



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Foreign Business Corporation
Annual Report**

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2010

1. Corporate ID No. 000144000

2. Name of Corporation SagePoint Financial, Inc.

3. Street Address Principal Business Office:

No. and Street: 2800 NORTH CENTRAL AVENUE
SUITE 2100

City or Town: PHOENIX State: AZ Zip: 85004 Country: USA

4. Business Phone No.

8005523319

5. State of Incorporation

State: DE

6. Brief Description of the Character of Business Conducted in Rhode Island

BROKER-DEALER AND REGISTERED INVESTMENT ADVISOR

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

| Title | Individual Name First, Middle, Last, Suffix | Address Address, City or Town, State, Zip Code, Country |
|--|--|--|
| EXEC. VICE PRES/CFO/TREASURER | STEVEN E. ROTHSTEIN | 2300 WINDY RIDGE DR., SUITE 1100 ATLANTA, GA 30339 USA |
| SENIOR VICE PRES/CHIEF LEGAL OFFICER/SECRETARY | NOAH SORKIN | ONE WORLD FINANCIAL CENTER, 200 LIBERTY ST., 15TH FL NEW YORK, NY 10281 USA |
| CEO/PRES | JEFFREY M. AULD | 2800 NORTH CENTRAL AVE, SUITE 2100 PHOENIX, AZ 85004 USA |
| DIRECTOR | STEVEN E. ROTHSTEIN | 2300 WINDY RIDGE DR., SUITE 1100 ATLANTA, GA 30339 USA |
| DIRECTOR | JEROME J. MURPHY | 2300 WINDY RIDGE DR., SUITE 1100 ATLANTA, GA 30339 USA |
| DIRECTOR | JEFFREY M. AULD | 2800 NORTH CENTRAL AVE, SUITE 2100 PHOENIX, AZ 85004 USA |
| DIRECTOR | NOAH SORKIN | ONE WORLD FINANCIAL CENTER, 200 LIBERTY ST., 15TH FL NEW YORK, NY 10281 USA |
| DIRECTOR | R LAWRENCE ROTH | ONE WORLD FINANCIAL CENTER, 200 LIBERTY ST., 15TH FL NEW YORK, NY 10281 USA |

8. Shares Authorized and Issued

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized Shares <i>Number of Shares</i> | Total Issued and Outstanding <i>Num of Shares</i> |
|----------------|-----------------|---------------------|--|--|
| CWP | | \$250.00 | 1,000.00 | 1000 |

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 1 Day of March, 2010 at 7:55:03 AM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By NOAH SORKIN
Signature of Authorized Representative of the Corporation

SENIOR VICE PRES/CHIEF LEGAL OFFICER/SECRETARY
Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

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