ALPS | Smith Short Duration Bond 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>0.16%</td>
<td>0.46%</td>
</tr>
<tr>
<td>Investor Class (Net Asset Value)</td>
<td>0.14%</td>
<td>0.39%</td>
</tr>
<tr>
<td>Class A (Net Asset Value)</td>
<td>0.14%</td>
<td>0.50%</td>
</tr>
<tr>
<td>Class A (MOP)</td>
<td>-2.11%</td>
<td>-1.75%</td>
</tr>
<tr>
<td>Class C (Net Asset Value)</td>
<td>0.08%</td>
<td>0.21%</td>
</tr>
<tr>
<td>Class C (CDSC)</td>
<td>-0.92%</td>
<td>-0.79%</td>
</tr>
</tbody>
</table>

Bloomberg 1-3 Year US Govt/ Credit Index - Unhedged
- 0.31% 0.62% 2.19% 2.77% -0.72% 1.21% 1.22%

Calendar Year Performance
- 2018 2019 2020 2021 2022 YTD
- ALPS | Smith Short Duration Bond Fund Class I (NAV)
- Bloomberg 1-3 Year US Govt/Credit Index - Unhedged

1.28% 1.52% 4.91% 4.03% 6.54% 3.33% 0.02% -0.47% -2.67% -3.69% 2.36% 2.19%

Sector Allocations^ 
- Corporate 25.21%
- Government 20.18%
- Securitized 1.01%
- Municipal 0.00%
- Cash & Equivalents 1.06%
- ALPS | Smith Short Duration Bond Fund
- Bloomberg 1-3 Year US Govt/Credit Index - Unhedged

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 2.25%. 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*
  Chief Investment Officer and Portfolio Manager
  Veteran Portfolio Manager with 32 years investment experience
- Eric Bernum*, CFA
  Portfolio Manager
  19 years investment experience
  * Registered Representative of ALPS Distributors, Inc.

Fund Details
- Inception Date: 6/29/2018
- Net Assets: $606.42MM
- Effective Duration: 1.58 years

Expense Ratios
- Total Operating Expenses
  - Class I: 0.56%
  - Inv Class: 0.85%
  - Class A: 0.84%
  - Class C: 1.53%
- What You Pay**
  - Class I: 0.49%
  - Inv Class: 0.79%
  - Class A: 0.79%
  - Class C: 1.49%

** 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
- Class I: SMDSX 31761R351
- Inv Class: SMRSX 31761R385
- Class A: SMASX 31761R377
- Class C: SMCMX 31761R369

alpsfunds.com
1-866-759-5679
ALPS | Smith Short Duration Bond Fund

Investment Objective
The Fund seeks as high a level of current income as is consistent with preservation of capital.

Role in Portfolio
- Potential protection from rising rates.
- Seeks a high and stable rate of current income.
- Seeks to achieve 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 rise in 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 objectives, risks, charges and expenses carefully before investing. This material must be preceded or accompanied by the prospectus. Read the prospectus carefully before investing.

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/AA+/Aaa/Aa+ is highest and D/DD is lowest. If applicable, the Pre-Refunded/Agency category includes bonds which are secured by U.S. 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 weighted equally when calculating the credit quality of a bond or portfolio, based on the issuer’s financial condition.

Fund Yields
- 30-Day SEC Yield
- 30-Day SEC Yield (Unsubsidized)
- Trailing Twelve Month Yield

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<tr>
<th>Class</th>
<th>30-Day SEC Yield</th>
<th>30-Day SEC Yield (Unsubsidized)</th>
<th>Trailing Twelve Month Yield</th>
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<tbody>
<tr>
<td>I</td>
<td>5.45%</td>
<td>5.45%</td>
<td>3.65%</td>
</tr>
<tr>
<td>In</td>
<td>5.17%</td>
<td>5.17%</td>
<td>3.35%</td>
</tr>
<tr>
<td>A</td>
<td>5.13%</td>
<td>5.13%</td>
<td>3.39%</td>
</tr>
<tr>
<td>C</td>
<td>4.44%</td>
<td>4.44%</td>
<td>2.65%</td>
</tr>
</tbody>
</table>

1 30-Day SEC Yield reflects the dividends and interest earned during the period, after the deduction of the Fund’s expenses.
2 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.
3 Trailing Twelve Month Yield: refers to the percentage of income a portfolio has returned to investors over the last 12 months. Past performance is no guarantee of future results.

Credit Quality
- AAA 22.25% 4.33%
- AA 3.68% 71.75%
- A 20.59% 12.60%
- BBB 47.94% 10.76%
- BB 5.08% 0.56%
- B 0.47% –
- NR – 0.01%

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Top 10 Holdings
- U.S. Treasury Note 3.125% 08/15/2025 4.26%
- U.S. Treasury Note 5% 09/30/2025 3.10%
- U.S. Treasury Note 4.625% 03/15/2026 2.94%
- U.S. Treasury Note 4.625% 06/30/2025 2.77%
- U.S. Treasury Note 4.75% 07/31/2025 2.35%
- VICI Properties LP 4.375% 05/15/2025 1.68%
- Midwest Connector Capital Co. LLC 3.9% 04/01/2024 1.59%
- U.S. Treasury Note 4.625% 09/30/2028 1.59%
- Vistra Operations Co. LLC 4.875% 05/13/2024 1.26%
- General Motors Financial Co., Inc. 6.05% 10/10/2025 1.15%

Source: Bloomberg L.P., as of 10/31/2023, subject to change.

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

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<th>Metric</th>
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<th>Index</th>
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<tr>
<td>Alpha*</td>
<td>0.19</td>
<td>0.00</td>
</tr>
<tr>
<td>Beta*</td>
<td>0.78</td>
<td>1.00</td>
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<tr>
<td>R-squared (%)</td>
<td>79.85</td>
<td>100.00</td>
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<tr>
<td>Standard Deviation*</td>
<td>1.70</td>
<td>1.95</td>
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<tr>
<td>Sharpe Ratio*</td>
<td>-1.21</td>
<td>-1.48</td>
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<tr>
<td>Up Capture*</td>
<td>106</td>
<td>100</td>
</tr>
<tr>
<td>Down Capture*</td>
<td>75</td>
<td>100</td>
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* 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 measure that indicates the average return minus the risk-free return divided by the standard deviation of return on an investment.
* Up Capture: 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.

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