

# The AI Advantage: A Practical Guide for Brokerages



## ABOUT THIS PROGRAMME

This in-person course equips finance professionals and trading representatives with a practical understanding of Artificial Intelligence (AI) and its applications within the financial services industry.

Through interactive sessions, real-world examples and hands-on creation of use cases, you will acquire the knowledge and skills to use AI tools for more informed decision-making, work productivity and enhanced client communication.

This course is eligible for IBF STS funding.

## COURSE OBJECTIVES

- Understand the fundamentals of Artificial Intelligence (AI) and Machine Learning (ML)
- Identify financial workplace applications of AI and value add to client communications
- Utilise AI tools to focus financial research, summarise analyst reports and draft email to clients
- Grasp the techniques for drafting effective prompts to extract more relevant and productive outcomes from AI
- Test the use of non-text technical analysis charts with AI tools

## COURSE OUTLINE

### Module 1: Demystifying AI & Machine Learning

- Introduction to key AI and ML terminology.
- Focus on real-world examples of AI applications in finance (e.g., fraud detection, sentiment analysis, customer service).

### Module 2: Prompt Engineering – What is it and How To

- Grasp the concept of prompt engineering and its impact on AI outputs
- Identify credibility issues and potential bias in prompts.

### Module 3: AI tool for Financial Research

- Explore a variety of AI research tools available for stockbrokers.
- Utilise AI tools for deeper analysis of important financial data.

### Module 4: AI-assisted Analyst Report Summary

- Leverage AI tools to compare and summarise analyst reports efficiently.
- Identify key insights and investment highlights from reports for more targeted client communications

### Module 5: Using charts with AI tools

- Use non-text Technical Analysis (TA) chart with text prompts
- Generate a TA chart for use with text prompt and countercheck outcome for credibility and any bias.

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## Trainer's Profile



**Mr Lok YekSoon** is a seasoned venture capitalist and digital transformation leader with a keen eye for groundbreaking technologies shaping the future. As COO of SSII, a digital transformation and accelerator company, and Founder of Awesome Ventures, an early-stage VC firm, YekSoon brings a wealth of experience in identifying and nurturing disruptive startups across ClimateTech, FinTech, MedTech, SpaceTech, and Enterprise Software.

YekSoon's thought leadership extends to blockchain technology, where his early investments in cryptocurrencies like Bitcoin, Ethereum, and Stellar Lumens demonstrate his foresight. His successful exits include industry giants like 3PAR, RightNow, RedHat, Twilio, and Cloudflare.

His investment portfolio reflects his deep understanding of AI's transformative potential. From TrustPortal's hyperautomation platform to Crowd's AI-powered SME financing marketplace and Pattern's AI-assisted robo-advisor, YekSoon champions companies leveraging AI to revolutionize industries. He even backs ventures pioneering AI applications for space exploration. Beyond investments, YekSoon actively shares his expertise in AI and digital transformation. He has designed and delivered AI-focused courses at renowned innovation labs like SLAILAB and COCOSpace Investments in Shanghai, focusing on practical applications like AI-driven deal flow analysis. His insights have also graced the lecture halls of esteemed institutions like NUS, NTU, SMU, Monash University, Shanghai Jiao Tong University and Wawasan Open University.



**Mr Ho Seng Foo** is a veteran in the stockbroking industry, with a wealth of experience as a Remisier at CGS International Securities spanning from 1993 to 2024. He has honed his skills as both an investor and trader, specializing in identifying stocks poised for exceptional returns. Seng Foo's SuperStocks Trading System, developed through years of practice, has enabled him to navigate various market cycles profitably.

In addition to his professional achievements, Seng Foo is passionate about promoting financial literacy. He has shared his investment philosophy through courses conducted in collaboration with partners like ShareInvestor.com and has been invited to speak at forums hosted by organizations such as SGX, MoneySense, SIAS, Online Traders Club, and InvestingNote.com. He has also been quoted in local newspapers like Lianhe ZaoBao.

