

**4. SWAP AGENT STATEMENTS**

*Any Swap Agent identified in Section 2 of the Swap Addendum Annex–Client Information Form should read the applicable representation below, then sign and return this Statement to DB. Capitalized terms used in this Questionnaire are defined in the attached Glossary.*

Legal Name of Client Swap Vehicle: \_\_\_\_\_

**Statement A (For Swap Agents)**

*The undersigned represents (which representation is deemed repeated as of the occurrence of each Swap Communication Event) and warrants that it will exercise independent judgment in evaluating recommendations, if any, of DB with respect to any swap or swap trading strategy.*

*The undersigned agrees to promptly notify DB in writing if any representations made herein become incorrect or misleading in any material respect.*

**Statement B (For a Qualified Independent Representative)**

*The undersigned represents (which representations are deemed repeated as of the occurrence of each Swap Communication Event) and warrants that:*

- (A) it has policies and procedures reasonably designed to ensure that it satisfies all the applicable requirements to be a Qualified Independent Representative as described in Section 23.450(b)(1) of the CFTC external business conduct rules.*
- (B) it meets the independence test specified in Section 23.450(c) of the CFTC external business conduct rules; and*
- (C) it is legally obligated to comply with the applicable requirements of Section 23.450(b)(1) of the CFTC external business conduct rules by agreement, condition, rule, regulation, or other enforceable duty.*

**Statement C (For a fiduciary)**

*The undersigned represents (which representation is deemed repeated as of the occurrence of each Swap Communication Event) and warrants that it will not rely on recommendations, if any, of DB with respect to a swap or swap trading strategy.*

**Swap Agent Name:** \_\_\_\_\_

**Authorized Signatory Signature:** \_\_\_\_\_

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

**Title:** \_\_\_\_\_

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