

# ALPS Disruptive Technologies ETF

Fact Sheet | September 30, 2021

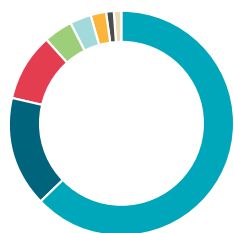
## Investment Objective

The Fund seeks to track the investment results of an index composed of global companies that enter traditional markets with new digital forms of production and distribution, and are likely to disrupt an existing market or value network.

This strategy provides the following potential benefits:

- **Global All-cap Equity Exposure**
- **Access to Disruptive Themes:** Equally weighted between 100 stocks through ten disruptive themes
- **Long-term Capital Appreciation:** Thematic Alpha

## Sector Allocations



Information Technology	62.88%
Industrials	15.97%
Health Care	9.72%
Financials	4.17%
Consumer Discretionary	3.03%
Utilities	2.17%
Communication Services	1.08%
Real Estate	0.98%

## Theme Allocations



Clean Energy & Smart Grid	10.32%
IoT	10.15%
Robotics & Artificial Intelligence	10.12%
Cloud Computing	10.05%
Mobile Payments	10.04%
Cyber Security	9.97%
Data & Analytics	9.96%
FinTech	9.88%
3D Print	9.79%
Healthcare Innovation	9.72%

Allocations as of 9/30/2021, Bloomberg and are subject to change.

## Performance as of 9/30/21

Total Returns	Cumulative				Annualized		
	1 Mo.	3 Mo.	YTD	S.I.	1 Yr.	3 Yr.	S.I. <sup>1</sup>
ALPS Disruptive Technologies ETF (Net Asset Value)	-5.23%	-0.29%	4.87%	95.28%	26.45%	18.29%	19.50%
ALPS Disruptive Technologies ETF (Market Price) <sup>2</sup>	-5.22%	-0.29%	4.94%	95.32%	26.25%	18.03%	19.51%
Indxx Disruptive Technologies Index	-5.19%	-0.16%	5.23%	98.71%	27.01%	18.80%	20.06%
Indxx Disruptive Technologies Index NTR	-5.20%	-0.17%	5.16%	97.38%	26.90%	18.57%	19.84%
Morningstar Global Markets Index - NR	-3.96%	-1.07%	11.06%	46.64%	28.27%	12.29%	10.73%

Performance data quoted represents past performance. Past performance does not guarantee future results. Current performance may be higher or lower than actual data quoted. Call 1.866.759.5679 or visit [www.alpsfunds.com](http://www.alpsfunds.com) for current month end performance. The investment return and principal value of an investment will fluctuate so that an investor's shares, when redeemed, may be worth more or less than their original cost.

<sup>1</sup> Fund inception date of 12/28/2017.

<sup>2</sup> Market Price is based on the midpoint of the bid/ask spread at 4 p.m. ET and does not represent the returns an investor would receive if shares were traded at other times.

## ETF Stats

Ticker:	DTEC
Underlying Index:	IDTEC Index
Listing Exchange:	NYSE Arca
CUSIP:	00162Q478
Fund Inception:	12/28/17
Dividends Paid:	Annually
Gross Expense Ratio:	<b>0.50%</b>
NAV*:	\$48.43
Shares Outstanding:	4,800,000

## Top 10 Holdings\*

CHINA LONGYUAN POWER GROUP-H	1.20%
BROOKS AUTOMATION INC	1.19%
AMERICAN EXPRESS CO	1.11%
ALLEGRO MICROSYSTEMS INC	1.10%
SALESFORCE.COM INC	1.10%
NEMETSCHKE SE	1.09%
KASPI/KZ JSC	1.09%
TESLA INC	1.08%
PALO ALTO NETWORKS INC	1.08%
VMWARE INC-CLASS A	1.08%

## Geographical Breakdown\*

United States	67.34%
Japan	6.08%
United Kingdom	3.87%
China	3.21%
Germany	2.07%
Canada	1.95%
Switzerland	1.92%
Netherlands	1.91%
Brazil	1.81%
Kazakhstan	1.09%
Denmark	1.06%
Austria	1.02%
Australia	0.99%
Spain	0.98%
New Zealand	0.98%
Israel	0.98%
France	0.96%
Italy	0.91%
Belgium	0.87%

\* As of 9/30/21 (subject to change)

### Themes & Descriptions



#### Healthcare Innovation

The majority of innovation in healthcare has been centered on the development of new diagnostic procedures, therapies, drugs, or medical devices. These advances range from new pharmaceutical agents and procedures (e.g. stents) to more precise diagnostic scanners and surgical robots.



#### Internet of Things (IoT)

IoT is the inter-networking of physical devices, buildings, and other items embedded with electronics, software, sensors and network connectivity which enables these objects to communicate with one another, collect and exchange data (sometimes on a continuous basis).



#### Clean Energy & Smart Grid

Energy/electricity generated by power stations using clean or renewable resources such as sun, wind, waves and water. These energy sources release minimal amount of greenhouse gases such as carbon dioxide and methane.

