



## **BUSINESS CONTINUITY PLAN**

Redhawk Wealth Advisors, Inc. (“Redhawk”) is an investment advisory firm registered with the Securities and Exchange Commission (“SEC”) utilizing the clearing and custodial services of TD Ameritrade and Charles Schwab (“Custodian” or collectively “Custodians”). For many Redhawk Advisory clients, the Custodian provides custody, back-office and trade support, for Redhawk, so your account(s) and assets are maintained custodied by the Custodian. Redhawk’s Business Continuity Plan (“BCP”) addresses the possibility of significant business disruptions (“SBD”). Accordingly, Redhawk is furnishing this document to you to provide information about our efforts to ensure that impact to your business is minimized in the event of an emergency or disaster.

Redhawk has designed a business continuity plan to address possible scenarios in efforts to minimize any service impact to our clients. The business continuity plan for Redhawk is designed to address key areas of concern - including but not limited to the following:

- Data back-up and recovery;
- Mission critical systems;
- Financial and operational assessments;
- Critical business constituent, bank and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How Redhawk will ensure that customers have access to their funds and securities in the event Redhawk determines it is unable to continue its business.
- Regardless of the scope of potential disruption, Redhawk intends to continue to provide service to its clients.
- In the event of a significant business disruption, where the primary building or business district is located, we will move our staff from affected offices to a location that is not affected.

Redhawk has identified several computer applications with Mission Critical or High criticality ratings. These Mission Critical computer applications are proprietary to our Custodians. Custodians regularly performs disaster recovery testing and reports results to Redhawk. Custodian provides an annual BCP disclosure to Redhawk clients.

At a minimum, the Redhawk business continuity plan is reviewed and updated on an annual basis. Additionally, our primary internal and external application providers periodically conduct testing of their own back-up capabilities to ensure that, in the event of an emergency or significant business disruption, they will be able to provide us with the critical information and applications we need to continue or promptly resume our business. Making sure that any type of disruption does not unduly impact our clients is extremely important to us, and our business continuity plan is designed to allow us to continue to provide the quality service you have come to expect from Redhawk.