

ELIZABETH FALK, CFE

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BACKGROUND

Independent consultant with over 26 years' experience producing specialized objective performance analysis / financial damages reports. Produced analysis reports in more than 2000 cases since opening Falk Financial Analysis in 2000.

Testified in more than 100 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)

CERTIFICATIONS

• Certified Fraud Examiner (CFE) • Series 7 (expired) • Series 65 (expired) • Series 63 (expired)

AFFILIATIONS

SECURITIES EXPERTS ROUNDTABLE – CURRENT PRESIDENT-ELECT (2023-2024), CONFERENCE CHAIR (2024 CONFERENCE), BOARD MEMBER, AND VOTING MEMBER 01/2009 to Present

Some previous roles include President (2020-2021), Treasurer and Finance Committee Chair (2018-2019), and founding Chair of SER's Webcast Committee (2020-2023). Currently serving on the Board of Directors (2015-2022) and (2023-2026).

SECURITIES EXPERTS' ROUNDTABLE "THE EXPERT'S EXAMINER" – CONTRIBUTING EDITOR Inception (Early-2019) to 08/2020

UNIVERSITY OF SAN FRANCISCO SCHOOL OF LAW – San Francisco, CA 09/2006 to 6/2015

Adjunct Professor

Taught calculation of damages and related topics to second and third-year law students in the Investor Justice Clinic. Started as a guest lecturer in the Spring of 2005.

UNIVERSITY OF SAN FRANCISCO SCHOOL OF LAW – San Francisco, CA 09/2005 to 06/2015

Member of the Board of Advisors for the Investor Justice Clinic

Appointed to this position in September of 2005.

ALBANY LAW SCHOOL – Albany, NY Spring 2011

Guest Lecturer for the Securities Arbitration Clinic

Speaker, Securities Experts Roundtable Conference 2023, "Testimony" 09/2023

Speaker, Securities Experts Roundtable "Marketing Your Expert Witness Services" Webcast 09/2022

Moderator, Securities Experts Roundtable "Zoom Testimony" Webcast 06/2020

Speaker / Faculty, NYSBA "Securities Arbitration 2020: Deep Dive" in New York City, NY, "Damages" 03/2020

Speaker, 2021 PIABA Annual Meeting in Amelia Island, FL, "Damages" 10/2021

Speaker, 2019 PIABA Annual Meeting in Austin, TX, "Best Use of Experts in Every Type of Arbitration Case" 10/2019

Speaker, 2010 PIABA Annual Meeting in Ponte Vedra Beach, FL, "Demonstrative Exhibits" 10/2010

Speaker, 2003 PIABA 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

Founder and Managing Principal Opened in February of 2000, firm specializes in Securities and Options Account Analysis and Intra-Industry Dispute reports. Firm has prepared reports in more than 2000 cases to date. Ms. Falk regularly provides Investment Performance Analysis / Lost Compensation / Damages Expert testimony.

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.)

PAINWEBBER – 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*).