

**SCHEDULE G – SERVICE AGREEMENT SUPPLEMENT BETWEEN CQG AND CUSTOMER**

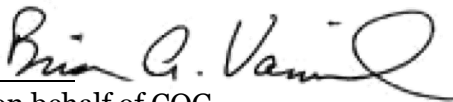
This agreement (“Agreement”) is made between CQG, Inc. and its affiliates (“CQG”) and the customer (“Customer”) who completes the registration process to use CQG’s electronic order routing service and related software (collectively, “Services”) made available to Customer by or through OCBC Securities Pte Ltd ("OSPL") (the “Facilitator”). Services may include obtaining market data from financial markets, exchanges and other data providers (collectively, “Exchanges”) as well as order routing. Exchanges, Brokers, Facilitator(s) and Service Providers are beneficiaries of this Agreement.

S/N	Fields	Input by Customer
1.	Customer name	
2.	Customer address (to include street address, region/state/country)	
3.	Customer Professional versus Non-Professional status	
4.	Customer account number	
5.	Customer email address	
6.	Exchange Enablements (including quantity enabled, where applicable)	

1. The following definition apply to this Agreement.
  - a. "**Market Data**" means information and data pertaining to futures contracts and options contracts or other instruments traded on the Exchanges as well as associated index data, that includes, without limitation, opening and closing range prices, high-low prices, settlement prices, current bid and ask prices, last sale prices, price limits, requests for quotations, estimated and actual contract volume data, text messages pertaining to market activity, contract specifications, fast or late messages and, as determined by each of the Exchanges, may include information respecting exchange-for-physical (EFP) or against actuals (AA) transactions. Market Data includes information, data and materials that are derived from the foregoing and that convey information to Customer that is substantially equivalent to Market Data.
  - b. "**ORS**" means the order routing system maintained by CQG that contains a suite of electronic order/trade routing services that can be used by OSPL and the Customers.
2. Customer agrees and gives its consent that CQG may collect, use, and disclose the data below only for the purposes of giving effect to this Agreement, which include facilitating support, the specific CQG Services contemplated in the CQG Service Agreement, and reporting to appropriate governing bodies, as required.
  - a. In circumstances where Customers obtain Market Data, the data will include:
    - i. Customer Name;
    - ii. Customer Address (to include region/state/country);

- iii. Customer Professional versus Non-Professional status; and iv. Subject to disclosure by the Customer, the data may include Customer phone number and Customer email address.
- b. In circumstances where Customers use ORS, the data will include:
  - i. Customer account number; and ii. Customer email address, where Customer uses CQG API.
- 3. Customer acknowledges and agrees to CQG's Privacy Policy, which is available at [www.cqg.com/privacy](http://www.cqg.com/privacy).
- 4. Customer's consent under Clause 2 may not be revoked where there are unsettled trades / orders between Customer and CQG.
- 5. If Customer gives notice revoking Customer's consent under Clause 2, but continues to place trades / orders, Customer agrees that Customer is deemed to have withdrawn the revocation and Customer's consent under Clause 2 shall remain valid.

WE, CQG, HEREBY AGREES TO BE BOUND BY ALL TERMS OF THIS AGREEMENT UPON THE CUSTOMER EXECUTING THIS AGREEMENT BELOW.

Brian Vancil, Vice-President   
Name of authorized signatory, on behalf of CQG

April 27, 2017  
Date

I, CUSTOMER, UNDERSTAND THIS AGREEMENT AND AGREE TO AND CONSENT TO BE BOUND BY ALL TERMS OF THIS AGREEMENT AND TO THIS TRANSACTION BEING CONDUCTED BY ELECTRONIC MEANS. CQG IS ALLOWING USE OF THE SERVICES IN CONSIDERATION OF CUSTOMER'S AGREEMENT TO THESE TERMS. IF CUSTOMER DOES NOT AGREE TO ALL TERMS OF THIS AGREEMENT, CUSTOMER MAY NOT ACCESS, USE OR INSTALL ANY OF THE SERVICES.

