

**CAPTIVE INSURANCE COMPANY
INVESTMENT MANAGEMENT AGREEMENT**

This Agreement is entered among _____ (the "**Client**") and Redhawk Wealth Advisors, Inc., an SEC registered investment advisor ("**Redhawk**"). Client, being duly authorized, hereby agrees to employ and retain Redhawk to act as investment manager for the Captive Insurance Company ("**CIC**") CIC Account, as defined below, in accordance with the following terms and conditions (the "**Agreement**").

Recitals. Redhawk offers a CIC Account Program (the "**Program**"), which provides clients with access to the Redhawk's managed portfolios ("**Redhawk Managed Portfolio(s)**"). In the Program, Redhawk will have full discretion in managing the Redhawk Managed Portfolios. Redhawk provides discretionary investment management services for the CIC Account for an all-inclusive fee. The discretionary investment management services include:

Redhawk Discretionary Investment Management Services

- Investment manager due diligence.
- Investment manager selection, monitoring and replacement.
- Ongoing discretionary investment management.
- Portfolio personalization.
- Quarterly account statements.
- Quarterly performance reporting.
- Weekly Wrap Up commentary and portfolio signals.
- Fee billing.
- Online access to brokerage account and Orion Client Portal.

1. Client Information.

- (a) A financial advisor that has entered into either a Solicitor Agreement or Investment Advisor Representative Agreement with Redhawk (the "**Advisor**") will obtain from the Client information regarding the Client's financial situation, investment objectives, financial goals, tolerance for risk, and investment time horizon (all referred to as the "**Suitability Information**"). Based on the Suitability Information, Redhawk will recommend a Redhawk Managed Portfolio for the CIC Account, taking into consideration the investment philosophies, strategies, risks, and potential benefits of each Redhawk Managed Portfolio.
- (b) Client acknowledges that Advisor will rely on the Suitability Information that Client has provided. Client agrees to notify Advisor promptly, in writing, of any change to the Suitability Information, including any change to any investment objectives, risk tolerance, investment time horizon, and any investment policies, guidelines, or reasonable restrictions that Client has provided. Client shall provide Advisor with additional information as Redhawk may request from time to time to assist in managing the CIC Account. Redhawk shall not have any liability for Client's failure to provide Advisor or Redhawk with accurate or complete information.
- (c) Client acknowledges that all assets to be invested in the CIC Account will either be:
 - i. liquidated before transferring the assets to Redhawk, or
 - ii. liquidated by Redhawk and all related trading and transaction costs will be paid by the Client.

2. **CIC Account.**

- (a) Client will open an account (the “**CIC Account**”) with a custodian, as designated by Redhawk, and will transfer and/or deposit cash and/or securities into the CIC Account.
- (b) The CIC Account shall consist of such cash, securities, assets and other investments that are approved by Redhawk (collectively, the “**Assets**”). Except as otherwise instructed in writing by Client, all dividends, interest, or other income earned by the CIC Account will be retained in the CIC Account. Each CIC Account must have a minimum of \$250,000 in cash or market value of investments, or any combination thereof, in order to establish a CIC Account.
- (c) The CIC Account will maintain a target cash amount of 4.00% with a minimum cash amount of 1.50% and never less than \$25.

3. **Authority.** Client grants Redhawk full authority and discretion to direct, manage, and change the investment and reinvestment of the assets in the CIC Account without prior consultation with Client. In providing all services hereunder, Redhawk is entitled to rely on the financial information and other information provided by Client without any duty or obligation to investigate the accuracy or completeness of the information. Redhawk does not guarantee the investment performance of any of the investments in the CIC Account.

4. **Investment Selection, Monitoring, Replacement, and Reallocation of the CIC Account.** On a continuous basis, Redhawk will have full discretion to select, monitor, or replace the investments in the CIC Account. Redhawk will rebalance the CIC Account annually at the end of each calendar year.

