, magazine articles, video documentaries, and

books were examined for evidence of use of emotional intelligence as described by

Goleman's model. Table 2 lists the sources used in the content analysis arranged in

alphabetical order by author.

Table 2

Sources Utilized in Study

Type	Title	Author	Year	Source
Book	On Top of the World: Cantor Fitzgerald, Howard Lutnick, and 9/11: A Story of Loss and Renewal	Barbash	2003	Harper Collins Publishing
Newspaper article	Back in Business	Barnett	2007	U.S. News and World Report
Magazine article	Howard Lutnick's Second Life	Gordon	2001	New York Magazine
Video documentary	60 Minutes Looks at September 11	Kroft	2011	YouTube video posted by screen name "jenngorsuch"
Newspaper article	A Battered Firm's Long Road Back	Lucchetti	2011	U.S. News and World Report
Newspaper article	After 5 Years His Voice Can Still Crack	Nocera	2006	New York Times
Video documentary	Triumph and Tragedy: Wall Street After 9/11	Schatzker	2011	BloombergTV
Newspaper article	Up From the Ashes, One Firm Rebuilds	Schwartz	2001	New York Times
Journal Article	When Healing is Job One	Thompson	2011	Phi Kappa Phi Forum
Magazine Article	Sandler O'Neill's Journey From Ground Zero	Whitford	2011	Fortune Magazine

Passages from the documents were initially coded using one of five constructs (self-awareness, self-regulation, self-motivation, empathy, or relationship management) based on the construct definitions provided by Goleman (1995). A secondary coding process specified attributes such as teamwork, mentoring, or social awareness (Goleman, 1998). Both levels of coding were aided by the use of items from the ESCI. Where possible, the researcher compared phrases to produce a code. For example, if a document read "he was everywhere, doing everything," (Nocera, 2006), it was coded as self-regulation using item 10 from the ESCI which reads "adapts by smoothly juggling multiple demands." When such direct comparisons were not possible, interpretations were made based on the information available on Goleman's model and the ESCI. An additional graduate-level student familiar with the concept of emotional intelligence was utilized to code data. The additional rater was provided with a random sample to interpret, and that sample included both direct comparisons and instances where more broad interpretations may have been required. A measure of inter-rater reliability was calculated. Despite the small sample size provided to the additional rater (n=15) for this study, Cohen's kappa coefficient was .71, indicating "substantial agreement" (Landis & Koch, 1977).

The ESCI provides attributes of each construct of emotional intelligence, based upon Goleman's (1998) discussion of emotional intelligence in the workplace. These detailed descriptions of the five constructs aided in the identification of emotional intelligence. Evidence of the five constructs included information from Table 3.

Table 3

Attributes from ESCI and Goleman's 1998 Model of Emotional Intelligence in the Workplace

Self-Awareness	Self-Regulation	Self-Motivation	Empathy	Relationship Management
Emotional self-awareness	Adaptability	Achievement	Organizational awareness	Conflict management
Self-confidence	Emotional self-control	Positive outlook	Service orientation	Coach and mentor
Accurate self-assessment	Trustworthiness	Commitment	Developing others	Influence
	Conscientiousness	Initiative	Leveraging diversity	Inspirational leadership
	Innovativeness		Political awareness	Teamwork
			Social awareness	

Note. Goleman, D. (1998). *Working with emotional intelligence*. New York: Bantam Books.
Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Population

The sample included documents describing the 9/11 response of eight leaders

from four New York City companies formerly housed in the WTC. From trading firm

Cantor Fitzgerald, CEO Howard Lutnick; from investment bank Keefe, Bruyette &

Woods, co-CEO John Duffy, Andrew Senchak, and COO Thomas Michaud; from

investment bank Sandler O'Neill, co-founder and CEO James "Jimmy" Dunne; and from

law firm Sidley, Austin, Brown & Wood, partner Alan S. Weil, IT professional Dennis

O'Donovan, and director of administration John Connelly. These men were in leadership

positions on 9/11 and their visibility in the press after the attacks provided sufficient

documentation to conduct a content analysis.

Trustworthiness

Trustworthiness is often more difficult to establish in qualitative research as compared to quantitative research, sometimes leading to the questioning of validity and reliability (Shenton, 2004). Four areas of trustworthiness were addressed in the design of this study. These areas included credibility (internal validity), transferability (external validity), dependability (reliability), and confirmability (objectivity) (Guba, 1981). To ensure a trustworthy paper, each of these areas has been addressed in the following paragraphs.

Credibility

Credibility ensures that the research establishes trustworthiness when the intended subject is accurately measured or tested (Shenton, 2004). The researcher ensured credibility by employing several methods. First, the researcher provided detailed background information on the theoretical framework, which in the case of this study was Goleman's (1995) model of emotional intelligence. The reader is equipped with a description of each of the five constructs of Goleman's model and examples of traits or behaviors displayed by leaders with skills in each construct. Second, the researcher provided a rich description of the phenomenon of 9/11 leadership including evocative stories, descriptive language, and eyewitness accounts, tying each aspect of leadership to one or more constructs from Goleman's model. Finally, the researcher took advantage of peer review to gain additional perspectives on the study. This included using a second graduate student familiar with emotional intelligence as a second rater. The additional student was given a sample of phrases and asked to assign each to a construct without knowing how each was assigned by the researcher. Additionally, the entire process was

supervised by faculty members who provided input and guidance regarding research design.

Transferability

Transferability is concerned with the application of research to a broader audience beyond the sample size (Shenton, 2004). The information gleaned from the study highlights the role of emotional intelligence in hypercrisis leadership, lending credence to Goleman's (1995) theory on the importance of building emotional intelligence.

Transferability is limited, however. First, the findings of the study may encounter cultural limitations as the ESCI was piloted in the U.S. and the U.K. and may not be relevant in other cultures. Additionally, the recommendations of the study may not correlate with the procedures and policies in place in the military, where leaders are trained not only to respond to such emergencies, but to prepare for them.

Dependability

Dependability ensures the study will yield consistent results if replicated (Shenton, 2004). The study was designed in such a way that it may be replicated and any study undertaking the task of replication should arrive at similar and consistent results. By using existing literature, including Goleman's widely accepted five-construct model on emotional intelligence, future researchers have access to the information used to draw the conclusions contained in the study. Additionally, the codes utilized in the study are provided in Appendix D, making the analysis transparent to readers.

Confirmability

Confirmability in qualitative research refers to the objectivity of the researcher (Shenton, 2004). The researcher had a great interest in the topic of 9/11; however, the

study was designed to counteract any bias held by the researcher. The study was accompanied by a detailed research plan and analysis of existing literature. The researcher provided adequate information for readers to understand the conclusions made by the researcher and to arrive at similar conclusions.

Conclusion

The aforementioned research design and methods contributed to what is believed to be an unbiased approach to the study, an important factor for qualitative research. By establishing credibility, transferability, dependability, and confirmability, the researcher provided sufficient evidence for her conclusions as well as the means for the research to be replicated.

IV.   Findings

Introduction

Utilizing the research methods described in chapter three, the researcher was able to identify phrases within the literature which illustrated emotional intelligence in action. These phrases were analyzed in order to answer the six research questions associated with the study. The findings are presented below.

Data analysis

The researcher examined each source for phrases describing emotional intelligence. Goleman's (1998) model of emotional intelligence in the workplace and a copy of the ESCI provided by the Hay Group aided in identification.

Coding round one. Phrases illustrating use of emotional intelligence were selected from each source and assigned to one of Goleman's (1995) five constructs: (1) self-awareness; (2) self-regulation; (3) self-motivation; (4) empathy; or (5) relationship management. These phrases were entered into an Excel spreadsheet according to their assigned construct. The spreadsheets organized by company are included in Appendix D.

Coding round two. Using Goleman's (1998) model of emotional intelligence in the workplace and the ESCI, each phrase was subcategorized into attributes according to their phase one coding. Attributes are listed in Table 3 in the previous chapter.

Further analysis. Once the data had been coded into one of five constructs and the attributes identified, a third round of analysis was conducted to eliminate 10 cases of overlapping data. In cases where multiple phrases described the same event, quotations from the leaders themselves were kept and third-party accounts were discarded. When direct quotes were unavailable, or multiple direct quotes were used, phrases using rich description were saved over those with less descriptive language. Four phrases were discarded concerning Cantor Fitzgerald. These phrases described the self-awareness to make decisions before grief set in; the self-regulation of handling multiple responsibilities; the empathy in decide to provide for the families; and the relationship management in inspiring the remaining employees. Two phrases were discarded concerning SAB&W. These phrases described the self-regulation in making quick decisions and the empathy involved in evacuating employees. Two phrases were discarded concerning Sandler O'Neill. These phrases described the empathy involved in comforting families and the relationship management in inspiring others to keep the company alive. Finally, two phrases were discarded concerning KBW. The phrases both discussed empathy in regards to relocating closer to Ground Zero.

Overlapping data were not used in the final analysis, as mention of a single act in multiple sources was only counted once. For instance, three different sources discussed John Duffy's decision to not relocate KBW near Ground Zero (Barnett, 2007; Luchetti, 2011; Schatzker, 2011). The documentation of this act within three separate sources, however, provides triangulation of the data and adding credibility to the study.

Initially, 100 phrases were placed through the first two rounds of coding; after the final analysis, 90 phrases remained. Cantor Fitzgerald suffered the highest number of

casualties which resulted in extensive media coverage. Howard Lutnick also made appearances on national news networks to discuss the plight of his company. As such, more information was available on Cantor Fitzgerald than for the other three companies. Sandler O'Neill and KBW suffered high percentages of employee deaths, lending to moderate media coverage. Conversely, SAB&W, located below the impact zone, lost only one employee, resulting in less extensive media coverage. Figure 1 illustrates the number of phrases used from each company.

Figure 1. Number of Codes Used per Company.
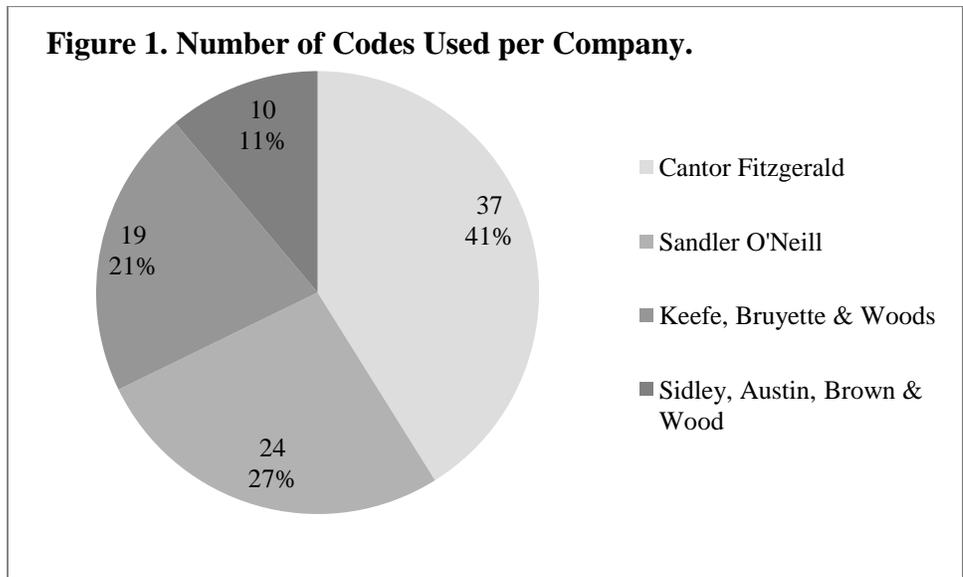
A complete listing of the coded phrases, arranged by company, is available in Appendix D. Discussion of the findings follows in chapter five.

