

# ALPS ALTERNATIVE INVESTMENT SERVICES



## *Capitalize on the evolution in the alternatives market.*

The alternatives market is growing and evolving. More institutional money will continue to participate, and successful fund managers who think strategically will be able to take advantage in a big way. Operational demands are increasing, and funds with the right partners will be able to focus on returns, with confidence that obligations will be met and expectations exceeded.

## *Institutional investors want more transparency. Regulators are demanding more.*

Alternative asset managers rely on us to create the operational controls and reporting that institutional investors demand. They count on us to help them meet regulatory obligations, and alert them to new requirements, as regulators continue to focus on this sector. And they appreciate the way our teams fully understand their business, from start to finish.

## *If you value experience, you've come to the right place.*

### *Perfecting a culture of engagement with a commitment to our people and clients.*

It not only personifies who ALPS is but embodies the very essence of how we provide service. Our breadth and depth of

experience enable us to provide the insight required to stay ahead in the industry and give practical and valuable guidance to our clients. Our Executive and Senior Management team average over 20 years of experience in the industry and our unique culture has led to a consistent and strong management team.

### *A continual investment in technology.*

ALPS LIVE, our proprietary web-based platform, seamlessly integrates with industry leading systems to create a sophisticated, all-in-one portfolio accounting and reporting tool. Business intelligence, workflow, regulatory reporting and investor services processing are all built in, along with enhanced classification and aggregation functionality for trades, positions and investors. Institutional investors performing due diligence on fund managers and their service providers will receive the flexibility and transparency they require.

### *A scalable, institutional quality control environment and infrastructure.*

As a DST company, we store client data in our own world class data centers, obtain an annual SOC1 Certification on internal controls and procedures, and retain an Information Security program designed to comply with some of the financial industry's strictest regulations, including GLBA, PCI, HIIIPA, the SEC's Cybersecurity Initiative. Our clients and their institutional investors know their data is secure.

ALPS Alternative Investment Services, LLC

Learn More

Mike Procter, SVP, Director of Business Development  
720.917.0591 | mike.procter@alpsinc.com | alpsinc.com



# ALPS Alternative Investment Services

## We serve many types of clients

- Hedge Funds
- Fund of Hedge Funds
- Private Equity Funds
- Fund of Private Equity Funds
- Venture Capital Funds
- Real Estate Funds
- Managed Accounts
- High Net Worth Individuals
- Registered Investment Advisors
- Family Offices
- Investment Managers
- Commodity Pool Operators
- Commodity Trading Advisers

## With comprehensive alternative investment services

### Startup Consulting

- Initial fund structuring aimed at minimizing overall tax exposure of the fund and its investors

### Fund Administration

- Maintaining the books of record
- Reconciling cash and investment positions
- Calculating the Net Asset Value
- Financial statement and investor reporting
- Investor accounting and waterfall calculations
- IRR (Internal Rate of Return)
- Treasury services
- Annual financial statement preparation and audit liaison and support
- Investor registrar & transfer agency
- Subscription/redemption processing
- Anti-Money Laundering compliance
- Investor communications
- Transparency reporting
- Process capital calls and distributions
- Track unfunded commitments and called capital receivables

### Middle & Back Office

- Customized daily reporting for management, risk or compliance purposes and transparency
- Reconciliations of trade, cash activity and cash and positions balances with clearing brokers
- Trade capture and settlements
- Shadow accounting (*NAV calculations*) and reconciliation to primary fund accountant
- Security master and corporate action processing
- Independently valuing the portfolio
- Calculating management and performance fees

### Registered Office

- Provision of registered office
- Provision of company secretary
- Coordination of director and shareholder meetings
- Maintenance of the statutory books and records of the company
- Annual filings with offshore regulatory bodies

### Tax Compliance

- Federal, state and international tax reporting, including preparation of Schedule K-1 and Form 1099
- Partner tax allocations
- Obtaining and maintaining Forms W-8 and W-9, as appropriate
- Preparation of PFIC (Passive Foreign Investment Company)
- Reporting FBAR (Report of Foreign Bank and Financial Accounts) nonresident state withholding requirements

### Managers and General Partner Solutions

- Accounting, reconciliation and financial reporting
- Tax planning and compliance

### Regulatory Compliance & Consulting

- FATCA (Foreign Account Tax Compliance Act)
- Form PF (Private Fund)
- CPO – PQR (for NFA and CFTC)
- CRS (Common Reporting Standard)

### Distribution Services

- Maintain & supervise FINRA registrations for licensed individuals
- Provide private fund marketing and sales literature review, approval, and record maintenance

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