

A large, stylized version of the AI Stock logo, consisting of a green circular icon with a white stylized 'C' and a small gear-like shape, followed by the text 'AI Stock' in a bold, green, sans-serif font.

# Contents

<b>Chapter 1: Market Background Overview .....</b>	<b>4</b>
1.1 The AI market is developing rapidly .....	4
1.2 The integration of AI and the financial markets .....	6
1.3 The arrival of the era of AI-driven intelligent stock trading .....	8
1.4 AI Stock The rise of platforms .....	11
<b>Chapter 2: An Overview of the AI Stock Project .....</b>	<b>13</b>
2.1 Introduction to AI Stock .....	13
2.2 Alvest Securities Limited .....	15
2.3 AI Stock Core services .....	18
2.4 Strategic cooperation .....	20
<b>Chapter 3: The Top Global Team .....</b>	<b>22</b>
3.1 Core team .....	22
3.2 Investment team .....	23
3.3 Technology development team .....	24
<b>Chapter 4: AI Intelligent trading system .....</b>	<b>26</b>
4.1 AI transaction mode .....	26
4.2 Trading operation planning .....	28
4.3 Summary of platform trading common questions .....	31
4.4 Core advantages of the system .....	34
4.5 Multi-strategy combination model .....	35
4.6 Multiple technical support .....	37
<b>Chapter 5: Portfolio Supporting market .....</b>	<b>40</b>
5.1 ETF fund .....	40
5.2 Play new shares .....	42
5.3 Risk capital .....	44

5.4 Cornerstone solid income .....	45
5.5 International investment .....	46
<b>Chapter 6: Market Development and Compliance Construction .....</b>	<b>47</b>
6.1 Resource advantage integration .....	47
6.2 The AI Intelligent Trading Investment and Development Fund .....	49
6.3 Anti-money laundering and compliance .....	51
6.4 Integrated risk management and control .....	52
6.5 Market cooperation .....	53
6.6 Platform brand building .....	54
<b>Chapter 7: Statement and Disclaimer .....</b>	<b>56</b>
7.1 legal restraint .....	56
7.2 Fraud and fraud alerts .....	56
7.3 Disclaimer .....	57
7.4 Intellectual property right .....	59
7.5 Maintain secrecy .....	60



# Chapter 1: An Overview of the Market Background

## 1.1 The AI market is developing rapidly

In 2024, technologies such as deep learning and natural language processing will continue to be optimized, data processing and analysis capabilities will be rapidly improved, AI (artificial intelligence) applications will shift from "enhanced knowledge" to "enhanced execution", and autonomous decision-making and complex task execution capabilities will be significantly optimized. At the same time, small models are also redefining the practicability and sustainability of AI with the advantage of efficiency and precision.

In recent years, the development of Artificial Intelligence (AI) can be described as rapid progress, and it has been rapidly integrated into all walks of life such as economy, society and life, igniting a prairie fire around the world. International Data Corporation (IDC) recently released the "Global Artificial Intelligence market half-yearly report" predicted that the field of artificial intelligence will continue to advance in the future, and the artificial intelligence market will maintain double-digit growth until 2025. Moreover, language, sound, and vision technologies, as well as multimodal solutions, will see significant advances, revolutionizing "human efficiency." According to a report by Next Move Strategy Consulting, the market for artificial intelligence is promising and is expected to grow 20-fold over the next decade. Currently, the market for artificial intelligence is worth nearly \$100 billion, and the figure is expected to reach nearly \$2 trillion by 2030.

- Deep learning and big model dominance: Deep learning technology continues to deepen, and big models become the core driving force. The emergence of Transformer architecture, for example, has promoted the development of GPT, BERT and other models, and greatly improved the performance of AI in natural language processing, image recognition and other fields. From GPT-4 to GPT-4o and then to o1-preview, OpenAI opened the age of AGI, and the large models represented by Deepseek also rose rapidly.

- The trend of multi-modal fusion is obvious: AI research is expanding in the direction of multi-modal information, including language, vision, and audio, so that AI can understand and process complex tasks more comprehensively, and better simulate human perception and cognition.
- Giant leadership coexists with the rise of startups: Technology giants such as Microsoft, Google, Nvidia, Baidu and Tencent are widely deployed in the field of AI by virtue of their capital, technology and data advantages. At the same time, a large number of startups are focusing on niche areas, such as companies focusing on financial AI and intelligent investment, gaining market share with innovative technologies and unique business models.

According to Omdia's report, the market for AI application services reached \$97 billion in 2024, up 32% from 2023, and is expected to reach \$218 billion by 2029, representing a compound annual growth rate of 18%. With the help of AI, the global financial technology has also ushered in explosive development, and AI is penetrating into various fields of finance at an unprecedented speed. BlackRock, JPMorgan Chase, Goldman Sachs, Temasek, GIC and other top international institutions and investment banks have access to AI services.

At present, the world's major economies are taking AI as a major strategy to enhance national competitiveness and safeguard national security. Since 2013, more than 20 countries and regions, including the United States, China, the European Union, the United Kingdom, Japan, Germany, France, the Republic of Korea, India, Denmark, Finland, New Zealand, Russia, Canada, Singapore, the United Arab Emirates, Italy, Sweden, the Netherlands, Vietnam and Spain, have released AI-related strategies, plans or major plans. More and more countries have joined the queue to lay out artificial intelligence, escorting the landing of their own artificial intelligence from the aspects of policy, capital, technical personnel training, and application infrastructure construction.

The development and application of artificial intelligence technology has become one of the trends of today's society, and its unique advantages and wide application fields have brought huge business opportunities for the market development. With the continuous iterative upgrading of big data technology and the increasing maturity of artificial intelligence algorithms, we have reason to foresee that in the near future, artificial intelligence will play a more central role in the market, create greater value space for enterprises, and promote the market into a new era of intelligence.

## 1.2 The integration of AI and financial market

The application of AI in the financial market is continuing to deepen. At the technical level, it realizes the coordinated development of large and small models and the integration of multi-modal technologies. At the application level, it realizes the deepening of intelligent investment research, the upgrading of intelligent customer service, the acceleration of financial product innovation and the expansion of risk management. At the same time, the industry is widely penetrated and cross-industry integration is deepening.

The continuously optimized AI large model is empowering the development of the financial market in multiple dimensions:

### 1) Improve the efficiency and accuracy of investment decisions

- Fast processing of massive data: The amount of financial market data is huge and complex, and AI can quickly collect, sort out and analyze all kinds of data, including macroeconomic data, corporate financial statements, market transaction data, etc., providing investors with a comprehensive information basis, helping investors to grasp market dynamics in a short time and make more timely investment decisions.
- Precise mining of investment opportunities: Through machine learning algorithms, AI can find hidden patterns, trends and correlations in data, and mine investment opportunities that are difficult to detect with traditional analysis methods.
- Optimize risk assessment and management: AI can build a more accurate risk assessment model, comprehensively consider more risk factors, accurately quantify and predict the risks of investment projects, and help investors better control risks and optimize investment portfolios.

### 2) Improve customer service experience

- Personalized services of intelligent investment advisers: AI intelligent investment advisers can tailor personalized investment plans according to each investor's risk appetite, asset status, investment objectives and other

factors, providing investors with professional investment advice to meet the diversified needs of different customers, especially for ordinary investors who lack professional investment knowledge.

- Intelligent customer service efficient response: With the help of natural language processing technology, intelligent customer service can answer customers' questions in real time, solve customers' inquiries and complaints, provide 24/7 service support, improve customer service efficiency and satisfaction, so that customers can more easily access to investment information and services.

### **3) Reduce operating costs**

- Automated task process: AI can automate some tedious and repetitive work tasks, such as the issuance of trading instructions, data entry and sorting, and the generation of statements, etc., reducing manual operations, reducing labor costs and operational risks, and improving the operational efficiency of financial institutions.
- Reduce the cost of information acquisition: AI can quickly screen and analyze a large amount of financial information, help investors and financial institutions obtain valuable information more efficiently, reduce the cost of information collection and analysis, and improve the efficiency of information utilization.

### **4) Promote market innovation and development**

- Promote financial product innovation: AI provides new ideas and technical support for the design and innovation of financial products, prompting financial institutions to develop more personalized and differentiated financial products and services to meet the needs of different investors and enrich the product types of the financial market.
- Improve market liquidity and efficiency: AI can improve the pricing efficiency, liquidity and price discovery function of the market, making the financial market more efficient, transparent and fair. For example, in quantitative trading, AI algorithms can quickly make trading decisions based on market changes, improving market liquidity and trading efficiency.

In the financial market, from intelligent investment advisory and market analysis, to risk assessment and management, asset allocation, to intelligent customer service, intelligent customer acquisition and marketing, and market prediction..... AI has penetrated into every link of the financial and investment wealth management market, and has continuously optimized the operation mode of financial investment and subverted the return value.



### 1.3 Arrival of the era of intelligent stock trading driven by AI

With the rapid development of AI technology, the application of AI in the stock market has become a new trend. Investors are starting to use AI to trade stocks, which marks a new era for the stock market.

With the arrival of the era of intelligent stock trading driven by AI, the main table has changed in the following aspects:

## 1) Investment decision intelligence

- Data processing and analysis: AI can process massive multi-source data, including news reports, social media public opinion, macroeconomic data, industry dynamics and other unstructured data, in addition to traditional data such as stock prices, trading volume, and company financial reports. Through machine learning and deep learning algorithms, AI can mine hidden patterns, trends and associations from these data to provide more comprehensive information support for investment decisions.
- Precision of market prediction: Based on the learning and analysis of a large amount of data, AI models can capture the non-linear relationship and complex laws of the market, so as to make more accurate predictions of stock price trends and market trends. For example, some quantitative investment companies use AI models to predict short-term stock fluctuations and provide decision-making basis for high-frequency trading; And for long-term investors, AI can predict the impact of macroeconomic cycles on the stock market and help formulate asset allocation strategies.

