



9M AI

The AI That Knows How to Grow Your Money



AI Mega Trend: The Unstoppable Rise of AI

The combined market capitalization of just four AI tech giants—NVIDIA, Microsoft, Apple, and Google—now surpasses the total number of approximately 9,000 publicly listed companies.

NVIDIA, the Global Leader in AI and Computing Power,

Surpasses **\$2.55 Trillion** in Market Capitalization



AI Redefines the Rules

— Traditional Tech Fades into Obsolescence

High-Frequency Trading

AI processes global market data 100,000x faster than humans, executing over one million trades daily.

Risk Management

AI predicts systemic risks and black swan events up to 72 hours in advance.

AI-Driven Investment Advisory

AI builds personalized portfolios, cutting advisory costs by over 80%.

From cognition to execution, AI powers a millisecond-level, closed-loop investment engine—reshaping modern finance.

First Principle of Profitable Trading: High Cognition Beats Low Cognition

Information	Top investors capture broad, deep market insights.
Cognition	True edge lies in filtering noise and extracting actionable signals.
Decision	Strategic moves require sharp cognition and accurate data.
Execution	Success demands rapid, precise trade execution.

Traditional institutions struggle to close this loop.
AI, however, masters it—surpassing human limitations.

9M AI: A Rising Star in Fintech

Who We Are:

Founded in New York by former Goldman Sachs executives, Columbia University AI scientists, and top quant engineers.

Key Milestones:

- 2021 | Left Wall Street to build 9M from scratch at WeWork.
- 2024 | Partnered with Columbia AI Lab; launched 9M Intelligent Financial System.

Our Mission:

Empower everyone with Wall Street—level AI investment capabilities.

What We Do:

- 24/7 autonomous decision-making, trading, and risk control.
- Integrating AI models, quant engines, and blockchain.
- Serving individuals, institutions, and digital asset investors.



Artificial Intelligence Laboratory at Columbia University



Human-AI Navigation (HAN) Lab at MIT



Known as "Your Wall Street—grade AI Financial Assistant".

Our Name: The Power Behind 9M

9M = Nine Minds

9M reimagines nine core dimensions of human intelligence through AI—thinking, decision-making, and action.

Future finance isn't single-threaded. It's multi-modal—nine parallel models driving smarter decisions.

9M AI isn't just a platform. It's a new operating system for intuitive, intelligent wealth creation.

Powered by NovaMind™, integrating nine cognitive modes—from logic and emotion to risk, trend, and future simulation.



9M AI : The Logic at the Core

Premise:

A reliable financial system must think like a human
—only more stable, multidimensional, and forward-looking.

Foundation of "Nine Minds":

9M AI operates through nine cognitive modes,
addressing key challenges in financial decision-making.

The "M" in 9M — Four Pillars:

- **Meta** — Multidimensional cognition
- **Machine** — Modular, evolving AI
- **Momentum** — Real-time market insights
- **Mandate** — Empowering next-generation investors

Intelligence Type	Key Financial Applications
Logical Intelligence	Technical analysis
Emotional Intelligence	Sentiment and behavior analytics
Trend Intelligence	Market forecasting
Risk Intelligence	Predictive risk models
Instinctive Intelligence	Volatility and tail-risk responses
Historical Intelligence	Macro-financial cycle analysis
Value Intelligence	ESG and cultural modeling
Collaborative Intelligence	Multi-model factor integration
Visionary Intelligence	Strategic foresight, autonomous evolution

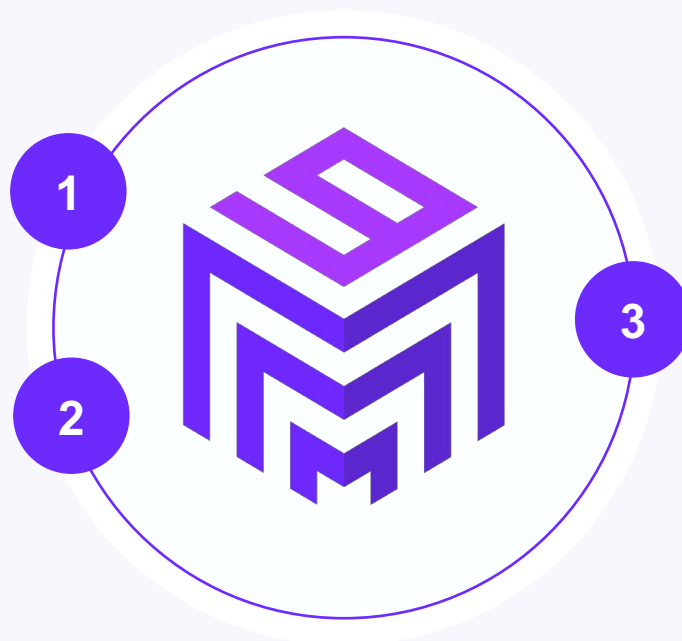
9M AI : Building the Future of Intelligent Finance

Our Mission

Redefine individual–capital relationships through AI.

Our Vision

Not following trends — creating the future of finance.



Our Commitment

24/7 Intelligent Financial Agent, growing your wealth.

Three Core Business Pillars of 9M AI

1

Global AI-Driven Asset Allocation

Optimizing portfolios across markets with multi-modal AI.

