

# ALPS Emerging Sector Dividend Dogs ETF

Fact Sheet | September 30, 2021

## VALUE, INCOME, DIVERSIFICATION

The ALPS Emerging Sector Dividend Dogs ETF [EDOG] is an Exchange Traded Fund that applies the 'Dogs of the Dow Theory' on a sector-by-sector basis using the S-Network Emerging Markets Index as its starting universe of eligible securities. This strategy provides the following potential benefits:

- **High Yield Relative to Emerging Markets broad based indices** – Starting with a smaller, quality universe such as the S-Net Emerging Sector Dividend Dogs Index diminishes the likelihood of troubled and financially distressed companies entering the index and allows dividend yield to be the primary selection criterion for the index.
- **Sector, Stock and Country Diversification** – EDOG provides high dividend exposure across 10 sectors of the market that make up the S-Network Emerging Markets Index (excluding the real estate sector) by selecting the five highest yielding securities in each sector and equally weighting them. In addition, the country representation is capped at five eligible securities per country. This methodology provides diversification at the sector, stock, and country level.
- **Dogs Theory** – EDOG isolates the S-Network® Emerging Markets Index constituents with the highest dividend yield in their respective sectors providing the potential for price appreciation as market forces bring their yield into line with the overall market.

## Performance as of 9/30/21

Total Returns	Cumulative				Annualized			
	1 Mo.	3 Mo.	YTD	S.I. <sup>1</sup>	1 Yr.	3 Yr.	5 Yr.	S.I. <sup>1</sup>
ALPS Emerging Sector Dividend Dogs ETF (Net Asset Value)	-1.42%	2.10%	11.70%	32.33%	38.46%	9.91%	6.21%	3.80%
ALPS Emerging Sector Dividend Dogs ETF (Market Price) <sup>2</sup>	-1.51%	1.43%	11.60%	31.63%	38.33%	9.95%	5.90%	3.73%
Morningstar Emerging Markets Index - NR (Benchmark) <sup>1</sup>	-3.44%	-7.23%	0.49%	60.18%	21.23%	9.63%	9.61%	6.47%
S-Network® Emerging Sector Dividend Dogs NTR Index <sup>3</sup>	-1.39%	2.33%	12.25%	40.76%	39.77%	10.76%	7.00%	4.66%

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 1.866.675.2639 or visit [www.alpssectordividenddogs.com](http://www.alpssectordividenddogs.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 3/27/2014.

<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.

<sup>3</sup> The S-Network® Emerging Sector Dividend Dogs Index (Ticker: EDOGX) is a portfolio of stocks derived from a universe of mainly large capitalization stocks domiciled in emerging markets (the "S-Network Emerging Markets Index" "SNEMX"). One cannot invest directly in an index.

<sup>†</sup> The benchmark changed to the Morningstar Emerging Markets index on 12/13/2019.

## ETF Stats

Ticker:	EDOG
Underlying Index:	EDOGXTR
Listing Exchange:	NYSE Arca
CUSIP:	00162Q668
Fund Inception:	3/27/14
Dividends Paid:	Quarterly
Most Recent Dividend*:	\$0.3314
Gross Expense Ratio:	<b>0.60%</b>
NAV**:	\$24.57
30 Day SEC Yield^^	4.28%
Unsubsidized 30 Day SEC Yield	4.28%

\* Dividend paid on September 30, 2021

\*\* As of September 30, 2021

^^ The 30 day SEC yield figure reflects the dividends and interest earned during the period, after the deduction of the Fund's expenses.

## Investment Objective

The Fund seeks investment results that replicate as closely as possible, before fees and expenses, the performance of the S-Network® Emerging Sector Dividend Dogs Index (the "Index").

## Index Allocations

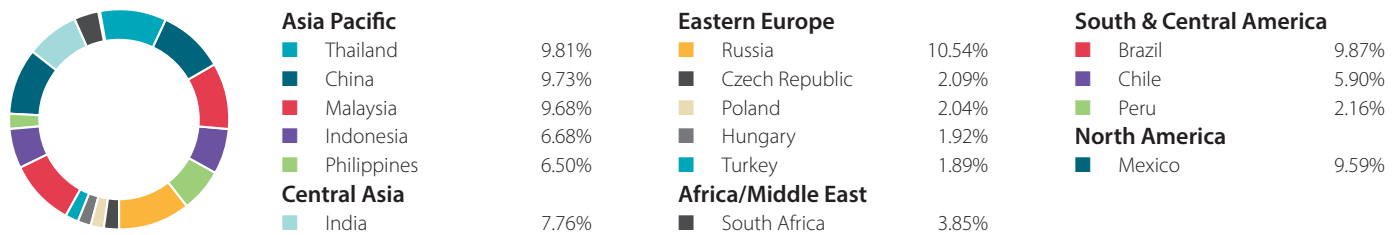


Industrials	10.63%
Energy	10.59%
Communication Services	10.48%
Consumer Staples	10.34%
Utilities	10.33%
Financials	10.17%
Health Care	9.75%
Consumer Discretionary	9.60%
Materials	9.31%
Information Technology	8.80%

Allocations as of 9/30/21 and are subject to change.

## ALPS Emerging Sector Dividend Dogs ETF

## EDOG Index Country Allocations



Allocations as of 9/30/21 and are subject to change.

