

# ALPS Sector Dividend Dogs ETF

Fact Sheet | December 31, 2020

## 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 12/31/20

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 Sector Dividend Dogs ETF (Net Asset Value)	3.19%	19.14%	-0.37%	144.92%	-0.37%	3.12%	8.62%	11.10%
ALPS Sector Dividend Dogs ETF (Market Price) <sup>2</sup>	3.10%	19.12%	-0.31%	144.81%	-0.31%	3.09%	8.61%	11.10%
S&P 500® Total Return Index (Benchmark)	3.84%	12.15%	18.40%	228.26%	18.40%	14.18%	15.22%	15.00%
S-Network® Sector Dividend Dogs TR Index (Benchmark)	3.26%	19.37%	-0.04%	154.65%	-0.04%	3.55%	9.11%	11.61%

**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 6/29/12.

<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:	SDOG
Underlying Index:	SDOGXTR
Listing Exchange:	NYSE Arca
CUSIP:	00162Q858
Fund Inception:	6/29/12
Dividends Paid:	Quarterly
Most Recent Dividend*:	\$0.3912
Gross Expense Ratio:	<b>0.40%</b>
NAV**:	\$44.69
30 Day SEC Yield^^	3.97%
Unsubsidized 30 Day SEC Yield	3.97%

\* Dividend paid on December 30, 2020

\*\* As of December 31, 2020

^^ 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® Sector Dividend Dogs Index (the "Underlying Index").

## Index Allocations



Communication Services	9.72%
Consumer Discretionary	10.59%
Consumer Staples	9.92%
Energy	9.43%
Financials	10.13%
Health Care	9.77%
Industrials	9.91%
Information Technology	10.05%
Materials	10.31%
Utilities	10.17%

Allocations as of 12/31/20 and are subject to change.

Index Constituents as of 12/31/20

Communication Services	
T US	AT&T Inc
LUMN US	CenturyLink Inc
IPG US	Interpublic Group of Cos Inc/T
OMC US	Omnicom Group Inc
VZ US	Verizon Communications Inc

Consumer Discretionary	
GPC US	Genuine Parts Co
HBI US	Hanesbrands Inc
HAS US	Hasbro Inc
LEG US	Leggett & Platt Inc
NWL US	Newell Brands Inc

Consumer Staples	
MO US	Altria Group Inc
K US	Kellogg Co
KHC US	Kraft Heinz Co/The
PM US	Philip Morris International Inc
WBA US	Walgreens Boots Alliance Inc

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/The

Financials	
CMA US	Comerica Inc
HBAN US	Huntington Bancshares Inc/OH
PBCT US	People's United Financial Inc
PRU US	Prudential Financial Inc
UNM US	Unum Group

Health Care	
ABBV US	AbbVie Inc
CAH US	Cardinal Health Inc
GILD US	Gilead Sciences Inc
MRK US	Merck & Co Inc
PFE US	Pfizer Inc

Industrials	
MMM US	3M Co
EMR US	Emerson Electric Co
GD US	General Dynamics Corp
HII US	Huntington Ingalls Industries
LMT US	Lockheed Martin Corp

Information Technology	
HPE US	Hewlett Packard Enterprise Co
IBM US	International Business Machine
STX US	Seagate Technology PLC
WU US	Western Union Co/The
XRX US	Xerox Holdings Corp

Materials	
AMCR US	Amcor PLC
CFUS	CF Industries Holdings Inc
DOW US	Dow Inc
IP US	International Paper Co
LYB US	LyondellBasell Industries NV

Utilities	
D US	Dominion Energy Inc
EIX US	Edison International
FE US	FirstEnergy Corp
PPL US	PPL Corp
SO US	Southern Co/The

Source: Bloomberg. Subject to change.

Important Disclosures & 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.**

**ALPS Sector Dividend Dogs ETF Shares are not individually redeemable. Investors buy and sell shares of the ALPS Sector Dividend Dogs ETF on a secondary market. Only market makers or "authorized participants" may trade directly with the Fund, typically in blocks of 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.

An investor cannot invest directly in an index.

The S-Network® Sector Dividend Dogs Index (Ticker: SDOGX) is designed to serve as a fair, impartial and transparent measure of the performance of U.S. large cap equities with above average dividend yields.

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.

The S&P 500® is an index of 500 stocks chosen for market size, liquidity and industry grouping among other factors.

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

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