

FORM ADV**Uniform Application for Investment Adviser Registration****Part II - Page 1**

OMB APPROVAL	
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Name of Investment Adviser: RDK Strategies, LLC				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone number:
2406 Pot Spring Road	Timonium	MD	21093-2728	(410) 970-6111

This part of Form ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any governmental authority.

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(Schedules A B C D and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form
are not required to respond unless the form displays a currently valid OMB control number.

Applicant:
RDK Strategies, LLC

SEC File Number:
801- 67844

Date:
8/14/2007

1. **A. Advisory Services and Fees.** (check the applicable boxes) For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

Applicant:

- | | | |
|-------------------------------------|--|-------------|
| <input type="checkbox"/> | (1) Provides investment supervisory services | _____ % |
| <input type="checkbox"/> | (2) Manages investment advisory accounts not involving investment supervisory services | _____ % |
| <input checked="" type="checkbox"/> | (3) Furnishes investment advice through consultations not included in either service described above .. | <u>75</u> % |
| <input type="checkbox"/> | (4) Issues periodicals about securities by subscription | _____ % |
| <input type="checkbox"/> | (5) Issues special reports about securities not included in any service described above | _____ % |
| <input type="checkbox"/> | (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices
which clients may use to evaluate securities | _____ % |
| <input checked="" type="checkbox"/> | (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities ... | <u>25</u> % |
| <input type="checkbox"/> | (8) Provides a timing service | _____ % |
| <input type="checkbox"/> | (9) Furnishes advice about securities in any manner not described above | _____ % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

- B. Does applicant call any of the services it checked above financial planning or some similar term? _____ Yes ☐ No ☒

- C. Applicant offers investment advisory services for: (check all that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input checked="" type="checkbox"/> (2) Hourly charges | <input type="checkbox"/> (5) Commissions |
| <input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (6) Other |

- D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. **Types of clients** - Applicant generally provides investment advice to: (check those that apply)

- | | |
|---|--|
| <input type="checkbox"/> A. Individuals | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations |
| <input checked="" type="checkbox"/> B. Banks or thrift institutions | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input checked="" type="checkbox"/> C. Investment companies | <input checked="" type="checkbox"/> G. Other (describe on Schedule F) |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

3. Types of Investments. Applicant offers advice on the following: (check those that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | <input checked="" type="checkbox"/> I. Options contracts on: |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> (1) securities |
| <input checked="" type="checkbox"/> (3) foreign issuers | <input type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | <input type="checkbox"/> J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities | <input type="checkbox"/> (1) real estate |
| <input type="checkbox"/> G. Investment company securities: | <input type="checkbox"/> (2) oil and gas interests |
| <input type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (2) variable annuities | <input checked="" type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|---|
| (1) <input type="checkbox"/> Charting | (4) <input checked="" type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input checked="" type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input type="checkbox"/> Timing services |
| (2) <input checked="" type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (8) <input checked="" type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|--|---|
| (1) <input checked="" type="checkbox"/> Long term purchases
(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options,
uncovered options or spreading strategies |
| (3) <input type="checkbox"/> Trading (securities sold within 30 days) | (7) <input checked="" type="checkbox"/> Other (explain on Schedule F) |
| (4) <input type="checkbox"/> Short sales | |

5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? ----- Yes ☐ No ☒
(If yes, describe these standards on Schedule F.)

6. Education and Business Background.

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- year of birth
- formal education after high school
- business background for the preceding five years

7. Other Business Activities. (check those that apply)

- ☒ A. Applicant is actively engaged in a business other than giving investment advice.
- ☐ B. Applicant sells products or services other than investment advice to clients.
- ☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a-
- | | |
|--|--|
| <input type="checkbox"/> (1) broker-dealer | <input type="checkbox"/> (7) accounting firm |
| <input type="checkbox"/> (2) investment company | <input type="checkbox"/> (8) law firm |
| <input type="checkbox"/> (3) other investment adviser | <input type="checkbox"/> (9) insurance company or agency |
| <input type="checkbox"/> (4) financial planning firm | <input type="checkbox"/> (10) pension consultant |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer |
| <input type="checkbox"/> (6) banking or thrift institution | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? Yes ☐ No ☒

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

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9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

10. Conditions for Managing Accounts. Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services and impose a minimum dollar value of assets or other conditions for starting or maintaining an account?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

(If yes, describe on Schedule F)

11. Review of Accounts. If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Performance evaluation reports are typically offered on a quarterly basis to retainer clients. Some clients may choose to receive reports on a different basis. Significant events or client specific events may require special interim reports.