## Index Constituents as of 9/30/21

Communication Services		Financials		Information Technology	
GLO PM	GLOBE TELECOM INC	BSBR US	BANCO SANTANDER BRASIL-ADS	3969 HK	CHINA RAILWAY SIGNAL & COM-H
INTUCH TB	INTOUCH HOLDINGS PCL	BBSE3 BZ	BB SEGURIDADE PARTICIPACOES	DELTA TB	DELTA ELECTRONICS THAI PCL
MCG SJ	MULTICHOICE GROUP LTD	1988 HK	CHINA MINSHENG BANKING COR-H	INFY US	INFOSYS LTD-SP ADR
TEL PM	PLDT INC	BAP US	CREDICORP LTD	3396 HK	LEGEND HOLDINGS CORP-H
VIVT3 BZ	TELEFONICA BRASIL S.A.	SBER LI	SBERBANK PJSC -SPONSORED ADR	WIT US	WIPRO LTD-ADR
Consumer Discretionary		Health Care		Materials	
FALAB CI	FALABELLA SA	BH TB	BUMRUNGRAD HOSPITAL PCL	GMXICOB MM	GRUPO MEXICO SAB DE CV-SER B
FROTO TI	FORD OTOMOTIV SANAYI AS	RDY US	DR. REDDY'S LABORATORIES-ADR	MNOD LI	MMC NORILSK NICKEL PJSC-ADR
GENT MK	GENTING BHD	KLBF IJ	KALBE FARMA TBK PT	ORBIA* MM	ORBIA ADVANCE CORP SAB DE CV
GENM MK	GENTING MALAYSIA BHD	RIGHT HB	RICHTER GEDEON NYRT	SVST LI	SEVERSTAL - GDR REG S
BRDT3 BZ	PETROBRAS DISTRIBUIDORA SA	TOPG MK	TOP GLOVE CORP BHD	VEDL US	VEDANTA LTD-ADR
Consumer Staples		Industrials		Utilities	
KOF US	COCA-COLA FEMSA SAB-SP ADR	AEV PM	ABOITIZ EQUITY VENTURES INC	ELET3 BZ	CENTRAIS ELETRICAS BRASILEIR
INDF IJ	INDOFOOD SUKSES MAKAMUR TBK P	BTS TB	BTS GROUP HOLDINGS PCL	CEZ CP	CEZ AS
KIMBERA MM	KIMBERLY-CLARK DE MEXICO-A	MISC MK	MISC BHD	ENIA US	ENEL AMERICAS SA-ADR
MGNT LI	MAGNIT PJSC-SPON GDR REGS	PINFRA* MM	PROMOTORA Y OPERADORA DE INF	ENIC US	ENEL CHILE SA-ADR
OSP TB	OSOTSPA PCL	SIME MK	SIME DARBY BERHAD	1071 HK	HUADIAN POWER INTL CORP-H
Energy					
ADRO IJ	ADARO ENERGY TBK PT				
EXX SJ	EXXARO RESOURCES LTD				
OGZD LI	GAZPROM PJSC-SPON ADR				
PGN PW	POLSKIE GORNICTWO NAFTOWE I				
1171 HK	YANZHOU COAL MINING CO-H				

Source: Bloomberg. Subject to change.

## Important Disclosures &amp; 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 866.675.2639 or visit [www.alpsfunds.com](http://www.alpsfunds.com). Read the prospectus carefully before investing.**

**Shares are not individually redeemable. Investors buy and sell shares 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.

The Fund is subject to the additional risks associated with concentrating its investments in companies in the market sector.

Diversification does not eliminate the risk of experiencing investment losses.

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, 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. Financial reporting standards for companies based in foreign markets differ from those in the United States. 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. An investor cannot invest directly in an index. Investing in emerging markets accentuates these risks.

The S-Network<sup>®</sup> Emerging Sector Dividend Dogs Index (Ticker: EDOGX) is a portfolio of stocks derived from a universe of mainly large capitalization stocks domiciled in emerging markets (the "S-Network<sup>®</sup> Emerging Markets Index" "SNEMX"). The EDOGX methodology selects the five stocks in each of the ten GICS sectors that make up the universe which offer the highest dividend yields as of the last trading day of November. The fifty stocks that are selected for inclusion in the portfolio are equally weighted. The universe includes stocks whose domicile and primary exchange listings are in countries identified by the World Bank as Upper Middle Income (certain lower middle income countries are also included, as well as stocks traded on the Taiwan Stock Exchange despite non-recognition by the World Bank). The selection criteria for the universe, in addition to the aforementioned country qualifications, also include requirements for sector inclusion, primary exchange listing, minimum market capitalization, share price, average daily trading volume and other factors.

Dogs of the Dow Theory: an investment strategy which proposes that an investor annually select for investment the ten Dow Jones Industrial Average stocks whose dividend is the highest fraction of their price.

Morningstar Emerging Markets Index: captures the performance of the stocks located in the emerging countries across the world. Stocks in the index are weighted by their float capital, which removes corporate cross ownership, government holdings and other locked-in shares.

ALPS Portfolio Solutions Distributor, Inc. is the distributor for the ALPS Emerging Sector Dividend Dogs ETF.

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