

NON-PROFESSIONAL SELF-CERTIFICATION FORM

Name of Subscriber:

Account No.:

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."

Please select the exchange(s) which you wish to declare yourself as a "Non-Professional". You may refer to Appendix A for the definition.

- ASX
- CME Group
- DME
- EUREX
- TAIFEX
- Others (please specify: _____)

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

DECLARATION AND SIGNATURE

I/We hereby certify that I/we qualify as a Non-Professional pursuant to the definition described herein and undertake to notify Phillip Futures immediately should there be any change in my status as a Non-Professional. I/We agree to regularly access Phillip Futures' website to keep myself/ourselves updated on all terms and conditions herein, and any subsequent revision to such terms and conditions.

Subscriber's Signature

Date

FOR OFFICIAL USE ONLY

Signature(s) Verified By:

Remarks (if any):

Date:

Appendix A – Non-Professional Definition

ASX

NPI (Non Professional Investor) means any person who accesses the Information for their personal and private use. This expressly excludes, without limitation, the following:

- anybody registered with any securities agency, regulatory or self regulatory body;
- anybody engaged in a financial services business or employed as a financial adviser;
- anybody accessing or using the Information other than for personal use relating to their own investment portfolio;
- anybody accessing the Information in the course of their employment or in connection with any form of trade or business;
- anybody engaged in the business of accessing or aggregating information and redistributing or otherwise furnishing that information to third parties;
- if the Subscriber Agreement between the End User and the NTP is signed in a name other than the name of the End User in their personal capacity.

The definition of NPI should be construed as allowing natural persons associated with non-commercial organisations (such as family investment trusts, self-managed super funds, and investment clubs), to access the Information at the Non-professional Continuous Enquiry Fee. Please note that the non-commercial organisation itself cannot be construed as a NPI, nor can any professional staff paid to support its activities – e.g. lawyers, accountants, administrative staff etc.

CME / DME

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.

EUREX

A Subscriber is a Private Individual if all the following is met:

- a) The Subscriber is a natural person;
- b) the Subscriber does not operate a credit institution or financial services institution;
- c) the Subscriber will use the Information exclusively for his/her private purposes, such as, in particular, the management of his/her own private assets;
- d) the Subscriber will not use the Information for business purposes, such as commercial securities trading or the professional management of third-party assets, or for his/her activities with a credit institution, a financial services institution or any other company which is subject to any domestic or foreign banking, stock exchange, securities trading or investment supervision;
- e) the Subscriber will also not use the Information in any other manner for the purposes of third parties, such as, for instance, the non-professional management of third-party assets or within the framework of a non-commercial investment club; and
- f) the Subscriber will not distribute the Information onward to third parties and will not make the Information available to third parties, in particular such third parties which do not qualify as Private Individuals.

TAIFEX

A Subscriber is a Private Individual (Non Professional) if all the following is met:

- a) The Subscriber is a natural person;
- b) the Subscriber does not operate a credit institution or financial services institution;
- c) the Subscriber will use the Information exclusively for his/her private purposes, such as, in particular, the management of his/her own private assets;
- d) the Subscriber will not use the Information for business purposes, such as commercial securities trading or the professional management of third-party assets, or for his/her activities with a credit institution, a financial services institution or any other company which is subject to any domestic or foreign banking, stock exchange, securities trading or investment supervision;
- e) the Subscriber will also not use the Information in any other manner for the purposes of third parties, such as, for instance, the non-professional management of third-party assets or within the framework of a non-commercial investment club; and
- f) the Subscriber will not distribute the Information onward to third parties and will not make the Information available to third parties, in particular such third parties which do not qualify as Private Individuals.