A senior professional of RDK will meet with each client on a regular basis as negotiated with each client to review our performance analysis report and, where required, assess the implementation of the client's investment policy. Generally, consultants are limited to no more than 25 relationships.

B. Describe below the nature and frequency of regular reports to clients on their accounts.

Most clients receive quarterly performance evaluation reports however the frequency may be negotiated differently at a client's request.

Applicant:
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12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- | | | |
|--|------------------------------|--|
| (1) securities to be bought or sold? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) amount of the securities to be bought or sold? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) broker or dealer to be used? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (4) commission rates paid? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? Yes ☒ No ☐

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. if the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|------------------------------|--|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet? Yes ☐ No ☒

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV****Continuation Sheet for Form ADV Part II**

Applicant:

RDK Strategies, LLC

SEC File Number:

801- 67844

Date:

8/14/2007

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Question 1 (A) (C) (D)	<p>RDK Strategies, LLC ("RDK") provides comprehensive investment management consulting services to sponsors of investment programs. In this capacity RDK does not act as a conventional money manager offering discretionary or advisory asset management. In its consulting role RDK offers assistance in the following general areas:</p> <ol style="list-style-type: none">1- The development of long-term strategic asset allocation policy;2- The development and maintenance of investment policies and guidelines;3- The selection and structure of investment managers/investment funds;4- The monitoring and evaluation of the sponsor portfolios.;5- Setting policies concerning certain administrative and program implementation functions, such as custody, brokerage, securities lending, compliance controls, etc.6- Customized client educational programs. <p>RDK also provides business and investment management consulting services to financial intermediaries sponsoring "Wrap Programs". RDK may provide such clients with business consulting, marketing and advisor training support and other core support services. Services may include, but is not limited to, advice regarding the economy and global capital markets, asset allocation methods, models and strategies as well as direct research, selection and ongoing due diligence on money managers, mutual funds and hedge fund investment products, investment advisor compliance, systems, operations and structure.</p>	
Question 2 (G)	<p>RDK customizes its services for each client. Thus fees may vary significantly from client to client. Our fees are determined by the services required, the complexity of the tasks involved, the time required, the amount of assets, and the nature of the relationship. Fees can be paid as a percentage of assets or a retainer cash fee which may include an hourly charge. Clients are generally billed quarterly, in advance although some clients may be billed monthly and/or in arrears. Generally, the minimum account size is \$25,000,000 and/or a minimum cash fee of \$25,000 per year. All fees are negotiable. Following the first week after the signing of our contract, clients may terminate the contract with between 30 and 90 days written notice and receive a refund of fees for services not yet rendered. The length of time required for notification of termination is negotiated and can vary from client to client. RDK generally provides investment consulting services to Corporate Retirement Plans (DB&DC), Corporate Operating Assets, Hospitals, Endowments and Foundations, Financial Intermediaries (including Investment Companies), Taft-Hartley Plans, Religious Organizations and Church Plans as well as to High Net Worth Families. RDK provides specialized reporting & consulting services to certain investment advisory firms and financial institutions. These investment advisors (and their affiliates) are excluded from referral to other clients without the client's approval.</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV****Continuation Sheet for Form ADV Part II**

Applicant:

RDK Strategies, LLC

SEC File Number:

801- 67844

Date:

