



**CONTINUING EDUCATION  
PROGRAMME  
FOR DEALERS & REMISIERS**

## 2021 SRS CEPDR

### Introduction

This SGX-accredited programme offers Trading Representatives a wide array of relevant and practical short courses. Through this programme, we aim to raise the level of professionalism and competency of Dealers and Remisiers.

### Live Courses

Each course is approximately 3 hours and is delivered through e-learning, or live via a conventional classroom within the Central Business District or online (Zoom). The course schedule and course synopsis are detailed in the following pages. The course lecturers' bio data are also provided for your reference. The dates and lecturers are subject to change. Registered participants will be informed of any changes in venue/date at least 10 business days before the commencement of the course, where possible.

### MAS and SGX Training Credits

All participants of in-person courses have to sign in before commencement, and participants who are more than 10 minutes late will not be allowed to mark their attendance, and no training credits would be awarded. In addition, participants also need to sign out after the completion of the course. Participants who did not sign in/out within the stipulated time will have to appeal in order to receive their training credits. The appeal will be subjected to the Education Committee's approval. Courses conducted online will have attendance records captured via a time-stamped screenshot and/or video recording.

MAS and 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\$150 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 Education Programme for Dealers and Remisiers (CEPDR).

Education Centre, the Society of Remisiers (Singapore)  
c/o 105 Cecil Street, #11-00 The Octagon Suite 1120, Singapore 069534  
Tel: 6327-5912 Email: trainingadmin@abmaximus.com

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## 2021 E-Learning (Online) (ver. 28 Dec 2020)

Course Code	Course Title	Duration (Hr)	Trainer(s)
SRS21-E01	Ethics for Representatives of Financial Firms	3	Ms Gladys Ng
SRS21-E02	Rules & Regulations for Financial Advisory Services	3	Mr Chong Lock Kuah
SRS21-E03	Introduction to Anti-Money Laundering and Terrorist Financing Legislation	3	Mr Daniel Chee
SRS21-E04	Introduction to Customer Due Diligence (CDD) for Capital Markets Intermediaries (CMI) and Financial Advisers (FA)	3	Mr Daniel Chee

### Amendment to the Securities and Futures Act (SFA 04-N09) v5 Oct 2018:

- With effect from 1 Jan 2019, all appointed representatives of Capital Market Services (CMS) licence holders and exempt Financial Institutions (FIs) are required to fulfil nine hours of mandatory Continuing Professional Development (CPD) training annually, of which six hours of training have to be **Ethics** or **Rules & Regulations** programmes that have been accredited by IBF. You may refer to MAS Notice SFA 04-N09 for more details on the amendment to the SFA.

### Accreditation of Core SFA CPD Courses:

- This programme has fulfilled the accreditation requirements and can be recognised as a Core SFA-CPD course for Ethics / Rules and Regulations for Capital Market Services representatives, as provided in MAS notice SFA04-N09.
- Please note that **in no way** does this represent an endorsement of the *quality* of the training provider and programme. Participants are advised to assess the suitability of the programme and its relevance to participants' training needs.

### Note:

- In order to qualify for Continuing Education credits, please complete all quiz questions found at the end of each section (a 70% pass rate is required) by the end of the access period or end of the calendar year whichever is earlier.
- Access to the e-learning materials is valid up to 90 days from the date the access is issued. Trading Representative who requires Continuing Education Credit and registered during the last quarter of 2021, access is valid till 31 December 2021 (i.e. access given on 24 November 2021, access is valid till 31 December 2021).
- To sign up, Trading Representatives and company sponsored individuals should use the form found at the back of this brochure and submit it through your company's training coordinator. Other Individuals may register using the same form by emailing it to [trainingadmin@abmaximus.com](mailto:trainingadmin@abmaximus.com).
- Upon successful registration, an email with the access details and password would be sent to you within 3 working days.

