

## BrokerCheck Report

### ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.

CRD# 144464

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.

CRD# 144464

SEC# 8-67659

### Main Office Location

1290 BROADWAY  
SUITE 1000  
DENVER, CO 80203  
Regulated by FINRA Denver Office

### Mailing Address

1290 BROADWAY  
SUITE 1000  
DENVER, CO 80203

### Business Telephone Number

303 623-2577

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in Colorado on 03/19/2007.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a corporation.  
This firm was formed in Colorado on 03/19/2007.  
Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

**ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.**  
**Doing business as ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.**  
**CRD#** 144464  
**SEC#** 8-67659

Main Office Location

1290 BROADWAY  
SUITE 1000  
DENVER, CO 80203  
**Regulated by FINRA Denver Office**

Mailing Address

1290 BROADWAY  
SUITE 1000  
DENVER, CO 80203

Business Telephone Number

303 623-2577

Other Names of this Firm

Name	Where is it used
ALPS PORTFOLIO SOLUTIONS	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT,

VA, VT, WA, WI, WV,  
WY



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** ALPS HOLDINGS INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** PARENT

**Position Start Date** 05/2007

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** DOLAN, DANIEL PATRICK MR.

1320273

**Is this a domestic or foreign entity or an individual?** Individual

**Position** SENIOR VP; DIRECTOR OF WEALTH MANAGEMENT

**Position Start Date** 10/2013

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** IRELAND, KEVIN J

1331960

**Is this a domestic or foreign entity or an individual?** Individual

**Position** SENIOR VP, DIRECTOR OF INSTITUTIONAL SALES

**Position Start Date** 06/2010

## Firm Profile



### Direct Owners and Executive Officers (continued)

<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No
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<b>Legal Name &amp; CRD# (if any):</b>	KYLLO, STEPHEN JOHN 3204474
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	SVP; PRESIDENT; DIRECTOR; CHIEF COMPLIANCE OFFICER; PRINCIPAL OPERATIONS OFFICER
<b>Position Start Date</b>	04/2020
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
<hr/>	
<b>Legal Name &amp; CRD# (if any):</b>	PARSONS, ERIC T 5215115
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP, CONTROLLER, PRINCIPAL FINANCIAL OFFICER
<b>Position Start Date</b>	06/2021
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No
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Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any):	WELLEN, ALECIA DAWN 4846551
Is this a domestic or foreign entity or an individual?	Individual
Position	VP, CHIEF COMPLIANCE OFFICER
Position Start Date	05/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

**Legal Name & CRD# (if any):** SS&C GIDS, INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Company through which indirect ownership is established** ALPS HOLDINGS, INC.

**Relationship to Direct Owner** OWNER

**Relationship Established** 11/2011

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** Yes

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**Legal Name & CRD# (if any):** SS&C TECHNOLOGIES HOLDINGS, INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Company through which indirect ownership is established** SS&C TECHNOLOGIES, INC.

**Relationship to Direct Owner** OWNER

**Relationship Established** 11/2005

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** Yes

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**Legal Name & CRD# (if any):** SS&C TECHNOLOGIES, INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	SS&C GIDS, INC.
Relationship to Direct Owner	OWNER
Relationship Established	04/2018
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	12/17/2007

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	12/17/2007



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/02/2008
Alaska	Approved	01/02/2008
Arizona	Approved	01/01/2008
Arkansas	Approved	01/02/2008
California	Approved	01/02/2008
Colorado	Approved	12/19/2007
Connecticut	Approved	01/02/2008
Delaware	Approved	01/10/2008
District of Columbia	Approved	01/03/2008
Florida	Approved	01/07/2008
Georgia	Approved	01/04/2008
Hawaii	Approved	01/22/2008
Idaho	Approved	01/02/2008
Illinois	Approved	01/02/2008
Indiana	Approved	01/25/2008
Iowa	Approved	01/02/2008
Kansas	Approved	01/02/2008
Kentucky	Approved	01/02/2008
Louisiana	Approved	01/09/2008
Maine	Approved	02/01/2008
Maryland	Approved	01/22/2008
Massachusetts	Approved	01/15/2008
Michigan	Approved	01/08/2008
Minnesota	Approved	01/07/2008
Mississippi	Approved	12/19/2007
Missouri	Approved	01/02/2007
Montana	Approved	01/02/2008
Nebraska	Approved	01/11/2008
Nevada	Approved	01/02/2008
New Hampshire	Approved	02/08/2008
New Jersey	Approved	01/02/2008
New Mexico	Approved	01/15/2008
New York	Approved	01/10/2008

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/08/2008
North Dakota	Approved	01/07/2008
Ohio	Approved	01/17/2008
Oklahoma	Approved	01/02/2008
Oregon	Approved	02/14/2008
Pennsylvania	Approved	01/07/2008
Puerto Rico	Approved	01/15/2008
Rhode Island	Approved	01/15/2008
South Carolina	Approved	01/02/2008
South Dakota	Approved	12/20/2007
Tennessee	Approved	04/14/2008
Texas	Approved	02/22/2008
Utah	Approved	01/07/2008
Vermont	Approved	01/09/2008
Virgin Islands	Approved	01/14/2008
Virginia	Approved	01/02/2008
Washington	Approved	01/02/2008
West Virginia	Approved	01/02/2008
Wisconsin	Approved	01/02/2008
Wyoming	Approved	01/02/2008

## Firm Operations



### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 2 types of businesses.**