8/14/2007

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Question 3 (L) Question 4 (A) (B) (C)	<p>RDK is solely an investment consultant and does not, in its normal course of business, advise on specific securities. Clients typically utilize investment advisors to manage their portfolios which may be invested across a broad array of asset classes. Some clients may choose to implement certain investment programs with selected investment organizations utilizing vehicles regulated as securities, such as investment company securities or limited partnership interests.</p> <p>Proprietary and non-proprietary database materials are used to perform quantitative analysis of investment management organizations. RDK relies heavily upon its experience and expertise to perform qualitative evaluations of the people, process and investment products of these firms. The investment strategies implemented by our clients will vary considerably depending upon their specific needs and requirements. RDK spends a considerable amount of time working with clients to insure that the appropriate investment organizations and strategies, in the most efficient mixes, are utilized by our clients.</p>	
Question 5	<p>RDK seeks college educated, highly experienced professionals who are experts in our business, preferably with advanced degrees or professional designations (e.g. MBA, CFA and CIMA). A minimum of 10 years of experience is normally required.</p>	
Question 6	<p>William Gale McVay, CIMA, CFP®, CIMC, ChFC Born: May 11, 1954</p> <p>Education: Southeast Missouri State University, BME 1976</p> <p>Mr. McVay has more than 25 years experience in investment management consulting and the financial services industry. He earned his Certified Investment Management Analyst designation in 1993, the Certified Financial Planner designation in 1984, the Certified Investment Management Consultant designation in 1993 and the Chartered Financial Consultant designation in 1983. He is a member, past-Treasurer and past Vice-President of the Investment Management Consultants Association and a member of the Southern Pension Conference. He has also served on the IMCA Industry Advisory Council and on the Consultants Performance Presentation Standards Task Force.</p>	

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**Schedule F of
Form ADV****Continuation Sheet for Form ADV Part II**

Applicant:

RDK Strategies, LLC

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801- 67844

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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Question 6 (cont'd)	<p>Prior to founding RDK, Mr. McVay was a self employed industry consultant from 2005 thru 2006. Mr. McVay was Vice-President and a partner of financial software developer Zephyr Associates, the leading provider of style based investment analytics from 2001-2005.</p> <p>Mr. McVay was previously Executive Vice-President of Financeware, Inc. in 200 and, prior to that, was First Vice-President of Legg Mason Wood Walker where he was Co-Director of Investment Management Services and the Director of the Investment Consulting Group from 1988-2000. In his tenure at Legg Mason, Bill developed and managed all retail and institutional consulting services, investment management research, client service programs, built and managed fee based investment programs, investment advisory compliance systems, investment analytics, consulted with institutional clients and directed and oversaw the consulting activities of Legg Mason Financial Consultants. Bill also oversaw the managed futures and alternative strategies activities of Legg Mason Wood Walker, provided internal acquisition due diligence on investment advisory firms and was the President of LM Falcon Investment Strategies, Inc., a Legg Mason subsidiary specializing in developing alternative investment products and hedge funds.</p> <p>Prior to Legg Mason, Mr. McVay was the Director of the Asset Management Consulting Group at Shearson Lehman Brothers from 1987-1988.</p> <p>Petra K. Mulvey, CIMA Born: June 7, 1950 Education: Washington State University, BA-Political Science, 1973 Northeastern University, MBA, 1978</p> <p>Ms. Mulvey joined RDK in 2007 with 22 years of investment experience. She earned her Certified Investment Management Analyst (CIMA) designation in 1997 sponsored by the Investment Management Consultant Association. Ms. Mulvey has extensive experience evaluating investment management firms and has developed proprietary quantitative and qualitative manager evaluation methodologies, consulted to middle market pension and endowment fund clients, provided internal acquisition due diligence on investment advisory firms and developed performance measurement reports and enhancements to portfolio analysis software.</p> <p>Previously Ms. Mulvey was a Senior Manager at KPMG from 2000 to 2006 where she directed the investment management research and due diligence services offered by KPMG Investment Advisors to financial institutions for their separately managed account and mutual fund advisory platforms.</p> <p>Prior to joining KPMG, Ms. Mulvey headed manager research and due diligence for the investment consulting group of Legg Mason from 1994-2000.</p> <p>Previously, Ms. Mulvey was employed by Cambridge Associates (1984-1993) directing analysts in performance measurement-related and portfolio analytical research and projects.</p>	

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RDK Strategies, LLC

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Date:

