



**Redhawk contractually signs on as an ERISA 3(38) fiduciary. We manage the entire investment process, offering the plan sponsor and participant the strongest transfer of investment liability.**

**Redhawk Wealth Advisors** is a national RIA that serves as the ERISA 3(38) Investment Manager for plans and participants. Under this capacity, Redhawk has full discretionary powers for selecting and monitoring investment options. Redhawk takes-on the highest level of fiduciary oversight and relieves the plan sponsor of the liability associated with the selection and monitoring of investment choices.

As an ERISA 3(38) Investment Manager, Redhawk helps plan sponsors mitigate fiduciary risk so they can focus their time and effort on running the business. Furthermore, as a discretionary manager, we empower plan participants with asset allocation portfolios and investment strategies to help grow and protect their retirement assets.

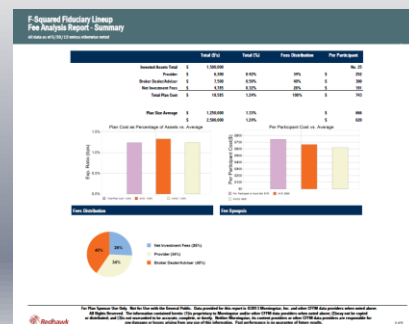
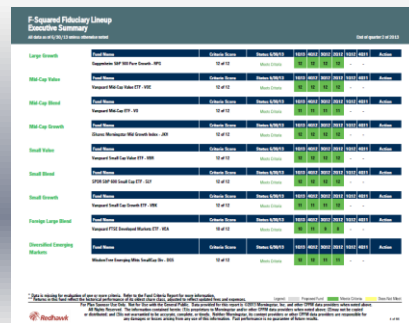
Redhawk provides a comprehensive set of ERISA 3(38) services that support both the plan sponsor and participant.

**For the plan sponsor:**

- Fiduciary Protection
- Investment Selection & Monitoring
- Professionally Managed Portfolios
- Core Lineups with Low Cost ETFs
- Investment Monitoring Reporting
- Fee Analysis and Benchmarking
- Investment Policy Statement (IPS)
- Investment Management Agreement

**For the plan participant:**

- Fiduciary Protection
- Investment Education
- Integrated Risk Tolerance Questionnaire
- Appropriate Portfolio Placement
- Professionally Managed Accounts



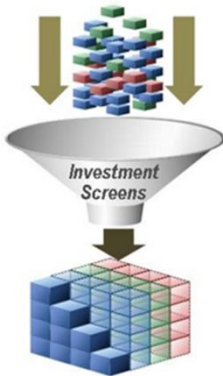
We are one of the few ERISA 3(38) Investment Managers that takes on the fiduciary liability and full discretion for **both** the **plan** investment options and **participant** accounts.

## FIDUCIARY RESPONSIBILITY

*Our 3(38) status mitigates plan sponsor fiduciary liability and responsibility of directors and officers.*

**Redhawk Wealth Advisors** utilizes a comprehensive, measurable, and documented process when selecting and monitoring the investments for the plan.

### Redhawk Investment Committee

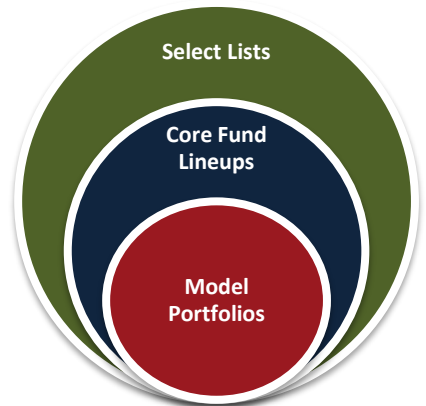


Investment Universe –  
Passive and active  
investments

Applying quantitative screens  
established in the Plan's  
Investment Policy Statement

Filter the "best in class"  
investment choices within  
each investment asset and  
sub-asset class.

### Fiduciary Lineups



## Fees

Our annual fees for ERISA 3(38) Investment Management services are as follows:

Plan Assets	ERISA 3(38) Fee
\$0 - \$9,999,999	0.25%
\$10,000,000 - \$24,999,999	0.20%
\$25,000,000 - \$99,999,999	0.15%
\$100,000,000 - \$199,999,999	0.10%
\$200,000,000 or more	0.05%

## Types of Plans

We serve as a 3(38) Investment Manager on any open-architecture platform and for the following types of plans:

- *Solo(k)*
- *401(k) & Profit Sharing*
- *New Comparability*
- *Automatic Safe Harbor*
- *Defined Benefit & Cash Balance*
- *403(b) ERISA and Non-ERISA*
- *457 Not-for-Profit and Governmental*
- *Money Purchase*
- *ESOP*
- *Non-Qualified & Custom Documents*

To request more information, please contact :

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