ALPS | Smith Balanced Opportunity Fund

Fact Sheet | October 31, 2023

Performance

<table>
<thead>
<tr>
<th>Total Returns</th>
<th>Cumulative as of 10/31/2023</th>
<th>Annualized as of 9/30/2023</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 M</td>
<td>3 M</td>
</tr>
<tr>
<td>Class I (Net Asset Value)</td>
<td>-1.88%</td>
<td>-6.88%</td>
</tr>
<tr>
<td>Investor Class (Net Asset Value)</td>
<td>-1.91%</td>
<td>-6.94%</td>
</tr>
<tr>
<td>Class A (Net Asset Value)</td>
<td>-1.91%</td>
<td>-6.95%</td>
</tr>
<tr>
<td>Class A (MOP)</td>
<td>-5.08%</td>
<td>-9.95%</td>
</tr>
<tr>
<td>Class C (Net Asset Value)</td>
<td>-1.98%</td>
<td>-7.07%</td>
</tr>
<tr>
<td>Class C (CDSC)</td>
<td>-2.95%</td>
<td>-8.00%</td>
</tr>
</tbody>
</table>

55% Bloomberg US 1000 - TR / 45% Bloomberg US Aggregate Bond Index
-2.05% -6.89% 4.33% 11.69% 2.84% 2.61%

Calendar Year Performance

2020: 8.12% 7.16% 15.84% 13.24% 4.56% 4.33%
2021: -15.91% -16.36%
2022: -11.08% -12.87%
YTD: 55% Bloomberg US 1000 - TR / 45% Bloomberg US Aggregate Bond Index
-11.69% 2.84% 2.61%

Sector Allocations*

| Common Stock | 61.20% | 55.00% |
| Government | 11.33% | 20.79% |
| Corporate | 15.85% | 11.08% |
| Securitized | 9.52% | 12.87% |

Preferred Stock
- 11.17%
- 0.00%
- 0.27%

Municipal
- 0.00%

Cash & Equivalents
- 0.92%
- 0.00%
- 0.92%
- 0.00%

As of 10/31/2023

* Future holdings are subject to change

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. Performance includes reinvested distributions and capital gains.

Maximum Offering Price (MOP) performance for Class A shares includes the Fund’s maximum sales charge of 3.25%. Contingent Deferred Sales Charge (CDSC) performance for Class C shares includes a 1% CDSC on shares redeemed within 12-months of purchase. Performance shown at Net Asset Value (NAV) does not include these sales charges and would have been lower had it been taken into account.

Key Features

- Active management
  Seeks to outperform the market to deliver risk-adjusted returns and capital preservation
- Dynamic portfolio positioning
  Defensive, neutral, opportunistic positioning for allocation flexibility
- Experienced, award-winning investment team
  Lends deep fixed income expertise

Portfolio Management

Gibson Smith
Portfolio Manager, Founder of Smith Capital Investors
Veteran Portfolio Manager with 32 years investment experience

Laton Spahr, CFA
Portfolio Manager, President, SS&C ALPS Advisors, 25 years experience

Eric Bernum, CFA
Portfolio Manager, Investor, Smith Capital Investors, 19 years experience
Eric Hewitt
Portfolio Manager, Director of Research, SS&C ALPS Advisors, 24 years experience

* Registered Representative of ALPS Distributors, Inc.

Fund Details

Inception Date 9/15/2020
Net Assets $20.16MM
Effective Duration 6.03 years
Asset Allocation 61.20% Equity 38.80% Fixed Income

Expense Ratios

<table>
<thead>
<tr>
<th>Total Operating Expenses</th>
<th>What You Pay**</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class I</td>
<td>1.41%</td>
</tr>
<tr>
<td>Inv Class</td>
<td>1.59%</td>
</tr>
<tr>
<td>Class A</td>
<td>1.60%</td>
</tr>
<tr>
<td>Class C</td>
<td>2.30%</td>
</tr>
</tbody>
</table>

** What You Pay reflects the Adviser’s and Sub-Adviser’s decision to contractually limit expenses through February 28, 2024. Please see the prospectus for additional information.

Fund Symbols & CUSIPs

<table>
<thead>
<tr>
<th>Class I</th>
<th>ALPBX</th>
<th>31761T407</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inv Class</td>
<td>ALIBX</td>
<td>31761T100</td>
</tr>
<tr>
<td>Class A</td>
<td>ALABX</td>
<td>31761T209</td>
</tr>
<tr>
<td>Class C</td>
<td>ALCBX</td>
<td>31761T308</td>
</tr>
</tbody>
</table>
The Fund seeks long-term capital growth, consistent with preservation of capital and balanced by current income.

