

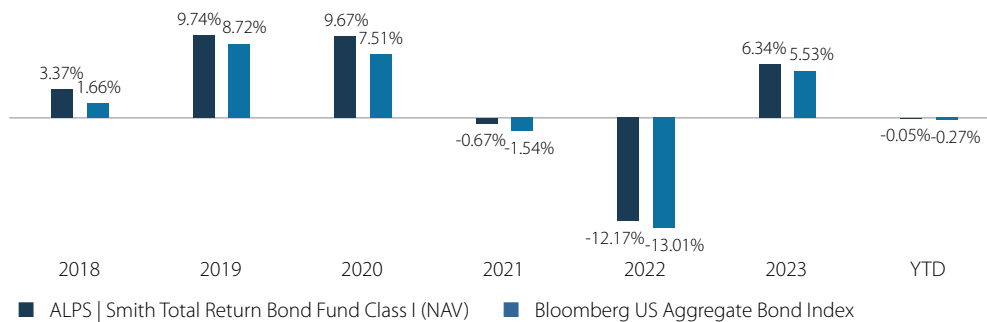
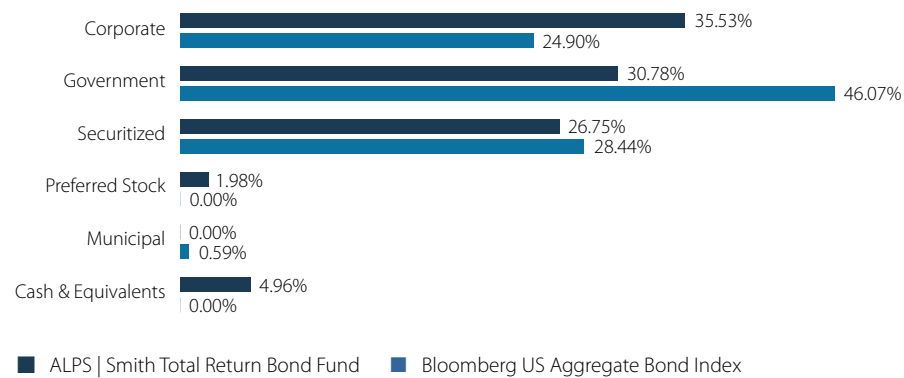
## ALPS | Smith Total Return Bond Fund

Fact Sheet | January 31, 2024

## Performance

|                                   | Cumulative<br>as of 1/31/2024 |       |        | Annualized<br>as of 12/31/2023 |        |       |       |
|-----------------------------------|-------------------------------|-------|--------|--------------------------------|--------|-------|-------|
| Total Returns                     | 1 M                           | 3 M   | YTD    | 1 Y                            | 3 Y    | 5 Y   | SI    |
| Class I (Net Asset Value)         | -0.05%                        | 8.75% | -0.05% | 6.34%                          | -2.47% | 2.23% | 2.64% |
| Investor Class (Net Asset Value)  | 0.03%                         | 8.66% | 0.03%  | 5.94%                          | -2.75% | 1.92% | 2.33% |
| Class A (Net Asset Value)         | -0.07%                        | 8.65% | -0.07% | 6.02%                          | -2.75% | 1.94% | 2.36% |
| Class A (MOP)                     | -2.28%                        | 6.18% | -2.28% | 3.63%                          | -3.47% | 0.80% | 1.31% |
| Class C (Net Asset Value)         | -0.03%                        | 8.48% | -0.03% | 5.19%                          | -3.45% | 1.19% | 1.61% |
| Class C (CDSC)                    | -1.02%                        | 7.48% | -1.02% | 4.19%                          | -3.45% | 1.19% | 1.61% |
| Bloomberg US Aggregate Bond Index | -0.27%                        | 8.23% | -0.27% | 5.53%                          | -3.31% | 1.10% | 1.30% |

## Calendar Year Performance

Sector Allocations<sup>^</sup>

As of 1/31/2024

<sup>^</sup> 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](http://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 33 years investment experience

## Eric Bernum\*, CFA

Portfolio Manager  
20 years investment experience

\* Registered Representative of ALPS Distributors, Inc.

## Fund Details

|                    |            |
|--------------------|------------|
| Inception Date     | 6/29/2018  |
| Net Assets         | \$2.86B    |
| Effective Duration | 6.11 years |

## Expense Ratios

|           | Total Operating Expenses | What You Pay** |
|-----------|--------------------------|----------------|
| Class I   | 0.73%                    | 0.59%          |
| Inv Class | 0.98%                    | 0.89%          |
| Class A   | 0.98%                    | 0.89%          |
| Class C   | 1.71%                    | 1.59%          |

\*\* What You Pay reflects the Adviser's and Sub-Adviser's decision to contractually limit expenses through February 28, 2025. Please see the prospectus for additional information.

## Fund Symbols &amp; CUSIPs

|           |       |           |
|-----------|-------|-----------|
| Class I   | SMTHX | 31761R393 |
| Inv Class | SMTRX | 31761R435 |
| Class A   | SMAMX | 31761R427 |
| Class C   | SMCHX | 31761R419 |

ALPS | Smith Total Return Bond Fund

Investment Objective

The Fund seeks to obtain maximum total return, consistent with preservation of capital.

