

UOB Kay Hian Futures (Hong Kong) Limited  
6/F Harcourt House  
39 Gloucester Road, Hong Kong  
Attn: Client Services Department

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

Account No. : \_\_\_\_\_

## **Subscriber Self Certification**

Subscribers should sign below and return this 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:

**I hereby certify that I qualify as a (please tick a box below), pursuant to the definition described herein.**

**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 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

***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;

**Professional Subscriber**

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.

## Price Quote Services

Please tick the service(s) you wish to apply for:

<b>Monthly Subscriber Fee for Non-Professional Subscribers</b>					
<b>Exchange</b>	CBOT	CME	COMEX	NYMEX	Package
<b>Delay</b>	<input type="checkbox"/> Free	<input type="checkbox"/> Free	<input type="checkbox"/> Free	<input type="checkbox"/> Free	<input type="checkbox"/> Free
<b>Level 1</b>	<input type="checkbox"/> US\$1.	<input type="checkbox"/> US\$1.	<input type="checkbox"/> US\$1.	<input type="checkbox"/> US\$1.	<input type="checkbox"/> US\$3.
<b>Level 2</b>	<input type="checkbox"/> US\$5.	<input type="checkbox"/> US\$5.	<input type="checkbox"/> US\$5.	<input type="checkbox"/> US\$5.	<input type="checkbox"/> US\$15.

**Promotion:** For any online clients who subscribe CME data service, monthly data fee can be waived.

Terms and Conditions

1. Promotion period: From 1 Aug till further notice
2. Promotion is only valid for non-professional subscriber.
3. UOB Kay Hian (Hong Kong) limited reserves the right to suspend, amend and terminate the above offers, and change the terms and conditions without prior notice.
4. UOB Kay Hian (Hong Kong) limited reserves the right of final decision in the event of dispute.

<b>Monthly Subscriber Fee Fee for Professional Subscribers</b>				
<b>Exchange</b>	CBOT	CME	COMEX	NYMEX
<b>Delay</b>	<input type="checkbox"/> Free	<input type="checkbox"/> Free	<input type="checkbox"/> Free	<input type="checkbox"/> Free
<b>Normal Price</b>	<input type="checkbox"/> US\$85.	<input type="checkbox"/> US\$85.	<input type="checkbox"/> US\$85.	<input type="checkbox"/> US\$85.
<b>Discount Price</b>	<input type="checkbox"/> US\$42.5	<input type="checkbox"/> US\$42.5	<input type="checkbox"/> US\$42.5	<input type="checkbox"/> US\$42.5

Real-Time quotation fee will be deducted from your account on the 1st working day of each calendar month.

- **Level 1** : Real Time Top of Book – top bid, bid size, top ask, ask size, last trade, trade volume and time stamp data.
- **Level 2** : Real Time Market Depth Information – 5-10 deep on futures, 2-3 deep on options and trade data for any CME Globex products.
- **Package** : One price for all 4 markets quote.
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**A valid W-8Ben form is mandatory for global futures trading, please kindly submit one with the application.**

\_\_\_\_\_  
Client's Signature (s)

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