# Hee Jung SHIM

Korean Attorney

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Ms. Hee Jung Shim is a Partner in the Finance Group and heads the Financial Regulation Group. She advises clients on financial regulations, M&As and overseas expansion of financial institutions, financial disputes, general corporate matters and compliance management.

Since 1998, Ms. Shim has advised on diverse financial transactions for prominent Korean and foreign financial institutions, involving the establishment and merger of financial holding companies, securities firms and asset management companies. Ms. Shim is also a renowned expert in financial regulatory matters and response to investigations by financial supervisory authorities.

From 2007 to 2012, Ms. Shim was General Counsel at Standard Chartered Bank Korea where she advised on a wide range of legal issues pertaining to the business of financial institutions such as the development of new business lines, establishment of financial holding companies, development of new financial products and disputes involving the sales of investment products. She also took a leading role in the mass financial litigations on fund and KIKO sales. She possesses first-hand, in-depth and extensive consultative experience as a compliance officer on internal controls and compliance management of financial institutions.

Ms. Shim has laid the foundation for innovation of internal control systems of financial companies while serving as an advisor for the Banking Sub-Committee of the Financial Supervision Advisory Committee of the Financial Supervisory Service from 2016 until 2018 and a member of the Task Force Committee for Internal Control Innovation of Financial Institutions of the Financial Supervisory Service from 2018.

Ms. Shim has published several dissertations, including such titles as the ‘Status and Duties of a Seller in Terms of

Securities Investment Trusts' and 'Review of KIKO Decisions'.

Ms. Shim holds an LL.B. from Seoul National University and LL.M. from Columbia Law School.

She is a member of the Korean and New York Bars.

# Education

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| 2012-2013 | Visiting Scholar, University of California at LA (UCLA) |
| 2005 | Columbia Law School (LL.M.) |
| 1994 | Seoul National University (LL.B.) |

# Experience

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|---|---|
| 2013-Present | JIPYONG LLC (Partner) |
| 2020-Present | Secretary General, Legal Compliance Monitoring Committee of Samsung |
| 2018 | Member, Task Force Committee for Internal Control Innovation of Financial Institutions under the Financial Supervisory Service |
| 2016-2019 | Advisor, Banking Subcommittee, Financial Supervision Advisory Committee, Financial Supervisory Service |
| 2007-2012 | Head of Legal & Compliance Consumer Bank, Standard Chartered Bank Korea |
| 2000-2007 | Associate, Kim & Chang |
| 1998-2000 | Associate, Shin & Kim |
| 1998 | Judicial Research and Training Institute, Supreme Court of Korea |

# Notable Achievements

- Advised Shinhan Bank on establishment of a branch office in Myanmar for the first time as a Korean bank
- Advised SK Holding on sale of equity in SK Securities
- Published a guidebook on collateral laws of South-East Asian countries for a Korean bank
- Advised SK Holding on financing for investment in a U.S. midstream company
- Advised a Korean financial company on response to examination by the Financial Supervisory Service
- Advised a shareholder of a listed Korean company on unfair transaction investigation by the Financial Supervisory Service

# Honors and Recognitions

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| 2017, 2019, 2021-2023 | Leading Lawyer in Securities and Finance Practice, Legal Times |

## Speaking Engagements and Publications

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| 2023 | Financial Consumer Protection Act Commentary (Co-author), Pakyoungsa |

## Bar Admissions & Qualifications

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|---|---|
| 1998 | Korea |
| 2009 | New York |

## Languages

Korean / English

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