# RED QAK CAPITAL HOLDINGS

RED OAK CAPITAL FUND VILLC

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RED O	AK	Red Oak Capital Fund VI, LLC Bonds – DTC Purchase Form

Use for DTC-BD Trades Only

	A Bond - CUSIP #:7	5679 R AA0		\$1,000 per Bond
Rep Name	# of Bonds:			
	Ra Bond – CUSIP #:	75679R AB8		\$1,000 per Bond
Rep ID	# of Bonds:			
			_	\$
nvestor Account #	A Total \$	. Ra Total \$	=	TOTAL AMOUNT
NVESTOR INFORMATION				
nvestor Name (please print)		Investor Name (p	olease pri	int)
nvestor Address		Investor Address	5	
City, State, Zip	<b>^</b>	City, State, Zip		
Daytime Phone	Email Address	Daytime Phone		Email Address
	<u> </u>	<b>A</b>		
Social Security or Tax ID #	Birth Date (mm/dd/yy)	Social Security or T	Toy ID NI	
				ImberBirth Date (mm/dd/yy)
nust limit my investment in the Bond evenues or net assets, whichever is	RTIFICATION , I must either be an "accredited inve s to a maximum of: (i) 10% of my ne greater, for my most recently comple	estor" as such term is o et worth or annual inco eted fiscal year, if I am	defined ir me, whic a non-na	Rule 501 of Regulation D promulgated under the act, hever is greater, if I am a natural person; or (ii) 10% of atural person.
understand that to purchase Bonds, nust limit my investment in the Bond evenues or net assets, whichever is understand that if I am a natural pe lissets and total liabilities. I understar esidence (up to an amount equal to be satisfied by the beneficiary of the a hereby represent and warrant that I I am a natural person, and t income, whichever is greater I am a non-natural person, a assets, whichever is greater, I am an accredited investor	RTIFICATION I must either be an "accredited inves s to a maximum of: (i) 10% of my ne greater, for my most recently comple erson I should determine my net wo nd this calculation must exclude the x the value of your primary residence account or by the fiduciary, if the fidu meet the qualifications to purchase F the aggregate purchase price for the r. and the aggregate purchase price fo for my most recently completed fisc	estor" as such term is o et worth or annual inco eted fiscal year, if I am rth for purposes of the value of my primary ree ). In the case of fiducia cicary directly or indirect Bonds because (please e Bonds I am purchasi or the Bonds I am purc al year.	defined ir me, whic a non-na ese repre- sidence a any accou- ctly provic mark one, ng in the hasing ir ease con	Rule 501 of Regulation D promulgated under the act, hever is greater, if I am a natural person; or (ii) 10% of atural person. seentations by calculating the difference between my to and may exclude any indebtedness secured by my prim ints, net worth and/or income suitability requirements r des funds for the purchase of the Bonds. : offering does not exceed 10% of my net worth or anr in the offering does not exceed 10% of my revenues or inplete Addendum A, attached below and return it in
understand that to purchase Bonds, nust limit my investment in the Bond evenues or net assets, whichever is understand that if I am a natural pe issets and total liabilities. I understar esidence (up to an amount equal to be satisfied by the beneficiary of the a hereby represent and warrant that I I am a natural person, and t income, whichever is greater I am a non-natural person, a assets, whichever is greater, I am an accredited investor this Purchase Form. If Ad	RTIFICATION I must either be an "accredited invession to a maximum of: (i) 10% of my negreater, for my most recently completers on I should determine my net would this calculation must exclude the value of your primary residence account or by the fiduciary, if the fidu meet the qualifications to purchase fitted aggregate purchase price for the r. and the aggregate purchase price for the r.	estor" as such term is o et worth or annual inco sted fiscal year, if I am north for purposes of the value of my primary re- ). In the case of fiducia iciary directly or indirect Bonds because <i>(please</i> e Bonds I am purchasi or the Bonds I am purchasi al year. Inccredited investor, ple is Purchase Form, you	defined ir me, whic a non-na ese repre- sidence a any accou- ctly provic mark one, ng in the hasing ir ease con	Rule 501 of Regulation D promulgated under the act, hever is greater, if I am a natural person; or (ii) 10% of atural person. seentations by calculating the difference between my in and may exclude any indebtedness secured by my prin ints, net worth and/or income suitability requirements des funds for the purchase of the Bonds. offering does not exceed 10% of my net worth or and in the offering does not exceed 10% of my revenues of plete Addendum A, attached below and return it

