CANTELLA & CO., INC.

Achieve Your Vision of Independence

Ready to forge your own path? Let Cantella & Co., Inc., provide the support and resources you need to achieve your vision of success. We're an employee-owned national broker/dealer and RIA that has been an innovator in the financial services industry for more than 65 years. Forward-thinking and relationship-driven, we help financial professionals build client-centric practices by providing cutting edge custom-built technology, flexible affiliation models with three top-tier clearing providers, and responsive, personalized home office support. Because your success is our success, we'll be with you every step of the way.

Cantella's flexible affiliation options
Your practice, on your terms.

INDEPENDENT FINANCIAL ADVISORS
If you seek a partner large enough to support your growing practice but still want to maintain that human connection, you'll find it here. You'll also enjoy the advantage of having clearing options through Raymond James, Pershing or Fidelity.

INDEPENDENT BROKER/DEALERS
Access all of the tools and services you need to serve clients. By leveraging our clearing relationships, you are not subject to the same restrictions or minimums of a direct clearing relationship.

REGISTERED INVESTMENT ADVISORS & HYBRID ADVISORS
Look to Cantella for customizable, advisor-centric operational support and compliance consulting. Manage money your way, maintaining your firm's independence and culture while enjoying access to a selection of reputable vendors.

Cantella by the Numbers

- **$7.5 billion** in AUM
- **4.2** employee to advisor ratio
- **50%** of our executive team and **40%** home office staff are women
- **30%** of current advisors have come from wirehouses and career firms
- **Zero** proprietary products
- **3** clearing firm options
- **125+** branches across the U.S.
- **20+** years as a friendly BD to hybrids
- Employee-owned since **2014**

The Cantella difference

Technology, three clearing options, hands-on transition support and more – all from an innovative, independent firm. Though we've been around 65 years, we operate like an agile startup. See what sets us apart.

Technology is in our DNA.

We have an in-depth understanding of the importance of financial technology – in fact, our CEO is also our CIO and built our GlobalView tech platform from the perspective of advisors. We believe in integrated tools that empower you to concentrate on what matters most: your clients and your business.

Elite tools and resources to help you grow.

At Cantella, you will have access to three of the industry's top clearing firms: Pershing, Fidelity and Raymond James. We have all of the tools and services you'd find at a wirehouse, plus a seasoned capital markets team and practice management resources. Our focus on automation and integrated technology allows us to dedicate a robust back office staff to advisor support and business development.

We are employee-owned and proudly independent.

While consolidation is a trend in our industry, Cantella isn't looking to merge or sell. We have an unwavering focus on providing the services and support that independent financial advisors, RIAs and broker/dealers need to thrive.

We have diverse, experienced and respected leadership.

Our executive team has "grown up" in the firm, averaging 17 years' experience at Cantella. Women make up half of our executive team and 40% of our home office staff, and both our chief compliance officer and CEO have held or currently hold elected FINRA District Committee seats.

We take an advisor-friendly approach to compliance.

While our top priority is ensuring investor protection, we approach compliance with a mindset that is decidedly pro-business. You know your clients and have their best interests at heart, and so we seek to complement the way you serve them.

We provide hands-on, on-site transition support.

Our on-site transition team has the process down to a science, helping you navigate critical decision points with experience in business development, compliance and operations. From setting up your office technology to transitioning assets, we'll handle the details while you focus on client relationships.

Picture your business here.

If you're ready to take the next step, we'd welcome the opportunity to speak with you in confidence.

Call **800-653-0391** or email **branchrecruiting@cantella.com** to get started.

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