Findings

Overall, empathy appeared more often than each of the other constructs from Goleman's theory of emotional intelligence (38%). Self-regulation (31%) and relationship management (19%) were also prevalent in the findings of the study. Self-awareness (7%) and self-motivation (5%) were present, but not in significant numbers. Figure 2 illustrates the overall findings.

Figure 2. Overall Findings Amongst the Five Constructs.
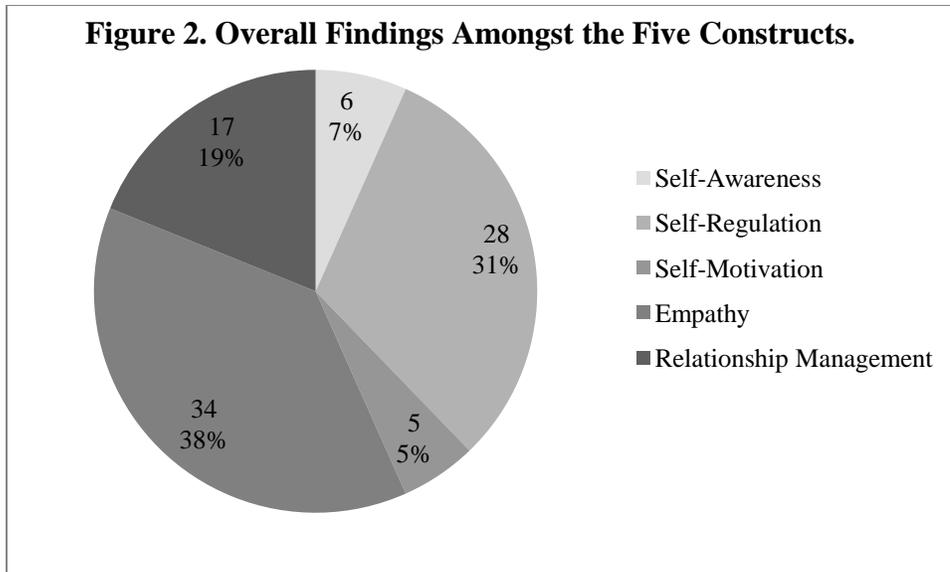
The following paragraphs depict the occurrence of each construct per company.

The leadership of Cantor Fitzgerald demonstrated 3 examples of self-awareness, 8 examples of self-regulation, 0 examples of self- motivation, 17 examples of empathy, and 9 examples of relationship management.

The leadership of Sandler O'Neill demonstrated 2 examples of self-awareness, 9 examples of self-regulation, 2 examples of self-motivation, 5 examples of empathy, and 6 examples of relationship management.

The leadership of KBW demonstrated 1 example of self-awareness, 5 examples of self-regulation, 3 examples of self-motivation, 8 examples of empathy, and 2 examples of relationship management.

The leadership of SAB&W demonstrated 0 examples of self-awareness, 6 examples of self-regulation, 0 examples of self-motivation, 4 examples of empathy, and 0 examples of relationship management. Figure 3 illustrates the frequency of constructs for all four companies.

Figure 3. Frequency of Constructs by Company.
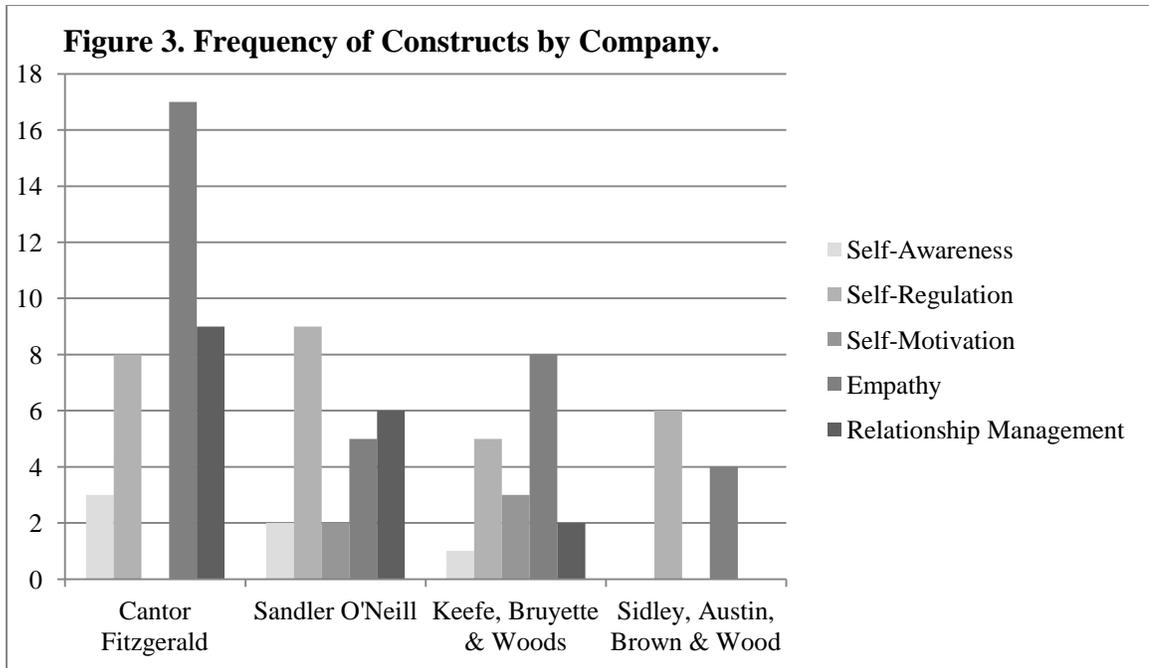
Research questions

Six research questions guided the study. The research questions focused on finding evidence to support use of each of the five constructs of emotional intelligence, followed by an additional question regarding the apparent strengths in emotional intelligence amongst the WTC leaders.

Summary of results for research question I. The first research question asked: What (if any) evidence exists for the use of self-awareness by the WTC leaders? Self-awareness was noted six times in the content analysis (6.7% of overall data), ahead of only self-motivation (5.5% of overall data). Three leaders from three companies demonstrated self-awareness: Howard Lutnick from Cantor Fitzgerald; Jimmy Dunne from Sandler O'Neill; and Thomas Michaud from KBW. The evidence of self-awareness took the form of three acts of self-confidence and three instances of emotional self-awareness (that is, the ability to identify emotions as they occur). Table 4 illustrates the

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occurrence of self-awareness by each leader. The acts are described in greater detail and discussed in-depth in chapter five.

Table 4

Occurrence of Self-Awareness per Leader

Leader	Self-Confidence	Emotional Self-Awareness
Lutnick (CF)	1	2
Dunne (SO)	1	1
Michaud (KBW)	1	0

Summary of results for research question II. The second research question asked: What (if any) evidence exists for the use of self-regulation by the WTC leaders? Self-regulation was noted 28 times in the content analysis (31.1% of overall data), behind only empathy (37.8% of overall data). All eight leaders examined in the study demonstrated self-regulation. The evidence of self-regulation took the form of 16 displays of adaptability and 12 examples of emotional self-control. Table 5 illustrates the occurrence of self-regulation by each leader. The acts are described in greater detail and discussed in-depth in chapter five.

Table 5

Occurrence of Self-Regulation per Leader

Leader	Adaptability	Emotional Self-Control
Lutnick (CF)	4	4
Dunne (SO)	7	2
Duffy (KBW)	1	1
Michaud (KBW)	2[a]	1
Senchak (KBW)	1	0
Weil (SAB&W)	1	1
Connelly (SAB&W)	1	2
O'Donovan (SAB&W)	0	1

[a]One phrase described the adaptability of both Michaud and Senchak from KBW.

Summary of results for research question III. The third research question

asked: What (if any) evidence exists for the use of self-motivation by the WTC leaders?

Self-motivation was noted five times in the content analysis (5.5% of overall data), the

least of all five constructs. Three leaders from two companies demonstrated self-

motivation: Dunne from Sandler O'Neill; and John Duffy and Michaud from KBW. The

evidence of self-motivation took the form of two displays of achievement and three

mentions of a positive outlook. Table 6 illustrates the occurrence of self-motivation by

each leader. The acts are described in greater detail and discussed in-depth in chapter

five.

Table 6

Occurrence of Self-Motivation per Leader

Leader	Achievement	Positive Outlook
Dunne (SO)	0	2
Duffy (KBW)	1	0
Michaud (KBW)	1	1

Summary of results for research question IV. The fourth research question

asked: What (if any) evidence exists for the use of empathy by the WTC leaders?

Empathy was noted thirty-four times (37.8% of overall data), the most of all five

constructs. Acts of empathy were evident in all four companies, performed by five

leaders: Lutnick from Cantor Fitzgerald; Dunne from Sandler O'Neill; Duffy from KBW;

and John Connelly and Dennis O'Donovan from SAB&W. The evidence of empathy

took the form of 21 acts of service and 13 displays of social awareness. Table 7 illustrates

the occurrence of empathy by each leader. The acts are described in greater detail and

discussed in-depth in chapter five.

Table 7

Occurrence of Empathy per Leader

Leader	Service Orientation	Social Awareness
Lutnick (CF)	9	8
Dunne (SO)	5	0
Duffy (KBW)	4	4
Connelly (SAB&W)	2	0
O'Donovan (SAB&W)	1	1

Summary of results for research question V. The fifth research question asked: What (if any) evidence exists for the use of relationship management by the WTC leaders? Relationship management was noted 17 times (18.9% of overall data). Acts of relationship management were evident in four leaders from three companies: Lutnick from Cantor Fitzgerald; Dunne from Sandler O'Neill; and Duffy and Michaud from KBW. The evidence of relationship management took the form of 12 displays of inspirational leadership, three instances of coaching and mentoring, and one display each of influence and organizational awareness. Table 8 illustrates the occurrence of relationship management by each leader. The acts are described in greater detail and discussed in-depth in chapter five.

Table 8

Occurrence of Relationship Management per Leader

Leader	Inspirational Leadership	Coaching and Mentoring	Influence	Organizational Awareness
Lutnick (CF)	5	3	0	1
Dunne (SO)	5	0	1	0
Duffy (KBW)	1	0	0	0
Michaud (KBW)	1	0	0	0

Summary of results for research question VI. The sixth and final research question asked: Based on the evidence analyzed, which areas of emotional intelligence (if any) appear to be particular strengths for the WTC leaders? Based on the evidence collected, empathy seems to be the biggest strength for the WTC leaders. Available literature (including the sources used in this study) focused on the loss each company suffered and the efforts to rebuild after the attacks. No existing literature views the WTC leadership 9/11 response through the lens of emotional intelligence. However, the acts of empathy demonstrated by the WTC leaders appear in numerous publications beyond those used for this study. This indicates not only the prevalence of empathy, but the impact such emotional intelligence had upon the successful rebuilding of each company.

The WTC leaders also demonstrated high levels of self-regulation, particularly adaptability. Three companies highlighted in this study have received extensive media coverage since 9/11, often being described as "triumphing over tragedy" (Schatzker,

2011). As highlighted in chapter five, the competency in adaptability allowed the companies to resume business quickly, remaining financially solvent.

Conclusion

Of the five constructs of emotional intelligence, empathy appeared most frequently at 38% of the overall data. Empathy was demonstrated through a service orientation and in social awareness. Self-regulation was also prevalent as it accounted for 31% of the overall data. Leaders showed self-regulation through adaptability and emotional self-control. Relationship management accounted for 19% of the overall data and was displayed in the highest number of attributes, including inspirational leadership; coaching and mentoring; influence; and organizational awareness. Self-awareness accounted for only 7% of the overall data and was demonstrated through emotional self-awareness and self-confidence. Finally, self-motivation was least prevalent in the study, accounting for only 5% of the overall data. Self-motivation was expressed through positive outlook and achievement.

