**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 ROADSUITE 2000PHOENIX, AZ 85012SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2018**

**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 93.87%  
 Limit orders as percentage of total limit orders 5.66%  
 Other orders as percentage of total other orders 0.47%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

|  |
| --- |
|  |
| 1. Citadel Securities LLC | 45.18% |
| 2. VIRTU Americas LLC | 32.32% |
| 3. G1 Execution Services, LLC | 13.33% |
| 4. Two Sigma Securities, LLC | 4.24% |
| 5. Cboe BYX U.S. Equities Exchange | 2.27% |
| 6. New York Stock Exchange | 1.07% |
| 7. UBS Securities, LLC | 0.56% |
| 8. Cboe EDGX U.S. Equities Exchange | 0.51% |
| 9. NASDAQ Execution Services, LLC | 0.43% |
| 10. Cboe BZX U.S. Equities Exchange | 0.09% |

Information Concerning Significant Venues :  
 1. Citadel Securities LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 45.84% Limit orders as percentage of total limit orders 31.82% Other orders as percentage of total other orders 72.73%

2. VIRTU Americas LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 32.97% Limit orders as percentage of total limit orders 21.97% Other orders as percentage of total other orders 27.27%

3. G1 Execution Services, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 13.84% Limit orders as percentage of total limit orders 6.06% Other orders as percentage of total other orders 0.00%

4. Two Sigma Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 4.29% Limit orders as percentage of total limit orders 3.79% Other orders as percentage of total other orders 0.00%

5. Cboe BYX U.S. Equities Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 2.42% Limit orders as percentage of total limit orders 0.00% Other orders as percentage of total other orders 0.00%

6. New York Stock Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 0.05% Limit orders as percentage of total limit orders 18.18% Other orders as percentage of total other orders 0.00%

7. UBS Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 0.59% 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 9.09% 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 7.58% Other orders as percentage of total other orders 0.00%

10. Cboe BZX 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 1.52% 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 91.90%  
 Limit orders as percentage of total limit orders 7.03%  
 Other orders as percentage of total other orders 1.07%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

|  |
| --- |
|  |
| 1. Citadel Securities LLC | 46.49% |
| 2. VIRTU Americas LLC | 32.48% |
| 3. G1 Execution Services, LLC | 12.33% |
| 4. Two Sigma Securities, LLC | 4.23% |
| 5. Cboe BYX U.S. Equities Exchange | 2.61% |
| 6. NASDAQ Execution Services, LLC | 0.84% |
| 7. UBS Securities, LLC | 0.47% |
| 8. Cboe EDGX U.S. Equities Exchange | 0.37% |
| 9. Sagepoint Financial, Inc. | 0.09% |
| 10. Cboe BZX U.S. Equities Exchange | 0.09% |

Information Concerning Significant Venues :  
 1. Citadel Securities LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 46.48% Limit orders as percentage of total limit orders 41.06% Other orders as percentage of total other orders 82.61%

2. VIRTU Americas LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 33.37% Limit orders as percentage of total limit orders 23.84% Other orders as percentage of total other orders 13.04%

3. G1 Execution Services, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 12.51% Limit orders as percentage of total limit orders 11.26% Other orders as percentage of total other orders 4.35%

4. Two Sigma Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 4.35% Limit orders as percentage of total limit orders 3.31% Other orders as percentage of total other orders 0.00%

5. Cboe BYX U.S. Equities Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 2.84% Limit orders as percentage of total limit orders 0.00% Other orders as percentage of total other orders 0.00%

6. 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 11.92% Other orders as percentage of total other orders 0.00%

7. UBS Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 0.35% Limit orders as percentage of total limit orders 1.99% 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 5.30% 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 0.10% Limit orders as percentage of total limit orders 0.00% Other orders as percentage of total other orders 0.00%

10. Cboe BZX 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 1.32% Other orders as percentage of total other orders 0.00%

