SHIN & KIM

Investment Company

Capital market participants—including securities firms, asset management companies, and trust companies—play diverse and critical roles in market transactions. These institutions handle a broad range of financial investment products and maintain direct legal relationships with investors and financial consumers. As such, they require precise, comprehensive, and commercially practical legal support.

At Shin & Kim, we provide a full spectrum of legal services to financial investment companies. Our services include advising on responses to regulatory inspections and enforcement actions, internal compliance matters, and licensing and registration requirements. We also advise on transaction structures involving financial investment companies, provide legal solutions for the development, distribution, and management of new financial investment products, and offer consulting on internal control systems—including internal regulations—aligned with developments in capital markets laws. In addition, we assist with requests for authoritative interpretations of capital markets regulations, conduct comparative legal research on foreign jurisdictions (including the United States and Japan), and coordinate closely with leading international law firms.

We place particular emphasis on achieving optimal outcomes by combining rigorous legal analysis with a practical understanding of market dynamics and stakeholder interests. To this end, we maintain a collaborative network with professionals from financial investment companies, as well as with key institutions such as the Financial Services Commission (FSC), the Financial Supervisory Service (FSS), the Korea Exchange, and the Korea Financial Investment Association.

Building on this integrated approach, we are committed to delivering reliable, timely, and high-quality legal services grounded in a comprehensive understanding of the financial investment industry, enabling our clients to achieve the best possible outcomes.

Key Services

Our services for investment companies include:

- Advising on responses to regulatory inspections and enforcement actions by financial supervisory authorities
- Providing guidance on internal compliance matters
- Assisting with licensing and registration processes with financial regulators

- Structuring and advising on transactions involving financial investment company participation
- Delivering legal solutions for the development, distribution, and management of new investment products
- Supporting updates to internal control systems, including internal regulations, in line with amendments to capital markets laws and regulations
- Assisting with requests for authoritative interpretations of capital markets laws and regulations
- Conducting comparative research on foreign legal systems (e.g., the United States and Japan) and coordinating with international law firms

Experience

- Advising on and responding to regular and ad hoc inspections by financial supervisory authorities
- Representing clients in inspection and sanction proceedings concerning violations of internal control requirements under the Act on Corporate Governance of Financial Companies
- Advising on inspections, enforcement actions, and related litigation involving alleged mis-selling of financial investment products
- Assisting with the licensing and registration of financial investment businesses
- Advising on the operations of comprehensive financial investment business operators
- Supporting the establishment, registration, management, and transaction structuring of (institutional) private equity funds (PEFs)
- Advising on approvals for changes in major shareholders and equity ownership under the Act on the Structural Improvement of the Financial Industry, as well as related registrations and reporting obligations
- Assisting with the establishment and operation of new technology business investment partnerships
- Advising on information barrier (Chinese wall) requirements and conflict-of-interest prevention under the Financial Investment Services and Capital Markets Act
- Providing guidance on compliance with the Foreign Exchange Transactions Act
- Representing clients in investigations involving alleged unfair trading practices, including insider trading and market manipulation, as well as violations of disclosure obligations such as failure to file securities registration statements

Key Contacts

Seongkoo Cheong
Partner

+82-2-316-4763
skcheong@shinkim.com

Sungdeok Nam
Partner

+82-2-316-4093
sdnam@shinkim.com

Siwoun Jin
Advisor

+82-2-316-1741
swjin@shinkim.com

Jongki Kim
Partner

+82-2-316-4271
jkkim@shinkim.com

Hyun-il Hwang
Partner

+82-2-316-4453
hihwang@shinkim.com

Yun Ho Choi
Partner

+82-2-316-1671
yhchoi@shinkim.com

Bom Sok Baek
Partner

+82-2-316-1713
bsbaek@shinkim.com

Awards and Rankings

- Ranked Band 1 Law Firm for Banking and Finance
  Chambers Global / Chambers Asia 2014-2026
- Ranked Tier 1 Law Firm for Banking and Finance
  Asia Pacific Legal500 2013-2019, 2024-2026
- Ranked Tier 1 Law Firm for Banking and Finance
  IFLR1000 2022-2026
- Banking and Financial Services Firm of the Year
  Asialaw Asia-Pacific Legal Practice Awards 2019

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