Smart Grid consists of controls, computers, automation, and new technologies and equipment working together, but in this case, these technologies will work with the electrical grid to respond digitally to quickly changing electric demand brought on by increased variability due to solar and wind power. The Smart Grid represents an unprecedented opportunity to move the energy industry into a new era of reliability, availability, and efficiency that will contribute to our economic and environmental health.



#### Cloud Computing

Cloud computing is the delivery of computing services (e.g. servers, storage, databases, networking, software, analytics and more) over the Internet. If you use an online service to send email, edit documents, watch/stream movies or TV, listen to music, play games or store pictures and other files, it's likely that cloud computing is doing all the work behind the scenes to allow this to occur.



#### Data and Analytics

Data and analytics is a disruptive technology which enables business users to process every granular bit of data in a quicker way, removing the traditional need for sampling & then applying models. It encourages an investigative approach in users for data analysis since they get access to the whole data. It can reveal insights hidden in the data, which were previously too costly due to large data movements.



#### FinTech

FinTech describes an emerging financial services sector in the 21st century. Originally, the term applied to technology applied to the back-end of established consumer and trade financial institutions. Since the end of the first decade of the 21st century, the term has expanded to include any technological innovation in the financial sector, including innovations in financial literacy and education, retail banking, investment and blockchain technology.



#### Robotics & Artificial Intelligence

Like the term "robot" itself, artificial intelligence is hard to define. Ultimate AI would be a re-creation of the human thought process; a man-made machine with our intellectual abilities. This would include the ability to learn just about anything, to reason, use language and conceive of original ideas or solutions.



#### Cybersecurity

Cybersecurity involves protecting information and systems from major cyber threats, such as cyber terrorism, cyber warfare, and cyber espionage. In their most disruptive form, cyber threats take aim at secret, political, military, or infrastructural assets of a nation, or its people. Cybersecurity is therefore a critical part of any government security strategy.



#### 3D Printing

The creation of a 3D printed object is achieved using additive processes. In an additive process an object is created by laying down successive layers of material until the object is created. Each of these layers can be seen as a thinly sliced horizontal cross-section of the eventual object. 3D printing has enormous disruptive potential in a wide variety of industries as diverse as apparel (e.g. printing customfitted clothing) to medicine and product repair (e.g. printing a replacement part for something at home).



#### Mobile Payments

Mobile payments is a big term that can mean everything from paying at restaurants with your phone or swiping your card on your friend's tablet, to transferring money to family or co-workers without needing to physically hand them cash. There are a few different types of mobile payment systems that all work a bit differently.

### Important Disclosure & Definitions

**An investor should consider the investment objectives, risks, charges and expenses carefully before investing. To obtain a prospectus which contain this and other information call 1.866.759.5679 or visit [www.alpsfunds.com](http://www.alpsfunds.com). Read the prospectus carefully before investing.**

**ALPS Disruptive Technologies ETF Shares are not individually redeemable. Investors buy and sell shares of the ALPS Disruptive Technologies ETF on a secondary market. Only market makers or "authorized participants" may trade directly with the Fund, typically in blocks of 5,000, 25,000 or 50,000 shares.**

*There are risks involved with investing in ETFs including the loss of money. Additional information regarding the risks of this investment is available in the prospectus.*

*An investment in the Fund is subject to investment risk including the possible loss of the entire principal amount that you invest.*

*Companies that the Index Provider believes are developing disruptive technologies may not in fact do so or may not be able to capitalize on those technologies. Companies that develop disruptive technologies may face political, legal or regulatory challenges. Such companies may also be exposed to risks applicable to industries or sectors other than the disruptive technology Theme for which they are chosen and may underperform relative to other companies that are also focused on a particular Theme.*

*Smaller and mid-size companies often have narrower markets, more limited managerial and financial resources and a less diversified product offering than larger, more established companies. As a result, their performance can be more volatile, which may increase the volatility of the Fund's portfolio.*

*The large capitalization companies in which the Fund invests may underperform other segments of the equity market or the equity market as a whole.*

*The Fund's investments in non-U.S. issuers may involve unique risks compared to investing in securities of U.S. issuers, including, among others, less liquidity generally, greater market volatility than U.S. securities and less complete financial information than for U.S. issuers. In addition, adverse political, economic or social developments could undermine the value of the Fund's investments or prevent the Fund from realizing the full value of its investments. Finally, the value of the currency of the country in which the Fund has invested could decline relative to the value of the U.S. dollar, which may affect the value of the investment to U.S. investors.*

*The fund is new and has limited operating history.*

*Indxx Disruptive Technologies Index (IDTEC): Based around companies that enter traditional markets with new digital forms of production and distribution, are likely to disrupt an existing market and value network, displace established market leading firms, products and alliances and increasingly gain market share.*

*One may not invest directly in the index.*

*Thematic Investing: Designed to participate in longer term technological disrupters, economic and political developments and social trends.*

*Thematic Alpha: The excess return of an investment relative to the return of a benchmark index that can be attributed to thematic investment strategies.*

*ALPS Portfolio Solutions Distributor, Inc. is the distributor for the ALPS Disruptive Technologies ETF*

*DTG000368 1/31/2022*