\_\_\_\_\_  
Name of Customer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

All information is required unless stated

**Subscriber:**
**Name/ Registered Name**

➤ as in our records

**Trading Account No.**

➤ if any

**Professional Status**

➤ tick your option

 Professional

 Non-Professional

**1 Select Electronic Trading Platform** please tick your option(s)

Trading Platforms		Add	Remove
Bloomberg	EMSX	<input type="checkbox"/>	<input type="checkbox"/>
CQG	CQG Desktop	<input type="checkbox"/>	<input type="checkbox"/>
	CQG QTrader	<input type="checkbox"/>	<input type="checkbox"/>
	CQG Mobile	<input type="checkbox"/>	<input type="checkbox"/>
Trading Technologies(TT)	TT Xtrader®	<input type="checkbox"/>	<input type="checkbox"/>
	TT Xtrader® Pro	<input type="checkbox"/>	<input type="checkbox"/>
Others		<input type="checkbox"/>	<input type="checkbox"/>

Note: By default, only **Futures contract** will be enable. Options to be available upon request .  
Subscription fees apply. Please refer to the Terms and Conditions.

**2 Select the Market Data you are subscribing** please circle your option(s)

Asia Pacific					
Exchange	Action	Exchange	Action	Exchange	Action
SGX	Add / Remove	BMD	Add / Remove	HKEX	Add / Remove
TOCOM	Add / Remove	OSE/TSE	Add / Remove	SFE	Add / Remove
				Others:	
US					
Exchange	Action	Exchange	Action	Exchange	Action
CME	Add / Remove	CBOT	Add / Remove	COMEX	Add / Remove
NYMEX	Add / Remove	ICE U.S.	Add / Remove	Others:	
Europe					
Exchange	Action	Exchange	Action	Exchange	Action
EUREX	Add / Remove	ICE EUROPE (COMMODITIES)	Add / Remove	ICE EUROPE (FINANCIAL)	Add / Remove
				Others:	

Note: Monthly subscription fee to be provided upon request and the fee may be applicable to certain exchanges and is subject to change from time to time.

**3 Your acknowledgement and agreement**

I/we have read, understood and agree to abide by all terms and conditions, including without limitation, the clauses governing Electronic Trading Services and the risk disclosure statements, as follows:

**All information is required unless stated**

- (a) OSPL Standard Trading Terms and Conditions (“STC”) (A copy of the STC is available at [www.iocbc.com](http://www.iocbc.com) or upon request);
- (b) Terms and Conditions Governing Futures & Derivatives Trading (A copy of these terms is available at [www.iocbc.com](http://www.iocbc.com) or upon request);
- (c) Risk Disclosure Statement for Futures & Derivatives Trading ; and
- (d) General Terms and Conditions (Applicable to All Electronic Trading Platforms) (“GTC”) (attached. A copy of these terms is also available at [www.iocbc.com](http://www.iocbc.com) or upon request), (collectively the “Agreements”).

I/we acknowledge and accept the terms of the Agreements, to pay any applicable charges and that OSPL may at any time revise any of the Agreements.

I/we agree and consent to the collection, use and disclosure of personal data by OSPL, its subsidiaries, related corporations, associated companies, affiliates and business units, including all OCBC Group companies, as well as OSPL appointed service providers, agents, counterparty brokers, execution partners and exchanges in the manner and for the purposes as per the:

- (a) STC;
- (b) Terms and Conditions Governing Futures and Derivatives Trading;
- (c) Futures and Derivatives Trading Supplementary Terms and Conditions;
- (d) GTC; and
- (e) The OCBC Data Protection Policy (A copy of this data protection policy is available at [www.iocbc.com](http://www.iocbc.com) or upon request).

Signature of authorized :  
Signatories (as per “STC”)

Date:

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## General Terms and Conditions (Applicable to All Electronic Trading Platforms)

1. These terms and conditions have been designed to be consistent with and not to supersede or otherwise alter any previous conditions, understandings, commitments or obligations between OSPL and you in the Agreements (defined below). Nevertheless, in the event of any conflict or inconsistency which relates to your access to and use of the Electronic Trading Facilities (defined in clause 2 below), the order of precedence shall be:
  - i. These terms and conditions;
  - ii. OSPL Standard Trading Terms and Conditions;
  - iii. The Terms and Conditions Governing Futures & Derivatives Trading;
  - iv. Futures and Derivatives Trading Supplementary Terms and Conditions;
  - v. Risk Disclosure Statement for Futures & Derivatives Trading; then
  - vi. The relevant Customer Trading Agreement (if any),

(Collectively, the “Agreements”).