5. **Custody.** The assets in the CIC Account shall be held in custody for safekeeping with the Custodian. Redhawk shall not act as custodian for the assets in the CIC Account and shall not be liable to Client for any act, conduct or omission by the Custodian. Redhawk is hereby authorized and empowered to issue instructions to the Custodian and to request information about the CIC Account from the Custodian. Redhawk shall not have authority to cause the Custodian to deliver Assets or pay cash to Redhawk, other than with respect to Redhawk directly billing the CIC Account for the fee payable to Redhawk under this Agreement in accordance with the Investment Advisers Act of 1940, as amended (the “**Advisers Act**”) and Rule 206(4)-2 thereunder or other applicable law. If the CIC Account is subject to the requirements of the Employee Retirement Income Security Act of 1974, as amended, (“**ERISA**”), Client understands that the Custodian shall be responsible for maintaining, and shall always maintain, custody of the CIC Account’s Assets in accordance with Section 404(b) of ERISA, and any other applicable regulations and rulings thereunder. The designated Custodian for the CIC Account is Interactive Brokers.

6. **Custody and Reporting.** Custodian will take and maintain possession of the cash, securities and other assets in the CIC Account. Redhawk shall not have any access to the Assets in the CIC Account or to the income produced therefrom, except in the ordinary course of effecting transactions for the CIC Account or otherwise performing their obligations under this Agreement. Redhawk shall not be responsible for any acts or omissions of the Custodian. Custodian will send an electronic statement to Client at least quarterly indicating all amounts disbursed from the CIC Account, all transactions occurring in the CIC Account during the period covered by the electronic statement, and a summary of the CIC Account positions and portfolio value at the end of the period. Client agrees to permit Redhawk to electronically view and download CIC Account information.

7. **Fees.**

- (a) The CIC Account shall pay an investment management fee (the “**Fee**”) according to the Fee Schedule under Section 7 of this Agreement. The Fee is based on all the CIC Accounts that pertain to all members of an immediate family or all related businesses of a company (“**Household**”).
- (b) The Fee shall be paid monthly in arrears within the first twenty (20) business days of each calendar month. The monthly payment shall be equal to 1/12 of the Fee multiplied by the average account balance of the CIC Account as of the close of the last trading day of the month, as reported by the Custodian.
- (c) The Fee will continue to be charged each month if there are Assets in the CIC Account.
- (d) The Fee Schedule may be revised by Redhawk, at its discretion, upon notice to Client, and the new Fee Schedule will be in effect as of the first calendar month beginning 30 days or more after Redhawk provides notice of such revision.
- (e) Client will provide Custodian with such documentation as Custodian requests authorizing and directing Custodian to deduct the Fees from the CIC Account and to pay Redhawk their Fees upon submission of a Fee invoice (which may be electronic) to Custodian.
- (f) The value of the CIC Account and the value of any asset in the CIC Account shall be the value reflected on Custodian’s statements or on Custodian’s internal system. In the event Custodian does not value any asset, the asset shall be valued by Redhawk in such manner as it shall determine in good faith to reflect its fair value, in accordance with generally accepted industry standards. Money market accounts and bank accounts, if any, shall be valued as of the valuation date.
- (g) Redhawk reserves the right to terminate this Agreement if the CIC Account falls below the minimum account size stated in Redhawk’s Form ADV Part 2A Appendix 1. Client may withdraw CIC Account Assets subject to usual and customary securities settlement procedures.
- (h) The Fees include the following:
 - i. All commissions, trading, and transaction charges.
 - ii. Investment management services provided by Redhawk.
 - iii. Advisory services provided by Advisor.
 - iv. Brokerage commissions, mark-ups, mark-downs, and dealer spreads associated with the purchase and sale of securities.
 - v. Custodian fees.
- (i) Client shall be solely responsible for any additional expenses, such as redemption fees charged by the fund company or Custodian, that aren’t included in Section 7(h). Client understands that, in addition to the Fee under this Agreement, shareholders of each exchange traded funds (“**ETF**” or “**ETFs**”) in which the CIC Account may be invested will also be charged investment advisory fees and other expenses which are disclosed in each fund’s prospectus or summary disclosure. Client further understands that the ETFs recommended or purchased through this Agreement may be available directly without paying the Fee.

