

RFFC

# ALPS Active Equity Opportunity ETF

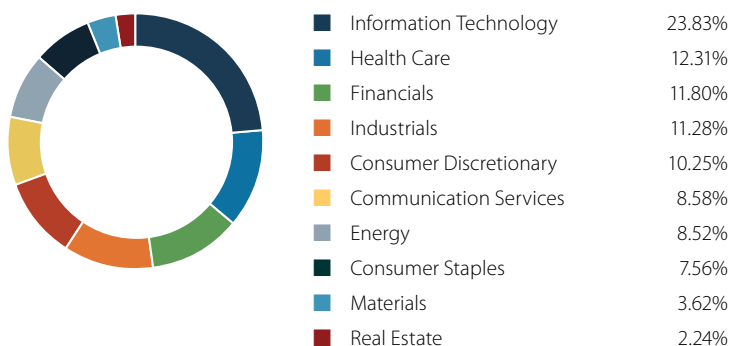
Fact Sheet | September 30, 2023

The ALPS Active Equity Opportunity ETF (RFFC) consists primarily of stocks determined to have better than average or improving fundamentals as measured by return on invested capital (ROIC).

We believe ROIC is the most complete measure of profitability, which in turn is the primary driver of equity returns. Both the rate of change and durability of ROIC are important considerations in determining potential business value.

Focusing on ROIC on a stock specific level allows for security selection to be a prominent driver of RFFC's excess returns.

## Market Sector Breakdown (% of Total Investments)



## Top 10 Holdings (% of Total Investments)

Microsoft Corp	4.62%
ConocoPhillips	3.58%
JPMorgan Chase & Co	3.38%
Apple Inc	3.27%
Alphabet Inc	3.26%
NVIDIA Corp	3.06%
Meta Platforms Inc	3.04%
UnitedHealth Group Inc	2.87%
Amazon.com Inc	2.29%
Mastercard Inc	2.27%

As of 9/30/2023, subject to change

alpsfunds.com  
1-866-759-5679

## Fund Details

Ticker:	RFFC
Listing Exchange:	NYSE Arca
CUSIP:	00162Q510
Inception Date:	6/6/2016
Net Asset Value Per Share:	\$42.67
Number of Holdings:	60
Distributions Paid:	Monthly
Most Recent Distribution†:	\$0.04407
Total Operating Expenses:	<b>0.48%</b>

† Distribution paid on 9/26/2023

## Investment Objective

The Fund seeks to provide capital appreciation.

## Investable Securities

Under normal market conditions, the Fund will seek to achieve its investment objective by investing at least 80% of its net assets in a portfolio of equity securities. Equity securities include common stocks and common or preferred shares of real estate investment trusts (REITs). Additionally, the Fund may hold up to 25% in stocks outside the US, including emerging markets and 10% in REITs.

The Fund may invest in small-, mid- and large-capitalization companies. It may also invest in other exchange-traded funds and/or closed-end funds which invest in equity securities.

## Fund Characteristics

30-Day SEC Yield <sup>^</sup> :	1.16%
30-Day SEC Yield (Unsubsidized) <sup>^^</sup> :	1.16%

<sup>^</sup> 30-Day SEC Yield: reflects the dividends and interest earned during the period, after the deduction of the Fund's expenses.

<sup>^^</sup> 30-Day SEC Yield (Unsubsidized): reflects the dividends and interest earned during the period, after the deduction of the Fund's expenses, excluding fee waivers.

## Performance as of 9/30/2023

Total Returns	Cumulative				Annualized			
	1 M	3 M	6 M	YTD	1 Y	3 Y	5 Y	SI <sup>1</sup>
NAV (Net Asset Value)	-4.03%	-2.85%	3.19%	7.25%	16.59%	8.27%	4.90%	8.87%
Market Price	-4.00%	-2.83%	3.33%	7.33%	16.49%	8.29%	4.90%	8.87%
S&P Composite 1500 Index - TR <sup>2</sup>	-4.82%	-3.36%	4.74%	12.24%	20.98%	10.31%	9.50%	11.89%

**Performance data quoted represents past performance. Past performance is no guarantee of future results so that shares, when redeemed, may be worth more or less than their original cost. The investment return and principal value will fluctuate. Current performance may be higher or lower than the performance quoted. For current month-end performance call 1-866-759-5679 or visit [www.alpsfunds.com](http://www.alpsfunds.com). Performance includes reinvested distributions and capital gains.**

Market Price is based on the midpoint of the bid/ask spread at 4 p.m. ET and does not represent the returns an investor would receive if shares were traded at other times.

<sup>1</sup> Fund inception date: 6/6/2016

<sup>2</sup> S&P Composite 1500 Index: combines three leading indices, the S&P 500, the S&P MidCap 400, and the S&P SmallCap 600, to cover approximately 90% of US market capitalization. One may not invest directly in an index.

## Important Disclosures &amp; Definitions

**An investor should consider the investment objectives, risks, charges and expenses carefully before investing. This material must be preceded or accompanied by the [prospectus](#). Read the prospectus carefully before investing.**

Shares of ETFs are bought and sold at market price (not NAV) and are not individually redeemable.

Performance data quoted represents past performance. Past performance is no guarantee of future results; current performance may be higher or lower than performance quoted.

All investments are subject to risks, including the loss of money and the possible loss of the entire principal amount invested. Additional information regarding the risks of this investment is available in the prospectus.

Effective 6/1/2023, the RiverFront Dynamic US Flex-Cap ETF changed its name to the ALPS Active Equity Opportunity ETF. Additionally, RiverFront Investment Group, LLC ceased to serve as sub-advisor to the Fund and ALPS Advisors, Inc., the Fund's investment adviser, assumed all responsibility for selecting the Fund's investments.

Due to the nature of the securities in which the Fund invests, the Fund may have relatively high portfolio turnover compared to other funds.

The values of equity securities, such as common stocks and preferred stock, may decline due to general market conditions that are not specifically related to a particular company, such as real or perceived adverse economic conditions, inflation (or expectations for inflation), changes in the general outlook for corporate earnings, changes in interest or currency rates or adverse investor sentiment generally. Equity securities generally have greater price volatility than fixed-income securities.

The Fund is considered nondiversified and as a result may experience greater volatility than a diversified fund.

ALPS Advisors, Inc. is affiliated with ALPS Portfolio Solutions Distributor, Inc.

ALPS Portfolio Solutions Distributor, Inc. is the distributor for the Fund.

Not FDIC Insured • No Bank Guarantee • May Lose Value

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