



**Disclosure Brochure**  
**(Form ADV Part 2A)**  
**February 13, 2018**

**RMB West, LLC**  
44 Cook Street, Suite 300  
Denver, Colorado 80206  
(888)675-2289  
rmbcap.com

This Part 2A of Form ADV (the "Brochure") provides information about the qualifications and business practices of RMB West, LLC ("**RMB West**" or "**Adviser**"). If you have any questions about the contents of this Brochure, please contact us at (888) 675-2289 or [compliance@rmbcap.com](mailto:compliance@rmbcap.com). The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission (the "**SEC**") or by any state securities authority.

RMB West is a registered investment adviser. 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.

Additional information about RMB West also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **MATERIAL CHANGES**

There are no material changes to report as of the date of this Brochure since the Adviser's last ADV Part 2A filed on March 29, 2017.

## TABLE OF CONTENTS

ITEM	PAGE
ITEM 1: COVER PAGE.....	i
ITEM 2: MATERIAL CHANGES.....	ii
ITEM 3: TABLE OF CONTENTS .....	iii
ITEM 4: ADVISORY BUSINESS.....	1
ITEM 5: FEES AND COMPENSATION .....	3
ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT .....	3
ITEM 7: TYPES OF CLIENTS .....	3
ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS.....	3
ITEM 9: DISCIPLINARY INFORMATION .....	5
ITEM 10: OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS.....	5
ITEM 11: CODE OF ETHICS .....	7
ITEM 12: BROKERAGE PRACTICES.....	8
ITEM 13: REVIEW OF ACCOUNTS.....	8
ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION .....	8
ITEM 15: CUSTODY .....	8
ITEM 16: INVESTMENT DISCRETION .....	8
ITEM 17: VOTING CLIENT SECURITIES.....	8
ITEM 18: FINANCIAL INFORMATION.....	9
PRIVACY POLICY JUNE 2017.....	10

## ITEM 4: ADVISORY BUSINESS

### About RMB West

RMB West, LLC (“**RMB West**” or “Adviser”) is a Delaware limited liability company formed on April 21, 2011. RMB West is based in Denver, Colorado. Its principal owner is RMB Capital Management, LLC (“**RMB Capital**”). RMB Capital’s principal owner is RMB Capital Holdings LLC (“RMB Holdings”). Richard M. Burrridge, Frederick Paulman and Walter H. Clark are the principal owners of RMB Holdings.

RMB West provides retirement solutions to its clients as further outlined below. RMB Retirement Plan Solutions is a consulting and adviser division focused on assisting organizations, to improve the performance, design and operations of retirement plans. RMB Retirement Plan Solutions tailors its consulting and advice services to meet the needs of its clients. The investment adviser representatives of RMB Retirement Plan Solutions provide certain services to Retirement Plan Sponsors and their participants related to their retirement plans (ERISA defined contribution plans and defined benefit plans). These services typically include, but are not limited to, the following:

- Recommend appropriate services, service providers, and investments based on a prudent and documented fiduciary process that includes a comparison among available investments in a given asset class and/or investment style using many factors, including but not limited to, performance, risk, management, investment process, fees and style consistency. Recommended investments and services are monitored for consistency with the selection factors;
- ERISA fiduciary education and training for plan trustees;
- Investment education and individualized advice provided to Retirement Plan participants;
- Benchmarking of investment performance, plan fees, investment options, and services provided by the Plan’s service providers;
- Initiate and manage the request for proposal/search process for new service providers;
- Oversight of Plan administration and compliance procedures.

Our retirement plan solutions platform allows us to provide employee retirement plan sponsors with suggestions regarding appropriate service providers and assist with controlling costs charged to employee retirement plans. Additionally, RMB West strives to mitigate the fiduciary risks of plan sponsor fiduciary risks.

