

1.) CORPORATION NAME:

ALPS Advisers, Inc.

DUE DATE: **12/31/2013**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS:

**CT CORPORATION SYSTEM
4701 COX ROAD, SUITE 285
GLEN ALLEN, VA**

SCC ID NO: **F1691270**

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	20,000

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

HENRICO COUNTY

4.) STATE OR COUNTRY OF INCORPORATION:

CO

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 1290 BROADWAY
STE 1100

CITY/ST/ZIP: DENVER, CO 80203

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME:	THOMAS CARTER	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	PRESIDENT		
ADDRESS:	1290 BROADWAY		
	STE 1100		
CITY/ST/ZIP/CO:	DENVER, CO 80203		

NAME:	GREGG WM. GIVENS	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASST TREASURER		
ADDRESS:	333 WEST 11TH STREET		
CITY/ST/ZIP/CO:	KANSAS CITY, MO 64105		

NAME:	KENNETH V. HAGER	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	TREASURER		
ADDRESS:	333 WEST 11TH STREET		
CITY/ST/ZIP/CO:	KANSAS CITY, MO 64105		

NAME:	ERIC PARSONS	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	ASST TREASURER		
ADDRESS:	1290 BROADWAY		
	SUITE 1100		
CITY/ST/ZIP/CO:	DENVER, CO 80203		

NAME:	RANDALL D. YOUNG	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SECRETARY		
ADDRESS:	333 WEST 11TH STREET		
CITY/ST/ZIP/CO:	KANSAS CITY, MO 64105		

NAME:	EDMUND J BURKE	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	1290 BROADWAY		
	STE 1100		
CITY/ST/ZIP/CO:	DENVER, CO 80203		

NAME: JEREMY O MAY OFFICER DIRECTOR
TITLE: DIRECTOR
ADDRESS: 1290 BROADWAY STE 1100
CITY/ST/ZIP/CO: DENVER, CO 80203

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

<u>/s/ KENNETH V. HAGER</u>	<u>KENNETH V. HAGER,</u>	<u>12/20/2013</u>
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	TREASURER PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.