**Securities Listed on NYSE American or Regional Exchanges**

**Summary Statistics:**

Non-directed orders as percentage of total customer orders 100.00%  
 Market orders as percentage of total market orders 97.84%  
 Limit orders as percentage of total limit orders 2.08%  
 Other orders as percentage of total other orders 0.07%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

|  |
| --- |
|  |
| 1. Citadel Securities LLC | 43.26% |
| 2. VIRTU Americas LLC | 32.34% |
| 3. G1 Execution Services, LLC | 12.50% |
| 4. Cboe BYX U.S. Equities Exchange | 5.82% |
| 5. Two Sigma Securities, LLC | 4.31% |
| 6. UBS Securities, LLC | 0.86% |
| 7. Sagepoint Financial, Inc. | 0.47% |
| 8. Cboe EDGX U.S. Equities Exchange | 0.18% |
| 9. NASDAQ Execution Services, LLC | 0.18% |
| 10. Instinet LLC | 0.07% |

Information Concerning Significant Venues :  
 1. Citadel Securities LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 43.59% Limit orders as percentage of total limit orders 27.59% Other orders as percentage of total other orders 50.00%

2. VIRTU Americas LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 32.46% Limit orders as percentage of total limit orders 27.59% Other orders as percentage of total other orders 0.00%

3. G1 Execution Services, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 12.56% Limit orders as percentage of total limit orders 10.34% Other orders as percentage of total other orders 0.00%

4. Cboe BYX U.S. Equities Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 5.80% Limit orders as percentage of total limit orders 6.90% Other orders as percentage of total other orders 0.00%

5. Two Sigma Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 4.30% Limit orders as percentage of total limit orders 5.17% Other orders as percentage of total other orders 0.00%

6. UBS Securities, LLC  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 0.81% Limit orders as percentage of total limit orders 1.72% Other orders as percentage of total other orders 50.00%

7. 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%

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 8.62% 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 8.62% Other orders as percentage of total other orders 0.00%

10. Instinet 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 3.45% 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 17.95%  
 Limit orders as percentage of total limit orders 80.77%  
 Other orders as percentage of total other orders 1.28%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

|  |
| --- |
|  |
| 1. Cboe Options Exchange | 19.23% |
| 2. NASDAQ Options Market | 17.95% |
| 3. ISE Gemini Options Exchange | 12.82% |
| 4. NASDAQ PHLX Options | 11.54% |
| 5. BOX Option Exchange | 10.26% |
| 6. NYSE Arca Options | 8.97% |
| 7. Cboe BZX Options Exchange, Inc. | 7.69% |
| 8. Cboe EDGX Option Exchange | 5.13% |
| 9. The MIAX Options Exchange | 5.13% |
| 10. International Securities Exchange | 1.28% |

Information Concerning Significant Venues :  
 1. Cboe Options Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 35.71% Limit orders as percentage of total limit orders 14.29% Other orders as percentage of total other orders 100.00%

2. 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 22.22% 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 15.87% Other orders as percentage of total other orders 0.00%

4. NASDAQ PHLX Options  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 7.14% Limit orders as percentage of total limit orders 12.70% Other orders as percentage of total other orders 0.00%

5. BOX Option Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 21.43% Limit orders as percentage of total limit orders 7.94% Other orders as percentage of total other orders 0.00%

6. 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 11.11% Other orders as percentage of total other orders 0.00%

7. 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 9.52% Other orders as percentage of total other orders 0.00%

8. Cboe EDGX Option Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 14.29% Limit orders as percentage of total limit orders 3.17% Other orders as percentage of total other orders 0.00%

9. The MIAX Options Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 14.29% Limit orders as percentage of total limit orders 3.17% Other orders as percentage of total other orders 0.00%

10. International Securities Exchange  
 Types of Orders Routed to Venue :  
 Market orders as percentage of total market orders 7.14% Limit orders as percentage of total limit orders 0.00% Other orders as percentage of total other orders 0.00%