



**US CAPITAL GLOBAL**  
ASSET MANAGEMENT & CORPORATE FINANCE



# JEFFREY SWEENEY

**SPEAKING ENGAGEMENTS AND PUBLICATIONS**

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# JEFFREY SWEENEY IN THE MEDIA

## JEFFREY SWEENEY CHAIRMAN & CEO



Jeffrey is a lifelong entrepreneur with extensive experience in leading firms with a forward-thinking approach. Currently Chairman and CEO of US Capital Global, a full-service private financial services group headquartered in San Francisco, Jeffrey is a keen supporter of technological innovations that can help to improve and grow the finance sector.

Now in its twentieth year, US Capital Global has established itself as a FinTech investment bank through deploying a successful strategy that leverages technological innovation (FinTech) and regulatory developments (RegTech). The group is a leading provider of sophisticated financing solutions and investment opportunities for lower middle market businesses. Under Jeffrey's leadership, the group consistently fulfils its commitment to doing well by doing good through facilitating profitable economic development that also has a positive social and environmental impact.

Prior to being a financier, Jeffrey served as a principal and CEO of Machine Works Corporation, a lower middle market aerospace manufacturing company. His experience leading a business in the highly-regulated aerospace manufacturing industry has led to his appreciation of the need to work

closely with regulators while adopting technological solutions to innovate in the sector. This successful approach has been brought over to US Capital Global, where leveraging innovation and regulatory developments has been a key driver in the firm's growth as a FinTech investment bank.

As an experienced speaker and panel chair, Jeffrey brings a dynamic yet structured approach to engaging the panel and the audience. He frequently presides over and participates in a variety of finance and FinTech events, and recent speaking engagements include:

- Commercial Finance Association (CFA)
- Turnaround Management Association (TMA)
- Equipment Leasing and Finance Association (ELFA)
- Euromoney Institutional Investor PLC
- Opal Group
- University of California, Santa Barbara Economics Club
- San Jose State College Economic Department

Jeffrey has also authored numerous articles in leading industry journals, such as ABF Journal, ABL Advisor, The Secured Lender, and The Fintech Times. He holds a bachelor's degree in Business Economics from the University of California, Santa Barbara, and is active in the Southern California and San Francisco chapters of ACG, TMA, CFA, and other financial organizations. He is an avid sailor, a certified yoga instructor, and a longstanding contributor to the San Francisco Food Bank and Food for Life Vrindavan, an educational nonprofit for girls based in Vrindavan, India.



## PUBLISHED ARTICLES BY JEFFREY SWEENEY



"The Theranos Securities Fraud Settlement...an easily avoidable financial and career train wreck for the founder"

**The Fintech Times** – April 2018

[www.thefintechtimes.com/the-theranos-securities-fraud-settlement/](http://www.thefintechtimes.com/the-theranos-securities-fraud-settlement/)



"A Fintech Investment Bank? Is that even a thing?"

**The Fintech Times** – December 2017

[www.thefintechtimes.com/fintech-investment-bank-even-thing](http://www.thefintechtimes.com/fintech-investment-bank-even-thing)



"Why Is Asset-Based Lending So Expensive? Comparing Cost Structures for ABL and C&I Loans"

**ABF Journal** – November/December 2017

[www.abfjournal.com/articles/why-is-asset-based-lending-so-expensive-comparing-cost-structures-for-abl-and-ci-loans](http://www.abfjournal.com/articles/why-is-asset-based-lending-so-expensive-comparing-cost-structures-for-abl-and-ci-loans)



"Banking on IP: An Insider's Perspective"

**ABL Advisor** – September 2017

[www.abladvisor.com/blogs/12633/banking-on-ip-an-insiders-perspective](http://www.abladvisor.com/blogs/12633/banking-on-ip-an-insiders-perspective)



"CFO Concerns: Adding 'Underbanked' to a Growing List of Challenges"

**ABF Journal** – Sept 2015

[www.abfjournal.com/articles/cfo-concerns-adding-underbanked-to-a-growing-list-of-challenges](http://www.abfjournal.com/articles/cfo-concerns-adding-underbanked-to-a-growing-list-of-challenges)



"Convergence of ABL: Cementing its Global Role"

**ABF Journal** – March 2015

[www.abfjournal.com/articles/convergence-of-abl-cementing-its-global-role](http://www.abfjournal.com/articles/convergence-of-abl-cementing-its-global-role)



"New Trends in Workouts: The Good, the Bad, and the Ugly"

**The Secured Lender** – October 2011

<https://uscapglobal.com/news/pdfs/NewTrendsInWorkout-JeffSweeney.pdf>



"Intelligent Workouts: Embracing a New Paradigm in Small Business Refinancing"

**The Secured Lender** – November/December 2010

<https://uscapglobal.com/news/pdfs/IntelligentWorkouts-JeffreySweeney.pdf>



"Passions: Jeffrey Sweeney, Yogi"

**Inc. Magazine** – April Joyner, Senior Reporter – March 1, 2009

[www.inc.com/magazine/20090301/passions-jeffrey-sweeney-yogi.html](http://www.inc.com/magazine/20090301/passions-jeffrey-sweeney-yogi.html)

## SPEAKING ENGAGEMENTS BY JEFFREY SWEENEY



### **Lessons Learned from Theranos**

*Squire Patton Boggs' San Francisco headquarters* – May 2018

Why is it risky to talk about your own deal when you do not have bankers on board? What are the key roles of lawyers and bankers in a raise, and how do they differ?



### **Jeffrey Sweeney, guest speaker**

*Activate 2018 Conference, Beverley Hills, CA* – May 10th

RegTech solutions for capital raises, efficacious fund and SPV structures, and how bankers are important in helping to protect both issuers and investors.



