

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.
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PHOENIX, AZ 85012**

SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2019

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 non-directed orders	92.10%
Limit orders as percentage of total non-directed orders	7.49%
Other orders as percentage of total non-directed orders	0.41%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	55.99%
2. VIRTU Americas LLC	24.33%
3. G1 Execution Services, LLC	11.72%
4. Two Sigma Securities, LLC	2.53%
5. New York Stock Exchange	2.24%
6. UBS Securities, LLC	1.77%
7. Cboe EDGX U.S. Equities Exchange	0.95%
8. NASDAQ Execution Services, LLC	0.32%
9. Cboe BZX U.S. Equities Exchange	0.16%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	58.46%
Limit orders as percentage of total non-directed orders	26.16%
Other orders as percentage of total non-directed orders	46.15%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	24.97%
Limit orders as percentage of total non-directed orders	15.61%
Other orders as percentage of total non-directed orders	38.46%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	12.25%
Limit orders as percentage of total non-directed orders	5.91%
Other orders as percentage of total non-directed orders	0.00%

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.54%
Limit orders as percentage of total non-directed orders	2.11%
Other orders as percentage of total non-directed orders	7.69%

5. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	29.96%
Other orders as percentage of total non-directed orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.78%
Limit orders as percentage of total non-directed orders	1.27%
Other orders as percentage of total non-directed orders	7.69%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	12.66%
Other orders as percentage of total non-directed orders	0.00%

8. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	4.22%
Other orders as percentage of total non-directed orders	0.00%

9. Cboe BZX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	2.11%
Other orders as percentage of total non-directed 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 non-directed orders	95.38%
Limit orders as percentage of total non-directed orders	3.66%
Other orders as percentage of total non-directed orders	0.96%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	55.60%
2. VIRTU Americas LLC	26.65%
3. G1 Execution Services, LLC	11.13%
4. Two Sigma Securities, LLC	2.28%
5. UBS Securities, LLC	1.67%
6. NASDAQ Execution Services, LLC	1.60%
7. Cboe EDGX U.S. Equities Exchange	0.92%
8. State Street Global Markets, LLC	0.07%
9. Sagepoint Financial, Inc.	0.04%
10. Cboe BZX U.S. Equities Exchange	0.04%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	56.88%
Limit orders as percentage of total non-directed orders	16.50%
Other orders as percentage of total non-directed orders	77.78%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	27.30%
Limit orders as percentage of total non-directed orders	10.68%
Other orders as percentage of total non-directed orders	22.22%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	11.60%
Limit orders as percentage of total non-directed orders	1.94%
Other orders as percentage of total non-directed orders	0.00%

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.39%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

5. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.75%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

6. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	43.69%
Other orders as percentage of total non-directed orders	0.00%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	25.24%
Other orders as percentage of total non-directed orders	0.00%

8. State Street Global Markets, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.04%
Limit orders as percentage of total non-directed orders	0.97%
Other orders as percentage of total non-directed orders	0.00%

9. Sagepoint Financial, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.04%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

10. Cboe BZX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	0.97%
Other orders as percentage of total non-directed 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 non-directed orders	97.86%
Limit orders as percentage of total non-directed orders	2.05%
Other orders as percentage of total non-directed orders	0.09%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	57.67%
2. VIRTU Americas LLC	27.78%
3. G1 Execution Services, LLC	9.80%
4. UBS Securities, LLC	1.75%
5. Two Sigma Securities, LLC	1.63%
6. NYSE Arca	0.39%
7. Cboe EDGX U.S. Equities Exchange	0.39%
8. Sagepoint Financial, Inc.	0.36%
9. NASDAQ Execution Services, LLC	0.15%
10. Cboe BZX U.S. Equities Exchange	0.06%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	58.20%
Limit orders as percentage of total non-directed orders	33.33%
Other orders as percentage of total non-directed orders	33.33%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	28.06%
Limit orders as percentage of total non-directed orders	14.49%
Other orders as percentage of total non-directed orders	33.33%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	9.95%
Limit orders as percentage of total non-directed orders	2.90%
Other orders as percentage of total non-directed orders	0.00%

4. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.79%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.64%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	33.33%

6. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	18.84%
Other orders as percentage of total non-directed orders	0.00%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	18.84%
Other orders as percentage of total non-directed orders	0.00%

8. Sagepoint Financial, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.36%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

9. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	7.25%
Other orders as percentage of total non-directed orders	0.00%

10. Cboe BZX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	2.90%
Other orders as percentage of total non-directed 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 non-directed orders	36.84%
Limit orders as percentage of total non-directed orders	63.16%
Other orders as percentage of total non-directed orders	0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. NASDAQ PHLX Options	25.00%
2. Cboe Options Exchange	23.68%
3. BOX Option Exchange	10.53%
4. NYSE Arca Options	7.89%
5. Cboe BZX Options Exchange, Inc.	7.89%
6. MIAX Pearl Exchange	5.26%
7. NYSE American Options	3.95%
8. ISE Gemini Options Exchange	3.95%
9. NASDAQ Options Market	3.95%
10. The MIAX Options Exchange	2.63%

Information Concerning Significant Venues :

1. NASDAQ PHLX Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	21.43%
Limit orders as percentage of total non-directed orders	27.08%
Other orders as percentage of total non-directed orders	0.00%

2. Cboe Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	39.29%
Limit orders as percentage of total non-directed orders	14.58%
Other orders as percentage of total non-directed orders	0.00%

3. BOX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	17.86%
Limit orders as percentage of total non-directed orders	6.25%
Other orders as percentage of total non-directed orders	0.00%

4. NYSE Arca Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.57%
Limit orders as percentage of total non-directed orders	10.42%
Other orders as percentage of total non-directed orders	0.00%

5. Cboe BZX Options Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	12.50%
Other orders as percentage of total non-directed orders	0.00%

6. MIAX Pearl Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	8.33%
Other orders as percentage of total non-directed orders	0.00%

7. NYSE American Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	7.14%
Limit orders as percentage of total non-directed orders	2.08%
Other orders as percentage of total non-directed orders	0.00%

8. ISE Gemini Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.57%
Limit orders as percentage of total non-directed orders	4.17%
Other orders as percentage of total non-directed orders	0.00%

9. NASDAQ Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.25%
Other orders as percentage of total non-directed orders	0.00%

10. The MIAX Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.57%
Limit orders as percentage of total non-directed orders	2.08%
Other orders as percentage of total non-directed orders	0.00%