



2017

COURSE SCHEDULE CONTINUING PROFESSIONAL DEVELOPMENT FOR DEALERS & REMISIERS

Introduction

This SGX-accredited programme offers Trading Representative a wide array of relevant and practical short courses. Through Continuing Professional Development (CPD) programme, we aim to raise the level of professionalism and competency of Dealers and Remisiers.

Each course is 3 hours and is mostly delivered through the conventional classroom or seminar mode at Capital Tower (Robinson Road), SGX Centre (Shenton Way) or a convenient location within or near Central Business District. The course schedule and course synopsis are detailed in the following pages.

The tentative dates for each course are pre-assigned for the convenience of Trading Representatives. The course lecturers' bio-data are also provided for your reference. The dates and lecturers are subject to changes. Registered participants will be informed of any changes in venue/date at least 10 business days before the commencement of the course, where possible.

SGX- Training CPD Hours

All participants have to sign in before the commencement of the course, and participants who are more than 10 minutes late will not be allowed to mark their attendance, and no CPD hours would be awarded. In addition, participants also need to sign out after the completion of the 3- hour programme. Participants who did not sign in/out within the stipulated time will have to appeal in order to receive their CPD hours. The appeal will be subjected to the Education Committee's approval.

SGX requirements on minimum training hours per calendar year, punctuality, signing of attendance register, attendance, attire, and other rules will be strictly adhered to.

Course Registration

The Enrolment Form is enclosed in this catalogue, and is also available from the administrative departments of all SGX-Securities Trading Member Companies. Please enrol through your respective administration departments.

Applications should reach our Education Centre at least 10 business days before the commencement of the applied courses. The fee is S\$120 per course unless otherwise specified. Corporate Discounts are available. For changes, refunds or cancellations, terms and conditions in the enrolment form apply.

Information & Feedback

We welcome any ideas or suggestions that could help us improve on this Continuing Professional Development programme.

Education Committee, the Society of Remisiers (Singapore)
c/o 10 Shenton Way #13-02 MAS Building Singapore 079117
Tel: 6323-6059 Fax: 6227-8063 Email: trainingadmin@abmaximus.com

Course Schedule	: Page 2
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Date	Title	Course Code	Trainer(s)
W 17 Feb	The Impact of FinTech on Wealth Management and Stockbroking	SRS2	Ms Zann Kwan / Mr Adrian Koh
W 10 Mar	Six Numbers All Investors and Their Brokers Must Know	SRS3	Mr Peter Lai / Mr Pua Soon Lim
W 05 Apr	Economic Indicators & Forecasting	SRS4.1	Dr Tan Kee Wee
W 25 Apr	Introduction to Investment Banking	SRS4.2	Mr Benjamin Goh
W 18 May	Managing Volatility and Currency Risks in Your Portfolio	SRS5	Mr David Mok
W 21 Jun	Corporate Actions Explained	SRS6	Mr Ooi Kok Hwa
15 Jul	Understanding the Breakout Phase of Market Behaviour	SRS7	Mr Jeffery Tie
W 22 Aug	Be Your Own Portfolio Manager	SRS8	Mr Benjamin Goh
W 20 Sep	How to Find Hidden Information in Financial Statements	SRS9	Prof SS Sandhu
W 04 Oct	How to Trade Options and Warrants	SRS10	Mr Gerard Tong
W 09 Nov	Rules & Regulations for Financial Advisory Services**	SRS11	Mr Chong Lock Kuah
09 Dec	Ethics for Representatives of Financial Firms***	SRS12	Ms Gladys Ng
	Other available course(s) for In-House (IH):		Trainer(s)
	An Introduction to Singapore's AML & CFT Laws & Regulations ****	IH-WL	Ms Chee Wei Lin
	ETF Investment Strategies	IH-TW	Mr Tolmas Wong
	Investing in Fixed Income Securities	IH-ST	Mr Samuel Tan
	Tell Tale Signs of Companies in Trouble	IH-SS	Prof SS Sandhu
	Trading Index Futures	IH-TY	Mr Tom Yuen

Note:

- All of the above courses are also available as in-house programmes for 2017.
- "W" indicates courses that are conducted on a weekday night from 6:30PM to 9:30PM. Otherwise, it will be conducted on a Saturday from 9:30AM to 12:30PM.
- Additional classes may be scheduled if there is overwhelming demand. The Society of Remisiers reserves the right to postpone or cancel the course listed in this brochure.