Seng Foo holds a Bachelor of Electrical Engineering (Second Upper Honors) and a Diploma in Business Administration from the National University of Singapore. He has also earned the Advanced Certificate in Learning and Performance from the Institute of Adult Learning, reflecting his commitment to continuous improvement.

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### LEARNING OUTCOMES

Upon completion of this course, participants will be able to:

- ✓ Understand machine learning models and key terminologies
- ✓ Applications of artificial intelligence and machine learning

### TRAINING HOURS

TRAINING HOURS	7 HOURS
ASSESSMENT	0.5 HOUR
<b>TOTAL TRAINING AND ASSESSMENT HOURS</b>	<b>7.5 CONTACT HOURS</b>

#### Please bring to class:

- Laptop with admin rights to install apps
- Laptop with both Microsoft Edge and Google Chrome browsers installed
- Personal Microsoft and Google accounts (to log in to CoPilot and Gemini) and ChatGPT (free) account
- TradingView account (optional)

#### Applicable Fees for Open Enrolment

<b>Full Course Fee</b>	S\$1000.00
<b>Net Course Fee after 50% IBF-STs Funding</b>	S\$500.00
<b>Net Course Fee after 70% IBF-STs Funding *</b>	S\$300.00

\*Singapore Citizens aged 40 years old and above will be eligible for 70% co-funding of direct training costs.

#### Course Fee applicable to Members of The Society of Remisiers (Singapore) and Vanguard Remisiers from 7 participating member brokers only

Eligible Singapore Citizen aged 40 years old and above	<u>SRS Member</u>	<u>Non SRS Member</u>
Course Fee	\$800	\$800
IBF Funding 70%	\$560	\$560
SAS/SGX/SRS Support	\$240	\$200
<b>Net Course Fee</b>	<b>\$0</b>	<b>\$40</b>

Eligible Singapore Citizen aged below 40 years old, or Permanent Resident	<u>SRS Member</u>	<u>Non SRS Member</u>
Course Fee	\$800	\$800
IBF Funding 50%	\$400	\$400
SAS/SGX/SRS Support	\$320	\$240
<b>Net Course Fee</b>	<b>\$80</b>	<b>\$160</b>

- Participants may pay the Net Course Fee using their SkillsFuture Credits (base-tier) or via PayNow.
- Industry Funding (for eligible applicants) is supported by SAS, SGX & SRS.
- You will not be eligible for the funding if you do not complete the course or did not pass the assessment. AB Maximus and the Industry is entitled to claw back the course fee subsidy from you.

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### IBF Standards Training Scheme (IBF-STS)

This IBF-STS course is recognised under the Standards Training Scheme (STS) and is eligible for STS claims subject to all eligibility criteria being met.

Please note that in no way does this represent an endorsement of the quality of the training provider and course. Participants are advised to assess the suitability of the course and its relevance to his/her business activities or job roles.

The STS is available to eligible individuals based on the prevalent funding eligibility, quantum and caps. STS provides up to 70% course fee subsidy support for direct training costs subject to a cap of S\$3,000 per candidate per course subject to all eligibility criteria being met.

Find out more on [www.ibf.org.sg](http://www.ibf.org.sg)

### SkillsFuture Credit

This programme is eligible for SkillsFuture Credit and this is applicable only for non-company-sponsored individuals on programme fees after IBF-STS funding.

### About A.B. Maximus & Co.

Maximise your potential in finance and investment with us! We are a trusted and reliable financial education company that provides guidance at every step of your financial career, through high quality programs across Asia that enhance your employability.