2

Integrated WealthTech Platform

Delivering full-stack quant trading and AI-managed investment services.

3

Empowering Institutions & Family Offices

Providing strategic intelligence, centralized risk control, and asset visualization tools.

Core Leadership Team



Chris Chang, 9M AI CEO

Chris Chang is a self-made entrepreneur and visionary investor with a strong track record of building and scaling cross-industry ventures. Over a decade ago, he took the helm of an LED manufacturing company serving Fortune 500 clients, the U.S. government, and military sectors—leading it to a successful NASDAQ listing in 2012.

As CEO of 9M, Chris brings deep business acumen and bold innovation to the AI-powered investment space, shaping a new ecosystem at the intersection of finance and technology. His diverse portfolio spans investments in global consumer markets and Hollywood film financing, reflecting a keen eye for high-impact opportunities.

9M AI Team Overview

9M AI's leadership and research team combines expertise from Wall Street, Ivy League academia, and top-tier tech firms.

AI & Quantitative Research Division

Team Size: 24

Composition:

- 7 PhD-level AI scientists (Columbia, MIT)
- 9 senior quant researchers (math, physics, ML)
- 8 financial data scientists (HFT, risk modeling)

Key achievements:

- NovaMind™ proprietary model series
- Reinforcement learning for market behavior
- Adaptive multi-factor modeling

Engineering & Infrastructure Division

Team Size: 15

Roles:

- 6 system engineers (low-latency trading)
- 4 cloud experts (AWS, Kubernetes)
- 5 backend engineers (deployment, risk systems)

Key achievements:

- Model containerization pipelines
- High-performance backtesting systems
- Secure trading infrastructure

9M AI Team Overview

Fund Management & Investment Strategy

Team Size: 18

Composition:

- Ex-portfolio managers from Goldman Sachs, Citadel, Bridgewater
- Experts in cross-asset portfolios, liquidity modeling, and capital allocation

Focus:

- Risk-adjusted fund structuring
- Alpha preservation
- Expansion into equities, crypto, and derivatives

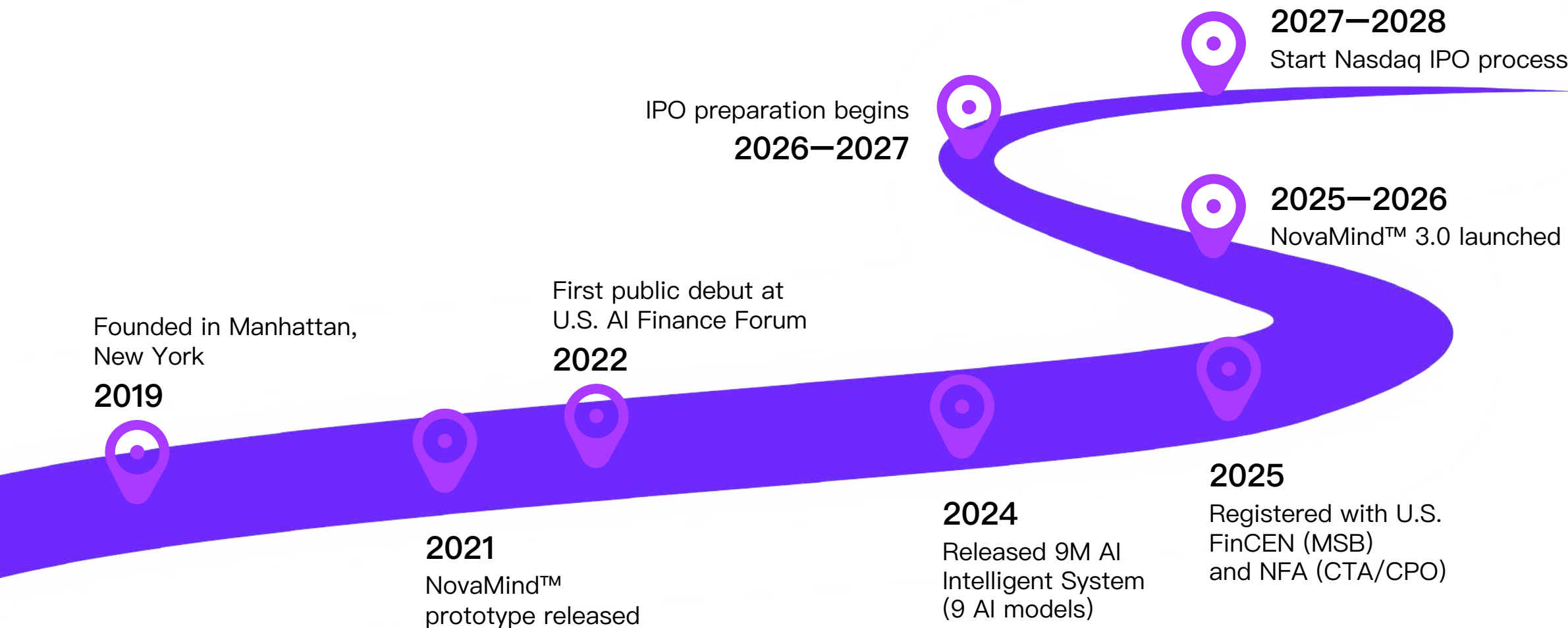
Compliance, Operations & Investor Relations