(j) The Advisor can use any of the following Redhawk Managed Portfolios, or a combination thereof, for the CIC Account:

- i. Redhawk S&P 500 Conservative portfolio (“RSPC”).
- ii. Redhawk S&P 500 Moderate portfolio (“RSPM”).
- iii. Redhawk S&P 500 Aggressive portfolio (“RSPA”).
- iv. Redhawk Liquid Income Conservative portfolio (“LINCC”).
- v. Redhawk Liquid Income Moderate portfolio (“LINCM”).
- vi. Redhawk Liquid Income Aggressive portfolio (“LINCA”).
- vii. Redhawk Liquid Income Municipal Bond portfolio (“LINCB”).
- viii. Redhawk Target Year Series (“RTYS”).
- ix. Redhawk Target Year-1 (“CIC1”).
- x. Redhawk Target Year-2 (“CIC2”).
- xi. Redhawk Target Year-3 (“CIC3”).

(k) The Fee Schedule for the CIC Account invested is described below:

| CIC Account Assets | Investment Manager Fee | Advisor Fee | Total Investment Management Fee |
|--------------------|------------------------|-------------|---------------------------------|
| First \$1,000,000 | 0.130% | 0.870% | 1.000% |
| Next \$1,000,000 | 0.120% | 0.680% | 0.800% |
| Next \$3,000,000 | 0.110% | 0.590% | 0.700% |
| Next \$5,000,000 | 0.100% | 0.500% | 0.600% |
| Over \$10,000,000 | 0.090% | 0.410% | 0.500% |

Example: Client has \$2,500,000 in a CIC Account and is part of a Household that has \$6,000,000 in total CIC Account Assets (the \$6M includes the Client’s \$2.5M). The calculation below assumes there are no transactions during the month and that all the assets were in the account when the month started.

Monthly Fee Calculation (based on average daily balance):

- *First Tier: (\$1,000,000 times 1.000%) divided by 12 = \$833.33.*
- *Second Tier: (\$1,000,000 times 0.8000%) divided by 12 = \$666.66.*
- *Third Tier: (\$500,000 times 0.7000%) divided by 12 = \$291.66.*
- *Total Investment Management Fee for the month: \$1,791.65.*

8. Non-Exclusive Relationship; Other Compensation. Client acknowledges and agrees that Redhawk may act as investment managers to other clients and receive fees for such services. The advice given, and the actions taken with respect to such clients and Redhawk’s own accounts may differ from advice given or the timing and nature of action taken with respect to Client’s CIC Account. Client further recognizes that transactions in a specific security may not be accomplished for all clients’ accounts at the same time or at the same price. Client also acknowledges that in managing the CIC Account, Redhawk may purchase or sell securities in which Redhawk, its officers, directors, or employees, directly or indirectly, have or may acquire a position or interest.

9. Proxy Voting. Redhawk shall not have any obligation or authority to take any action or render any advice with respect to the voting of proxies solicited by or with respect to issuers of securities held by a CIC Account. Client (or the plan fiduciary in the case of a CIC Account subject to the provisions of the Employee Retirement Income Security Act of 1974 [“ERISA”]), expressly retains the authority and

responsibility for, and Redhawk is expressly precluded from rendering any advice or taking any action with respect to, the voting of any such proxies.

