

Schedule 4 (Exhibit A): Non-Professional Self-Certification Form

附件 4 之附录 A：非专业人员自我证明书

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."

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”。

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）：

The Non-Professional Subscriber 非专业订阅人

- (a) the Subscriber must have an active futures trading account;
订阅人必须拥有一个活跃的期货交易账户；
- (b) the Subscriber must not be a member (or hold or lease any type membership) of any exchange;
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) the Subscriber does not have a primary business purpose that involves trading;
订阅人的主要业务经营目的并不涉及交易；
- (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
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) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and
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

The Non-Professional Subscriber's Use of Information 非专业订阅人对市场数据的使用

- (f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
订阅人仅可将市场数据用于订阅人的个人非商业用途；
- (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
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) the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

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

The Non-Professional Subscriber's Access to Information非专业订阅人对市场数据的获取

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

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:

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：

- Any person or entity that provides financial or similar services to any third party.
向任何第三方提供金融或类似服务的任何人或实体。
- 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.
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。
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.
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。
- 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.
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。

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.

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。

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.

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。

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

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。

SUBSCRIBER 订阅人

Signature 签名: _____

Name 姓名: _____

Date日期: _____