Team Size: 26

Roles:

- Compliance officers across U.S., Singapore, Europe (global filings & licensing)
- Investor relations specialists with Wall Street communication expertise

9M AI Key Milestones



Global Infrastructure

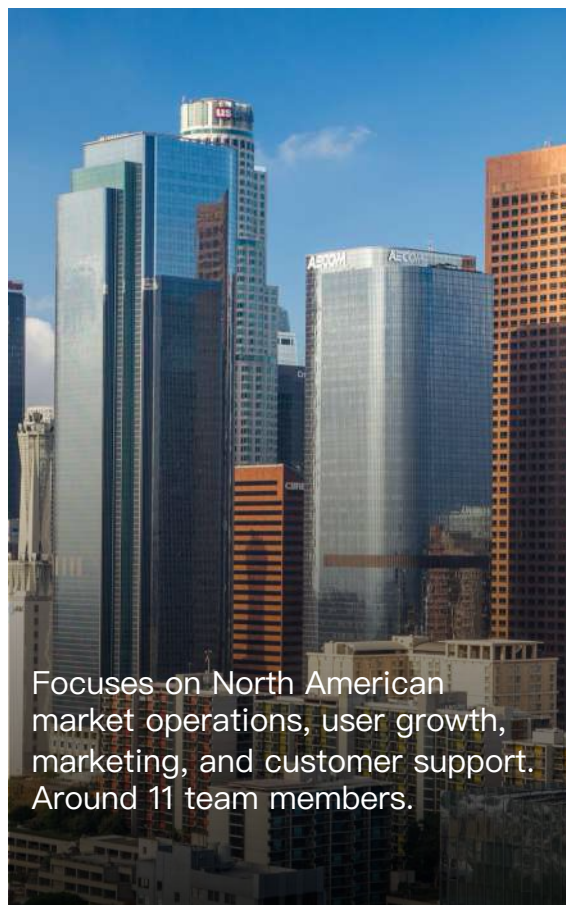
New York Headquarters



Global strategy hub with teams in product development, AI modeling, investment research, and executive leadership. 53 team members.



Los Angeles AI Data Center



Focuses on North American market operations, user growth, marketing, and customer support. Around 11 team members.



Singapore Operations



Regional center for Asia, covering compliance, data analysis, and growth strategy. About 13 team members with strong tech and ops capabilities.



Hong Kong Operations



Main base for Hong Kong and Greater China, handling client relations, investment advisory, and localized content. Team of 9.



Global Infrastructure



South Korea · Seoul |
Business Development
Office



Business development front —
connecting institutional capital
across Northeast Asia.



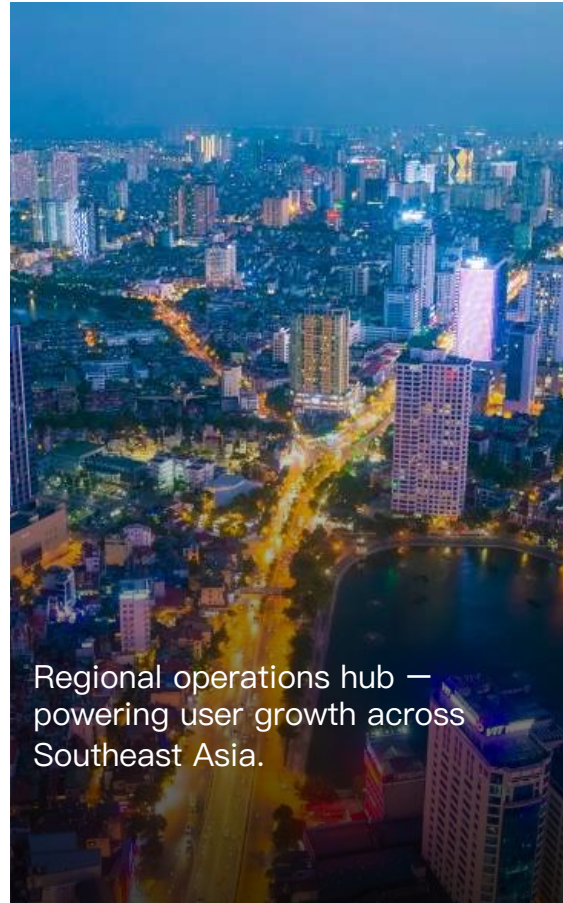
Dubai (Planned)



Planned hub for the MENA region,
focusing on partnerships,
localization, and compliance.
Currently in preparation.