- 10. Assignment.** This Agreement shall be binding on Client's heirs, executors, successors, administrators, conservators, and permitted assigns. This Agreement shall not be assigned by either party without the consent of the other with the exception that Redhawk may assign this Agreement in full to a successor entity resulting from the sale or transfer of all or substantially all of such Party's assets related to this Agreement, whether by sale of stock or assets, merger, change of control, operation of law, or otherwise.
- 11. Termination.** Any of the parties may terminate this Agreement in whole, or in part, at any time before the date of expiration with 30 days written notice. This Agreement will automatically renew each year unless 30 days written notice is provided by either party wishing to terminate the Agreement. Such termination shall not, however, affect liabilities or obligations incurred or arising from transactions initiated under this Agreement prior to such termination, including the provisions regarding arbitration, which shall survive any expiration or termination of this Agreement.
- (a) Upon termination, Client shall have the exclusive responsibility to monitor and manage the investments in the CIC Account, and Redhawk shall not have any further obligation to act or advise with respect to those Assets.
 - (b) If Client terminates this Agreement within five (5) business days of its signing, Client shall receive a full refund of all fees and expenses.
 - (c) If Advisor's association with Redhawk terminates for any reason, Redhawk will assume the terms and conditions of this Agreement immediately and become the advisor of record for the Client's CIC Account held at Redhawk.
- 12. Termination of Discretion.** Each grant of discretion to Redhawk in this Agreement shall remain in full force and effect until terminated by Client or Redhawk pursuant to Section 11 of this Agreement, or until Redhawk receives notice of Client's death. The termination of any grant of discretion shall constitute a termination of this Agreement. If, in the event of Client's death, Redhawk has acted in good faith pursuant to a grant of discretion without actual knowledge of Client's death, any action so taken, unless otherwise invalid or unenforceable, shall be binding on Client's successors in interest.
- 13. Representations.**
- (a) Redhawk represents that it is registered as an investment advisor with the Securities and Exchange Commission ("**SEC**") under the Advisers Act of 1940 and is authorized and empowered to enter into this Agreement.
 - (b) Client represents and confirms that: (i) Client has full power and authority to enter into this Agreement; (ii) the terms hereof do not violate any obligation by which Client is bound, whether arising by contract, operation of law, or otherwise; and (iii) this Agreement has been duly authorized and shall be binding according to its terms.
 - (c) If this Agreement is entered by a trustee or other fiduciary, such trustee or fiduciary represents that the services to be provided by Redhawk are within the scope of the services and investments authorized by the governing instruments of, and laws and regulations applicable to Client. Such trustee or fiduciary further represents and warrants that they are duly authorized to negotiate the terms of this Agreement and enter into and renew this Agreement. The trustee or fiduciary shall

provide Redhawk with copies of the governing instruments authorizing establishment of the CIC Account. The trustee or fiduciary undertakes to advise Redhawk of any material change in their authority or the propriety of maintaining the CIC Account.

- (d) If Client is a corporation, partnership or limited liability company. The signatory on behalf of Client represents that the execution of this Agreement has been duly authorized by appropriate corporate action. Client undertakes to advise Redhawk of any event that might affect this authority or the propriety of this Agreement.