### **25th Annual European Pensions Symposium**

*Hotel Vier Jahreszeiten Kempinski in Munich, Germany* – February 1-3, 2017



### **Family Office Wealth Conference**

September 2016

Presentation by Jeffrey Sweeney: "Investing in Alternatives"



### **Monaco Growth Forums, Summer Edition**

*Le Meridien Beach Plaza Hotel in Monte Carlo, Monaco* – July 25-27, 2016

Jeffrey Sweeney spoke on the topic: "How to List or Finance Your International Company in North American Markets."



### **Santa Barbara Investment Forum**

*Santa Barbara Club* – April 13, 2016

Presentation by Jeffrey Sweeney: "Investing in Alternatives: Best Practices & Leading Strategies"



### **Monaco Growth Forums, Spring Edition**

*Le Meridien Beach Plaza Hotel in Monte Carlo, Monaco* – March 14-16, 2016

Jeffrey Sweeney delivered a formal presentation at the event as well as a keynote speech, in which he discussed best practices and investment strategies in alternatives and private placement opportunities.



### **Opal Financial Group's upcoming Family Office Winter Forum**

*New York Marriott Marquis, New York* – March 8, 2016

Jeffrey Sweeney spoke on a panel titled "Direct Investing/Co-Investing," where he discussed best practices and investment strategies in alternatives and private placement opportunities.



### **Opal Family Office and Private Wealth Management Forum in Napa Valley**

*West at the Napa Valley Marriott Hotel & Spa in Napa, CA* – October 28-30, 2015

Jeffrey Sweeney spoke on a panel titled "Investing in Alternatives," where he gave a short presentation on global investment trends and best strategies for the future.

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# EXECUTIVE MANAGEMENT



**JEFFREY SWEENEY**  
**CHAIRMAN & CEO**

The founder of US Capital Global, Mr. Sweeney has a strong entrepreneurial approach, which he has applied in the investment banking and equipment leasing

arena for over 20 years. In 1998, Mr. Sweeney purchased the assets of US Capital Corporation, a small equipment leasing company. Changing the focus of the company to asset-based lending and investment banking, Mr. Sweeney grew the business to over \$4 billion in funding opportunities each year. Today, he oversees a growing network of affiliated companies under the US Capital Global flagship brand.



**CHARLES TOWLE**  
**MANAGING PARTNER**

Mr. Towle has helped grow US Capital Global into a leading private financial group for small and medium-sized businesses in the U.S. A structured funding and corporate finance specialist,

Mr. Towle has over 15 years of business development, asset management, corporate finance, capital markets, and general business management experience. Prior to US Capital Global, Mr. Towle gained extensive entrepreneurial and investment experience, serving as a limited partner, financial officer, or board member of various investment and endowment funds and small and medium-sized businesses, both in the U.S. and abroad.



**JAMES BATY, PH.D.**  
**PARTNER**

Dr. Baty is a specialist in the design, implementation, and management of large-scale distributed information technology. With 20 years of practice in the industry, Dr. Baty has served as the lead

architect for multiple national ISP systems with up to several million users, for a major Internet stock brokerage system, for global messaging networks for international banks, and for the reliability design of a multi-continent international financial trading system for international financial institutions. He has provided performance and capacity consulting for some of the Internet's highest volume transaction systems.



**PATRICK STEELE**  
**PARTNER, ASSET MANAGEMENT**

Mr. Steele is responsible for all aspects of US Capital Global's wealth management services, investment advisory services, and client relationship management. Mr. Steele is a financial

services professional with more than 30 years of experience. Before joining US Capital Global, Mr. Steele was a Managing Director at First Republic Bank's investment management group. He also held positions as a Senior Vice President at Bernzott Capital Advisors and as a Regional Officer at The AYCO Company, a Goldman Sachs subsidiary.



**ISH SPENCER**  
**PARTNER, CORPORATE FINANCE**

Mr. Spencer is responsible for directing all aspects of US Capital Global's nationwide Corporate Finance business origination program, business development, underwriting of commercial loans,

and client relationships. Mr. Spencer brings extensive multi-disciplinary experience to US Capital Global, including special expertise in particular verticals, such as healthcare, technology, and manufacturing. He oversees US Capital Global's deal teams at the group's San Francisco headquarters, made up of banking professionals, business analysts, and underwriters.



**J. ALFRED RITTER**  
**PARTNER, CORPORATE FINANCE**

Mr. Ritter is responsible for all aspects of US Capital Global's debt and equity business development, advisory services, client negotiations, and relationship management. Prior to US Capital

Global, Mr. Ritter was a Managing Director at Columbia Capital Advisors, Inc. and Columbia Capital Securities, Inc. He brings extensive investment banking, operational, and entrepreneurial experience with emerging growth and middle market companies in the security, consumer products, and media and entertainment industries.



# US CAPITAL GLOBAL IN THE MEDIA

US Capital has been quoted and featured in leading publications including:

OPERATED BY FINTECHNEWS.COM  
**THE FINTECH TIMES**  
THE WORLD'S FINTECH NEWSPAPER | THEFINTECHTIMES.COM

**FORTUNE**

**abfjournal**

**ABLADVISOR**

**BUSINESS NEWS DAILY**  
A guide for startups & small businesses

**MERGERS & ACQUISITIONS**

**manex**

**WALL STREET JOURNAL**

**Bloomberg Businessweek**

**Inc.**

The Secured  
**Lender**

The  
**HedgeFund**  
LAW REPORT

If you're interested in inviting Jeffrey Sweeney to speak at your event or would like him to write an article for your publication, please call us on **+1 415 889 1010** or email us at [media@uscapglobal.com](mailto:media@uscapglobal.com)



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