



ALPS

A DST Company

COMMITMENT

PARTNERSHIP

EXPERIENCE

FLEXIBILITY

*Services
Tailored
Around You[®]*

Turn-Key *Mutual Fund* Services

ALPS Fund Services, Inc. (ALPS) offers a full-service partnership approach to a select group of fund clients looking for truly tailored service. We offer turn-key capabilities that anchor all of the diverse resources needed to run a full-service fund complex. We have become a leader in the fund service provider industry by continually providing exceptional customer service to each and every one of our open-end fund, closed-end fund, ETF and alternative investment clients.

Services

- Administration
- Compliance
- Distribution
- Fund Accounting
- Legal
- Marketing & Creative Services
- Medallion Distribution
- Shareholder Servicing
- Tax Administration
- Transfer Agency
- Series Trust Solution

“RELATIONSHIP MANAGEMENT and SERVICE is a strength of ALPS. They are very RESPONSIVE to all queries and are able to turn around requests quite quickly.”

> 2011 Global Custodian Mutual Fund Administration Survey



Services *Tailored* Around You

Our clients experience *a seamless extension of their own workforce as they outsource services to ALPS. ALPS' belief that the client relationship is paramount to our success is evident in the proactive approach our staff takes in communicating with clients. In addition, our staff understands the importance of responding to client needs in a timely manner with thorough answers. Key aspects of our service model include:*

Active Distribution Expertise & Experience	With an average of 20+ years industry experience, ALPS' wholesaling and marketing experts are available for direct consultation, helping drive our clients' fund families' sales.
ALPS Virtual Access (AVA) Technology	An online information delivery platform that provides clients quick and efficient access to fund data, compliance manuals, shareholder information, reporting tools and a document management system.
Automated Administration Reporting Tool	Fund Administration technology that operates as a central data hub automating critical back-office processes, resulting in streamlined operations for our clients.
Dedicated Relationship Manager	Communicate with a primary point of contact to efficiently execute business plans and resolve issues.
Dedicated to the Servicing of Fund Families	Fund servicing is the backbone of ALPS' business model, resulting in increased focus on our fund clients.
Experienced , Tenured Individuals from Highly Reputable Firms	Security in knowing that your fund needs are being handled by some of the most talented and experienced people in the industry to ensure "things are done right."
Fact Based Relationship Management	Regular meetings with clients establish expectations and ensure strong communication to promote overall client satisfaction.
Marketing & Creative Services	Leverage the Marketing & Creative Services department's knowledge and expertise to design outstanding marketing collateral that will build brand awareness.
Portfolio Data Access (PDA)	Fully automated fund accounting platform customized to support all aspects of a client's unique investment and financial accounting needs.
Leading Transfer Agent Platform	A highly flexible, customized transfer agency system that manages shareholder accounting needs resulting in increased productivity and operating efficiency.
Proprietary AdLit System for Expedited Advertising Review	Electronically upload advertising materials in order to implement new marketing strategies quickly and efficiently.
Tax Specialist	Help your portfolio managers fully understand the tax implications of a security by consulting with an ALPS Tax Specialist.

Committed to *Do Things Right*

OUR Company

- Established in 1985
- Over \$300B in Client Assets[^] serviced in divisions providing Mutual Fund Administration, Hedge Fund Administration, Distribution and Advisory Solutions for the Investment Management Industry
- Approximately 375 Employees
- 26 Officers & Directors - no turnover at this level in the past 5 years
- Total Assets Serviced increased by more than \$160 Billion over the past 5 years
- Annual Type II SSAE-16 report on internal controls and procedures

OUR Accomplishments

Our mutual fund services were recognized in the 2011 Global Custodian Mutual Fund Administration Survey

- **Ranked #1 Service Provider** in North America for the 4th consecutive year
- Awarded a “**Top Rated**” rating in all eligible categories
- Awarded “**Best in Class**” in 63 of 64 categories including client service, value, fund accounting, transfer agency, portfolio servicing, fund reporting and compliance

“ALPS’ strengths lie in their DEDICATION and RESPONSIVENESS as unexpected issues arise... and their FOCUS on TAILORING SERVICES.”

> 2010 Global Custodian Mutual Fund Administration Survey

[^] As of December 31, 2011.



Mission

We are a dynamic financial services firm built on relationships. We have a contagious enthusiasm for our people, our clients, our business partners, and our mutual opportunities for success.

Guiding Principles

We believe that personal relationships are the foundation of our success

We are committed to “Do Things Right.”

We are driven by growth and the challenges and opportunities it presents.

We strive to establish and grow relationships with organizations that share our values.

We promote an open and enthusiastic environment that leads to job satisfaction and career advancement based on merit.



ALPS Fund Services Inc.

1290 Broadway
Suite 1100
Denver, CO 80203
303.623.2577 **TEL**
303.623.7850 **FAX**
www.alpsinc.com