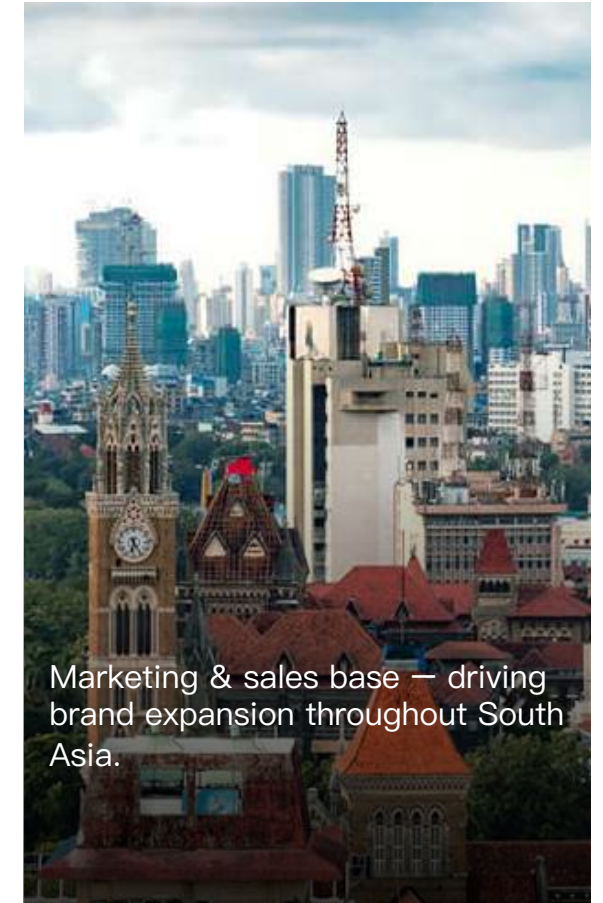
Vietnam · Hanoi |
Operations Center (Planned)



Regional operations hub —
powering user growth across
Southeast Asia.



India · Mumbai | Marketing
& Sales Office (Planned)



Marketing & sales base — driving
brand expansion throughout South
Asia.



9M AI is globally certified to deliver trusted AI -powered financial services



Financial Crimes Enforcement Network
Department of the Treasury

MSB Registration Status Information

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* MSB ACTIVITIES (MSB Services Key List)
** ALL STATES & TERRITORIES & FOREIGN FLAG (All States/Territories Key List)

LEGAL NAME	DBA NAME	STREET ADDRESS	CITY	STATE	ZIP	MSB ACTIVITIES	MSB OF FOREIGN ACTIVITIES	FOREIGN FLAG	LOCATION	BRANCHES	EXPIRATION DATE	RECEIVED DATE
9M AI Group Inc		1312 17TH ST UNIT 2955	Denver	CO	80202	401 402 404 405 408 409 413 415	AK AL AR AZ CA CO CT DC DE FL FM GA GU HI IA ID IL IN KS KY LA MA MD ME MI MN MO MP MS MT NC ND NE NH NJ NM NV NY OH OK OR PA PR PW RI SC SD TN TX UT VA VT WA WI WY WY			0	04/15/2025	04/15/2025

U.S. MSB License & Registry Record
Registered address: Colorado, USA



NFA ID: 0570618

9M AI GROUP

Commodity Pool Operator
Commodity Trading Advisor

DATE: 04/16/2025

U.S. NFA License & Registry Record



National Futures Association
Exemptions Filing System

Exemption Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties.

9M AI GROUP INC **NFA ID: 0570618**

Exemption	Date Filed	Print
4.14(a)(3)	04/17/2025	
1		

[File Exemption](#) [View Exemption Information](#)

Pool Exemptions


Click on the Pool ID to edit or delete exemptions.

Pool ID	Pool Name	Exemption	CO-CPO	Print
P10/022	9M AI GROUP	4.12(a)(2)		
1				

[Create New Pool and File Exemption](#) [Create Co-CPO Relationship](#)

9M AI is globally certified to deliver trusted AI -powered financial services



- Filing Type: D
- Act: 33
- File Number: 021-545292
-  Verification Link (CIK: 0002066917) : <https://www.sec.gov/search-filings>

9M AI Group Inc. CIK#: 0002066917 (see all company filings)

State location: CO | State of Inc.: CO | Fiscal Year End: 12/01

Business Address

1312 17TH ST UNIT NUM-2955
DENVER CO 80202
12697784092

Mailing Address

1212 17TH ST UNIT NUM-2955
DENVER CO 80202

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Filings	Format	Description	Filing Date	File/Film Number
D	Documents	Notice of Intention to Offer of Securities, Item 606 Act No: 0002066917-25-000001 (33 Act) Size: 0 KB	2025-05-06	021-545292 25915535

U.S. SEC Filing (Securities and Exchange Commission)

9M AI is globally certified to deliver trusted AI -powered financial services

9M AI Regulatory Certifications (Approved)

License	Issuing Authority / Region	Status	Description
MSB — Money Services Business License	FinCEN U.S. Department of the Treasury	Approved	Authorized to conduct fund custody and cross-border capital transfers
NFA — CPO & CTA Registration	National Futures Association (USA)	Registered	Legally permitted to manage quantitative derivatives and commodity funds
Registered Entity Status	State of Colorado Government	Valid	Official business registration with activities protected under U.S. law
SEC STO Filing	United States	Approved	Form D signals strong investor confidence and the company's preparedness for strategic private expansion.

Actively expanding global market coverage through multi-jurisdictional financial licensing

Global Regulatory Licensing Progress (In Progress)		
License	Country / Region	Current Status
Australian Financial Services License	Australia	In preparation
CMS (Capital Markets Services) License	Singapore	Under review
MSB License (Canada)	Canada	In preparation
FCA Registration Exemption	United Kingdom	In planning

Building Systematic Global Compliance Capabilities

9M AI Global Compliance Strategy Matrix (Mid— to Long—Term)

01

Global Mirror Licensing

— Enable multi-jurisdiction operations and cross-border capital deployment.

02

Compliance-as-a-Service (CaaS)

— Integrate AI-driven strategies into local regulatory frameworks.