## 2) Automation of trade execution

- High-frequency trading: HFT utilizes AI and low-latency technology to make trade decisions and execute in milliseconds or even microseconds. AI algorithms can monitor small fluctuations in market prices in real time, quickly catch fleeting trading opportunities, and make a large number of buying and selling operations in a short period of time, thereby reaping profits.
- Intelligent order execution system: Through the AI-based intelligent order execution system, institutional investors can intelligently adjust the execution time, scale and price of orders according to real-time market conditions to achieve the best trading results. The system can dynamically analyze market depth, liquidity, buying and selling pressure and other factors, to avoid large impact on market prices due to the centralized execution of large-scale orders, and reduce transaction costs.

## 3) Intelligent risk management

- Risk identification and early warning: AI system can monitor market dynamics

and portfolio changes in real time, through the analysis of a large amount of data and model calculation, timely find potential risk factors, such as increased market volatility, the deterioration of the company's financial situation, and the intensification of industry competition, and send early warning signals to investors. Compared with traditional risk monitoring methods, AI can identify risks more quickly and accurately, and help investors take measures to deal with them in advance.

- Risk assessment and control: AI can quantitatively assess the risks of investment portfolios by building complex risk assessment models, and provide investors with more accurate risk indicators, such as value at risk (VaR), expected loss (ES), etc. At the same time, according to the results of risk assessment, AI algorithm can automatically adjust the asset allocation of the investment portfolio, reduce risk exposure, and realize effective risk control.

#### 4) Personalized investment services

- Intelligent advisers: AI intelligent advisers can use algorithms and models to tailor personalized investment portfolio solutions for investors based on their personal information such as risk tolerance, investment goals, financial status and investment preferences. And dynamically adjust the investment portfolio according to market changes and investors' situation, to achieve long-term stable appreciation of assets.
- Intelligent customer service and investment advice: AI intelligent customer service based on natural language processing technology can understand investors' questions and provide accurate and timely answers and suggestions. It can provide investors with market analysis, stock recommendation, investment strategy interpretation and other services to meet investors' individual needs and improve investment experience.

In general, the way AI affects the stock market is mainly through several aspects such as algorithmic trading, risk management and market sentiment analysis. Algorithmic trading uses advanced mathematical models and computer technology to automatically execute trading orders according to preset market strategies, and can complete a large number of trades within milliseconds, which not only improves trading efficiency, but also helps reduce trading costs. In terms of risk management, AI can monitor the market 24 hours a day, identify potential

risk factors in real time, and provide risk warnings for investors. In market sentiment analysis, AI analyzes investor sentiment through social media, news reports and other data, so as to predict market trends.

In the future, as AI technology continues to improve and optimize, it is reasonable to believe that it will continue to play an increasingly important role in stock market forecasting and trading. For investors, learning to take advantage of this powerful tool will greatly improve the odds of investment and meet the possible great bull market in the stock market.



## 1.4 Rise of the AI Stock platform

At present, AI intelligent trading is generally tested by means of massive data simulation test and simulation operation, and based on certain risk management algorithms, position and capital allocation to minimize risks and maximize returns, but there are often some potential risks, including:

- Integrity of historical data. Incomplete market data can result in mismatches between models and market data. The style conversion of the market data itself may also lead to the failure of the model, such as trading liquidity, price fluctuation amplitude, price fluctuation frequency, etc., which is difficult to overcome in the current trading.
- Position and capital allocation are not considered in the model design, and there is no safe risk assessment and preventive measures, which may lead to the mismatch of funds, positions and models, and the phenomenon of open

positions.

- Network outages and hardware failures may also have an impact on trading.
- Homogeneous models create risks resulting from competitive trading phenomena.
- Unpredictable risk resulting from a single portfolio.

Based on this, Alvest Securities Limited is determined to solve the pain points of the industry by introducing multi-strategy combination and application of intelligent algorithm, machine learning, deep learning and edge computing through AI technology, and create new value return space for intelligent stock trading investment belt. At the same time, in order to avoid or reduce the potential risks of trading, Alvest Securities adopts more innovative strategies:

- Ensure the integrity of historical data;
- Online adjustment of model parameters;
- Select model type online;
- Risk online monitoring and avoidance, etc.

At present, AI intelligent trading, as a potential trend of stock investment, is being accepted by more and more users/investors, and the market has a broad prospect. In the future, perhaps some low-tech strategic operations will gradually be replaced by programmed trading, then the professional demand of this industry may be reduced correspondingly, but relatively, some procedures can not be artificial judgment and operation, will become more rare and important, and the final transaction will become a process of human and artificial intelligence interaction, facing the market together.

Based on this, Alvest Securities Limited continues to build the world's leading Stock and securities investment service platform -- AI Stock, with a view to creating higher value returns for users around the world in this blue ocean market. So that every participant can hold and obtain diversified returns such as stock AI intelligent trading, custody, arbitrage, investment and financial management.

# Chapter 2 : an overview of AI Stock project

## 2.1 Introduction of AI Stock

AI Stock is the world's leading stock and securities investment service platform, aiming to lead the smart investment revolution and become the world's leading smart investment platform to empower investors through innovative technology and superior investment strategies. AI Stock is committed to driving the digital transformation market in the financial industry, enabling every investor to operate in an efficient, transparent and secure environment. At the same time, it will build a globally usable intelligent investment bridge to give investors in different regions easy access to quality financial services.

AI Stock has achieved great success with its AI-driven investment strategy and is known as one of the best US stock investment institutions. And to the world to provide:

- Smart Investment Strategies: Using artificial intelligence (AI) and big data analytics, AI Stock provides precise market insights to help clients make informed investment decisions. AI Stock's AI-driven models automatically adjust strategies based on market data to optimize investment returns. AI Stock combines technical analysis and fundamental analysis to provide clients with comprehensive market insights, including in-depth analysis of various markets, such as stocks, bonds, futures and more.
- Personalized investment plan: AI Stock is tailored to each client's needs, risk tolerance, and financial goals. Whether it's long-term investing, short-term trading, or special asset allocation, AI Stock offers customized solutions. AI Stock develops personalized investment strategies based on clients' financial goals. Our AI-driven models provide real-time data and forecasts to help guide investment decisions.
- Efficient customer support and service: With professional customer support available 24/7, AI Stock provides timely and professional service assistance.

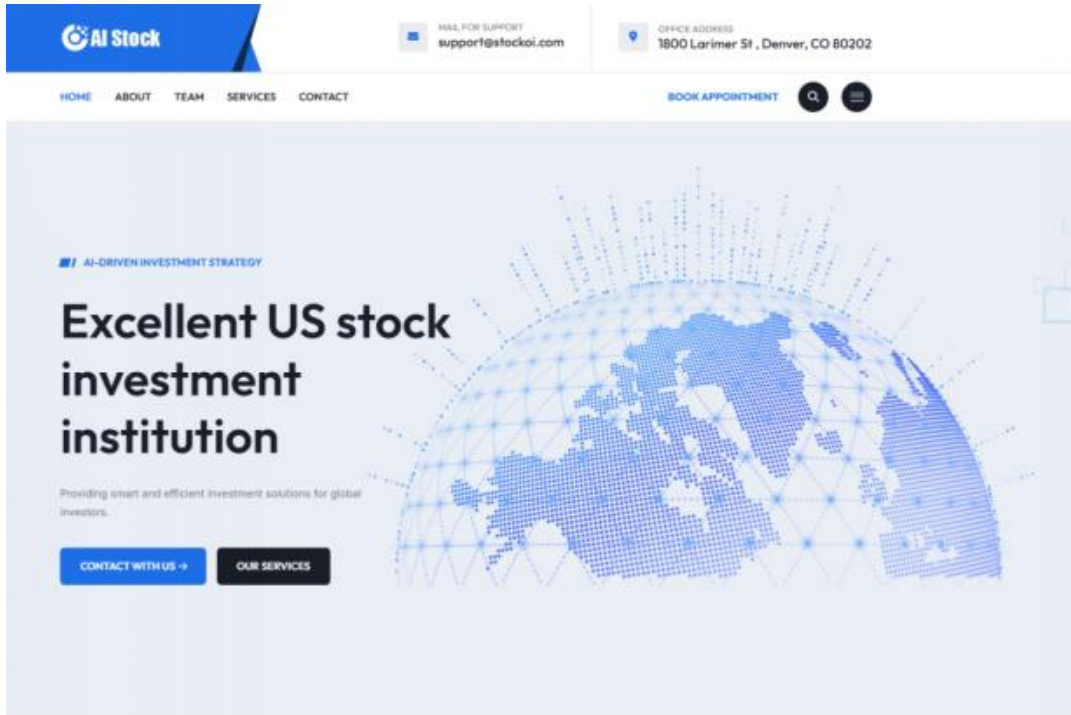
Whether it is account management, trading advice or investment advice, AI Stock ensures that clients' needs are addressed quickly.

- Risk management: AI Stock regularly stress-tests portfolios to simulate how they will perform under different market scenarios for investing. This helps to assess potential extreme risks and prepare clients in advance for any challenges that may arise.

Since its inception, the AI Stock platform has aspires to be a leader in AI intelligent trading and investment, and has been well received by the market. "Since using AI Stock, my investment returns have increased significantly. AI algorithms have helped me identify opportunities in many markets and my portfolio has become more diversified and robust," he said. Through continuous intensive and large financial data model training, AI Stock has formed its own large financial investment model. It has developed a "SmartTrade simulator", which uses historical data and simulated trading environment to continuously optimize the algorithm, and completes millions of virtual drills before practical application to ensure that every portfolio proposal is rigorously verified. So that more investors and developers, institutional investors, etc., can get rich returns.

Up to now, AI Stock has established a global layout, covering more than 120 countries and regions around the world, and has set up core offices in London, Los Angeles, Hong Kong, Vienna, Tokyo, Singapore, Toronto, Melbourne, Dubai and so on. There are more than 500,000 core individual users and more than 10,000 core institutional users, and they are in a continuous growth trend.

