

6. END-USER EXCEPTION SELF-CERTIFICATION

Any Client intending to elect the End-User Exception but that has not filed an End-User Notice in accordance with Section 12.1(c)(A) of the Addendum must complete, sign and return this Self-Certification to DB. Capitalized terms used in this Questionnaire are defined in the attached Glossary.

Legal Name of Client Swap Vehicle: Southern Trust Company, Inc.

On each date on which Client elects to use the End-User Exception with respect to a particular swap entered into pursuant to this Addendum, Client represents to DB that:

- (a) it is either:
  - (i) not a Financial Entity (notwithstanding any exemptions or exclusions from such definition provided in Section 2(h) of the CEA or related CFTC Regulations);
  - (ii) exempt from the definition of Financial Entity as an Exempt Small Financial Institution; or
  - (iii) excluded from the definition of Financial Entity because it only uses swaps to hedge or mitigate the commercial risk of an affiliated person that is itself not a Financial Entity.
- (b) such swap is being used for purposes of Hedging or Mitigating Commercial Risk;
- (c) it has provided DB with the information listed in CFTC Regulation 50.50(b)(1)(iii) and all such information is true, accurate and complete in every material respect and covers the particular swap for which the End-User Exception is being claimed; and
- (d) it generally meets its financial obligations associated with entering into uncleared swaps through one of the following categories (*please check all that apply*):
  - a written credit support agreement;
  - pledged or segregated assets (including posting or receiving margin pursuant to a credit support agreement or otherwise);
  - a written third-party guarantee;
  - Client's available financial resources; and/or
  - any means other than those described above; (*If Client checks this box, please provide further explanation on a separate sheet of paper.*)
- (e) it  IS /  IS NOT an Exchange Act Reporting Company. If Client is an Exchange Act Reporting Company, it further represents that:
  - (i) its SEC Central Index Key Number is (*please insert*): \_\_\_\_\_; and
  - (ii) an appropriate committee of its board of directors (or equivalent body)  HAS /  HAS NOT reviewed and approved the decision to enter into swaps that are