

REBECCA J. WING

SUMMARY

Board of Directors member known for leveraging strong business acumen, strategic vision, and operations/risk management/legal/compliance knowledge to grow private and public businesses organically and through mergers and acquisitions. Qualified SEC Financial Expert with regulatory compliance expertise.

OF NOTE

Direct Women Board Institute: corporate board certifications for highly select women lawyers

Chicago Finance Exchange: Co-Chair, major initiative for invitation only top 250 Chicago women finance leaders

Private Directors Association®: Founding Member and VP, Operating Committee for Executive National Board

National Association of Women Lawyers: "Women on Boards" (2019) speaker

Women, Influence, & Power in Law®: "Risk Management" (2018) speaker

National Directors Institute Executive Exchange: "When Disaster Strikes (Crisis Management)" (2016) speaker

Goldman Sachs 10,000 Small Businesses Program: "Advisory Boards" (2016) speaker

Private Directors Association® (PDA): **National Chief Compliance Officer and Founding Member** of a corporate governance, nonprofit trade association.

Arbitrator, arbitrator for FINRA, NADEX Exchange and OneChicago, LLC,

PROFESSIONAL ACCOMPLISHMENTS

As part of a 12-person management team, led Firm to dominant industry position with 40% of retail sales; increased revenues from \$2M to over \$32M annual retail sales.

Added \$1.1B+ in assets under management to Firm's overall value via asset acquisitions of four global commodity brokerage firms.

Directed business activities of 362 employees in 80+ countries including Canada and China with 29 affiliate companies and subsidiaries, five foreign entities in the financial sector.

Key decision-maker in the ongoing management and operations of several companies. Assumed full responsibility in developing policies and procedures addressing each unique business and regulatory environment.

Supervised/managed business, legal, and compliance risks associated with 12+ mergers, including upstream mergers, reverse merger and asset purchases. Created and managed 25+ major joint ventures with multiple parties. Led the teams responsible for successful integration of the companies.

Took a technology private company public.

Established compliance infrastructure for domestic and international broker dealers, registered investment advisers, commodity pools, and a mutual fund. Partnered with business units to ensure effective internal control procedures and governance.

Provided risk management and subject matter expertise on money laundering, terrorist financing, financial crimes and economic sanctions, and document action plans with recommendations for closing gaps and enhancing internal controls.

Collaborated with Information Technology and other functional areas to develop and modify processes to address identified risk, including but not limited to cyber-attacks. Managed the investigation of multiple international cyber crimes and data breaches.

Managed enterprise/compliance risk under Dodd-Frank, SEC, CFTC, FINRA, NFA, FCA, AML, and employment regulations. Responsible to implement change management associated with risk identified.

Supervised the investigation of SEC, FINRA, CFTC, NFA IIROC, BaFIN and Chinese regulatory inquiries and examinations, as well as IRS and Department of Labor audits. Assessed the relevant facts and supervisory systems in place.

CAREER HISTORY

REDEMPTION BOTANICALS GROUP, INC.

2019

– present

A start-up cannabis social impact incubator that partners with organizations to develop workforce development, education, and training for social equity applicants in the cannabis industry.

GENERAL COUNSEL, DIRECTOR & CORPORATE SECRETARY

LW LANDS CORP

2015 - present

A start-up real estate investment and development firm

CHIEF OPERATING OFFICER, GENERAL COUNSEL & CORPORATE SECRETARY / FOUNDER

PFGBEST

1997 – 2015

An international retail-focused financial brokerage services and technology conglomerate

GENERAL COUNSEL

BELLOWS AND BELLOWS,

1988 - 1997

A boutique financial service law firm

PRINCIPAL

EDUCATION

Bachelor of Science, Finance, Illinois State University;
Juris Doctorate, University of Denver Sturm College of Law.