03

Transparent Reporting

— Annual 9M Compliance Transparency Report for public disclosure.

04

Tech—Legal Architecture

— In-house compliance tech teams working with top legal partners (Hong Kong, New York, London).

At 9M AI, true fintech trust starts, evolves, and grows through compliance.

Strategic Partnerships and Alliances



ANTHROPIC



COLUMBIA AI



Bloomberg

At the Forefront of Technology · Alongside Industry Leaders



9M AI Core Engine: NovaMind™

About NovaMind™

NovaMind™ is 9M AI's proprietary AI engine, built on Financial LLMs and trained in real-world finance.

It powers the first AI-led asset management system — where AI doesn't assist decisions, it makes them.

NovaMind™ autonomously designs, optimizes, and validates strategies for the future of wealth creation.



NovaMind™ Technology Philosophy

NovaMind™ isn't just a tool — it's a judgment-driven AI designed to build lasting strategic advantages for every user.

Core principles:

- Financial LLMs are the new foundation of asset management.
- Strategies must evolve dynamically with markets.
- Every investor deserves a personalized 9M AI Agent — a trusted digital co-pilot for the future.

Core Data of the 9M AI NovaMind™ Engine

Quant Models

300+

proprietary models

Market Coverage

45

global markets

Integrated Trading Platforms

Hundreds

of exchanges and DeFi platforms

Daily Signal Processing

Over 50 million

trading signals

AI Model Scale

270 billion

Financial big model parameters

Asset Class Coverage

7 major classes

Including stocks, derivatives,
bonds, etc.

Academic Papers

40 M+

Academic Papers

Financial News & Content

1 B+

articles

Social Media Signals

17 B+

data points

Four Core Components of the 9M AI NovaMind™ Engine

The 9M AI NovaMind™ Engine is built upon four core components.

Component	Core Functionality
9M AI Core Engine	Simulates thousands of market scenarios in real time to optimize asset allocation.
Modular Component	High-frequency engine integrating traditional and crypto markets for millisecond arbitrage.
Risk Mitigation System	Detects "black swan" events and triggers autonomous risk controls to stabilize portfolios.
Simulation Environment	15-year backtesting + 6-month live validation before strategy deployment.

Four Intelligent Hubs Powered by NovaMind™

AlphaMind™ Core Engine

Interpret complex market data across assets, time zones, and scenarios.

→ Hypothesis generation, simulation, and strategy output.

MetaQuant™ Strategy Engine

Adaptive portfolio construction via generative AI + causal modeling.

→ Real-time strategy evolution beyond static models.

Sentient Signal™ Market Sensing

Analyze real-time signals from 150+ markets.

→ Millisecond-level risk alerts and trend detection.

LucidOps™ Execution System

Automate strategy deployment, monitoring, and optimization.

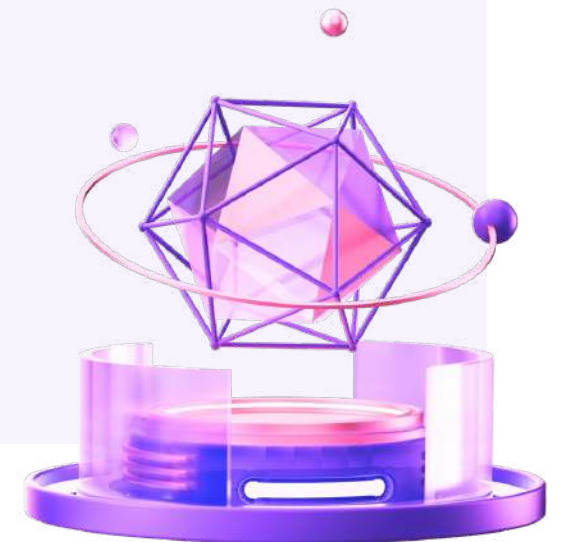
→ Integrate across equities, options, crypto, and funds.

Flagship Product: 9M AI Fund

About 9M AI Fund

Powered by the NovaMind™ engine, the 9M AI Fund intelligently allocates global high-quality assets across 7 major classes.

- Real-time connection to 45+ financial markets, crypto exchanges, and DeFi platforms
- Driven by 300+ quantitative factors and 50M+ daily trading signals
- Built on a 270B-parameter Web3 financial model
- Institutional-grade strategies delivered through a seamless, one-click experience



Key Features of the 9M AI Fund

Advanced Data Intelligence

Aggregates high-volume market data with algorithmic cleansing across BTC, ETH, SOL, and more.

Dynamic Risk Management

Optimizes asset allocation by combining historical insights with real-time conditions.

Real-Time Monitoring

Predictively adjusts strategies through continuous market tracking and proprietary risk protocols.

Emotion-Free Execution

Executes trades based purely on data and logic—fast, precise, and unbiased.

