IAPD Report

DAVID ANTHONY SUTKAITIS

CRD# 4496466

Section Title	**Page(s)**

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

DAVID ANTHONY SUTKAITIS (CRD# 4496466)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	05/02/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SECURITIES AMERICA ADVISORS, INC.	110518	WEST HARTFORD, CT	09/18/2020 - 05/02/2023
B	SECURITIES AMERICA, INC.	10205	WEST HARTFORD, CT	09/18/2020 - 05/02/2023
IA	SSN ADVISORY, INC.	126090	West Hartford, CT	06/28/2016 - 09/18/2020

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2
Financial	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **REDHAWK WEALTH ADVISORS, INC.**

Main Address: 8500 NORMANDALE LAKE BLVD
SUITE 960
BLOOMINGTON, MN 55437

Firm ID#: 146616

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	05/02/2023

Branch Office Locations

REDHAWK WEALTH ADVISORS, INC.
20 WATERSIDE DRIVE
SUITE 201
FARMINGTON, CT 06032

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/05/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/11/2016
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/18/2020 - 05/02/2023	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WEST HARTFORD, CT
B	09/18/2020 - 05/02/2023	SECURITIES AMERICA, INC.	CRD# 10205	WEST HARTFORD, CT
IA	06/28/2016 - 09/18/2020	SSN ADVISORY, INC.	CRD# 126090	West Hartford, CT
B	06/27/2016 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	WEST HARTFORD, CT
B	05/02/2011 - 06/24/2016	PARKLAND SECURITIES, LLC	CRD# 115368	FARMINGTON, CT
B	10/06/2010 - 05/04/2011	OHANESIAN / LECOURS, INC.	CRD# 23757	WEST HARTFORD, CT
B	04/08/2002 - 10/01/2010	NEW ENGLAND SECURITIES	CRD# 615	WEST HARTFORD, CT

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	REDHAWK WEALTH ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
09/2020 - 05/2023	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	WEST HARTFORD, CT, United States
09/2020 - 05/2023	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	WEST HARTFORD, CT, United States
06/2016 - 09/2020	SECURITES SERVICE NETWORK, INC	REGISTERED REPRESENTATIVE	Y	WEST HARTFORD, CT, United States
06/2016 - 09/2020	SSN Advisory, Inc	Investment Advisor	Y	WEST HARTFORD, CT, United States
08/2014 - 06/2016	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
09/2010 - 06/2016	GENT FINANCIAL GROUP LLC	FINANCIAL ADVISOR	Y	WEST HARTFORD, CT, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

POSITION: instructor NATURE: NRA pistol instructor INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 08/03/2001 ADDRESS: 45 East Maxwell Dr, West Hartford CT 06107 DESCRIPTION: provide pistol licensing course and live fire training

LINDQUIST INSURANCE ASSOCIATES
POSITION: sales NATURE: Lindquist Insurance Associates. They refer clients to me. If I sell insurance, it is a split with licensed representatives. If they are an asset based or planning client, no revenue shared or no finder fee INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 10/15/2011 ADDRESS: 11 Melrose Dr, Suite 100, Farmington CT 06032 DESCRIPTION: sell fixed term, whole, life, fixed annuities, health insurance, std, ltd, group life, group di

DAVID A SUTKAITIS
POSITION: sales NATURE: David Sutkaitis INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 05/01/2016 ADDRESS: 433 South Main St, Suite 210, West Hartford CT 06110 DESCRIPTION: sale of fixed and equity index products

Emmanuel Baptist Church; Head of security; non-investment related; Newington, CT; 20hrs/month outside of securities trading hours; 0 hours per month during securities trading hours; Start Date: August 2024.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2
Financial	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SAMMONS SECURITIES COMPANY, LLC
Allegations:	CLIENT ALLEGES THAT HE WAS MISINFORMED ON JANUARY 6, 2011 ABOUT THE TAXABLE IMPLICATIONS OF HIS IMMEDIATE ANNUITY.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM IS UNABLE TO DETERMINE THE AMOUNT OF DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/21/2012
Complaint Pending?	No
Status:	Settled
Status Date:	07/30/2012

Settlement Amount: $2,849.65

Individual Contribution Amount: $0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE FAILED TO PROVIDE APPROPRIATE FINANCIAL INFORMATION WHEN SHE PURCHASED A VARIABLE ANNUITY IN SEPTEMBER 2008.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/11/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2009
Settlement Amount:	
Individual Contribution Amount:	

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	01/31/2018
Organization Investment-Related?	
Type of Court:	Bankruptcy Court
Name of Court:	United States Bankruptcy Court
Location of Court:	Hartford, CT
Docket/Case #:	18-20154
Action Pending?	No
Disposition:	Discharged
Disposition Date:	05/09/2018

End of Report

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