



State of Rhode Island and Providence Plantations  
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

Foreign Business Corporation  
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2017

1. Corporate ID No. 000160095

2. Name of Corporation ALPS Advisers, Inc.

3. Street Address Principal Business Office:

No. and Street: 1290 BROADWAY, SUITE 1100

City or Town: DENVER

State: CO Zip: 80203 Country: USA

4. Business Phone No.

816-435-8655

5. State of Incorporation

State: CO

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

81

6. Brief Description of the Character of Business Conducted in Rhode Island

INVESTMENT ADVISORY SERVICES

7. Names and Addresses of the Officers and Directors:

**All officers and directors must be listed.**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	THOMAS A, CARTER	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
SECRETARY	RANDALL D. YOUNG	333 WEST 11TH STREET

		KANSAS CITY, MO 64105 US
VICE PRESIDENT	ERIC PARSONS	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
VICE PRESIDENT, TREASURER & ASST. SECRETARY	GREGG WM GIVENS	333 WEST 11TH STREET KANSAS CITY, MO 64105 USA
SENIOR VICE PRESIDENT	ERIN D. NELSON	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
VICE PRESIDENT	PATRICK BUCHANAN	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
ASST. TREASURER & CONTROLLER	ERIC PARSONS	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 US
SENIOR VICE PRESIDENT	ROBERT J. SZYDLOWSKI	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
EXECUTIVE VICE PRESIDENT	JEREMY O. MAY	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
SENIOR VICE PRESIDENT	BRADLEY J. SWENSON	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
SENIOR VICE PRESIDENT	AISHA J HUNT	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
ASSISTANT TREASURER	DOUGLAS W FLEMING	333 WEST 11TH STREET KANSAS CITY, MO 64105 USA
DIRECTOR	JEREMY O. MAY	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
DIRECTOR	EDMUND J. BURKE	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA
DIRECTOR	THOMAS A. CARTER	1290 BROADWAY, SUITE 1100 DENVER, CO 80203 USA

## 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CNP		\$0.0000	20,000.00	1000

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 13 Day of January, 2017 at 5:05:16 PM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By GREGG WM. GIVENS  
Signature of Authorized Representative of the Corporation

Revised 09/07

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