



**State of Rhode Island
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: 2021

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.

8164358698

5. State of Incorporation

State: CO

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523930

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	LATON SPAHR	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
TREASURER	PATRICK J. PEDONTI	80 LAMBERTON RD

		WINDSOR, CT 06095 USA
SECRETARY	JOSEPH J. FRANK	80 LAMBERTON RD WINDSOR, CT 06095 USA
ASSISTANT SECRETARY	RICHARD C. NOYES	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
SENIOR VICE PRESIDENT	RICHARD C. NOYES	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
SENIOR VICE PRESIDENT	ROBERT J. SZYDLOWSKI	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
CHIEF TECHNOLOGY OFFICER	ROBERT J. SZYDLOWSKI	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
CHIEF COMPLIANCE OFFICER	MATTHEW SUTULA	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
ASSISTANT SECRETARY	PATRICK J. PEDONTI	80 LAMBERTON RD WINDSOR, CT 06095 USA
VICE PRESIDENT	PATRICK J. PEDONTI	80 LAMBERTON RD WINDSOR, CT 06095 USA
EXECUTIVE VICE PRESIDENT	BRADLEY J. SWENSON	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
ASSISTANT TREASURER	ERIC T. PARSONS	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
VICE PRESIDENT	ERIC T. PARSONS	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
CONTROLLER	BRADLEY J. SWENSON	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
DIRECTOR	LATON SPAHR	1290 BROADWAY SUITE 1100 DENVER, CO 80203 USA
DIRECTOR	BRADLEY J. SWENSON	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 10 Day of February, 2021 at 5:51:22 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 JOSEPH J. FRANK
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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