If any part of these terms and conditions become invalid, illegal or unenforceable in any respect under any law, the legality, validity and enforceability of the remaining provisions shall not in any way be affected or impaired.

2. All electronic trading platforms ("Electronic Trading Platforms") are supplied on an “as is”, “as available” basis. Except to the extent required by law, OCBC Securities Pte Ltd (“OSPL”) does not make any representation or warranty, expressed or implied, with respect to the Electronic Trading Platforms, the content therein and/or any relevant documentation (collectively the “Electronic Trading Facilities”), including without limitation:
  - i. warranties regarding the merchantability or fitness for any particular purpose;
  - ii. warranties as to accuracy, timeliness, adequacy or reliability of the Electronic Trading Facilities;
  - iii. that it will be compatible with any hardware or software, or the files on your browser and/or operating system;
  - iv. that is free of viruses, errors, defects or other harmful components, or that defects will be corrected or that it will operate without interruption;
  - v. that you will be able to access and/or use the Electronic Trading Facilities at any and all times and from any location; and
  - vi. That OSPL and/or the third party providing the relevant Electronic Trading Facilities (each a “Vendor”) will have adequate capacity for the relevant Electronic Trading Facility as a whole or in any geographic location.

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3. Without prejudice to any rights you may have at law which cannot legally be excluded or restricted, in no event will OSPL or the relevant Vendors be liable for any damages, whether in contract, in tort (including negligence) or otherwise (including, without limitation, damages for loss of business profits, business interruptions, loss of business information or data, loss of goodwill, special, indirect or consequential or other pecuniary loss or a third party claim), which arise directly or indirectly for any reason whatsoever in connection with the Electronic Trading Facilities, including any losses, damages or costs incurred as a result of:
  - i. the use or inability to use (including prohibitions, restrictions, interruptions and delays in the use of) the Electronic Trading Facilities;
  - ii. actions taken in reliance of the Electronic Trading Facilities, including all content therein howsoever transmitted; and
  - iii. any system, hardware, software, telecommunications, server or connection failure, error, fault, inaccuracies, defect, omission, interruption, corruption, interception, delay in transmission, bug, computer virus, and other malicious, invasive, destructive or corrupting code, program or macros,

Even if OSPL has been advised of the possibility of such damages.

4. OSPL will not be liable for claims arising from the use of all order types, including in the execution or performance of any transaction which it is authorized to do pursuant to the conditions herein or otherwise requested by you, and/or any loss occurred from system outages. You are reminded and acknowledge that if you undertake transactions on an Electronic Trading Platform, you will be exposed to risks associated with the Electronic Trading Platform(s) and/or any other relevant system including without limitation the failure of hardware and software. The result of any system failure may be that your order is not executed according to your instructions or is not executed at all, or that you are delayed or prevented from entering or cancelling an order or receiving information through the Electronic Trading Facilities. OSPL shall not be liable for any losses arising out of any form of system failure or other unforeseen circumstances (e.g. power failure, terrorist acts, bombs, virus attacks, system bugs, etc) that causes any relevant server to malfunction, or for any losses arising from any inaccuracies or omissions of the Electronic Trading Platform(s) and/or any other relevant system.
5. In the event that you call in to cancel, amend or check your order, no claims arising from the cancellation / amendment of orders via call-in shall be entertained.
6. You acknowledge that you understand the risk associated with using the server based price triggered STOP orders. You are strongly advised to check the status of such orders after the close of the respective market(s), and you assume the responsibility of checking that the order is properly entered and triggered.
7. Unless otherwise agreed between OSPL and Customer, OSPL or the Customer may only terminate the access and use of any of the Electronic Trading Facilities by giving 60 days written notice to the other party.
8. You may not alter, modify or support, copy or otherwise reproduce, reverse engineer, decompile or disassemble the Electronic Trading Facilities.
9. The Electronic Trading Facilities made available to you directly or indirectly by OSPL remains exclusively owned by OSPL and/or the Vendors and may be protected by copyright laws, international treaty

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provisions or other intellectual property laws. You are permitted to use the Electronic Trading Facilities strictly as set out herein.

