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Maxim Group and Certent Enhance Technology for Equity Plan Administration

Pleasanton, CA – August 20, 2015– Maxim Group LLC and Certent, Inc. announce the launch of electronic certification for W-9 Forms, further streamlining equity plan administration and transaction solutions for their joint clients.

Maxim Group’s Executive and Corporate Services Division partners with Certent to deliver comprehensive brokerage services to participants of Certent’s stock issuer clients. Through the partnership, equity plan participants log into Maxim’s Investor Platform and seamlessly connect to Certent’s Participant Portal to view their equity awards, exercise their options, and send sell orders to Maxim via a FIX® (Financial Information eXchange Protocol) connection.

Stock plan administrators leverage Certent’s Participant Portal to interact with plan participants and facilitate transactions, while maintaining control of their stock administration and reporting. With the new e-signature capabilities, these administrators no longer need to track down paper signatures for W-9 Forms for each new participant account. “We want to make equity plan processes more efficient for our plan administrators,” said John Neider, Director of Partnerships for Certent. “By certifying forms electronically and sending them to the document repository in more reliable and secure manner, we can provide a streamlined account opening process for our joint clients.”

“This investment in electronic certification builds upon Maxim's FIX and single sign-on technologies to deliver an even better user experience for the equity plan manager and the equity recipients,” stated Maxim Group’s Executive Managing Director of Wealth Management, John Garrity. “Our plan is to extend the uses of this technology so that we can offer our clients e-signature capability for ACH forms, W-8ben forms, and other types of commonly used forms.”

About Maxim Group:

Maxim Group LLC is a leading full-service investment banking, securities and wealth management firm headquartered in New York. The Firm provides a full array of financial services including investment banking; private wealth management; and global institutional equity, fixed income and derivative sales & trading, equity research and prime brokerage services to a diverse range of corporate clients, institutional investors and high net worth individuals. Maxim Group is a registered broker-dealer with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board (MSRB), and is a member of the following: Financial Industry Regulatory Authority (FINRA), Securities Insurance Protection Corporation (SIPC), NASDAQ Stock Market and NYSE Arca, Inc. To learn more about Maxim Group, visit www.maximgrp.com.

About Certent:

Certent makes it easier for companies to meet their financial compliance requirements. Certent's user-friendly, web-based technology streamlines equity plan management, financial reporting for ASC718, and financial filings (in XBRL and HTML) with the U.S. SEC. With technology based on in-depth accounting expertise, an open ecosystem of industry partners, and an expert services organization focused on customer success, Certent has helped more than 1,300 companies worldwide innovate their financial compliance processes.