

1.) CORPORATION NAME:

SAGEPOINT FINANCIAL, INC.

DUE DATE: **11/30/2010**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: **B.E.**

AUTH IN VI

CORPORATION SERVICE COMPANY

11 S 12TH ST

PO BOX 1463

SCC ID NO: **F1608704**

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	1,000

RICHMOND, VA 23218

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

RICHMOND CITY

4.) STATE OR COUNTRY OF INCORPORATION:

DE

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 2800 NORTH CENTRAL AVE
SUITE 2100

CITY/ST/ZIP: PHOENIX, AZ 85004-

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: NOAH SORKIN
TITLE: SR VP/SEC
ADDRESS: ONE WORLD FINANCIAL CENTER 15TH FL
CITY/ST/ZIP/CO: NEW YORK, NY 10281-

OFFICER

DIRECTOR

NAME: R LAWRENCE ROTH
TITLE: DIRECTOR
ADDRESS: ONE WORLD FINANCIAL CTR 15TH FL
CITY/ST/ZIP/CO: NEW YORK, NY 10281-

OFFICER

DIRECTOR

NAME: STEVEN E ROTHSTEIN
TITLE: EX VP/CFO/TREAS
ADDRESS: 2300 WINDY RIDGE DR STE 1100
CITY/ST/ZIP/CO: ATLANTA, GA 30339-

OFFICER

DIRECTOR

NAME: JEROME J MURPHY
TITLE: DIRECTOR
ADDRESS: 2300 WINDY RIDGE DR, STE 1100
CITY/ST/ZIP/CO: ATLANTA, GA 30339-

OFFICER

DIRECTOR

NAME: JEFFREY M AULD
TITLE: PRES/CEO
ADDRESS: 2800 NORTH CENTRAL AVE
STE 2100
CITY/ST/ZIP/CO: PHOENIX, AZ 85004-

OFFICER

DIRECTOR

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ NOAH SORKIN	NOAH SORKIN, SR VP/SEC	10/13/2010
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.