In terms of language adaptation, AI Stock supports English, Korean, Japanese, Thai, Chinese, Arabic, Russian, German, French, etc. In the future, it will support 100 languages including Spanish, Italian, Vietnamese, Indonesian, etc., to continue to provide high-quality services for global investors.



## 2.2 Alvest Securities Limited

Alvest Securities Limited, the parent company of AI Stock, is a leading global provider of equities and securities services.

As a company dedicated to providing intelligent and efficient investment solutions to global investors, Alvest Securities Limited integrates artificial intelligence (AI) and big data analytics to serve its clients with precise market insights and innovative investment strategies.

Alvest Securities Limited's mission is to empower investment through technology to enable global investors to enjoy efficient, secure and transparent financial services. Whether institutional or individual investors, Alvest Securities Limited is a trusted investment partner for the market.

Alvest Securities Limited's vision is to build AI Stock into a leading global intelligent investment platform that helps investors achieve their financial goals as well as outstanding investment strategies through innovative technologies. At the same time, Alvest is committed to driving the transformation of digital financial markets so that every investor can make informed decisions in an efficient, transparent and secure environment.

Alvest Securities Limited provides artificial intelligence technology and intelligent strategy support for ordinary investors. Traders can flexibly choose AI trading strategies, aggregate market liquidity while achieving maximum returns, and help traders find the direction of market changes earlier, so that traders can face the changes of global bull and bear markets in a calm manner. And gain early profits.

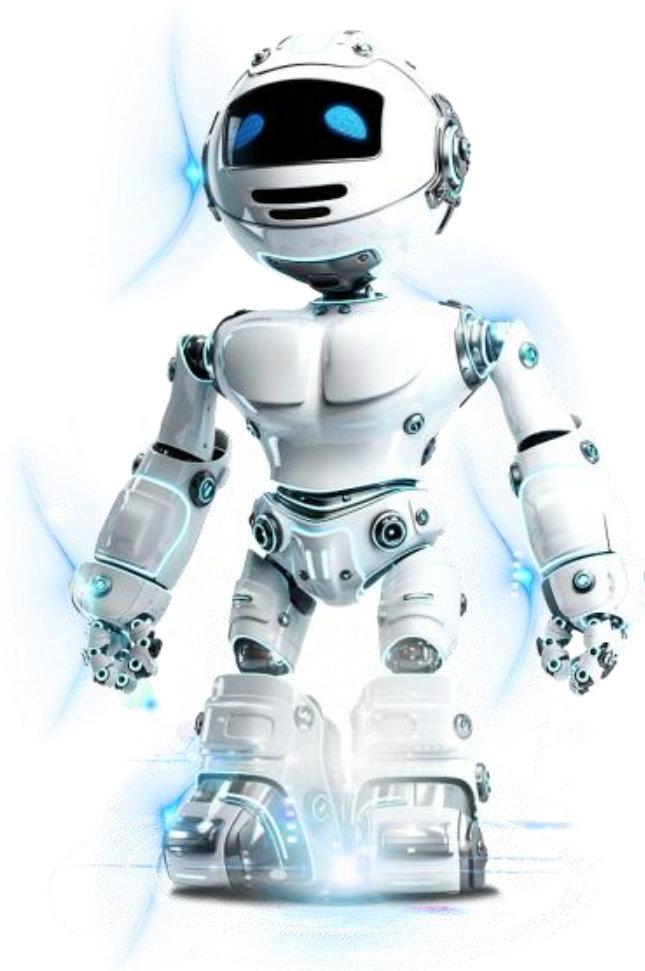
- Alvest Securities Limited was one of the first organisations to look into AI investment trading and is well ahead in the field of AI-based investment applications. It is committed to making the general public have the opportunity to enjoy the financial value contained in their financial assets, and the users of financial business also have the opportunity to enjoy the services at a lower cost. The operation efficiency of the entire financial system has been greatly improved, while the cost has been greatly reduced.
- Alvest Securities Limited participated in or independently developed the artificial intelligence trading business system, which has served more than 2 million users in more than 80 countries around the world. Relying on the relevant partners of the Foundation to invest in quantitative trading institutions, Alvest Securities provides users around the world with stable investment income protection.

In terms of applied research on AI, Alvest Securities Limited owns two core research and development institutions, namely Intelligent Industry Research Institute and AI Strategy Center:

- Intelligent Industry Research Institute: Relying on artificial intelligence

technology with massive data and supercomputing capabilities, it deepens AI industry practice and cutting-edge research, and participates in report research at various levels in many countries based on case results; To build an influential AI industry frontier think tank through openness, cooperation, co-construction and sharing.

- AI Strategy Center: With the goal of leading the intelligent transformation of enterprises by AI, it focuses on the development and change of artificial intelligence industry, as well as the intelligent transformation and upgrading of traditional industries. It is building an AI+ industry ecosystem through industrial research LABS, research reports, case studies, AI strategy camp, chief intelligence officer training and other projects with the AI strategy Center as the carrier.



## 2.3 Core services of AI Stock

AI Stock service modules and processes include:

- **Setting investment goals:** Setting clear investment goals is the first step in developing an investment plan. Investment goals should be specific, measurable and actionable, with both short - and long-term goals.
- **Risk assessment:** Investors need to understand and assess their risk tolerance, i.e. how volatile it will be and the potential losses they may endure in the investment process.
- **Asset allocation:** Investment funds should be allocated to different asset types based on risk tolerance, financial objectives and market outlook. Proper asset allocation helps to spread risk and optimise returns.
- **Regular evaluation and adjustment:** The portfolio needs to be evaluated and adjusted regularly according to market changes and personal goals. By regularly reviewing the performance of your portfolio, you can ensure that it is aligned with its stated goals and responds to the way the market is changing in a timely manner.
- **Tax and legal considerations:** Proper tax planning can be effective in reducing tax burdens and ensuring maximum investment returns.
- **Market monitoring:** Continuous monitoring of market dynamics and trends is essential to fine-tune investment strategies. By tracking market changes, economic indicators and industry developments you can make informed decisions in real time.

Under the AI intelligent strategy, AI Stock's service process covers the investor's investment life cycle management, so that investment returns can be maximized. At the same time, AI Stock has diversified portfolio modules:

- **Stock investment:** Stock investment means that AI Stock establishes a special asset management plan and raises funds, obtains corporate equity by means of equity capital increase or equity transfer, and obtains income in the future through equity dividend or reduction transfer, so as to provide investors with

long-term stable investment returns.

- Fund investment: On the basis of strict risk control, AI Stock strives to realize the long-term stable appreciation of fund assets by using the total return strategy that favors long-term investment and starting from in-depth research on individual stocks.
- Wealth Management: Wealth management is a global asset allocation solution for high net worth clients. Through a market wide and multi-dimensional product screening and risk control system, AI Stock provides clients with a global financial product line with private equity, public funds, sunshine private equity, overseas investment, fixed income products and asset management plans as the main body. It also provides the world's most advanced "customized account" financial management model to investors to meet the diversified and personalized financial needs of customers.
- Advisory services: Gather thousands of fund products in the global market, match AI Stock's leading investment and research strategies, and be managed by a professional team throughout the process to help investors obtain good long-term returns. Focus on the leading opportunities of the whole market, capture excellent fund managers, share the dividends of the rising stage of the industry track, harvest the investment experience of peace of mind, and strive for long-term competitive investment returns.
- Alternative asset investment management: including, debt investment, income right financing, specific asset management, etc. AI Stock is also actively expanding the field of intelligent investment based on AI technology, in order to meet the needs of different investors around the world.



### Setting Investment Goals

Setting clear investment goals is the first step in creating an investment plan. Investment goals should be specific, measurable, and feasible, including both short-term and long-term objectives.



### Risk Assessment

Investors need to understand and assess their risk tolerance, meaning how much volatility and potential loss they can endure during the investment process.



### Asset Allocation

Based on risk tolerance, financial goals, and market outlook, investment funds should be allocated to different asset types. Proper asset allocation helps diversify risk and optimize returns.



### Regular Evaluation and Adjustment

Investment portfolios need to be regularly evaluated and adjusted based on market changes and personal goal modifications. By periodically checking the portfolio's performance, you can ensure it aligns with the set goals and respond to market changes in a timely manner.



### Tax and Legal Considerations

Proper tax planning can effectively reduce the tax burden and ensure maximum investment returns.



### Market Monitoring

Continuous monitoring of market dynamics and trends is essential for adjusting investment strategies. By tracking market changes, economic indicators, and industry developments in real-time, you can make informed decisions.

## 2.4 Strategic Cooperation

AI Stock has reached extensive strategic cooperation with well-known enterprises in the fields of artificial intelligence hardware, top applications and the Internet, such as NVIDIA, Hewlett Packard Enterprise, OpenAI, DeepSeek, etc., to establish a solid foundation for the implementation of AI intelligent investment decision system.

- NVIDIA was founded in 1993 and is headquartered in Santa Clara, California, USA. It was co-founded by Jen-Hsun Huang, Chris Malakowski and Curtis Prim. The company initially focused on the graphics chip design business, but as the technology and business evolved, it has grown into an artificial intelligence company offering full-stack computing. NVIDIA will provide AI

chip support for AI Stock.