### Other Businesses

RMB Capital is an independent, employee-owned firm offering advisory services and investment solutions to a diverse range of clients. RMB Capital was established in Chicago, Illinois, on April 1, 2005 with a team of 19 employees. Since then, RMB Capital has grown to approximately 190 employees with additional offices in Denver, Colorado; Jackson Hole, Wyoming; Lake Forest, Illinois; Bloomington, Minnesota; Milwaukee, Wisconsin; New York, New York and Washington, D.C. and satellite offices in Skaneateles, New York; Rochester, New York; Atlanta, Georgia; Irvine, California, and Oak Brook Terrace, Illinois.

As an independent firm, RMB Capital is able to make autonomous decisions without the influence of corporate ties or shareholder influences. Our business is structured to help ensure our clients' best interests are the driving force behind our practices and recommendations.

RMB Capital services its clients through two primary business units: Wealth Management and Asset Management. Our Wealth Management business focuses on providing holistic solutions to our client's financial needs while our Asset Management business provides separately managed accounts and other investment products that serve as the building blocks for our clients' investment portfolios.

### **Wrap Fee Program-RMB Capital**

RMB Capital currently provide investment management services as part of a wrap fee program to certain legacy clients ("Legacy Wrap Fee Clients"). Accounts of Legacy Wrap Fee Clients are managed similarly to the accounts of our non-Legacy Wrap Fee Clients, but RMB Capital receives a portion of the wrap fees generated by these accounts. Please see RMB Capital's Wrap Fee Program Brochure for more information regarding wrap fee program. RMB Capital's wrap fee program is not currently offered to clients other than Legacy Wrap Fee Clients and Portfolio Managers for our Legacy Wrap Fee Clients have an incentive to keep their clients in our Wrap Fee Program. RMB Capital has policies and procedures to mitigate the risk that Legacy Wrap Fee Clients remain in the Wrap Fee Program if this program is no longer suitable for these clients.

### **Advisory Oversight for 401k and 529 College Savings Plan Participants-RMB Capital**

RMB Capital provides investment supervisory services to individuals who participate in their employer's 401k Plan or in a 529 College Savings Plan by providing periodic recommendations on the allocations of investments across the menu of investment choices available in their plan. Depending on the Client instructions, RMB Capital either acts as a discretionary or non-discretionary manager. RMB Capital's advisory relationship, in these circumstances, is the Client and not the plan sponsor or administrator.

### **Family Office Services-RMB Capital**

RMB Capital provides family office services to certain existing clients and family offices. In addition to the advisory services RMB Capital provides these clients, RMB Capital provides other non-advisory services. These other non-advisory services include portfolio accounting, investment operations, administrative services, reporting, tax and legal facilitation, audit and financial control facilitation, estate planning and insurance administration, and family consulting services.

As of the date of December 31, 2017, RMB West had \$1,122,437,388 in assets under advisement all of which, is non-discretionary.

## **ITEM 5: FEES AND COMPENSATION**

The specific manner in which fees are charged by RMB Retirement Plan Solutions is established in a written agreement with the client and are negotiable and customized for each client. RMB Retirement Plan Solutions is compensated for its services on a fixed fee basis or on a percentage of assets of the employee benefit plan. Fees are payable in advance at the beginning of each quarter. RMB Retirement Plan Solutions does not generally charge any performance-based fees. Fees are dependent on the scope and depth of the services provided. The fee will be prorated to cover the period from either: (1) the time of execution of the advisory agreement, or (2) the effective date of the advisory agreement through the expected completion of the project or the time period covered by the advisory agreement. Clients will either pay fees (i) directly to RMB Retirement Plan Solutions; or (ii) instruct their retirement plan service providers to deduct the fees from the retirement plan assets or from excess revenue generated by the retirement plan's investments.

## **ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT**

RMB West does not charge any performance-based fees.

## **ITEM 7: TYPES OF CLIENTS**

RMB West provides consulting and advisory services to employer organizations which will typically be for-profit or not-for-profit entities. The consulting and advisory services relate to the client's defined benefit pension plans, 401(k), 403(b), and 457 plans, profit-sharing plans, and Taft-Hartley plans. Such clients are generally considered to be institutional clients and are named fiduciaries of the retirement plans they sponsor.

