



Jongki Kim

Partner

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Mr. Jongki Kim is a partner at Shin & Kim, mainly practicing in the areas of financial institution examinations and sanctions, advisory services related to asset management and investment consulting firms, and response to unfair transactions in the capital market.

Mr. Kim joined the Financial Supervisory Service in 2008, and until his retirement in 2022, worked in the Asset Management Examination Department, the Hedge Fund Manager Examination Office, the Capital Market Investigation Department, the Foreign Bank Examination Office, and the Planning and Coordination Department, among others, handling inspection and sanctions against asset managers, investment advisors, real estate trust companies, and foreign banks, as well as examination and sanctions against unfair transactions in the capital market, legislative support to the National Assembly, and government affairs.

In particular, Mr. Kim was dispatched as the FSS expert examiner upon the launch of the Securities Crime Joint Investigation Team at Seoul Central District Prosecutors' Office in 2013, and provided examination and investigation services and support on unfair transaction cases in capital markets for around two years.

Professional Career

2022-Present	Shin & Kim LLC
2022	Hedge Fund Manager Examination Office, Financial Supervisory Service (FSS)
2021-2022	Planning and Coordination Department, Financial Supervisory Service (FSS)
2015-2018	Asset Management Examination Department, Financial Supervisory Service (FSS)
2014-2015	Securities Crime Joint Investigation Team, Seoul Southern District Prosecutors' Office
2013-2014	Securities Crime Joint Investigation Team, Seoul Central District Prosecutors' Office
2012-2013	Foreign Bank Examination Office, Financial Supervisory Service (FSS)

2010-2012 Capital Market Investigation Department 2, Financial Supervisory Service (FSS)

2008-2010 Capital Market Service Department, Financial Supervisory Service (FSS)

Professional Affiliations

2025-Present Outside Director, Hanpass Inc.

2023-Present Outside Director, Korea Management Registrar Inc.

Key Experience

Financial Authority Audit/Sanctions Defense

- Private equity fund management audit defense for I Asset Management
- Private equity fund management (of real estate funds, etc.) audit defense for A Asset Management
- Private equity fund management audit defense for L Asset Management
- Private equity fund management audit defense for K Partners
- Private equity fund management audit defense for H Asset Management
- Regular audit defense for N Asset Management
- Private equity fund management (of real estate funds, etc.) audit and sanctions defense for K Asset Management
- Private equity fund management (of real estate funds, etc.) audit and sanctions defense for C Asset Management
- Private equity fund management (of real estate funds, NPL funds, etc.) audit and sanctions defense P Asset Management
- Regular audit defense for V Asset Management
- Fraud audit and sanctions (against embezzlement) defense for W Bank
- Fraud audit and sanctions (against improper sales of Fund P) defense for W Bank
- Tech Credit Bureau (TCB) audit and sanctions defense for Company E

Financial Authority Dispute Defense

- Defense in dispute mediation over improper sales of H Fund for H Bank
- Defense in dispute mediation over improper sales of specified monetary trust incorporated in P Fund for S Life Insurance

Unfair Trade Practices Investigation Defense

- Defense in the investigation of the unfair trade practice of Company K's use of non-public information, etc.

Legal Advice on Financial Authority Regulations and Policies

- Advised S Securities on overseas investment structure
- Advised H Partners on the revision of bylaws
- Advised K Securities on the disposition of its unique properties, management of credit information, and launching of new products
- Advised S Asset Management Company on legal due diligence and contract drafting in relation to the establishment and investment of a new technology business investment fund
- Advised V Asset Management on advertising regulations
- Advised Q Asset Management on new fund investment structures
- Advised P Asset Management on conflicts of interest between funds
- Advised B Asset Management on regulatory issues under the Capital Markets Act, such as preventing conflicts of interest and information blocking
- Advice M Asset Management on fund repurchases
- Advised V Asset Management on profit structures of public offering funds
- Advised H Securities Firm on information blocking
- Advised D Securities Firm on the designation as a comprehensive financial investment business entity
- Advised D Securities Firm on organizational reform, professional workers' requirements, and concurrent positions
- Advised K Securities Firm on the disposal of holding assets in the issued bill of exchange accounts
- Advised M Securities Firm on the reporting of financial accidents
- Advised M Securities Firm on professional workers' requirements
- Advised D Securities Firm on the security of liquidity for selling products
- Advised D Financial Investment Firm on the change of major shareholders
- Advised I Bank on the collection of sales commissions
- Advised H Bank on the management of securities collateral trust bonds