** The course duration is 5 hours, of which 1.5 hours is accessed online, and is eligible for FA-CPD credits.

*** The course duration is 4 hours and is eligible for FA-CPD credits

**** The CEP accreditation on the "AML and CFT" course will be excluded. However, this course is still required for compliance with MAS notices.

SRS 2 : The Impact of FinTech on Wealth Management and Stockbroking by Ms Zann Kwan & Mr Adrian Koh [17 Feb]

Almost every type of financial activity is re-imagined by startups, some of which have garnered blockbuster investments. Meanwhile, the incumbents are trying to solve a puzzle presented by the FinTech revolution: How can they benefit from the rise of these disruptive innovations, and how can they avoid obsolescence?

This course will provide participants with an overview of the FinTech landscape, explore a key technology powering this revolution and review a fast growing development in the FinTech arena.

The course covers:

- Developments and Trends in FinTech
- A key technology in FinTech: Blockchain 101
 - Key developments
 - Challenges and Opportunities
 - Specific cases/discussion on wealth management and stock-broking
- Peer-to-Peer Transactions & Crowdfunding 101
 - Key developments
 - Challenges and Opportunities
 - Specific cases/discussion on wealth management and stock-broking

SRS 3 : Six Numbers All Investors and Their Brokers Must Know by Mr Peter Lai / Mr Puah Soon Lim [10 Mar]

All investors love a good story. They like to hear how business owners start a business, expand it and make a lot of promises about how great the company will be in a few years' time. The trouble with story is that it is not easy to test the credibility of those promises. Basically, businesses need to generate sales and collect receivables in order to survive, and make a profit in order to grow. How can investors know that a business is doing the right thing to survive and grow? How can you as a broker advise your clients that their hard-earned savings are entrusted to management who intend to and are capable of fulfilling their promises? This short course provides participants with a practical knowledge and hands-on application of six key financial numbers. These numbers form a set of powerful tools in constructing buying or selling decisions for brokers and/or their clients.


These six numbers are:

- The Compound Annual Growth Rate (CAGR)
- The Price/Earning Ratio (PER) or its reciprocal, the Earning Yield (EY)
- The Dividend Yield (DY)
- The Enterprise Value/Earning Before Interest, Tax, Depreciation & Amortization Ratio (EV/EBITDA)
- The Price to Book Ratio (P/BV)
- Free Cash Flow (FCF)


Case studies will be used to illustrate on how these six numbers can be used together to identify good and bad companies and test the credibility of the promises made by management.

SRS 4.1 : Economic Indicators & Forecasting**by Dr Tan Kee Wee [05 Apr]**

This is a short revision course on what economic data and indicators to look out for. This is important because taking note of the right indicators should help the investor with his investment decisions.

- Inputs used for economic forecasting and the factors affecting it
 - The impact of different macroeconomic factors on the stock market
 - Shocks in the economy and its long-term implications
 - Strategies for different economic scenarios
 - Illustrations from the Singapore economy
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SRS 4.2 : Introduction to Investment Banking**by Mr Benjamin Goh [25 Apr]**

- Gain an understanding of the different parts of the investment bank or Investment Banking Division (IBD) and how they are interrelated;
 - Know key terms in Investment Banking;
 - Understand the work of the Equity Capital Markets (ECM) – in both primary issues (Initial Public Offering or IPO) as a book runner or lead, and in secondary offerings (rights issues);
 - Understand the structure and impact of mergers and acquisitions in the secondary market;
 - Understand what bonds and Eurobond markets are and what the Debt Capital Markets (DCM) do
 - Understand what convertible bonds are, as well as asset backed securities such as Mortgage Backed Securities (MBS) and Collateralized Debt Obligations (CDOs)
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SRS 5 : Managing Volatility and Currency Risks in Your Portfolio**by Mr David Mok [18 May]**

Markets have been very volatile in recent years and market volatility has topped the list of current greatest concerns for institutional and corporate investors. Retail investors too are concerned about the impact of volatility and currency risks on their portfolios. This course seeks to help investment professionals better understand the issues and how volatility and currency risks in client portfolios can be better managed.

The learning outcomes include:

- The cause and impact of market volatility
 - Sources of currency risks
 - The strategies investors traditionally used to manage volatility and currency risks
 - Alternative approaches and Opportunities
 - Local case studies
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SRS 6 : Corporate Actions Explained by Mr Ooi Kok Hwa [21 Jun]

Course participants will learn how to analyse:

- Initial Public Offerings (IPOs)
- Bonus Issues, Rights Issues, Shares Split & Shares Consolidation
- Private Placement & Shares Buyback,
- Mergers & Acquisitions (M&A), Spin Off and Privatisation


Local/regional case studies will be discussed in the course.