## Classroom/Seminar (Live/Zoom) (ver. 28 Dec 2020)

Course Title	Course Code	Trainer(s)
Contra Trading: How To Manage Trading Risk While Maximising Potential Profits	SRS1	Mr Philip Teo
Investing in Fixed Income Securities	SRS2	Mr Samuel Tan
Primer on Blockchain Technology & Industry Applications	SRS3	Dr Rex Yeap
How to Find Hidden Information in Financial Statements	SRS4	Prof SS Sandhu
Introduction to Value Investing	SRS5	Mr Puah Soon Lim
Be Your Own Portfolio Manager	SRS6	Mr Benjamin Goh
The Art of Charting – A Hands-On Approach	SRS7	Mr Ong Bee Heng
Cybersecurity for Finance Professionals and Organisations	SRS8	Dr Rex Yeap
Managing Volatility and Currency Risks in Your Portfolio	SRS9	Mr David Mok

Other available course(s) for In-House (IH)	Course Code	Trainer(s)
An Introduction to Singapore's AML & CFT Laws & Regulations	IH-WL	Ms Chee Wei Lin
Economic Indicators & Forecasting	IH-KW	Dr Tan Kee Wee
ETF Investment Strategies	IH-TW	Mr Tolmas Wong
Introduction to Investment Banking	IH-BG	Mr Benjamin Goh
Six Numbers All Investors and Their Brokers Must Know	IH-SL	Mr Puah Soon Lim
Trading Index Futures	IH-TY	Mr Tom Yuen

### Note:

- All of the above courses are available as in-house programmes for 2021 and are IBF-FTS accredited.
- The duration for each course is approximately 3 hours.
- Due to Covid19, all courses will be conducted via Zoom with a maximum capacity of 40 pax. The mode of delivery and capacity is subject to change as the COVID19 situation evolves.
- All courses are conducted on a weekday night from 6:30PM to 9:30PM unless otherwise specified.



# 2021 Course Outline

## **Contra Trading: How To Manage Trading Risk While Maximising Potential Profits by Mr Philip Teo (SRS1)**

- Understanding the mechanism of contra trading
- Finding the right kind of stocks to contra trade
- Identifying the ideal time to enter and exit a contra trade
- Sizing your contra trade correctly to manage risk
- Learning from case studies of proper and improper contra trades

## **Investing in Fixed Income Securities by Mr Samuel Tan (SRS2)**

- 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.

## **Primer on Blockchain Technology and Industry Applications by Dr Rex Yeap (SRS3)**

“The blockchain is an incorruptible digital ledger of economic transactions that can be programmed to record not just financial transactions but virtually everything of value.”– Don & Alex Tapscott, authors Blockchain Revolution (2016)

This programme provides a primer to the blockchain technology and applications in the financial industry and beyond.

The following topics will be covered:

1. Smart Nation and Blockchain technology
2. Blockchain technology and its application in the financial industry and beyond
3. Risk factors for Crypto projects: Regulations, Corporate & Scams

Participants are strongly encouraged to bring along their tablet or laptop as there are web-based activities during this course highly interactive course. For those using their tablet or phone, please set up your devices from this weblink: <http://ipm.sg/dev>



# 2021 Course Outline

## **How to Find Hidden Information in Financial Statements** by Prof SS Sandhu (SRS4)

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"

## **Introduction to Value Investing** by Mr Puah Soon Lim (SRS5)

This workshop is designed for practitioners in the stockbroking and financial advisory industry, who want to brush up their knowledge and skills in the specialized field of value investing. This workshop introduces dealer's representatives and financial advisers in providing proper advice to clients who want to build long-term wealth using a proven and tested approach. This wealth building process is executed through a systematic approach of diligent research and patient execution of an investment strategy that fits the risk appetite and investment objectives of clients.

This workshop introduces the participants to both the key concepts and the practical aspects of investing in undervalued securities. The key investment approach is based on philosophy of value investing as expounded by Benjamin Graham and successfully adopted by Warren Buffet.

After completing the Introduction to Value Investing workshop,, participants should be able to:

- Define a set of value investing objectives that fit your needs and risk profile.
- Construct primary screening criteria that will identify stocks matching your objective.
- Perform financial and business analysis on selected companies to confirm their financial strengths and business moat.



# 2021 Course Outline

## **Be Your Own Portfolio Manager by Mr Benjamin Goh (SRS6)**

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.

