

James R. Van Arsdale

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PROFESSIONAL PROFILE

Banking executive and expert witness with over 30 years of experience in private banking, credit underwriting, and lending practices for high- and ultra-high-net-worth clients. Former Head of Banking Solutions (International) at UBS AG, with direct responsibility for credit structuring, underwriting standards, and product governance across U.S. and cross-border markets.

Experience grounded in credit decision-making, underwriting oversight, and application of banking industry standards.

Retained as an expert witness in financial services matters involving lending practices, credit underwriting, and industry standards. Experience includes expert report preparation, deposition testimony, and arbitration testimony.

AREAS OF EXPERTISE

- Securities-based lending
- Credit underwriting and approval processes
- Banking industry standards and practices
- Cross-border lending and international banking
- Complex credit facilities (secured and unsecured)
- Risk management and credit governance
- Banking compensation structures and advisor conduct

EXPERT WITNESS EXPERIENCE

Expert Witness – Banking and Lending Matters (2025–Present)

Retained as an expert witness in matters involving lending practices, credit underwriting, and financial services industry standards.

Prepared expert reports and rebuttal reports addressing lending practices and credit decision-making.

Provided deposition testimony and arbitration testimony.

Analyzed complex financial records, credit files, and internal banking documentation.

Evaluated adherence to industry standards, underwriting practices, and fiduciary considerations.

Consulted with counsel on case strategy, document interpretation, and industry context.

PROFESSIONAL EXPERIENCE

UBS Bank USA / UBS AG – New York, NY

Head of Banking Solutions (International), Private Bank

Tailored Lending Manager & International Banking Lead

2008 – 2023

- Responsible for structuring and approval of complex secured and unsecured lending transactions for high- and ultra-high-net-worth clients, including cross-border credit facilities
- Held direct responsibility for credit underwriting standards, risk assessment, and transaction-level credit decisions
- Acted as senior subject matter expert advising financial advisors, risk partners, and executive leadership on appropriate lending structures and regulatory considerations
- Expanded lending portfolio from approximately \$1.2 billion to \$5.6 billion while increasing net lending revenue from \$10 million to \$70 million
- Drove growth in deposit platform revenues from \$24 million to \$130 million through pricing and balance sheet strategy initiatives
- Led intercompany transfer of approximately \$11 billion in deposits to optimize balance sheet utilization
- Served on Private Bank Management Committee and represented UBS AG on the Wealth Management Americas Asset and Liability Committee (ALCO)

- Provided cross-border lending guidance in coordination with international banking partners, including UBS Bank Canada

UBS Financial Services Inc.

Director, Regional Banking Sales

2003 – 2008

- Structured lending solutions including securities-based loans and mortgages
- Provided credit guidance to advisors and clients
- Achieved portfolio growth exceeding 250%

Summit Bank / Fleet Bank – New Jersey

Senior Vice President, Private Clients Group

1991 – 2003

- Managed lending, underwriting, and credit approval functions
- Oversaw team of 30+ professionals
- Structured complex lending transactions

The Bank of New York (BNY Mellon)

Assistant Vice President, Private Banking

1986 – 1990

EDUCATION

Master of Public Administration – Kent State University

Bachelor of Science, Finance – University of South Carolina

PROFESSIONAL AFFILIATIONS

FINRA Arbitrator

Advisory Board Member, Kent State University MPA Program

Sonoco Visiting Fellow in International Business, Darla Moore School of Business, University of South Carolina

PUBLIC SERVICE

Mayor, Green Brook Township, NJ

Township Committeeman

TEACHING & SPEAKING

Frequent lecturer on banking, lending, and risk management at the University of South Carolina's Darla Moore School of Business and other universities