SRS 7 : Understanding the Breakout Phase of Market Behaviour by Mr Jeffery Tie [15 Jul]


This course will look specifically at how markets behave when they successfully exit, or break out of the sideways range, changing from a resting mode into a directional impulse. The aim is to learn how to identify the conditions under which successful breakouts can occur. This requires the use of a moving average to identify the timeframe of the market trend, and then to learn how to look out for the higher timeframe perspective.

The student is taught to locate the significant swing highs and swing lows within the correction phase. Once this can be done, the student is taught to observe the market action when prices breaks out of the sideways top and to the sideways bottom. Oscillator tools will be used to measure the strength of the breakout so that the trader can enhance and improve the success rate in the trading the breakout.



SRS 8 : Be Your Own Portfolio Manager by Mr Benjamin Goh [22 Aug]

After attending this short course, participants will be able to:


- Describe the tops-down and bottoms-up approach
 - Interpret the business cycle and economic indicators
 - Identify the assets and securities appropriate for a client
 - Demonstrate the ability to create a custom-made portfolio for a client
 - Explain the process of portfolio optimization
 - Calculate and interpret the Sharpe ratio, Treynor measure and maximum drawdown
 - Explain the process of performance attribution
 - Identify effective communications channels to a client
 - Demonstrate the ability to make portfolio recommendations to a client
 - Demonstrate the ability to create a portfolio proposal for a client
 - Local/regional case studies will be discussed in the course.
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**SRS 9 : How to Find Hidden Information in Financial Statements
by Prof SS Sandhu [20 Sep]**

This interactive workshop delves into the 'hidden information' that every company has. This workshop will focus on operating ratios, selected relational calculations based on numbers in the financial statements. The purpose is to show relationships between two variables that may not be visible in a casual reading of the financial statements but are important to assessing a company's overall financial health.


We will discuss some of the most common and useful ratios and how you can best use them to better understand the underlying strength of whatever it is they are measuring. This workshop will help you master the tools of finance where they can be useful to you, without wasting time explaining the deep details that will likely never benefit you.

The seminar will cover the following:

- Finding out how financial ratios can help you to pinpoint investments.
 - Discovering what the critical financial ratios are and how to calculate them.
 - Uncovering how to interpret the financial ratios to make investment decisions.
 - Digging into how to measure and read how pricey the stock market is using its P-E.
 - Looking for buy signals from financial ratios analysis.
 - Quiz Time - "Who Wants to be a Finance Genius"
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**SRS 10 : How to Trade Options and Warrants
by Mr Gerard Tong [04 Oct]**

Options are derivative securities and can be extremely risky. They can be used for speculation or as a complement to your existing portfolio or trading strategy. The power of options lies in their versatility. They enable you to adjust your market exposure to any situation that arises - from protecting a position from a decline to outright betting on the movement of a market or index. In this course, you will learn the following:


- Understand Options Sensitivities (the "Greeks")
 - Understand the characteristics of the various Option Strategies
 - Apply the various Options Strategies to various market scenarios to optimize profits and minimize risks
 - Understand the limitations of Real-World Markets vs Theoretical Models
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SRS 11 : Rules & Regulations for Financial Advisory Services by Mr Chong Lock Kuah [09 Nov]

This course covers the latest amendments to Financial Advisers Act (FAA) and Financial Advisers Regulations (FAR) as well as the FAA Notices and Guidelines in respect of Recommendations on Investment Products. It is specially designed for Trading Representatives who were exempted from taking CMFAS Module 5 and had completed non-examinable course on Module 5, to have better understanding on provision of execution-related advice.

This course focuses on the statutory requirements of providing execution related advice and legal implications of providing financial advice without reasonable basis and will cover the following areas:

Updates on changes to Financial Advisers Act and Financial Advisers Regulations

- Representative Notification Framework (RNF)
 - Appointed Representative and Provisional Representative
 - Notification Procedure
 - Power Of The MAS To Refuse Entry Or Revoke Or Suspend Status Of Appointed Representative
 - MAS Notice No: FAA-N16 On Recommendations On Investment Products
 - Guidelines On Conduct Of Business For Execution-Related Advice (Guideline No: FAA-G08)
 - Retaking Of CMFAS Module 5
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**SRS 12 : Ethics for Representatives of Financial Firms
by Ms Gladys Ng [09 Dec]**

Objective: To introduce and explain ethical principles to finance professionals who provide or support trading and financial advisory services.

