



FINRA MEMBER

SagePoint Financial, Inc.
2500 N. Central Avenue
Suite 2100
Phoenix, AZ 85004

800-557-2319
602-944-3099

SagePoint Financial, Inc.'s Exemption Report

SagePoint Financial, Inc. (the "Company") is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, "Reports to be made by certain brokers and dealers"). This Exemption Report was prepared as required by 17 C.F.R. § 240.17a-5(d)(1) and (4). To the best of its knowledge and belief, the Company states the following:

(1) The Company claimed an exemption from 17 C.F.R. § 240.15c3-3 under the following provision of 17 C.F.R. § 240.15c3-3(k):(2)(ii).

(2) The Company met the identified exemption provision in 17 C.F.R. § 240.15c3-3(k) throughout the year ended December 31, 2015 except as follows whereby customer funds were not promptly transmitted by the next business day after receipt:

<u>Number of Checks</u>	<u>Date Received</u>	<u>Date Forwarded</u>
1	Thursday, 4/16/2015	Monday, 4/20/2015

SagePoint Financial, Inc.

I,  _____, affirm that, to my best knowledge and belief, this Exemption Report is true and correct.

Simone Fields
Vice President and Controller
(Title)

February 29, 2016