V.   Discussion

Introduction

This qualitative content analysis focused on the role of emotional intelligence in WTC leader response to 9/11. Each of the companies highlighted in the study rebounded quickly and remain in business over 11 years later. The following responses provide insight into the emotional intelligence employed by leaders who were faced with what could be considered a worst-case business scenario.

Sidley, Austin, Brown & Wood

The law firm of SAB&W serves as contrast to the other three companies. Whereas Cantor Fitzgerald, Sandler O'Neill, and KBW lost a significant percentage of their employees, SAB&W lost only one employee on 9/11 (VanderMey & Adamo, 2012). As such, the firm did not receive as much press as the other companies highlighted in this study. The sources in the study demonstrate the use of self-regulation (60%) and empathy (40%) by the leaders of SAB&W. Evidence of self-awareness, self-motivation, and relationship management were not found in the available information.

Self-regulation. Partner Alan S. Weil was not in the office on 9/11 and watched the carnage unfold on television from his home (Schwartz, 2001). Exhibiting his self-control, Weil remained calm despite the stressful situation he faced as he witnessed the destruction of his office. Weil also displayed adaptability as he immediately began making arrangements for the firm to relocate uptown (Schwartz, 2001). By the afternoon

of the 11th, Weil had secured office space and began to assemble a team that would procure furniture and supplies to resume business as soon as possible (Schwartz, 2001).

From within the North Tower, I. T. professional, Dennis O'Donovan, and director of administration, John Connelly, demonstrated similar attributes. The two men utilized self-control as they remained calm and took charge of the dire situation, gathering information to disseminate amongst their fellow colleagues (Schwartz, 2001). Despite the chaos and immediate danger, Schwartz (2001) states Connelly began "assessing the damage and [began to] create a checklist about what would be required to fix the smoke damage and get the office running again once the fires were put out," demonstrating his adaptability despite the hypercrisis situation.

Empathy. As O'Donovan and Connelly led the evacuation process, they displayed empathy in the acts of service they performed. For example, O'Donovan personally calmed the fears of one of his employees and escorted her out of the building to safety (Schwartz, 2001) whereas Connelly went from floor to floor, ensuring his colleagues were evacuating and gathering supplies such as face masks and a first aid kit (Schwartz, 2001).

Social awareness also played a role in the SAB&W response. At the gathering place uptown, O'Donovan exhibited social awareness when he recognized the fear in some of his employees and allowed those who were distraught to go home to their families (Schwartz, 2001).

Sidley, Austin, Brown & Wood summary. The calm and empathetic response by leaders of SAB&W contributed to the safe evacuation of almost all of its employees. The levels of adaptability displayed allowed for the quick reestablishment of business on Monday, September 17, 2001 (Virzi, 2006).

Keefe, Bruyette & Woods

Three men contributed to KBW's leadership response after 9/11. CEO John Duffy took two weeks off to mourn the loss of his son amongst the 67 employees killed that day, leaving Chief Operating Officer Thomas Michaud and President Andrew Senchak in charge (Barnett, 2007). Based on content analysis results, the responses of this three-man leadership team consisted of empathy (42%), self-regulation (26%), self-motivation (16%), relationship management (11%), and self-awareness (5%).

Empathy. KBW's leadership responded to the tragedy of 9/11 by caring for the families of their lost colleagues and maintaining the emotional well-being of the surviving employees. Immediately after the attacks, Michaud and Senchak rented a suite in a nearby hotel to serve as a meeting point for survivors and family members of the missing, providing grief counselors for those who needed them (Barnett, 2007). Duffy displayed actions consistent with social awareness in a series of thoughtful decisions made after the attacks. He decided to spare his employees the trauma of working near the WTC site by relocating uptown (Barnett, 2007). Additionally, when a small memorial within the new offices evoked painful memories, he moved the sculpture to a less-conspicuous spot (Lucchetti, 2011). Finally, when asked if the firm might consider relocating to the new WTC site once construction is complete, Duffy said approximately 70 pre-9/11 employees are still employed by the company and such a move would prove

too emotionally stressful on them (Schatzker, 2011). The leadership exhibited a service orientation with the benefits package for the families of the deceased and the annual memorial services which Duffy says will continue as long as people still attend (Lucchetti, 2011).

Self-regulation. Adaptability and self-control aided in the recovery of KBW following 9/11. Michaud and Senchak are credited with taking on extra responsibilities in keeping the firm afloat as Duffy spent time at home grieving the loss of his son (Lucchetti, 2011). The interim leaders allowed employees flexibility as they responded to their own losses (Barnett, 2007). In between funerals, KBW's leadership pressed forward, not allowing the extreme emotions involved negatively affect the company, determined to remain successful in order to help the families of the deceased (Barnett, 2007). Michaud summed up the experience by saying, "The tragedy of the loss was so great it's hard to have self-pity when you saw the challenges those families had," (Schatzker, 2011).

Self-motivation. The leaders of KBW had a positive outlook and a determination to succeed. Michaud stated, "We knew that the last chapter of KBW could not be that of devastation," (Barnett, 2007). Prior to 9/11, the company was in talks to be bought by a larger bank, BNP, however Michaud said KBW was determined to rebuild on its own, larger and stronger than before (Lucchetti, 2011).

Relationship management. Inspirational leadership served as a vehicle for KBW's success. The employees of the firm looked up to Duffy and admired his stoicism and focus (Barnett, 2007). Michaud rallied the surviving employees, urging them to fight

back against the terrorists and rebuild a "robust firm" to provide for the families of the deceased (Schatzker, 2011).

      Self-awareness. As KBW emerged from the tragedy of 9/11, the leadership has encouraged healthy emotions regarding the event. In a recent interview, Michaud stated, "We're not hostage to it or captive to it by any means. I believe it has become a healthy part of our soul," (Schatzker, 2011). The researcher believes this statement demonstrates self-awareness of the leadership and employees of KBW by indicating that they understand the implications of the event on their lives, but do not allow themselves to become overwhelmed or held back by their emotions.

      Keefe, Bruyette & Woods summary. Under Duffy, Michaud, and Senchak's leadership, KBW has flourished since 9/11. The use of all five constructs of emotional intelligence allowed employees to process the event in a healthy manner while working to provide for the families of the deceased.

Sandler O'Neill

      Based on content analysis results, Jimmy Dunne's leadership response to 9/11 consisted of all five constructs of emotional intelligence; to include self-regulation (38%), relationship management (25%), empathy (21%), self-motivation (8%), and self-awareness (8%).

Self-regulation. Dunne's largest response to 9/11 involved adaptability, which is not surprising considering he was the sole survivor of a three-man leadership team (Nocera, 2006). He was faced with the daunting task of rebuilding the firm literally from scratch and rather than waiting to see what larger firms did, Dunne charged ahead into uncharted territories (Nocera, 2006). Under his leadership, phone systems, computer networks, corporate records, and client lists were recreated and departments restaffed (jenngorsuch, 2011). Dunne's adaptability allowed the company to resume trading when the stock market reopened on September 17, 2001 (jenngorsuch, 2011).

Relationship management. Dunne implemented inspirational leadership in rallying his surviving employees after 9/11. He declared that the company should rebuild to spite Osama bin Laden, to honor the deceased employees, and to provide for their families (jenngorsuch, 2011; Nocera, 2006; Schatzker, 2011). Dunne inspired confidence in others and maintained a level of humility, preferring to credit others in the firm with its success (Nocera, 2006; Schatzker, 2011).

Empathy. Despite his own personal suffering, Dunne showed empathy in serving others. He made arrangements to attend as many funerals as possible, and ensured a partner of the firm would be present at those he could not personally attend (jenngorsuch, 2011). The benefits package he created for families of the deceased included payroll, bonuses, insurance, and tuition (Nocera, 2006). Finally, as homage to their fallen colleagues, Dunne stated, "We never, ever tried to hire a person to replace a person. In a very small gesture, we retired everyone's phone numbers," (jenngorsuch, 2011).

Self-motivation. Dunne maintained a positive outlook throughout the rebuilding process. He decided within 48 hours of the attack that Sandler O'Neill would rebuild and

set upon a course to make it happen (Nocera, 2006). When asked by an employee what they could do as a firm, Dunne shared his positive outlook by stating simply, "We're going to get through it. That's what we're going to do," (jenngorsuch, 2011).

Self-awareness. In the early stages of recovery, Dunne demonstrated self-awareness when he recognized his firm's weaknesses and asked for help from competitors where needed (Nocera, 2006). As the firm grew stronger, Dunne developed a self-confidence he lacked prior to 9/11 (Nocera, 2006). This self-confidence allowed him to make bold moves, such as moving forward without BNP.

Sandler O'Neill summary. Utilizing all five constructs of Goleman's model of emotional intelligence allowed Dunne to lead Sandler O'Neill through an extraordinary rebuilding process, and has allowed the company to grow into a larger and more profitable company than before 9/11 (Whitford, 2011).

Cantor Fitzgerald

Howard Lutnick's response to the attacks of 9/11 appeared to demonstrate empathy (46%), relationship management (24%), self-regulation (22%), and self-awareness (8%). The researcher did not glean examples of self-motivation from the available sources, as indicated in the study limitations section.

Empathy. Lutnick's empathetic responses involved similar frequencies of occurrence of service orientation and social awareness. Being out of the office for both the 1993 bombing of the WTC and the 9/11 attacks, Lutnick felt a sense of guilt and obligation to the loved ones of his fallen colleagues (Barbash, 2002). He determined to do all he could to help "his" families, which he did through many acts of service (MysticalGrooveWTC, 2011). Together with his wife, Allison, he opened his home and

his life to those who needed him, giving out his home telephone number and establishing their apartment as a gathering place (Barbash, 2002; Maggitti et al., 2010). In the weeks that followed the attacks, Lutnick hand wrote approximately 1,300 condolence notes, made countless phone calls to check on families, and personally attended many funerals (Barbash, 2002). Despite some backlash regarding his decision to stop payroll on September 15, Lutnick created a generous benefits package for the families of the deceased (Gordon, 2001). Additionally, the firm now hosts a Charity Day in which celebrities team up with Cantor employees on trades with 100% of the commissions going toward 75 charities (Schatzker, 2011).

Lutnick displayed social awareness in his empathetic response to the families of his deceased employees. He identified as "just like them" in that he lost his brother Gary in the attacks (Gordon, 2001). He became the empathetic point of contact for angry and frustrated families when dealing with bonuses, insurance, and other issues outside his realm of responsibility (Barbash 2002; Gordon, 2001). More recently, Lutnick displayed social awareness and empathy when asked if he would move the company back to the new WTC site once construction was complete, saying that despite the beauty of the site it would be too difficult for the roughly 100 survivors of 9/11 who still work with the company (Schatzker, 2011).

Relationship management. Lutnick's responsibilities went beyond the families of the victims. Nearly one-third of Cantor Fitzgerald's WTC employees were out of the office on 9/11 and the fate of the company depended on them. Lutnick proved an inspirational leader, creating a shared vision of a successful and prosperous future for the firm (Barbash, 2002). He announced that the company "had not lost its destiny or its

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soul," (p. 117) and encouraged employees to band together "united in purpose" (p. 219) to provide for the families of the deceased (Barbash, 2002). Lutnick's use of inspirational leadership rallied the remaining employees, allowing them to put aside their grief in order to restore the company to its former glory. The culture of the company together with Lutnick's use of relationship management helped him care for his employees, who in turn cared for the loved ones of their lost friends.

Self-regulation. Adaptability and self-control proved integral in Lutnick's response to 9/11. Normally a diverse and wildly successful company, Cantor Fitzgerald was temporarily stunned by the attacks of 9/11. Lutnick's adaptability enabled the company to resume business on September 13, 2001 (Gordon, 2001) and his self-control allowed the company to flourish.

