

**非專業人員自我證明書****Non-Professional Self-Certification Form**

您(“訂閱人”)從 CME (芝加哥商品交易所) 授予的許可下的經銷商 (“經銷商”) 處獲得 CME 和其他第三方的市場資料 (“市場資料”)。根據訂閱人的資格條件, 可能會降低就 CME 和其他第三方的市場資料向訂閱人收取市場資料費的標準。為了符合降低收費標準的資格條件, 訂閱人必須被視為 “非專業人員”。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.”

**非專業人員**是指並包括獲得和使用市場資料 (不包括任何場內交易資料) 並受到下列限制的(i)自然人訂閱人, 或(ii)某些小型商業實體 (有限責任公司、合夥、信託或法人): **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:

**非專業訂閱人 The Non-Professional Subscriber**

- (a) 訂閱人必須擁有一個活躍的期貨交易帳戶; the Subscriber must have an active futures trading account;
- (b) 訂閱人不得是任何交易所的會員 (亦不得擁有或租用任何交易所的任何一類會員資格); the Subscriber must not be a member (or hold or lease any type membership) of any exchange;
- (c) 訂閱人的主要業務經營目的並不涉及交易; the Subscriber does not have a primary business purpose that involves trading;
- (d) 訂閱人不得是在任何證券交易所、商品交易所、期貨交易所、合約市場或者任何監管機構、專業協會或經認可的專業機構登記或獲得資格認證的專業交易員或投資顧問; 並且 the Subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and
- (e) 訂閱人不得隸屬於任何屬於或被視為屬於專業使用者的實體; 以及 the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

**非專業訂閱人對市場資料的使用 The Non-Professional Subscriber's Use of Information**

- (f) 訂閱人僅可將市場資料用於訂閱人的個人非商業用途; the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- (g) 訂閱人使用市場資料的目的必須以管理訂閱人的自有財產為限, 而且, 為避免疑義, 其不得以任何身份將市場資料用於管理任何第三方的任何財產, 而不論是以本人的身份、任何企業的高級職員、合夥人、雇員或代理人的身份還是作為任何其他個人之代表的身份行事, 亦不論是否為此收取任何報酬; 並且 the Subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and
- (h) 訂閱人不得代表從事經紀、銀行、投資或金融活動的機構行事; 以及 the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

**非專業訂閱人對市場資料的獲取 The Non-Professional Subscriber's Access to Information**

- (i) 訂閱人從每一經銷商處獲取市場資料的管道不得超過兩(2)條; 並且 the Subscriber has no more than two (2) means for accessing Information from each Distributor; and
- (j) 訂閱人只能在能將訂單傳送到 CME Globex 平台的設備 (“訂單傳送設備”) 上瀏覽市場資料。the Subscriber must view the Information only on a device that is capable of routing orders to the CME Globex Platform (an “Order Routing Device”).

不符合非專業人員的資格條件或者屬於下述類型的任何訂閱人, 均應被視為專業人員。不管本文件中有何其他規定, 專業人員包括但不限於: Any Subscriber who does not meet the qualifications of a Non-Professional or falls under the categories described below shall be considered a Professional. Notwithstanding anything else herein, Professionals shall include, without limitation:

- 向任何第三方提供金融或類似服務的任何人或實體。Any person or entity that provides financial or similar services to any third party.
- 在任何證券交易所、商品交易所、期貨交易所、合約市場或者任何監管機構、專業協會或經認可的專業機構登記或獲得資格認證為專業交易員或投資顧問的任何人。Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.



- 代表從事經紀、銀行、投資或金融活動的機構行事的任何人或實體。 Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.
- 在 CME 集團的任何指定合約市場（“DCM”）或任何其他交易所擁有任何形式的會員資格的任何人，或者擁有此等會員資格的某一實體的任何雇員。 Any person or employee of an entity that holds any form of membership at any of the CME Group Designated Contract Markets (“DCM”) or any other exchange.

不管本文件中有何規定，在各種情況下，CME 均保留對某一訂閱人是否專業人員還是專業人員作出最終認定的權利。CME 保留隨時修訂本政策或者終止對非專業人員降低收費標準的做法的權利。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 for fees for Non-Professionals at any time.

符合非專業人員的資格條件的訂閱人應在下方簽字，然後將本自我證明書交還給經銷商。請注意，本證明書可能要由經銷商審批。如果訂閱人不再符合非專業人員的資格條件，則其必須在合理可行的範圍內儘快通知經銷商。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.

本人特此證明，按照本文件中所作的界定，本人符合非專業人員的資格條件。I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein:

### 訂閱人 SUBSCRIBER

簽名

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

姓名

Name : \_\_\_\_\_

日期

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