

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.

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 (2024-2025), 01/2009 to Present
Board Member, and Voting Member

Some previous roles include President (2020-2021), Treasurer and Finance Committee Chair (2018-2019), Conference Chair (2023-2024), 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 09/2005 to 06/2015
Member of the Board of Advisors for the Investor Justice Clinic
Appointed to this position in September of 2005.

PUBLIC APPEARANCES

Conference Chair, Securities Experts Roundtable Conference 2024 07/2024

Moderator, Securities Experts Roundtable Conference 2024,
American Arbitration Association (AAA) for the Expert Witness 07/2024

Moderator, Securities Experts Roundtable Conference 2024,
Experts' Roundtable 07/2024

Guest Lecturer, St. John's Law School Securities Arbitration Clinic in New York, NY 03/2024

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

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

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

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

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

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

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Guest Lecturer, Albany Law School Securities Arbitration Clinic in Albany, NY	Spring 2011
Speaker, 2010 PIABA Annual Meeting in Ponte Vedra Beach, FL, <i>Demonstrative Exhibits</i>	10/2010
Speaker, 2003 PIABA CA Mid-Year Meeting in Los Angeles, CA, <i>PIABA Nuts and Bolts Panel</i>	02/2003

PRIOR EMPLOYMENT

Falk Financial Analysis (F.K.A. Finance Outsource)– Novato, CA 02/2000 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.

University of San Francisco Law School – 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.

Morgan Stanley Dean Witter – San Rafael, CA 05/1999 – 09/1999

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.

The Hennessy Funds / Edward J Hennessy Inc – 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).