- 14. ERISA CIC Accounts.** If the CIC Account is subject to the provisions of the Employment Retirement Income Security Act of 1974, as amended ("**ERISA**") or corresponding provisions of the Internal Revenue Code, as amended (the "**IRC**"), Redhawk acknowledges that it is a "fiduciary" (as defined in ERISA and the IRC respectively) with respect to performing its duties under this Agreement. Client agrees to maintain appropriate ERISA bonding for the CIC Account and to include within the coverage of the bond Redhawk and its personnel, as may be required by law. Client represents that employment of Redhawk, and any instructions that have been given to Redhawk regarding the CIC Account, are consistent with applicable plan and trust documents. Client agrees to furnish Redhawk with copies of such governing documents. The person signing this Agreement on behalf of Client also acknowledges its status as a "named fiduciary" (as defined in ERISA and the IRC respectively) with respect to the control and management of the Assets held in the CIC Account, and agrees to notify the Advisor and Redhawk promptly of any change in the identity of the named fiduciary with respect to the CIC Account. Client also acknowledges that the CIC Account is only a part of the plan's assets, and that Redhawk is not responsible for overall compliance of such investments with the requirements of ERISA or any other governing law or documents.
- 15. Risk and Liability.** Redhawk shall manage only the securities, cash and other investments held in Client's CIC Account. Client recognizes that there may be loss or depreciation of the value of any investment due to the fluctuation of market values. Client represents that no party to this Agreement has made any guarantee, either oral or written, that Client's investment objectives will be achieved. Redhawk shall not be liable for any error in judgment or for any investment losses in the CIC Account in the absence of malfeasance, negligence or violation of applicable law. Redhawk shall not be responsible for any loss incurred by reason of any act or omission of Client, Custodian, any broker-dealer, or any other third party. Nothing in this Agreement shall constitute a waiver or limitation of any rights that Client may have under applicable state or federal law, including without limitation the state and federal securities laws.
- 16. Legal Proceedings.** Redhawk shall not render advice or take any action with respect to securities or other investments, or the issuers thereof, which become subject to any legal proceedings, including bankruptcies. Client hereby expressly retains the right and obligation to take such legal action relating to any such investments held in the CIC Account.
- 17. Notices.** Any notice or other communication required or permitted to be given pursuant to this Agreement shall be deemed to have been duly given when delivered in person or transmitted by facsimile (with hard copy sent by U.S. mail), sent by overnight courier (postage prepaid), or three days after mailing by registered mail (postage prepaid). All notices or communications to Redhawk should be sent to its President, at its principal business office. All notices or communications to Client shall be sent to the address contained in Redhawk's records.

- 18. Governing Law.** This Agreement and all the terms herein shall be construed and governed according to the laws of the State of Minnesota, without giving effect to principles of conflict of laws, if there is no inconsistency with federal laws.
- 19. Entire Agreement.** This Agreement represents the parties' entire understanding with regard to the matters specified herein. Redhawk and Client have entered into a Fee Agreement that stipulates the fees between both parties. No other agreements, covenants, representations or warranties, express or implied, oral or written, have been made by any party to any other party concerning the subject matter of this Agreement.
- 20. Severability.** If any part of this Agreement is found to be invalid or unenforceable by statute, rule, regulation, decision of a tribunal, or otherwise, it shall not affect the validity or enforceability of the remainder of this Agreement. To this extent, the provisions of this Agreement shall be deemed to be severable.
- 21. Disclosure Documents.** Client acknowledges receipt of: (a) Redhawk's Form ADV Part 2A and (b) Redhawk's ADV Part 2A Appendix 1. Client also acknowledges that Client has reviewed and understands the risk factors and the fees associated with the CIC Account.
- 22. Amendments.** Either party shall have the right to amend this Agreement. Any subsequent amendment must be in writing and signed by both parties.
- 23. Pre-Dispute Arbitration Agreement.** Any controversy or dispute that may arise between Client and Redhawk, concerning the CIC Account, any transaction in or for the CIC Account, or the construction, performance or breach of this Agreement shall be settled by arbitration. Any arbitration shall be pursuant to the rules, then applying, of the American Arbitration Association, except to the extent set forth herein. The arbitration panel shall consist of a maximum of three individuals. Each panelist must have knowledge of investment advisory activities. Each party appoints its panel member and the parties will jointly appoint the third panel member. The parties agree that any arbitration proceeding pursuant to this provision shall be held in a location as determined by the rules of the American Arbitration Association, and judgment upon the award rendered may be entered in any court, state or federal, having jurisdiction.

Arbitration is final and binding on all parties.

