CANTELLA
& CO., INC.

document vault

E&O

custody & clearing

billing tool ?

technology platform

compliance support

performance reporting

fee agreements

establishing my RIA

RIA Solutions Made Easy With Cantella

Setting up an RIA means a lot of big decisions. The technology and service vendor options alone can be completely overwhelming.

Get Up and Running Quickly

Efficiency is critical to success, and time spent with multiple services and vendors is time taken away from your client-facing work gathering assets and generating revenue. Help avoid that administrative burden. Cantella's turnkey technology, processes, and workflows get you up and running quickly and compliantly.

RIA Services

The infrastructure we provide is the same set of systems we use to run our own firm. In addition to increased efficiency, our integrated data and reporting capabilities allow you to truly analyze your firm's business, giving you advanced tools that allow you to spot client service and revenue opportunities.

A Solution Customized for Your Unique Business

Cantella offers a full suite of a la carte support services to RIAs. Whether you need "compliance-in-a-box" or a full suite of technology support, Cantella can help you by consolidating the number of vendors you need to deal with. We'll help you evaluate what works best for your business, and you'll only pay for what you use.

We're here to answer questions big and small at 800-653-0391 or branchrecruiting@cantella.com.

Everything You Need To Operate Your RIA

We're here to make it easier to build the business you envision. Our solutions are listed, but you always have the freedom to use your own. We're flexible—use as many or as few as you need!

More Than a Friendly Broker/Dealer—A Valuable Partner for Hybrid Firms

We can provide access to commission-based financial and insurance products and broker/dealer intermediary services that won't overstep or impose FINRA regulatory oversight on your RIA business.

You Need:	Cantella Can Provide:
CLEARING & CUSTODY	Leverage our relationships for clearing & custody: Raymond James Custody & Clearing Pershing LLC Pershing Advisor Solutions Fidelity Clearing & Custody Solutions Fidelity Institutional Wealth Services Or, establish a direct relationship with one of these custodians: Fidelity Institutional Wealth Services Raymond James Investment Advisors Division Pershing Advisor Solutions
INVESTMENT MANAGEMENT PLATFORM	Cantella Managed Investments (CMI) is our proprietary advisory account platform, powered by a custom integration of Riskpro and Folio/Envestnet. It features: • Full integration with Fidelity, Pershing, and Raymond James • Client Portal • Risk Profiling and Risk Budgeting Tool • Manager selection and/or model building • UMA Functionality • Block Trading and Account Rebalancing • Investment Performance Reporting—household, account level, or sleeve level • Customized Proposal Generation • Billing Tool • Strategist model portfolios included in platform pricing: Wilshire, Meeder, Toews, Pimco, Litman Gregory, JP Morgan, American Funds, Loring Ward, with several others available for an additional fee. You have the option of using the full CMI platform; only the billing, performance, and client portal functions; or your own platform. For more information visit cantella.com/CMI, or contact our **Business Development** team for a demo.
COMPLIANCE CONSULTING AND SUPPORT	With Cantella, you'll have an ally who has been negotiating state, FINRA, SEC, and DOL regulation for 65+ years, and has the experience and knowledge to help you navigate the regulatory waters as the owner of an RIA. We offer a full menu of services, from basic FINRA oversight to the detail-intensive work of establishing the RIA (initial IARD access, ADV filings, supervisory procedures, advisory agreements and more), as well as providing tools for email/advertising review and approval, and exception reporting.
TECHNOLOGY SOLUTIONS	Cantella's GlobalView Advisor Dashboard is the ultimate efficiency tool, placing all your practice information at your fingertips. With it, you'll not only get seamlessly integrated business processing—you'll see the big picture of your growing practice: • Simultaneous document upload to clearing firm, custodian and/or broker/dealer • The status of all in-process items • Realtime view of compensation items • Status of compliance forms • Direct Variable Annuity Visibility • Document Storage • Email Hosting and Review • Social Media Review through vendor Global Relay • Single Sign-on to CMI and other tools • And more! We built GlobalView from the ground up, so we're always adding enhancements and new capabilities in collaboration with financial advisors. Go to cantella.com/GlobalView for more information.
ERRORS AND OMISSIONS INSURANCE AND CYBERINSURANCE	Join our group E&O policy with comprehensive coverage and competitive rates