Career Experience at the Financial Supervisory Service

- Led administrative sanctions (cancellation of corporate registration, recommendation for dismissal of executives, and imposition of fines) and supported prosecutorial investigation by conducting fund tracing and on-site inspection for a large-scale multi-level financial fraud of Isoom Investment Consulting Service
- Led on-site inspections on Samsung SRA, IGIS, Mirae Asset, and Kiwoom Investment Asset Management's real estate fund-related investment selection, commission payment, risk factor control, and internal control to draw points of consideration and improvement for business management
- Investigated violations of the Monopoly Regulation and Fair Trade Act by Mirae Asset Global Investments and sent the findings to the Fair Trade Commission

- Led on-site inspection of Kyobo AXA Asset Management, Hi Asset Management, Meritz Asset Management, and Franklin Templeton Asset Management's fund liquidity management status to draw points of improvement and impose administrative sanctions
- Authored <Liquidity management status of public offering funds in Korea and improvement of equity among fund investors in the event of mass redemption>, including plans to introduce the swing pricing system in Korea based on the findings on the fund liquidity management status and procedures of large asset management companies in Korea
- Led on-site inspections of Tiger Asset Management, Petra Asset Management, Susung Asset Management, and Rhinos Asset Management's internal control status to draw points of improvement
- Analyzed the operating status of the robo-advisory systems of quarterback Asset Management, Value System Asset Management, and December & Company Asset Management
- Led on-site inspections of Korea Real Estate Trust, Hana Asset Trust, Daehan Land Trust, and KORAMCO REITs & Trust on the business management, fund management, internal control, and asset quality management status of the borrowed land trusts to draw points of improvement
- Led on-site inspections of Korea Asset in Trust, Asia Trust, International Asset Trust, and Korea Trust on the overall management status of profit-type land trusts to draw points of improvement
- Led on-site inspections of Korean branches of foreign banks such as ING Bank, Deutsche Bank, BNP Paribas Bank, and Bank of America to draw points of improvement
- Analyzed the spot trading and futures positions of Deutsche Bank for the large-scale spot and futures-related market price manipulation case (the 'Deutsche Option Shock' incident) and led on-site inspections in Korea and Hong Kong to sanction and prosecute the suspects
- Led investigations of many market price manipulation cases related to interim valuation and maturity dates of securities companies issuing Equity-Linked Securities (ELS) to report to and notify the prosecution
- Dispatched to the Securities Crime Joint Investigation Team and engaged in many cases of market manipulation, fraudulent illegal transactions, embezzlement, and accounting fraud, detecting suspicious unfair transactions, analyzing trading order patterns, tracking funds, making seizures and searches, and supporting for arrest to collaborate with the prosecution service throughout the entire process
- Cooperated with legislative investigators of the Office of the National Assembly and the Political Affairs Committee Submission through data submission and inquiry of opinions, etc., for revision of the laws and regulations under the jurisdiction of the Financial Services Commission (or Financial Supervisory Service), such as the Capital Markets Act, Electronic Financial Transactions Act, and Specific Financial Information Act, and for enactment of the relevant laws and regulations such as the Virtual Assets Act
- Identified major issues in the financial industry and the financial market for inspection of the administration and business reports to the National Assembly, responded to data requests from the National Assembly, and established cooperative relationships with the National Assembly members' offices and major financial institutions

Education

2018-2021	Hankuk University of Foreign Studies Law School (J.D.)
2001-2008	Seoul National University College of Social Sciences (B.A. in Economics)

Qualifications

2025	Passed the TPAC (Test of Proficiency in Anti-Money Laundering & Countering the Financing of Terrorism)
2021	Admitted to bar, Korea

Languages

Korean, English

Awards

2015	Award from the governor of the FSS
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