

## PATRICIA KOETTING

1429 Twisted Oak Dr, Chapel Hill NC 27516  
(919)967-9040/pk@pkoetting.com /www.pkoetting.com

### PROFESSIONAL EXPERIENCE

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**Independent consultant and expert witness with 35 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 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

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**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

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**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

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**NEW YORK UNIVERSITY-STERN SCHOOL OF BUSINESS**

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

### LICENSES & AFFILIATIONS

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**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)**