## **ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS**

### **Method of Analysis**

RMB West's method of analysis follows a prudent and documented process to help ensure that a Retirement Plan Sponsor meets the requirements of the "Prudent Man Rule" (as described in ERISA §404). Investment research is based on interviews with investment managers and plan service providers and includes subscriptions to third party sources of information. Analysis includes searching databases of investment analytics and research information covering a substantial amount of investment products and securities. Such data bases are also used in the ongoing performance monitoring of investment alternatives for plan sponsors.

While RMB West has confidence in the veracity of the information they receive, there is the risk that such information contain inaccuracies which could lead to misconfigured recommendations.

### **Investment Strategies**

The investment strategies recommended are those deemed to be appropriate, based on the Plan's objectives, for the management of the Plan's assets. Generally, open-end funds and/or other investment managers are recommended to the Plan Administrator to allow reasonable diversification among asset classes and investment styles.

## Risk of Loss

All investments in securities and other financial instruments involve substantial risk of volatility (potentially resulting in rapid declines in market prices and significant losses) arising from any number of factors that are beyond the control of RMB West. Legal, tax, and regulatory changes could occur which in certain cases materially adversely affect the ability of an account to pursue its investment strategies or achieve its investment objective.

Although RMB West believes that its recommendations should mitigate the risk of loss through a careful selection and monitoring of investments, an investment is nevertheless subject to loss, including possible loss of the entire amount invested. No guarantee or representation is made that an investment will be successful, and the investment results will vary substantially over time.

## Investment Selection

RMB West employs an independent process when recommending investments for client plans that mitigates most conflicts of interest and reduces risk and liability. First, RMB West work with our clients to understand their investment objectives for their employee investment options related to their plan. Next, RMB West review the universe of investment options available to start our screening process. Our screening process includes:

1. Review investments in our analytic system and remove any mutual funds that are not scoring appropriately (i.e. generally less than 7 in our 10 point scoring system);
2. Complete additional quantitative analysis to identify finalists to be recommended to the Plan Administrator. This recommendation includes factors specific to the category of mutual funds requested by the Plan Administrator;
3. Qualitative screening that includes an interview with the portfolio manager for the potential mutual fund to help us evaluate the portfolio manager's skills and identify any other potential issues.

RMB West feels our evaluation and diligence process leads to employee investment options that meet the attributes and investment objectives required by the Plan Administrator. As part of this process, RMB West documents the rationale for these recommendations in order to help the Plan Administrator meet its fiduciary obligations. In addition to the above, RMB West also monitors these recommendations quarterly to help ensure that action is taken quickly if necessary. RMB West does not imply, represent, or warrant that its services or its methods of analysis can or will predict future results, identify market tops or bottoms, or insulate clients and their plan participants from losses due to major market corrections, crashes, or detect negligence on the part of the manager of an open-end fund or separately managed account.

RMB West, from time to time, will use the services of an affiliate, RMB Capital, to assist in RMB West's due diligence process. No guarantees are provided that a client's goals or objectives or those of its plan participants can or will be achieved.

*There can be no assurance that the methods described above will be successful or that clients will not suffer losses. Investing in securities involves risk of loss that clients should be prepared to bear. Private funds and mutual funds have different risks depending on the strategy implemented by the manager of the private funds and mutual funds.*

## Cybersecurity

RMB West's information and technology systems may be vulnerable to damage or interruption from computer viruses, network failures, computer and telecommunication failures, infiltration by unauthorized persons and security breaches, usage errors by its professionals, power outages and catastrophic events such as fires, tornadoes, floods, hurricanes and earthquakes. Although RMB West has implemented various measures to protect the confidentiality of its internal data and to manage risks relating to these types of events, if these systems are compromised, become inoperable for extended periods of time or cease to function properly, RMB West may have to make a significant investment to fix or replace them. The failure of these systems and/or of disaster recovery plans for any reason could cause significant interruptions in RMB West's operations and result in a failure to maintain the security, confidentiality or privacy of sensitive data, including personal information relating to clients. Such a failure could harm RMB West's reputation or subject it or its affiliates to legal claims and otherwise affect their business and financial performance. RMB West will seek to notify affected clients of any known cybersecurity incident that may pose substantial risk of exposing confidential personal data about such clients to unintended parties.

