

5. ECP QUESTIONNAIRE FOR GUARANTORS

Any Guarantor identified in Section 3 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: _____

Please check all that apply:

Guarantor is acting for its own account and is:

- a Swap Dealer and/or a Security-Based Swap Dealer
- a Major Swap Participant and/or a Major Security-Based Swap Participant
- a Financial Institution
- an Insurance Company
- an Investment Company
- a Commodity Pool ECP
- a Large Entity ECP
- a Hedging Entity ECP
- a Benefit Plan ECP
- a Governmental Entity
- a broker or dealer subject to regulation under the Exchange Act or a foreign person performing a similar role or function subject to foreign regulation, except that if the broker, dealer or foreign person is an individual or a proprietorship, such person must additionally indicate that they are either a Large Entity ECP or an Eligible Individual ECP
- a futures commission merchant subject to regulation under the CEA or a foreign person performing a similar role or function subject to foreign regulation, except that if the futures commission merchant or foreign person is an individual or a proprietorship, such person must additionally indicate that they are either a Large Entity ECP or an Eligible Individual ECP
- 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 sections 15C(b) or 17(h) of the Exchange Act
- an investment bank holding company, as defined in section 17(i) of the Exchange Act
- a floor broker or floor trader subject to regulation under the CEA in connection with swaps transacted on or through a registered entity (other than through 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
- an Eligible Individual ECP