JOHN J. LEE

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ACCOMPLISHED INVESTMENT CONSULTANT | BIOTECH | START-UP

Extensive background in multiple financial asset classes with an emphasis in equities advising mutual funds, hedge funds, private equity, and venture capital while being awarded several accolades in the field ranking first place for many years on the sell-side/buyside by asisamoney.com. However, as an institutional investment consultant, developed a high level of experience with working with Board Members of (pensions, endowments, and foundations), advising on asset allocations, spending policies, and manager selections. Due diligence on venture capital, private equity, hedge funds, and other alternative asset classes. Recognized for proactively and effectively developing/building long-term business platforms and client relationships in an aggressively growing equity franchise in Asia. Highly experienced and involved in decision-making processes and frequent communication with board members, CEOs,/CFOs/CIOs. After building a solid reputation in finance, founded a start-up biotechnology firm that treats NSCLC, Claudin and antiviral infectious diseases. Built a team of research & development and hands-on hiring of Chief Medical Officers and other personnel. Solid knowledge of clinical trials and proficient knowledge of oncology.

CEO | Founder
SYNERGY INVESTMENT LLC, Los Angeles, *(03/23-present) synergyinvllc.com*
Synergy Investment LLC is a business consulting firm that helps grow companies via networking, fund-raising, brand marketing, strategy consulting, and turnaround in this harsh environment. We focus on start-up hedge funds, private equity and venture capital. We try to accomplish with our list of experts which consist of CMOs, tech specialists and even fashion specialists. Most of us are from either biotech or investment banking. In addition, we collaborate with other experts to strategically assist in solving problems that business faces. Currently, we have had the opportunity to be involved in mega city hotel in New York, Amazon, and cosmetic brands to help raise their brand awareness, fund raising, and advising our area of expertise.

CEO | Co-Founder
ABTS (ABION BIO) San Diego *(02/22 -present) abtsbio.com*
ABTS, LLC is a biotech discovering cancer, infectious and anti-viral diseases. As the Co-Founder, we established our US entity from the ground up. Combined we have multiple drugs in various stages including US FDA II. We aim to cure lung, ovarian, claudin 3 and respiratory diseases. This drug, together with our partners, is in the process of entering preclinical trials, prophylaxis that prevents influenza and COVID-19 in addition to other repository diseases.
- My responsibility as President/CFO includes strategic planning/partnerships, communication with researchers, sourcing not only investment opportunities connecting with big pharmas, venture capital, private equity, investor relations, fundraising, and business development.
- Deals: conducting deals, for licensing-in and licensing-out. Search for M&A opportunities, valuing our pharmaceutical assets, and negotiations.
- Business development: responsibilities include the entire oversight of the operation, marketing and presenting to investors or potential investors (this includes attending various deal conferences ASCO, AACR, BIO, JPM Conference).
- Utilizing my previous finance experience, having extensive experience in capital markets close to 17 years, working at an investment firm across Asia, US, and EU, I am also involved in IR activities and funding through various institutional investors.

Head of Equity Sales/Director
HSBC SECURITIES, Seoul, Korea (*9/09 – 8/19) www.hsbc.com*
As the Head of Equity played a critical role as one of the early members of the growing cash equity franchise that is responsible for building out the team – sales, trading, and research.
- Successfully grew the firm's franchises increasing in market share and client ranking. This also included building/maintaining existing and new client relationships across multiple geographies (mainly Hong Kong, Singapore, Taiwan, Europe, US, and Canada
- Generated investment ideas (long term & short term) for global long-only and multi-strategy hedge funds – conducted fundamental due diligence on listed companies which often included meeting with "C" level management and investor relations.
- Effectively led the firm's external broker poll ranking processes (i.e. Asiamoney and Institutional Investors).
RATED AS ASIAMONEY'S TOP KOREAN SALES - ***ranked #1 in 2010,2011,2012,2016 (ranked #2 in2107) and 2018*** *– and ranked the highest and mentioned most times since the poll started.* In addition to equity sales responsibilities, built strong ("C" level management).
- Collaborated with ECM/Syndicate teams in advising distribution capabilities of our firm. On non-deal roadshows (most NDRs arranged in 2017), block deals, and IPOs (*origination/intros).* HSBC Korea ranked #1 in ECM (IPOs, Blocks, M&A Advisory) deals in 2018. This also included EB and CB deals.
Proactively built relationships and advised the Korean Exchange (similar to SEC in US) often advising senior management of the exchange on various events to promote the Korean equity market.

Equity Sales/Manager
WOORI INVESTMENT & SECURITIES, Seoul, Korea *(1/07 – 9/09) www.nhfngroup.com*

Global Investments (Fund of Funds)/Portfolio Manager
SAMSUNG INVESTMENT TRUST MANAGEMENT COMPANY, Seoul, Korea *(05/06 – 12/06) www.eng.samsungfund.com*

Senior Consulting Associate
VERUS ADVISORY (formerly WURTS & ASSOCIATES), Los Angeles, CA *(6/02 – 2/06) www.verusinvestments.com*
Provided investment advice to Taft Hartley, Public, Corporate 401K, and Endowment & Foundation clients whose assets total over $35 billion (now close to $ 1 trillion) and are an integral part of the firm's growth.
Due Diligence & Investment Research:
- Performed on-site and in-house due diligence on investment firms across all asset classes (domestic/international equity, fixed income, high yield, private real estate, REITs, private equity, and hedge fund of funds): This includes multi-site visits and interviews with institutions and CIOs. In-depth research on multiple asset classes and capital markets.
Quantitative: return/risk analysis, correlation, tracking error, Sharpe ratio, and information ratio, etc. Qualitative: philosophy, process, style, ownership structure, and stability

Long/Short Index Derivatives/Analyst/Asst. Trader
WILSHIRE ASSET MANAGEMENT (now LA Capital Asset Management), Los Angeles, CA (*6/00 – 1/02)*

EDUCATION | ADDITIONAL

UCLA B.A. in ECONOMICS 2000 | RATED AS ASIAMONEY'S TOP EQUITY SALES (most ever to rank #1 since the poll started | KEYNOTE SPEAKER AT A WIDE RANGE OF IR | SPEAKER USC MBA STUDENTS, MODERATOR FOR BIOTECH CONFERENCES