On the evening of the attacks, Lutnick met with surviving Cantor Fitzgerald executives to discuss the firm's strategy for reopening as quickly as possible (Barbash, 2002). Despite his own immense grief and suffering over losing his brother and hundreds of colleagues, Lutnick adapted his company to its new circumstances. He closed offices in Paris and Frankfort and transferred those employees to the London office (Gordon, 2001). Additionally, Lutnick cut excesses in the company, only remaining in businesses certain to produce, despite his desire to "keep it all and show that we could turn it around—save everything," (p. 53) acknowledging the risk of losing everything if overextended (Barbash, 2002).

Perhaps the most difficult (and certainly the most controversial) action taken by Lutnick was the decision to stop payroll for missing and presumed dead employees as of September 15, 2001 (Gordon, 2001). While perceived as cruel by the families still

clinging to hope that their loved ones were still alive, the decision to stop payroll

demonstrated a great deal of emotional self-control. According to Gordon (2001),

Lutnick claimed, "I needed my bankers to know that I was in control. That I wasn't

sentimental and that I was no less motivated or driven to make my business survive."

This move proved effective, as Barbash (2002) quotes Lutnick, "I convinced [the

bankers] to stay with me and lend my firm seventy billion dollars," (p. 165). Despite the

ensuing media backlash (Maggitti et al., 2010), Lutnick displayed immense self-control

as he fought his own ego. This provided Lutnick the cash flow to follow through on his

promise to present the benefits packages to the families.

Self-awareness. Despite the extreme emotions and overwhelming responsibilities

Lutnick faced on 9/11, he also displayed emotional self-awareness and self-confidence.

Meeting with his surviving executives immediately after the attacks, Lutnick

demonstrated emotional self-awareness when he warned others to discuss strategy

quickly before the emotions of the day overwhelmed their mental faculties (Barbash,

2002). In retrospect, Lutnick discussed the impact losing his parents at a young age had

on him and the confidence it gave him to endure through tragedy (Gordon, 2001). Living

through such trauma also gave him the ability to identify and communicate his grief

effectively (Barbash, 2002).

Cantor Fitzgerald summary. Lutnick's response to 9/11 has been controversial

and cause for much discussion as to his true intentions. However, his displays of

emotional intelligence indicate his skills at both the task and relationship sides of

leadership. His emotional self-control and adaptability allowed him to direct Cantor

Fitzgerald through an unimaginable business crisis and resume operations quickly. His

empathy made him aware of the suffering of the families of his deceased employees and afforded him the opportunity to provide for them. Finally, his inspirational leadership style illustrated his use of relationship management in rallying his remaining employees to persevere through the hypercrisis. Overall, Lutnick's use of emotional intelligence allowed him to effectively guide the company through its darkest hours.

Conclusions

Crisis management has become a popular topic in recent years. Countless books, journal articles, and websites exist discussing the topic from many different angles. This overabundance of information has led some researchers such as Maggitti et al. (2010) to suggest that the term "crisis" has lost some of its meaning. Incidents such as 9/11, Hurricane Katrina, and most recently, the tumultuous week of the 2013 Boston Marathon bombings which culminated in shutting down one of the busiest cities in the United States, all illustrate the need for delineation between a crisis and a hypercrisis. As the term "hypercrisis" gains familiarity, events that qualify as such will be examined through different lenses. In this study, the researcher applied the lens of emotional intelligence in studying the leadership response of the hypercrisis of 9/11.

While strengthening all areas of emotional intelligence can prove beneficial (Goleman, 1995), prior research highlights relationship management as a key area in leadership development (Hernon & Rossiter, 2006; Ingram & Cangemi, 2012; Kobe et al., 2001; Turner, 2006). Relationship management, however only ranked third overall in this study behind empathy and self-regulation.

Prior research studied leaders in "normal" circumstances, where concerns centered on enhancing existing resources such as developing followers, increasing

profitability, and building leadership capacity. The leaders in this study, however, faced a hypercrisis with no precedent to provide guidance. Maggitti et al. (2010) coined the term hypercrisis to mean, "an extreme form of crisis that threatens the very being of an organization or society." Additionally, Maggitti et al. (2010) argue that a hypercrisis "is of such proportion that its effects supersede and take priority over all other organizational identities." Likely, prior to 9/11 each leader participated in or oversaw ongoing projects within their companies. SAB&W, for example, was in the midst of a merger and had plans to consolidate records in mid-September 2001 (Barr, 2003). With the attacks of 9/11, this project and undoubtedly others like it were placed aside as much more urgent matters took precedence. At that point, not only were the WTC leaders tasked with preserving the life of each company, but they were also responsible for surviving employees and the family members of those who were lost. They handled these immense responsibilities while mourning their own losses, including two leaders (Lutnick and Duffy) who lost close relatives.

Goleman (n.d.) is credited with saying "Self-absorption in all its forms kills empathy, let alone compassion. When we focus on ourselves, our world contracts as our problems and preoccupations loom large. But when we focus on others, our world expands. Our own problems drift to the periphery of the mind and so seem smaller, and we increase our capacity for connection, or compassionate action." Goleman (1995) also cites a study where depressed participants reported increased mood when engaging in volunteer service activities. It comes as no surprise, then, that the two leaders who lost loved ones in 9/11, Lutnick (who lost his brother) and Duffy (who lost his son) expressed

empathy more than any other construct. Rather than sinking into despair and grief, the two leaders threw themselves into helping others.

On September 10, 2001, Dunne was the youngest member of a three-man leadership team. The events of 9/11 left him the sole leader of Sandler O'Neill. He demonstrated great adaptability as he took responsibility for guiding the company through the hypercrisis. Under Dunne's leadership, the company adapted quickly to the crisis, hiring new employees, recovering client information, and reestablishing computer networks in order to reopen within a week.

Leadership from Sidley, Austin, Brown & Wood faced a slightly different situation than the other WTC leaders. Due to the company's location below the impact zone in the North Tower (the first tower hit, but the last tower to collapse), all employees were able to evacuate safely except one (VanderMey & Adamo, 2012). Therefore, the focus was less on caring for grieving employees and families, and more on resuming operations. As such, self-regulation played a huge role in the company's response to 9/11. The leaders remained calm despite the hypercrisis and adapted by making arrangements throughout the day of the attacks to open new offices and avoid a disruption in business. Empathy was shown in the acts of service performed by SAB&W leaders as they placed themselves in harm's way to evacuate their employees from the burning tower.

Practical implications

In a hypercrisis a leader has many responsibilities from both the task and relationship sides of leadership. Adaptability aids the leader with navigating through uncertain times and accomplishing tasks necessary for recovery. Expressing empathy

through social awareness and acts of service will assist the leader as he/she connects with followers and gains their support.

Goleman (1998) highlights adaptability as an extremely important attribute in leadership. Placing aside the natural anxiety that accompanies change, leaders who are adaptable tend to be more flexible and creative while taking risks (Goleman, 1998). Seeger, Ulmer, Novak & Sellnow (2005) describe a crisis as a "fundamental suspension or disruption of organizational stability and status quo" (p. 80). In such situations, leaders must be adaptable as stability is restored and a new status quo is developed.

In this study, empathy took the form of social awareness and acts of service. Social awareness falls under cognitive empathy, or knowing what the other person is feeling (Ekman & Goleman, 2007). Leaders with cognitive empathy skills are often more successful in motivating followers (Ekman & Goleman, 2007), lending credence to the idea that building one area of emotional intelligence can help strengthen other areas. The acts of service are indicative of compassionate empathy (Ekman & Goleman, 2007). Leaders with compassionate empathy feel compelled to take action to help others (Ekman & Goleman, 2007). Both cognitive and compassionate empathy can aid in making a leader more appear approachable, a suggestion offered by Maggitti et al. (2010) in dealing with a hypercrisis.

Fortunately, emotional intelligence can be learned and such attributes can be fostered over time (Goleman, 1995). Life coach Chuck Gallozzi (2009) offers several suggestions for developing adaptability including embracing change as a positive, pushing oneself past the comfort zone, developing oneself to learn more skills to gain more options, accepting things one cannot change, and taking advantage of opportunities.

Emotional intelligence author and educator Bruna Martinuzzi (2006) offers advice on how to build empathy including improving listening skills, making an effort to remember names, giving others full attention when interacting with them, smiling more often, and offering genuine encouragement/praise/recognition.

While the researcher of this study identified empathy and self-regulation as most prevalent in the WTC leadership response, the other three constructs should not be neglected. Building competency in one area of emotional intelligence can aid in strengthening other areas. For example, coaching and mentoring others (as part of relationship management) would be virtually impossible without self-confidence (as part of self-awareness), trustworthiness (as part of self-regulation), and commitment (as part of self-motivation).

As previously indicated in the literature review, strengthening relationship management skills is suggested by many studies on emotional intelligence. Life coach Maureen Patten (n.d) offers five tips to cultivate relationship management skills, such as ensuring relationships are based on honesty and trust, displaying self-respect and respecting others, strengthening communication skills, being open to change and willing to guide others through such change, and fostering an environment amenable to teamwork.

While the researcher of this study did not find much evidence of self-awareness or self-motivation in WTC leadership response, Goleman identifies these constructs (together with empathy) as the "three abilities that distinguish the best leaders from average," (Schawbel, 2011). Life coach Mark Connelly (2010) offers several suggestions to build self-awareness based on Goleman's research, including taking a personal

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inventory of strengths and weaknesses, journaling feelings as they happen and then reflecting upon them later, or rehearsing scenarios and predicting what emotions might arise and how they would be handled. Leadership author Andrew DuBrin (2004) argues that the ability to motivate oneself is crucial in learning to motivate others. He suggests several ideas to build self-motivation skills such as setting realistic goals, developing a strong work ethic, believing in one's abilities, and rewarding oneself for accomplishing tasks (DuBrin, 2004).

By definition, an organizational crisis is a low-probability event (Maggitti et al., 2010). Hypercrises, therefore, have an even lower likelihood of affecting an organization. While unlikely to happen, the effects of a hypercrisis can have significant consequences as they threaten the survival of a company. However, building all five constructs of emotional intelligence while focusing on the attributes of adaptability (as part of self-regulation) and empathy can afford leaders a greater chance at overcoming whatever obstacle their organizations may face. Fostering an organizational culture that values such attributes raises the probability of a positive outcome.

Theoretical implications

The theory of emotional intelligence as it applies to the workplace assumes "normal" operating conditions. While it affords for issues such as conflict resolution and handling stressful situations, the hypercrisis of 9/11 tests the limits of the theory. In a normal workday leaders are not tasked with dealing with the fallout of the deaths of many of their employees (or ensuring their survival), replacing devastated resources, or acting upon business continuity plans. Similarly, the ESCI seems to measure levels of emotional intelligence in fully functioning workplaces, not those devastated by hypercrisis.

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Studying leadership and follower response during crisis (not necessarily hypercrisis) situations, the theory and the assessment tool could be adapted to test the use of emotional intelligence during high-risk, high-stress circumstances. While the attacks of 9/11 can be viewed as a worst-case scenario, the theory of emotional intelligence can be applied to all levels of crises or disasters that may disrupt an organization. The theory of emotional intelligence and the ESCI aided in this study, but an assessment created upon the backdrop of crisis response may aid future researchers in revealing more detailed information on the role of emotional intelligence in crisis response.

