



ARBITRATOR'S INFORMATION

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WORK EXPERIENCE

03/01/2012 to 18/04/2013 South East Asia Bank (SeABank) - Vietnam

Chief Legal & Compliance Officer

Responsibilities

- Provide legal advice for Management/Business Units/Subsidiaries;
- Keep the bank updated with legal developments;
- Represent the bank in in-court/out-of-court dispute settlement;
- Draft/review & negotiate contracts;
- Draft/review & ensure compliance of the bank's policies/procedures/products;
- Develop/maintain a database of templates/contracts/legal documents;
- Maintain relationship with Government authorities/agencies;
- Handle debt collection activities.

Achievements:

- Introduce the service culture in the Legal Department;
- Issue a first ever set of collateral agreement templates, advanced versions of credit and guarantee agreement templates, and various other templates to optimally protect SeABank rights and interests;
- Set up a first ever computerised client service/work management system for the Legal Department;
- Establish/Manage an effective internal delegation of power system.
- Keep the bank legally sound and compliant

02/05/2008 to 31/12/2011 Vietnam International Commercial Bank (VIB) -

Vietnam

Chief Legal & Compliance Officer



Responsibilities

Legal consultation and support to bank

- Provide legal advice for Management/Business Units/Subsidiaries;
- Keep the bank updated with Vietnam's legal development;
- Ensure the availability of legal information needed by internal customers (product management, branch expansion, HR policies etc);
- Advise/Represent the bank in in-court/out-of-court dispute settlement;
- Draft/Review/Negotiate business documents/contracts;
- Handle debt collection activities.

Legal/compliance framework development

- Ensure the bank policies/procedures/products comply with Vietnamese laws;
- Draft/Verify the bank policies/procedures/products;
- Develop/Maintain within the bank a legal database.
- Implement and enhance the Bank's compliance framework, in line with industry best practices;
- Assist Management/BUs/Subsidiaries in updating, communicating, and documenting all policies, procedures and products;
- Develop/Maintain a database of documents/contracts.

Legal/compliance implementation

- Provide BUs/Subsidiaries with guidance on corporate governance issues;
- Facilitate the development of systems for operational compliance;
- Monitor discretionary powers and reconciliation of prudential limits;
- Assess day-to-day compliance of Treasury operations, (compliance with market/credit risk, operational risk and ALCO policies);
- Oversee the AML operations of the Bank;
- Maintain relationship with Government authorities/agencies.

Achievements:

- Set up a compliance control board regarding: legal risk compliance, contractual commitment compliance and internal regulation compliance;
- Set up/Run the AML function and set up the first in Vietnam automated AML database;



- Close out the M&A deal with CBA and successfully run the full compliance with commitments;
- Successfully assist the bank do the business well given its low capital base;
- Enhance compliance culture throughout the Bank;
- VIB documents have successfully helped protect its rights and interests at court;
- Advise VIB on obtaining Moody's rating;
- Advise VIB on obtaining a US\$ 50 million unsecured loan from IFC;
- Advise VIB in signing Trade Finance Facility Agreements with IFC and ADB;
- Advise VIB on issuing US\$ 500 million international bonds;
- Advise VIB on issuing VND 1,330 billion domestic bonds;
- Advise VIB in numerous due diligences conducted by potential foreign bank buyers;
- Act as Internal Deal Advisor for VIB in successful sales of VIB 20% equity to the Commonwealth Bank of Australia (sell side);
- Advise VIB on a Strategic Planning Consultancy Agreement with the Boston Consulting Group (BCG), and on follow-up initiatives/activities;
- Advise VIB on a rebranding strategy consultancy agreement with InterBrand, and on follow-up activities;
- Advise VIB in numerous lending transactions, including syndicated loans both as co-lender and lead manager;
- Advise VIB in numerous deals with business partners (suppliers, sponsors, contractors, etc);
- Advise VIB in numerous investment deals;
- Advise VIB in numerous loan restructuring, debt collection and selling transactions;
- Advise VIB on numerous FX and derivative transactions, including ISDA agreements;
- Set up and leading the AML operations of VIB – the 1st in Vietnam;
- Advise on the establishment of would-be VIB Gold Exchange and service agreements with relevant contractors;



- Advise VIB on the establishment and operation of its asset management subsidiary, VIBAMC;
- Take an active role in various committees/councils in VIB, e.g.: Product Committee, Anti-Money Laundering Committee (Vice-Chairman), NPL Management Committee, and Credit Committee.

17/10/2007 – 30/04/2008 Indochina Legal

Senior Associate

Responsibilities

- Advise and represent clients on Vietnam laws, particularly in the field of foreign investment, corporation, taxation, banking & finance, land, and dispute resolution.

Achievements:

- Advise on the restructuring of a group of foreign-owned companies;
- Advise on the establishment and operation of the operator of Cai Mep Terminal Link;
- Advise on acquisition of a finance leasing joint-venture company (buy side);
- Conduct legal due diligence for acquisition of 20% of Bao Viet Insurance Group (buy side);
- Advise on establishment and operation of a cargo shipping company (CMA-CGM Vietnam);
- Advise on establishment and operation of a fund management company (Tigers Alliance Fund Management Company);
- Advise on the Hong Kong Exchange listing of Cong Thanh Cement Company.

ACADEMIC QUALIFICATIONS

2007 **PhD** (Monash University - Australia), under the Monash Graduate School Scholarship and the Monash Law School Foundation Scholarship

2002 **Master of Laws** (University of Queensland - Australia), under the University of Queensland Scholarship

2000 **Bachelor of Laws** (Vietnam National University (Hanoi))

2000 **Bachelor of Commerce** (National Economics University)

PROFESSIONAL QUALIFICATIONS



28/03/2011 – 05/04/2011 Financial Institution Analysis & Bank Simulation Game
(ATTF, Luxembourg)

10/01/2011 – 14/01/2011 Banking Strategy & Bank Organization (ATTF, Vietnam)

06/12/2010 – 10/12/2010 Internal Audit, Internal Control & Compliance Risk
Management (ATTF, Vietnam)

01/11/2010 – 05/11/2010 Risk Management (ATTF, Vietnam)

13/09/2010 – 17/09/2010 Retail Banking (ATTF, Vietnam)

07/06/2010 – 11/06/2010 SME Banking (ATTF, Vietnam)

28/02/2011 – 04/03/2011 Legal & Documentary Issues in Swaps & Other OTC
Derivatives (Euromoney – Hong Kong)

Documenting Equity Derivatives (Euromoney – Hong Kong)

Credit Derivatives – Legal Issues & Documentation (Euromoney – Hong Kong)

Legal Issues in Derivatives, Structured Issuers & Structured Notes (Euromoney –
Hong Kong)

18/10/2010 – 25/10/2010 Project Management (FMIT – Vietnam)

07/10/2009 – 09/10/2009 Advanced Loan Documentation (Euromoney – Singapore)

20/04/2009 – 21/04/2009 Evaluation of Financial Potential in a Banking Group
(ASEAN Bankers Association – Vietnam)

24/10/2008 – 26/10/2008 Internal Audit (BTC – Vietnam)

09/10/2008 – 11/10/2008 International Trade Finance (BTC – Vietnam)

29/07/2008 – 31/07/2008 Asset & Liability Management (European Union –
Vietnam)

PROFESSIONAL MEMBERSHIP

2012 to date Arbitrator at the Vietnam International Arbitration Centre (VIAC)

2004 to date Member of Australian International Arbitration Forum (AFIA).
Country Representative (Vietnam) from 2011.

2003 to date NAATI Accredited Translator & Interpreter.