Learning Outcomes:

Ethical Principles

1. Ethical Principles from the Society of Remisiers, and covering placing clients interest before own, professional integrity and objective judgment, acting with competence and diligence
2. Types of prohibited market conduct, market manipulation, use of material non-public information.
3. Standards of Professional Conduct - duties to clients, duties to employer, conflicts of interest and responsibilities
4. Implications, and examples of local cases

Execution & Operations

5. Describe Best Execution principles and discuss how it can be achieved in the local Singapore context.
6. State the responsibilities of Representatives when executing the order in the client's interests.

Conflicts of Interest


7. Circumstances of potential conflict
8. Circumstances of actual conflict, commission and additional compensation arrangements
9. Local cases, including discussion of particular cases of front running, insider trading, suitability of recommendations to clients
10. Discussion on resolving these conflicts via disclosure, escalation to designated
11. personnel or other measures.



IH Topic : An Introduction to Singapore's AML & CFT Laws & Regulations (IH-WL) **by Ms Chee Wei Lin**

This is an introductory course on anti-money laundering and countering the financing of terrorism. It is designed for participants who wish to understand the nature and characteristics of money laundering and terrorist financing and the laws in Singapore against such practices.

The lecture will cover:

- What is money laundering and terrorist financing
 - The elements and processes of money laundering and terrorist financing
 - Characteristics of money laundering and terrorist financing
 - Laws against money laundering and terrorist financing in Singapore
 - Brief overview of MAS Notice SFA04-N02 and MAS Guidelines on Prevention of Money Laundering and Countering the Financing of Terrorism Recent developments and update on money laundering and terrorist financing methods and typologies
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IH Topic : ETF Investment Strategies (IH-TW) **by Mr Tolmas Wong**

ETFs are the fastest growing; investment innovation in the recent decade. We can better manage our wealth by constructing an ETF-based portfolio for a variety of risk appetites or market environment.

Course participants will learn about:

- The evolution of ETF landscape: From market capitalization to Fundamental weighting
 - Key advantages of using ETFs
 - ETF investment strategies: Value, Sector, Volatility, Alternatives, Leverage & Inverse ETFs
 - Constructing ETF-based investment portfolios to achieve your financial goals
 - Leveraging on the range of ETF products available to improve your trading outcomes
 - Summary of best practices
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IH Topic : Investing in Fixed Income Securities (IH-ST)
by Mr Samuel Tan

- Fixed income investment versus other asset classes such as stock, property and cash deposit.
- Basics of fixed income.
- The mathematics of fixed income.
- How to invest to fixed income securities?
- Singapore monetary policy

Local/regional case studies will be discussed in the course.



IH Topic : Tell Tale Signs of Companies in Trouble (IH-SS)
by Prof SS Sandhu

- Sharing the US and Singapore Experience
- Motivation for Fraud – Introducing the “Fraud Triangle” and Risk Factors
- Who is a Typical Fraudster?
- The Six Categories of Fraud
- Top Ten Things to Look at When Analysing a Company
- Quiz Time – “Who Wants to be a Fraud Buster”



IH Topic : Trading Index Futures (IH-TY)
by Mr Tom Yuen

- Understanding the Financial Futures Model and Markets
- Specific applications of Stock Index Futures
- Understanding STI and its relationship with SiMSCI Futures
- Using Index Futures as an Investment Tool, for Swing and Day Trading



Trainer's Profile

Mr Adrian Koh is a consultant for growth-stage companies and government agencies in the area of public relations, marketing, and market development. With over ten years of experience, Adrian has been in award-winning teams, namely Silicon Valley-based Evernote Corp, Waggener Edstrom Studio D, and lead the market launch activities for crowdfunding in Asia through FundedByMe. Adrian was also the Editor for Singapore's first business communications magazine, POINT, and is a sought-after speaker on personal productivity and building companies.

Today, Adrian is the principal consultant at Branch Consultants and market launch lead at Interventures Asia, with more than 7 years of experience training and speaking, and 10 years of experience in entrepreneurship with a focus on FinTech and ecommerce. Adrian is an entrepreneur and change agent, helping businesses and leaders realise the need for disruption as a matter of course for their organisations.