10. Market conditions or operations of the rules of certain markets may increase risk of loss by market conditions making it difficult or impossible to effect transactions or liquidate or offset positions. If you have positions, this may increase the risk of loss.
11. OSPL reserves the rights to deactivate, suspend, limit, revoke and/or terminate access to or use of the relevant Electronic Trading Platform(s) (or part thereof), or disable exchange access (or part thereof) without notice or liability if there is no trading activity, or if there is an abuse of such Electronic Trading Platform(s), as determined solely by OSPL.
12. OSPL reserves the rights to impose or vary any fees, costs and charges from time to time for the access to and use of the Electronic Trading Facilities, or to any exchanges, and OSPL shall notify you of such fees or variation thereof by email or such other method of notification as OSPL may designate. You agree that your continued access to and use of the Electronic Trading Facilities after such variation constitutes an affirmative acknowledgement and agreement by you to pay such fees, costs and/or charges as imposed or varied by OSPL.
13. You acknowledge that the executed price from "Market Order" function may differ from your point of entry price due to liquidity depth and volatility of market at the instance of execution.
14. You acknowledge that the status for all working orders could be unknown when the relevant Electronic Trading Platform experiences any outage and that you should contact the Dealing Desk for confirmation regarding the status of your working orders.
15. Access to exchanges may be deactivated from your Electronic Trading Platform if there is no trading activity for that particular exchange for the previous 2 calendar months.
16. All working orders have to be cancelled for switching of Electronic Trading Platforms.
17. Accessing or using the Electronic Trading Facilities via a mobile connection (including via the Mobile trading app) may incur data fees from your mobile service provider. A suitable mobile data package plan is strongly recommended to minimise unnecessary cost from your service provider. You may experience price latencies due to the mobile networks (e.g. 3G / 4G) or other factors and shall not hold OSPL liable for any delay or price errors caused to your trade execution. Trading in mobile devices subject to network connectivity in the vicinity. You are advised to check with the Dealing Desk/respective platform service vendors where applicable for the status of order should there be uncertainties.
18. Notwithstanding the generality of clause 2 above, OSPL does not warrant that any access to the Electronic Trading Facilities via the internet and/or mobile connections (including via the Mobile trading app) will be free of malfunction. Notwithstanding the generality of clauses 3 and 4 above, you agree that by using the Mobile trading app, you will bear all risks and limitations associated with the internet and/or mobile connections, including overloads, delays, disconnections, conflicts, interruptions, disruptions, reduced speed and reduced functionality (including a malfunction of the Mobile trading app), and that OSPL will not be responsible for any errors in transmission, electronic or mechanical failure or corruption, computer viruses, bugs and/or other harmful or malicious software of any kind whatsoever that may be attributable to services provided by any relevant telecommunications carrier, network service provider, internet service provider or information service provider.