Study limitations

Crises (and hypercrises) captivate the world. Pearl Harbor, the JFK assassination, and 9/11 are days that stand out in the minds of those who were alive to witness them. Unlike the former two events, 9/11 happened in a time of easily accessible media. The Internet allowed information to be produced rapidly and disseminated almost instantaneously. Advanced technology gave the world a live feed of what was happening at the WTC. As such, the amount of information available regarding the events of 9/11 is staggering. A longitudinal study would have allowed a more in-depth analysis of leadership response; however, this study was conducted under more stringent time restrictions.

Available information regarding the leadership response to 9/11 seems to focus on anecdotes from inside the tragedy and recovery efforts and progress. The most compelling stories came from those personally affected by the attacks—how they survived and how they have been persevering. This study seems to be the first to view the tragedy through the lens of emotional intelligence. Available sources required deeper

analysis to glean such information. Personal interviews with direct questions about emotional intelligence may have provided deeper insight. Therefore, just because this study did not find evidence of certain constructs being used does not necessarily mean they were absent from the leadership response. It simply indicates a lack of available information regarding those constructs.

Additionally, the small sample size utilized in the study presents its own limitations. Gathering more data, and therefore increasing the sample size, may enhance the findings and lend more credence to the conclusions drawn from the information.

Finally, the transferability of the findings is limited. As discussed in the research methods section, the findings may not apply in other cultures or in systems such as the military.

Recommendations for future research

A crisis can be viewed as an opportunity for organizational change and renewal (Seeger et al., 2005). Emotional intelligence provides leaders with an advantage in leading organizations through such change. Future research should include interviews with leaders who have directed organizations through a hypercrisis, focusing on the area of emotional intelligence as well as direct administration of the ESCI.

Future projects may develop an assessment to determine a leader's emotional intelligence in regards to the hypercrisis situation, or perhaps his/her perceived ability to successfully lead an organization through a hypercrisis.

This study also provides a foundation for further research into the topic of WTC leadership response to 9/11 based on demographic data (gender, age, ethnicity,

background, etc.). Future researchers may even examine the emotional intelligence of surviving WTC leaders whose companies did not fare well after 9/11.

Conclusion

The events of 9/11 served as a worst-case scenario for WTC leaders. As KBW's Thomas Michaud said, "When those families kissed their loved ones when they went off to work that day, then didn't come home is unimaginable. They were not soldiers; they were not in the middle of a war; these folks were just going to work and they wanted to go home at the end of the day to see their families," (Schatzker, 2011). Military leaders are trained to handle the loss of entire platoons and devastation of resources, Wall Street leaders may not be.

Evidence of each of the five constructs of emotional intelligence was displayed in the hypercrisis response. Three constructs proved particularly prevalent, empathy (38% of the findings), self-regulation (31%), and relationship management (19%). Self-awareness (7%), and self-motivation (5%) were less common.

Within the constructs, many attributes emerged from the research. Self-awareness was comprised of emotional self-awareness and self-confidence. Self-regulation was comprised of adaptability and emotional self-control. Self-motivation was comprised of achievement and positive outlook. Empathy was comprised of service orientation and social awareness. Finally, relationship management was comprised of inspirational leadership, coaching and mentoring, influence, and organizational awareness.

Of the attributes discussed in the study, service orientation (empathy), social awareness (empathy), and adaptability (self-regulation) emerged as most prevalent. Leaders who lost direct relatives displayed more evidence of empathy than those who did

not, but empathy was evident in the response of all four companies. Adaptability was displayed by leaders from all four companies as well, which is not necessarily surprising considering each company quickly resumed operations following 9/11.

Culture certainly played a role on the type of media exposure garnered by the WTC leadership response. Although several attributes did not emerge from the research this does not mean they were not present. Media coverage of the events of 9/11 has been extensive. The world watched the carnage unfold live throughout the day, and virtually nonstop coverage continued on television news networks for weeks after the attacks, catering to a captive audience. As weeks turned into months and into years, media exposure waned, but a common thread existed in the reports from Ground Zero: triumph. Americans wanted to hear stories of the victory of good over evil, of perseverance of the American spirit over the destructive desires of terrorism. It should come as no surprise, then, that much of the documentation of the WTC companies after 9/11 focused on themes such as recovery (self-regulation/adaptability) and relief (empathy/service orientation). Perhaps readers would not purchase a magazine with an article featuring Jimmy Dunne's political awareness, or viewers would not tune in for a documentary on Thomas Michaud's communication skills. While these attributes may have contributed to the success of each company, they may not have made for compelling journalism.

Four companies were dealt devastating blows on 9/11. Despite overwhelming odds, the leaders of Cantor Fitzgerald; Sandler O'Neill; Keefe, Bruyette & Woods; and Sidley, Austin, Brown & Wood triumphed over tragedy. Demonstrating remarkable adaptability and expressing deep empathy, the WTC leaders helped their companies through one of the most demanding leadership challenges imaginable.

<center>**Appendix A**</center>

Definition of Terms

Achievement (attribute): "Striving to meet or exceed a standard of excellence. People who demonstrate this competency look for ways to do things better, set challenging goals, and take calculated risks" (Hay Group, 2012).

Adaptability (attribute): Flexibility in handling change. People who demonstrate this competency willingly change their own ideas or approaches based on new information or changing needs. They are able to juggle multiple demands" (Hay Group, 2012).

Coach and Mentor (attribute): "taking an active interest in others' development needs and bolstering their abilities. People who demonstrate this competency spend time helping people via feedback, support and assignments" (Hay Group, 2012).

Conflict Management (attribute): "negotiating and resolving conflict. People who demonstrate this competency bring disagreements into the open, effectively communicate the different positions and find solutions all can endorse" (Hay Group, 2012).

Effective leadership: "common expression basically meaning good leadership, i.e., a leadership approach which achieves task/organizational aims while also satisfying all other needs and obligations of leadership for the situation. Since situations can change a lot for any given leader the term also implies leadership capability to adapt methods/styles, etc., in maintaining effectiveness" (Scouller & Chapman, 2012).

Emotional Self-Awareness (attribute): "recognizing how our emotions affect our performance. People who demonstrate this competency know the signals that tell them

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what they're feeling, and use them as an ongoing guide to how they are doing" (Hay Group, 2012).

Emotional Self-Control (attribute): "keeping disruptive emotions and impulses in check. People who demonstrate this competency are able to maintain their effectiveness under stressful or hostile conditions" (Hay Group, 2012).

Empathy: "the ability to know how another feels; the ability to read nonverbal channels" (Goleman, 1995, p. 96).

Hypercrisis: "an extreme form of crisis that threatens the very being of an organization or society" (Maggitti et al., 2010).

Influence (attribute): "having a positive impact on others. People who demonstrate this competency persuade or convince others to gain support for an agenda" (Hay Group, 2012).

Inspirational Leadership (attribute): Inspiring and guiding individuals and groups. People who demonstrate this competency work to bring people together to get the job done. They bring out the best in people (Hay Group, 2012).

Organizational Awareness (attribute): "reading a group's emotional currents and power relationships. People who demonstrate this competency think about power relationships. They can accurately identify influencers, networks, and dynamics" (Hay Group, 2012).

Positive Outlook (attribute): "persistence in pursuing goals despite obstacles and setbacks. People who demonstrate this competency see the positive in people, situations, and events more often than the negative" (Hay Group, 2012).

Relationship management: "the ability to know another's feelings and to act in a way that further shapes those feelings" (Goleman, 1995, p. 112).

Self-awareness: "recognizing a feeling *as it happens*" (Goleman, 1995, p. 43).

Self-motivation: "delaying gratification and stifling impulsiveness…marshaling of feelings of enthusiasm, zeal, and confidence" (Goleman, 1995, pp. 43 & 79).

Self-regulation: "handling feelings so they are appropriate" (Goleman, 1995, p. 43).

Service orientation: "anticipating, recognizing, and meeting others' needs" (Goleman, 1998).

Teamwork (attribute): "working with others towards a shared goal. Creating group synergy in pursuing collective goals. Teamwork is an orientation to work with others independently, not separately or competitively" (Hay Group, 2012).

Transformational leadership: "characterized by a capacity to create a highly motivating and absorbing vision of the future. This leader has the capacity to energize others to pursue the vision. For many, this leader is almost larger than life, and sometimes attains a mythical reputation. This is a top-down type of leadership where the leader is the source of wisdom and direction. The leader's power is based on a capability to generate a commitment by the follower to the leader's vision and persona. This leader uses behaviors such as formulating and communicating a vision, exhortation, inspiration and persuasion, and challenge to the status quo. Often this leader is seen as 'charismatic'" (Maggitti et al., 2010, p. 52).

Appendix B

WTC Organizations

The Twin Towers of the WTC housed hundreds of organizations. Despite suffering immense loss, some of the companies were able to successfully rebuild following the attacks. Four of those companies are highlighted in this study—Sidley, Austin, Brown & Wood; Keefe, Bruyette & Woods; Sandler O'Neill; and Cantor Fitzgerald. In addition to the complete destruction of their WTC offices, the four companies lost a combined total of 792 employees. Leaders of these companies led their organizations to overcome seemingly insurmountable odds, and each company thrives over a decade later under the same leadership.

The following sections provide background information on each of the four companies as well as the circumstances each faced on 9/11.

Sidley, Austin, Brown & Wood, LLP. Sidley, Austin, Brown & Wood, LLP (SAB&W) was formed when law firms Sidley & Austin merged with Brown & Wood during the spring of 2001 (Barr, 2003). The large firm had more than 3,000 employees working in six countries including offices in Midtown Manhattan and Chicago (Barr, 2003). SAB&W's WTC offices occupied the 54th through 59th floors of the North Tower (Barr, 2003).

Partner Alan S. Weil was in the midtown offices on 9/11 (Schwartz, 2001). When he learned of the attacks on the WTC office, he took immediate action to ensure the safety of the firm's employees, reaching out to verify the status of each employee

(Schwartz, 2001). Once he had accounted for the majority of the affected employees, he began working with I.T. professional, Dennis O'Donovan, to ensure continuity of operations. O'Donovan had been in the North Tower when it was struck and along with director of administration John Connelly, gathered employees to escape the burning building and make the trek to the midtown office (Schwartz, 2001). A somber reunion took place at their office on 52nd Street, O'Donovan recalled "I met several of my staff there and hugged every one of them," (Schwartz, 2001).

Within hours of the attacks, Weil, O'Donovan, and Connelly mobilized volunteer staff members to set up temporary offices for 600 WTC employees in the firm's Midtown Manhattan location (Barr, 2003). Hotel rooms were reserved for employees who were kept away from home due to temporary national travel restrictions (Barr, 2003). O'Donovan contacted the Chicago office to obtain important backup files necessary to resume business (Schwartz, 2001). The diligence of Weil, O'Donovan, and Connelly, along with the cooperation of SAB&W's satellite offices allowed the firm to resume business on Monday, September 17, 2001, only six days after the attacks (Virzi, 2006).

Of the 677 employees in the WTC on 9/11, switchboard operator, Rosemary Smith, was the only fatality (VanderMey & Adamo, 2012). As of 2012, the firm is now known as simply Sidley Austin and is located in permanent offices on Seventh Avenue in Midtown Manhattan (VanderMey & Adamo, 2012). The firm's website lists dozens of achievements including "Market Facilitator of the Year," the Gold Standard Certification from Women in Law Empowerment Forum, and the Access to Justice Award, all in 2012.

Keefe, Bruyette & Woods. Keefe, Bruyette & Woods (KBW) began as a small investment bank in 1962 (Lucchetti, 2011). The bank enjoyed steady growth throughout the latter half of the 20th century and shortly before 9/11 was contemplating an acquisition by BNP, a bank headquartered in France, to expand into the European market (Lucchetti, 2011). Located on the 88th and 89th floors of the South Tower, KBW lost 67 of its 172 employees in the attacks, including co-Chief Executive Officer (CEO) Joseph Berry (Barnett, 2007; Lucchetti, 2011).

