RALPH MOIL		d and Providence Plantations e Secretary of State	Fee: \$50.00
Secretary of State	148 Provider	Of Business Services W. River Street nee RI 02904-2615 01) 222-3040	
Foreign Business C	orporation		
Annual Report Filing Period: January 1 -			
	(30) days after the time pre	poration failing or refusing to file its escribed by law (R.I.G.L. 7-1.2-1501	
ANNUAL REPORT YEAR	R : <u>2013</u>		
1. Corporate ID No.	000144000		
2. Name of Corporatio	n SagePoint Financial, In	<u>c.</u>	
3. Street Address Princ	ipal Business Office:		
	NORTH CENTRAL AV	ENUE	
City or Town: <u>PHOE</u>	<u>E 2100</u> ENIX	State: <u>AZ</u> Zip: <u>85004</u> C	ountry: <u>USA</u>
4. Business Phone No.			
5. State of Incorporation	'n		
State: <u>DE</u>			
6. Brief Description of t	he Character of Busines	s Conducted in Rhode Island	
BROKER-DEALER A	ND REGISTERED INV	ESTMENT ADVISOR	
7. Names and Addresse	es of the Officers and Dire	ectors:	
All officers and direc	tors must be listed.		
Title	Individual Name	Address	
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code,	Country
PRESIDENT	JEFFREY M. AULD	2800 NORTH CENTRAL AVE., SUI PHOENIX, AZ 85004 USA	TE 2100
TREASURER	I SIMMONE FIELDS	2800 NORTH CENTRAL AVE, SUI NEW YORK, NY 10281 USA	TE 2100
SENIOR VICE PRES/CHIEF LEGAL OFFICER/SECRETARY	NOAH SORKIN	ONE WORLD FINANCIAL CENTER, 200 LIBE NEW YORK, NY 10281 USA	RTY ST., 15TH FL

DIRECTOR

JEROME J. MURPHY

2300 WINDY RIDGE DR., SUITE 1100 ATLANTA, GA 30339 USA

	JEFFREY M. AULD	2800 NORTH CENTRAL AVE, SUITE 2100 PHOENIX, AZ 85004 USA		
DIRECTOR	NOAH SORKIN		NLD 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		
3. Shares Authorized a	and Issued			
Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares Number of Shares	Total Issued and Outstanding Num of Shares
CWP		\$250.0000	1,000.00	1000
or individuals signing ignatory, under pend act and deed of the co	receiver or trustee. f February, 2013 at 8:55 g this instrument constitut ulties of perjury, that this to prporation, and that the fo	52 AM. This electronic es the affirmation or ac instrument is that indiv acts stated herein are t	c signature of the cknowledgement idual's act and d	e individual of the eed or the
corporation by the Signed this 13 Day o for individuals signing signatory, under pend act and deed of the co electronic filing, in co	f February, 2013 at 8:55 <i>g this instrument constitut</i> <i>alties of perjury, that this i</i> <i>orporation, and that the fa</i> <i>ompliance with R.I. Gen. L</i>	52 AM. This electronic es the affirmation or ac instrument is that indiv acts stated herein are to aws § 7-1.2.	c signature of the cknowledgement idual's act and d	e individual of the eed or the
corporation by the Signed this 13 Day o for individuals signing signatory, under pend act and deed of the co electronic filing, in co	f February, 2013 at 8:55 <i>g this instrument constitut</i> <i>alties of perjury, that this to</i> <i>prporation, and that the fo</i> <i>ompliance with R.I. Gen. L</i>	52 AM. This electronic es the affirmation or ac instrument is that indiv acts stated herein are to aws § 7-1.2.	c signature of the cknowledgement idual's act and d	e individual of the eed or the
Signed this 13 Day o for individuals signing signatory, under pend act and deed of the co electronic filing, in co By <u>NOAH SORKIN</u> Signature of Autho <u>SECRETARY</u> Title	f February, 2013 at 8:55 <i>g this instrument constitut</i> <i>alties of perjury, that this i</i> <i>corporation, and that the fa</i> <i>compliance with R.I. Gen. L</i> <i>g</i> rized Representative of the	52 AM. This electronic es the affirmation or ac instrument is that indiv acts stated herein are to aws § 7-1.2. Corporation	c signature of the cknowledgement idual's act and d rue, as of the dat	e individual of the eed or the ee of the
Signed this 13 Day o <i>for individuals signing</i> <i>signatory, under pend</i> <i>act and deed of the co</i> <i>electronic filing, in co</i> By <u>NOAH SORKIN</u> Signature of Autho <u>SECRETARY</u> Title This report canno	f February, 2013 at 8:55 <i>g this instrument constitut</i> <i>alties of perjury, that this i</i> <i>corporation, and that the fa</i> <i>compliance with R.I. Gen. L</i> <i>g</i> rized Representative of the	52 AM. This electronic es the affirmation or ac instrument is that indiv acts stated herein are to aws § 7-1.2. Corporation	c signature of the cknowledgement idual's act and d rue, as of the dat	e individual of the eed or the ee of the