



FACTS	WHAT DOES CANTELLA & CO., INC. DO WITH YOUR PERSONAL INFORMATION?
Why?	Financial firms 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?	<p>In order to service your account, it is necessary that we collect nonpublic, personal information. The types of personal information we collect and share depend on the product or service you have with us. Such information includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Account number, address, social security number, date of birth • Net worth, assets, income, investment experience • Account balances, trading history, payment history • Transactions or credit relationships with nonaffiliated third parties • Medical information (if applying for insurance)
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 Cantella & Co. chooses to share; and whether you can limit this sharing.

Reasons We Can Share Your Personal Information:	Do We Share?	Can You Limit This Sharing?
For our everyday business purposes— process transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes – to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	No
For our affiliates' everyday business purposes – information about your transactions, creditworthiness, and experience	Yes	No





Reasons We Can Share Your Personal Information:	Do We Share?	Can You Limit This Sharing?
<p>For nonaffiliates to market to you - we do not sell, share, or disclose your nonpublic personal information to nonaffiliated third-party marketing companies</p>	<p>No</p>	<p>No</p>
<p>For advisors who leave Cantella & Co., Inc.—if you have a Cantella advisor servicing your account(s) who leaves Cantella to join another financial institution, the advisor may retain copies of your personal information so that he or she can continue to serve you at the new firm. In doing so, your advisor may share your information with the new firm but is otherwise required to keep confidential the personal information obtained from you while the advisor was affiliated with Cantella, and he or she may use it only to service your account(s). Please note: Certain states require affirmative consent to allow sharing. See below for more on your rights under state law.</p> <p>In the event that a Cantella advisor terminates his or her relationship with Cantella, and you want to follow your advisor to his or her new firm, please do not request to limit our sharing.</p>	<p>Yes</p>	<p>Yes</p>

To Limit Our Sharing or For Further Questions:

- Call Cantella's Compliance Line at 800-333-3502
- Mail your request to Cantella & Co., Inc., Attn: Compliance, 350 Main Street, 3rd Floor, Malden, MA 02148
- Visit us at www.cantella.com

If you are a new customer, we can begin sharing your information from the date we provided you with this notice. When you are no longer 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.





<p>How does Cantella collect and protect my personal information?</p>	<p>Cantella recognizes the need to prevent unauthorized access to the information we collect, including information held in electronic format, through such actions as opening an account, performing transactions, credit bureaus, affiliates, etc. We protect your personal information in the following ways:</p> <ul style="list-style-type: none"> • We only grant access to your personal information to parties with whom we have executed confidentiality/nondisclosure agreements and who need that information to serve you or to assist us in conducting our operations. • We have physical and electronic safeguards in place to ensure that we comply with our own policy, industry practices, and federal and state regulations. • Our employees are trained in the proper handling of sensitive information. • If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice
<p>Why can't I limit all sharing?</p>	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> • Sharing for affiliates' everyday business purposes—information about your creditworthiness • Affiliates from using your information to market to you • Sharing for nonaffiliates to market to you <p>State laws and companies may give you additional rights to limit sharing: <i>If you are a California resident, California law may provide you with additional rights regarding our use of your personal information. To learn more, please see The Cantella & Co., Inc. California Consumer Privacy Act Supplemental Information</i></p>
<p>What happens when I limit sharing for an account I hold jointly with someone else?</p>	<p>If you have a joint account, we will treat an opt-out direction by a joint customer as applying to all associated joint customers.</p>
<p>What if I live in an opt-in state?</p>	<p>Opt-in states, such as California, Vermont, and others, require your affirmative consent before the advisor can provide your nonpublic information to the new firm. You can provide or withdraw this consent at any time by contacting (800) 333-3502.</p> <p>Please note: If you live in an “opt-in” state, where we are required to obtain your affirmative consent to share your nonpublic personal information with nonaffiliated third parties who do not currently assist us in servicing your account or conducting our business, your advisor is required to obtain your written consent before your advisor can take your information with him or her should your advisor leave Cantella.</p>