- Hewlett Packard Enterprise is an American multinational information technology company focused on providing enterprise-class IT solutions and services. Hewlett Packard Enterprise offers a variety of hardware, software and services, including servers, storage, networking solutions, cloud computing, data analytics and enterprise services, among others. Hewlett Packard Enterprise's goal is to help customers achieve digital transformation, increase efficiency, enhance security, and create more business value through its technology solutions. It serves businesses of all sizes and types on a global scale, from small and medium-sized enterprises to large global organizations. Hewlett Packard Enterprise will provide AI Stock with comprehensive big data intelligent analytics solutions.
- OpenAI is an artificial intelligence research company based in San Francisco, United States, consisting of the for-profit OpenAI LP and the non-profit parent company OpenAI Inc. Its core mission is to create secure Artificial General Intelligence (AGI) for the benefit of all. With large models as its core, OpenAI has created a new innovation paradigm in the field of AI and become a leader in leading general artificial intelligence. OpenAI will provide online communication and intelligent interaction support for AI Stock.
- DeepSeek: By the end of 2024, DeepSeek has released three models, namely V3, R1 and Janus, which have attracted wide international attention. Its UltraMem architecture reduces inference costs by 83% through innovative memory management technology, enabling mid-to-low-end Gpus to handle large-scale text generation tasks, breaking the dependence of traditional large models on high-end computing power. In particular, the open source model DeepSeek-R1 has greatly impacted and subverted the existing large model operation mode. Industry leaders and international giants such as Microsoft, Google, AMD, Nvidia, Amazon, Intel, Huawei, Ali and Tencent have access to, adapted and launched DeepSeek model services.

# Chapter global top team

## 3.1 Core Team



Daniel Matthew - CEO. Responsible for developing and executing the company's overall strategy and leading the team to achieve the company's long-term growth goals.

Amelia -- Account Manager. Responsible for maintaining communication with clients and understanding their needs, as well as providing bespoke investment advice and support.

Thomas Anthony - Portfolio manager. Responsible for managing specific portfolios, including asset allocation, market analysis, investment selection and risk management.

Mark Thomas - Portfolio manager. Responsible for market research, data analysis and supporting investment decisions. 8. Analysts provide professional investment advice based on market trends company fundamentals and technical indicators.

Anthony Richard - Compliance and Legal Manager. Responsible for ensuring that the company's operations meet regulatory requirements, handling legal matters and compliance issues, and protecting the company from legal risks.

Christopher Paul - Chief Technology Officer. Responsible for the development and maintenance of the technology architecture, as well as the platform, ensuring that the technology supports the company's innovation and business growth.

Evelyn - Chief Financial Officer. Responsible for the company's financial planning and money management, including capital allocation, cost control and profitability analysis.

Olivia - Account Manager. Responsible for maintaining communication with clients and understanding their needs, as well as providing bespoke investment advice and support.

## 3.2 Investment advisory team

Joe Dipasquale -- Graduated from Harvard University and worked for top investment banks such as Goldman Sachs and Bridgewater Fund. He has a deep understanding of the financial market and investment management field, and is familiar with financial instruments such as stocks, cryptocurrencies, bonds and derivatives. With excellent risk management and portfolio optimization skills, he is able to develop effective investment strategies. Familiar with financial analysis and valuation models, good at using data analysis and quantitative methods for decision support. In addition, Joe Dipasquale possesses excellent leadership and teamwork skills and is able to work with multiple stakeholders to achieve common goals. Excellent communication skills with the ability to articulate complex financial concepts and strategies.

Stella Penelope -- a leading market analyst on Wall Street, responsible for collecting and analyzing market data, including digital currency market trends, market analysis and judging market sentiment behavior, to provide valuable insights for corporate decisions. Conducts financial market research and investigations, identifies market opportunities and potential risks, and puts forward corresponding marketing strategies and suggestions. She possesses extensive

market knowledge and keen insight. She studies market trends, industry dynamics and investment opportunities in depth with her team, and provides professional market analysis and advice to clients through precise data analysis and strategic planning.

Jeff Smith - Data modeling expert specializing in the field of financial data analysis and modeling. He specializes in applying advanced data analysis techniques and modeling methods to provide accurate, in-depth data insights and predictive models to companies or partner organizations. Since 2016, he has been responsible for developing and maintaining financial data models and algorithms, including market data, transaction data, risk data, etc., to provide support for decision making. He uses statistical analysis and machine learning technology to build prediction models and risk models, identify market trends, predict risks, and optimize investment portfolios.

Jesse Jones -- Financial Engineer, a senior expert specializing in the field of financial engineering, with extensive background in financial markets and technology. He specializes in applied mathematics and computer science techniques, combining financial theory and practice to provide innovative financial engineering solutions and quantitative analysis strategies for the market. Master financial engineering and computer science techniques, including financial model building, numerical calculation, algorithm design, etc. Be proficient in using programming languages, such as Python, C++, to conduct financial data analysis and trading system development. Good communication and teamwork skills, able to work closely with business and technical teams.

### 3.3 Technical development team

Benjamin Hughes -- Data scientist, has worked for Microsoft, Amazon, Google, IBM and other internationally renowned companies, published hundreds of academic reports on computer, Internet, block chain. He has served as a senior data department executive at IBM, Amazon, Google and other companies, and has unique insights into Web3 integrated data management technology and big data analysis.

Rajesh Kumar - Senior programmer, PhD in Computer Science from Caltech, Senior expert on blockchain technology application, DeFi Application expert. He has extensive experience in big data parallel computing and distributed algorithm optimization, and has in-depth research in blockchain, cryptography, and data mining.

Michael Lee -- Ph.D., quantum computing and artificial intelligence, Massachusetts Institute of Technology (MIT), has worked as a senior researcher and technical director in Google, IBM, Microsoft and other well-known enterprises, is a leading figure and authoritative expert in the field of blockchain, artificial intelligence and quantum computing.

Chloe Bennett -- a senior engineer in the application of artificial intelligence technology, with senior development experience in the field of AI transaction networks. She has 15 years of experience in the Internet industry, is proficient in multiple computer languages, is good at the design of long, massive and high concurrent availability architecture, and has rich experience in R&D management.

Mason Taylor -- security engineer, used to work in top technology companies, has more than 10 years of experience in risk control. He is good at using scientific, rigorous and thorough risk control audit standards and methods, and comprehensively verifying the real information of trading station customers, transaction risk analysis, customer transaction registration audit, and digital asset control ability assessment. To prevent the occurrence of bad parts trading to the greatest extent.



## Chapter 4: AI intelligent trading system

The core of AI Stock is to provide investment strategy solutions and portfolios to the market based on AI technology. In the following, we take the Stock market as an example, and analyze the AI intelligent trading system of AI Stock, hoping that the market will have a deep understanding of AI Stock.

### 4.1 AI trading mode

AI Stock AI intelligent trading system has entered a very mature stage. With powerful algorithms and deep analysis ability of massive data, it can accurately insight the market trend in the ever-changing stock market. It can quickly process information from all financial markets around the world, from macroeconomic data to micro corporate financial reports. By deep mining and learning from historical trading data, it can accurately predict the volatility of stock prices, complete trading decisions and execute operations in nearly millisecond speed. Whether it is complex market fluctuations or sudden major events, the system can cope calmly, efficiently manage assets for investors, greatly reduce the interference of human emotional factors on investment decisions, and show excellent stability and reliability in the field of stock trading, becoming the right-hand man for many investors to make steady profits in the capital market.

AIT0 is a stock day trading method based on artificial intelligence technology, which uses artificial intelligence technology to analyze and forecast the stock market, providing investors with faster and more accurate trading decisions. It has the real-time monitoring function of the market, captures the intraday fluctuation spread through the algorithm, and provides more trading opportunities. For example, when the buy and sell signal of the marked stock appears, the tool will automatically make urgent decisions. The system will buy or sell multiple times in the same trading day. AI Stock The goal of the AI intelligent trading system is to increase the available balance and reduce the cost of holding a position while the number of shares remains the same.

The AI Stock AI Intelligent trading system is widely applicable:

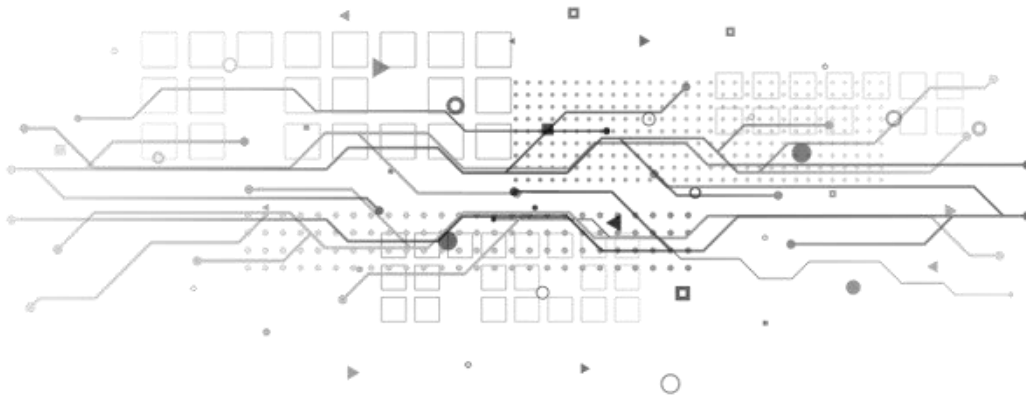
- Investors with high asset size, multi-position stocks and large intraday volatility in their holdings. AIT0 trading strategy can seize the trading opportunities brought by the day wall, improve trading efficiency.
- Investors who are locked in passive long-term positions because of the stock is locked, but the stock has large intra-day fluctuations, and the trading volume is more active, they can consider seizing the time-sharing online band through AIT0 trading, and strive to reduce the holding cost.
- Quantitative strategy investors, without T+0 team, can focus on strategy development and pursue T+0 enhancement on the basis of index enhancement and quantitative neutral strategy.

In addition, as a mode for ultra-fast intelligent trading under high-profit markets, through in-depth market analysis and data modeling, the execution, monitoring, fast buying and selling methods of AI intelligent stock trading are optimized to ensure stability and efficiency. Namely, the AI Stock AI intelligent trading system will monitor the prices of different exchanges, look for price differences, and use these differences to trade. The AI Stock AI intelligent trading system will buy when the price falls below a certain threshold and sell when the price rises above another threshold, taking advantage of the price volatility and liquidity of the market to quickly make profits through ultra-fast trade execution.

