

# Exhibit A to Schedule 4: 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 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. I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein:

**SUBSCRIBER**

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

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

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

(譯本僅供參考)

**附件 4 之附錄 A：非專業用戶自我聲明表格**

您（“訂閱人”）從 CME（芝加哥商品交易所）授予的許可下的分發商（“分發商”）處獲得 CME 和其他第三方的市場數據（“市場數據”）。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數據向訂閱人收取市場數據費的標準。為了符合降低收費標準的資格條件，訂閱人必須被視為“非專業用戶”。

**非專業**是指並包括任何 (i)個人及自然人訂閱人，或(ii)某些小型商業實體（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：

**非專業訂閱人必須：**

- (a) 擁有一個活躍的期貨交易帳戶；
- (b) 是個人，自然人或小型商業實體；

**非專業訂閱人不得：**

- (c) 是任何交易所的會員；
- (d) 是在任何證券交易所、商品交易所、期貨交易所或者合約市場，或者任何金融監管機構登記或獲得資格認證的專業交易員或投資顧問；
- (e) 代表從事經紀、銀行、投資或金融活動的機構行事；

**非專業訂閱人使用信息必須：**

- (f) 僅可作訂閱人的個人或私人用途；
- (g) 以管理訂閱人的自有資產為限，而且不得以任何身份與任何第三方的任何資產的管理連接使用；

**非專業訂閱人獲取市場數據必須只能：**

- (h) 就每一分發商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 平臺的交易終端。

不符合非專業用戶資格條件的任何訂閱人將被視為專業用戶。

即使在本文件中的任何條款下，CME 保留對某一訂閱人是非專業用戶還是專業用戶作出最終決定的權利。CME 保留隨時修訂本政策或者終止非專業用戶較低的費用的權利。

符合非專業用戶的資格條件的訂閱人應在下方簽字，然後將本自我聲明表格交還給分發商。請注意，本聲明表格可能會受到分發商的審查和認可。如果訂閱人不再符合非專業用戶的資格條件，則其必須在合理可行的範圍內儘快通知分發商。

本人特此證明，按照本文件中的定義，本人符合非專業用戶的資格條件。

**訂閱人**

簽名： \_\_\_\_\_ 訂閱人簽署

姓名： \_\_\_\_\_ 訂閱人姓名

日期： \_\_\_\_\_ 簽署日期