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19. By using any of the Electronic Trading Platforms, you acknowledge and agree that OSPL does not and is not willing to assume any advisory, fiduciary or similar or other duties or act as investment adviser to you. You should make your own independent appraisal and investigation of all transactions and, where appropriate, consult your own independent legal, tax, and financial and other advisers before entering into any transaction. You should only enter into a transaction if you have fully understood its nature, the contractual relationship into which you are entering, and all relevant terms and conditions. You agree to enter into all transactions on the basis of your independent review and determination that the transactions are consistent with your objectives and are suitable investments for you in light of your financial position, investment objectives, investment experience and knowledge, and on the basis that you have fully understood the economic risks, merits and the legal, tax and accounting characteristics and consequences of the transactions, and that you are able to assume all risks.
20. By accessing and/or using any of the Electronic Trading Platforms, you acknowledge that OSPL will assist the relevant Vendor in carrying out and executing your orders, and you consent and authorise OSPL to debit from the trading account associated with you (as identified and provided to us in this application form) (the "Account") all fees, costs and charges incurred by you or on your behalf which are payable to the relevant Vendor in connection with your access to and use of the Electronic Trading Facilities provided by that Vendor. Such fees, costs and charges may include a monthly fee for each Electronic Trading Platform as well as the applicable Market Data Subscription Fee provided to you as notified to you from time to time by email or such other method of notification as OSPL may designate. Once deducted pursuant to an invoice received from OSPL or the relevant Vendor/Exchanges in respect of your access and/or use of the Electronic Trading Facilities, such fees, costs and charges will not be refundable notwithstanding that any such access or use of the Electronic Trading Facilities may be unauthorised or fraudulent. You undertake at all times to ensure that the Account contains sufficient funds for the purposes of fulfilling such payments due to the relevant Vendor(s). If at any time there are, in the reasonable opinion of OSPL (having regard to other payments debited or due to be debited), insufficient funds for such purposes, OSPL may, in its sole and absolute discretion and without notice or liability, suspend, limit, revoke, terminate and/or disable your access and/or use of the Electronic Trading Facilities (or part thereof).
21. OSPL may at any time revise any of the Agreements, including these terms and conditions, and OSPL shall notify you of such revision by email or such other method of notification as OSPL may designate. You agree that if you continue to access and/or use the Electronic Trading Facilities after such revision, you are deemed to have accepted the variation. If you do not accept the variation, you must terminate your access and use of the Electronic Trading Facilities in accordance with clause 7 above.
22. You acknowledge and agree that OSPL, and/or its subsidiaries, related corporations, associated companies, affiliates and business units, including all OCBC Group companies, as well as OSPL appointed service providers, agents, counterparty brokers, execution partners and exchanges (collectively "**OSPL Affiliates**") shall collect, use and disclose the information provided in this application form for the following purposes: to administer, facilitate and/or provide the Electronic Trading Facilities; for the daily operations of the Electronic Trading Facilities; to process, facilitate, carry out, fulfill, complete, confirm and/or execute orders, transactions or any other dealing effected through the Electronic Trading Platforms; to monitor the access to and use of the Electronic Trading Facilities; to carry out, process or respond to requests, instructions or inquiries; to authenticate and verify authorised use of the Electronic Trading Facilities, including verifying the identity of any individual validly authorised to access and/or use the Electronic Trading Facilities; to address or investigate any complaints, claims or disputes; for internal analytic purposes of OSPL and the relevant Vendors; for internal purposes or otherwise complying with policies and procedures that may be required by law or that may have been put in place by OSPL and/or the OSPL Affiliates from time to



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time; to allow OSPL and/or the OSPL Affiliates, to meet their respective obligations to the relevant exchanges and other execution/clearing broker complying with any applicable rules, laws or regulations, regulatory policies, industry codes of practice or guidelines, judgments, orders, directions or requests issued by any court, legal, regulatory or self-regulatory bodies (including regulatory entities which govern the distribution of market data and order execution), exchanges and/or authorities, including but not limited to rules and regulations relating to anti-money laundering and countering the financing of terrorism and the carrying out of audit checks, surveillance and investigation; all purposes as set out in the OCBC Data Protection Policy (available at [www.iocbc.com](http://www.iocbc.com)) as updated, amended, revised or supplemented from time to time; and for any purpose which directly relates to any of the foregoing (collectively, the "Authorised Purposes").

23. You acknowledge and consent to OSPL disclosing the information provided in this application form, and any other information (including personal data as defined in the Personal Data Protection Act 2012 (No. 26 of 2012) of Singapore) which relates to you or your authorised representatives, directors, officers and/or agents to any relevant Vendor upon demand, provided that such disclosure is necessary for the provision of or to facilitate your access to and/or use of the relevant Electronic Trading Facility or for any of the Authorised Purposes.
24. Where CQGTrader or QTrader trading platforms are selected, you are required to enter into separate agreement(s) with CQG, which will set out separate terms and conditions (each such agreement a "Customer Trading Agreement"). You acknowledge that in such instances, you will have a direct contractual relationship with CQG, and you are advised to seek the appropriate legal advice prior to the entering into of the separate agreement(s) with CQG. OSPL does not warrant, represent, or undertake the performance of any obligations owing from CQG to you pursuant to the said separate agreement(s).

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Applicable for CME Market data subscriber

## **CME Non Professional Self Certification Form**

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**

- a) the Subscriber must have an active futures trading account;
- b) the Subscriber must not be a member (or hold or lease any type of membership) of any exchange;
- c) the Subscriber does not have a primary business purpose that involves trading;
- d) 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) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

### **The Non-Professional Subscriber's Use of Information**

- f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- g) 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) the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

### **The Non-Professional Subscriber's Access to Information**

- i) the Subscriber has no more than two (2) means for accessing Information from each Distributor; and
- j) 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").

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:

- Any person or entity that provides financial or similar services to any third party.
- 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.
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.
- 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.

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- 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.