- Artificial intelligence core platform: enterprise-level AI underlying platform, leading algorithm for stock trading, automatic machine learning, super parameter optimization, rapidly improve AI intelligent stock trading processing efficiency;
- PB-level quantitative data: PB-level quantitative proprietary standard financial data + new investment big data, supporting all kinds of data customization to meet different investment needs;
- Massive factor library: 2000+ basic factor library, AI supports mining more derivative factors, one step ahead, find more market opportunities;
- Factor construction and analysis: the expression engine creates a diversified factor library, supporting a comprehensive analysis of factors, and

discovering effective factors faster;

- Visual development environment: modular visual development environment, seamless integration with python code version, improve the efficiency of strategy development;
- Advanced optimization: super parameter search, combinatorial optimizer, rolling training, attribution analysis, etc., custom equipment for high-end players.



## 4.2 Trade run planning

### 1) Data acquisition and preprocessing stage

- Establish an extensive data collection network, covering real-time market data of major stock exchanges around the world, including stock price, volume, turnover, trading order information, etc. At the same time, integrate macroeconomic data, such as national GDP growth rate, interest rate changes, inflation rate, exchange rate fluctuations, etc., as well as industry dynamic data, such as changes in industry competition pattern, new technological breakthroughs, and the impact of policy and regulation adjustments on the industry and other information sources.
- Use data cleaning technology to remove noise, erroneous data and duplicate

data from the collected data to ensure the accuracy and integrity of the data. The missing data is filled with a reasonable interpolation algorithm to ensure the continuity of the data series for subsequent analysis.

## 2) Model training and optimization stage

- Build core trading models based on deep learning algorithms, such as convolutional neural network (CNN) for identifying graphical patterns of stock price movements, recurrent neural network (RNN) and its variants (such as long short-term memory network LSTM, gated cyclic unit GRU) for processing time series data and predicting the future change trend of stock prices.
- Divide the pre-processed data into a training set, a validation set and a test set. The training set is used to train the model on a large scale, and the parameters of the model are constantly adjusted through the backpropagation algorithm to minimize the prediction error. During the training process, the performance of the model is monitored by using the verification set to prevent the occurrence of overfitting. Once it is found that the performance of the model on the verification set starts to decline, the training is stopped immediately and the model is optimized using regularization techniques, Dropout, etc.
- Periodically retrain and optimize the model using the latest market data to adapt to dynamic changes in the market environment, ensuring that the model always maintains high predictive accuracy and validity.

## 3) Trading decision and execution phases

- The trading system analyzes and forecasts the real-time stock market data according to the trained and optimized model, and generates trading signals. When it is predicted that the stock price will rise and the probability of rising exceeds the set threshold, the system will send a buy signal; When the stock price is predicted to fall and the probability of falling exceeds the threshold, the system sends a sell signal.
- After generating the trading signal, the system carries out a risk assessment of the trade combined with the risk assessment model. The risk assessment model takes into account factors such as the investor's risk tolerance, the

diversification of the portfolio and the risk of market fluctuations to determine the appropriate position and stop-loss and stop-profit point for each trade. A trade order is sent to the trade execution module only when the risk of the trade is within an acceptable range.

- The trade execution module is interfaced with the trading interfaces of major stockbrokers to ensure that orders can be executed quickly and accurately in the stock market. In the process of transaction execution, real-time monitoring of the execution of the transaction, such as the failure of the transaction or abnormal situation, timely processing and feedback, while recording the detailed information of the transaction execution, including the transaction time, price, quantity, etc., in order to facilitate subsequent transaction analysis and reconciliation.

#### 4) Risk monitoring and management stage

- Establish a real-time risk monitoring system to comprehensively monitor the risk status of the investment portfolio. Monitoring indicators include, but are not limited to, portfolio value volatility, value at risk (VaR), retracement rate, industry concentration, individual stock concentration, etc. Once the risk indicator exceeds the preset alarm level, the system immediately triggers the risk early warning mechanism.
- Based on the risk warning information, the risk control system automatically starts corresponding risk countermeasures. For example, when the portfolio retracement is too large due to a sharp decline in the market, the system may automatically adjust the position of the portfolio, sell some high-risk assets and buy defensive assets to reduce the overall risk of the portfolio; Or through hedging trading strategies, such as stock index futures hedging, option hedging, etc., to offset the adverse impact of market fluctuations on the portfolio.
- Review and evaluate the risk monitoring and management system on a regular basis, analyze the causes of risk events and the effectiveness of response measures, constantly improve the risk management system and risk model, and improve the system's ability to deal with various risks.

## 5) Performance evaluation and system upgrade phase

- Establish a sound performance evaluation system of the trading system, and evaluate the operation effect of the system from multiple dimensions. The evaluation indicators include investment performance indicators such as trading win ratio, average profit to loss ratio, annualized return rate and Sharpe ratio, as well as technical performance indicators such as trading response time, system stability and data accuracy.
- Conduct a comprehensive evaluation of the system's performance on a regular basis (such as monthly or quarterly), and analyze the system's shortcomings and potential room for improvement based on the evaluation results. For example, if it is found that the system has poor trading performance in some specific market environment or stock sector, in-depth analysis of the reasons may be insufficient data feature extraction, or the model has poor adaptability to some market modes, and targeted adjustment and optimization of the data processing process, model structure or parameters.
- Pay close attention to the latest technological developments and industry innovation achievements in the field of financial technology, and introduce advanced technical concepts and methods into the AI Stock AI intelligent trading system in a timely manner. Such as research on the application potential of quantum computing in optimization algorithms, new artificial intelligence algorithm architecture (such as Transformer architecture adaptability exploration in stock trading), etc., constantly promote the upgrading of the system, and maintain the leading position and competitiveness of the system in the industry.

## 4.3 Summary of common problems in platform trading

### How do I open a stock account?

You can register online through AI Stock's website, fill in the required personal

information and complete identity verification. After submitting the necessary documents, your account will be activated. Please refer to the account opening guide provided by AI Stock for detailed steps.

### **How do I trade stocks?**

After logging into your account, you can choose which stocks you want to buy or sell. Enter the quantity, price, and confirm the trade. The trading platform will execute your order in real time and provide confirmation.

### **What's the commission on stock trading?**

The commission depends on the type of account and the frequency of trading. Usually the commission is automatically deducted from each trade. For detailed fee information, you can check AI Stock's website or contact AI Stock's customer support team.

### **What types of stock can be purchased?**

You can invest in domestic and international stocks, ETFs, mutual funds, and other financial products. The list of tradable stocks can be viewed by the AI Stock platform, which also displays real-time market data, in the following ways.

### **How do I view my stock portfolio?**

After logging into your account, go to the "Portfolio" page where you can view all the stocks you own, their current market value, price changes, and other details.

### **How do I deposit and withdraw money?**

You can deposit funds into your transaction ledger card or e-wallet by bank transfer, credit. To make a withdrawal, simply provide the withdrawal amount and confirmation; The funds will be transferred to the way you specify.

### **What are the risks of stock trading?**

The stock market is inherently volatile, which can lead to investment losses. AI Stock recommends that investors invest according to their risk tolerance and use diversification strategies to reduce exposure to individual stocks.

### How do you manage risk?

You can set up stop loss, stop profit, and tracking stop loss tools to manage your investment risk. AI Stock also provides personalized investment advisory and asset allocation services to ensure that your portfolio is aligned with your risk preferences.

### Do you offer intelligent investment services?

Yes, AI Stock offers Artificial based AI-driven investment services Intelligence (AI) and big data analytics. By leveraging AI algorithms and Market Data, AI Stock helps you make more accurate investment decisions.

### How do I contact customer support?

You can contact our customer support team via live chat, phone, or email. AI Stock's team will be there to assist you promptly and answer any questions you may have.



## 4.4 Core System Advantages

AI Stock intelligent trading system is based on AI algorithm technology, combined with big data analysis and cutting-edge core technology development, and after 2.9 billion trading stability tests, it can support hundreds of transactions at the same time, run various monitoring and trading strategies simultaneously, execute fully in 24 hours, and have independent learning and error correction. It is an intelligent investment trading management system with automatic updating and iteration ability.

### **1) Real-time monitoring of fundamental information in 132 countries around the world**

AI Stock AI intelligent trading system monitors the fundamental information of more than 132 countries and exchanges in real time every second. Each piece of information has a basis for judging the market. A country's economic indicators will promote the growth of the market, the easing of monetary policy will promote market liquidity, artificial intelligence technology and the expansion of AI intelligent stock trading application scenarios will also contribute to the development of the investment market.

### **2) Real-time monitoring of more than 1,000 trading opportunities around the world**

AI Stock AI intelligent trading system monitors the trading opportunities of the global mainstream trading market every second in real time, including traditional stock exchanges and cryptocurrency exchanges, and selects 10 to 20 current best trading products in real time for intelligent in-depth analysis, and finally carries out automated trading, and the entire intelligent analysis and judgment process is completed in 0.02 seconds.

### **3) Conducting 280 million technical analyses per second**

AI Stock AI Intelligent Trading system implements 280 million big data and trading technical analysis per second, and carries out continuous data processing based on four of the world's leading intelligent trading strategies, and eight of the world's most mainstream trading strategies and trading models included in them. Relying on this strategy and technology to form the world's most effective technical analysis system.

#### 4) Reasonable risk control

Smart trading involves higher risks and requires real-time monitoring of market dynamics and risk control. AI Stock AI intelligent trading system can be used to build risk models, predict potential risks, and improve the accuracy and timeliness of risk control.

#### 5) Intelligent data analysis

In smart trading, a large amount of market data needs to be analyzed to find profit opportunities. AI Stock AI intelligent trading system can be used to realize big data analysis and improve the efficiency and accuracy of data processing. At the same time, the AI Stock AI intelligent trading system can also be used to automate the discovery of potential AI strategic trading opportunities, improving trading efficiency and returns.

#### 6) Intelligent decision support

Whether it is a traditional market or a new trading market, trading needs to make quick decisions, and AI Stock AI intelligent trading system can be used to achieve fast decision support. Through real-time analysis of market data and model prediction, the AI Stock AI intelligent trading system can provide decision-making suggestions for traders and improve decision-making efficiency and accuracy.

