

# ALPS Sector Dividend Dogs ETF

Fact Sheet | September 30, 2022

## VALUE, INCOME, DIVERSIFICATION

The ALPS Sector Dividend Dogs ETF (SDOG) is an Exchange-Traded Fund that applies the 'Dogs of the Dow Theory' on a sector-by-sector basis using the S&P 500 as its starting universe of eligible securities. This strategy provides the following potential benefits:

- **High Dividend Yield Relative to US Large Cap Indices** – Starting with a smaller, quality universe such as the S&P 500 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 and Stock Diversification** – SDOG provides high dividend exposure across all 10 sectors of the market by selecting the five highest yielding securities in each sector and equally weighting them. This provides diversification at both the stock and sector level.
- **Dogs Theory** – SDOG isolates the S&P 500 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 9/30/2022

| Total Returns  | Cumulative |        |         |                 | Annualized |       |       |        |                 |
|--|------------|--------|---------|-----------------|------------|-------|-------|--------|-----------------|
|  | 1 M        | 3 M    | YTD     | SI <sup>1</sup> | 1 Y        | 3 Y   | 5 Y   | 10 Y   | SI <sup>1</sup> |
| NAV (Net Asset Value)                                  | -10.18%    | -9.09% | -13.22% | 164.39%         | -8.09%     | 5.06% | 4.39% | 9.35%  | 9.94%           |
| Market Price   | -10.14%    | -9.08% | -13.20% | 164.50%         | -8.03%     | 5.07% | 4.40% | 9.35%  | 9.95%           |
| S-Network Sector Dividend Dogs Index - TR <sup>2</sup> | -10.20%    | -9.06% | -13.07% | 176.70%         | -7.80%     | 5.46% | 4.81% | 9.85%  | 10.43%          |
| S&P 500 Index - TR <sup>3</sup>                        | -9.21%     | -4.88% | -23.87% | 221.65%         | -15.47%    | 8.16% | 9.24% | 11.70% | 12.07%          |

**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.**

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>1</sup> Fund inception date: 6/29/2012

<sup>2</sup> S-Network Sector Dividend Dogs Index: a rules-based index intended to give investors a means of tracking the overall performance of the highest dividend paying stocks in the S&P 500 on a sector-by-sector basis.

<sup>3</sup> S&P 500 Index: widely regarded as the best single gauge of large-cap US equities. The index includes 500 leading companies and covers approximately 80% of available market capitalization.

One may not invest directly in an index.

## Fund Details

|                                  |              |
|----------------------------------|--------------|
| Ticker:                          | SDOG         |
| Underlying Index:                | SDOGX        |
| Listing Exchange:                | NYSE Arca    |
| CUSIP:                           | 00162Q858    |
| Inception Date:                  | 6/29/2012    |
| Distributions Paid:              | Quarterly    |
| Most Recent Distribution*:       | \$0.4413     |
| Total Operating Expenses:        | <b>0.40%</b> |
| NAV:                             | \$45.13      |
| 30-Day SEC Yield <sup>^</sup> :  | 4.63%        |
| 30-Day SEC Yield (Unsubsidized): | 4.63%        |

\* Distribution paid on 9/29/2022

<sup>^</sup> 30-Day SEC Yield: 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 Sector Dividend Dogs Index (SDOGX).

## Index Allocations



|                        |        |
|------------------------|--------|
| Health Care            | 10.85% |
| Industrials            | 10.45% |
| Consumer Staples       | 10.19% |
| Energy                 | 10.14% |
| Financials             | 10.11% |
| Materials              | 9.96%  |
| Communication Services | 9.85%  |
| Information Technology | 9.75%  |
| Utilities              | 9.69%  |
| Consumer Discretionary | 9.01%  |

As of 9/30/2022, subject to change

## Index Constituents

| Communication Services |                              | Financials  |                              | Information Technology |                             |
|------------------------|------------------------------|-------------|------------------------------|------------------------|-----------------------------|
| T US                   | AT&T INC                     | BEN US      | FRANKLIN RESOURCES INC       | CSCO US                | CISCO SYSTEMS INC           |
| IPG US                 | INTERPUBLIC GROUP OF COS INC | HBAN US     | HUNTINGTON BANCSHARES INC    | HPE US                 | HEWLETT PACKARD ENTERPRISE  |
| LUMN US                | LUMEN TECHNOLOGIES INC       | PFG US      | PRINCIPAL FINANCIAL GROUP    | INTC US                | INTEL CORP                  |
| OMC US                 | OMNICOM GROUP                | PRU US      | PRUDENTIAL FINANCIAL INC     | IBM US                 | INTL BUSINESS MACHINES CORP |
| VZ US                  | VERIZON COMMUNICATIONS INC   | TFC US      | TRUIST FINANCIAL CORP        | STX US                 | SEAGATE TECHNOLOGY HOLDINGS |
| Consumer Discretionary |                              | Health Care |                              | Materials              |                             |
| BBY US                 | BEST BUY CO INC              | ABBV US     | ABBVIE INC                   | AMCR US                | AMCOR PLC                   |
| HAS US                 | HASBRO INC                   | AMGN US     | AMGEN INC                    | DOW US                 | DOW INC                     |
| NWL US                 | NEWELL BRANDS INC            | BMJ US      | BRISTOL-MYERS SQUIBB CO      | IP US                  | INTERNATIONAL PAPER CO      |
| VFC US                 | VF CORP                      | CAH US      | CARDINAL HEALTH INC          | LYB US                 | LYONDELLBASELL INDU-CL A    |
| WHR US                 | WHIRLPOOL CORP               | GILD US     | GILEAD SCIENCES INC          | NEM US                 | NEWMONT CORP                |
| Consumer Staples       |                              | Industrials |                              | Utilities              |                             |
| MO US                  | ALTRIA GROUP INC             | MMM US      | 3M CO                        | EIX US                 | EDISON INTERNATIONAL        |
| CAG US                 | CONAGRA BRANDS INC           | CMI US      | CUMMINS INC                  | FE US                  | FIRSTENERGY CORP            |
| KHC US                 | KRAFT HEINZ CO/THE           | HII US      | HUNTINGTON INGALLS INDUSTRIE | PNW US                 | PINNACLE WEST CAPITAL       |
| PM US                  | PHILIP MORRIS INTERNATIONAL  | LMT US      | LOCKHEED MARTIN CORP         | PPL US                 | PPL CORP                    |
| WBA US                 | WALGREENS BOOTS ALLIANCE INC | SNA US      | SNAP-ON INC                  | SO US                  | SOUTHERN CO/THE             |
| Energy                 |                              |             |                              |                        |                             |
| XOM US                 | EXXON MOBIL CORP             |             |                              |                        |                             |
| KMI US                 | KINDER MORGAN INC            |             |                              |                        |                             |
| OKE US                 | ONEOK INC                    |             |                              |                        |                             |
| VLO US                 | VALERO ENERGY CORP           |             |                              |                        |                             |
| WMB US                 | WILLIAMS COS INC             |             |                              |                        |                             |

Source: Bloomberg L.P., as of 9/30/2022, subject to change

## 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.**

**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.**

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 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 employs a "passive management" - or indexing - investment approach and seeks investment results that correspond (before fees and expenses) generally to the performance of its underlying index. Unlike many investment companies, the Fund is not "actively" managed. Therefore, it would not necessarily sell or buy a security unless that security is removed from or added to the underlying index, respectively.

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.

ALPS Advisors, Inc. is affiliated with ALPS Portfolio Solutions Distributor, Inc.

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

Not FDIC Insured • No Bank Guarantee • May Lose Value

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