## **The Art of Charting – A Hands-on Approach by Mr Ong Bee Heng (SRS7)**

3 hours of practical workshop for beginners with little or no charting experience. The best way to learn technical analysis is to set up a proper charting platform and perform the actual chart analysis through drawing of various types of support and resistance

Outline:

- The concept and application of technical analysis
- The concept of price and volume
- The keys to identify the short term, mid-term and long term stock trend
- Setting up of charting software for daily and weekly analysis of stock prices
- Key indicators and their settings and applications
- Practical lesson. Charting the support and resistance
- Practical lesson. Charting the trend line and channel



# 2021 Course Outline

## **Cybersecurity for Finance Professionals and Organisations by Dr Rex Yeap (SRS8)**

Objective: For TRs and other finance professionals to gain a better understanding about cyber security, identify its threats and challenges, and how to effectively mitigate the risk in today's fast-growing digital world.

"... *Cyber threats and attacks are becoming more sophisticated, with more severe consequences. We cannot take cybersecurity for granted.*" Prime Minister Lee Hsien Long, in Singapore's Cybersecurity Strategy (Cyber Security Agency of Singapore).

This course review a variety of as well as up-to-date cyber threats to both (i) organisations as well as for (ii) individuals, especially those who handle numerous financial trades either on their own or their clients. Upon understanding various cyber threats and attacks, different strategies as well as tools will be introduced to mitigate the risks from financial losses, data breaches as well as intellectual property theft. Forensic autopsies will also be performed on various local and overseas cyber attacks and data breaches with proposed remedies. Participants are strongly encouraged to share their prior bad experiences relating to cyber attacks, data breaches or any information security related compromises - where possible, the trainer will propose various measures, tools and actions one can take to rectify and prevent such issues from recurring.

Each participant will also be given unlimited access to a curated knowledge bases covering

- (i) Information Security
- (ii) Cyber Forensics
- (iii) Data Protection & Privacy.

Note: Participants are strongly encouraged to bring along their tablet or laptop as there are web-based activities during this course highly interactive course. For those using their tablet or phone, please set up your devices from this web link: <http://ipm.sg/dev>

## **Managing Volatility and Currency Risks in Your Portfolio by Mr David Mok (SRS9)**

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





# 2021 Course Outline

## **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

## **IH Topic : Economic Indicators & Forecasting (IH-KW)** by Dr Tan Kee Wee

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

## **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



# 2021 Course Outline

## **IH Topic : Introduction to Investment Banking (IH-BG) by Mr Benjamin Goh**

- 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)

## **IH Topic : Six Numbers All Investors and Their Brokers Must Know (IH-SL) by Mr Puhah Soon Lim**

Through these six numbers, this workshop provides the conceptual foundation towards understanding the financial markets. These six numbers if well understood by the practitioners, would make navigating the complex world of investing a lot easier.

This short course will help participants ask the right questions to guide them in their investment decisions. It is not a blueprint for beating the market but a commonsense approach for understanding the conceptual basics of investing.

Course Outline:

The six numbers that form the foundation of investing are:

1. The number for measuring return
2. The number for measuring risk
3. The number for understanding diversification
4. The number for valuation
5. The number for leverage
6. The number for expense

## **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

# 2021 E-Learning Course Outline

**Duration: 3 Hours**

Eligible for  
**SFA CPD & FAA CPD**  
Hours



## **Ethics for Representatives of Financial Firms**

By Ms Gladys Ng

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

**Learning Outcomes:**

### Ethical Principles

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

### Execution & Operations

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

### Conflicts of Interest

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

# 2021 E-Learning Course Outline

**Duration: 3 Hours**

Eligible for  
**SFA CPD & FAA CPD**  
Hours



## **Rules & Regulations for Financial Advisory Services** By Mr Chong Lock Kuah

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

# 2021 E-Learning Course Outline

**Duration: 3 Hours**

Eligible for  
**SFA CPD & FAA CPD**  
Hours



## **Introduction To Anti-Money Laundering & Terrorist Financing Legislation**

By Mr Daniel Chee

**Objective:** To gain basic understanding of money laundering and terrorist financing and the legal obligations imposed by anti-money laundering legislation

### Section A

- Understanding money laundering and offences under anti-money laundering legislation
- What is money laundering
- Three stages of money laundering
- Obligations imposed by anti-money laundering legislation
- Offences under anti-money laundering, including failure to report suspicious transactions and tipping off

### Section B

- Understanding terrorist financing and offences under anti-terrorist financing legislation
- What is terrorist financing
- Difference between money laundering and terrorist financing
- Offences under anti-money laundering

### Section C

- Understanding your responsibilities in compliance with anti-money laundering and terrorist financing legislation
- Customer due diligence
- Record keeping and retention
- Reporting suspicious transactions
- Avoid tipping off

# 2021 E-Learning Course Outline

**Duration: 3 Hours**

Eligible for  
**SFA CPD & FAA CPD**  
Hours



## **Introduction to Customer Due Diligence (CDD) for Capital Markets Intermediaries (CMI) and Financial Advisers (FA)** By Mr Daniel Chee

The objective of the seminar is to provide an understanding of the responsibilities of CMI and FA to conduct customer due diligence on customers as require by legislations in relation to the prevention of money laundering and countering the financing of terrorism.