Investor Name (please print)

Signature

Investor Name (please print)

Signature

#### **REGISTERED REPRESENTATIVE AND RIA SUBMISSION AND APPROVAL**

Name (please print)

Signature

Signature

Date

Principal Name (please print)

Date

Date

#### Addendum A

## If you marked that you are an accredited investor as that term is defined in Rule 501 of Regulation D of the Securities Act of 1933, please complete this Addendum A.

If a natural person, I hereby represent and warrant that (mark as appropriate):

- (a) \_\_\_\_\_ I have an individual net worth, or joint net worth with my spouse, of more than \$1,000,000, excluding primary residence, see calculation below; or
- (b) I have individual income in excess of \$200,000 or joint income with my spouse in excess of \$300,000, in each of the two most recent years and I have a reasonable expectation of reaching the same income level in the current year.
- (c) \_\_\_\_\_ I am an executive officer or general partner of the Company or a manager or executive officer of the general partner of the Company.

If other than a natural person, I represent and warrant that I am: (mark as appropriate):

- (a) \_\_\_\_\_\_ an organization described in Section 501(c)(3) of the Internal Revenue Code, as amended, a corporation, Massachusetts or similar business trust, partnership, or organization described in Code Section 501(c)(3), not formed for the specific purpose of acquiring Bonds, with total assets over \$5,000,000;
- (b) \_\_\_\_\_\_ a trust, with total assets over \$5,000,000, not formed for the specific purpose of acquiring Bonds and whose purchase is directed by a person who has such knowledge and experience in financial and business matters that he or she is capable of evaluating the merits and risks of an investment in the Bonds as described in Rule 506(b)(2)(ii) under the Securities Act of 1933 (the "Securities Act")s;
- (c) \_\_\_\_\_\_ a broker-dealer registered under Section 15 of the Securities Exchange Act of 1934, as amended;
- (d) \_\_\_\_\_\_ an investment company registered under the Investment Company Act of 1940, as amended (the "Investment Company Act") or a business development company (as defined in Section 2(a)(48) of the Investment Company Act);
- (e) \_\_\_\_\_ a small business investment company licensed by the Small Business Administration under Section 301(c) or (d) or the Small Business Investment Act of 1958, as amended
- (f) \_\_\_\_\_\_ an employee benefit plan within the meaning of ERISA, if the investment decision is made by a plan fiduciary (as defined in Section 3(21) of ERISA), which is either a bank, savings and loan association, insurance company, or registered investment advisor, or if such employee benefit plan has total assets over \$5,000,000 or, if a self-directed plan, with investment decisions made solely by persons who are accredited investors;
- (g) \_\_\_\_\_ a private business development company (as defined in Section 202(a)(22) of the Investment Advisers Act of 1940, as amended);
- (h) \_\_\_\_\_ a bank as defined in Section 3(a)(2) of the Securities Act, any savings and loan association or other institution as defined in Section 3(a)(5)(A) of the Securities Act whether acting in its individual or fiduciary capacity, or any insurance company as defined in Section 2(13) of the Securities Act;
- (i) \_\_\_\_\_\_a plan established and maintained by a state, its political subdivisions, or any agency or instrumentality of a state or its political subdivisions, for the benefit of its employees, if such plan has total assets of more than \$5,000,000; or
- (j) \_\_\_\_\_ an entity (including an Individual Retirement Account) in which all of the equity owners are accredited investors.

Note: For the purposes of calculating your net worth, Net Worth is defined as the difference between total assets and total liabilities. This calculation must exclude the value of your primary residence and may exclude any indebtedness secured by your primary residence (up to an amount equal to the value of your primary residence). In the case of fiduciary accounts, net worth and/or income suitability requirements may be satisfied by the beneficiary of the account or by the fiduciary, if the donor or grantor is the fiduciary and the fiduciary directly or indirectly provides funds for the purchase of the Bonds.

## RED OAK CAPITAL HOLDINGS

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