## Programme Terms and Conditions

### General:

1. Participants are required to submit proof of payment to [accounts@abmaximus.com](mailto:accounts@abmaximus.com) to complete the registration process.
2. Trainees are responsible in ensuring that they meet the course pre-requisites. A.B. Maximus & Co. Pte Ltd will not be liable for any difficulties encountered in the course of training if pre-requisites are not met.
3. No deferment/extension of the programme is allowed.
4. A.B. Maximus & Co. Pte Ltd reserves the right to reschedule the course without prior notice due to unforeseen circumstances.
5. All course deferment, postponement or cancellations by A. B. Maximus & Co. Pte Ltd are subject to our General Terms and Conditions.
6. A. B. Maximus & Co. Pte Ltd may impose additional requirements or make changes to existing requirements, without prior notice.
7. By submitting this form, I consent to A. B. Maximus & Co. Pte Ltd collecting, using, disclosing and processing my personal data for purposes related to the administration of the registration for the class and to send me updates informing me of future classes. I also understand that my personal data may be shared with SAS, SGX and SRS, and also IBF and SSG and/or their appointed audit firm for the purpose of IBF funding application and audit to ensure funding claims submitted are bona fide and accurate.

### \*IBF Standards Training Scheme (STS) Funding Eligibility:

1. This scheme is available for both self-sponsored and company-sponsored individuals.
2. Eligible Individuals: Singapore Citizens or Singapore Permanent Residents, physically based in Singapore; and successfully completed IBF-STS accredited course with a minimum attendance of  $\geq 75\%$  and passing all relevant assessments at  $\geq 60\%$ .
3. Eligible Companies: company must be entity regulated by MAS as listed on MAS FI Directory or fintech firm certified by Singapore Fintech Association.
4. Funding support for the same course will be granted only once per calendar year per participant.
5. IBF full set of terms and conditions can be found via <https://www.ibf.org.sg/home/for-individuals/skills-and-jobs-development/training-support/IBF-STS>

### Points to note on all IBF Funding application:

- A.B. Maximus & Co. Pte Ltd reserves all rights to bill the Participant the full course fee without IBF funding if any of the IBF funding eligibility criteria is not met.

## Contact Us

For further questions, please contact us at [andrea@abmaximus.com](mailto:andrea@abmaximus.com).

## Personal Particulars

Intake Start Date: \_\_\_\_\_

Name (as in NRIC): \_\_\_\_\_ Gender: M / F

Date of Birth: Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_ Nationality: \_\_\_\_\_

Contact number: \_\_\_\_\_ Email: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Employer: \_\_\_\_\_ Designation: \_\_\_\_\_

Highest Qualification: \_\_\_\_\_

Where / How did you first know about our classes? (You may tick more than one option below)

Info Session / Preview Lecture  Emailer  AB Maximus Website  IBF  Google Ads  Friends / Relatives

Others, please specify: \_\_\_\_\_

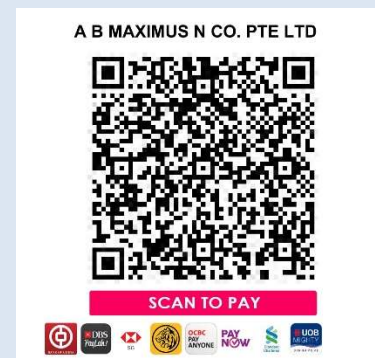
**Payment:** Full Payment of S\$ \_\_\_\_\_

Cash  Cheque no.: \_\_\_\_\_ (Cheque made payable to "A.B. Maximus & Co. Pte Ltd")

Bank Transfer (DBS Current Account 074-001739-8)  
(Bank Transfer Reference Number: \_\_\_\_\_)

PayNow (Scan the QR code at the right)  
(PayNow Reference Number: \_\_\_\_\_)

SkillsFuture Credit  
(SkillsFuture ID: \_\_\_\_\_)



## Payment and Refund Policy:

Any notice of withdrawal must be given in writing via mail/email:

1. Full refund\* less S\$20 administrative fee, if notice is given at least 10 business days before commencement.
2. 50% refund\* if notice is given between 5-10 business days before commencement.
3. No refund if notice is given less than 5 business days before commencement, or after commencement of programme.
4. Study materials if issued, will be chargeable if not returned in the original packaging.

\* Note: Refund amount is based on fee paid.

**I understand and agree to the programme terms and conditions stipulated above:**

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Name:** \_\_\_\_\_