

F1200004887

Division of Corporations

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Florida Department of State
Division of Corporations
Electronic Filing Cover Sheet

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To: Division of Corporations
Fax Number : (850) 617-6381

From: Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (850) 222-1092
Fax Number : (850) 878-5368

Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.

Email Address: _____

FOREIGN PROFIT/NONPROFIT CORPORATION
ALPS Fund Services Inc.

Certificate of Status	0
Certified Copy	0
Page Count	06
Estimated Charge	\$70.00

Electronic Filing Menu

Corporate Filing Menu

Help

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12/4/2012

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12 DEC -4 AM 8:57
SECRETARY OF STATE
DIVISION OF CORPORATIONS

Handwritten signature

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: ALPS Fund Services, Inc.

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Valda Lake

Name of Person

DST Systems, Inc.

Firm/Company

333 West 11th Street

Address

Kansas City, MO 64105

City/State and Zip code

vlake@dstsystems.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Val Lake

at (816) 435-8655

Name of Person

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

- ☐ \$70.00 Filing Fee ☐ \$78.75 Filing Fee & Certificate of Status ☒ \$78.75 Filing Fee & Certified Copy ☐ \$87.50 Filing Fee, Certificate of Status & Certified Copy

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. ALPS Fund Services, Inc.

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Ltd.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Colorado

(State or country under the law of which it is incorporated)

3. 84-1583422

(FEI number, if applicable)

4. 04/02/2001

(Date of incorporation)

5. Perpetual

(Duration: Year corp. will cease to exist or "perpetual")

6. _____

(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 1290 Broadway, Suite 1100, Denver, CO 80203

(Principal office address)

333 West 11th Street, Kansas City, MO 64105

(Current mailing address)

8. Manual fund service provider

(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)

9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: CT Corporation System

Office Address: 1200 South Pine Island Road

Plantation

(City)

, Florida 33324

(Zip code)

10. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.

CT Corporation System

By: _____

(Registered agent's signature)

Kristin Bolden
Assistant Secretary

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

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SECRETARY OF CORPORATIONS
DIVISION OF CORPORATIONS
DEC - 4 AM 8:57

12. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: Edmund J. Burke
Address: 1290 Broadway, Suite 1100
Denver, CO 80203

Vice Chairman: Jeremy O. May
Address: 1290 Broadway, Suite 1100
Denver, CO 80203

Director: Thomas A. Carter
Address: 1290 Broadway, Suite 1100
Denver, CO 80203

Director: _____
Address: _____

B. OFFICERS

President: Jeremy O. May
Address: 1290 Broadway, Suite 1100
Denver, CO 80203

Vice President: Thomas A. Carter
Address: 1290 Broadway, Suite 1100
Denver, CO 80203

Secretary: Randall D. Young
Address: 333 West 11th Street, Kansas City, MO 64105

Treasurer: Kenneth V. Hager
Address: 333 West 11th Street, Kansas City, MO 64105

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DIVISION OF CORPORATIONS
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NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13. 
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 12 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in §817.155, F.S.

14. Kenneth V. Hager, Vice President, Treasurer and Assistant Secretary
(Typed or printed name and capacity of person signing application)

Additional Officers for ALPS Fund Services, Inc.:

Current Officers

Mathew W. Elschen
 Paul M. Garvey
 Patricia P. Lobato
 Sean R. McLean
 Lisa B. Mougin
 Michael G. Procter
 Dana Smith
 Kimberly R. Storms
 Bradley J. Swenson
 Robert J. Szydlowski
 Tané T. Tyler
 Robert Wood
 Lauren Johnson
 David Nelson
 Tanya Walker
 Eric Parsons
 Wade Clouse
 Derek DeBenedictis
 Sheri F. McMullin
 Julie E. O'Neal
 Dawn Cotten
 Melanie Zimdars
 Jason Cholewa
 Michael Hawm
 Paul F. Leone
 Erin Douglas
 JoEllen Legg
 David T. Buhler
 Rhonda A. Mills
 Kelly Dodd
 Scott McVicker
 Kim O'Connor
 David Johnson
 Allyson Anderson
 Sherie Williams
 Genevieve Mansfield
 Gregg Wm. Givens

