SHIN&KIM 法務法人(有) 世宗



陳是源

Advisor

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Since Mr. Siwoun Jin joined Shin & Kim in 2022, he has been providing practical advice in the field of financial regulations, and his practice focuses on funds, trusts, foreign exchange, unfair trade investigations, and corporate disclosure.

Mr. Jin graduated from Seoul National University College of Law (LL.B.) and worked at the Financial Supervisory Service for about 14 years. During his career at the Financial Supervisory Service, he handled various financial supervisory roles in the Corporate Disclosure Department, Capital Market Investigation Department, Foreign Exchange Supervision Department, Complex Financial Products Supervision Department, and Asset Management Supervision Department and was seconded to the International Organization of Securities Commissions (IOSCO) in Madrid, Spain, as an Enforcement and Cooperation Advisor from 2017 to 2018.

経歴

2022-Present	Shin & Kim LLC
2019-2021	Asset Management Supervision Department, Financial Supervisory Service (FSS)
2017-2018	MMoU team, International Organization of Securities Commissions
2016.2-2016.12	Internal Inspection Division, Financial Supervisory Service (FSS)
2014-2016	Complex Financial Products Supervision Department, Financial Supervisory Service (FSS)
2012-2014	Foreign Exchange Supervision Department, Financial Supervisory Service (FSS)
2010-2012	Capital Market Investigation Department, Financial Supervisory Service (FSS)
2008-2010	Corporate Disclosure Department, Financial Supervisory Service (FSS)

主な実績

Response to Financial Institution Inspections and Sanctions

- Advised Asset Management Company S on responding to periodic inspections and sanctions
- Advised Asset Management Company C on responding to inspections related to the management of private equity funds such as real estate funds.
- Advised Asset Management Company P on responding to inspections related to the management of private equity funds such as real estate funds and NPL funds
- Advised Asset Management Company V on responding to periodic inspections and sanctions

Response to Financial Institution Disputes

- Advised Bank H on dispute procedures with a trustee in connection with the sale of Fund O
- Advised Securities Company H on responding to dispute procedures with a client in connection with the mis-selling of a private equity fund
- Advised Securities Company S on responding to dispute procedures with a client in connection with the rejection of short selling orders
- Advised Asset Management Company S on dispute procedures related to the suspension of redemptions in a private equity fund

Response to Investigations into Unfair Trading Practices

- Advised KONEX-listed Company C in response to an investigation into alleged violations of the Capital Markets Act, including unfair trading practices

Advice on Financial Institution Operations

- Advised Fund Online Korea in connection with its business partnership with Samsung Pay service
- Conducted research on amendments to the Foreign Exchange Transactions Act for the Korea Financial Investment Association
- Advised a number of asset management companies including Pine Tree Asset Management and DS Asset Management on internal controls (information exchange barriers, etc.)
- Advised WiseMen Investment Management on registration of general private equity fund business
- Advised Pine Tree Asset Management on investment approval
- Advised Igis Asset Management on real estate funds
- Advised Samchully Asset Management on the Foreign Exchange Transactions Act

- Advised Inmark Asset Management on the Foreign Exchange Transactions Act
- Advised Mirae Asset Life Insurance on trust business
- Advised NH Investment & Securities on internal control in connection with the establishment of PE department
- Advised VIP Asset Management on the establishment of private fund of funds
- Advised KB Securities in connection with paid-in capital increase in REITs
- Advised Korea Real Estate Investment and Trust and Mugunghwa Trust on real estate trust business

Research and Institutional Improvement

- Conducted research for the Financial Services Commission (mandatory tender offer and disclosure obligations of executives)
- T/F to improve the trust business system of the Financial Services Commission (introduction of trust beneficiary securities, family succession trust, etc.)
- Conducted research for the Korea Financial Investment Association (improvement of the regulatory system for securities-type digital assets)

Experience at the Financial Supervisory Service

- T/F to amend the Capital Markets Act (articles related to private equity funds) in 2021
- T/F to improve the fund reference price
- Established fiduciary acceptance guidelines and asset reconciliation guidelines
- Established a product disclosure statement format for a private equity fund
- T/F to establish fair value guidelines for collective investment property
- Revised trust business reports
- Approved new real estate trust companies in 2019 (3 companies)
- Investigated violations of the Foreign Exchange Transactions Act by asset management companies

学歴

2000 Seoul National University, College of Law, Seoul, Korea (LL.B.)

言語

Korean, English

外部評価

- Equity Market Deal of the Year - SK Hynix Nasdaq Offering, ALB Korea Law Awards, 2026

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