



Block Trade Representation and Eligible Contract Participant Certification

Block Trade Representation:

Prior to participating in block transactions on CME, ICE, NFX or any other exchange that offers Block Trades of eligible contracts, the ***Block Trade Representation and Eligible Contract Participant Certification*** (“Certification”) is required. You are responsible for confirming qualification status as an ECP to ED&F Man Capital Markets Inc. (“MCM Inc.” or the “Firm”). Please provide the below certification if you intend to transact a Block Trade.

Please check one:

- Yes, Block Trades will be executed in my account with MCM.**
I have reviewed and understand that each party to a block trade must be an Eligible Contract Participant (“ECP”) as defined in Section 1a (18) of the Commodity Exchange Act. Therefore, prior to participating in block transactions on CME, ICE, NFX or any other exchange that offers block trades of eligible contract **the below certification is required:**
- No Block transactions will be executed in my account(s) with MCM.** If this should change I understand that I need to notify the MCM Compliance Department and execute an updated Block Trade – Eligible Contract Participant Certification for submission and approval by the MCM Compliance Department. I understand that failure to notify MCM does not absolve me from understanding and complying with all ECP rules.

Eligible Contract Participant Certification:

Please be aware, failure to complete the attached certification may result in restrictions to customer’s access within Exchange block platforms.

I am classified as an ECP as described under category # _____ of the Qualification Table for Eligible Participants provided as Exhibit A.

- a. Current Total Assets of the Entity or Individual (if applicable) are:
_____ USD.

To determine if you qualify as an ECP, Please review each category in the Qualification Table for Eligible Contract Participants and check applicable box. Please note, this table is provided as a guide. You should consult your own legal advisor to verify if you qualify as an ECP.



**Capital
Markets**

E D & F Man Capital Markets Inc.

Account Number: _____ Account Name: _____

Print Name and Title: _____

Signature: _____ Date: _____ T

The customer agrees to immediately notify ED&F Man Capital Markets Inc. should any of the foregoing representation change or prove untrue. Violation of these rules and regulations are considered serious and may result in disciplinary action by the Exchanges. E D & F Man Capital Markets Inc. reserves the right to pass on any fine levied against the Firm which is a result of a customer's non-compliance with Exchange rules



Exhibit A – Qualification Table for Eligible Contract Participants

| Financial Institution | | |
|------------------------------|--|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| A | a corporation operating under the fifth undesignated paragraph of section 25 of the Federal Reserve Act (12 U.S.C. 603), commonly known as “an agreement corporation”; | |
| A | a corporation organized under section 25A of the Federal Reserve Act (12 U.S.C. 611 et seq.), commonly known as an “Edge Act corporation”; | |
| A | an institution that is regulated by the Farm Credit Administration; | |
| A | a Federal credit union or State credit union (as defined in section 1752 of title 12); | |
| A | a depository institution (as defined in section 1813 of title 12); | |
| A | a foreign bank or a branch or agency of a foreign bank (each as defined in section 3101 of title 12); | |
| A | a foreign bank or a branch or agency of a foreign bank (each as defined in section 3101 of title 12); | |
| A | a trust company; or | |
| A | a similarly regulated subsidiary or affiliate of an entity described in any of subparagraphs (A) through (H). | |

| Commodity Pool | | |
|-----------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| B | has total assets exceeding \$5,000,000; and is formed and operated by a person subject to regulation under this chapter or a foreign person performing a similar role or function subject as such to foreign regulation | |
| B | has total assets exceeding \$10,000,000; and is NOT formed for the purpose of evading regulation under Section 2 (c)(2)(B) or Section 2(c)(2)(c) of the Act or related Commission rules, regulations or orders: and is formed and operated by a registered or exempt CPO | |



| <u>Corporation /Partnership/Proprietorship/Trust/Other Entity</u> | | |
|--|--|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| C | that has total assets exceeding \$10,000,000; | |
| C | has a net worth exceeding \$1,000,000; and enters into an agreement, contract, or transaction in connection with the conduct of the entity's business or to manage the risk associated with an asset or liability owned or incurred or reasonably likely to be owned or incurred by the entity in the conduct of the entity's business; | |

| <u>Employee Benefit Plan</u> | | |
|-------------------------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| D | has total assets exceeding \$5,000,000; or | |
| D | the investment decisions of which are made by— an investment adviser or commodity trading advisor subject to regulation under the Investment Advisers Act of 1940 (15 U.S.C. 80b-1 et seq.) or this chapter; | |
| D | the investment decisions of which are made by— a foreign person performing a similar role or function subject as such to foreign regulation; | |
| D | the investment decisions of which are made by— a financial institution; or | |
| D | the investment decisions of which are made by— an insurance company described in clause (ii), or a regulated subsidiary or affiliate of such an insurance company; | |

| <u>Governmental Entity</u> | | |
|-----------------------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| E | a governmental entity (including the United States, a State, or a foreign government) or political subdivision of a governmental entity | |
| E | a multinational or supranational government entity; or | |



| | | |
|---|---|--|
| E | an instrumentality, agency, or department of an entity described in sub clause (I) or (II); | |
| E | the entity, instrumentality, agency, or department is a person described in clause (i), (ii), or (iii) of paragraph (17)(A); (| |
| E | the entity, instrumentality, agency, or department owns and invests on a discretionary basis \$50,000,000 or more in investments; or (cc) the agreement, contract, or transaction is offered by, and entered into with, an entity that is listed in any of sub clauses (I) through (VI) of section 2(c)(2)(B)(ii) of this title | |

| SEC Regulated Broker Dealer | | |
|------------------------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| F | a broker or dealer subject to regulation under the Securities Exchange Act of 1934 or a foreign person performing a similar role or function subject as such to foreign regulation. If proprietorship or natural person, must meet requirements of category C and Of this table. | |
| F | an associated person of a registered broker or dealer concerning the financial or securities activities of which the registered person makes and keeps records under section 15C(b) or 17(h) of the Securities Exchange Act of 1934 | |
| F | an investment bank holding company (as defined in section 17(i) [2] of the Securities Exchange Act of 1934 | |

| Futures Commission Merchant | | |
|------------------------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| G | a futures commission merchant subject to regulation under this chapter or a foreign person performing a similar role or function subject as such to foreign regulation: If proprietorship or natural person, must meet requirements of category C and Of this table. | |

| Floor Broker | | |
|---------------------|---|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| H | a floor broker or floor trader subject to regulation under this chapter in connection with any transaction that takes place on or through the facilities of a registered entity (other than an electronic trading facility with respect to a significant price discovery contract) or an exempt board of trade, or any affiliate thereof, on which such person regularly trades | |

| Qualified Individual | | |
|-----------------------------|--|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| I | an individual who has amounts invested on a discretionary basis, the aggregate of which is in excess of \$10,000,000: or | |
| I | an individual who has amounts invested on a discretionary basis, the aggregate of which is in excess of \$5,000,000 and who enters into the agreement, contract, or transaction in order to manage the risk associated with an asset owned or liability incurred, or reasonably likely to be owned or incurred, by the individual; | |

| Investment Advisor | | |
|---------------------------|--|----------------------------|
| <u>Category</u> | <u>Definition</u> | <u>Check if Applicable</u> |
| J | a commodity trading advisor registered under the Investment Advisors Act of 1940 including without limitation any investment advisor registered as such with the Securities and Exchange Commission that is exempt from regulation under the Act or CFTC regulations, with total assets under management exceeding \$25 million (US) | |
| J | A foreign entity performing a similar roll or function of a CTA or investment advisor that is subject to foreign regulation with total assets under management exceeding \$50 million (US) | |