

PROFESSIONAL EXPERIENCE

ERICSSON TELECOMMUNICATIONS (PHILIPPINES)

Compliance Officer, October 2020 to present

In this current role, I manage anti-bribery and corruption challenges and broader operational and compliance risks across Asia-Pacific and provide support to the company during its ongoing DOJ compliance monitorship. Areas of responsibility include:

- strengthening culture of compliance and providing timely and practical advice to the business;
- managing internal and external stakeholders;
- providing regular updates on implementation, including KPIs;
- identification of local compliance priorities and developing / implementing the annual plan;
- performing compliance risk assessments, reviews and monitoring;
- conducting and monitoring training and awareness programs;
- review of commercial projects and other engagements to identify and mitigate compliance risks;
- managing the third party due diligence process;
- ensuring the effective implementation of the speak-up directive and providing support for the reporting of violations and concerns;
- assessment and management of material actual or potential conflicts of interest;
- supporting corporate investigations and providing key data to stakeholders on trends relating to misconduct, investigations, and remediation efforts;
- assisting with compliance-related merger and acquisition (M&A) due diligence & integration activities.

TRACE INTERNATIONAL

Regional Manager – Asia Pacific, October 2013 – October 2020

- Tailored compliance solutions for multinational corporate clients. Designs and implements codes of conduct, including policies relating to codes of ethics, gifts & hospitality procedures, and third party due diligence programs. Conducts custom, in-person training for employees and Boards of Directors.
- Participated in the development, implementation, monitoring, and reporting of enterprise risk management programs that help senior management prioritize their attention and limited program resources on the most significant vulnerabilities through enterprise compliance risk assessments and other proactive tools.
- Oversaw operations in the Middle East, as well as a team of due diligence analysts in the Philippines.
- Representative engagements include: development of anti bribery & compliance programs for leading corporations around Asia Pacific & the Middle East (oil & gas/construction & engineering), enterprise-wide, anti-bribery risk assessment & due diligence programs for Fortune 100 companies (technology, aerospace & defense, building systems), and post - acquisition FCPA due diligence U.S. Fortune 500 multinationals.

Recent Speaking Engagements –

- ***Leveraging New Technologies to Simplify Your Compliance Program***, SCCE Regional Compliance & Ethics Conference, July 2019 (Bangkok)
- ***Collective Action against Corruption, International Anti-Corruption Academy***, IACA Regional Summer Academy, Sept 2019 (Seoul)
- ***The Role that the Private Sector Plays to Advance Commercial Transparency***, 15th SEA-PAC Principle Meeting, October 2019 (Bangkok)

- ***Best Practices in Third Party Diligence with a Focus on Risk Assessment – A Practical Approach***, 2019 China International Anti-Corruption Compliance Summit, November 2019 (Shanghai)
- ***Rethinking Your Due Diligence Strategy: Updating Procedures to Control Costs and Confront New Risks***, 13th Anti-Corruption Compliance in China Summit 2019, November 2019 (Beijing)
- ***Measure What Matters - Monitoring & Measuring Compliance Program Effectiveness***, Asia Anti-Corruption Compliance Summit, December 2019 (Singapore)

CONGRESSIONAL CAMPAIGN FOR THE 4TH DISTRICT OF CAMARINES SUR
Chief of Staff, Ariel A. Muhlach, July 2012 – May 2013

- Acted as chief advisor to the candidate. Directly supervised the activities of 50 full time employees (campaign manager, coordinators, etc.) and over 1000 volunteers. Planned and managed policy objectives, strategies, and operations. Coordinated activities with the various stakeholders – government agencies, leaders of the Liberal Party, local government units, press, interest groups, & voters.

ARANETA GROUP OF COMPANIES

Vice President & General Counsel / Corporate Secretary, March 2011 – June 2012

- Directed the Legal Department and outside counsel for one of the largest and most diverse privately owned Philippine conglomerates, with interests in retail (mall construction and operation), hotel services (Novotel-Araneta), food (Pizza Hut, Dairy Queen, Taco Bell), entertainment (Araneta Coliseum & Binibining Pilipinas Charities, Inc.), mining, property management and development.
- Advised senior officers on the formulation of company strategy for various legal issues, *i.e.*, corporate governance, commercial / investment law, acquisitions, regulatory compliance, tax, labor standards, intellectual property, securities, real estate, electronic commerce law.
- Prepared and filed regulatory requirements/disclosures (including safety, environmental, and occupational health requirements), and coordinated with government offices and agencies, such as the Securities and Exchange Commission, Bureau of Internal Revenue, Housing and Land Use Regulatory Board, Mining & Geosciences Bureau, Department of Trade & Industry, and local government units.
- Handled bidding requirements for government corporate contracts; negotiated, reviewed, and finalized various commercial contracts, including, *inter alia*, franchise agreements, shareholders' agreements, joint venture agreements, construction contracts, software licensing agreements, management & technical consultancy agreements, escrow agreements, corporate restructuring documents, share purchase agreements, financing and loan agreements, service agreements, deeds of assignment, and contracts of sale / lease involving real and personal property.
- Closely coordinated with various departments, including Finance/Comptrollership, Human Resources, Audit, Procurement, & Marketing to develop, monitor, and implement company policies and strategies. Revamped the employee handbook and retirement policy; led workplace investigations & employee disciplinary / termination proceedings.
- Acted as corporate secretary for the Group's 26 affiliates / subsidiaries.

