



NAVIGATING THE REGULATORY DISTRIBUTION LANDSCAPE

Distribution Solutions

Growing market share while safely navigating the evolving regulatory distribution landscape is a challenge nearly all asset management companies face. Regulators have heightened their focus on financial advisers and enforcement actions are pushing fund managers to evaluate registration requirements and review internal compliance policies and procedures.

The ALPS team acts as an extension of your business to support your distribution strategy and communicate your firm's unique value proposition.

ALPS' Clients Are Able To:

- Actively market and sell their products utilizing their own staff
- Provide flexible compensation structures for sales personnel
- Support broad marketing campaigns for registered and private funds

Since 1985, ALPS Distributors, Inc. has Maintained a Continuous Record of Compliance Excellence.



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Registered And Private Funds

ALPS provides comprehensive broker-dealer operational support for both Private Placements and Registered Funds.



Comprehensive Services

Maintain & supervise FINRA registrations for licensed individuals

- Client access through online registered rep portal
- Coordinate Continuing Education requirements
- Administer & maintain required filings/licenses with FINRA

Provide investment company advertising and sales literature review, approval and record maintenance

- Online submission, review/approval, & real-time status updates through AVA Advertising Review Portal
- File required materials with FINRA
- Provide advertising regulatory and disclosure guidance



Private Fund Services

Includes hedge funds, private equity funds, CPOs, and UCITS, among others.

- Act as private placement agent
- Educate client staff on broker-dealer regulations and guidance
 - Provide a "Supervisory Policies & Procedures" manual
 - Coordinate Continuing Education Requirements
- Supervisory review of rep communications and sales activity
- AML review where necessary or preferred



Registered Fund Services

Includes alternative mutual funds, ETFs, and interval funds, among others.

- Act as legal underwriter/distributor
 - Prepare, update, execute & maintain financial intermediary agreements
 - Online access provided through ALPS Virtual Access (AVA)
- Administer financial intermediary due diligence program
 - Provide ongoing monitoring of financial intermediary relationships
 - Established risk ranking methodology & reporting
- Perform financial intermediary payments & reporting
- Support financial intermediary relations
 - Consult and support client's distribution model & strategy
 - Fulfill key account intermediary initial and ongoing information and due diligence requests



10-YEAR GLOBAL OUTPERFORMER

2016 Global Custodian Mutual Fund Administration Survey

MUTUAL FUND ADMINISTRATOR OF THE YEAR

2015 Global Custodian Mutual Fund Administration Survey

EXCELLENCE & CONSISTENCY IN CLIENT SERVICING

Global Custodian's 25th Anniversary Award

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