

PATRICIA KOETTING

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PROFESSIONAL EXPERIENCE

Independent consultant and expert witness with 38 years experience in providing statistical analysis of investment accounts. Assist attorneys with damages related to investment accounts for Statement or Answer of Claim, and assist triers of fact at mediations and judicial hearings.

Retained by securities attorneys, expert witnesses, and brokerage firms representing *Claimants* or *Respondents* in more than 2,000 cases involving the analysis of well over 5,000 accounts with securities including stocks, bonds, ETFs, options, mutual funds, commodities, derivatives/structured products, etc.

Previously employed at a major broker-dealer to establish and maintain the P&L Analysis section for their in-house legal department, including the analysis program, format and procedures.

Testified in FINRA (NASD), NYSE, AAA, JAMS Hearings. Appointed as a third party independent expert by the United States District Court, District of New Jersey in an Application for Judicial Assistance re Letter Rogatory from the Argentine Court at the agreement of both Claimant's and Respondent's counsel.

EMPLOYMENT HISTORY

PKOETTING & ASSOCIATES (Chapel Hill, NC) 1993–Present

Owner/Consultant (formerly Trading Statistics & Analysis)

SMITH BARNEY (New York, NY) 1990-1992

Second Vice President, Legal Department

EDWARD B HORWITZ-EXPERT WITNESS (Los Angeles, CA) 1984-1989

Analyst providing initial analysis of account data for expert review

KIDDER PEABODY (Los Angeles, CA) 1985-1988,

Assistant Branch Administrator, Sales Assistant

THOMSON MCKINNON (Los Angeles, CA) 1984-1985, Sales Assistant

PRESENTATIONS

SECURITIES EXPERTS ROUNDTABLE - ANNUAL CONFERENCE

2020 (Webcast) Panelist: "Zoom Testimony-The Basics"

2019 (Saint Paul) Moderator: "Writing a Rule 26 Report"

2013 (Boston) Moderator: Keynote Speaker/Investigative Journalist Guy Lawson

2008 (Chicago) Moderator: Experts' Open Roundtable

2005 (Chicago) Panelist: "Tools of the Trade"

ABA SECTION OF DISPUTE RESOLUTION - ANNUAL CONFERENCE

2016 (NYC) Panelist "Contribution of Experts to Mediation"

EDUCATION

NEW YORK UNIVERSITY-STERN SCHOOL OF BUSINESS

Bachelor of Science, Finance & International Business (Magna cum Laude)

LICENSES & AFFILIATIONS

Securities Experts Roundtable, Member & Current Controller

Past President 2009-2010; Treasurer 2011-2014; Board of Directors 2006-2014

Served on Finance Committee, Nominating Committee, Conference Chair

Series 7 - Registered Representative (Expired)