

## REBECCA J. WING



### SUMMARY

**Private company and mutual funds 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.*

### 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

**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

**Global Outsourcing Association of Lawyers Conference:** “Law Departments’ Alternative Fee Arrangements” (2014)

### EXPERIENCE

**LW LANDS CORP / REBECCA J. WING, ATTORNEY AT LAW**

2015 - present

*A start-up real estate investment and development firm / Outsourced General Counsel services*

**CHIEF OPERATING OFFICER & GENERAL COUNSEL & CORPORATE SECRETARY / FOUNDER**

Started firms: oversaw formation, strategic planning, corporate governance, and asset and investment protection.

For LW Lands: Identify investment opportunities throughout the U.S. Assess feasibility of property acquisitions; ensuring risks are calculated and managed while revenue streams are maximized. Establish joint ventures and business partners for clients.

For Rebecca J. Wing, Attorney at Law:

Provide legal, compliance, and operational advice to clients, who are primarily portfolio companies in the financial services, real estate, construction, or manufacturing industries. Handle all phases of corporate law and litigation from opportunities assessment to corporate and legal entities formation, asset acquisition, employment issues, and litigation.

Representative Engagements:

- Raised capital from global conglomerate for acquisition of a Fortune 50 commercial property valued at over \$250M.
- Secured funding from a global hedge fund for the acquisition of a \$60M multi-family property.
- Establishing for three major commercial firms three separate joint venture real estate investment projects.
- Represented a global financial services client during that firm’s acquisition of another global financial services company via a stock purchase agreement.
- Engaged by a national broker-dealer to advise and represent during regulatory investigations—closed investigations and resulting litigation was resolved in client’s favor.
- Successfully resolved a NFA arbitration against a global commodity pool operator.
- Negotiated employment agreements for C-Suite executives, gaining more than clients’ initial expectations.
- Created contracts, business plans, and handled litigation for a local manufacturer that was then able to continue growing business based upon advice and results delivered by RJ Wing.

**PFGBEST, Chicago, IL**

1997 - 2015

*An international financial services and technology private conglomerate*

**GENERAL COUNSEL**

As key decision-maker in ongoing management and operations, directed activities of business with 362 employees in over 80 countries with 29 affiliate companies and subsidiaries, including five foreign entities; a futures commission merchant; a mutual fund; U.S. retail, online, and foreign broker/dealers; registered investment advisers; commodity pool operators; a renewable energy company; a precious metals trading firm; foreign currency trading firms; a U.S. and foreign commercial construction firm; marketing companies; restaurants; a charitable foundation; a private aviation company, and a financial publisher. Managed budgets and internal and external legal resources globally.

**EXPERIENCE (continued)****PFGBEST** (continued)

1997 - 2015

*An international financial services and technology private conglomerate***GENERAL COUNSEL** (continued)

Led growing internal Legal and Compliance Department; managed hundreds of outside counsel assignments.

In charge of rules and regulations compliance, including: SEC, FINRA, CFTC, NFA, OSC, IROC, and BaFin.

Responsible for all aspects of submission filings to regulators, including SEC and state securities commissioners.

- Drafted/negotiated/standardized 100k+ key business contracts, including IT and software agreements.
- Managed enterprise risk including compliance under FCPA, Dodd-Frank, SEC, CFTC, SOX and FCC regulations.
- *Successfully defended over 200 cases worldwide seeking in excess of \$735M in damages, with an impressive win rate.*
- Supervised/managed legal, compliance, and business risks associated with 12+ mergers, including upstream mergers, reverse merger and asset purchases and joint ventures. Led the teams responsible for successful integration of the companies. Profitably sold a large number of major divisions and assets throughout tenure.
- Added over \$1.1B in assets under management to Firm's overall value through the asset acquisitions of four commodity brokerage firms located globally.
- Negotiated three major regulatory investigations with minimal fines, constraints, and no reputational harm.
- Managed investigation of multiple international cybercrimes and data breaches. Cooperated with FBI in prosecuting offenders and worked with IT to strengthen defenses, minimizing the number of future incidents.
- Drafted offering memorandum, in charge of compliance, and was part of three-person executive management team for a standalone mutual fund registered investment firm ranked #1 by Morningstar in its Equity Precious Metals Funds.
- As part of a 12-person management team, led Firm to dominant industry position with 40% of sales; increased revenues from \$2M to over \$32M annual sales; and developed customer account agreements that became the standard for the industry.
- Formed over 15 commodity pools valued at over \$1.5B: drafted prospectus, supervised preparation and registration of the 15 private placement offerings and post offering filings with SEC and its foreign equivalents, and conducted blue sky compliance.
- Created and participated as the executive representing management performing all legal functions, for eight domestic and international broker/dealers (FCMs), nine RIAs and three FX/precious dealers.
- Represented five financial publishers and/or financial education firms, including SFO magazine.
- Handled legal matters for three stand-alone fine dining restaurants, one domestic/one global construction firm and one renewable energy firm.

Started career as:

- **General Counsel for family-owned retail lumberyard, hardware store, residential real estate developer:**
  - Negotiated a full recovery on a \$1M+ disputed insurance claim.
  - Managed several complex real estate ventures.
- **Principal and Attorney for a boutique law firm specializing in corporate governance and complex litigation:**
  - Prepared IPO that resulted in private telecom company attaining public company status.
  - Handled employment disputes, including a large higher education employment discrimination class action.
  - Prepared SEC prospectuses for securities offerings and quarterly filings; litigated securities fraud cases.

**EDUCATION****JD**, University of Denver Sturm College of Law, Denver, CO**BS, Finance**, Illinois State University, Normal, IL