Adrian has a Bachelor of Arts from the National University of Singapore and served as Staff Officer in a Planning Branch for Future Systems Development, Force Structuring, Manpower Resource Management in the Singapore Armed Forces.

Mr Benjamin Goh, CFA is currently a Senior Lecturer at the Singapore Institute of Technology, Singapore's fifth autonomous university. While waiting (impatiently) to start on his PhD, Ben teaches a variety of finance courses. Before joining SIT, Ben held a number of diverse roles in CIMB Group, JPMorgan, Credit Suisse, Deloitte Consulting and Hewlett Packard.

His most recent role was a market Strategist for CIMB Research where Ben provided analysis and insight on market moving events, the global macroeconomic environment, assets and individual securities. Before that, Ben was a fund manager with CIMB's Discretionary Investment Unit.

Ben has been interviewed on Channel News Asia's First Look Asia, Business Times and provided market commentary on 938 Live every week Monday to Thursday. An adjunct instructor with CFA Singapore, Ben's speciality is equity analysis, portfolio management and economics. Ben also sits on Nanyang Polytechnic's finance industry panel where he advises the school on structuring finance courses to meet industry needs. Benjamin received his Masters in Finance from the ICMA Centre, United Kingdom, in 2002 and became a Chartered Financial Analyst in 2001.

Ms. Chee Wei Lin is the former Director of Training & Resource of a Singapore top-tier legal firm until April 2004. A lawyer by training, she was a former litigation partner of PK Wong & Advani. She has served as a Deputy Public Prosecutor and State Counsel within the Singapore Legal Service in the Ministry of Defence and Commercial Affairs Department. During her legal career of more than 13 years, Wei-lin has been involved in major commercial crime prosecutions, banking litigation, corporate and financial advisory work and commercial transactions. She regularly lectures on anti-money laundering and terrorist financing laws and guidelines for the Institute of Banking and Finance in Singapore and at in-house training programmes of banks and other financial institutions in Singapore. Organisations she has lectured at in recent years include Prime Partners Group, K-REIT, Pioneer Investments, Bank of Taiwan, and GK Goh Financial Services. Wei-lin also holds a Master in Organizational Leadership from Monash University. She remains an Advocate and Solicitor of Singapore and is a Member on the Solicitor's Rolls of England and Wales.

Mr. Chong Lock Kuah, CFA is a trading representative/registered representative at UOB Kay Hian Pte. Ltd. Mr. Chong graduated from University of London (Queen Mary College) with an honours degree in Mechanical Engineering in June 1981 and earned his CFA designation in 2003. He is currently an associate faculty at SIM University teaching BSc (Finance) undergraduate programmes and also a part-time lecturer at NUS Business School. Mr. Chong also taught FICS Accredited courses at Financial Training Institute@ SMU and has been teaching CFA Level 2 Examination Review Courses at CFA Singapore since 2004. Mr. Chong has more than 10 years' experience in teaching finance and investment related courses. Mr. Chong conducts on a regular basis, in-house preparatory courses for Capital Markets & Financial Advisory Services (CMFAS) examination as well as in-house Continuing Education Programmes for Foreign Investment Banks and Stock Broking Firms since 2004.

Mr. Chong conducted "Option Trading" course for Bursa Malaysia in 2011 before the exchange launched the option contract on crude palm oil futures

Trainer's Profile

Mr. David Mok, CFA comes with an interesting breadth of experience of the buy side, sell side and distribution. Currently, he heads the fund management services at IPP Financial Advisers where he runs four different funds; an absolute return fund, a dividend fund, a fund-of-fund and a managed futures fund. IPP Financial Advisers distributes mutual funds and insurance products and its assets under advisory are over US\$1 billion. Prior to IPPFA, David led the Trading and Principal Investment unit at CIMB-GK Securities. Instruments traded included equities, derivatives, CFDs, futures, money market across the Asia-ex-Japan markets. David also used to head the Singapore Equity Research at DBS Vickers Securities, where he helped to elevate DBSV Research to No. 2 position in Singapore. At DBSV, David managed a team of 16 staff, providing investment strategy views, and deal-flow advisory.

Prior to DBS, David helped to manage over US\$1 billion fund at Asia Life Insurance, an insurance company whose investment competence helped the company to declare bonuses for its policyholders every year. In the U.S., David was involved in the management of a US\$300m asset management company whose clients are mostly of high net worth. David has been interviewed and quoted by The Business Times, The Straits Times, Channel News Asia, Channel 5, FM 93.8, Asia Wall Street Journal, Professional Adviser, and The Today. David has globe-trotted from Asia to Europe and the U.S., providing institutional clients investment advice on the Singapore and Asian Markets. David obtained his MBA at Smith School of Business in University of Maryland and is a CFA Charter-holder.

