



Turn Your Independence Into an Asset

Owner-Operated doesn't have to mean obsolete: Meet your critical business needs and reach your potential with Cantella's tri-party clearing service.

65 Years of Independence and Innovation

Cantella has been an innovator in the financial services industry for more than 65 years. Founded in 1952 on the floor of the Boston Stock Exchange, we've evolved from a market maker into a holistic provider of solutions for financial advisors, broker/dealers, and RIAs.

Today, Cantella has one of the youngest and most dynamic executive management teams in the industry. Ours is home-grown talent: our core executive team are all 15+ year veterans of Cantella. We know our clients, we know what we stand for, and we care passionately about maintaining the spirit and independence that Cantella has represented for over half a century.

Count on Cantella to provide the best of tradition and innovation with stable leadership, a wealth of resources, and a commitment to bringing new technology and services to our clients. Our goal is to be a true partner in helping you navigate the competitive landscape and regulatory challenges that you face as a business owner.

Operating a broker/dealer isn't what it once was: new regulation, profit margin and fee compression, higher clearing minimums, and tougher competition continue to challenge firms. Turn those challenges into a competitive advantage. We'll help you:

- » Convert fixed costs to variable costs to scale your business for the future
- » Meet regulatory requirements without draining resources
- » Implement new technology as a turn-key service
- » Access a breadth of specialized knowledge and services

Our personal commitment to our clients is visible in everything we do. Find out what it's like to have a true ally in your business by partnering with Cantella today.



Access

Cantella offers the ability to access major clearing firms on the same terms as larger entities, helping you avoid costly restrictions and minimums without sacrificing independence. Our seasoned Capital Markets team has specialists who can assist with both Institutional and Retail execution across multiple products. We have access to flows in all sectors from the Street. Our open architecture provides access to comprehensive inventories throughout the fixed income marketplace.

With our depth of understanding, access to resources and ability to serve unique individual needs, we can help you enhance the value and scope of services that you provide to your clients.

Technology

We understand the value of technology and we know how to deliver it. We develop our proprietary tools in-house to boost the efficiency and functionality of the technologies offered by our clearing partners. These investments are made solely to help our business and our clients stay ahead of the technology curve, and they're an important competitive advantage for our firm and our partners.

Our development team will work with you by customizing our incredible suite of tools to your business so that you can maximize your performance and see your operations in greater clarity than ever before.

Cantella's software solutions touch on all parts of the business. Make compliance easier with tools like rollover supervision, direct business supervision, paperless functionality, an easy approval interface, and archiving, to name a few. Our proprietary workflow system can streamline operations across your home and branch offices, and we offer critical financial tools like FINOP reporting and commission processing and reporting.

Operational support

You know how to run your business, and you've probably also found that scaling effectively can be a challenge in light of the daily regulatory and operational burdens involved in running a business in our industry. It doesn't always make sense to invest heavily in these areas, which is why we offer clients our knowledge and infrastructure – without sacrificing autonomy and independence.

Our execution and operational support services can accommodate everything from clearance and settlement to commission processing, and everything in between. Our knowledgeable operations staff help make even the most complex requirements achievable – promptly and effectively.

Compliance

We approach compliance with a pro-business mindset. We'll help you analyze your operations and provide the tools and resources you need to build an effective, scalable, and robust compliance system that doesn't inhibit your operations or drain your resources. Our experienced compliance team can assist with the unique questions and challenges your firm faces. We have a seat at the table at FINRA and participate in many industry organizations to advocate for our clients, and we provide ongoing education and insight on regulatory issues.



Service

Our multiple lines of business are all focused on maintaining relationships, whether that's with you, your customers, end investors, or our business partners. When you partner with Cantella, you are partnering with each of us: that means direct and personal access and relationships with each employee, including our executive team, and a commitment to going above and beyond in serving the needs of your business.

Culture

We are in the business of helping other business owners scale, grow, and meet their goals. We stand by this mission both in our operations and in our ownership. As an employee-owned company, we all have skin in the game and we know that the only way we're going to achieve personal success is by helping you achieve yours.

We can help you meet your critical business needs with:

- » Tri-party clearing relationships with National Financial, Pershing, or Raymond James
- » Open access to our Capital Markets team and responsive compliance support and consultation
- » A suite of technology tools and service, and in-house IT support for advice, troubleshooting, and cybersecurity help
- » Email and/or website hosting and archiving
- » Flawless execution and operational support
- » Commission Processing System and FINOP reporting
- » Direct access to DTCC Fund/SERV clearance and settlement

Owner-Operated doesn't have to mean obsolete: Strengthen your operations, reduce risk, and reach your potential with Cantella. Contact us today to learn more.

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