9M AI Fund Cycle Types

- 9M AI Strategy Fund: 5 cycle options: 7 / 30 / 90 / 180 / 360 days
- 9M AI Stable Fund: 4 cycle options: 30 / 90 / 180 / 360 days

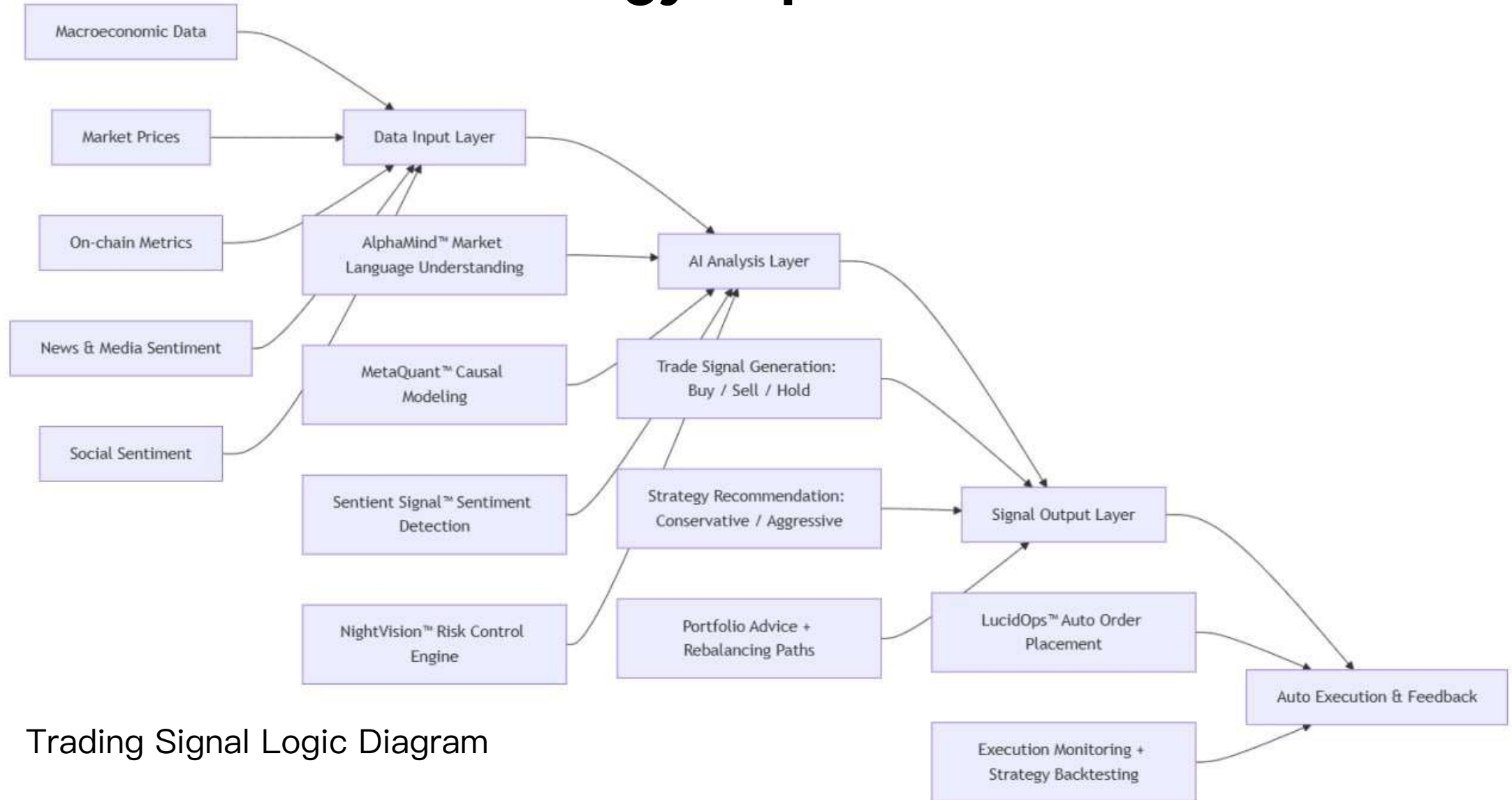
Powered by NovaMind™ 3.0 Intelligent Engine:

- Dynamic strategy optimization.
- Risk-managed cross-chain asset allocation
- 1,000+ crypto asset coverage

9M AI Fund Cycle Overview

Cycle	Focus	Best For
7D	Short-term trend capture, fast rotation	Low-risk, conservative users
30D	Monthly rhythm tracking, flexible returns	Users seeking agility
90D	Thematic quarterly opportunities	Active investors
180D	Mid-term asset deep deployment	Stable allocators
360D	Early-stage macro investments	Long-term holders

9M AI Core Strategy Implementation Process



Trading Signal Logic Diagram

9M AI Core Strategy Logic: Structural Arbitrage & Information Asymmetry

9M AI transforms micro-inefficiencies and latency gaps into high-confidence returns through proprietary AI.