Mr. Gerard Tong, is a seasoned banking industry professional who has amassed over 20 years' diverse industry experience in Singapore and London, working with banks, service providers and market regulators. He has conducted lectures and executive training in financial market, project management, and financial IT programmes, for audiences of all hierarchical levels throughout his professional career.

His areas of expertise span foreign exchange, securities, commodities, financial derivatives, fundamental and technical analysis, risk management, professional trading and market best practices, financial IT, finance, business management and project management. His industry experience augments his training and development capabilities, allowing him to transform dry, challenging topics into engaging and relevant learning journeys for his audience.

Gerard holds a Masters of Financial Engineering, is a certified Project Management Professional (PMP), and is ACTA-certified. He serves as an adjunct faculty at the Singapore Management University.

Ms Gladys Ng started her legal career in private practice and then at HDB and NOL. Her finance career as a venture capital fund manager was with Rothschild and UOB. Until recently, she was a senior professional at the largest research think-tank of Singapore Management University.

She has taught as adjunct at NUS on business law and at UniSIM on financial statement analysis. She volunteers with the Singapore International Foundation's mobile library project in Vietnam and National Library kidsREAD programme. She is also a volunteer trainer on financial literacy for women and basic Korean for teenage girls.

Gladys holds a WSQ Advanced Certificate in Training and Assessment (ACTA).

Mr. Jeffery Tie joined Refco Singapore in 1997. During this time he developed new expertise in International Futures Markets and FX. Jeffery's experience and training during his time at both Stock Broking and Futures Broking enhanced his understanding of Technical Analysis and Trading. This expertise was augmented by his association and friendship with Ray Barros, a well known Fund Manager and Trading Coach. Jeffery's expertise in Technical Analysis was recognized by the Singapore Exchange who has invited Jeffery to its panel of Educators. Jeffery consistently gets very positive feedback from local as well as foreign attendees of his seminars and courses. Besides Singapore, Jeffery has spoken to International audiences in Jakarta, Mumbai and Sri Lanka.

Jeffery is also an instructor registered with the International Shinkendo Federation. The ISF is an organization that promotes Japanese swordsmanship and martial arts. This interest has allowed Jeffery to notice the similarity between the Philosophy of Martial Arts and the Philosophy of Trading. He has written a 3-part article on this topic for Chartpoint Magazine just before the magazine ceased publication. Jeffery joined CMC in April 2007. He was responsible for the content and presentation of CMC's educational programmes. In September 2007, Jeffery resigned from CMC, and currently focuses on both trading and conducting Technical Analysis courses and workshops with the SGX, and the Financial Training Institute @ Singapore Management University.

Mr. Ooi Kok Hwa, CFA is the Managing Partner of MRR Consulting, dealing mainly with Business Appraisal, Investment and Financial Training. He is a Chartered Financial Analyst (CFA) charter holder, Certified Merger and Acquisition Advisor (CM&AA) and is also a licensed Investment Advisor by the Securities Commission of Malaysia.

As a licensed investment advisor, Mr. Ooi provides investment advisory services to clients, covering investments in Malaysia, Singapore, Hong Kong and US markets. Mr. Ooi is also actively involved in providing investment training, CFA Examination preparation courses and Continuing Professional Education (CPE) courses for fund managers, research analysts, remisiers, brokers and general public. He has conducted CFA classes in Penang, Kuala Lumpur, Singapore, Shanghai, Vietnam and Brunei. Besides, he is also one of the main trainers in providing technical training sessions and examination material preparation for the training arm of Securities Commission of Malaysia, the Security Industry Development Corporation's (SIDC), covering various programs, such as Graduate Development program, Directors' training program and APEC Work Placement Program. In addition, he is also a regular trainer for Singapore Stock Exchange (SGX), Institute of Certified Public Accountants of Singapore (ICPAS) and Malaysian Institute of Accountants (MIA).

Mr. Ooi is regularly featured in the local media. He is an investment columnist for Sin Chew Yit Poh. He has also been invited as a guest speaker for NTV7, a local TV channel as well as BFM, a business radio channel, in Malaysia.

