**Instructions for the**

**Reporting Form for Futures Market Program Trading Clients**

1. **Client Name**: For an individual client, this should match the name appearing on the ID card. For a general institutional client or special institutional client, this should match the name appearing on the Organization Code Certificate. A special institutional client should additionally fill in the name of the relevant investment vehicle that is managed through a segregated account. For overseas clients, this information should match the information kept in China Futures Market Monitoring Center’s (CFMMC) Unified Account Opening System.

2. **Client Type**: The three types are “Individual,” “General Institutional Client,” and “Special Institutional Client” (choose one only). For an overseas client, this information should match the information kept in CFMMC’s Unified Account Opening System. Client type cannot be altered later.

3. **Filer Contact Person**: Usually this is the person who fills out the program trading report on the filer’s behalf.

4. **Contact Tel.**: The contact person’s landline or cellphone number. If more than one number is provided, separate them with a (half-width) comma (“,”).

5. **Business** **Manager**: For an individual client, fill in the name of the client; for an institutional client such as a private fund, trust, QFII, or RQFII, fill in the name of the person overseeing the filer’s program trading activities.

6. **Manager Tel.**: The phone number for contacting the business manager. If more than one number is provided, separate them with a (half-width) comma (“,”).

7. **Product Manager**: Fill in the name and contact details of the manager of the relevant investment product (vehicle). This information is mandatory for special institutional clients. Individuals, general institutional clients, and those without a product manager, should write “N/A.”

8. **Filer Declaration**: This section contains three items to be checked by the filer. Fill in “Yes” or “No” next to each item.

🞎 We have reviewed the information reported by the client for truthfulness and completeness, and undertake to fulfill our management obligations in relation to each program trading client.

🞎 We understand the rules of the exchange on the reporting of program trading activities, and will educate our clients and inform them about the associated risks, ensure effective risk management, and supervise clients to trade in a rational and compliant manner.

🞎 The client understands the rules of the exchange on the reporting of program trading activities, and undertakes that his/its reports will be truthful, accurate and complete. The client is aware of the supervisory requirements on program trading, and will trade in a rational and compliant manner and bear all consequences of the related activities.

This form may be submitted only if all three items are marked “Yes.”

9. **Exchange**: Select “Shanghai International Energy Exchange.” If a client engages in program trading at more than one exchange, fill out one line for each exchange. The information provided here cannot be altered later.

10. **Trading Code Type**: This box can be left blank.

11. **Client Trading Code**: The trading code of the client at the Exchange. This information cannot be altered later.

12. **Program Trading Software**: Select the full name of the software. Multiple selections are permitted from the given list. If “Other” is selected, then “Other Program Trading Software” must be filled out; otherwise the form cannot be uploaded.

13. **Other Program Trading Software**: This box is mandatory if “Other” is selected for “Program Trading Software.” In this case, fill in the name of the software (version number is optional); otherwise the form cannot be uploaded.

14. **Software Developer**: Indicate the full name of the company that developed the program trading software. If there is more than one developer, separate them with a (half-width) semicolon (“;”). For a self-developed software, provide the names of the individual developers.

15. **Basic Software Features**: Select one or more of the features listed below as applicable. If “Other” is selected, then “Additional Feature Descriptions” must be filled out; otherwise the form cannot be uploaded.

The feature choices are: Arbitrage, Automated Opening/Closing Positions, Batch Order Placement, Intraday Trading, Multi-Account Management, One-Click/Quick Order Placement, Take Profit/Stop Loss, Trading Model Creation, Other.

16. **Additional Feature Descriptions**: This box is mandatory if “Other” is selected for “Basic Software Features.” In this case, provide additional descriptions for the basic features of the program trading software; otherwise the form cannot be uploaded.

17. **Order Execution Method**: Select one or more options from the given list on how client orders are executed for program trading. The choices are “Automatic Order Placement,” “Manual Order Placement,” and “Other.” If “Other” is selected, then “Additional Method Descriptions” must be filled out; otherwise the form cannot be uploaded.

18. **Additional Method Descriptions:** This box is mandatory if “Other” is selected for “Order Execution Method.” In this case, provide additional descriptions on how orders are executed; otherwise the form cannot be uploaded.

19. **Terminate Program Trading**: Select “Yes” when the client no longer engages in program trading. For first-time filers, the default value is “No” and cannot be changed.