



REDHAWK 403(b) / 457(b) AMENDMENT

INVESTMENT MANAGEMENT ALLOCATION

Account Name: _____

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

WHEREAS, the Client and Redhawk have previously entered into an Investment Management Agreement; and

WHEREAS, the Client and Redhawk desire to amend the initial allocation of the 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 Account among the investments, taking in to consideration the investment styles, strategies, risks, and potential benefits of each investment; and

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

NOW THEREFORE, in consideration of the mutual covenants, agreements, warranties and representations made and contained herein and in the 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 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 the assets in the Accounts.



The Fee Schedule for the Account is described below:

| Account Assets | Investment Manager Fee | Advisor Fee | Total Investment Management Fee |
|-----------------------|------------------------|-------------|---------------------------------|
| \$0 - \$499,999 | 0.875% | 0.875% | 1.75% |
| \$500,000 - \$999,999 | 0.750% | 0.750% | 1.50% |
| \$1,000,000 or more | 0.500% | 0.500% | 1.00% |

Example: Client has \$550,000 in an Account.

Monthly Fee Calculation for Client: (\$550,000 times 1.50%) divided by 12 = \$687.50.

2. **Qualifying Reasons**

Please provide below information regarding your reallocation change.

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

(b) If the advisor and client have determined that another investment 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. and

4. **Client Acknowledgement**

The Client acknowledges that the investment 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 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 Account as compared to the performance composite of the investment program. The amount invested in each investment must meet the minimum amount allowed.

(a) **Investment to Investment Transfer:**

| Transfer From | | |
|----------------|--------|---------|
| Account Number | Symbol | % or \$ |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

| Transfer To | | |
|----------------|--------|---------|
| Account Number | Symbol | % or \$ |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

(b) **Investment 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 Account will continue to pay the investment management fee based on the investment it is transferring from in accordance to the Fee Schedule set forth under Section 1 (b) of this Agreement.



(c) **Cash to Investment Transfer:**

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

Reason for Moving Out of Cash: _____

| Transfer To | | |
|----------------|--------|---------|
| Account Number | Symbol | % or \$ |
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