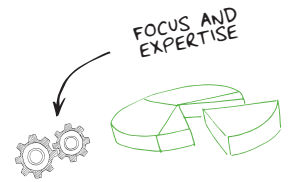


# ALPS ALTERNATIVE INVESTMENT SERVICES DISTRIBUTION SOLUTIONS



Growing assets while safely navigating the evolving regulatory distribution landscape is a challenge nearly all asset management companies face. Regulators have heightened their focus on financial advisers and enforcement actions are pushing fund managers to evaluate registration requirements and review internal compliance policies and procedures.

The ALPS team acts as an extension of your business to support your distribution strategy and clearly communicate your firm's unique value proposition.

## *ALPS' Clients Are Able To:*

- Actively market and sell their products utilizing their own staff
- Provide flexible compensation structures for sales personnel
- Support broad marketing campaigns for hedge funds and private equity funds

*Since 1985, ALPS Distributors, Inc. has Maintained a Continuous Record of Compliance Excellence.*



*ALPS provides comprehensive broker-dealer support for Fund Managers including Hedge Funds, Private Equity Funds, CPOs, and UCITS, among others.*



## *Comprehensive Services*

### **Maintain & supervise FINRA registrations for licensed individuals**

- Client access through on-line registered rep portal
- Coordinate Continuing Education requirements
- Administer & maintain required filings/licenses with FINRA
- Educate client staff on broker-dealer regulations and guidance

### **Provide fund marketing and sales literature review, approval and record maintenance**

- Online submission, review/approval, & real-time status updates through AVA Advertising Review Portal
- File required materials with FINRA
- Provide advertising regulatory and disclosure guidance
- Supervisory review of rep communications and sales activity
- AML review where necessary or preferred

*Learn More*  
[alpsinc.com](http://alpsinc.com)

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