### **ITEM 9: DISCIPLINARY INFORMATION**

RMB West is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of it or the integrity of its management. At this time, RMB West has no information applicable to this section.

### **ITEM 10: OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS**

RMB West is affiliated with RMB Capital. RMB Retirement Solutions is a division of RMB West which is affiliated with RMB Capital. The Managing Director-Western Region, Donald Bechter and all of the employees working for RMB West are employees of RMB Capital.

RMB West and its principals have a conflict of interest between RMB West's interest in recommending service providers or RMB Capital offered services to clients. RMB West will not recommend any mutual funds or private funds managed by RMB Capital to its clients. RMB West will, in some circumstances, recommend RMB Capital's wealth management services to persons related to their clients.

## RMB Capital Managed Private Funds

RMB Capital has affiliated entities that serve as the general partner or investment manager of certain private funds managed by RMB Capital. South LaSalle Managers LLC, Iron Road Capital Partners LLC, RMB Rail-Splitter Managers LLC, RMB Logan Stone Managers LLC and RMB Mendon Managers LLC are all general partners and/or investment managers of a fund family managed by RMB Capital and its employees.

## **Outside Directorships and Other Management Positions of RMB Capital**

A portfolio manager and assistant portfolio manager for our long/short equity financials strategy each serve as a member of the board of directors for a community bank. Each community bank is owned by the family of private funds managed by them and they each serve as a director, in part, to monitor these investments. Any compensation earned by them as members of the board of directors are paid to the private funds they manage.

An employee of RMB Capital who is a portfolio manager of the long/short equity strategy and long only equity strategy serves as a director of a hedge fund fund-of-funds and receives compensation relating to his directorship. Additionally, the employee serves as an advisor to a family office investment management firm and receives fees associated with this role.

An employee of RMB Capital who is a portfolio manager of the long/short equity strategy and long only equity strategy serves as a director of a hedge fund fund-of-funds and receives compensation relating to his directorship. Additionally, the employee serves as an advisor to a family office investment management firm and receives fees associated with this role.

Certain employees of RMB Capital will, from time to time, serve in an executive position for a family investment partnership. These family investment partnerships are legacy clients of an RMB Capital branch. RMB Capital provides investment services to these family partnerships but do not solicit clients who are not part of the extended family. Additionally, legacy clients of an RMB Capital branch have invested in a fund of funds private equity partnership managed by an employee's family member. This employee receives no financial interest and does not have a relationship with this manager of the fund other than a family relationship.

## **Dual Employee Relationship of RMB Capital**

Mendon Capital Advisors Corp. ("MCAC") serves as the sub-adviser to RMB Mendon Financial Services Fund and RMB Mendon Financial Long/Short Fund. MCAC's sole employee is also an employee of RMB Capital. This employee is also the sole owner, director and Chief Investment Officer of MCAC. RMB Capital also provides back office, compliance and other administrative services to MCAC.

## **WM Legacy Accounts-Insurance Commissions**

As an accommodation to certain RMB Capital WM Legacy Accounts, certain legacy clients were provided with advice related to individual family health insurance coverage, supplemental Medicare coverage and/or life insurance. While this service is not currently offered, certain WM Legacy Accounts pay a commission trail on this former business to an employee of RMB Capital.

## **RMB Managed Mutual Funds**

Certain RMB Capital staff members are registered with FINRA as a representative of unaffiliated distributors of each mutual fund. Some officers of these mutual funds also have roles with RMB Capital that could create a conflict of interest due to competing priorities.

