RMB CAPITAL

FACT SHEET

*As of October 10, 2018*

**We Take Care of Every Aspect of Our Clients' "Big Picture"**

RMB Capital is an independent, employee-owned firm that offers advisory services and investment solutions for a diverse range of clients.

/ *For high-net-worth individuals and families*, RMB Wealth Management provides holistic financial planning services as well as asset allocation recommendations and investment implementation. Our goal is to pilot a personalized financial plan designed with each client's best interests, unique needs, and long-term objectives in mind.

/ *For institutional investors*, RMB Asset Management offers equity, fixed income, and alternative investment strategies run by highly experienced portfolio managers. Our goal is to deliver solutions that satisfy distinct objectives within each institution's overall asset allocation.

/ *For employers*, RMB Retirement Plan Solutions serves as a co-fiduciary, providing retirement plan consulting based on a comprehensive assessment of each employer's unique needs. Our goal is to optimize outcomes for the organization, its employees, and its executives.

**Key Facts:**

/ Assets Under Management (AUM): Approximately $9.4 billion[1]
/ Employees: 200+
/ Clients: 2,700+ nationwide
/ Office Locations: Chicago | Brookfield | Denver | Jackson Hole | Lake Forest | Milwaukee Minneapolis | New York | Oakbrook Terrace | Washington, D.C.

**Industry Recognition: ***
For specific details, please visit **www.rmbcap.com/why-rmb/#recognition**

/ *Barron's 2018* [2]
For the third year in a row, *Barron's* magazine recognized RMB as one of the Top Independent Advisory firms in the nation. Rankings were based on a number of criteria, including assets under management, client retention, and various factors that speak to the firms' ability to provide broad and consistent services to their clients.

/ *Financial Times 2018* [3]
*Financial Times* once again ranked RMB Capital as one of the "FT 300 Top Registered Investment Advisors" in the U.S. The Financial Times' 2018 methodology is quantifiable and objective, based on six criteria (with 75-85 percent of the weighting on the first two): AUM, AUM growth rate, firm's years in existence, compliance record, industry certifications, and online accessibility.

- *Financial Advisor 2018* [4]
  In 2018, *Financial Advisor* magazine featured RMB as #25 of the Top 50 Fastest-Growing Firms with more than $250 million in AUM and as #28 in its Annual RIA Ranking, based on both discretionary and nondiscretionary assets under management as reported on Form ADV.
- *Financial Planning 2015* [5]
  *Financial Planning* magazine featured RMB as #10 on its Top 100 Firms list and #4 on its 50 Fastest-Growing Firms list for 2015.

**Community Involvement:**
RMB supports a wide variety of charities and schools in the communities where the firm conducts business, such as these non-profit organizations. For additional information, please visit rmbcap.com/why-rmb/rmb-outreach.

- *Alzheimer's Association of Colorado*
  The Alzheimer's Association strives to eliminate the disease through the advancement of research; to provide and enhance care and support for all affected; and to reduce the risk of dementia through the promotion of brain health.
- *Berrien Community Foundation*
  The Berrien Community Foundation strives to enhance the quality of life and build a spirit of community in Berrien County, Michigan.
- *Boys & Girls Club of Benton Harbor*
  The Boys & Girls Club inspires and enables all young people, especially those who need us the most, to realize their full potential as productive, responsible, and caring citizens.
- *Chicago Community Trust*
  The Chicago Community Trust connects the generosity of donors with community needs by making grants to organizations working to improve metropolitan Chicago.
- *The Community House*
  The Community House provides local opportunities for athletics, arts and culture, counseling, education services, volunteer opportunities, and community connections to residents of Hinsdale and the surrounding areas.
- *Greenhouse Scholars*
  Greenhouse Scholars provides comprehensive personal and financial support to high-performing, under-resourced college students.
- *Robert Crown Centers for Health Education*
  Through preventive health education, the Robert Crown Centers lead, educate, and motivate children to grow up healthy, happy, and safe.
- *The University of Colorado (CU) Leeds School of Business*
  Leeds is devoted to producing innovative, principled business leaders by employing top-tier faculty and staff to deliver a curriculum that emphasizes entrepreneurial drive and a global mindset.
- *Wellness House*
  At no cost and as a complement to medical treatment, Wellness House offers programs that educate, support, and empower those affected by cancer so that they may improve their

physical and emotional well-being.

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* Disclosures:

1 Total assets under management ("AUM") presented here differs from regulatory assets under management ("RAUM") reported on RMB Capital's Form ADV. AUM reflects net assets under management for private funds and mutual funds managed by RMB Capital, while RAUM reflects gross assets under management. AUM also includes RMB West's assets under advisement, which are not included in RMB Capital's RAUM. AUM estimated as of 9/30/18.

2 The formula Barron's uses to rank advisors is proprietary. It has three major components: assets managed, revenue produced, and quality of practice. Investment returns are not a component of the rankings because an advisor's returns are dictated largely by the risk balance of clients. The quality-of-practice component includes an evaluation of each advisor's regulatory record.

3 The *Financial Advisor* selection process was based on assessing 20 categories of practice management, such as customer service, risk/investment planning philosophy, credentials, team dynamics, fee/cost structure, and average assets under management (AUM) per client.

4 The Financial Times 300 Top Registered Investment Advisers is an independent listing produced annually by the Financial Times (June, 2018). The FT 300 is based on data gathered from RIA firms, regulatory disclosures, and the FT's research. The listing reflected each practice's performance in six primary areas: assets under management, asset growth, compliance record, years in existence, credentials and online accessibility. This award does not evaluate the quality of services provided to clients and is not indicative of the practice's future performance. Neither the RIA firms nor their employees pay a fee to The Financial Times in exchange for inclusion in the FT 300.

5 The *Financial Planning* list was assembled using data gathered from Form ADV filings as of September 2014.

*Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an adviser provide you with information about which you determine to hire or retain an adviser.*

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