The loss was especially difficult for remaining CEO John Duffy as his 23-year old son Christopher was among the deceased (Barnett, 2007). Duffy took two weeks off following the attacks, leaving now-president Andrew Senchak and now-Chief Operating Officer (COO) Thomas Michaud in charge in his absence (Lucchetti, 2011).

There was never a question as to whether KBW would rebuild. Michaud proclaimed, "the last chapter of KBW could not be that of devastation," (Barnett, 2007). Within the week of 9/11, the decision was made to move uptown and away from the constant reminders of the company's loss. A new office was established on the 4th floor of a building in Midtown Manhattan (Barnett, 2007). The new offices provided a place for employees to come together as well as grief counselors for surviving employees and the family members of those who were still missing (Barnett, 2007).

Senchak and Michaud took a hands-off approach in the leading the remaining employees. The firm's policies and practices were disrupted after the loss of nearly 40% of their employees, and new methods for daily operations needed to be implemented (Barnett, 2007). KBW employees were told to return only when they felt ready to do so, and yet many found work as a form of distraction or relief and worked extended shifts,

often covering the duties of their fallen co-workers (Barnett, 2007). Of the company's leadership policy immediately after 9/11 Senchak said, "We wanted to let people respond to the situation instead of imposing any notion of how things should unfold," (Barnett, 2007).

Once Duffy returned to his executive position, he hosted a dinner meeting with employees and shareholders to discuss the future of the company, giving them a say in KBW's fate (Lucchetti, 2011). Prior to 9/11, the acquisition with BNP was being discussed. BNP was still willing to follow through with the acquisition, but KBW decided to rebuild without BNP's assistance to honor their deceased co-workers (Lucchetti, 2011). Of the decision to rebuild, Duffy declared, "None of us wanted 9/11 to be the last day in the firm's history. We didn't want the bad guys to win," (Lucchetti, 2011). The company began trading again on Tuesday, September 18, 2001, one week after the destruction of KBW offices and loss of 40% of its employees (Barnett, 2007).

KBW established a relief fund for the families of deceased employees and devotes one days' commission to the fund each year (Barnett, 2007). As of 2011, KBW continued to pay for healthcare for the surviving family members of approximately two dozen deceased employees and plans to do so through at least 2013 (Lucchetti, 2011). The company participates in regular 9/11 memorial events and held a private event for employees and families in the Central Park Zoo on the tenth anniversary of the attacks in 2011 (Lucchetti, 2011).

Sandler O'Neill. Investment bank Sandler O'Neill was founded in 1988 by

Herman Sandler and Thomas O'Neill (Whitford, 2011). After outgrowing their office

space on Wall Street, the company moved to the 104th floor of the South Tower of the

WTC during the same week as the WTC bombing in 1993 (Whitford, 2011; Nocera,

2006). Despite their lavish office in the renowned WTC, Sandler O'Neill was a small

investment bank focused on serving community banks (Sandler O'Neill, 2012). The

attacks on 9/11 killed 66 of the company's 171 employees, possibly due to the inefficient

evacuation during the 1993 bombing which convinced employees it was better to stay put

during an emergency (Whitford, 2011; Nocera, 2006).

Co-founder James "Jimmy" Dunne was playing a round of golf on the morning of

9/11 when he was notified that his office in the South Tower of the WTC was destroyed

(Whitford, 2011). The company had been led by three men: Dunne, his mentor, Herman

Sandler, and his best friend, Chris Quackenbush (Nocera, 2006). Dunne, as the only

survivor of the trio, was suddenly faced with the difficult decision: to rebuild or fold?

That evening he decided that terrorist leader Osama bin Laden would want the company

to fail, and Dunne was not prepared to give him that satisfaction (Whitford, 2011).

Dunne met with Sandler's widow on September 13, 2001, and gained permission

to continue using Sandler's name for the company (Whitford, 2011). Despite some doubt

as to the future success of the company (which he kept to himself), Dunne led the

remaining employees in the rebuilding effort (jenngorsuch, 2011) telling them, "Come on

in! There's room in the boat. Everybody can get an oar. Now, there are some of you that

are doubting. We cannot have you in the boat! We wish you well. But you can't come in

the boat. Because if you are in the boat you have to have an oar," (Whitford, 2011). Many

of the 105 survivors moved to Midtown Manhattan and the business resumed trading

when the New York Stock Exchange (NYSE) reopened on September 17, 2001

(Beacham & McManus, 2004).

During the weeks after 9/11, Dunne filled many roles, acting as an advocate to

families of the missing, hiring new employees, requesting assistance, learning new

technical skills, writing tributes for those confirmed dead, and attending a seemingly

endless number of memorial services (Nocera, 2006). In their new temporary offices,

remaining employees were encouraged to press on, "we need to be in business, so today

we're in business…we're going to do it because not doing it is not going to be an option,"

(jenngorsuch, 2011).

Despite working toward the goal of resuming operations, a public announcement

almost derailed their efforts. The news channel CNBC misunderstood a Sandler O'Neill

press release and announced on September 17, 2001, that Sandler O'Neill would not be

reopening (Beacham & McManus, 2004). The information released to the public

combined with faulty telephone systems and a loss of client information minimized the

company's ability to communicate with their clients and partners. Dunne appeared on

CNBC on September 19, 2001, to reaffirm the company's resolve to rebuild and remain

in business (Beacham & McManus, 2004).

Sandler O'Neill took extraordinary measures to care for the surviving employees

as well as the families of the deceased, initially depleting the company's capital (Nocera,

2006). Counseling services and full medical benefits were offered for ten years following

9/11 (Whitford, 2011). Seventy-one children lost a parent from Sandler O'Neill in the

attacks and a fund was set up to provide for their education (Nocera, 2006; Whitford,

2011). Finally, salaries and bonuses were paid through the end of 2001, the families of the deceased partners received their share of the capital, and proceeds from trades in process prior to 9/11 were paid to the families of the employees working on them (Nocera, 2006).

As of 2011, Sandler O'Neill has moved into more permanent office space in Midtown Manhattan (Whitford, 2011). Since 2009, the company has managed $42 billion in public equity offerings (Whitford, 2011). Additionally, according to Dunne, profits have quadrupled and their staff has doubled (Whitford, 2011). Dunne credits the many letters of support he has received in the years since 9/11 to the company's growth, "We got letters from a farmer in Iowa and a teacher in South Korea. They took the time to say that they respected what we were doing. I feel a large responsibility to the world for helping us survive," (Nocera, 2006).

Cantor Fitzgerald. Founded in 1945 by Bernie Cantor and John Fitzgerald, trading firm Cantor Fitzgerald has been a pioneer in new technology on Wall Street ("History," 2011). According to the company's website, in 1972 Cantor Fitzgerald introduced screen brokerage, "the world's first electronic marketplace for US Government Securities," ("History," 2011). The company moved to the 101st through 105th floors of the North Tower of the WTC in 1981, signing a 25-year lease (Gordon, 2001). In 1999, a Cantor Fitzgerald subsidiary company eSpeed was created to allow for "fully-electronic" transactions ("History," 2011).

Howard Lutnick began working for the firm in 1983, a young man recently graduated from Haverford College in Pennsylvania (Gordon, 2001). Under Cantor's tutelage, Lutnick quickly rose through the ranks and became president of the company in

1991 at the age of 30 (Gordon, 2001). Fitzgerald had died in 1964 and Cantor's health began to fail in the mid-1990s, so Lutnick seemed to be the next in line for position of CEO (Gordon, 2001). Despite a legal battle between Lutnick and Cantor's wife, Lutnick ascended to the role of CEO after Cantor's death in 1996 (Barbash, 2003; Gordon, 2001).

Lutnick would have been in his office at the top of the North Tower on September 11, 2001, but he was taking his son to his first day of kindergarten (Barbash, 2003). When Lutnick learned of the attacks on the WTC, he rushed to the scene, arriving just as the North Tower collapsed (Maggitti et al., 2010). Witnessing the carnage in person, Lutnick quickly understood the gravity of his situation.

Unlike many companies that discourage nepotism, Cantor Fitzgerald's corporate culture included hiring friends and family members (Aldridge, 2012). Many of the 658 employees killed on 9/11, (including Lutnick's brother Gary) were personally hired by Lutnick (Seeger et al., 2005). By the end of the day on 9/11, Lutnick and his wife Allison had opened their home to visits from surviving employees and the families of the missing (Barbash, 2003). He also posted his home telephone number on the company's website, encouraging those from the firm who were missing loved ones to call him day or night (Maggitti et al., 2010)

On September 14, 2001, an emotional Lutnick appeared in an interview with prominent newscaster Connie Chung (Seeger et al., 2005). He was visibly shaken when discussing the monumental loss his company endured. At one point in the interview he mentioned the reason behind the decision to go back to work was "my 700 families," referring to the loved ones of the 658 missing and presumed dead employees from Cantor

Fitzgerald (MysticalGrooveWTC, 2011). Lutnick's anguish was evident as he choked back sobs.

It was during this interview that Lutnick announced the decision to rebuild to provide for the families of the victims (Tsoukas, 2005). However, on September 15, 2001, Lutnick decided to drop the missing employees from the payroll (Gordon, 2001). While this enraged the families who still clung to the hope that their loved ones were yet to be rescued or found, Lutnick stated he could not justify the $500,000 per day expenditure to the banks who controlled the fate of the company (Gordon, 2001). Furthermore, Lutnick announced that health insurance would be cut off at the end of the month and life insurance payments would be limited to $100,000 (Maggitti et al., 2010). On October 10, 2001, Lutnick announced a major change to his announcement of September 15. He presented a plan to give 25% of all Cantor Fitzgerald profit to the families of the victims for ten years, along with paying out bonuses and providing health insurance (Maggitti et al., 2010).

Cantor Fitzgerald resumed operations on September 13, 2001, only two days after the attacks (Gordon, 2001). In 2004, the company moved to their current offices in Midtown Manhattan ("History," 2011). Each year, on September 11, the company holds a Charity Day in which 100% of the day's revenues are donated to various causes, raising tens of millions of dollars in the past decade (Petrecca, DiBlasio & Dorrel, 2012). As of 2012, Cantor Fitzgerald has several subsidiaries and affiliates including Cantor Gaming, Aqua Securities, Delivery.com, and Cantor Commercial Real Estate ("History," 2011). The company operates 30 offices and has approximately 1,600 employees ("About Us," 2011).

Appendix C

ESCI items

Each item in the ESCI is rated using a scale including the terms "Never,"

"Rarely," "Sometimes," "Often," and "Consistently," (Hay Group, n.d.).