## Limited Real Estate Services

Certain employees of a RMB Capital branch office provide limited real estate services to a limited number of clients through a real estate company licensed in their state. These employees generally offer property management services and other real estate services to their clients. These employees do not engage in the business of real estate brokerage. While these services are not currently offered to RMB Capital Clients, certain legacy clients pay a fee for these services to a limited number of employees of RMB Capital.

RMB West and its principals have no other financial industry activities or affiliations except as described in this item.

## ITEM 11: CODE OF ETHICS

### Code of Ethics

RMB Capital has adopted a Code of Ethics for all supervised persons of RMB Capital describing its high standard of business conduct and fiduciary duty to clients. The Code of Ethics includes provisions relating to personal securities trading procedures and employee reporting and attestations, among other things. All supervised persons at RMB Capital must acknowledge the terms of the Code of Ethics as a new employee, annually, or as amended.

### Personal Trading

From time to time, employees or related persons of RMB Capital will invest in securities that are also held in client accounts. All transactions in these and other securities must comply with RMB Capital's Code of Ethics, a copy of which is available by request. The Code of Ethics requires, among other things, that employees and related persons of RMB Capital:

- Are limited in their ability to trade in such securities if RMB Capital is trading for client accounts on the same day;
- Must report all personal trading and accounts to RMB Capital's Compliance Department to review compliance with these standards;
- Must hold any securities purchased for their personal accounts for a minimum period.

In certain circumstances and upon written request, RMB Capital will permit transactions in a security that would otherwise be prohibited under RMB Capital's Code of Ethics.

### Participation or Interest in Client Transactions

RMB West does not directly buy or sell for itself securities that it also recommends to clients, but accounts sponsored by RMB Capital, including its 401(k) plan, may hold such securities. Any transactions in this plan that are directed by employees would be subject to RMB Capital's Code of Ethics. RMB West's clients and prospective clients may request a copy of RMB Capital's Code of Ethics by contacting its Compliance Department at (312) 993-5800 or [compliance@rmbcap.com](mailto:compliance@rmbcap.com).

## **ITEM 12: BROKERAGE PRACTICES**

RMB West assists its clients with the selection of retirement plan services providers which may also be registered broker-dealers. RMB West's evaluation and subsequent recommendation of such a service provider is based solely on the entity's capabilities as a third-party administrator or recordkeeper and not on the entity's trading capabilities. RMB West does not receive any soft dollar payments or other benefits from any broker-dealer.

## **ITEM 13: REVIEW OF ACCOUNTS**

RMB West periodically monitors investments recommended to clients and provides periodic reports each year summarizing the client's retirement plan design, investment performance, and advisory fees. RMB West generally meets with clients on an annual, semi-annual or, quarterly basis, depending on the client's preference, to review the recent period's data, recommended changes and discuss possible changes in the client's investment objectives and needs. Clients must inform RMB West of any interim changes that would indicate a need to change investment recommendations.

## **ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION**

RMB West will refer related persons of its clients to its affiliate, RMB Capital for wealth management services in certain circumstances. Currently, RMB West does not receive additional compensation for such referrals.

## **ITEM 15: CUSTODY**

RMB West does not have custody or any other form of access to clients' assets or the assets of the ERISA Plans sponsored by clients. Such assets are held by the custodian of the Plan for the exclusive benefit of the Plan participants.

## **ITEM 16: INVESTMENT DISCRETION**

RMB West does not have discretionary authority for the selection of any securities or other investments for client accounts. When recommending investments, RMB West observes the investment policies, limitations and restrictions of the clients or the Plans it advises. The selection of Plan investments is generally subject to the approval of Plan Trustees. For most retirement savings plans, the Plan participants direct the investment of their funds. The Plan's investment guidelines and restrictions must be provided to RMB West in writing.