Core Strategy Models:

Alpha Excess Return

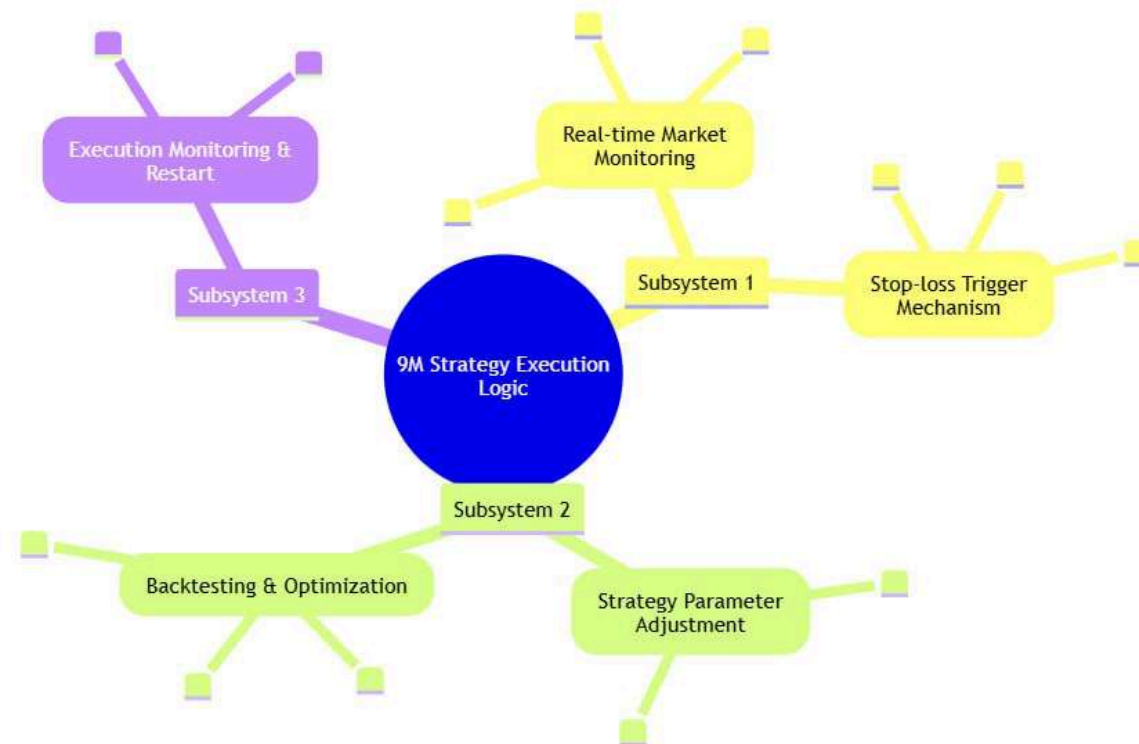
Early positioning in high-volatility zones for asymmetric returns

Ultra-Short-Term Arbitrage Strategy

High-frequency trading to capture cross-market latency opportunities

AI-Driven Evolutionary Mechanism

Real-time strategy evolution through adaptive backtesting and optimization



Quantitative Strategy Execution Logic

9M AI Technological Advantage: Transparent and Sustainable Strategy Execution

9M AI's system combines strategy pools, capital pools, and intelligent yield models—ensuring full transparency, risk dispersion, and sustainable growth.

Strategy Pool:

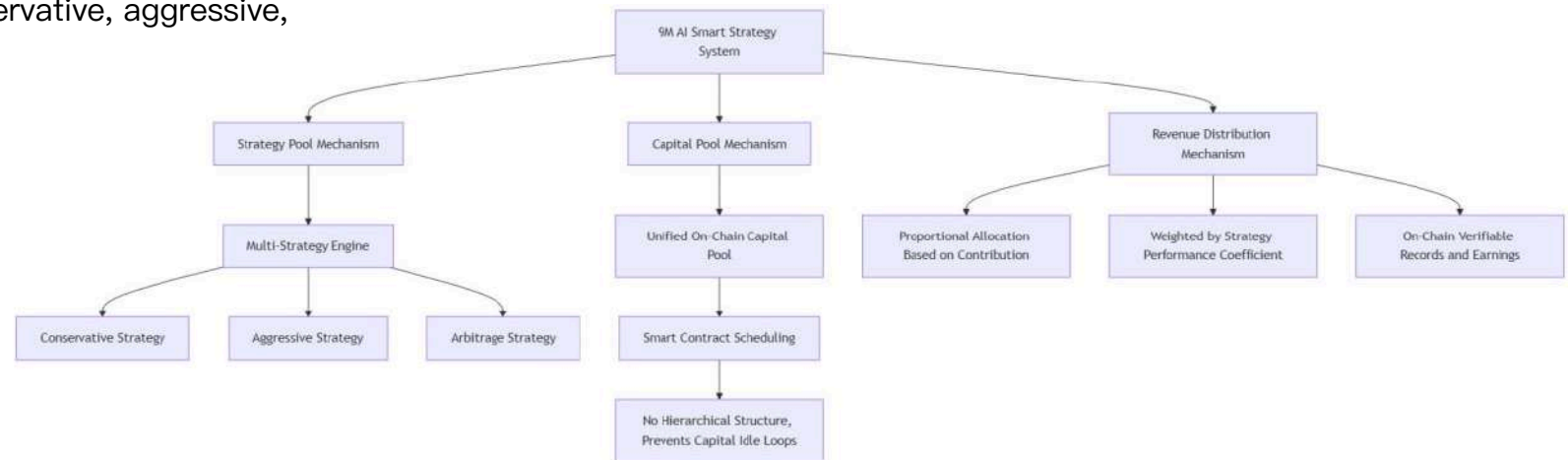
AI dynamically allocates capital across conservative, aggressive, and arbitrage models.

Capital Pool:

Unified on-chain liquidity pool ensures fund segregation and smart contract security.

Yield Logic:

Transparent returns based on contribution and strategy performance, fully verifiable on-chain.