Role in Portfolio
- A balanced fund that invests in both equities and fixed income securities to provide both capital growth and income for investors.
- Flexible and dynamic asset allocation approach to position portfolio for market conditions, risk factors, and outlook.
- Active, total return focused investment process.
- Equity portion consists primarily of stocks determined to have high or improving return on invested capital (ROIC).
- Fixed income portion consists of a core portfolio focused on providing risk-adjusted returns, consistent with preservation of capital.

Partnership
SS&C ALPS Advisors
Headquartered in Denver, CO, SS&C ALPS Advisors is an open architecture boutique investment manager offering portfolio building blocks, active insight and an unwavering drive to guide clients to investment outcomes across sustainable income, thematic and alternative growth strategies.

Smith Capital Investors
Smith’s investment-centric team averages 13+ years of experience, including previous rising rate environments. Their results are driven by a process with deep roots in fundamental research, complemented by quantitative validation and use of technology.

Important Disclosures & Definitions
An investor should consider the investment objective, risks, charges and expenses carefully before investing. This material must be preceded or accompanied by the prospectus. Read the prospectus carefully before investing. 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 characteristics presented reflect trade date + 1 information.

A rise in interest rates typically causes bond prices to fall. The longer the duration of the bonds held by a fund, the more sensitive it will likely be to interest rate fluctuations. The Fund’s investments in fixed-income securities and positions in fixed-income derivatives may decline in value because of changes in interest rates. As nominal interest rates rise, the value of fixed-income securities and any long positions in fixed-income derivatives held by the Fund are likely to decrease, whereas the value of its short positions in fixed-income derivatives is likely to increase.

Overall securities market risks may affect the value of individual instruments in which the Fund invests. Factors such as domestic and foreign economic growth and market conditions, interest rate levels, and political events affect the securities and derivatives the Fund invests. Factors such as domestic and foreign economic growth and market conditions, interest rate levels, and political events affect the securities and derivatives the Fund invests. Factors such as domestic and foreign economic growth and market conditions, interest rate levels, and political events affect the securities and derivatives the Fund invests.

Credit Quality
Credit Quality is a measure of the creditworthiness and risk of a bond or portfolio, based on the issuer’s financial condition. AAA/Aaa is highest and D is lowest. If applicable, the Pre-Retained/Agency category includes bonds which are secured by US Government Securities and therefore are deemed high-quality investment-grade by the Advisor. If applicable, the Not Rated category includes bonds that are not rated by a Nationally Recognized Statistical Rating Organization. Composite Rating Source: Bloomberg L.P., ratings presented are a blend of a security’s Moody’s, S&P, Fitch and DBRS ratings. The rating agencies are evenly weighted when calculating the composite. Ratings presented may differ when viewed on an agency-by-agency basis.

Alpha: a measure of performance on a risk-adjusted basis; often considered the active return on an investment, the ratio gauges the performance of an investment against a market index used as a benchmark.

Beta: a measure of the volatility, or systematic risk, of a security or a portfolio in comparison to the market or a benchmark.

R-squared: the percentage of a fund or security’s movements that can be explained by movements in a benchmark index.

Standard Deviation: a statistical measure that indicates the extent of deviation for a group as a whole.

Sharpe Ratio: a statistical measure of an investment manager’s relative performance during bull (up) markets.

Down Capture: a statistical measure of an investment manager’s relative performance during bear (down) markets.

Risk Statistics
For the three years ending 10/31/2023

<table>
<thead>
<tr>
<th>Fund</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alpha</td>
<td>1.30</td>
</tr>
<tr>
<td>Beta</td>
<td>1.03</td>
</tr>
<tr>
<td>R-squared (%)</td>
<td>95.63</td>
</tr>
<tr>
<td>Standard Deviation</td>
<td>12.49</td>
</tr>
<tr>
<td>Sharpe Ratio</td>
<td>0.15</td>
</tr>
<tr>
<td>Up Capture</td>
<td>107</td>
</tr>
<tr>
<td>Down Capture</td>
<td>100</td>
</tr>
<tr>
<td>Source: Bloomberg L.P., as of 10/31/2023, subject to change</td>
<td></td>
</tr>
</tbody>
</table>

SMT001150 1/31/2024

alpsfunds.com
1-866-759-5679