## 4.5 Multi-strategy combination model

In order to achieve "one step faster" buying and trading, AI Stock AI intelligent trading system combination uses a multi-strategy quantitative model:

#### 1) Grid strategy

Shock trading tool, reduce the cost of holding positions, to obtain excess returns. Rely on the trading strategy of AI Stock AI intelligent trading system to trade regularly and restrain the emotional impact of ordinary traders.

- Spot grid: no need to stare at the plate, 7\*24 hours automatic hanging order trading, high selling low suction, shock market to switch strategies.

- Contract grid: The grid trading of the contract scene, the use of contract leverage to enlarge the principal, to obtain multiple returns.

## 2) CTA strategy

Go with the flow and go with the flow. AI Stock AI intelligent trading system tracks market trends in real time, traversing bulls and bears, and consistently making solid profits.

The full name of CTA is Commodity Trading Advisors, which means managed futures strategy. It refers to an investment strategy by professional investors to make profits from the trend of futures price changes in the futures market. AI Stock AI intelligent trading system can reduce the risk of investment portfolio and improve the return of investment portfolio in asset allocation. With the help of advanced time series models and complex statistical mathematical methods, it helps users realize: if the price is in the trend state, it will chase the rise and fall, and in the regression state, it will buy low and sell high, so as to continue to make profits.

## 3) Stock arbitrage strategy

Due to the differences in information gap, user differences and prices, exchange mechanisms and trading mechanisms among global exchanges, which provide operational space for arbitrage strategies, AI Stock AI intelligent trading system takes advantage of the difference in market targets, risk-free arbitrage, low buy and high sell.

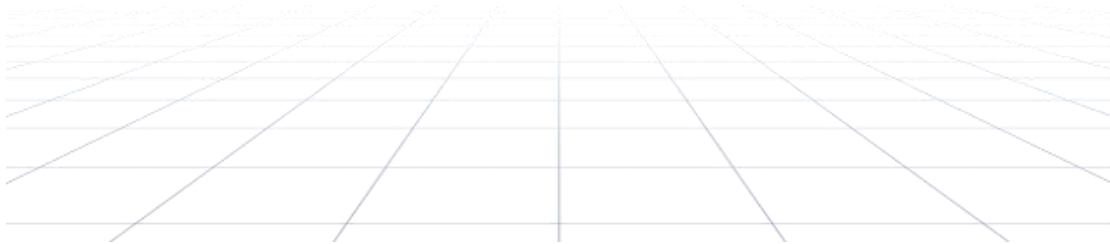
The profit logic of the arbitrage strategy of AI Stock AI intelligent trading system:

- Changes in trading volume between different exchanges affect trading prices
- The price discovery mechanism is imperfect and facilitates arbitrage
- Regional variations in demand, resulting in regional price differences
- Piecemeal quantitative operations are being replaced by institutions with more expertise and technology, with AI Stock AI intelligent trading systems with strong capital, technology and greater access to information.

#### 4) Other supporting strategies

AI Stock AI intelligent trading system also draws on traditional classic trading models to inject more profit drivers into intelligent quantitative investment:

- MACD: Tracking the MACD trend signal in real time, gold cross long, dead cross short, suitable for slow trend changes.
- MACD-RSI: Use the combination of MACD and RSI to effectively evaluate future market trends and more accurately time trades.
- Double moving averages: Track the moving average trend signal in real time. Gold crosses are long, dead crosses are short, suitable for periods of slow trend change.
- Double EMA -RSI: Use a combination of double ema and RSI to effectively evaluate future market trends and more accurately time trades.
- Multi-indicator combination, freely set parameters: contains more than ten commonly used indicators, freely configure multi-indicator entry and position conditions, parameters can be set separately.



### 4.6 Multiple technical support

AI Stock AI intelligent trading system has multi-thread detection data, including more than ten commonly used indicators, free configuration of multi-indicator entry and position conditions, parameters can be set separately, when the market can switch strategies. In addition, a full range of technical and resource support, but also make AI Stock AI intelligent trading system is different

from other applications in the market.

### **1) Quantitative strategy rules**

No need to stare at the plate, 7\*24 hours automatic hanging order trading, high selling low suction, shock market to switch strategies. Platform server hosting operation, system stability can not drop orders.

### **2) Multi-index combination, free to set parameters**

Contains more than ten commonly used indicators, free configuration of multi-indicator entry and warehouse conditions, parameters can be set separately.

### **3) Historical backtest real disk data**

Official server real disk data backtest, accurate to 1 minute K line, multithreaded background terminal backtest history, no need to wait for the front window.

### **4) Hosting operation**

The system creates a good strategy, managed by the server, and the system is stable.

Multi-strategy combination mode, so that AI Stock AI intelligent trading system can calmly cope with all kinds of situations, do more scientific, program trading can parameterize your strategy, understand more thoroughly, form their own trading system; Multiple varieties, the current trading products of a wide variety, coupled with different pricing currencies, the formation of more transactions, easier to grasp the opportunity; More freedom, the freedom to achieve some customized functions, such as: stop loss, large trade push, etc.; And low latency, some strategies manual operation is not timely, can only be saved by program trading, such as: high-frequency trading and hedging.

### **5) Quantitative Butler monitors global data in real time**

Automatically monitor the global market, automatically trade and execute the best strategy, automatically run all intelligent trading orders, transparently present all data of system operation, independent accounting profit data of standard supporting, personalized data of various query conditions, real-time transparent

and perfect presentation of trading data, intelligent operation to achieve sustainable passive income.

### 6) High performance trading

AI Stock AI intelligent trading system adopts read-write separation of microservice division and high-speed transaction matching engine, which can carry the trading volume of up to millions of levels, and still operate stably and reliably under the massive transaction concurrency, properly handle each client's entrustment, and ensure that there will be no delay and delay in order processing. It adopts multi-layer and multi-cluster system architecture to provide all-round security protection and be more efficient.

/// ABOUT OUR COMPANY

## Leading the Intelligent Investment Revolution

To become the world's leading intelligent investment platform, helping investors achieve their financial goals through innovative technology and exceptional investment strategies. We are committed to driving the digital transformation of financial markets, enabling every investor to make informed decisions in an efficient, transparent, and secure environment.

CONTACT CEO  
[ceo@stockoi.com](mailto:ceo@stockoi.com)

CEO  
**Daniel Matthew**

**2000+**  
SUCCESS CASES

/// ABOUT OUR COMPANY

### Build a global investment platform, enabling investors from different regions to easily access high-quality financial services.

# Chapter 5: the portfolio supporting market

In addition to its success in the Stock and securities markets, AI Stock has outperformed in more diversified markets. Such as ETF funds, new shares, venture capital, cornerstone fixed income, international investment, etc.

## 5.1 ETF Fund

An exchange-traded Fund (ETF), also known as an exchange-traded Fund, is referred to as an exchange-traded fund (ETF).

An ETF is a type of fund that tracks changes in the "underlying index" and can be either traded on an exchange or created and replaced with a basket of securities through the primary market. In theory, although this pure passive fund based on a basket of shares exchange is only suitable for strong institutional investors to participate in the primary market due to the large market value of each fund unit, for ordinary investors, ETFs can also be broken into smaller trading units and traded on the secondary market of the exchange through securities dealers, just like ordinary stocks. Allowing them to earn roughly the same returns as the underlying index.

An ETF is usually managed by a fund manager. The fund's assets are a basket of stocks of the same kind as the constituent stocks of a particular index, and the number of stocks in the same proportion as the constituent stocks of that index. Investors can buy or sell a basket of stocks in the index by buying or selling ETFs. In this way, a single investment can obtain diversified investment effect and save a lot of time and money.

In terms of trading mode, ETF is exactly the same as stocks. As long as investors have a securities account, they can buy and sell ETF at any time during the day. The trading price changes in real time according to the market price, which is very convenient and has liquidity. Compared with direct investment in stocks, ETF has the following advantages:

- No stamp duty like closed-end funds.
- Buying an ETF is the equivalent of buying an index portfolio, which can diversify risk for small and medium-sized investors.
- In terms of portfolio transparency, the index composition is quite transparent. Investors can invest directly in an ETF instead of investing in a multi-stock portfolio.

In addition, the difference between open-end funds is that the Chinese name of the ETF is called "exchange-traded index fund". Although the name itself looks similar to ordinary traditional open-end mutual funds, there are actually large differences in transaction costs, fund management and trading methods.

First of all, the ETF subscription means that investors use a designated basket of physical stocks of the index (open-end fund is cash) to the fund management company in exchange for a fixed number of ETF fund shares; Redemption involves giving a fixed amount of ETF shares to the fund manager in exchange for a basket of index stocks (rather than cash).

Second, there are trading costs. Traditional open-ended funds pay management fees of about 1.0% to 1.5% a year, much higher than ETFs (about 0.3% to 0.5%). In addition, the traditional open-end fund needs to pay about 1% of the processing fee when purchasing, and pay about 0.5% of the processing fee when redeemable, while the ETF only pays the securities firm a maximum of 0.2% commission at the time of trading, which is relatively cheap compared with the transaction cost of the open-ended fund.

Thirdly, in terms of fund management. The way of ETF management belongs to "passive management", the ETF manager will not actively select stocks, and the constituent stocks of the index are the stock selection of the ETF fund. The focus of ETF operation is not to beat the index, but to track the index. A successful ETF can move as exactly as possible with the underlying index, that is, it can "copy" the index, so that investors can safely earn the return of the index. The management of traditional stock funds is mostly "active management", in which the fund manager achieves the fund's return beyond the broader index mainly through active stock selection.

In addition, in the way of trading. After the listing of ETF, the trading method is

just like that of stocks. The price will change at any time during the day. Investors can place orders and buy and sell in the day, which is very convenient. While the traditional open-end fund is based on the net value of the fund shares after the closing of each day as the trading price of the day.

