



**NON-PROFESSIONAL SELF-CERTIFICATION FORM**

戶口名稱 Account Name:

戶口號碼 Account No:

經紀名稱 A.E. Name:

經紀編號 A.E. No:

Based on the Subscriber's qualifications, Subscribers may be charged reduced Fees for Information. To qualify for the reduction in Subscriber Fees, Subscriber must be considered a "Non-Professional."

**Non-Professional** shall mean and include either (i) an individual, natural person Subscriber(s) who, or (ii) certain small business entities (limited liability companies, partnerships, trusts or corporations) that, receive and use Information (excluding any pit traded data), in each case subject to the following restrictions:

The Non-Professional Subscriber must:

- a) have an active futures trading account;
- b) be an individual, natural person or small business entity

The Non-Professional Subscriber must not:

- c) be a member (or hold or lease any type membership) of any exchange;
- d) be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any financial regulatory authority
- e) be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities

The Non-Professional Subscriber's Use of Information must:

- f) be solely for the Subscriber's personal or private use;
- g) be limited to managing the Subscriber's own assets, and not be used in connection with the management of any assets of any third party(ies) in any capacity

The Non-Professional Subscriber's Access to Information must only

- h) be via a maximum of two trading terminals per Distributor, permissioned for Real-Time Information and capable of routing orders to the CME Globex Platform (an "Order Routing Device").

Any Subscriber who does not meet the qualifications of a Non-Professional Subscriber will be considered a Professional Subscriber.

Notwithstanding anything herein, CME reserves the right in all cases to make a final determination as to whether a Subscriber is a Non Professional or a Professional. CME reserves the right to amend this policy or terminate reduced fees for Non-Professionals at any time.

Subscribers who qualify as Non-Professionals should sign below and return this Self-Certification form to Distributor. Please note that this form may be subject to Distributor's review and approval. Subscriber must notify Distributor as soon as is reasonably practicable in the event that Subscriber no longer qualifies as a Non-Professional.

**DECLARATION AND SIGNATURE**

I/We hereby certify that I/We qualify as a Non-Professional pursuant to the definition described herein and have read all relevant documents in English and fully understand and agree to the contents therein:

個人/ 主要帳戶申請人簽署  
Individual/Primary Joint Account Subscriber's Signature

聯名帳戶第二帳戶申請人簽署  
Secondary Joint Account Subscriber's Signature

申請人姓名  
Individual/Primary Joint Account Subscriber's name

申請人姓名  
Secondary Joint Account Subscriber's name

日期 Date

日期 Date

**只供本行使用 For Official Use Only**

申請人資料核對:  
Subscriber information checked by:

日期;  
Date:

備註:  
Remarks:

以下為中文翻譯版本，只供參考，所有內容以英文版本為準。請以英文版本遞交回輝立。

### 非專業用戶自我認證表格

根據用戶的資格，用戶可能會被收取較低的信息費用。被認定為“非專業”的用戶，才可以獲得收取較低的用戶費用。

**非專業**是指並包括任何 (i) 個人及自然人用戶，或者 (ii) 某些小型企業實體（有限責任公司，合夥企業，信託或公司），收取和使用信息（不包括任何場內交易數據），在每種情況下受到以下限制：

非專業用戶必須:

- 1) 有一個活躍的期貨交易賬戶;
- 2) 是個人，自然人或小型企業實體;

非專業用戶不得:

- 3) 成為任何交易所會員（或持有或租借任何類型的會員資格）;
- 4) 註冊或有資格作為任何股票，商品或期貨交易所或合約市場，或與任何金融監管當局一個專業的交易者或投資顧問的資格;
- 5) 從事券商，銀行，投資或金融活動的機構的代表;

非專業用戶使用信息必須:

- 6) 是專為用戶的個人或私人使用;
- 7) 僅限於管理用戶的自有資產，而不是以任何身份與任何第三方的任何資產的管理連接使用;

非專業用戶獲取資料必須只能:

- 8) 就每一發佈商（數據）通過最多兩部已被獲准取得實時數據和能夠送出交易指令至 CME Globex 平台的交易終端。

不符合非專業用戶資格的用戶，將被認為是專業用戶。

即使在本合同中的任何條款下，CME 有權在所有情況下作出最終決定，用戶是否作為一個非專業或專業用戶的定義。CME 保留在任何時間修改本政策或終止非專業用戶較低的費用權利。

有資格作為非專業用戶應該在下面簽名並遞交自我認證表格回發佈商。請注意，本表格可能會受到發行商的審查和認可。若用戶不再具有作為一個非專業用戶的資格，用戶必須在合理可行的情況下，盡快通知發佈商。

### DECLARATION AND SIGNATURE

我/我們特此證明，根據該本文中的定義，我/我們有資格作為非專業用戶及以閱讀所有相關的英文文件，並充分了解並同意其中的內容：