- (a) **Pre-arbitration discovery is generally more limited than and different from court proceedings.**
- (b) **The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.**
- (c) **No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action, or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (a) the class certification is denied; (b) the class is decertified; or (c) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated.**

- (d) The agreement to arbitrate does not entitle Client to obtain arbitration of claims that would be barred by the relevant statute of limitations if such claims were brought in a court of competent jurisdiction. If at the time a demand for arbitration is made or an election or notice of intention to arbitrate is served, the claims sought to be arbitrated would have been barred by the relevant statute of limitations or other time bar, any party to this Agreement may assert the limitations as a bar to the arbitration by applying to any court of competent jurisdiction. Client expressly agrees that any issues relating to the application of a statute of limitations or other time bar are referable to such a court. The failure to assert such bar by application to a court, however, shall not preclude its assertion before the arbitrators.
- (e) Arbitration will be conducted in the state of Colorado.

24. Miscellaneous.

- (a) The effective date of this Agreement shall be the latest date as signed by the Client.
- (b) All paragraph headings are for convenience of reference only, do not form part of this Agreement, and shall not affect in any way the meaning or interpretation of this Agreement.
- (c) All principals of Client must sign. Corporate officers, limited liability company members, partners, and fiduciaries must indicate the capacity in which they are acting. This Agreement may be executed in counterparts and shall be binding on the parties as if executed in one document.
- (d) Client Acknowledges receipt of a copy of this Agreement, including the Pre-Dispute Arbitration Clause under Section 23.

25. Redhawk's Privacy Policy.

FACTS

WHAT DOES REDHAWK WEALTH ADVISORS DO WITH YOUR PERSONAL INFORMATION?

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and income
- Assets and transaction history
- Investment experience and risk tolerance

When you are *no longer* our client, we continue to share your information as described in this notice.

How?

All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal

information; the reasons Redhawk Wealth Advisors chooses to share and whether you can limit this sharing.

| Reasons we can share your personal information | Does Redhawk Wealth Advisors? | Can you limit this sharing? |
|--|-------------------------------|-----------------------------|
| For our everyday business purposes— such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus | YES | NO |
| For our marketing purposes— to offer our products and services to you | YES | YES |
| For joint marketing with other financial companies | NO | We do not share |
| For our affiliates' everyday business purposes— information about your transactions and experiences | NO | We do not share |
| For our affiliates' everyday business purposes— information about your creditworthiness | NO | We do not share |
| For our affiliates to market to you | NO | We do not share |
| For non-affiliates to market to you | NO | We do not share |

| | |
|-----------------------------|--|
| To limit our sharing | Please note: |
| | If you are a new client, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our client, we continue to share your information as described in this notice. |
| | However, you can contact us at any time to limit our sharing. |

| | |
|-------------------|---------------------------|
| Questions? | Call: 952-835-4295 |
|-------------------|---------------------------|

| | |
|--------------------------------------|-------------------------|
| Who we are | |
| Who is providing this notice? | Redhawk Wealth Advisors |

| | |
|--|---|
| What we do | |
| How does Redhawk Wealth Advisors protect my personal information? | To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. |

| What we do | |
|---|--|
| <p>How does Redhawk Wealth Advisors collect my personal information?</p> | <p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> ■ open an account or give us contact information ■ enter into an investment adviser contract or give us your income information ■ tell us about your investment or retirement portfolio <p>We also collect your personal information from other companies.</p> |
| <p>Why can't I limit all sharing?</p> | <p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> ■ sharing for affiliates' everyday business purposes—information about your creditworthiness ■ affiliates from using your information to market to you ■ sharing for non-affiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing</p> |

| Definitions | |
|-------------------------------|---|
| <p>Affiliates</p> | <p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> ■ NONE |
| <p>Non-affiliates</p> | <p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> ■ NONE |
| <p>Joint marketing</p> | <p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> ■ NONE |

| Other important information | |
|-----------------------------|--|
| | |

26. Client Acknowledgement

The Client acknowledges that the information provided to Redhawk is accurate and a reasonable analysis of the financial situation, investment goals and objectives of the Client. The Client also acknowledges that any Client restrictions may affect the performance of the CIC Account and may have variations from a similarly managed account with no restrictions. The Client acknowledges that these variations could result in positive or negative performance differences for the CIC Account as compared to the performance composite of the investment program.