Table 9

Self-Awareness

ESCI Item #	Cluster	Attribute	Item
34	Self-Awareness	Emotional Self-Awareness	Able to describe how own feelings affect own actions
39	Self-Awareness	Emotional Self-Awareness	Describes underlying reasons for own feelings
41	Self-Awareness	Emotional Self-Awareness	Aware of the connection between what is happening and own feelings
44	Self-Awareness	Emotional Self-Awareness	Shows awareness of own feelings
48	Self-Awareness	Emotional Self-Awareness	Does not describe own feelings (reverse-coded)
63	Self-Awareness	Emotional Self-Awareness	Acknowledges own strengths and weaknesses

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Table 10

Self-Regulation

ESCI Item #	Cluster	Attribute	Item
1	Self-motivation	Adaptability	Has difficulty adapting to uncertain and changing conditions (reverse-coded)
4	Self-Motivation	Emotional Self-Control	Gets impatient or shows frustration inappropriately (reverse-coded)
10	Self-Motivation	Adaptability	Adapts by smoothly juggling multiple demands
16	Self-Motivation	Emotional Self-Control	Acts appropriately even in emotionally charged situations
18	Self-Motivation	Emotional Self-Control	Remains calm in stressful situations
19	Self-Motivation	Adaptability	Adapts by applying standard procedures flexibly
35	Self-Motivation	Adaptability	Adapts overall strategy, goals, or projects to fit the situation
42	Self-Motivation	Adaptability	Adapts to shifting priorities and rapid change
51	Self-Motivation	Adaptability	Adapts to overall strategy, goals, or projects to cope with unexpected events
58	Self-Motivation	Emotional Self-Control	Remains composed, even in trying moments
59	Self-Motivation	Emotional Self-Control	Controls impulses appropriately in situations
60	Self-Motivation	Emotional Self-Control	Loses composure when under stress (reverse-coded)

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Table 11

Self-Motivation

ESCI Item #	Cluster	Attribute	Item
2	Self-Motivation	Positive Outlook	Sees the positive in people, situations, and events more often than the negative
9	Self-Motivation	Achievement	Initiates actions to improve own performance
28	Self-Motivation	Achievement	Seeks to improve own self by setting measurable and challenging goals
29	Self-Motivation	Achievement	Does not strive to improve own performance (reverse-coded)
36	Self-Motivation	Achievement	Strives to improve own performance
40	Self-Motivation	Achievement	Does not try to improve (reverse-coded)
45	Self-Motivation	Positive Outlook	Believes the future will be better than the past
50	Self-Motivation	Positive Outlook	Views the future with hope
55	Self-Motivation	Positive Outlook	Sees possibilities more than problems
57	Self-Motivation	Achievement	Seeks ways to do things better
62	Self-Motivation	Positive Outlook	Sees opportunities more than threats
65	Self-Motivation	Positive Outlook	Sees the positive side of a difficult situation

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Table 12

Empathy

ESCI Item #	Cluster	Attribute	Item
23	Social Awareness	Empathy	Understands another person's motivation
30	Social Awareness	Empathy	Understands others by listening attentively
31	Social Awareness	Empathy	Does not understand subtle feelings of others (reverse-coded)
43	Social Awareness	Empathy	Understands others by putting self into others' shoes
53	Social Awareness	Empathy	Understands others' perspectives when they are different from own perspective

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Table 13

Relationship Management

ESCI Item #	Cluster	Attribute	Item
3	Relationship Management	Influence	Convinces others by getting support from key people
5	Relationship Management	Inspirational Leadership	Leads others by building pride in the group
6	Social Awareness	Organizational Awareness	Understands social networks
7	Relationship Management	Inspirational Leadership	Leads by inspiring people
8	Relationship Management	Conflict Management	Tries to resolve conflict instead of allowing it to fester
11	Relationship Management	Teamwork	Does not cooperate with others (reverse-coded)
12	Relationship Management	Teamwork	Works well in teams by being supportive

Relationship Management Continued

ESCI Item #	Cluster	Attribute	Item
13	Social Awareness	Organizational Awareness	Understands the values and culture of the team or organization
14	Relationship Management	Conflict Management	Resolves conflict by de-escalating the emotions in a situation
15	Relationship Management	Conflict Management	Allows conflict to fester (reverse-coded)
17	Relationship Management	Influence	Convinces others by using multiple approaches
20	Relationship Management	Influence	Convinces others by appealing to their self-interest
21	Social Awareness	Organizational Awareness	Understands the informal structure in the team or organization
22	Relationship Management	Coach and Mentor	Provides on-going mentoring or coaching
24	Relationship Management	Inspirational Leadership	Does not inspire followers (reverse-coded)
25	Relationship Management	Teamwork	Works well in teams by encouraging cooperation
26	Relationship Management	Conflict Management	Tries to resolve conflict by openly talking about disagreements with those involved
27	Relationship Management	Inspirational Leadership	Leads by bringing out the best in people
32	Relationship Management	Coach and Mentor	Provides feedback others find helpful for their development
33	Relationship Management	Teamwork	Works well in teams by soliciting others' input
37	Relationship Management	Teamwork	Works well in teams by being respectful of others

Relationship Management Continued

ESCI Item #	Cluster	Attribute	Item
38	Relationship Management	Influence	Anticipates how others will respond when trying to convince them
46	Relationship Management	Conflict Management	Resolves conflict by bringing it out into the open
47	Relationship Management	Coach and Mentor	Personally invests times and effort in developing others
49	Relationship Management	Influence	Convinces others by developing behind-the-scenes support
52	Relationship Management	Coach and Mentor	Coaches and mentors others
54	Relationship Management	Coach and Mentor	Does not spend time developing others (reverse-coded)
56	Relationship Management	Teamwork	Works well in teams by encouraging participation of everyone present
61	Relationship Management	Inspirational Leadership	Leads by articulating a compelling vision
64	Social Awareness	Organizational Awareness	Understands the informal processes by which work gets done in the team or organization
66	Relationship Management	Coach and Mentor	Cares about others and their development
67	Social Awareness	Organizational Awareness	Understands the team's or organization's unspoken rules
68	Relationship Management	Influence	Convinces others through discussion

Note. Hay Group (2012). Feedback Report: Emotional and Social Competency Inventory.

Appendix D

Coding

Items were coded using the Goleman (1995) five constructs of emotional

intelligence theory and the ESCI cluster and orientation (attribute) model. A legend for

abbreviations is found in Table 14.

Table 14

Abbreviation Legend

Abbreviation	Meaning
A	Adaptability
Ach	Achievement
C&M	Coach & Mentor
E	Empathy
ESA	Emotional Self-Awareness
ESC	Emotional Self-Control
I	Influence
IL	Inspirational Leadership
OA	Organizational Awareness
PO	Positive Outlook
RM	Relationship Management
SA	Self-Awareness
SC	Self-Confidence
SM	Self-Motivation
SMan	Self-Management
SocA	Social Awareness
Svc	Service Orientation

Tables 15-18 illustrate the coding process used in the study.

Table 15

Cantor Fitzgerald

Construct	Cluster	Orien-tation	Leader	Text	Source
SA	SA	ESA	Lutnick	"I finally said, Stephen, we need to talk. Because we have to figure out what we're going to do here. We've still got our minds now, but I don't know how long I can hold it together."	Barbash
SA	SA	ESA	Lutnick	"He gives out information, and while others avoid putting their grief into words, Howard talks frankly about what he went through when the buildings fell and about his brother's phone call to his sister."	Barbash
SA	SA	SC	Lutnick	"I know how to do this."	Gordon
SR	Sman	ESC	Lutnick	"Look, you talk to me about the people I lost I'm going to start crying, but if you talk about business, I am no dumber than I ever was before. And I convinced them to stay with me and lend my firm seventy billion dollars when every single person in the company died."	Barbash
SR	Sman	ESC	Lutnick	"I needed my bankers to know that I was in control. That I wasn't sentimental and that I was no less motivated or driven to make my business survive."	Gordon
SR	Sman	ESC	Lutnick	"We were only going to stay in the businesses in which we were absolutely certain we could succeed. I was fighting my ego because a part of me wanted to keep it all and show that we could turn it around--save everything. But I knew what the risks were--that if we tried to save everything, we could lose the whole company."	Barbash
SR	Sman	ESC	Lutnick	"There were emotional issues and business issues, and some that touched both areas, and I couldn't be emotional with the banks, and I couldn't even think about business when I was talking to the widows of my close friends. I shifted from extremes sometimes from minute to minute."	Barbash
SR	Sman	A	Lutnick	"Lutnick closed offices in Paris and Frankfort, and transferred these staff members to London. 'We played with the cards the terrorists left us,'"	Gordon
SR	Sman	A	Lutnick	"I want the company to honor the people we lost. Before, we were about succeeding in business. Now, we are about honor and pride."	Thompson
SR	Sman	A	Lutnick	"We started talking about our back office, and how we could get it up and running again."	Barbash

Construct	Cluster	Orien-tation	Leader	Text	Source
SR	Sman	A	Lutnick	"It was twenty issues in twenty hours with every emotion shot through it all and the only way to deal with it was to focus intensely on the words you're saying or the crisis at hand. That's what I did. Focus on survival. Address the issues. Resolve the issues."	Barbash
E	E	Svc	Lutnick	"$45 million in bonuses going out to the families of dead employees."	Gordon
E	E	Svc	Lutnick	"Howard Lutnick, chief executive of the financial services firm that lost 658 employees in 9/11, attended 20 funerals every day for more than a month following the attacks on the WTC."	Thompson
E	E	Svc	Lutnick	"I just thought, I've got to help them. I've got to survive. All my guys and women are dead. And I'm alive. Since I'm not dead, I've got to help them all."	Barbash
E	E	Svc	Lutnick	"And at the center of this were the families. We were supporting each other, sharing information. Maybe I was helping them, but certainly it was helping me to talk with the families. Every time I left the crisis center I was energized. And I would describe it at the time as physical. Hugging, holding, and crying with the families energized me. I didn't need to sleep."	Barbash
E	E	Svc	Lutnick	"There's a crisis going on and their house has been turned over to those who are here to help them, and to be with them."	Barbash
E	E	Svc	Lutnick	"In this spirit, Howard has ramped up the flow of activity by giving out his home number at the crisis center. The next day it appeared on the website. Anyone from anywhere in the world can now call in and speak to him."	Barbash
E	E	Svc	Lutnick	"I'm calling people every night, but I'm not going to call a wife and then get off the phone after ten minutes. We talk for half an hour, sometimes more. I'm never the one to hang up first."	Barbash
E	E	Svc	Lutnick	"What we do today is all of our guys and all of our clients help us raise money for 75 charities. No commissions, every penny we earn goes to the charities."	Schatzker
E	E	Svc	Lutnick	"He will settle in to write condolence notes to the extended families of dead workers, 1300 before he's through. Then he will call family members until midnight."	Gordon

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Construct	Cluster	Orien-tation	Leader	Text	Source
E	SocA	E	Lutnick	"'Two things allow me to communicate with my employees,' he says. 'I was there, and I lost my brother.'"	Gordon
E	SocA	E	Lutnick	"…then takes a call from an Orthodox Jewish family distraught over their son's missing remains. 'I know, I know, I'm just like you,' he says, his voice cracking. He is still waiting for DNA tests to tell him that his brother, Gary, is really gone."	Gordon
E	SocA	E	Lutnick	"How do you handle an angry widow who is threatening to attack you on TV if she doesn't get an undeservedly large bonus for her husband? 'It's blackmail,' he mutters, but then a few minutes later he's trying to see things her way. She's scared and sad; maybe he'll look at the numbers again."	Gordon
E	SocA	E	Lutnick	"If people wanted to talk about the friends they lost, we just would. I didn't limit them to what they talked about any more than I limited myself. We had enormous amounts of work to do. But we were grieving, and you couldn't tell when it would hit you full-force."	Barbash
E	SocA	E	Lutnick	"I'm trying to help my seven hundred families who are missing loved ones. I'm just another one of them."	Barbash
E	SocA	E	Lutnick	"He can't blame those who've lost loved ones in the attacks for the way they feel. His position and his decision to take ultimate responsibility has made him a lightning rod, and he understands and accepts that."	Barbash
E	SocA	E	Lutnick	"Would I move right on top of the Trade Center site? No. For the ~100 or so people who still work here it would be too hard."	Schatzker
E	SocA	E	Lutnick	"Howard was at a celebrity golf tournament in 1993, something he regrets greatly, and one of the reasons he felt so compelled to reach the building and his people after the first plane hit."	Barbash
RM	RM	C&M	Lutnick	"By all accounts, the hard charging boss became the sensitive father figure in the recovery efforts."	Thompson
RM	RM	C&M	Lutnick	"We had to strike a delicate balance, which meant we were committed to helping the families, but the surviving staff needed to believe there were still opportunities for them to do well by their own families."	Barbash
RM	RM	C&M	Lutnick	"He's making the rounds, looking after people."	Barbash
RM	RM	IL	Lutnick	"eSpeed had not lost its destiny or its soul."	Barbash