Office(s) Held

Sr. VP, Director of Transfer Agency
 Sr. VP, Director of Hedge Fund Services
 Sr. VP, Director of Creative Services
 Sr. VP, Director of Fund Accounting
 Sr. VP, National Sales Director
 Sr. VP, National Sales
 Sr. VP, Director of Tax
 Sr. VP, Director of Fund Administration
 Sr. VP, Chief Compliance Officer
 Sr. VP, Chief Technology Officer
 Sr. VP, Asst. Secretary, General Counsel
 VP, Information Technology
 VP, Fund Controller
 VP, Transfer Agency
 VP, Creative Services
 VP, Controller and Asst. Treasurer
 VP, Alternative Investments
 VP, Sr Fund Controller, Financial Rptg Mgr
 VP, Hedge Fund Administration
 VP, Hedge Fund Administration
 VP, Fund Controller
 VP, Deputy Compliance Officer
 VP, Business Development
 VP, Business Development
 VP, Assistant General Counsel
 VP, Senior Associate Counsel
 VP, Senior Associate Counsel
 VP, Associate Counsel
 VP, Associate Counsel
 Asst. VP, Fund Accounting
 Asst. VP, Fund Accounting
 Asst. VP, Transfer Agency
 Asst. VP, Transfer Agency
 Asst. VP, Investor Services
 Asst. VP, IT Operations
 Asst. VP, Fund Accounting
 Assistant Treasurer

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 DIVISION OF CORPORATIONS
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OFFICE OF THE SECRETARY OF STATE
OF THE STATE OF COLORADO

CERTIFICATE

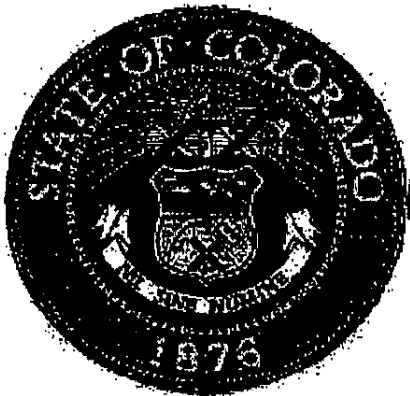
I, Scott Gessler, as the Secretary of State of the State of Colorado, hereby certify that, according to the records of this office,

ALPS Fund Services, Inc.

is a Corporation formed or registered on 04/02/2001 under the law of Colorado, has complied with all applicable requirements of this office, and is in good standing with this office. This entity has been assigned entity identification number 20011067907.

This certificate reflects facts established or disclosed by documents delivered to this office on paper through 11/16/2012 that have been posted, and by documents delivered to this office electronically through 11/21/2012 @ 15:01:19.

I have affixed hereto the Great Seal of the State of Colorado and duly generated, executed, authenticated, issued, delivered and communicated this official certificate at Denver, Colorado on 11/21/2012 @ 15:01:19 pursuant to and in accordance with applicable law. This certificate is assigned Confirmation Number 8391308.



Secretary of State of the State of Colorado

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SECRETARY OF STATE
DIVISION OF CORPORATIONS
12 DEC -4 AM 8:57

*****End of Certificate*****

Notice: A certificate issued electronically from the Colorado Secretary of State's Web site is fully and immediately valid and effective. However, as an option, the issuance and validity of a certificate obtained electronically may be established by visiting the Certificate Confirmation Page of the Secretary of State's Web site: <http://www.sos.state.co.us/biz/CertificateSearchCertificate> entering the certificate's confirmation number displayed on the certificate, and following the instructions displayed. Confirming the issuance of a certificate is merely optional and is not necessary to the valid and effective issuance of a certificate. For more information, visit our Web site, <http://www.sos.state.co.us/click/BusinessCenter> and select "Frequently Asked Questions."

CERT_Q3_P Revised 08/24/2008