



Cantella & Co., Inc.  
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# It's time to build on your success.

*Put the power of Cantella to  
work for you and your clients*



You've made a commitment to your clients to help them live full, satisfying lives. The fact that you see the importance of a hybrid offering is testimony to that.

To the RIAs who choose to do business with us, we make a similar commitment – to provide the services, resources and support you need to:

- Grow and prosper in the face of heightened competitive pressures
- Address on-going changes in the financial services industry in terms of both regulations and advisor and client demographics

We are personally committed to you and invested in your success. We don't know any other way to work.

## A 65-year history of independence and innovation

Cantella is an independently owned, Boston-based broker/dealer and RIA that has been an innovator in the financial services industry for more than 65 years.

Founded in 1952 as a specialist on the floor of the Boston Stock Exchange, Cantella made markets in hundreds of New England-based companies and was one of the largest execution providers for institutional investors and asset owners based in Pacific Rim countries.

Always forward looking, the firm's business lines evolved to remain relevant as the landscape changed. Today, Cantella provides solutions to financial advisors, broker/dealers and RIAs. Staying true to our roots of loyalty and innovation, we continue to help our clients realize their unique visions.

Ours is arguably the youngest executive management team in financial services. At the same time, the core of the team is "home grown," each with at least 15 years of experience at Cantella. We believe the combination of our history and the energy and vision of our executives differentiates us in an industry that can often be static and rules-bound. Count on the Cantella team to serve you well as you seek to navigate the competitive landscape and regulatory challenges facing our industry.

## Reasons to partner with Cantella



» **You want a partner that knows the ropes and is tied to your success.**

You know how you want to run your business, and recognize that having the right combination of fee-based and commission-based opportunities is a key to your success. We understand the daily regulatory and operational challenges of running a hybrid business and thrive when helping business owners operate as efficiently and cost effectively as possible. Another important point – Cantella is employee owned. Simply put, all employees have skin in the game. We know the only way we're going to achieve personal success is by ensuring yours.

» **We give you access to products and services that will give you a competitive edge.**

In addition to the standard investment offerings expected from a broker/dealer, we provide you access to a suite of non-securities insurance offerings, as well as to Private Banking Lending/Jumbo Mortgages services. This allows advisors to differentiate themselves by offering a more comprehensive approach to wealth management which leads to better retention of assets and the potential to capture assets held at other firms. We also provide you access to our seasoned Capital Markets team. Cantella's Institutional Fixed Income Sales and Trading Desk are generalists in all products, including U.S. Treasuries, Investment Grade Corporates, Municipals, Agencies, High Yield, and Preferreds. Best execution is our goal. As a former executing broker in the Transition Management space, we have access to flows in all sectors from the Street. We also use an open architecture system that allows Cantella to access comprehensive inventories throughout the Fixed Income marketplace. We strive to understand parameters that are important to our customers, focusing on the right solution rather than just selling product. We believe this brings enhanced value to our customers while putting our efforts to transact business in its proper perspective.

» **We not only understand the value of technology. We know the right way to deliver it.**

We augment your RIA's clearing platform with technology solutions developed in-house. Our goal is to deliver customized technology that enables you to work more securely and efficiently while offering you a document vault, e-signature and workflow efficiency, business intelligence reporting, compensation and AUM reporting, email and website hosting and more. Our experience running multiple lines of business allows us to offer you cohesive reporting and analysis on both sides of your hybrid business. We know that data is vital if you're going to keep a focus on your growth.

» **Yours is a valuable business that needs to be protected.**

We approach compliance with a pro-business mindset. We customize to your needs, helping you analyze your operations and providing the tools you need to build an effective, scalable compliance system without inhibiting you or draining your resources. Our compliance team averages 18+ years at Cantella, with diverse backgrounds ranging from producing financial advisors to traders and compliance officers at larger broker/dealers to being the CCO of an RIA. Cantella employees also participate in many industry organizations, allowing us to advocate on behalf of our clients, stay informed and help influence regulatory issues.

» **We are in the people business first and foremost.**

Our focus is on everyone from you, our business partner, to the end investor. When you partner with Cantella, you have direct access and a personal relationship with every employee, including our executive team. We are committed to fostering lasting, successful partnerships with firms and advisors. With our long-term view, having a collaborative and fruitful relationship is a must.

### Some of the ways in which Cantella supports our partners:

- Review and paperless archiving of advertising, social media and other public communications
- Online archiving and access to all client account files
- Email and website hosting, review and archiving
- Help in the development of written supervisory procedures, internal procedures and risk control processes
- Assistance with ADV, Form BD, U4 and U5 amendments and filings, annual renewal processing, other-than-annual amendment filings and other assistance as needed
- Assistance in the development of various documents and disclosures such as ADV II disclosure, Code of Ethics, IRA rollover disclosure, 408b(2) disclosures, BIC contracts, advisory agreements, registered representative agreements
- Support during a state, FINRA, SEC or DOL audit
- Assist firm in implementing a compliant DOL strategy
- Leverage our IT team for everything from day-to-day needs to strategic consulting. We offer personal assistance with system access and entitlements, hardware purchases, and everyday issues. Our team can also assist with cybersecurity best practices, custom software development, and referrals to outside vendors best suited to your needs.

### LET'S WORK TOGETHER

If you're an entrepreneur who wants to work with a great team while building your business your way, we'd love to hear from you.

*Please call Business Development at:*

**800-653-0391**