Redwood Mortgage Asset Transfer Form Overview

- Redwood Mortgage Asset Transfer Forms are primarily used for non-qualified investments. Please contact the custodian directly to initiate all custodial-held investment transfers. Redwood will accept the custodian transfer form in lieu of the Redwood form. Custodians will send their forms to our transfer agent, Vistra USA.
- Confirm the correct number of units you would like to transfer on line two of the transfer form or write the word ALL.
- The name of the Assignee/Transferee is the recipient/buyer, and the name of the Assignor/Transferor is the current unit holder/seller. Please include Transferor and Transferee's email to facilitate communication.
- If there is more than one beneficiary/transferee—then each transferee should fill out a separate Transferee form.
- Medallion Signature Guarantee stamps are required for transfers valued at more than $400,000. If the transfer is for less than $400,000 no MSG is required, however a copy of a government issued ID (current passport or state DL/ID) is required.
- Include any entity paperwork if Transferee is a Trust, LP, LLC, Corporation etc.

All documents are to be mailed to our transfer agent only. Please mail to the following:

Regular Mail USPS
Vistra USA LLC
P.O. Box 2609
San Rafael CA 94912-2609

Overnight Mail - FedEx, UPS, DHL, etc.
Vistra USA LLC
125 E Sir Francis Drake Blvd, Ste 401
Larkspur, CA 94939-1820

Additional Details for Reference

From Individual Account to Individual/Joint

Asset Transfer Form
--If Due to Death
Copy of Death Certificate
Letters of Testamentary or Affidavit of Domicile

From Joint with Rights of Survivorship to Individual

Asset Transfer Form
--If Due to Death
Copy of Death Certificate
Letters of Testamentary or Affidavit of Domicile if not going to Surviving Tenant
--If Due to Divorce
Copy of Divorce Decree

Change of Custodian

Transfer Form (we will accept the custodian's form) and copy of Corporate Resolution.
Must have custodial signature and original Medallion Signature Guarantee stamp on custodial held accounts.

Change of Trustee

Letter of Instruction. Transfer Form required if the tax ID is changing.
Copy of Government issued ID, Driver's License or Passport
First, last and signature page of trust agreement (must reference successor trustee)
--If Due to Death
Copy of death certificate

Change of Name due to Marriage or Divorce

Copy of Marriage Certificate or Divorce Decree
Copy of Government issued ID, Driver License or Passport

REDWOOD MORTGAGE INVESTORS

ASSET TRANSFER FORM (Title Transfer)

Full Name of Fund: _____

Number of Shares to be Transferred _____ ($1/unit)("All" is acceptable)

ASSIGNOR / TRANSFEROR (CURRENT OWNER) INFORMATION:

Member/Limited Partner Number _____ Name on Acct _____

Investor Address _____

Email Address _____

Phone # _____ Investor Tax ID or SSN _____

CUSTODIAN INFORMATION (for qualified retirement plans):

Custodian Name _____

Custodian Address _____

_____

Phone # _____ Custodian Tax ID _____

By executing this form, the transferor(s) hereby certifies and represents possession of valid title and all requisite power to assign such interests and represents and warrants that the transfer effected hereby is made in accordance with all applicable federal and state securities law and regulation.

REASON FOR TRANSFER (check one):

- ☐ Re-registration (name change, divorce, individual to trust, etc.)
- ☐ Death
- ☐ Gift
- ☐ Other (please specify) _____

_____ _____ _____ _____

Assignor / Transferor Signature Date Assignor / Transferor Signature Date

_____ _____

Custodian Signature for Qualified Plans Date

Please send physical forms to:
Redwood Transfer

c/o Vistra USA LLC
125 E Sir Francis Drake Blvd Ste 401
Larkspur CA 94939-1820
No Fee Required.
(Vistra was formerly Phoenix American)
or email to: vrm@vistra.com

or

c/o Vistra USA LLC
PO Box 2609
San Rafael CA 94912-2609

Do not send forms to Redwood Mortgage

Important:
Copy of a DL or Passport is required for all Assignors/Transferors and Assignees/Transferees of non-custodial accounts.
Include Trust Documents, copy of Death Certificate if appropriate and Letter of Instructions

A Medallion Signature Guarantee is required for Custodial accounts

REDWOOD MORTGAGE INVESTORS

TITLE TRANSFER - TRANSFEREE

Full Name of Fund: _____

Number of Shares to be Transferred _____ ($1/unit)("All" is acceptable)

ASSIGNEE / TRANSFEREE (RECEIVER'S) INFORMATION:

Assignee/Transferee/Entity/Trust Name _____

Address _____ Phone # _____

Email _____ Tax ID or SSN _____

Check One: ☐ US Citizen ☐ Country of Residence _____

CUSTODIAN INFORMATION (if applicable):

Custodian Name _____

Custodian Address _____ Phone # _____

_____ Acct # _____

REGISTRATION TYPE (check one):

☐ Individual ☐ Joint Tenants ☐ Tenants in Common ☐ Trust ☐ Community Property

☐ Partnership ☐ Corporation ☐ IRA

☐ Sep IRA ☐ Roth IRA ☐ Profit Sharing Plan ☐ Pension Plan

☐ Other (specify) _____

FINANCIAL ADVISOR / BROKER DEALER INFORMATION (or N/A):

Financial Advisor Name _____ Broker Dealer Affiliate _____

Rep Email _____

Branch Address _____ Rep Phone # _____

_____ Rep Fax # _____

DISTRIBUTION INFORMATION (For taxable accounts. Non-taxable distributions will be sent to the custodian of record):

Check One: ☐ Primary residence ☐ To my bank via ACH*

Brokerage Account: Broker _____ Acct # _____

Address _____ Phone # _____

*If ACH is selected, a voided check is **required; NO** deposit slips.

By executing this form; the transferee(s) represent that they have received and/or reviewed the Prospectus and the other filings made by the Fund Sponsor with the Securities and Exchange Commission.

_____ _____

Assignee / Transferee Signature Date

_____ _____

Assignee / Transferee Signature Date

_____ _____

Custodian Signature (if applicable) Date

A Medallion Signature Guarantee is required for Custodial accounts

SUBSTITUTE W-9: I HEREBY CERTIFY under penalty of perjury (i) that the taxpayer identification number shown on this Transfer Form is true, correct and complete, (ii) that I am not subject to backup withholding either because I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or distributions, or the Internal Revenue Service has notified me that I am no longer subject to backup withholding, and (iii) I am a U.S. person.