

ELIZABETH FALK

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BACKGROUND

Independent consultant with over 22 years' experience producing statistical analysis/financial damages reports on investment accounts as well as producing financial damages reports for intra-industry disputes. Retained by securities attorneys, expert witnesses, individual investors, brokers, and brokerage firms representing both Claimants and Respondents. Produced analysis reports in more than 1500 cases since opening Falk Financial Analysis (formerly known as Finance Outsource) in 2000.

Testified in more than 70 FINRA (NASD) and AAA hearings as well as in court.

EDUCATION

Bachelor of Arts in Political Science • University of California at Davis – Davis, CA (1996)

AFFILIATIONS

SECURITIES EXPERTS' ROUNDTABLE – PRESIDENT-ELECT, WEBCAST COMMITTEE CHAIR, DIRECTOR, AND VOTING MEMBER

1/2009 to Present

Current President-Elect, Webcast Committee Chair, and member of the Board of Directors. Currently serving on the Public Relations Committee. Served as Treasurer and Chaired the Finance Committee for 2 years, until becoming President-Elect.

SECURITIES EXPERTS' ROUNDTABLE "THE EXPERT'S EXAMINER" – CONTRIBUTING EDITOR Inception (Early-2019) to Present

UNIVERSITY OF SAN FRANCISCO SCHOOL OF LAW – San Francisco, CA

9/2006 to 06/2015

Adjunct Professor

Taught calculation of damages and related topics to second and third year law students in the Investor Justice Project class and clinic. Started as a guest lecturer on this subject the spring of 2005.

UNIVERSITY OF SAN FRANCISCO SCHOOL OF LAW – San Francisco, CA

9/2005 to Present

Member of the Board of Advisors for the Investor Justice Project

Appointed to this position in September of 2005.

ALBANY LAW SCHOOL – Albany, NY

Spring 2011

Guest Lecturer for the Securities Arbitration Clinic

Speaker / Faculty, NYSBA "Securities Arbitration 2020: Deep Dive" in New York City, NY, "Damages"

03/2020

Speaker, 2019 PIABA Annual Meeting in Austin, TX, "Experts' Roundtable"

10/2019

Speaker, 2019 PIABA Annual Meeting in Austin, TX, "Best Use of Experts in Every Type of Arbitration Case"

10/2019

Speaker, 2010 Annual Meeting in Ponte Vedra Beach, FL, "Demonstrative Exhibits"

10/2010

Speaker, 2003 CA Mid-Year Meeting in Los Angeles, CA, "PIABA Nuts and Bolts Panel"

02/2003

EMPLOYMENT

FALK FINANCIAL ANALYSIS (F.K.A. FINANCE OUTSOURCE) – Novato, CA

2000 to Present

Principal and Founder Opened in February of 2000, firm specializes in Securities and Options Account Analysis and Intra-Industry Dispute damages reports. Firm has prepared reports in more than 1500 cases to date. Mrs. Falk is available to provide testimony authenticating her reports, explaining her methodology, and highlighting key schedules for the benefit of the panel or court.

MORGAN STANLEY DEAN WITTER – San Rafael, CA

5/1999 – 9/1999

Registered Sales Assistant / Branch Manager's Assistant Assisted four highest producing Investment Advisors for downtown San Rafael branch, received Series 7 and 65 licenses (*now expired*). Left firm in September of 1999 to prepare for the opening of Finance Outsource (presently known as Falk Financial Analysis.)

PAINEWEBBER – San Francisco, CA

11/1998 to 5/1999

Sales Assistant Assisted two top producing Investment Advisors for PaineWebber, received a "trial by fire" in large brokerage operations and account management.

EDWARD J. HENNESSY, INC. / THE HENNESSY FUNDS – Novato, CA

2/1998 – 11/1998

Expert Witnessing Assistant / Management Trainee promoted to Director of Public Relations *Introduction to the financial industry as well as the purpose and method for Securities Account Analysis. Received Series 63 'Blue Sky' license. (now expired).*