Trainer's Profile

Mr. Puah Soon Lim, CFA has a Bachelor degree in Business Administration majoring in Finance from the National University of Singapore. Mr. Puah has more than 23 years of experience in the investment and financial industry. For the past 7 years, he has participated actively in investment education and delivered on a series of popular workshops, particularly on value investing. He is currently an Associate Director of an independent financial advisory firm. He works with both individual and institutional investors to provide customised advice on optimal asset allocation. His extensive experience and thorough knowledge in wealth management enables him to break apart complex concepts into easy-to-understand components for the individual investors.

In his spare time, Mr. Puah is a keen endurance athlete and has completed several marathons and international triathlons. He is married with two school-going children.

Mr. Peter Lai Hock Meng, CFA has a BA (Honours) degree and a MA degree majoring in economics from the University of Cambridge in England. He is also a Chartered Financial Analyst with the CFA Institute, USA and a fellow of the Chartered Institute of Marketing in the UK. He spent more than 30 years in financial industry, including central banking, investment banking, private banking, stockbroking and investment in public securities and private equity. The key positions he held include Managing Director (Singapore) of Morgan Grenfell Asia & Partners Securities, Managing Director (Asia Pacific) of SocGen-Crosby Securities, Director and Senior Private Banker (Singapore and Indonesia) of Citigroup Private Bank, Regional Market Manager (China, Hong Kong, Taiwan and Thailand) of OCBC Private Bank, and Managing Director of Tembusu Partners. He is currently the Chairman of HML Consulting Group, a Singapore based boutique corporate advisory firm where he also manages a portfolio of family investment portfolio since 2007, and involves in the management of nearly S\$1 billion of assets invested in private equities, listed shares and bonds. In the mid 80's, Mr. Lai taught Business Economics as a lecturer in Ngee Ann Polytechnic for 3 years. In the early 90's, he was an Adjunct Associate Professor with the NUS Business School and taught Capital Markets for 2 years. In 2007, he wrote a book titled "Good Practices For Managing Charity Funds" with Associate Professor Joseph Lim at the Saw Centre for Financial Studies at the National University of Singapore.

Mr. Lai currently serves on the editorial board of the CFA Digest. He is a member of Singapore Institute of Directors, an inquiry panel member of the Law Society of Singapore, a director of Char Yong (Dapu) Foundation, an independent adviser to the Investment Committee of Hwa Chong Institution, an investment adviser to the Singapore JinShang Business Club, and a member of the Management Council and Academic Board, East Asia Institute of Management, Singapore. Mr. Lai has been appointed as independent directors of nearly 20 public companies listed on the SGX, KLSE, HKSE and London AiM in the past 12 years.

Mr. Samuel Tan has 18 years of successful trading and portfolio management experiences across various asset classes such as fixed income, currencies and equity indices etc. The main highlight of his career includes 8.5 years as a Fund Manager with Temasek Holdings, where he looked after one of the largest Singapore fixed income portfolio, managed the currency overlay, contributed to asset allocation decisions between bond and equity asset classes and also allocated funds to hedge funds. With the outstanding fund management track record at Temasek Holdings, Samuel proceeded to work as a Macro Fund Manager with 2 established hedge funds. He spent 1.5 years with Swordfish Fund (voted 4 times best Asian macro hedge fund) and 2 years with Tudor Capital (one of the best macro hedge fund in the world), trading currency, and fixed income and equity indices. Samuel founded Solitaire Asset Management in Jan 2009 and the company is currently a SGX Trading Member. Samuel is a dedicated trainer and has been involved in financial education and training, when he taught CFA courses at Financial Perspectives in early 200s, and hedge funds courses at Wealth Management Institute in the mid 2000s.

Prof S. S. Sandhu FCA, CPA has extensive experience working within the financial markets sector in Asia. He has deep technical knowledge covering listed companies, multinationals, initial public offerings & mergers & acquisitions due diligence gained over 18 years at Pricewaterhouse-Coopers. He was also the CFO of one of the largest financial institutions in Singapore.

He is both a Fellow Chartered Accountant & a Certified Public Accountant & has provided advisory services to many public listed companies, multinationals & government-linked companies on the development of financial reporting standards & changes in regulatory environment.

Sandhu is a highly sought after speaker at financial seminars & courses around the world & has authored & contributed many publications on corporate governance, risk management & international accounting standards.