9M AI-Driven Strategic Intelligence System

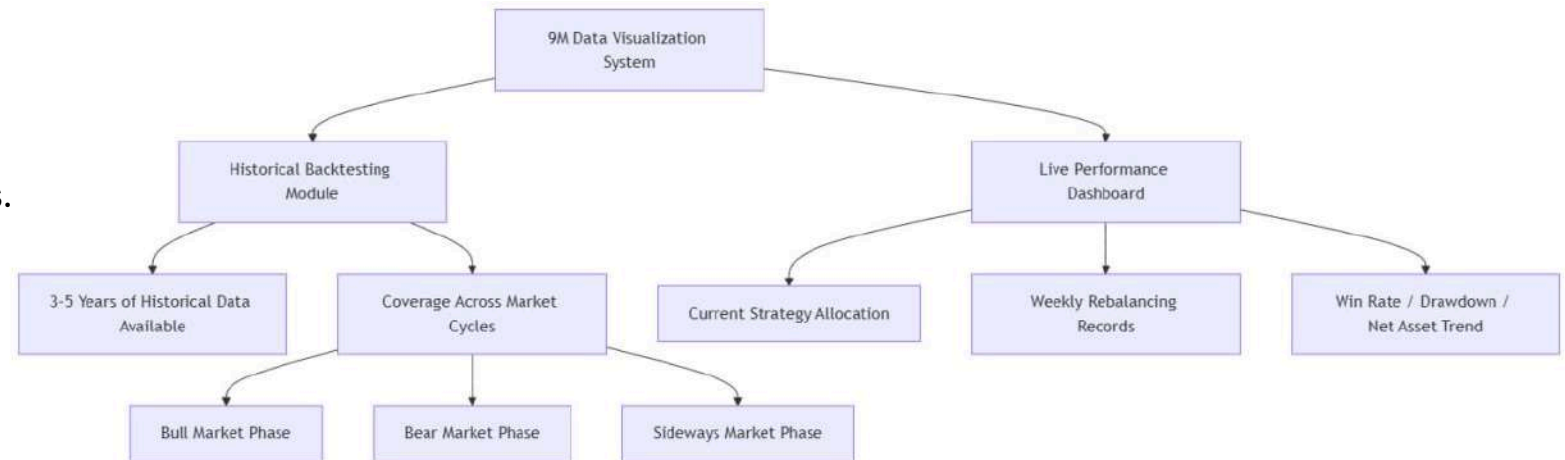
9M AI Technological Advantage: Establishing Trust Through Data Transparency

On-Chain Transparency:

- All live trading addresses are publicly disclosed.
- Users can independently verify every transaction via blockchain explorers.
- Monthly Transparency Reports show performance, risk, and strategy adjustments.

Community Engagement:

- Blockchain-signed earnings statements.
- Shareable, verifiable user performance posters.
- "Believe the data, not the pitch" — full on-chain proof of results.



9M Backtesting and Live Data Integration Architecture Diagram

9M AI Technological Advantage: Smart Contract Custody & Multi-Layer Risk Control

Core Security Features:

Asset Custody:

Funds are locked in non-custodial smart contracts. Users retain full withdrawal rights.

Permission Control:

All critical operations use DAO-based multi-signature authorization—transparent and immutable.

AI-Powered Risk Monitoring:

AI monitors for extreme volatility, automatically enforcing position limits and trade halts.

9M AI Technological Advantage: Adaptive AI Strategy Framework

Key Technical Highlights:

Weekly Strategy Updates

Real-time factor tuning to track evolving market trends.

Dynamic Risk Control

Transformer-based system adjusts risk parameters and position sizing in real time.

User-Centric Matching

AI auto-matches strategies based on user profiles (defensive for conservative, growth for aggressive investors).

*"We don't claim AI is flawless—
but we designed it to become more intelligent every week."*

9M AI Strategic Roadmap

2025—2026 | Foundation Phase

AI Engine Evolution

- Launch NovaMind™ 3.0
- Unified model system for daily strategy optimization

Product System Deployment

- Launch 3 flagship quant funds
- Build "Core Strategy Pool + Iteration Engine"

Asset & Performance Growth

- AUM > \$500M across 60+ countries
- Live models: 41—53% average monthly return (stable range)

Compliance Development

- License applications in Australia (AR) & Canada (MSB)

9M AI Strategic Roadmap

2026–2027 | Acceleration Phase

Product & Model Upgrade

- Launch NovaMind™ 4.0 (RL-based learning & real-time factor updates)
- Expand into ETFs, derivatives, multi-market products

Performance Breakthrough

- Core products achieve 52–68% monthly returns

Commercial Milestones

- Revenue +300% YoY; Management fees >\$50M
- Beta launch of retail AI asset allocation engine

Capital & Organizational Upgrade

- Build Wall Street IR team & senior executive board
- Target NASDAQ Main Board listing as AI fund leader

9M AI Strategic Roadmap

2027–2028 | Expansion Phase

IPO Readiness & Governance

- Appoint underwriter, initiate IPO process
- Complete SOX audit, compliance, and board setup

Global Capital Engagement

- Investor roadshows in North America, Asia, Europe
- Expand AI hubs and localized training datasets

Product Advancement

- Launch NovaMind™ 5.0: cross-market arbitrage & personalized risk profiling



9M AI

Thank You

