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## Form CRS – Customer Relationship Summary

3/21/22

### Item 1: Introduction

Our firm, Redhawk Wealth Advisors, Inc., is an investment advisor registered with the Securities and Exchange Commission. We feel that it is important for you to understand how advisory and brokerage services and fees differ to determine which type of account is right for you. There are free and simple tools available to research firms and financial professionals at <http://www.investor.gov/CRS>, which also provides educational materials about investment advisors, broker-dealers, and investing.

### Item 2: Relationship and Services

#### What investment services and advice can you provide me?

We are a registered investment advisor that offers investment advisory services to clients. Our advisory services include Investment Management and Financial Planning. We customize all services to your individual needs by determining your specific goals, objectives, risk tolerance, time horizon, investment restrictions, and other factors that affect the financial advice you receive. Based on what we learn, we will recommend a portfolio of investments that we monitor to ensure compliance with your stated goals and objectives.

We generally manage accounts on a discretionary basis. After you sign an agreement with our firm, we can buy and sell investments in your account without asking you in advance. Any limitations will be described in the signed advisory agreement. We will have discretion until the advisory agreement is terminated in writing by you or our firm. As a condition for starting and maintaining an investment advisory relationship, we generally require a minimum portfolio size of \$1,000. We, in our sole discretion, may waive our stated account minimums. Financial Planning is offered as a separate fee for service and we do not monitor your investments for the Financial Planning service.

#### QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:

1. Given my financial situation, should I choose an investment advisory service? Why or why not?
2. How will you choose investments to recommend for me?
3. What is your relevant experience, including your licenses, education, and other qualifications? What do those qualifications mean?

**For more information, please refer to our Firm's ADV Part 2A Brochure – Items 4, 7, 13 and 16.**  
<https://adviserinfo.sec.gov/firm/summary/146616>.

### Item 3: Fees, Cost, Conflicts and Standard Conduct

#### What fees will I pay?

For investment advisory services, you will be charged an ongoing monthly fee based on the average daily value of the investments in your account. Our Investment Management fee schedule is standard for all clients, and ranges from 0.50% to 2.00% annually depending on the value of the investments in your account. The more assets you have in your advisory account, the more you will pay us. We therefore have an incentive to increase the assets in your advisory account to increase our fees. Our firm's fees will be automatically deducted from your advisory account, monthly in arrears, which will reduce the value of your advisory account. You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

Our Financial Planning service fee ranges from \$250 - \$2,500 and is based on the complexity of the plan and the number of hours it will take to develop and maintain the plan. This fee will be disclosed in the financial planning agreement.

Our Firm utilizes solicitors and pays compensation to independent third parties for the referral of clients to our Firm.

#### How do your financial professionals make money?

Our financial professionals are compensated based on a percentage of the amount of assets under management that they service, which includes the time and complexity required to meet your needs; the investment solutions used; or revenue the firm earns from financial professional's advisory services or recommendations. They also may receive

additional compensation from outside business activities, such as sales commissions for selling insurance, fees for providing accounting services, or fees for serving in a consulting capacity.

**QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:**

1. Help me understand how these fees and costs may affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs and how much will be invested for me?

**For more information on our fees and how we calculate fees, please refer to Item 5 of our Part 2A Firm Brochure, which is available online at <https://adviserinfo.sec.gov/firm/summary/146616>.**

When we act as your investment advisor, we are required to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice, we provide you. Here are some examples to help you understand what this means:

As a fee-only advisor, a conflict of interest may exist any time we recommend that you keep your assets under our management rather than remove your assets from our management. Examples could include recommending that you rollover an account into an account managed by our firm or recommending that your assets remain in your account rather than satisfying a debt obligation. A conflict of interest may exist if a financial professional conducts personal trading and trading alongside your trades.

**QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:**

1. How might your conflicts of interest affect me, and how will you address them?

**For more information, please refer to our Firm's ADV Part 2A Brochure – Items 5, 10, 11, and 14. <https://adviserinfo.sec.gov/firm/summary/146616>.**

#### **Item 4: Disciplinary History**

**Do you or your financial professionals have legal or disciplinary history?**

Yes. Visit [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:**

1. As a financial professional, do you have any disciplinary history? For what type of conduct?

**For more information, please refer to our Firm's ADV Part 2A Brochure – Item 9. <https://adviserinfo.sec.gov/firm/summary/146616>.**

#### **Item 5: Additional Information**

You can find additional information about our firm's investment advisory services on the SEC's website at <https://adviserinfo.sec.gov/> by searching CRD #146616. You may also contact our firm at (952) 835-4295 or [support@redhawkwa.com](mailto:support@redhawkwa.com) to request a copy of this relationship summary and other up-to-date information.

**QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:**

1. Who is my primary contact person? Is he or she a representative of an investment advisor or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?

#### **Material Changes Since Last Filing**

On March 21, 2022, the firm updated Form CRS for annual renewal. The following material change was made:

- Item 3: Fees, Cost, Conflict, and Standard Conduct  
Language reflecting The Firm's use of solicitors was added.