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 27<sup>th</sup> Floor, Low Block, Grand Millennium Plaza,  
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國泰君安期貨(香港)有限公司  
 香港中環皇后大道中 181 號新紀元廣場低座 27 樓  
 電話: (852) 2509 9277 傳真: (852) 2509 4006  
 電子郵件: futures@gtjas.com.hk

## Trading Platform Application and Termination

### 申請及終止交易平台 Sharp Point System

Client Name: \_\_\_\_\_ Client Code: \_\_\_\_\_ User Code: \_\_\_\_\_  
 客戶名稱: \_\_\_\_\_ 帳戶號碼: \_\_\_\_\_ 用戶號碼: \_\_\_\_\_

Trading Platform 交易平台	Application* 開通	Termination* 終止	Fees per Month <sup>Note 1</sup> 每月收費 <sup>註1</sup>
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Sharp Point System (SP) <sup>Note 2, 註2</sup>			
SP Trader (Desktop Version 電腦桌面版) & SP Trader Pro (Mobile Version 手機及平板電腦版)			Free, still subject to exchange data fee 交易平台免費，仍需按交易所數據收費
SP API			Free, still subject to exchange data fee 交易平台免費，仍需按交易所數據收費

\* Please tick as appropriate. 請在適當空格加√。

Note 1: All fees will be charged on monthly basis. Monthly fees apply for application of less than a month.

註 1: 所有收費將按每月計算，如開通後不足一個月也須當作一個月計算。

Note 2: Being basic fee for using trading platform and this must be used with exchange data, please subscribe the required exchange data in enclosed "Exchange Data Application and Termination" form.

註 2: 此乃使用交易平台之基本收費，必需配合交易所數據使用，請按需要在所附之“申請及終止交易所數據”表格內申購。

Client Signature \_\_\_\_\_ Date \_\_\_\_\_  
 客戶簽署 \_\_\_\_\_ 日期 \_\_\_\_\_

For GTJA Use only	Signature verified by	Inputted by	Checked by RO
Signature			
Date			

## Exchange Data Application and Termination

### 申請及終止交易所數據

Client Name

Client Code

客戶名稱：\_\_\_\_\_

帳戶號碼：\_\_\_\_\_

Exchange 交易所	SP Exchange Code 交易所代號	Sharp Point System.		
		收費	開通*	終止*
Bursa Malaysia Derivatives Exchange 馬來西亞交易所 (BM)	MYX	--	✓	
Chicago Mercantile Exchange 芝加哥商業交易所 (CME) ▲	CME	--	✓	
Chicago Board of Trade 芝加哥期貨交易所 (CBOT) ▲	CBOT	--	✓	
New York Mercantile Exchange 紐約金屬交易所 (COMEX) ▲	COMEX	--	✓	
New York Mercantile Exchange 紐約商業交易所 (NYMEX) ▲	NYMEX	--	✓	
European Exchange 歐洲期貨交易所 (EUREX) ■	EUREX	USD19 19美金		
Hong Kong Exchange 香港交易所 (HKEX)	HKFE	--	✓	
Intercontinental Exchange 洲際交易所轄下美國期貨 (ICE US) ●	NYBOT	USD110 110美金		
Intercontinental Exchange 洲際交易所轄下歐洲期貨 (ICE EUROPE) ●	IPE	USD125 125美金		
London International Financial Futures Exchange 倫敦國際金融期貨交易 (NYSE-LIFFE) ●	LIFFE	USD110 110美金		
London Metal Exchange 倫敦金屬交易所 (LME)	LME	--	✓	
Japan Exchange 日本交易所 (JPX)	OSE/TSE	--	✓	
Tokyo Commodity Exchange 東京工業品交易所 (TOCOM)	TOCOM	--	✓	
Singapore Exchange 新加坡交易所 (SGX)	SGX	--	✓	

\* Please tick as appropriate. 請在適當空格加✓。

▲ Please sign the addition CME Non Pro Form. 請簽署附加 CME 交易所之非專業用戶聲明書(只限英文版)。

■ Please sign the addition Eurex Exchange Private Individual Form. 請簽署附加 Eurex 交易所之私人用戶聲明書(只限英文版)。

● Please sign the addition ICE Exchange Datafeed Declaration. 請簽署附加 ICE 交易所之用戶聲明書(只限英文版)。

- 1) Above exchange data fees will be refunded if monthly trading volume is met a target level. Please enquire for more details.  
以上交易所數據費如每月交易量達至特定數量將會退還給客戶。詳情請與我們查詢。
- 2) All data fee will be adjusted from time to time without further notice. 以上所有費用將不時調整而不作另行通知。

Client Signature

客戶簽署：\_\_\_\_\_

Date

日期：\_\_\_\_\_

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## Trading Platform Application and Termination

### 申請及終止交易平台

### CQG

Client Name: \_\_\_\_\_ Client Code: \_\_\_\_\_ User Code: \_\_\_\_\_  
 客戶名稱: \_\_\_\_\_ 帳戶號碼: \_\_\_\_\_ 用戶號碼: \_\_\_\_\_

Trading Platform 交易平台	Application* 開通	Termination* 終止	Fees per Month <sup>Note 1</sup> 每月收費 <sup>註1</sup>
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<b>CQG, Inc.</b> <sup>Note 2, 註2</sup>			
CQG Trader			USD20, still subject to exchange data fee 交易平台20美金，仍需按交易所數據收費
CQG Q Trader with chart (連圖表)			USD95, still subject to exchange data fee 交易平台95美金，仍需按交易所數據收費
CQG IC			USD595 595美金
CQG IC with API			USD845 845美金

\* Please tick as appropriate. 請在適當空格加√。

Note 1: All fees will be charged on monthly basis. Monthly fees apply for application of less than a month.

