

# ALPS Sector Dividend Dogs ETF

Fact Sheet | September 30, 2023

## VALUE, INCOME, DIVERSIFICATION

The ALPS Sector Dividend Dogs ETF (SDOG) is an Exchange-Traded Fund that applies the 'Dogs of the Dow Theory' on a sector-by-sector basis using the S-Network US Equity WR Large-Cap 500 Index (SNR 500) as its starting universe of eligible securities. This strategy provides the following potential benefits:

- **High Dividend Yield Relative to US Large Cap Indices** – Starting with a smaller, quality universe such as the SNR 500 diminishes the likelihood of troubled and financially distressed companies entering the Index and allows dividend yield to be the primary selection criterion for the Index.
- **Sector and Stock Diversification** – SDOG provides high dividend exposure across all 10 sectors of the market by selecting the five highest yielding securities in each sector and equally weighting them. This provides diversification at both the stock and sector level.
- **Dogs Theory** – SDOG isolates the SNR 500 constituents with the highest dividend yield in their respective sectors providing the potential for price appreciation as market forces bring their yield into line with the overall market.

## Performance as of 9/30/2023

Total Returns	Cumulative				Annualized				
	1 M	3 M	YTD	SI <sup>1</sup>	1 Y	3 Y	5 Y	10 Y	SI <sup>1</sup>
NAV (Net Asset Value)	-5.51%	-4.69%	-5.45%	187.69%	8.81%	11.86%	4.59%	7.88%	9.84%
Market Price	-5.47%	-4.67%	-5.47%	187.69%	8.77%	11.87%	4.59%	7.86%	9.84%
S-Network Sector Dividend Dogs Index - TR <sup>2</sup>	-5.51%	-4.74%	-5.31%	201.87%	9.10%	12.27%	4.98%	8.34%	10.31%
S&P 500 Index - TR <sup>3</sup>	-4.77%	-3.27%	-13.07%	291.18%	21.62%	10.15%	9.92%	11.91%	12.88%

**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: 6/29/2012

<sup>2</sup> S-Network Sector Dividend Dogs Index (SDOGX): a rules-based index intended to give investors a means of tracking the overall performance of the highest dividend paying stocks in the SNR 500 on a sector-by-sector basis. The SNR 500 includes the 500 largest US stocks by market capitalization.

<sup>3</sup> S&P 500 Index: widely regarded as the best single gauge of large-cap US equities. The index includes 500 leading companies and covers approximately 80% of available market capitalization.

One may not invest directly in an index.

## Fund Details

Ticker:	SDOG
Underlying Index:	SDOGX
Listing Exchange:	NYSE Arca
CUSIP:	00162Q858
Inception Date:	6/29/2012
Distributions Paid:	Quarterly
Most Recent Distribution*:	\$0.5447
Total Operating Expenses:	<b>0.36%</b>
NAV:	\$47.04
30-Day SEC Yield <sup>^</sup> :	4.71%
30-Day SEC Yield (Unsubsidized):	4.71%

\* Distribution paid on 9/26/2023

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

## Investment Objective

The Fund seeks investment results that replicate as closely as possible, before fees and expenses, the performance of the S-Network Sector Dividend Dogs Index (SDOGX).

## Index Allocations



Consumer Staples	10.23%
Financials	10.14%
Materials	10.14%
Energy	10.08%
Health Care	10.06%
Communication Services	9.98%
Industrials	9.87%
Utilities	9.85%
Information Technology	9.84%
Consumer Discretionary	9.81%

As of 9/30/2023, subject to change

## Index Constituents

Communication Services		Financials		Information Technology	
T US	AT&T Inc	C US	Citigroup Inc	STX US	Seagate Technology Holdings PL
VZ US	Verizon Communications Inc	PRU US	Prudential Financial Inc	GLW US	Corning Inc
PARA US	Paramount Global	LNC US	Lincoln National Corp	IBM US	International Business Machine
OMC US	Omnicom Group Inc	TFC US	Truist Financial Corp	INTC US	Intel Corp
IPG US	Interpublic Group of Cos Inc/T	BEN US	Franklin Resources Inc	HPQ US	HP Inc
Consumer Discretionary		Health Care		Materials	
WHR US	Whirlpool Corp	ABBV US	AbbVie Inc	IP US	International Paper Co
BBY US	Best Buy Co Inc	GILD US	Gilead Sciences Inc	AMCR US	Amcor PLC
HAS US	Hasbro Inc	MDT US	Medtronic PLC	DOW US	Dow Inc
VFC US	VF Corp	VTRS US	Viatis Inc	NEM US	Newmont Corp
NWL US	Newell Brands Inc	OGN US	Organon & Co	LYB US	LyondellBasell Industries NV
Consumer Staples		Industrials		Utilities	
KHC US	Kraft Heinz Co/The	FAST US	Fastenal Co	DUK US	Duke Energy Corp
WBA US	Walgreens Boots Alliance Inc	SNA US	Snap-on Inc	PNW US	Pinnacle West Capital Corp
PM US	Philip Morris International In	UPS US	United Parcel Service Inc	SO US	Southern Co/The
MO US	Altria Group Inc	SWK US	Stanley Black & Decker Inc	D US	Dominion Energy Inc
KMB US	Kimberly-Clark Corp	MMM US	3M Co	EIX US	Edison International
Energy					
WMB US	Williams Cos Inc/The				
KMI US	Kinder Morgan Inc				
PSX US	Phillips 66				
OKE US	ONEOK Inc				
DVN US	Devon Energy Corp				

Source: Bloomberg L.P., as of 9/30/2023, subject to change

## Important Disclosures & 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.

The Fund is subject to the additional risks associated with concentrating its investments in companies in the market sector.

Diversification does not eliminate the risk of experiencing investment losses.

The Fund employs a "passive management" - or indexing - investment approach and seeks investment results that correspond (before fees and expenses) generally to the performance of its underlying index. Unlike many investment companies, the Fund is not "actively" managed. Therefore, it would not necessarily sell or buy a security unless that security is removed from or added to the underlying index, respectively.

Dogs of the Dow Theory: an investment strategy which proposes that an investor annually select for investment the ten Dow Jones Industrial Average stocks whose dividend is the highest fraction of their price.

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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