

### NON-PROFESSIONAL SELF-CERTIFICATION FORM

Name of Subscriber:

Account No:

Pursuant to Clause 6 of Market Data Subscription Agreement (the “**Agreement**”), Subscriber agrees and acknowledge to pay the relevant Market Data Fees to Phillip Nova Pte. Ltd. (the “**Vendor**”) for the access, receive and use of Market Data. In conjunction to the provisions of Exchanges and Vendor, Subscriber may be considered as a “**Non-Professional**” and permitted to reduction in Market Data Fees (“**Non-Professional Subscriber Rate**”) payable when the terms and conditions (“**Terms**”) are met.

Prior / Concurrent to the submission of this Form, you are required to complete, sign and return the abovementioned Agreement where the other Terms are duly agreed and acknowledged. Kindly refer to **Appendix A** to understand and acknowledge the qualifications outlined by the respective Exchange(s) of which you wish to apply and declared as a Non-Professional Subscriber.

Please select the exchange(s) that you meet the qualifications and wish to apply for:

- |  |   |
|--|---|
| <input type="checkbox"/> American Stock Exchange ( <b>AMEX</b> )<br><br><input type="checkbox"/> Chicago Mercantile Exchange Group - Chicago Board of Trade, Chicago Mercantile Exchange, Commodity Exchange & New York Mercantile Exchange ( <b>CME Group</b> )<br><br><input type="checkbox"/> Eurex Exchange ( <b>EUREX</b> )<br><br><input type="checkbox"/> National Association of Securities Dealers Automated Quotations ( <b>NASDAQ</b> )<br><br><input type="checkbox"/> The New York Stock Exchange ( <b>NYSE</b> ) | <input type="checkbox"/> Bursa Malaysia (Bursa Malaysia Derivatives & KL Stock Exchange) ( <b>Bursa (BMD &amp; KLSE)</b> )<br><br><input type="checkbox"/> Dubai Mercantile Exchange ( <b>DME</b> )<br><br><input type="checkbox"/> Japan Exchange Group (Osaka Exchange & Tokyo Commodity Exchange) ( <b>JPX (OSE &amp; TOCOM)</b> )<br><br><input type="checkbox"/> Taiwan Futures Exchange ( <b>TAIFEX</b> )<br><br><input type="checkbox"/> <b>Others</b> (Please specify: _____) |
|--|---|

### DECLARATION AND SIGNATURE

By signing and submitting this form, Subscriber/you hereby **declare and certify** (1) the accuracy of all information provided; (2) that you are qualified as a Non-Professional Subscriber of the Exchange(s) selected above pursuant to the qualification described herein (including Appendix A); and further (3) agree and acknowledge to the following Terms:

- (a) Have read and understood all prevailing Agreement and other applicable Terms which set out the obligations in relation to the access and/or use of Market Data with Vendor;
- (b) This form is subjected to Vendor’s review and approval, and you will provide (when required) Vendor with any supporting documentations / information for verification;
- (c) Notwithstanding anything herein, Vendor reserves the right in all cases to make final determination as to whether Subscriber is a Non-Professional or Professional, from time to time;
- (d) Vendor reserves the right to amend or terminate any Terms, qualifications, or Non-Professional Subscriber Rate from time to time;
- (e) Notify Vendor as soon as reasonably practicable, in the event when you no longer qualify as Non-Professional Subscriber;
- (f) Agrees to be liable for retroactive Professional Subscriber Rate/Fees when any information provided in related to the qualifications of Non-Professional Subscriber, is to be found false or inaccurate;
- (g) Undertake to indemnify and hold Vendor harmless from and against any damage, claims, losses, proceedings or costs which may arise directly or indirectly in connection with its reliance on the contents of this form; and
- (h) Keep updated on all Terms (including subsequent revision) of Vendor and Exchange(s) by regularly accessing to its website.

\_\_\_\_\_  
Subscriber’s Signature

\_\_\_\_\_  
Date

### FOR OFFICIAL USE ONLY

Signature(s) Verified By:

Remarks (if any):

Date:

## Appendix A: Definition of Non-Professional Subscriber outlined by Exchange(s)

This Appendix is intended to made clarification to the Terms stipulated in the Form above, which the Subscriber may qualify for the Non-Professional Subscriber Rate for certain Market Data products provided by Vendor from time to time.

### **CME Group / DME**

Non-Professional Subscriber shall mean / refers to either:-

- (i) an individual, **natural person** who possess an active trading account to access, receive, use market data solely for its **personal, non-business use**, and **does not** meet the requirement as a Professional Subscriber (as outlined below) at all times; or
- (ii) **certain small business entities** (limited liability companies, partnerships, trusts or corporations) who **does not** meet the requirement as a Professional Subscriber (as outlined below), possessing an active trading account for the sole purpose of **managing its own assets**, access, receive and use Market Data (excluding any pit traded data) at all times.

Non-Professional Subscriber **agrees and acknowledges** that its access to Market Data of such Exchange must only be via **a maximum of 2 trading terminals** per Vendor, permissioned for Real-Time Information and capable of routing orders to the CME Globex Platform (an "**Order Routing Device**") or similar.

### **AMEX / Bursa Malaysia (BMD & KLSE) / EUREX / NASDAQ / NYSE / TAIFEX**

Non-Professional Subscriber shall mean / refers to an individual, **natural person** who accesses, receives, uses market data solely for its **personal, non-business use** and **does not** meet the requirement as a Professional Subscriber (as outlined below) at all times.

### **JPX (OSE & TOCOM)**

Non-Professional Subscriber shall mean / refers to either:-

- (i) Service Agreement is signed in the name of an individual, **natural person** who accesses, receives, uses market data solely for its **personal, non-business use**, and **does not** meet the requirement as a Professional Subscriber (as outlined below) at all times; or  
Service Agreement is signed by a **corporate client** whose entity is (1) a **non-public entity** (such as any Listed company/entity whose securities issued is traded in any exchange or foreign securities markets, and/or entity whose securities issued are systematically traded at OTC securities markets, etc.) **with capital of JPY 100 Million or less**; and (2) **purpose of business** does not securities investment or investment advisory services, at all times.
- (ii) **Note:** Corporate Client whose purpose provided in its Articles of Incorporation / Constitution / By-Laws can be interpreted as, including but not limited to the following: Securities exchange, Commodities exchange, Sales of and investment in securities, Sales of and investment in commodities, Financial transaction, Investment Advisor, Information provision (limited to cases where it is deemed that information related to securities, financial, and commodity markets might be used in any form), or Research and Study (limited to cases where it is deemed that information related to securities, financial, and commodity markets might be used in any form).

Subscriber who **does not meet** the qualifications of a Non-Professional Subscriber or fall under the categories outlined by the respective Exchange(s) above, shall be considered as a **Professional Subscriber**. Notwithstanding anything else, Professional Subscriber shall include and not limited to:

- Any person and/or entity that provides financial or related or similar services to any 3<sup>rd</sup> 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 financial related agency, regulatory authority, exchange, professional association, market, or recognised professional body, etc.
- Any person and/or entity that perform functions that would require Subscriber to be so registered or qualified to act on behalf of any institution that engages in brokerage, banking, investment or financial activities, etc.
- Any person and/or employee of an entity that holds any form of membership at any other exchange.
- Any person and/or entity engaged in the business of accessing or aggregating Market Data and/or information and redistributing or otherwise furnishing it to 3<sup>rd</sup> parties.