

**CAPTIVE INSURANCE COMPANY
INVESTMENT MANAGEMENT ALLOCATION AMENDMENT
ET GROUP OF COMPANIES**

Account Name: _____

This Amendment dated as of the _____ day of _____, 20____ (the “**Effective Date**”), has been made, and entered into among _____ (the “**Client**”) and Redhawk Wealth Advisors, Inc., a registered investment Redhawk (“**Redhawk**”). Client, being duly authorized, hereby agrees to employ and retain Redhawk to act as investment manager for the Captive Insurance Company (“**CIC**”) Account (“**CIC Account**”) in accordance with the following terms and conditions (the “**Agreement**”).

WHEREAS, the Client and Redhawk have previously entered into a Captive Insurance Company Investment Management Agreement; and

WHEREAS, the Client and Redhawk desire to amend the initial allocation of the Captive Insurance Company Investment Management Agreement in accordance with the terms and conditions set forth herein; and

WHEREAS, the Client has fully disclosed and provided information to the Advisor regarding the Client’s financial situation, investment objectives, financial goals, tolerance for risk, and investment time horizon (all referred to as the “**Suitability Information**”); and

WHEREAS, based on the Suitability Information, the Advisor has recommended a change to the initial allocation of the CIC Account, taking into consideration the investment styles, strategies, risks, and potential benefits; and

WHEREAS, the Client has reviewed and agrees with the changes and desires to reallocate their CIC Account as set forth below.

NOW THEREFORE, in consideration of the mutual covenants, agreements, warranties and representations made and contained herein and in the Captive Insurance Company Investment Management Agreement, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereby agree as follows:

1. **Fees.** The CIC Account shall pay an investment management fee (the “**Fee**”) according to the Fee Schedule set forth below, as updated from time to time. 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**”).

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-1 portfolio (“**CIC1**”).
- ix. Redhawk Target Year-2 portfolio (“**CIC2**”).
- x. Redhawk Target Year-3 portfolio (“**CIC3**”).

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

CIC Account Assets	Investment Manager Fee	Advisor Fee	Total Investment Management Fee
\$250,000 or more	0.10%	0.40%	0.50%

For a Client that has \$3,000,000 in CIC Account Assets the monthly fee calculation is as follows: (\$3,000,000 times 0.50%) divided by 12 = \$1,250.00.

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

2. Qualifying Reasons

Please provide below information regarding the reallocation change.

- (a) Please list and describe (in detail) what qualifying reasons have caused a review of the current investment portfolio.

- (b) If the Advisor and Client have determined that another investment portfolio would be more suitable, please list and describe (in detail) those reasons below and what tools and/or systems were used to determine this recommendation.

- (c) Include the Following Documents:

- Investment Policy Statement (“**IPS**”) from Riskalyze.
- Other (please provide any relevant information below).

3. 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.

4. Client Acknowledgement

The Client acknowledges that the CIC Account allocation is suitable based on the financial situation, investment goals, risk tolerance, and objectives of the Client. The Client also acknowledges that any 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.

a. CIC Account Investment Portfolio Transfer:

Transfer From		
Account Number	Symbol	% or \$

Transfer To		
Account Number	Symbol	% or \$

(b) CIC Account Investment Portfolio to Cash Transfer:

Transfer From		
Account Number	Symbol	% or \$

Transfer To		
Account Number	Symbol	% or \$
Cash	N/A	

Reason for Moving to Cash: _____

NOTE: The CIC Account will continue to pay the total investment management fee based on the investment portfolio it is transferring from in accordance to the Fee Schedule set forth under Section 1 of this Agreement.

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

(c) **Cash to CIC Account Investment Portfolio Transfer:**

Transfer From		
Account Number	Symbol	% or \$
Cash	N/A	

Reason for Moving Out of Cash: _____

Transfer To		
Account Number	Symbol	% or \$

5. **Disclosure Documents.** Client acknowledges receipt of Redhawk’s Form ADV Part 2A and acknowledges that Client has reviewed and understands the risk factors and the fees associated with the CIC Account.

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



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.

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