Construct	Cluster	Orien-tation	Leader	Text	Source
RM	RM	IL	Lutnick	"I'm going to answer every single question anyone has about each topic before going on. We're not going anywhere. I just want to make sure all of you understand how fundamentally committed our company is to each of you, and irrespective of what has been said, you're going to hear tonight, and understand tonight, that the people who are alive at Cantor Fitzgerald loved your loved ones, cared about them so much that they are willing to do whatever it takes to help you out. That is not normal. It's certainly not required. It certainly has nothing to do with anything other than the love of the people alive for the people they miss and who they lost, and so I'm just going to start at the top and go one by one."	Barbash
RM	RM	IL	Lutnick	"What we need them to know is that we're united in our purpose and that we share similar concerns and common goals. We're together on this."	Barbash
RM	RM	IL	Lutnick	"We can shut it down and go to our friends' funerals, or we can go to work and work harder than we've ever had to work before at a time when none of us want to work."	Schatzker
RM	RM	IL	Lutnick	"For us to be successful, we have to kick our competitors' butt. If you let your grief and sadness overrun your commitment to the company, then you're going to bring down the person to your left and to your right."	Gordon
RM	RM	OA	Lutnick	"I could tell my allies from my adversaries the moment someone walked into the room, or shook my hand."	Barbash

Table 16

Sandler O'Neill

Construct	Cluster	Orien-tation	Leader	Text	Source
SA	SA	ESA	Dunne	"asking for help from the competitors to get into deals"	Nocera
SA	SA	SC	Dunne	"Mr. Dunne believes that the decision he and the other new leaders of the firm made back then gave them a self-confidence they hadn't had before."	Nocera
SR	SMan	ESC	Dunne	"He always seemed on the verge of losing it. But he never did."	Nocera
SR	SMan	ESC	Dunne	"In those dark days of September, it seemed like it would be somewhat of an insurmountable task. I thought that our existence was probably doubtful." (Interviewer: "You didn't let anybody know that?") "No! No! Except my wife."	jenngorsuch
SR	SMan	A	Dunne	"he was everywhere, doing everything"	Nocera
SR	SMan	A	Dunne	"figuring out how to rebuild the computer systems"	Nocera
SR	SMan	A	Dunne	"Thrust into a role he had never expected and had never prepared for--not just to lead Sandler O'Neill, but to save it--he embraced his task with an unnerving intensity."	Nocera
SR	SMan	A	Dunne	"Usually when you are in a small firm, you wait to see what the big firms are going to do. But we didn't wait for anyone's lead."	Nocera

Construct	Cluster	Orien-tation	Leader	Text	Source
SR	SMan	A	Dunne	"But the firm's phone system, computer network, corporate records, and virtually every piece of paper had all been destroyed, along with the people who knew the most about them…a list of their clients and phone numbers had to be reconstructed from memory, entire departments had been wiped out, almost all of the bond and stock traders killed, along with two of the firm's top executives, Herman Sandler and Chris Quackenbush. But Jimmy Dunne wasn't about to give up."	jenngorsuch
SR	SMan	A	Dunne	"Six days after the attack, the day the stock market was set to reopen, Sandler O'Neill had assembled a makeshift trading floor staffed by employees from other offices and departments, by friends, relatives, and volunteers."	jenngorsuch
SR	SMan	A	Dunne	"Every day seemed to whipsaw between somber responsibilities and small celebrations that marked Sandler O'Neill's return to Wall Street."	jenngorsuch
SM	SMan	PO	Dunne	"Once Jimmy worked it through in the first 48 hours and concluded that the firm would rebuild"	Nocera
SM	SMan	PO	Dunne	"We're going to get through it. That's what we're going to do."	jenngorsuch
E	E	Svc	Dunne	"comforting grieving families"	Nocera

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Construct	Cluster	Orien-tation	Leader	Text	Source
E	E	Svc	Dunne	"First, he…made the snap decision that despite its crippled state, the firm would do right by the families of its deceased employees. [Discussion of benefits plan over the next two paragraphs…]"	Nocera
E	E	Svc	Dunne	"Across the front of the office on spreadsheets normally used to report sales and earnings, was a long list of funerals, wakes, and memorial services, and Jimmy Dunne was determined that there would be a Sandler O'Neill partner at every one."	jenngorsuch
E	E	Svc	Dunne	"We never, ever tried to hire a person to replace a person. In a very small gesture, we retired everyone's phone numbers because it is going to be hard enough for people that we do hire just to be successful in this business, let alone if you tell him that we're hiring you specifically to replace Bruce Simmons, to replace Chris Quackenbush, to replace anyone."	jenngorsuch
E	E	Svc	Dunne	"Commissions on trades from the accounts of deceased colleagues went directly to the families' estates. They also created the SO family assistance foundation to provide financial aid including the cost of college tuition for the children of those who had died."	Schatzker
RM	RM	I	Dunne	"…he made the case that rebuilding the firm was something the deceased would want the survivors to do."	Nocera

Construct	Cluster	Orien-tation	Leader	Text	Source
RM	RM	IL	Dunne	"He made decisions that gave people confidence."	Nocera
RM	RM	IL	Dunne	"In the days and weeks that followed, Jimmy Dunne would instill in everyone around him a sense of moral purpose. Osama bin Laden wanted to bring down American capitalism, Jimmy Dunne wouldn't let that happen."	Schatzker
RM	RM	IL	Dunne	"He wants everyone else at SO to receive credit for the firm's success, including the two close friends he lost, Chris Quackenbush and Herman Sandler."	Schatzker
RM	RM	IL	Dunne	"They can't do this to us. Rebuilding the firm was something the deceased would want the survivors to do. It gave the living a way to connect with one another, to do something after 9/11 that felt purposeful and important."	Nocera
RM	RM	IL	Dunne	"Come on in! There's room in the boat. Everybody can get an oar. Now, there are some of you that are doubting. We cannot have you in the boat! We wish you well. But you can't come in the boat. Because if you're in the boat you have to have an oar."	Whitford

Table 17

Keefe, Bruyette & Woods

Construct	Cluster	Orien-tation	Leader	Text	Source
SA	SA	ESA	Michaud	"We're not hostage to it or captive to it by any means, I believe it has become a healthy part of our soul."	Schatzker
SR	SMan	ESC	Duffy	"But at KBW, there was to be no wallowing in pity or grief, no matter how devastating, not for long anyway."	Barnett
SR	SMan	ESC	Michaud	"When those families kissed their loved ones when they went off to work that day then they didn't come home is unimaginable. They were not soldiers, they were not in the middle of a war, these folks were just going to work and they wanted to go home at the end of the day to see their families. The tragedy of the loss was so great it's hard to have self-pity when you saw the challenges those families had."	Schatzker
SR	SMan	A	Duffy	"After KBW pieced together its financial picture, the firm focused on finding new office space and employees, even as memorial services for its former ones continued."	Barnett
SR	SMan	A	Michaud	"we wanted to let people respond to the situation instead of imposing any notion of how things should unfold"	Barnett
SR	SMan	A	Michaud & Senchak	"Two lieutenants kept the firm together."	Luchetti
SM	SMan	Ach	Michaud	"We want to do this on our own."	Luchetti
SM	SMan	Ach	Duffy	"The firm's leaders decided to try to rebuild KBW into a larger version of what it was before. So they got to work. 'None of us wanted 9/11 to be the last day in the firm's history. We didn't want the bad guys to win."	Luchetti
SM	Sman	PO	Michaud	"We knew that the last chapter of KBW could not be that of devastation"	Barnett
E	E	Svc	Duffy	"KBW set up a Family Fund that has raised $9.6 million. Each year it will donate one day's trading commissions to the fund."	Barnett
E	E	Svc	Duffy	"The company had rented a suite at the nearby Palace Hotel with counselors for employees and family members"	Barnett

Construct	Cluster	Orien-tation	Leader	Text	Source
E	E	Svc	Duffy	"KBW also maintains the charitable fund it set up to help victims' families. The firm pays health-care costs for the children and spouses of about two dozen victims, and it plans to continue that support for at least two more years."	Luchetti
E	E	Svc	Duffy	"The memorial service will continue as long as his colleague and their families want to keep coming."	Luchetti
E	SocA	E	Duffy	"we didn't want to put our employees through the trauma of walking past the site every day"	Barnett
E	SocA	E	Duffy	"I think the emotional stress on those 70-odd employees who still work here, myself included, would be too much." (on moving back to the WTC site)	Schatzker
E	SocA	E	Duffy	"In 2003, the firm added a stark piece of steel from the WTC formed into a sculpture with the American flag and a cross, but some KBW employees complained that the sculpture brought back painful memories. So Mr. Duffy had it put in a less-conspicuous meeting room near the firm's main entrance."	Luchetti
E	E	E	Duffy	"We're more sensitive to the issue and understand the impact that losing a breadwinner has on a family."	Luchetti
RM	RM	IL	Duffy	"Following the direction of its stoic and focused leader, this company used the drive to rebuild as its unique form of therapy."	Barnett
RM	RM	IL	Michaud	"The memory of those who lost their lives that day, we weren't going to give into the terrorists, also we felt we could give more to the families if we had a robust firm."	Schatzker

Table 18

Sidley, Austin, Brown & Wood

Construct	Cluster	Orien-tation	Leader	Text	Source
SR	SMan	ESC	Connelly	"He told his co-workers to start heading down the stairs. 'Don't go back to your desks,' he said. 'Just go.'"	Schwartz
SR	SMan	ESC	Connelly	"As people stood around, wondering what to do, Mr. Connelly told them to wait a moment while he checked with the security office at the base of the building to find out whether they should evacuate."	Schwartz
SR	SMan	ESC	O'Donovan	"Mr. O'Donovan stepped out into the corridor where co-workers were gathering, and told them to head downstairs right away."	Schwartz
SR	SMan	ESC	Weil	"As smoke filled the skies above Manhattan…Alan S. Weil was calling his landlord." (to find new office space)	Schwartz
SR	SMan	A	Connelly	"He recalled assessing the damage and beginning to create a checklist in his mind about what would be required to fix the smoke damage and get the office running again once the fires were put out."	Schwartz
SR	Sman	A	Weil	"Within three hours of the Twin Towers' collapse, that call to the landlord secured leases on four additional floors in the Midtown building for his disposed lawyers and staff. By the end of that day, others within the firm had arranged for the immediate delivery of 800 desks, 300 computers and cell phones by the hundreds; contractors were hired to string cables to expand the firm's computer network."	Schwartz
E	E	Svc	Connelly	"Mr. Connelly himself made the rounds of the 57th floor, methodically checking offices as the tower above him burned out of control."	Schwartz
E	E	Svc	Connelly	"Mr. Connelly…[two others]...decided to hike back up to the 56th floor to gather emergency supplies. They went to a storage closet and filled canvas bags with beige golf towels…[description of towels]…,they would hand them out as masks. Mr. Connelly also pulled out a bulky first aid kit, 3 feet long."	Schwartz

Construct	Cluster	Orien-tation	Leader	Text	Source
E	E	Svc	O'Donovan	"As people moved toward the stairwell, he saw Alexis Goldman, frozen in place…[anecdote about their working relationship]...she was standing there, rigid, saying 'I don't know what to do. I don't know where to go.' He put his arm around her shoulders. 'Alexis,' he said. 'It's O.K. Come on--let's go.'"	Schwartz
E	SocA	E	O'Donovan	"Some of the employees were a little overcome by the situation and I had to let them leave."	Schwartz

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