註 1: 所有收費將按每月計算，如開通後不足一個月也須當作一個月計算。

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Client Signature \_\_\_\_\_ Date \_\_\_\_\_  
 客戶簽署 : \_\_\_\_\_ 日期 : \_\_\_\_\_

For GTJA Use only	Signature verified by	Inputted by	Checked by RO
Signature			
Date			

## Exchange Data Application and Termination

### 申請及終止交易所數據

Client Name:

Client Code:

客戶名稱: \_\_\_\_\_

客戶號碼: \_\_\_\_\_

Exchange 交易所	CQG Exchange Code 交易所代號	CQG, Inc.		
		收費	開通*	終止*
Australian Securities Exchange 澳洲證券交易所 (ASX)	SFE/SYCOM	USD23 23美金		
Bursa Malaysia Derivatives Exchange 馬來西亞交易所 (BM)	BMDEX	USD33 33美金		
Chicago Board Options Exchange 芝加哥期權交易所 (CBOE)	CFE	USD13 13美金		
Chicago Mercantile Exchange 芝加哥商業交易所 (CME) ▲	CME/GLOBEX	USD5 5美金		
Chicago Board of Trade 芝加哥期貨交易所 (CBOT) ▲	CBOT/GLOBEX	USD5 5美金		
New York Mercantile Exchange 紐約金屬交易所 (COMEX) ▲	COMEX/GLOBEX	USD5 5美金		
New York Mercantile Exchange 紐約商業交易所 (NYMEX) ▲	NYMEX/GLOBEX	USD5 5美金		
European Exchange 歐洲期貨交易所 (EUREX) ■	XEurex	USD19 19美金		
Hong Kong Exchange 香港交易所 (HKEX)	HKFE	USD15 15美金		
Intercontinental Exchange 洲際交易所轄下美國期貨 (ICE US) ●	ICE US	USD118 118美金		
Intercontinental Exchange 洲際交易所轄下歐洲期貨 (ICE EUROPE) ●	ICE UK	USD133 133美金		
London International Financial Futures Exchange 倫敦國際金融期貨交易所 (NYSE-LIFFE)	LIFFE	USD118 118美金		
London Metal Exchange 倫敦金屬交易所 (LME)	LMM	USD98 98美金		
Japan Exchange 日本交易所 (JPX)	OSE	USD73 73美金		
Tokyo Commodity Exchange 東京工業品交易所 (TOCOM)	TOCOM	USD59 59美金		
Singapore Exchange 新加坡交易所 (SGX)	SGX	USD71 71美金		

\* Please tick as appropriate. 請在適當空格加✓。

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■ Please sign the addition Eurex Exchange Private Individual Form. 請簽署附加 Eurex 交易所之私人用戶聲明書(只限英文版)。

● Please sign the addition ICE Exchange Datafeed Declaration. 請簽署附加 ICE 交易所之用戶聲明書(只限英文版)。

All data fee will be adjusted from time to time without further notice. 以上所有費用將不時調整而不作另行通知。

Client Signature

客戶簽署 : \_\_\_\_\_

Date

日期 : \_\_\_\_\_

## 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 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.

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

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

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

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

**ICE Exchange Datafeed Access Declaration**Vendor providing the datafeed: GUOTAI JUNAN FUTURES (H.K.) LTD.

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

Location Address covered on this report: \_\_\_\_\_  
(Street, City, Province)This Declaration Form covers data in relation to the following Exchanges:LIFFE ☐ ICE Futures Europe ☐ ICE Futures US ☐This Declaration Form covers the period of 1 month:

Declaration for the month of \_\_\_\_\_ # of Datafeed Accesses Declared: \_\_\_\_\_

Declaration for the month of \_\_\_\_\_ # of Terminal\* Accesses Declared: \_\_\_\_\_

Declaration for the month of \_\_\_\_\_ # of Handheld Accesses Declared: \_\_\_\_\_

Declaration for the month of \_\_\_\_\_ # of Wallboard Accesses Declared: \_\_\_\_\_

\*The terminal fee is applicable to all devices, including but not limited to: Display Devices, non-display devices, Unique user ID's, Algo-Boxes and Slave Devices, but not Wallboards or Handheld Devices.

This Declaration Form confirms that the Subscriber name above is using the pricing Data for internal purpose only and that the Subscriber will seek permission from ICE Data prior to using any Pricing Data outside of the Subscriber's internal network.

The section below must be signed by an officer of the Subscriber

By completing and signing this form, I confirm that:

- a) I am authorized by the Subscriber named above to confirm the information contained within this form.
- b) The number of declared Accesses listed above is correct and that all are being Accessed at the location(s) listed above.
- c) The data is not being redistributed to and/or access by any third party individual/company outside of the client/company named above.

Confirmed by:

Sign Here \_\_\_\_\_

Print Name \_\_\_\_\_

Signer's Title \_\_\_\_\_

Today's Date \_\_\_\_\_

## Eurex Exchange Private Individual Self-Certification Form

This Self-Certification Form confirms that the Subscriber is able to satisfy all the criteria set forth to its Private Individual requirements and eligible for the preferential fees for the licensed information supplied.

### **Private Individual Subscriber:**

- d) the Subscriber is a natural person;
- e) the Subscriber does not operate a credit institution or financial services institution;
- f) the Subscriber will use the information exclusively for his/her private purposes, such as, in particular, the management of his/her own private assets;
- g) 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;
- h) 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
- i) 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.

The section below must be signed by an officer of the Subscriber

By completing and signing this form, I confirm that I qualify as a Private Individual pursuant to the definition described herein:

Subscriber:

Sign Here \_\_\_\_\_

Print Name \_\_\_\_\_

Signer's Title \_\_\_\_\_

Today's Date \_\_\_\_\_