CANTELLA & CO., INC.

Advisory Platform Offerings

Our selection of platforms, tools, and products has been carefully selected to provide a solution for every client – and advisor.

Cantella Managed Investments (CMI) Platform

Fixed Income

- Cantella Capital Markets
- PIMCO Municipal Bond Ladders
- PIMCO Corporate Bond Ladders

Raymond James Asset Management Services Platform

- Raymond James Consulting Services Equity SMA Platform
- Raymond James Consulting Services Fixed Income SMA Platform
- Raymond James Freedom Account Program
- Raymond James Ambassador Account Program

Lockwood Investment Advisory Solutions (Pershing)

- Lockwood Investment Strategies
- Lockwood Asset Allocation Portfolios
- Lockwood Advisor Flex Portfolios
- Lockwood Separately Managed Accounts (SMAs)

Off-Platform Turnkey Asset Management Programs (TAMPs)

- AssetMark
- Envestnet
- Rochdale
- SEI
- Brinker
- Morningstar

If you have any questions or wish to see pricing on any of the solutions listed, please email CMI@cantella.com.

Cantella Managed Investments (CMI) Platform

Powered by RiskPro® and FolioDynamix/Envestnet

CMI is our proprietary, customized platform built to enhance the scope and value of your advisory offering. It allows you to tailor an investment management experience for clients that is technologically innovative, yet still distinctively personal by focusing on their objectives, expectations, and comfort level for risk.

- Flexibility to construct your own portfolios (with or without discretion), outsource to strategists, or combine the two within a Unified Managed Account (UMA)
- Auto-generated portfolio proposals, account rebalancing, block trading, and annual reviews
- Risk profiling and monitoring with alerts, manager selection and/or model building, and performance reporting
- Full integration with Fidelity, Pershing, and Raymond James, with single sign-on access through Cantella Portal
- Investment Performance Reporting at the household, account, or sleeve level

An "Unbundled" version of CMI is also available:

- Full integration with Fidelity, Pershing, and Raymond James, with single sign-on access through Cantella Portal
- Risk profiling and monitoring with alerts and proposal generation only

Strategist model portfolios included in CMI pricing:

CMI's wide range of strategist models provide access to solutions for every type of investor, from mass-affluent to high-net-worth, through all phases of the investor life cycle. This allows asset allocation based on each strategist's capital markets views, while allowing advisors the flexibility to select from a diverse universe of investment vehicles:

- Objectives-based ETF/mutual fund
- Tax-aware
- Tactical
- ESG
- Traditional portfolios

Click here for additional information, or email CMI@cantella.com for questions, pricing, or to view a demonstration.

Fixed Income

Cantella Capital Markets | *Custodied at either Pershing or Raymond James*

Managed laddered bond portfolios provided by Cantella's in-house capital markets team, with access to flows in all sectors from the Street. We use an open architecture system that allows us to access comprehensive inventories throughout the fixed income marketplace.

PIMCO Municipal Bond Ladders | *Custodied at Fidelity*

Benefits from PIMCO's proprietary credit research, a key advantage in a municipal bond market that has become increasingly complex and subject to credit risk. Seeks to improve market access and pricing to provide best execution based on institutional presence. Designed to generate an attractive, predictable stream of income with an emphasis on capital preservation; PIMCO's national ladders are exempt from federal taxes while the California ladders are exempt from federal and, in most cases, California income taxes.

PIMCO Corporate Bond Ladders | *Custodied at Fidelity*

Aims to deliver a source of predictable income while preserving capital by investing in investment grade corporate bonds with laddered maturities of 1–5, 1–11, 3–8 and 3–11 years. Benefits from the depth and expertise of a world-renowned credit investment team, employing PIMCO's independent credit rating system which aims to identify compelling opportunities or unappreciated risk that may not be appreciated by markets.

Raymond James Asset Management Services Platform

Raymond James Consulting Services Equity SMA Platform | *$100,000 Account Min.*

Fee-based SMAs with advisor-driven allocation and manager selection. Access to select investment advisers based on AMS familiarity with the SMA Managers' firm, portfolio management personnel, investment disciplines offered, portfolio construction, and overall belief that their participation in the program will provide clients access to high quality investment managers.

Raymond James Consulting Services Fixed Income SMA Platform | *$100,000 Account Min.*

Fee-based SMAs with advisor-driven allocation and manager selection. Access to select investment advisers based on AMS familiarity with the SMA Managers' firm, portfolio management personnel, investment disciplines offered, portfolio construction, and overall belief that their participation in the program will provide clients access to high quality investment managers.

Raymond James Freedom Account Program | *$25,000 Account Min.*

Flexible, multi-manager, primarily ETF/mutual fund wrap accounts managed by Raymond James Asset Management Services.

Raymond James Ambassador Account Program | *$25,000 Account Min.*

Advisor and client-driven, the Ambassador account is RJ's Rep as Portfolio Manager offering. It includes both discretionary and non-discretionary options.

Lockwood Investment Advisory Solutions (Pershing)

Lockwood Investment Strategies | *$250,000 Account Min.*

A discretionary, multi-discipline managed account solution housed in a single portfolio (UMA). As the portfolio manager, Lockwood determines asset allocation strategy and selects investment vehicles and subadvisors. Five core and four alternative models span the risk spectrum targeting high-net-worth investors.

Lockwood Asset Allocation Portfolios | *$50,000 Account Min.*

Multi-manager, primarily ETF/mutual fund wrap accounts managed by Lockwood. Five traditional, risk-based portfolios span the risk spectrum targeting mass-affluent to high-net worth investors. The portfolios provide investors with investments researched by Lockwood and asset allocations based on Lockwood's capital market views.

Lockwood Advisor Flex Portfolios | *$50,000 Account Min.*

Flexible, multi-manager, primarily ETF/mutual fund wrap accounts managed by Lockwood. 32 objectives-based, 16 tax-aware, and 16 traditional portfolios target mass-affluent to high-net-worth investors with solutions for all phases of the investor life cycle. The portfolios provide investors with asset allocations based on Lockwood's capital markets views, while allowing advisors the flexibility to select from a diverse universe of investment vehicles researched by Lockwood.

Lockwood Separately Managed Accounts (SMAs) | *$100,000 Account Min.*

Lockwood offers both Research Covered and Open Architecture SMA programs. Research Coverage is a turnkey SMA solution with approximately 60 money managers and more than 90 investment strategies. The covered money managers must undergo a screening process and are subject to ongoing research review. Open Architecture is designed to provide additional options for managing investor portfolios. Approximately 150 money managers are available, representing more than 500 investment strategies.

Off-Platform Turnkey Asset Management Programs (TAMPs)

We also have approved access to the following TAMPs:

- AssetMark
- Envestnet
- Rochdale
- SEI
- Brinker
- Morningstar

For financial professional use only. Not for use with clients.