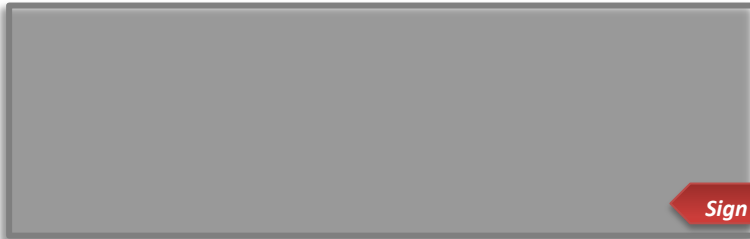
Subscribers who qualify as Non-Professionals should sign below and return this Self-Certification form to Distributor. Please note that this form may be subject to Distributor's review and approval. Subscriber must notify Distributor as soon as is reasonably practicable in the event that Subscriber no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

I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein: **SUBSCRIBER**

Name of Account Holder(s) : \_\_\_\_\_

NRIC / Passport no(s). : \_\_\_\_\_

Signature of Account Holder / Date



**Sign Here**

All information is required unless stated

Applicable for CME Market data subscriber

## 非专业人员自我证明书

您（“订阅人”）从 CME（芝加哥商品交易所）授予的许可下的经销商（“经销商”）处获得 CME 和其他第三方的市场数据（“市场数据”）。根据订阅人的资格条件，可能会降低就 CME 和其他第三方的市场数据向订阅人收取市场数据费的标准。为了符合降低收费标准的资格条件，订阅人必须被视为“非专业人员”。

非专业人员是指并包括获得和使用市场数据（不包括任何场内交易数据）并受到下列限制的(i) 自然人订阅人，或(ii) 某些小型商业实体（有限责任公司、合伙、信托或法人）：

### 非专业订阅人

- a) 订阅人必须拥有一个活跃的期货交易账户；
- b) 订阅人不得是任何交易所的会员（亦不得拥有或租用任何交易所的任何一类会员资格）；
- c) 订阅人的主要业务经营目的并不涉及交易；
- d) 订阅人不得是在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证的专业交易员或投资顾问；并且 e) 订阅人不得隶属于任何属于或被视为属于专业用户的实体；以及

### 非专业订阅人对市场数据的使用

- f) 订阅人仅可将市场数据用于订阅人的个人非商业用途；
- g) 订阅人使用市场数据的目的是必须以管理订阅人的自有财产为限，而且，为避免疑义，其不得以任何身份将市场数据用于管理任何第三方的任何财产，而不论是以本人的身份、任何企业的高级职员、合伙人、雇员或代理人的身份还是作为任何其他个人之代表的身份行事，亦不论是否为此收取任何报酬；并且
- h) 订阅人不得代表从事经纪、银行、投资或金融活动的机构行事；以及

### 非专业订阅人对市场数据的获取

- i) 订阅人从每一经销商处获取市场数据的渠道不得超过两（2）条；并且

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j) 订阅人只能在能将订单传送到 CME Globex 平台的设备 (“订单传送设备”) 上浏览市场数据。

不符合非专业人员的资格条件或者属于下述类型的任何订阅人，均应被视为专业人员。不管本文件中有何其他规定，专业人员包括但不限于：

- 向任何第三方提供金融或类似服务的任何人或实体。
- 在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证为专业交易员或投资顾问的任何人。
- 代表从事经纪、银行、投资或金融活动的机构行事的任何人或实体。
- 在 CME 集团的任何指定合约市场 (“DCM”) 或任何其他交易所拥有任何形式的会员资格的任何人，或者拥有此等会员资格的某一实体的任何雇员。

All information is required unless stated

不管本文件中有何规定，在各种情况下，CME 均保留对某一订阅人是否是非专业人员还是专业人员作出最终认定的权利。CME 保留随时修订本政策或者终止对非专业人员降低收费标准的做法的权利。

符合非专业人员的资格条件的订阅人应在下方签字，然后将本自我证明书交还给经销商。请注意，本证明书可能要由经销商审批。如果订阅人不再符合非专业人员的资格条件，则其必须在合理可行的范围内尽快通知经销商。

本人特此证明，按照本文件中所作的界定，本人符合非专业人员的资格条件。

订阅人

姓名

:

\_\_\_\_\_  
身份

证号码 (NRIC/护照号

:

\_\_\_\_\_

账户持有者签名 / 日期