The topics covered will be the CDD guidelines according to the MAS Notice SFA04-N02 and MAS Notice FAA - N06

- Anonymous account (CMI)
- Fictitious account (CMI)
- Customers who are portfolio manager (FA)
- When CDD is to be performed
- Identification of customer
- Verification of identity of customer
- Identification and verification of identity of natural person appointed to act on a customer's behalf
- Identification and verification of identity of beneficial owner
- Identification of beneficiary
- Information on the purpose and intended nature of business relations
- Ongoing monitoring
- CDD Measures for Non-Face-to-Face Business Relations
- Reliance by Acquiring CMI on Measures Already Performed
- Measures for Non-Account Holder
- Timing for Verification
- Where Measures are Not Completed
- Existing Customers
- Screening
- Simplified Customer Due Diligence
- Enhanced Customer Due Diligence
  - Politically Exposed Persons
  - Other Higher Risk Categories
- Reliance on third parties



# Trainer's Profile

**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

**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 was volunteer trainer on financial literacy for women.

As a triple professional, she is subject to ethics for CA (Singapore), CFA charterholders and lawyers. Gladys holds ACTA and DACE and is a Specialist Adult Educator (Curriculum Development).

**Mr. Daniel Chee (FCA Singapore, FCPA Australia)** has more than 15 years of professional experience in the financial sector and more than 5 years of senior management experience in multinational corporations. His academic experience includes eight years with the business school of the National University of Singapore as an adjunct associate professor and he is currently an adjunct professor with the Singapore University of Social Sciences. He is a regular trainer for the continuing professional education programmes run by the Institute of Singapore Chartered Accountants.

**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.





# Trainer's Profile

**Mr. Philip Teo** is the Founder and CEO of Traderwave Pte Ltd, a financial technology company that offers a financial market technical analysis web application to global retail and professional traders, to help them shortlist, analyze and monitor their trade ideas from any computer that has internet access. Prior to his entrepreneurship endeavor, Philip served as the Chief Technical Analyst for OCBC Investment Research for 7 years, during which he offered his technical advisory services on global stocks, indices, forex and commodities to OCBC trading representatives, as well as their retail, premium and private clients. Philip's technical analysis reports were frequently quoted by various business news providers like Bloomberg, Dow Jones and The Edge. He also had the opportunity to present in "Crash Course", a TV show hosted by Steven Chia of Channel NewsAsia, to teach CNA viewers how to use technical analysis to make investment decisions. During his tenure with OCBC, Philip also conducted trading seminars on a regular basis to many thousands of OCBC customers, with the aim of educating them on the importance and the know-how of applying technical analysis techniques in trading the financial markets.

Externally, Philip has also spoken in Invest Fair Singapore, SIM Youth Financial Symposium, as well as conducted trainings for the NTU Invest Academy and SIM Young Investor Workshop. Following his graduation from Nanyang Technological University with a degree in Mechanical and Aerospace Engineering, Philip worked in the engineering field for about three years before making a career switch into the finance industry. Philip first became interested in the stock market during his undergraduate days and had ironically, started off as an avid student of the value investing methodology of the stock market. Subsequently, by a stroke of luck, he was exposed to technical analysis in his job as an investment analyst and has not looked back ever since. He is now a passionate advocator of using technical analysis as the main tool to analyze and trade the financial markets. It was also with this enlightenment that Philip made the decision to depart his comfortable role as the Chief Technical Analyst of OCBC Investment Research, to start Traderwave Pte Ltd. He hopes that Traderwave can become the platform to provide retail traders with both the knowledge and tools to become more proficient and profitable in their trading journey.