He is highly rated by participants who have attended his programs. He is particularly well-known for his ability to translate complex & difficult financial concepts into plain language, & the use of real life experiences, easy to understand illustrations & case studies to help the candidate's ability to understand finance & accounting. He adopts a highly interactive approach in his workshops which makes learning both fun & memorable.

Dr. Tan Kee Wee helps his clients manage their investments. Prior to that, Dr Tan spent many years in the finance industry as an economist, forecasting on the financial markets and global economies. Dr Tan started off his career in 1988 as a journalist with the Business Times. That was after he secured his PhD in Economics from the University of East Anglia in Britain. Despite spending most of his career in the business world, he has kept in touch with academia. He continues to teach undergraduates economics on a part-time basis.

Trainer's Profile

Mr. Tolmas Wong, CFA is currently a Director (Sales), Private Clients Services with CIMB Securities (S'pore) & an adjunct lecturer at the Singapore Management University. He has over 20 years of experience in fund management and stock broking, and has held various positions at United Overseas Bank, Citicorp Vickers and Schroder Securities. Tolmas has graduated with a Bachelor of Business Administration at the National University of Singapore and Master of Applied Finance at the Macquarie University, Australia. He is a CFA charter holder, and is formerly a Board Member of CFA Singapore and the Asian Securities Analysts Federation.

Mr Tom Yuen (YCK) is a futures trader with extensive system-based trading and execution experience, and a strong background in quantitative technical analysis. YCK's futures trading experience spans over 20 years with the first 13 years spent as a floor/pit trader with Singapore International Monetary Exchange (SIMEX), now known as SGX-DT, Local. YCK also has more than 20 years of training and coaching experience, covering areas ranging from youth leadership, risks and rewards of trading, technical analysis, money management to financial literacy.

YCK is one of the key mentors (invited and endorsed by SGX-DT) who regularly conducts training classes for aspiring traders. He is also the key AFACT (Association of Financial And Commodity Traders) mentor who carries out mentorship programs at SGX.

Ms. Zann Kwan brings with her 16 years of professional experience in finance and investments before becoming a fintech entrepreneur 2 years ago focusing on bitcoin and blockchain technology.

Her team brought in the first public bitcoin machine in Asia, installed in Citylink Mall in Central Singapore. Her team is currently working on products and services to increase the usability and accessibility of digital currencies and to develop innovative solutions based on the blockchain technology. She has been featured on Wall Street Journal, the Straits Times, the Business Times, MyPaper, Singapore Radio 93.8 and leading publications on cryptocurrencies. She is also a frequent speaker and panelist on forums and seminars on Digital Currencies.

Before founding CoinStreet and Bitcoin Exchange, Ms Kwan was Vice President with the Government of Singapore Investment Corporation (GIC) in Real Estate. Ms Kwan started her career in financial audit with Arthur Andersen and KPMG in Singapore and the United States. Thereafter, she worked in investment management. Before moving back to Singapore, she was the Vice President of Acquisitions in Andalex Group, a real estate developer and investor in New York City.

Ms Kwan is a Chartered Financial Analyst (CFA) Charterholder, Chartered Accountant (CA, Singapore) and a Fellow of Chartered Certified Accountant (FCCA). Ms Kwan is also a board member of ACCESS - The Singapore Cryptocurrency and Blockchain Industry Association.

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*Fees are S\$120 per course (No GST) unless stated otherwise specified.
 Please refer to the course schedule on page 2 for the list of courses*

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Terms & Conditions

1. Enrolment forms, submitted through your SGX-ST Member Company's administrative departments, should reach us at least 10 business days before commencement
2. All fees must be paid before the commencement of the course. Fees are inclusive of presentation notes and refreshments, which will be provided during the course. Cheques should be crossed and made payable to "The Society of Remisiers, Singapore".
3. An official receipt will be issued after receiving full payment and the completed enrolment form. A confirmation letter detailing the course details will be sent to participants at least 1 week prior to commencement of the course. The dates/lecturers indicated are subject to change. If participants wish to make any changes to their applications or request for refund, written notice should be given 10 business days before the commencement of the course. There will be an administrative fee of \$20 of the fees paid. There will be no changes or refunds if notice is given less than 10 days before the start of the programme.
4. The Society of Remisiers, Singapore reserves the right to cancel courses due to unforeseen circumstances, and make a full refund of fees paid by each participant.
5. This continuing education programme is subjected to the existing Singapore Exchange (SGX) requirements on minimum training hours, punctuality, signing of attendance register, attendance, attire and other rules or regulations prescribed by the S

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