



**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: 2018

1. Corporate ID No. 000144000

2. Name of Corporation SagePoint Financial, Inc.

3. Street Address Principal Business Office:

No. and Street: 20 E THOMAS RD
SUITE 2000

City or Town: PHOENIX State: AZ Zip: 85012 Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523930

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

BROKER-DEALER AND REGISTERED INVESTMENT ADVISER.

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
TREASURER	DAVID SCHMIDT	2800 N CENTRAL AVE, SUITE 2100 PHOENIX, AZ 85004 USA

SECRETARY	NINA MCKENNA	20 E THOMAS RD, SUITE 2000 PHOENIX, AZ 85012 USA
PRESIDENT / DIRECTOR	JEFFREY M. AULD	20 E THOMAS RD, SUITE 2000 PHOENIX, AZ 85012 USA
DIRECTOR	MATTHEW SCHLUETER	2300 WINDY RIDGE PARKWAY, SUITE 1100 ATLANTA, GA 30339 USA
DIRECTOR	JAMIE PRICE	10 EXCHANGE PLACE, SUITE 1410 JERSEY CITY, NJ 07302 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 23 Day of February, 2018 at 3:20:24 PM. 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 NINA MCKENNA
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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