

**Note: Broker-dealers are required to disclose any material arrangements with the venues listed in each section below, including, but not limited to, any internalization or payment for order flow arrangements.**

**FXA  
SAGEPOINT FINANCIAL, INC.  
20 E. THOMAS ROAD  
SUITE 2000  
PHOENIX, AZ 85012**

**SEC Rule 606 Quarterly Report for the Quarter Ending December 31, 2017**

**Securities Listed on New York Stock Exchange**

**Summary Statistics:**

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.00% |
| Market orders as percentage of total market orders         | 95.08%  |
| Limit orders as percentage of total limit orders           | 4.56%   |
| Other orders as percentage of total other orders           | 0.36%   |

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

|                                      |        |
|--------------------------------------|--------|
| 1. Citadel Securities LLC            | 40.94% |
| 2. VIRTU Americas LLC                | 38.02% |
| 3. Two Sigma Securities, LLC         | 7.56%  |
| 4. G1 Execution Services, LLC        | 4.64%  |
| 5. BATS BYX Exchange                 | 3.21%  |
| 6. BNY Mellon Capital Markets LLC    | 1.50%  |
| 7. New York Stock Exchange           | 1.07%  |
| 8. Instinet LLC                      | 1.00%  |
| 9. UBS Securities, LLC               | 0.86%  |
| 10. Cboe EDGX U.S. Equities Exchange | 0.64%  |

**Information Concerning Significant Venues :**

1. Citadel Securities LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 41.71% |
| Limit orders as percentage of total limit orders   | 23.44% |
| Other orders as percentage of total other orders   | 60.00% |

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 39.31% |
| Limit orders as percentage of total limit orders   | 14.06% |
| Other orders as percentage of total other orders   | 0.00%  |

|     |  |  |        |
|-----|--|--|--------|
| 3.  | Two Sigma Securities, LLC                          |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 7.73%  |
|     | Limit orders as percentage of total limit orders   |  | 4.69%  |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 4.  | G1 Execution Services, LLC                         |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 4.65%  |
|     | Limit orders as percentage of total limit orders   |  | 4.69%  |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 5.  | BATS BYX Exchange                                  |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 3.38%  |
|     | Limit orders as percentage of total limit orders   |  | 0.00%  |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 6.  | BNY Mellon Capital Markets LLC                     |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 1.50%  |
|     | Limit orders as percentage of total limit orders   |  | 1.56%  |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 7.  | New York Stock Exchange                            |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 0.00%  |
|     | Limit orders as percentage of total limit orders   |  | 23.44% |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 8.  | Instinet LLC                                       |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 0.98%  |
|     | Limit orders as percentage of total limit orders   |  | 1.56%  |
|     | Other orders as percentage of total other orders   |  | 0.00%  |
| 9.  | UBS Securities, LLC                                |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 0.75%  |
|     | Limit orders as percentage of total limit orders   |  | 1.56%  |
|     | Other orders as percentage of total other orders   |  | 20.00% |
| 10. | Cboe EDGX U.S. Equities Exchange                   |  |        |
|     | Types of Orders Routed to Venue :                  |  |        |
|     | Market orders as percentage of total market orders |  | 0.00%  |
|     | Limit orders as percentage of total limit orders   |  | 14.06% |
|     | Other orders as percentage of total other orders   |  | 0.00%  |

## Securities Listed on The Nasdaq Stock Market

### Summary Statistics:

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.00% |
| Market orders as percentage of total market orders         | 92.44%  |
| Limit orders as percentage of total limit orders           | 6.67%   |
| Other orders as percentage of total other orders           | 0.89%   |

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

|                                     |        |
|-------------------------------------|--------|
| 1. Citadel Securities LLC           | 40.93% |
| 2. VIRTU Americas LLC               | 38.49% |
| 3. Two Sigma Securities, LLC        | 8.34%  |
| 4. BATS BYX Exchange                | 2.67%  |
| 5. G1 Execution Services, LLC       | 2.56%  |
| 6. BNY Mellon Capital Markets LLC   | 2.11%  |
| 7. Instinet LLC                     | 1.67%  |
| 8. Cboe EDGX U.S. Equities Exchange | 1.11%  |
| 9. NASDAQ Execution Services, LLC   | 0.78%  |
| 10. Sagepoint Financial, Inc.       | 0.44%  |

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 43.08% |
| Limit orders as percentage of total limit orders   | 15.00% |
| Other orders as percentage of total other orders   | 12.50% |

#### 2. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 38.51% |
| Limit orders as percentage of total limit orders   | 38.33% |
| Other orders as percentage of total other orders   | 37.50% |

#### 3. Two Sigma Securities, LLC

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 8.30%  |
| Limit orders as percentage of total limit orders   | 10.00% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. BATS BYX Exchange

##### Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.89% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

5. G1 Execution Services, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.53% |
| Limit orders as percentage of total limit orders   | 3.33% |
| Other orders as percentage of total other orders   | 0.00% |

6. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.29% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

7. Instinet LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 1.81% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

8. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 16.67% |
| Other orders as percentage of total other orders   | 0.00%  |

9. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 11.67% |
| Other orders as percentage of total other orders   | 0.00%  |

10. Sagepoint Financial, Inc.

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.48% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

## Securities Listed on NYSE MKT or Regional Exchanges

### Summary Statistics:

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.00% |
| Market orders as percentage of total market orders         | 91.65%  |
| Limit orders as percentage of total limit orders           | 6.61%   |
| Other orders as percentage of total other orders           | 1.74%   |

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

|                                     |        |
|-------------------------------------|--------|
| 1. Citadel Securities LLC           | 43.08% |
| 2. VIRTU Americas LLC               | 35.42% |
| 3. Two Sigma Securities, LLC        | 7.86%  |
| 4. G1 Execution Services, LLC       | 3.55%  |
| 5. BATS BYX Exchange                | 3.13%  |
| 6. Instinet LLC                     | 2.78%  |
| 7. BNY Mellon Capital Markets LLC   | 1.18%  |
| 8. Cboe EDGX U.S. Equities Exchange | 0.90%  |
| 9. Sagepoint Financial, Inc.        | 0.70%  |
| 10. NASDAQ Execution Services, LLC  | 0.42%  |

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

##### Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 42.14%  |
| Limit orders as percentage of total limit orders   | 41.05%  |
| Other orders as percentage of total other orders   | 100.00% |

#### 2. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 37.74% |
| Limit orders as percentage of total limit orders   | 12.63% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. Two Sigma Securities, LLC

##### Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 8.05% |
| Limit orders as percentage of total limit orders   | 7.37% |
| Other orders as percentage of total other orders   | 0.00% |

#### 4. G1 Execution Services, LLC

##### Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 3.64% |
| Limit orders as percentage of total limit orders   | 3.16% |
| Other orders as percentage of total other orders   | 0.00% |

5. BATS BYX Exchange

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 3.26% |
| Limit orders as percentage of total limit orders   | 2.11% |
| Other orders as percentage of total other orders   | 0.00% |

6. Instinet LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.66% |
| Limit orders as percentage of total limit orders   | 5.26% |
| Other orders as percentage of total other orders   | 0.00% |

7. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 1.29% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

8. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 13.68% |
| Other orders as percentage of total other orders   | 0.00%  |

9. Sagepoint Financial, Inc.

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.76% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

10. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.00% |
| Limit orders as percentage of total limit orders   | 6.32% |
| Other orders as percentage of total other orders   | 0.00% |

## Exchange - Listed Options

### Summary Statistics:

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.00% |
| Market orders as percentage of total market orders         | 4.35%   |
| Limit orders as percentage of total limit orders           | 95.65%  |
| Other orders as percentage of total other orders           | 0.00%   |

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

|                                    |        |
|------------------------------------|--------|
| 1. NASDAQ Options Market           | 21.74% |
| 2. NYSE Arca Options               | 17.39% |
| 3. ISE Gemini Options Exchange     | 17.39% |
| 4. The MIAX Options Exchange       | 17.39% |
| 5. Cboe BZX Options Exchange, Inc. | 13.04% |
| 6. BOX Option Exchange             | 4.35%  |
| 7. Cboe Options Exchange           | 4.35%  |
| 8. NASDAQ PHLX Options             | 4.35%  |

### Information Concerning Significant Venues :

#### 1. NASDAQ Options Market

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 22.73% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 2. NYSE Arca Options

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 18.18% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. ISE Gemini Options Exchange

##### Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 18.18% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. The MIAX Options Exchange

##### Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 100.00% |
| Limit orders as percentage of total limit orders   | 13.64%  |
| Other orders as percentage of total other orders   | 0.00%   |

5. Cboe BZX Options Exchange, Inc.

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.00%  |
| Limit orders as percentage of total limit orders   | 13.64% |
| Other orders as percentage of total other orders   | 0.00%  |

6. BOX Option Exchange

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.00% |
| Limit orders as percentage of total limit orders   | 4.55% |
| Other orders as percentage of total other orders   | 0.00% |

7. Cboe Options Exchange

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.00% |
| Limit orders as percentage of total limit orders   | 4.55% |
| Other orders as percentage of total other orders   | 0.00% |

8. NASDAQ PHLX Options

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.00% |
| Limit orders as percentage of total limit orders   | 4.55% |
| Other orders as percentage of total other orders   | 0.00% |