#### Types of Business

Mutual fund underwriter or sponsor

Private placements of securities

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## Firm Operations

### Industry Arrangements



**This firm does have books or records maintained by a third party.**

<b>Name:</b>	MYCOMPLIANCEOFFICE, INC.
<b>Business Address:</b>	535 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10017
<b>Effective Date:</b>	05/02/2022
<b>Description:</b>	MYCOMPLIANCEOFFICE, INC. IS A REGULATORY COMPLIANCE SOFTWARE PRODUCT THAT OFFERS SOFTWARE TO MAINTAIN AND TRACK PERSONAL TRADING ACCOUNTS OF ACCESS PERSONS TO COMPLY WITH THE FIRMS CODE OF ETHICS POLICY.
<b>Name:</b>	QUEST CE
<b>Business Address:</b>	10850 WEST PARK PLACE SUITE 1000 MILWAUKEE, WI 53224
<b>Effective Date:</b>	01/01/2015
<b>Description:</b>	QUEST CE'S ONLINE SOFTWARE IS USED TO MANAGE AND RETAIN THE FIRMS RECORDS IN RELATION TO REGISTRATION AND LICENSING, AML TRAINING, FIRM ELEMENT, AND ANNUAL COMPLIANCE INTERVIEWS.
<b>Name:</b>	IRON MOUNTAIN
<b>Business Address:</b>	5050 MOLINE STREET DENVER, CO 80239
<b>Effective Date:</b>	09/25/1992
<b>Description:</b>	IRON MOUNTAIN OFFERS OFF-SITE STORAGE OF BROKER-DEALER RECORDS AT THEIR SECURE FACILITY.
<b>Name:</b>	GLOBAL RELAY COMMUNICATIONS, INC.
<b>Business Address:</b>	410 PARK AVENUE 15TH FLOOR NEW YORK, NY 10022
<b>Effective Date:</b>	05/14/2007
<b>Description:</b>	GLOBAL RELAY COMMUNICATIONS WILL SERVE AS THE FIRMS COMPLIANCE MESSAGE ARCHIVING AND MONITORING SERVICE PROVIDER. GLOBAL RELAY WILL IMPLEMENT ELECTRONIC STORAGE MEDIA TO STORE CERTAIN BOOKS AND RECORDS AS REQUIRED BY



## Firm Operations



### Industry Arrangements (continued)

SEC RULE 17A-3 AND/OR 17A-4.

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**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**EZE SOFTWARE GROUP PTY LIMITED is under common control with the firm.**

<b>Business Address:</b>	15 CASTLEREAGH STREET LEVEL 7 SYDNEY, AUSTRALIA NSW 2000
<b>Effective Date:</b>	10/01/2018
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	AUSTRALIA
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	EZE SOFTWARE GROUP PTY LIMITED IS UNDER COMMON CONTROL OF THE FIRMS INDIRECT OWNER, SS&C TECHNOLOGIES HOLDINGS, INC.

**EZE CASTLE TRANSACTION SERVICES LLC is under common control with the firm.**

<b>CRD #:</b>	132246
<b>Business Address:</b>	500 TOTTEN POND ROAD 2ND FLOOR WALTHAM, MA 02451
<b>Effective Date:</b>	10/01/2018
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	EZE CASTLE TRANSACTION SERVICES LLC IS UNDER COMMON CONTROL OF THE FIRMS INDIRECT OWNER, SS&C TECHNOLOGIES HOLDINGS, INC.

## Firm Operations



### Organization Affiliates (continued)

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**SECOND STREET SECURITIES, INC. is under common control with the firm.**

<b>CRD #:</b>	42404
<b>Business Address:</b>	21860 BURBANK BLVD SUITE 150 WOODLAND HILLS, CA 91367
<b>Effective Date:</b>	04/01/2018
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	SECOND STREET SECURITIES, INC. IS UNDER COMMON CONTROL OF THE FIRMS INDIRECT OWNER, SS&C TECHNOLOGIES, INC.

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**SS&C MARKET SERVICES, LLC is under common control with the firm.**

<b>CRD #:</b>	23568
<b>Business Address:</b>	ONE FINANCIAL CENTER 4TH FLOOR BOSTON, MA 02111
<b>Effective Date:</b>	10/31/2011
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	SS&C MARKET SERVICES, LLC IS UNDER COMMON CONTROL OF THE FIRMS INDIRECT OWNER, SS&C TECHNOLOGIES.

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**ALPS ADVISORS, INC. is under common control with the firm.**

<b>CRD #:</b>	134340
<b>Business Address:</b>	1290 BROADWAY SUITE 1100 DENVER, CO 80203

## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 12/18/2006

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** ALPS ADVISORS, INC. IS A SUBSIDIARY OF ALPS HOLDINGS, INC. ALPS HOLDINGS, INC. IS ALSO THE PARENT COMPANY TO ALPS DISTRIBUTORS, INC., ALPS FUND SERVICES, INC. AND ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.

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#### ALPS DISTRIBUTORS, INC. is under common control with the firm.

**CRD #:** 16853

**Business Address:** 1290 BROADWAY  
SUITE 1100  
DENVER, CO 80203

**Effective Date:** 07/01/1985

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** ALPS DISTRIBUTORS, INC. IS A SUBSIDIARY OF ALPS HOLDINGS, INC. ALPS HOLDINGS, INC. IS ALSO THE PARENT COMPANY TO ALPS ADVISERS, INC., ALPS FUND SERVICES, INC. AND ALPS PORTFOLIO SOLUTIONS DISTRIBUTOR, INC.

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#### This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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