## **ITEM 17: VOTING CLIENT SECURITIES**

RMB West will not provide proxy voting services on behalf of clients, unless required to do so by law (interpretations of ERISA may require investment managers to vote proxies as part of their duties to the Plan). RMB West will provide general consulting services to help the client understand its responsibilities relating to proxy voting if requested by the client. All proxy notices are sent directly to the client.

## **ITEM 18: FINANCIAL INFORMATION**

Registered investment advisers are required in this section to provide you with certain financial information or disclosures about RMB West's financial condition. RMB West has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

## PRIVACY POLICY JUNE 2017

FACTS	WHAT DOES RMB CAPITAL MANAGEMENT, LLC (“RMB”) DO WITH YOUR PERSONAL INFORMATION?		
WHY?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.		
WHAT?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"><li>▪ Social security number</li><li>▪ Income and Assets</li><li>▪ Investment Experience</li><li>▪ Risk tolerance</li><li>▪ Transaction history</li><li>▪ Account Balances</li></ul>		
HOW?	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons RMB chooses to share; and whether you can limit this sharing.		
Reasons we can share your personal information		Does RMB Share?	Can you limit this sharing?
For our everyday business purposes - such as to process your transactions, maintain your accounts(s) or respond to court orders and legal investigations.		Yes	No
For our marketing purposes - to offer our products and services to you		Yes	Yes
For joint marketing with other financial companies		No	We don’t share
For our affiliates’ everyday business purposes - information about your transactions and experiences		Yes	No
For our affiliates’ everyday business purposes - information about your creditworthiness		No	We don’t share
For our affiliates to market to you		Yes	Yes
For non-affiliates to market to you		No	We don’t share
To limit our sharing	Call toll free: 1-800-601-5228 Please note: If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.		
Questions?	Call toll free 1-800-601-5228 or visit <a href="http://www.rmbcap.com">www.rmbcap.com</a> , <a href="http://www.rmbfunds.com">www.rmbfunds.com</a> , <a href="http://www.ironbridge.net">www.ironbridge.net</a> and <a href="http://www.ironbridgefunds.net">www.ironbridgefunds.net</a> .		
Continued			

<b>Privacy Policy, continued</b>	
<b>Who we are</b>	
<b>Who is providing this notice?</b>	RMB Capital Management, LLC, RMB West, LLC, Iron Road Capital Partners, LLC, RMB Mendon Managers LLC, RMB Logan Stone Managers LLC, South LaSalle Managers, LLC, RMB Rail-Splitter Managers LLC, RMB Investors Trust and IronBridge Funds, Inc.
<b>What we do</b>	
<b>How does RMB protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
<b>How does RMB collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Enter into an investment advisory contract</li> <li>▪ Open an account</li> <li>▪ Tell us about your investment or retirement portfolio</li> <li>▪ Provide your employment information</li> <li>▪ Show your Driver's license information</li> </ul>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ sharing for affiliates' everyday business purposes – information about your creditworthiness</li> <li>▪ affiliates from using your information to market to you</li> <li>▪ sharing for non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account - unless you tell us otherwise.

<b>Privacy Policy, continued</b>	
<b>Definitions</b>	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ <i>RMB West, LLC</i></li> <li>▪ <i>Iron Road Capital Partners, LLC</i></li> <li>▪ <i>South LaSalle Managers, LLC</i></li> <li>▪ <i>RMB Mendon Managers LLC</i></li> <li>▪ <i>RMB Logan Stone Managers LLC</i></li> <li>▪ <i>RMB Rail-Splitter Managers LLC</i></li> <li>▪ <i>RMB Investors Trust</i></li> <li>▪ <i>IronBridge Funds, Inc.</i></li> </ul>
<b>Non-affiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ <i>RMB Capital Management doesn't share with non-affiliates so they can market to you.</i></li> </ul>
<b>Joint Marketing</b>	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>▪ <i>RMB Capital Management doesn't jointly market.</i></li> </ul>