



A Registered Investment Advisor

## Revenue Sharing Disclosure

Sigma Planning Corporation (“SPC”, “we” or “our”) offers its clients access to the account management services of a wide variety of third-party investment advisers. SPC refers to these companies collectively as “Product Sponsors.”

For trades involving stocks and exchange-traded funds in non-wrap accounts, SPC may receive a ticket charge mark-up which varies based upon a variety of factors, including, but not limited to, the specific securities involved in the transaction, the size of the trade, and the client’s account features. The economic benefits from such mark-ups are remitted monthly to SPC in the form of soft dollars; investment adviser representatives do not receive any direct economic benefits or compensation from such mark-ups. SPC’s soft dollar arrangements are structured in accordance with Section 28(e) of the Securities Exchange Act of 1934, as amended. Benefits from soft dollars may include research, the ability to deduct advisory fees from clients’ custodial accounts, discounts on periodicals or materials, complimentary business and compliance newsletters, and various other non-cash services. Any general research received is used for the benefit of all SPC clients. Other soft dollar benefits are available to all investment adviser representatives and can be used with any or all SPC clients at their discretion. The value of products, research, and services provided by a custodian, if any, is negligible and not a material factor; however, the use of soft dollars benefits SPC because SPC does not have to create or pay for any such research, products, or services. For more information, please see SPC’s Form ADV brochures.

SPC has created a tiered sponsorship program whereby participating Product Sponsors enter into a revenue-sharing agreement with SPC. These agreements provide Product Sponsors with certain benefits which include, but are not limited to, the following: greater access to our investment adviser representatives (“IARs”) through joint marketing opportunities, the ability to provide education and training for our IARs, and presentation opportunities at our corporate conferences. While we do not believe that these arrangements affect the judgment or advice of SPC or our IARs, we believe it is important for our clients to be aware of them. Please note that our IARs do not receive any portion of the payments that SPC receives from Product Sponsors. All such payments are remitted by the Product Sponsor directly to SPC and are not derived from client funds or assets. The current participating Product Sponsors and their payments (as of July 1, 2017) are listed below.

### Participating Product Sponsors

**Tier I:** The greater of i) \$15,000 to be paid to SPC annually, on a quarterly basis, and netted against all future marketing allowance fees earned under the specified agreement or; ii) A marketing allowance fee paid quarterly at a specified percentage (in basis points) of assets under management (“AUM”), per the below table:

\$AUM	BPS
0-25 million	10
25-50 million	8
50-75 million	7
75-100 million	6
100-150 million	5
150-250 million	4
250 million +	3

- Astor Investment Management
- Beacon Capital Management
- BTS Asset Management
- ITS Asset Management
- Hanlon Investment Management
- SEI

### **Tier II:**

- Beaumont Capital Management - \$7,500
- Cedar Capital - \$7,500
- CMG Capital Management Group - \$7,500
- Flexible Plan Investments - \$7,500
- Meeder Investment Management - \$7,500
- Morningstar Investment Management - \$7,500
- Niemann Capital Management - \$7,500
- Ocean Park Asset Management - \$7,500
- Weatherstone Capital Management - \$7,500