



**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:** 2013

**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.**

**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
PRESIDENT	JEFFREY M. AULD	2800 NORTH CENTRAL AVE., SUITE 2100 PHOENIX, AZ 85004 USA
TREASURER	I SIMMONE FIELDS	2800 NORTH CENTRAL AVE, SUITE 2100 NEW YORK, NY 10281 USA
SENIOR VICE PRES/CHIEF LEGAL OFFICER/SECRETARY	NOAH SORKIN	ONE WORLD FINANCIAL CENTER, 200 LIBERTY ST., 15TH FL NEW YORK, NY 10281 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		\$250.0000	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 13 Day of February, 2013 at 8:55:52 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

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.**

Form No. 630  
Revised 09/07

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