SUPREME COURT OF THE PHILIPPINES

Court Attorney VI, August 2009 – March 2011

- Prepared opinions and memoranda on various issues before the Supreme Court.
- Reviewed draft *en banc* decisions. Provided policy advice on cases involving political law, civil law, arbitration and litigation.

ROMULO LAW OFFICE

Senior Associate, January – July 2009

Associate, January 2003 – December 2008

Arbitration, Litigation, Labor

- Represented leading Philippine and multinational corporations in complex commercial litigation matters involving antitrust, taxation, labor, intellectual property, energy, and cross-border transactions.
- Appeared before the International Chamber of Commerce, the Construction Industry Arbitration Commission, Philippine Mediation Center, trial courts all over the Philippines, administrative agencies (DOJ, DTI, DFA, BI), Congressional committees, Constitutional Commissions, and the Supreme Court.
- Represented clients in all stages of litigation and arbitration, from formulation of pre-litigation/arbitration strategy, securing provisional remedies (attachments, injunctions) evidence gathering/presentation, appeals and petitions for certiorari, execution of judgments, and enforcement or vacation of judgments/arbitral awards.
- Handled wrongful dismissal cases on behalf of management from initial investigation, complaints before the Labor Arbiter, and appeals to the NLRC, Court of Appeals, and Supreme Court. Spearheaded manpower reduction programs and organizational restructuring. Advised on the labor aspects of joint ventures, corporate acquisitions, and mergers. Counseled HR Departments on the formulation of employee handbooks, rules and regulations, and other related corporate policies.
- Acted as counsel for ICC arbitration cases. Drafted submissions on jurisdiction and substantive issues, handled litigation in support of arbitration, prepared retired Supreme Court Justices as expert witnesses.
- Arbitration/litigation experience includes a US\$236 Million ICC claim by a Japanese technology provider against a domestic telecommunications company, an US\$89 Million ICC claim by an Australian company against a local power corporation, a US\$60M arbitration involving a share purchase agreement on behalf of a Spanish multinational, and litigation before the Philippine Supreme Court on behalf of multinational power, tobacco, hotel, and pharmaceutical companies.

Corporate, Securities, M&A

- Provided advice and assistance to Philippine and foreign clients on transaction and regulatory matters concerning investments in the Philippines, including licensing and permits, product liability, FCPA matters, and the day-to-day conduct of business operations.
- Drafted and reviewed contracts relating to, *inter alia*, project financing, loans and restructuring, joint ventures, technology transfer, supply and distribution, manufacturing, employment, and the provision of services.
- Negotiated, coordinated, and closed corporate acquisitions, from initial structuring and due diligence to the preparation of shareholders' agreements, asset purchase agreements, legal/regulatory compliance, and post-closing requirements.
- Counseled issuers, underwriters, and other participants in various equity offerings and notes issuances. Secured regulatory approvals, performed due diligence, negotiated and drafted related transaction documents (including underwriting agreements, facility agency agreements, and information memoranda).
- Represented clients before the Securities and Exchange Commission, Bangko Sentral ng Pilipinas, Board of Investments, Philippine Stock Exchange, National Power Commission, Department of Energy, National Transportation Commission, and Energy Regulatory Commission. Secured the

necessary opinions, consents, clearances, permits, and/or approvals from relevant government agencies.

- Transactions include an initial public offering for a local television network, a power plant bid by a European corporation, aircraft purchase/lease/financing agreements, a long-term lease over a major metropolitan hospital, the purchase of a telecommunications company, and the various acquisitions by a multinational tobacco company.

BAR ADMISSION

Admitted in 2003 to the Philippine Bar at 4th place (out of 4,659 examinees)

EDUCATION

NEW YORK UNIVERSITY SCHOOL OF LAW

LL.M. 2008

Concentrating on international arbitration, investment law, and cross-border transactions

Honors: *Hugo Grotius Scholar*, International Legal Studies (full tuition merit scholarship)
Journal of International Law and Politics, Graduate Editor

Activities: *Institute of International Law and Justice*, Graduate Assistant

ATENEO DE MANILA UNIVERSITY SCHOOL OF LAW

Juris Doctor 2002, *with Honors*

Awards: *Silver Medal for Academic Excellence* (ranked 3rd in the graduating class)
St. Thomas More Award (highest distinction conferred for overall excellence)
Dean's Award for Best Thesis (Special Citation)
Ateneo Law Journal, Editor in Chief

Activities: *Philip C. Jessup International Law Moot Court Competition*, Philippine Team Member, Oralist
& Writer (placed 6th in the 2000 International Rounds, Washington D.C.); Champion Team,
Best Oralist, Philippine Regional Rounds, 2000

ATENEO DE MANILA UNIVERSITY

A.B. Philosophy 1997

Awards: Dean's Award for Excellence in Debate

Activities: Quarter-Finalist, 1998 *World Universities Debating Championships* (Greece)
Champion Team, Best Speaker/Debater, 1995 *Metro-Pacific Debating Championships*
Participated in various debating tournaments in the Philippines, Ireland, USA, South Africa,
Singapore, Malaysia, Australia, and the United Kingdom.

ADDITIONAL INFORMATION

Provides pro bono advice to various NGOs.

Taught Property, Public International Law, Private International Law, Sales, Legal Research, and Legal Writing at the Ateneo de Manila University School of Law & DLSU-FEU JD-MBA Program.