Role in Portfolio

Core Portfolio Holding:

- Risk Adjusted Return – Generating returns utilizing bottom up fundamental analysis with a macro overlay. Introduces lower risk and produces potential greater returns.
- Seeks capital preservation.
- Risk Diversification – Diversify the risk in your portfolio potentially presenting less volatility and lower correlations to equities.

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.

Fund Yields

|           | 30-Day<br>SEC Yield <sup>1</sup> | 30-Day<br>SEC Yield<br>(Unsubsidized) <sup>2</sup> | Trailing<br>Twelve<br>Month Yield <sup>3</sup> |
|-----------|----------------------------------|--|--|
| Class I   | 4.45%                            | 4.33%  | 4.14%  |
| Class Inv | 4.15%                            | 4.07%  | 3.87%  |
| Class A   | 4.06%                            | 3.97%  | 3.84%  |
| Class C   | 3.45%                            | 3.36%  | 3.16%  |

<sup>1</sup> 30-Day SEC Yield: reflects the dividends and interest earned during the period, after the deduction of the Fund's expenses.  
<sup>2</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.  
<sup>3</sup> 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

|     | Fund   | Index  |
|-----|--------|--------|
| AAA | 4.96%  | 3.32%  |
| AA  | 58.02% | 70.38% |
| A   | 7.45%  | 11.75% |
| BBB | 22.85% | 11.98% |
| BB  | 5.28%  | 0.60%  |
| B   | 1.44%  | –      |
| NR  | –      | 1.97%  |

Credit Quality is a measure of the credit worthiness 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-Refunded/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.

Top 10 Holdings

|  |       |
|--|-------|
| U.S. Treasury Bond 4.75% 11/15/2053                    | 4.17% |
| U.S. Treasury Note 4.875% 11/30/2025                   | 4.09% |
| U.S. Treasury Bond 4.375% 08/15/2043                   | 4.05% |
| U.S. Treasury Bond 4.125% 08/15/2053                   | 4.00% |
| U.S. Treasury Bond 4.75% 11/15/2043                    | 3.49% |
| U.S. Treasury Note 5% 09/30/2025                       | 3.38% |
| U.S. Treasury Note 5% 10/31/2025                       | 2.19% |
| U.S. Treasury Note 4.75% 07/31/2025                    | 2.18% |
| U.S. Treasury Note 5% 08/31/2025                       | 2.11% |
| Government National Mortgage Association 6% 04/20/2053 | 0.83% |

Source: Bloomberg L.P., as of 1/31/2024, subject to change

Risk Statistics

For the three years ending 1/31/2024

|                                 | Fund  | Index  |
|---------------------------------|-------|--------|
| Alpha <sup>4</sup>              | 0.48  | 0.00   |
| Beta <sup>5</sup>               | 0.93  | 1.00   |
| R-squared (%) <sup>6</sup>      | 97.26 | 100.00 |
| Standard Deviation <sup>7</sup> | 6.82  | 7.23   |
| Sharpe Ratio <sup>8</sup>       | -0.70 | -0.79  |
| Up Capture <sup>9</sup>         | 94    | 100    |
| Down Capture <sup>10</sup>      | 88    | 100    |

<sup>4</sup> 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.  
<sup>5</sup> Beta: a measure of the volatility, or systematic risk, of a security or a portfolio in comparison to the market or a benchmark.  
<sup>6</sup> R-squared: the percentage of a fund or security's movements that can be explained by movements in a benchmark index.  
<sup>7</sup> Standard Deviation: a statistical measure that indicates the extent of deviation for a group as a whole.  
<sup>8</sup> Sharpe Ratio: a measure that indicates the average return minus the risk-free return divided by the standard deviation of return on an investment.  
<sup>9</sup> Up Capture: a statistical measure of an investment manager's relative performance during bull (up) markets.  
<sup>10</sup> Down Capture: a statistical measure of an investment manager's relative performance during bear (down) markets.

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.**

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. Duration measures the weighted average term to maturity of a bond's expected cash flows. Duration also represents the approximate percentage change that the price of a bond would experience for a 1% change in yield. For example: the price of a bond with a duration of 5 years would change approximately 5% for a 1% change in yield. The price of a bond with a duration of 10 years would be expected to decline by approximately 10% if its yield was to rise by +1%. Bond yields tend to fluctuate in response to changes in market levels of interest rates. Generally, if interest rates rise, a bond's yield will also rise in response; the duration of the bond will determine how much the price of the bond will change in response to the change in yield.

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 markets. When the value of the Fund's investments goes down, your investment in the Fund decreases in value and you could lose money.

Bloomberg US Aggregate Bond Index: a broad-based benchmark that measures the investment grade, US dollar-denominated, fixed-rate taxable bond market. The index includes Treasuries, government-related and corporate securities, fixed-rate agency MBS, ABS and CMBS (agency and non-agency). One may not invest directly in an index.

ALPS Advisors, Inc. and Smith Capital Investors, LLC, registered investment advisers with the SEC, are the investment adviser and sub-adviser to the Fund, respectively. ALPS Advisors, Inc., ALPS Distributors, Inc. and ALPS Portfolio Solutions Distributor, Inc., affiliated entities, are unaffiliated with Smith Capital Investors, LLC.

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

Not FDIC Insured • No Bank Guarantee • May Lose Value

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