Account Name: _____

Account Number: _____

Please complete if you would like Redhawk to email you the following:

Client consents to receive via e-mail, or other electronic delivery methods, various communications, documents, or notifications from Redhawk. These items may include but are not limited to:

- Statements or reports.
- Billing invoices.
- Weekly Update.
- Investment company brochures (ADV Part 2A, 2B, Wrap Program, etc.).
- Privacy policy statement.
- Any other notices or documentation that Redhawk chooses to provide on an ongoing or occasional basis.

Provide the e-mail addresses that you want Redhawk to use.

| | |
|-------------------------|--|
| Client e-mail #1 | |
| Client e-mail #2 | |

Client agrees to immediately notify Redhawk of any change(s) to the above e-mail address(s) and to hold Redhawk harmless for non-delivery of any information that was not received by the Client due to changes that Redhawk was not informed.

Please complete if you don't want to receive Redhawk's Weekly Update via e-mail.

- No, I don't want to receive Redhawk's Weekly Update via e-mail.

[The remainder of this page is intentionally left blank.]

CIC Account Portfolio Selection: please select the portfolio(s) and write in the allocation percentage if you have selected more than one portfolio. If a portfolio is not selected, the Redhawk S&P 500 Moderate portfolio (RSPM) will be used.

| | <u>Allocation %</u> |
|---|---------------------|
| <input type="checkbox"/> Redhawk Liquid Income Conservative (LINCC) | _____ % |
| <input type="checkbox"/> Redhawk Liquid Income Moderate (LINCM) | _____ % |
| <input type="checkbox"/> Redhawk Liquid Income Aggressive (LINCA) | _____ % |
| <input type="checkbox"/> Redhawk Liquid Income Municipal Bond (LINCB) | _____ % |
| <input type="checkbox"/> Redhawk S&P 500 Conservative (RSPC) | _____ % |
| <input type="checkbox"/> Redhawk S&P 500 Moderate (RSPM) | _____ % |
| <input type="checkbox"/> Redhawk S&P 500 Aggressive (RSPA) | _____ % |
| <input type="checkbox"/> Redhawk Target Year Series (RTYS) | _____ % |
| <input type="checkbox"/> Redhawk Target Year-1 (CIC1) | _____ % |
| <input type="checkbox"/> Redhawk Target Year-2 (CIC2) | _____ % |
| <input type="checkbox"/> Redhawk Target Year-3 (CIC3) | _____ % |
| | 100% |

ADV Part 2 Disclosure Documents Provided to Client (please check all that apply):

- Form ADV Part 2 of Redhawk Wealth Advisors, Inc.
- Form ADV Part 2 Appendix 1 of Redhawk Wealth Advisors, Inc.

[The remainder of this page is intentionally left blank.]

Client Acknowledgement and Understanding of Agreements and Disclosures Included Herein.

| | | |
|-------------|------------------|-------|
| _____ | _____ | _____ |
| Client Name | Client Signature | Date |
| _____ | _____ | _____ |
| Client Name | Client Signature | Date |
| _____ | _____ | _____ |
| Client Name | Client Signature | Date |
| _____ | _____ | _____ |
| Client Name | Client Signature | Date |
| _____ | _____ | _____ |
| Client Name | Client Signature | Date |

Advisor Acknowledgement and Understanding of Agreements and Disclosures Included Herein.

| | | |
|-------------------------------|---|-------|
| _____ | _____ | _____ |
| Advisor Name | Advisor Signature | Date |
| Dan E. Hunt |  | |
| Redhawk Wealth Advisors, Inc. | Signature | |