

## Cetera Financial Institutions Selects Broadridge Mobile Solution to Support its Retail Advising Platform

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LAKE SUCCESS, N.Y., July 6, 2015 /PRNewswire/ -- [Broadridge Financial Solutions, Inc.](#) (NYSE: BR) has been selected as the mobile solution provider by Cetera Financial Institutions. Cetera Financial Institutions is the marketing name for Cetera Investment Services, a self-clearing broker-dealer, and the bank and credit union-focused firm within the Cetera Financial Group, the retail investment advice platform of RCS Capital Corporation (NYSE: RCAP).



The Broadridge Mobile solution will enable Cetera Financial Institutions to rapidly deploy a distinctively branded, unified advisor and client experience while leveraging a proven enterprise mobile technology platform. It is designed to increase collaboration, optimize data management and deliver an integrated experience to financial advisors and investors on a single global platform.

"Delivering information and engaging customers when and how they want to be served is critical to enhancing the experience investors have with our financial institutions," said Catherine Bonneau, Chief Executive Officer, Cetera Financial Institutions and Cetera Investment Services. "Engaging Broadridge to deliver these services for both advisors and investors is just one of many steps we are taking to deliver enhanced resources and capabilities to our financial institution clients and their retail investors."

Broadridge Mobile provides real-time market, portfolio and account information and trading tools for funds, equities and options. The solution also offers document sharing with advisors and clients and comprehensive client search and reporting, account inquiry and book of business analysis, all on a global multi-language and multi-currency platform.

"As demonstrated by Cetera and other Broadridge Mobile clients, a smart, thoughtfully crafted mobile strategy is the next chapter in wealth management technology," said Traci Mabrey, head of Wealth Solutions, Broadridge Global Technology and Operations. "The advisor-client relationship is at the center of firms' mobility plans, and we will continue to spur our evolution with that in mind. With a mobile platform, advisors have a huge opportunity to provide a better customer experience, increase productivity and even adopt new models of doing business."

### About Broadridge Financial Solutions

Broadridge Financial Solutions, Inc. (NYSE:BR) is the leading provider of investor communications and technology-driven solutions for broker-dealers, banks, mutual funds and corporate issuers globally. Broadridge's investor communications, securities processing and business process outsourcing solutions help clients reduce their capital investments in operations infrastructure, allowing them to increase their focus on core business activities. With over 50 years of experience, Broadridge's infrastructure underpins proxy voting services for over 90% of public companies and mutual funds in North America, and processes more than \$5 trillion in fixed income and equity trades per day. Broadridge employs approximately 6,700 full-time associates in 14 countries.

For more information about Broadridge, please visit [www.broadridge.com](http://www.broadridge.com).

### About Cetera Financial Institutions

Cetera Financial Institutions is the marketing name of Cetera Investment Services LLC, a self-clearing registered broker-dealer that delivers customized investment and insurance solutions to nearly 500 financial institutions nationwide. Cetera Financial Institutions helps institutions expand their financial offerings, which allows clients to pursue their financial goals through a holistic approach while delivering sound and strong financial solutions. Through Cetera Investment Advisers LLC, an SEC registered investment adviser firm, financial advisors receive a wide array of solutions and back-office support, so that they can focus on their clients.

Cetera Investment Services LLC and Cetera Investment Advisers LLC are part of Cetera Financial Group, the retail advice platform of RCS Capital Corporation (NYSE: RCAP), which provides wealth management and advisory platforms and innovative technology to approximately 9,500 independent financial advisors nationwide. Cetera Investment Services is a member of the Securities Investor Protection Corporation (SIPC) and the Financial Industry Regulatory Authority (FINRA). For more information, see [www.ceterafinancialinstitutions.com](http://www.ceterafinancialinstitutions.com).

### About Cetera Financial Group

Cetera Financial Group is the retail investment advice platform of RCS Capital Corporation (NYSE: RCAP). It is comprised of eleven firms – four legacy Cetera-branded firms (Cetera Advisors, Cetera Advisor Networks, Cetera Investment Services, marketed as Cetera Financial Institutions, and Cetera Financial Specialists) along with First Allied Securities, Investors Capital, J.P. Turner and Company, The Legend Group, Summit Brokerage and recently acquired VSR Financial Services and Girard Securities. The platform is the second largest independent financial advisor network in the nation by number of advisors, as well as a leading provider of retail services to the investment programs of banks and credit unions. Cetera Financial Group delivers award-winning wealth management and advisory platforms, comprehensive broker-dealer and registered investment adviser services, and innovative technology to approximately 9,500 independent financial professionals and over 600 financial institutions nationwide. Through its distinct firms, Cetera Financial Group offers the benefits of a large, established broker-dealer and registered investment adviser, while serving independent and institutions-based financial advisors in a way that is customized to their unique needs and aspirations. Cetera Financial Group is committed to helping advisors grow their businesses and strengthen their relationships with clients. For more information, visit [www.ceterafinancialgroup.com](http://www.ceterafinancialgroup.com).

### About RCS Capital

RCS Capital Corporation (NYSE: RCAP) is a full-service investment firm expressly focused on the individual retail investor. With operating subsidiaries including retail advice services, wholesale distribution, investment banking, capital markets, investment research, investment management and crowdfunding, RCS Capital's business is designed to capitalize, support, grow and maximize value for the investment programs it distributes and the independent advisors and clients it serves. Additional information about RCS Capital can be found on its website at [www.rcscapital.com](http://www.rcscapital.com). RCS Capital may disseminate information about itself, including the results of its

operations and financial information, via social media platforms such as Facebook, LinkedIn and Twitter.

### **Important Notice**

The statements in this press release include statements regarding the intent, belief or current expectations of Cetera Financial Institutions and Cetera Financial Group and members of its management team, as well as the assumptions on which such statements are based, and generally are identified by the use of words such as "may," "will," "seeks," "anticipates," "believes," "estimates," "expects," "plans," "intends," "should," "look forward" or similar expressions. Actual results may differ materially from those contemplated by such forward-looking statements due to certain factors. Additional factors that may affect future results are contained in RCS Capital's filings with the SEC, which are available at the SEC's website at [www.sec.gov](http://www.sec.gov). Further, forward-looking statements speak only as of the date they are made, and none of RCS Capital, Cetera Financial Group or Cetera Financial Institutions undertake any obligation to update or revise forward-looking statements to reflect changed assumptions, the occurrence of unanticipated events or changes to future operating results over time, unless required by law.

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