## 5.2 Placing New Shares

Placing new shares refers to using funds to participate in the subscription of new shares. If you win the bid, you will buy the shares that will be listed. With the support of AI technology, the performance of AI Stock in the field of new shares is becoming stronger and stronger.

- Appointment to play new: master first-hand market information, appointment to play new, one step faster, one key to play new, saving time and safety, signing reminder no longer worry about missing;
- Super fixed investment: high less investment, low more investment, accelerate the dilution of costs, to achieve automatic recovery of yield, maximize the lock income; Super fixed investment strategy includes floating amount fixed investment, target profit fixed investment, dynamic profit fixed investment;
- Intelligent trading: provide one-stop intelligent trading to meet your trading needs, staring assistant real-time reminder, no need to stare, master the stock market; Rebound buy down sell, pricing buy sell, stop profit stop loss, intelligent trading flexible operation.
- Active capital management: Evidence that AI Stock is managing its capital to create shareholder value: high and rising returns on invested capital, and the ability to reinvest surplus cash flow to expand its productive asset base.
- Undervaluation: AI Stock employs a discounted cash flow approach to compare and contrast all competing investment ideas in our equity space. AI Stock is looking for businesses where the market is undervaluing the current value of future cash flows.
- Earnings revisions: AI Stock likes companies whose earnings forecast upgrades are strong, positive and consistent, and whose revisions are broadly based in the analytics community, with little difference between estimates.

- Share price trends: AI Stock likes companies with an established and rising share price trend, which is supported by high price "energy" and does not hit any resistance points.
- AI Stock's process: AI Stock's investment process is divided into three stages, each with a monthly cycle. First, it relies on proprietary AI algorithms and reams of data to systematically score and rank our entire 4,500-stock investment space. Second, AI Stock's experienced investment team conducted qualitative due diligence on selected high-scoring companies. Third, the portfolio building phase was judged by our experienced team with the help of best-in-class risk analysis tools.
- Investing Universe: In order to be included as investible for AI Stock, new stocks must meet minimum market cap and liquidity criteria.
- Automated Screening: AI Stock mechanically screens and ranks each company in AI Stock's investable universe based on each of our four target criteria. AI Stock is interested in the core names of companies that are closest to our ideal.
- Team due Diligence: At this stage, stocks that AI Stock considers not currently owned score highly and/or are considered a good diversification for AI Stock's current portfolio, as well as current holdings for which scoring evidence has deteriorated. Each member of the team independently reviews the entire due diligence list, focusing on only four relevant characteristics, and rearranges the list in their preferred order. Combine individual rankings to create combined team lists that form the basis of trading decisions for the month.
- Portfolio building: Using the output of the team's due diligence work and taking into account the trade recommendations generated by Axioma's portfolio optimizer, each member of the team enters his/her individual trade recommendations, which are then discussed and agreed upon at the final portfolio building meeting. The resulting trade package effectively updates our portfolio with the latest evidence on the four characteristics targeted by AI Stock as well as the latest covariance matrix generated by AI Stock's risk model.

## 5.3 Venture Capital

Since its establishment, AI Stock has experienced the ups and downs and development of the venture capital industry, and its own investment capabilities have been continuously improved and improved. And achieved excellent results: AI Stock has invested in and incubated 665 companies and created 4,773 jobs.

Through outstanding investment performance, AI Stock is connecting entrepreneurs, investors, executives, engineers, academics, industry experts, cultural geniuses and others in the technology ecosystem.

AI Stock has built a network of AI experts, including AI technical and management talent; Marketing and communications resources; Fortune 500 / Global 2000 companies; Cultural leaders and influencers; And other technology decision makers and key opinion leaders. Our network embodies AI Stock's commitment to helping portfolio companies grow their businesses, and the operations team provides entrepreneurs with access to expertise and insights across the entire company-building landscape. As a long-term investor, AI Stock always adheres to its unique philosophy to provide services to entrepreneurs and create value for investors.

- Adhere to the orientation of value investment: AI Stock focuses on value investment and is good at exploring investment opportunities with low valuation and high growth from both orientation and quantitative aspects. Based on a deep understanding of economic operation and government decision-making laws, AI Stock is good at discovering cyclical value depressions; Relying on rich investment experience, can eliminate market noise, seize opportunities, share the value created in the process of rapid growth of enterprises, through the economic cycle.
- Stick with portfolio investing: AI Stock believes that portfolio investing is both a science and an art. On the one hand, it can hedge risks through portfolio, and on the other hand, it can optimize the structure of investment returns. Through in-depth and meticulous research, we should actively construct portfolios, pay attention to the logic of portfolio allocation and the foresight of core varieties, and strive to obtain more "safe" excess returns through cross-industry, cross-stage, cross-region, cross-scale and cross-strategy

investment portfolios.

- Adhere to the principle of rational investment: In the investment philosophy of AI Stock, rational investment is essential, no matter how cold or hot the market is, it will be treated calmly. When the capital market is crazy, keep an eye on the fundamentals of the enterprise, strictly abide by the investment procedures, and objectively judge the value of the enterprise; When the market is cold, it will increase investment enthusiasm, make reasonable bids, and do a good job in every investment.
- Adhere to the logic of trend investment: social change has a trend, economic development has a trend, market fluctuations also have a trend, how to effectively identify and use the trend is the importance of AI Stock. Adjusting investment strategy, product strategy and exit strategy according to the trend is often the key to winning.

AI Stock's portfolio shows evidence of a deep understanding of innovation and technology. Hundreds of companies have benefited from AI Stock's early investments and become leaders in their respective sectors.

## 5.4 Cornerstone Solid closing

Through active management and comprehensive and effective risk control, AI Stock strives to obtain competitive absolute returns in the field of fixed income investment. After long-term accumulation and precipitation, AI Stock bond products cover four tracks: short end (short debt + currency), pure debt, fixed income + and fixed income index. All track products have excellent works. The good performance of various track bond fund products is mainly due to the fact that AI Stock has gradually formed an integrated situation of three core driving forces of fixed income investment, research and trading during its many years of investment and research, focusing on the four core capabilities: The construction of major asset allocation capabilities, credit research capabilities, trading capabilities and market risk analysis capabilities provides different solutions for individual customers and institutional customers.

## 5.5 International Investment

AI Stock is one of the first institutions to build a global asset allocation team, with investment and research personnel from the United States and even around the world, to provide global asset allocation solutions with international insights into the global market. The overseas investment members of AI Stock are mainly distributed in London, New York and Hong Kong, and the three teams have formed a comprehensive interconnection, and realize the linkage research of many important industries from a global perspective. AI Stock has a number of investment strategy teams covering Asia Pacific, Europe and the United States, both active investment, passive investment, and fixed income direction. AI Stock has in-depth research capabilities on the Asia-Pacific market, European and American markets, and covers the world in terms of investment research area coverage.



# Chapter 6: Market development and compliance construction

## 6.1 Resource advantage integration

### 1) Resource integration

- Technical team: With very mature and strong technical support, AI Stock has accumulated rich industry and technical experience in many fields such as finance, artificial intelligence, derivatives, stocks, quantitative strategy, and arbitrage, and has made industry-leading breakthroughs in the development of artificial intelligence underlying technology and the application of machine algorithms. The team perfectly gathers senior people from multiple industries, many years of practical operating experience, and profound insights into the development of the industry.
- Industry resources: Signing strategic cooperation agreements with top leading enterprises in target industries will provide strong support for AI Stock to cut into target industries, so as to truly promote the actual landing of intelligent stock trading, financial management and investment applications.
- Business governance: AI Stock has a clear and explicit strategic plan for the target industry, and continues to enable free, fair and high-value ecological prosperity with the model of autonomous community. More focused and professional use of the characteristics of artificial intelligence technology, targeting quantitative investment industry penetration and rapid market share.
- Fund management: Under the leadership of the Foundation, the fund management of AI Stock will strictly abide by the principles of fairness, justice and openness, and with the development of the platform as the primary purpose, the AI intelligent trading investment and development Fund will be established. The foundation will keep and ensure the security and sustainability of the fund. All the use of funds will be disclosed to all

investors on a regular basis to ensure the openness of fund use.

## 2) Intelligent transaction integration

- Strategy development and execution: Automatic development of trading strategies and position allocation, AI Stock built-in a variety of trading strategies, from "conservative -" to "aggressive +" to meet different risk types. After setting the strategy, AI Stock will intelligently allocate the positions and conditions of each order, strictly implement the trading strategy, the trading order replenishment strategy, and adjust it in real time according to the current market situation and cloud big data.
- Monitor trading: Monitor multiple trading varieties, can support hundreds of trading varieties run trading strategies at the same time, each variety independent thread, automatically monitor the depth of quotation, strategy calculation, real-time monitoring of trading conditions, to ensure the immediacy of transaction execution.
- Tracking profit: Intelligent tracking profit, so that profits rise steadily, set trigger conditions, profit ratio to meet the conditions, AI Stock automatically trigger tracking profit. When the plate quotation has been rising, the profit proportion continues to break through the highest value, and when the price falls, the closing conditions are triggered and the profit is stopped.
- One-click operation: One-click set strategy, one-click start, AI Stock has been working hard to reduce the difficulty of quantitative trading operations. In AI Stock, fill in the position, the number of varieties, and select the type of risk, you can set it with one click and start it with one click. Trading novices can also easily get started and use it quickly.
- Real-time response: tracking the opening, delay to fill orders, for the downward trend, need to back 1% and then open positions, that is, if the algorithm's opening point is reached, the market continues to fall, that is, automatic delay to fill orders, as low as possible to fill orders, so that trading costs are lower. Intelligent waterfall within 5 seconds of the market instant waterfall plunge, that is, suspend the order, so that the transaction is safer.
- Independent innovation: self-developed core algorithm, automatic position analysis, automatic allocation of funds. According to the current market, the

rise and fall, real-time calculation of the interval point cover, automatically adjust the opening point, for the bear market can gradually go down the strategy, will not leave the order at a high level. That is, the implementation of Martin arbitrage strategy to achieve stable worry-free profit.