**Mr. Ong Bee Heng** is a Trading Representative with UOB Kay Hian Pte Ltd. He graduated from Nanyang Technological University with a Bachelor in Engineering (Honours) and started his career as a research and development engineer with a renowned firm in Singapore. He developed a strong interest in trading while working as an engineer. He left the engineering field and joined the stockbroking industry in 2006. Bee Heng has a Diploma in Wealth Management which was accredited by the American Academy of Financial Management (AAFAM).

Bee Heng is a strong believer and practitioner of technical analysis. He has spent extensive hours researching on the topics of technical analysis. His passion for equity trading led him to combine the western technical analysis methods with the Japanese candlestick charting technique to make his trading decisions. Bee Heng is an active contributor in InvestingNote, a social network platform for sharing of investing or trading ideas on stock markets. He has conducted various seminars and workshops for his clients and InvestingNote community. He is an active trader in the Singapore, Hong Kong and U.S. stock markets where he constantly updates and provides his clients with investing and trading opportunities.



# Trainer's Profile

**Dr. Rex Yeap** is a Partner of an IP strategy, creation, commercialization where he directs efforts towards the creation & commercialization of novel inventions/patents, and invests in early stage companies. He also a white-hat hacker and has a cyber security & forensic practice specializing in data analysis, examination and act as an expert witness for cyber forensic cases. Dr. Yeap enjoyed coding since the 80s till today involving copy protection schemes, computer virus autopsy & solutions, petabyte-scale cryptography and blockchain systems. He is part of the Adjunct Faculty at Nanyang Technological University and has extensive lectureship and facilitation experiences for both Masters and Bachelor degrees (1998 – present) in the area of computing and business management. Dr. Yeap also lectured Cyber Forensics in the Bachelor of Science in Cyber Forensics, Information Security & Management and Management (Murdoch University). Dr. Yeap's list of data/cybersecurity patents is available here: <http://ye.sg/patents>

**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 2000s, 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.



# Trainer's Profile

**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.

**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.

**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.

c/o 105 Cecil Street, #11-00  
 The Octagon Suite 1120, Singapore 069534  
 Tel: 6327-5912  
 Email: trainingadmin@abmaximus.com

**The Society of Remisiers (Singapore)  
 2021 CEPDR Enrolment Form**

Name (Full Name as in NRIC): \_\_\_\_\_

Trading Representative License #: \_\_\_\_\_

Company: \_\_\_\_\_

Coordinator / TR Tel: \_\_\_\_\_ TR Email: \_\_\_\_\_

Bank: \_\_\_\_\_ Cheque #: \_\_\_\_\_ Total Fees Paid (No GST): \_\_\_\_\_

*Fees are S\$150 per course (No GST) unless stated otherwise specified.  
 Please refer to page 2 & 3 for the list of courses*

**I wish to register for:**

	Course Code	Course Title
1		
2		
3		

*Live courses are subject to availability on a "First-Come, First Served" basis  
 For updated information about the above courses,  
 Please contact 6327-5912 or visit [www.remisiers.org](http://www.remisiers.org)*

**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.
4. Live courses: 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.
5. E-learning courses: Upon successful registration, an email with the access details and password would be sent to you within 3 working days. If participants wish to make any changes to their applications or request for a refund, written notice should be given within 10 business days of receiving the access ID and password to the online programme and provided the access has not been utilised. There will be an administrative fee of 20% of the fees paid. There will be no changes or refund if notice is given thereafter or if the access has been utilised.
6. 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.
7. This continuing education programme is subjected to the existing Singapore Exchange (SGX) requirements on minimum training hours, punctuality, signing off attendance register, attendance, attire and other rules or regulations prescribed by the SGX.

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I hereby agree by terms and conditions stipulated above:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Continuing Education Programme & CMFAS Licensing Examination Preparation Courses

## Education Centre:

105 Cecil Street, #11-00 The Octagon Suite 1120,  
Singapore 069534

Tel: 6327-5912

Email: [trainingadmin@abmaximus.com](mailto:trainingadmin@abmaximus.com)

Website: [www.remisiers.org](http://www.remisiers.org)

## Membership & General Enquiries

### Secretariat:

271 Bukit Timah Road #03-04 Balmoral Plaza,  
Singapore 259708

Tel: 6735-1172 Fax: 6735-1773

Email: [secretariat@remisiers.org](mailto:secretariat@remisiers.org)