

Part 2

Is the vehicle an operating company which does **not** own or propose to acquire securities<sup>3</sup> having a value of 40% or more of the value of its total assets<sup>4</sup> on an unconsolidated basis? (Please note that the attached **client certification**<sup>5</sup> needs to be provided.)

- Yes, the entity is an operating company engaged in the business of \_\_\_\_\_ and a client certification is attached
- No

Part 3

Please contact [pwmvolckerresource@list.db.com](mailto:pwmvolckerresource@list.db.com) Volcker onboarding approval of this vehicle if you

- Did not check any box in Section 1, or
- Checked "no" in Section 2.

If you either checked any box in Section 1 or checked "yes" in Section 2 and have obtained a client certification, please attest and sign as follows:

I attest that the above information is accurate and current and based on information provided to me by

Rich Kuhn as contact for Southern Financial LLC



Signature of Client Representative

Cynthia Rodriguez 2/21/17

Name of Client Representative

Date

<sup>3</sup> The meaning of "security" in this context is broadly construed and includes, but is not limited to, stocks, bonds, other debt instruments, security futures, as well as any put, call or other option on any security.

<sup>4</sup> Value to total assets is excluding U.S. government securities and cash items.

<sup>5</sup> See end of document for Certification.