



Business Continuity Plan

Cantella & Co., Inc. has developed a Business Continuity Plan to respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information about our Business Continuity Plan.

Contacting Us

If, after a significant business disruption, you cannot contact us as you usually do at (800) 333-3502, you should go to our web site at www.cantella.com. If you cannot access us through either of those means, you should contact the clearing firm that carries your account:

National Financial Services, LLC: (800) 801-9942

Raymond James & Associates, Inc.: (800) 248-8863

Pershing, LLC: (201) 413-3635

The clearing firms will provide instructions on how you can process orders, withdraw funds or securities, or process other transactions related to your account.

Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and to ensure the safety of our employees. Our Business Continuity Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

While every emergency situation poses unique problems based on external factors, such as the time of day and the severity of the disruption, our clearing firms have advised us that they are able to recover critical operations within 24 hours. Your orders and requests for funds and securities could be delayed during this period. It is possible that recovery could take longer, depending on the nature of the disruption.

Varying Disruptions

Significant business disruptions can vary in their scope; for example, a disruption affecting only part of our firm, one affecting our building, or one affecting a more widespread area. In the case of a localized disruption (one with a scope of our building or smaller), we will transfer affected operations to a local site when needed and expect to recover and resume time-critical functions within 60 minutes. In the case of a more widespread disruption, alternate transportation, communications, effects on our clearing firms, and other factors will affect our recovery time. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site (www.cantella.com) or our main telephone number how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we assure you that our clearing firms will grant you prompt access to your funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at (617) 521-8630. This summary of our plan is available at any time upon written request.