## 6.2 AI intelligent trading investment development fund

AI Stock has established the AI Intelligent Trading Investment and Development Fund, which focuses on supporting AI and stock trading investment projects, providing start-up capital, development capital and research and development funds for potential teams. Through investment and mergers and acquisitions, it actively participates in high-quality projects in the field of artificial intelligence and stock quantitative investment, and promotes the prosperity and development of artificial intelligence investment transactions. The future vision of

the AI Intelligent Trading Investment and Development Fund is to become a leading global investment institution and entrepreneurial partner, and continue to promote the development of scientific and technological innovation and entrepreneurial ecosystem.

First of all, the AI Intelligent Trading Investment Development Fund is committed to further expanding its investment fields and industry coverage. With the continuous evolution of science and technology and the emergence of new fields, the team will continue to deepen the investment layout in frontier technology fields such as artificial intelligence, blockchain and cryptocurrency. By looking for enterprises with innovation and growth potential in multiple industries, the AI Intelligent Trading Investment Development Fund will promote scientific and technological progress and create rich returns for investors.

Secondly, the AI Smart Trading Investment Development Fund will continue to focus on social responsibility and sustainable development. In the investment decision-making process, the team will actively focus on sustainable factors such as environmental, social and governance to drive the achievement of the Sustainable Development Goals. Advocate for and support companies that are environmentally friendly, socially impactful and have sustainable business models. By investing in these AI sector enterprises, the AI Intelligence Trading Investment Development Fund will not only bring financial returns to investors, but also positive social and environmental impacts.

The Fund will strengthen cooperation with entrepreneurs and innovative enterprises in the field of AI. It will provide more comprehensive start-up support and resources to help start-up teams achieve their business goals. The AI Intelligent Trading Investment and Development Fund will establish closer cooperative relationships, including strategic consulting, market expansion, talent introduction and other aspects, to provide more help and support for entrepreneurs and jointly promote the prosperity and growth of the innovation and entrepreneurship ecosystem.

In addition, the AI Intelligent Trading Investment and Development Fund will further strengthen cooperation with global investment institutions and innovative enterprises to broaden international investment channels. By strengthening international cooperation, the fund will be able to access more investment opportunities and resources, and expand its influence and competitiveness in the field of international investment.

Finally, the AI Intelligent Trading Investment Development Fund will continue to focus on team building and talent cultivation. It will continue to attract outstanding talents in the fields of artificial intelligence, big data, machine learning and blockchain to join the team, and provide good development platforms and training opportunities for team members. By stimulating the potential and creativity of team members, the AI Intelligent Trading Investment Development Fund will maintain its competitive edge and provide excellent investment management and services for shareholders and investee enterprises.

Overall, the Fund will become the world's leading investment institution and startup partner in the field of artificial intelligence to promote the development of artificial intelligence. Through continuous efforts and innovation, the AI Intelligent Trading Investment Development Fund will create greater value and returns for the investment society.

## 6.3 Anti-money laundering and compliance

### 1) Anti-money laundering measures

AI Stock has more than 50 security staff, including veterans who assess peripheral risks and PHDS in cryptography who work on cyber attack analysis. There are also nearly a hundred compliance officers who comb through money laundering by checking transactions. In addition, we also do a lot of work with law enforcement. Follow strict identity verification procedures to comply with regulations such as AML(anti-money laundering), and track and monitor transactional assets sent to and from its website.

AI Stock has also set up a project review committee made up of renowned institutions and professionals. The committee consists of multiple functional departments. At the same time, an authoritative third-party rating agency is introduced to independently review the compliance risks existing in the platform. Third-party authorities participate in the review to ensure that the review results are true, objective, reasonable and credible. In this way, compliance and user investment safety and profit security are guaranteed.

AI Stock has also appointed an independent external auditor to complement our operational processes and ensure compliance. We maintain appropriate

controls and monitor the transfer of confidential and sensitive customer information inside and outside the company on a need-to-know basis. We do not knowingly disclose customer information unless requested by a customer or required by law to do so.

## 2) Regulatory compliance construction

AI Stock operates on a global scale, so it is strictly regulated by several financial regulators including ASIC, SCB, CMA, CySEC, FCA, BaFin and DFSA, etc. Meanwhile, AI Stock deposits customers' funds in a Tier 1 bank segregated account and provides many free deposit methods. To meet compliance and regulatory requirements.

AI Stock recognizes the importance of complying with all relevant laws, rules, regulations, policies and standards. AI Stock is committed to having strict management discipline and best-in-class controls within AI Stock's compliance environment. As a regulated entity, AI Stock will meet stringent financial standards, including capital adequacy and audit requirements.



## 6.4 Integrated risk management and control

Strict risk control and prudent operation management are the key to the sustainable development of the platform and the effective protection of investors' interests. Rational and far-sighted risk management is not only aimed at investment risks, but also permeates the overall control process of every business link of the company. AI Stock attaches great importance to compliance operation, has a sound risk management line and organizational structure, and covers the

whole business process, multiple risk types, and full participation in the risk responsibility system.

Since its inception, risk management has been at the core of AI Stock's wealth management culture. Everyone at AI Stock is committed to identifying and managing risk - client risk, portfolio risk and reputational risk.

AI Stock believes it is critical to foster a strong internal control environment. To this end, AI Stock has established a rigorous risk management framework with dedicated investment and operational risk teams dedicated to protecting client assets and our reputation. AI Stock risk professionals serve as an independent complement to each investment team's portfolio building process, driving investment and operational risk reviews in partnership with the firm's other control departments, such as information technology, operations, Legal & Compliance, asset management guidance oversight and internal audit.

In addition, AI Stock's Chief risk officer reports directly to the platform CEO, and AI Stock's risk management structure is enhanced as AI Stock is able to escalate issues to foundation leadership as well as to the fund's board and board of directors as needed.

## 6.5 Market Collaboration

### 1) Media partners

AI Stock works with top financial media worldwide, such as: Wall Street Journal, Associated Press, Bloomberg, MSN MoneyCentral, CNN Money, MarketWatch, AOL Money, Financial Times, The Economist, Fortune Magazine, Google Finance, Yahoo Finance and more.

### 2) Community partnerships

At present, the partners of AI Stock are all over the world, especially in the community field, which is extremely influential. We will publicize it through community channels. AI Stock will be launched simultaneously in 120 communities in various countries, including the United States, Australia, Singapore, Japan, France,

South Korea and the Republic of Seychelles.

### 3) Exchange cooperation

AI Stock enters into strategic partnerships with top stock exchanges and markets: New York Stock Exchange, Nasdaq, Shanghai Stock Exchange, Euronext, Tokyo Stock Exchange, Hong Kong Stock Exchange Exchange), the London Stock Exchange, the Toronto Stock Exchange, etc.

### 4) Technology cooperation

AI Stock has partnered with top global tech players including Google, International Data Corporation (IDC), Amazon Web Services and others.

### 5) Customer service



## 6.6 Platform brand building

Brand building is the key to the successful promotion of the platform. AI Stock will employ the following strategies to build and promote the brand:

- Market positioning: AI Stock is clearly positioned as a safe, innovative, user-friendly and highly trusted stock and securities investment service platform. We aim to be a leader within the industry.
- Brand reputation: AI Stock will actively focus on user satisfaction, ensuring excellent service and support to build a positive brand reputation.
- Social media and advocacy: AI Stock will regularly post news, updates and market analysis about the platform, stock market and build a stronger connection with users through various social media platforms such as Twitter, LinkedIn, Telegram and others.
- Brand consistency: AI Stock will ensure brand consistency across all marketing

and promotional activities, including logo, website design, advertising and promotional materials.

In addition, AI Stock will make full use of social media platforms to promote the platform. AI Stock will conduct the following social media campaigns:

- Regular updates: AI Stock will post regular updates and analysis on AI smart stock trading, portfolios, quantitative trading strategies and platform features on social media platforms.
- Interaction and response: AI Stock will actively engage with users and respond to their questions, suggestions and feedback to enhance user satisfaction.
- Promotional activities: AI Stock will advertise and promote special events, contests and reward programs on social media to attract new users and motivate existing ones.

Through the above strategies, AI Stock will establish a strong brand image in the industry, attract more users and continue to expand its market share. AI Stock will be committed to maintaining communication and interaction with users to meet their needs and expectations.



# Chapter 7 Disclaimer and Disclaimer

## 7.1 Legal Restrictions

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## 7.2 Scams and fraud Alerts

AI Stock is aware of certain fraudulent and illegal activities whose name, logo and identity have been exploited by unknown perpetrators involved in various investment scams. These perpetrators employ a range of methods to target individuals, such as fake social media accounts, fraudulent websites/domains, emails, text messages, phone calls, mobile apps, dating apps, comparison sites and social messaging platforms. They may even use the names, titles, or photos of real AI Stock employees in order to appear legitimate. Always exercise caution when dealing with unsolicited investment advice, requests for personal information, and sales calls or emails, as Lubomai does not engage in investment solicitation in this manner. Before making any investment decisions, please contact your AI Stock contact or investment advisor at a verified phone number or email address and be initiated by you. It is very important to be alert and to stay alert for potential scams.

Specifically, please note the following:

- Unsolicited investment advice or requests for personal information received by unverified persons.

- Requests to make payments to a bank account in the name of an individual, a third party, an unknown company name, or through a payment intermediary.
- Any changes to the domain (email/website) that occur during the course of the communication.
- Offering unrealistically enticing returns that are too good to be true.
- Expresses urgency to complete an investment or payment.
- Request additional payments to release investments that have already been made.
- Spelling and grammar errors in correspondence or documentation.
- Requests to send money through social media messaging apps and/or platforms.

If you suspect that you have been a victim of fraud, it is important to contact your bank immediately, as the bank may be able to assist in recovering the funds. In addition, it is critical to report the incident to law enforcement in your jurisdiction immediately.

If you notice any suspicious activity or scams allegedly involved, contact us immediately. Thank you for your cooperation in helping us fight fraud programs.

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