

ADV 2B - Brochure Supplement

CHRISTOPHER J MAURER

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This brochure supplement provides clients with information about CHRISTOPHER MAURER that supplements the Sagepoint Financial disclosure brochure. Please contact MICHELLE RENEE NIELSEN, Supervision Regional Vice President (SRVP) at 713-667-4884 or Sagepoint Financial at the firm phone number above, if you did not receive a copy of the Sagepoint Financial disclosure brochure or if you have any questions about the contents of this brochure supplement. Additional information about CHRISTOPHER MAURER is available on the SEC's website at www.adviserinfo.sec.gov.

EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

CHRISTOPHER J MAURER

Year of Birth: 1955

Education

University of Wisconsin -Madison, Bachelors of Science, Economics, 1977

Univeristy of Wisconsin-Madison Law School, J.D., 1981

Business Experience

Registered Representative, Resource Horizons Group, September 2008 - September 2013

Investment Advisory Representative, Resource Horizons Investment Advisory, March 2010 - September 2013

Investment Advisory Representative, Mandalay Financial, September 2008 - March 2010

Attorney, Christopher J. Maurer, September 2008 - Present

Park Place Financial, Fixed Insurance Sales, July 2013 - Present

Professional Licenses/Designations

Series 6 - Investment Company and Variable Contracts Exam (Mutual Funds/Variable Annuities)

To obtain the Series 6 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Series 7 - General Securities Representative Exam (Stockbroker)

To obtain the Series 7 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Series 63 - Uniform Securities Agent State Law Exam

To obtain the Series 63 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Certified Financial Planner (CFP®)

Important Information About the Certified Financial Planner (CFP®) Designation: The Certified Financial Planner (CFP®) certification represents proven expertise within the financial planning profession. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates for the CFP® designation must pass a certification exam administered by the Certified Financial Planner Board of Standards Inc. that focuses on over 100 topics of concern to the financial planning field, such as retirement, estate, and investment planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience (three years full-time or equivalent part-time experience in the financial planning field) and agree to adhere to the CFP® Board's code of ethics and professional responsibility and financial planning standards.

DISCIPLINARY INFORMATION

I have no material disciplinary events to report.

OTHER BUSINESS ACTIVITIES

Your advisor is also a registered representative of Sagepoint Financial. As such, your advisor may recommend the purchase of securities from Sagepoint Financial. If you purchase securities from Sagepoint Financial, your advisor will receive commissions on the sale of investment products and in certain instances receive ongoing 12b-1 fees, in addition to the receipt of advisory fees for advisory services such as financial planning services.

Your advisor is also an insurance agent and receives commissions on the sale of insurance products and in certain instances, payments for the renewal of certain insurance products, in addition to advisory fees for advisory services, such as financial planning services.

These payments vary by insurance product and company and may provide different incentives depending on the amount of the renewal payment. In some instances, sales commissions from life insurance provide a higher deposit rate to registered representatives than investment products. As such, a registered representative may have a financial incentive to promote certain life insurance products over other investment products. While the firm and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should

carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Please note that registered representative and insurance agent activities are reviewed and supervised by Sagepoint Financial. This review includes transactions that you may conduct in your accounts based on specific recommendations to purchase products and/or services made by your registered representative.

With respect to certain other business activities unrelated to registered representative or certain insurance agent activities that your financial advisor may participate in, these activities are reviewed, and when appropriate approved in accordance with industry rules. While the firm may initially review these other business activities, these activities are not associated or in any way related to activity conducted by Sagepoint Financial. Therefore, Sagepoint Financial will not be responsible with respect to any recommendation or determination as to the suitability of your choice to participate in such activities. These other business activities may present certain conflicts of interest that you should be aware of and consider before participating in such activities. Please ask your financial advisor for further information.

ADDITIONAL COMPENSATION

As discussed previously above, your advisor is a registered representative and may also be an insurance agent. In addition to the receipt of advisory fees, traditional commissions and ongoing 12b-1 fees, Sagepoint Financial may pay bonuses based on a registered representative's overall product and/or service sales, including with respect to advisory business, conduct sales incentive contests or provide marketing payments to its financial advisors to the extent permitted under applicable law. As a result, these arrangements may create a conflict of interest. While Sagepoint Financial and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Financial advisors may receive compensation from someone other than a client for providing investment advice or other advisory services to clients by referring clients to other investment advisers. As such, there may be potential conflicts of interests with these arrangements, including situations where the compensation paid to the firm or the financial advisor differs based on the particular third-party adviser. Therefore, financial advisors may have an economic incentive to recommend one third-party adviser over another. Additionally, certain third-party advisers may provide reimbursements to financial advisors as an offset for marketing and seminar materials for the advisory products and services offered. These situations may also create conflicts of interest that you should carefully consider.

SUPERVISION

Sagepoint Financial supervises the investment advisory services provided by its financial advisors through a variety of methods, including a review by a licensed

principal prior to a client's enrollment in any investment advisory service or prior to any new account opening. This review is designed to ensure that the products and services offered and recommended to clients are appropriate based on the particular client's situation. Additionally, the Firm conducts periodic ongoing supervision related to its investment advisory services. These efforts, which vary in frequency, include review based on a number of different factors, including but not limited to specific account activity and changes in a client's financial situation or investment objectives.

The individual responsible for supervising CHRISTOPHER MAURER is MICHELLE RENEE NIELSEN, Supervision Regional Vice President (SRVP). MICHELLE RENEE NIELSEN may be reached at 713-667-4884.