CANTELLA

WITH CANTELLA, *YOU CAN*

Your Path to True Independence

Been There. Built That.

For more than 70 years, Cantella has been a pioneer in financial services – founded with a commitment to entrepreneurship, innovation, and personal relationships. As one of the first truly independent firms on the street, we built and operated our own nationwide broker-dealer and registered investment adviser (RIA), serving 180 financial advisors.

Our current leadership team – many of whom began in entry-level roles at Cantella assumed ownership in 2014 after formally taking the reins in 2008. Today, you're still working with that same experienced team – the actual owners who know your business and care about your success. In 2022, we transitioned from running our own broker-dealer and RIA to becoming an enterprise with Cambridge Investment Research, Inc. (Cambridge). We chose Cambridge because they share our values of independence, flexibility, and relationship-driven support. Their similar business model, clearing platforms, and collaborative culture made them the ideal fit – adding scale, regulatory strength, and succession planning opportunities while allowing Cantella's culture and team to remain intact.

With independence and freedom of choice often comes complexity – what we call "paralysis by analysis." While most firms offer similar core services, it's the delivery that makes all the difference. That's where Cantella stands apart.

We've walked your path. Now we're here to support yours.

Expertise That Anticipates Your Needs

Our team isn't just experienced; we're seasoned professionals. We don't just respond to your questions; we understand the root of your challenges, even when you're not sure what it is or what to ask. Each of us started in entry-level positions at independent firms and have worked in multiple departments over the years, culminating in today's team with years of hands-on experience and knowledge.

Our employees are dedicated to transitions, IT, operations, product and platform, compliance, and more. Each team member works closely with their counterparts at Cambridge, ensuring continuity and smooth processing. We have also worked directly with BNY Pershing, National Financial Services/Fidelity, and Raymond James for more than 25 years.

In an increasingly automated world, we truly believe in the power of human connection. At Cantella, we know your name, and you'll know ours. Forget call queues – you'll have our direct lines and cell phone numbers so we can help you navigate all aspects of your business in a timely manner. We don't just offer support; we offer a true partnership.

Run Your Business *Your Way*

More than half of our branches operate autonomously, using their own business names and unique branding, websites, and office locations. We offer all advisors this added layer of support without any additional overrides or fees. Joining our enterprise means you enjoy the same resources and stability Cambridge provides – along with the added advantage of high-touch support, experience, and a dedicated team focused on your needs.

Smart Tech, Real Support: Robust technology is only valuable if you know how to use it. While many firms offer platforms labeled as "robust," we ensure you get the most from ours by providing you the expertise and guidance to use it effectively.

We've curated a suite of tools – including Cambridge's platforms – designed to maximize your efficiency. And where existing tools fall short, our background in building in-house platforms allows us to bridge the gaps. Technology is a means to an end. Knowing how – and when – to use it is what makes the difference. Our team will work with you from the beginning, and we continue to support you long after your systems are in place. We also can serve as a liaison with Cambridge for all technology-related tools and systems.

Hands-On Transition Support: Our on-site team has the transition process down to a science, having helped convert thousands of client accounts. We work with you through critical decision points to prepare a client communication and account transfer strategy, as well as setting up your office technology, compliance systems, marketing, and more. We'll handle the details while you focus on your clients to ensure a smooth transition.

Advisor-Friendly Compliance: Our compliance professionals work proactively to help you protect your clients and your business in a manner that is decidedly pro-business. You know your clients and have their best interests at heart, so we seek to complement the way you serve them.

Consultative Advisory and Product Platform: Our team will assist with investment solutions, platform navigation, and case consultation, ensuring you have the tools and information to meet existing client needs as well as attract new clients.

In addition to the standard advisory platform offering, we provide a custom-built managed account program featuring three top industry strategists – JP Morgan, Vanguard, and BNY Mellon – with 44 models across all style types. The program is designed with flexibility in mind. Accounts can be opened with as little as $5,000, and there is no minimum annual account fee. You can choose to dollar cost average into models, retain securities you want to hold, or complement the models with additional positions. It also allows you to include non-model holdings, with the ability to decide whether they are billed, and gives you the option to restrict securities from being sold or rebalanced. Together, these features deliver a competitive, customizable platform that helps you serve your clients with both structure and flexibility.

Retirement Plan Experience: We have extensive experience serving teams that do a variety of retirement plan business, including 3(21), 3(38), and participant-level fiduciary services. Our team understands the regulatory landscape and helps advisors design, implement, and grow scalable retirement plan offerings for both small businesses and institutional clients.

Fixed Income: Our seasoned capital markets team supports both retail and institutional clients. Our open architecture system gives us access to comprehensive offerings throughout the fixed income marketplace. This includes U.S. government securities, municipal and corporate bonds, CDs, UITs, preferred stocks, syndicate offerings, new issues, and more.

We Understand Your Unique Journey

Join a partner who understands the nuances of your business and is committed to your long-term success. Call 800-653-0391 or email joincantella@cantella.com to get started.

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