



IAPD Report

PETER R WITTMAN

CRD# 4995877

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Please contact FINRA with any concerns.



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>



Report Summary

PETER R WITTMAN (CRD# 4995877)

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 **06/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	06/17/2014

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
B	VARIABLE INVESTMENT ADVISORS, INC.	44412	TEA, SD	04/10/2014 - 10/31/2014
IA	FINTEGRA FINANCIAL SOLUTIONS	16741	FRANKLIN, TN	06/14/2013 - 04/01/2014
B	FINTEGRA, LLC	16741	FRANKLIN, TN	07/09/2012 - 04/01/2014

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
Regulatory Event	1
Customer Dispute	2



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
MINNEAPOLIS, MN 55437
Firm ID#: 146616

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	06/17/2014

Branch Office Locations

REDHAWK WEALTH ADVISORS, INC.
330 MALLORY STATION ROAD
SUITE E-14
FRANKLIN, TN 37067



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/31/2014
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/2005

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/22/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/09/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/10/2014 - 10/31/2014	VARIABLE INVESTMENT ADVISORS, INC.	CRD# 44412	TEA, SD
IA	06/14/2013 - 04/01/2014	FINTEGRA FINANCIAL SOLUTIONS	CRD# 16741	FRANKLIN, TN
B	07/09/2012 - 04/01/2014	FINTEGRA, LLC	CRD# 16741	FRANKLIN, TN
IA	04/25/2007 - 11/02/2011	ESI FINANCIAL ADVISORS	CRD# 265	FRANKLIN, TN
B	11/29/2005 - 11/02/2011	EQUITY SERVICES, INC.	CRD# 265	FRANKLIN, TN

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
06/2014 - Present	REDHAWK WEALTH ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
08/2006 - Present	THE WITTMAN GROUP, INC	PRESIDENT	Y	FRANKLIN, TN, United States

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.

THE WITTMAN GROUP, INC., INVESTMENT RELATED 330 MALLORY STATION ROAD, SUITE E 14 FRANKLIN, TN 37067. INSURANCE SALES, PRESIDENT, 08/03/06 - PRESENT, 80 HRS/MO, DURING TRADING HRS, AGENT/BROKER FOR SEVERAL INSURANCE COMPANIES AND SELLING LIFE, DI, HEALTH, LTC, PROPERTY/ CASUALTY, ALTERNATIVE PRODUCTS AND LENDING THROUGH AAI.



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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Tennessee
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Restitution
Date Initiated:	01/24/2018
Docket/Case Number:	APD Case No.: 12.06-233389J; Matter No. 20-07607
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/finaladminorders/12.06-233389J%20Wittman%20Final%20Order.pdf

Employing firm when activity occurred which led to the regulatory action:

Product Type:	Other: Unregistered securities
Allegations:	On January 24, 2018, the Securities Division received a complaint filed by two Tennesseans stating that in August 2017, they invested \$225K with the Woodbridge Group of Companies. The alleged investments were marketed as first position mortgage investments where the investors would be the "lenders" and their investments secured by property purchased with investor funds. Investigation revealed that the Respondent sold five unregistered securities, totaling approximately \$270K. Respondent was not registered to sell the Woodbridge securities in Tennessee and was not exempt from registration.
Current Status:	Final
Resolution:	Agreed Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/09/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution Other: Respondent shall complete an additional twelve hours of continuing education to be taken between the execution of this Order to October 1, 2024.
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	\$11,400.00
Portion Levied against individual:	\$11,400.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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: REDHAWK WEALTH ADVISORS, INC.

Allegations: On January 24, 2018, The Securities Division received a complaint filed by two Tennesseans stating that in August 2017, they invested \$225,000 with Woodbridge Group of Companies, LLC. Woodbridge filed for bankruptcy in December 2017 and a suit was brought against Woodbridge, alleging that Woodbridge was operating a one billion-dollar Ponzi scheme. The alleged investments were marketed as first position mortgage investments, where the investors would be "lenders" and their investments would be secured by property purchased with investor funds. The investors were led to believe this was a mortgage-backed investment that was exempt from securities rules and regulations.

While the division did not receive a consumer complaint regarding Mr. Wittman, the investigation revealed that Mr. Wittman sold 5 unregistered securities, totaling approximately \$270,000. Mr. Wittman was not registered to sell the Woodbridge securities in the state of Tennessee and was not exempt from registration, though Mr. Wittman thought that the securities were exempt.

Product Type: Debt-Asset Backed
Real Estate Security

Alleged Damages: \$228,145.00

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: 02/21/2020

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 09/26/2023

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: COMMISSIONER OF COMMERCE AND INSURANCE FOR THE STATE OF TENNESSEE



Location of Court: TENNESSEE
Docket/Case #: 12.06-233389J
Date Notice/Process Served: 02/21/2020
Litigation Pending? No
Disposition: Other: PENALTY TO THE STATE OF TENNESSEE/MONETARY JUDGMENT TO CUSTOMER
Disposition Date: 09/26/2023
Monetary Compensation Amount: \$21,400.00
Individual Contribution Amount: \$21,400.00

Broker Statement
Mr. Wittman was acting upon a request from a client regarding Woodbridge Investments. Part of the due diligence process was contacting the State of TN securities division regarding Woodbridge. At the time (Sept of 2015), the department indicated that the investment was likely Private Placement and did not require registration.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Redhawk Wealth Advisors, Inc.
Allegations: The complaint alleges that Redhawk is liable for customers "purchasing unregistered Woodbridge securities" through applicant in 2016 and 2017.
Product Type: Real Estate Security
Alleged Damages: \$228,145.20
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: 02/21/2020
Complaint Pending? No
Status: Closed/No Action
Status Date: 03/27/2020
Settlement Amount:
Individual Contribution Amount:



End of Report

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