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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Question 7	RDK advises clients on investment policy, manager search and structure and asset allocation issues. See answer to Question 1. Investment consultation and investment business consulting constitute 100% of our time and services.	
Question 9	<p>RDK does not assume discretionary authority over client assets. Employees of RDK are not expected to provide any specific securities recommendations to its clients. All recommendations to purchase or sell securities are made by non-affiliated investment management firms. Thus, RDK does not participate directly or indirectly in any transaction. However, RDK and its employees may recommend investment managers, mutual funds and hedge funds which RDK or its employees own or will purchase.</p> <p>RDK's Code of Ethics ("Code") was adopted in compliance with the requirements of the Investment Advisers Act. High ethical standards are essential for the success of RDK and to maintain the confidence of clients. RDK's long-term business interests are best served by adherence to the principle that the interests of clients come first. We have a fiduciary duty to clients to act solely for the benefit of our clients. All personnel of RDK, including directors, officers and employees must put the interests of the firm's clients before their own personal interests and must act honestly and fairly in all respects in dealings with clients. All personnel must also comply with all federal securities laws. In recognition of RDK's fiduciary duty to its clients and its desire to maintain its high ethical standards, the firm has adopted this Code of Ethics containing provisions designed to prevent improper personal trading, identify conflicts of interest, control outside activities, details employee reporting requirements and provide a means to resolve any actual or potential conflicts in favor of RDK's clients.</p> <p>In summary, our Code of Ethics is based upon the following 6 principles:</p> <ol style="list-style-type: none">1. Make all decisions on behalf of, and recommendations to, our client solely in their interest.2. Disclose fully to clients the compensation received, services provided, and any and all financial relationships, direct or indirect, between the consultant and any plan official, beneficiary, sponsor, investment manager or other service provider.3. Maintain the confidentiality of all information entrusted to the consultant by the client to the fullest extent permitted by law.4. Comply fully with all statutory and regulatory requirements affecting the delivery of consulting services to clients.5. Endeavor to establish and maintain a standard of excellence in all aspects of investment management consulting.6. Maintain the highest standard of personal conduct.	

Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

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RDK Strategies, LLC	801- 67844	8/14/2007

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Question 9 (cont'd)	Adherence to the Code of Ethics and the related restrictions on personal investing is considered a basic condition of employment by RDK. The firm has appointed a Compliance Officer, who is charged with the administration of this Code of Ethics.	
	A complete copy of RDK's Code of Ethics is available to prospects and clients upon request.	
Question 12	RDK is occasionally called upon to assist clients with advice concerning their brokerage firm selections and commission payment levels. Selections are based simply upon the firm's abilities to provide the best net execution costs with the highest degree of integrity and service.	

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**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:

RDK Strategies, LLC

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Date:

8/14/2007

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: RDK Strategies, LLC		IRS Empl. Ident. No.: 20-8583595
Item of Form (identify)	Answer	
Privacy Policy	<p>Privacy Policy</p> <p>The effective date of this Privacy Policy is April 1, 2007 and any changes to the policy will be reflected on the RDK Web site and in the Annual Disclosure Notice sent to clients. It is the policy of RDK Strategies, LLC ("RDK") to protect the privacy of our clients who share personal and financial information with us in the course of receiving financial services from RDK. We treat your information as confidential and recognize the importance of protecting access to it.</p> <p>RDK protects your privacy and treats as confidential any personal or financial information we receive in the course of providing our financial services to you. We are providing you with our Privacy Policy in accordance with Title V of the Gramm-Leach-Bliley Act and its implementing regulations.</p> <p>Categories of Information We Collect</p> <p>RDK collects and maintains information about our clients so that we can evaluate their financial needs and provide a broad range of financial services. You may provide information to RDK when communicating with us in writing, electronically, or by phone.</p> <p>For instance, we may collect the following personal information about you:</p> <p>Information we receive from you on client account applications, agreements or other forms, such as your name, address, e-mail address, phone number, Tax ID number and assets</p> <p>Information about your client transactions such as your account balances, positions and history</p> <p>Depending on the services you require, information may also come from consumer reporting agencies and those providing services to us.</p> <p>Protecting Your Privacy</p> <p>We do not disclose any nonpublic information about our clients or former clients to anyone, except as requested or authorized by our clients, as necessary to process a transaction or service an account, as requested by regulatory authorities, or as otherwise permitted by law.</p> <p>We may disclose information about you or your account with companies that perform administrative or marketing services for RDK, with investment advisors, with a research firm we have hired, or with a business (such as a bank, insurance company, or other financial institution) with whom you may have an existing relationship. When we enter into such a relationship, our contracts restrict the companies' use of client information, requiring them to maintain the confidentiality of such information.</p> <p>We also restrict access to nonpublic personal information about you to those RDK employees who need to know that information to provide investment products or services to you. We maintain physical, electronic, and procedural safeguards to protect your nonpublic personal information.</p> <p>We endeavor to keep our client information complete and accurate, and encourage you to notify us if any of your information should be updated. Should you need to update your records, or have any questions regarding RDK's Privacy Policy, please contact RDK.</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1).