

Theodore Sturtz
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Expert Financial Witness:

Senior financial professional with more than two decades of experience. Roles have included serving on variety of credit committees, head of credit ratings advisory regionally overseas and for specific industries in the US. Chaired Lehman's investment banking credit committee in Asia and headed regional credit function, including monitoring sales and trading for compliance. Also headed execution function for US and global debt and equity transactions for clients in non-Japan Asia.

FINRA Series 63 and 79 certifications.

EXPERIENCE

Current

Independent Consultant

- Ratings advisory

2014

Expert Witness

- Expert witness on bond markets and rating agencies in a UK trial. Prepared report for the court delineating my expert opinion.

Consultant to Bloomberg Multimedia

- Worked with journalists to educate them about breaking news in financial markets where expertise of finance professional was needed for journalists to accurately cover events.

1999 – 2013

Barclays Capital/Lehman Brothers, New York City Director/SVP – Ratings Advisory & Credit Review

- Extensive experience in corporate finance and both writing and reviewing credit analysis/internal credit research.
- Decades of experience coaching C-level executives for presentations to rating agencies and institutional investors.
- Broad industry coverage, Head US credit ratings advisory for telecommunications, media, technology, healthcare and business services, both investment grade and high-yield.
- Expertise recognized by clients: Lehman received an unprecedented extra \$1 million fee to reward firm for transaction execution excellence, CEO/CFO singling me out.
- Led recruiting of investment banking summer analysts at Brown University.

1995-1999

Lehman Brothers Senior Vice President – Co-head of Investment Banking Credit, Ratings Advisory, London Senior Vice President - Head of Investment Banking Credit, Ratings Advisory & Execution, Hong Kong

- Chaired Lehman's Asia Credit Committee.
- Led ratings advisory and credit due diligence in numerous countries characterized by wide-ranging industry practices and accounting conventions.

- Sought after by Asian financial institutions for advice on credit policy.
- Interviewed on Bloomberg TV Asia regarding industry views.
- Head of execution of investment banking new debt and equity transactions in non-Japan Asia. Execution role included working with attorneys and management to craft sound legal offering documents.

Head of Corporate Credit, Hong Kong

- Headed both investment banking and sales and trading credit functions for Asia which included ensuring that all procedures were in compliance with regulations.
- Committee member for requirements and implementation of new global credit reporting and management system.
- All position controls effectively maintained while challenged by transition from an archaic to more effective technology for managing limits and exposures.

- 1990 - 1995 Vice President/Senior Vice President – Ratings Advisory & Credit Review, New York
- Established reputation as outstanding credit analyst, and ratings advisor to C-level executives of non-US financial institutions.
 - Intensive credit due diligence and internal credit analysis/research presented to credit committees.

- 1987 - 1990 Standard & Poor's Corp., New York City
Assistant Vice President - International Financial Institutions Group
- Lead analyst for a portfolio of non-US financial institution issuers.
 - Wrote numerous press releases and analyses/articles/credit research for S&P publications and rating committees.
 - Extensive communication with institutional investors and press.
 - Corrected flawed methodology for analyzing certain financial institutions.

- 1985 - 1987 National Westminster Bank USA, New York City
Assistant Treasurer - International Group

EDUCATION

- 1983 - 1984 Columbia University
Master of International Affairs - Finance
Course work at School of International Affairs and Business School.

- 1976 - 1980 Brown University
Bachelor of Arts – Semiotics-Writing

OTHER

- 2009 Published business book (under pseudonym) that, in part, explained the complex causes of the financial crisis.