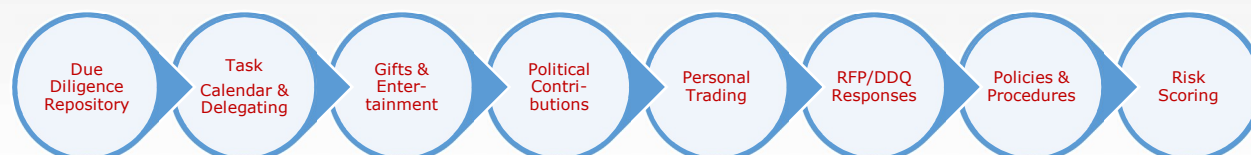




PRODUCT PROFILE

Compliance Wheelhouse

Complete Compliance Office Management



Castine's *Compliance Wheelhouse* is a full-featured, cloud-based portal for compliance professionals in operational and management roles.

Rather than having to use multiple portals, databases, or systems, the *Compliance Wheelhouse* brings everything together in one place. You can leverage any of our growing list of modules to best address your current and future compliance technology requirements. Start by leveraging thousands of completed pre-collected due diligence questionnaires that reside within Castine's Telescope module database. Streamline your tasks with our *Inteli-Task* calendaring, task management, and delegation system. Bring cohesive reporting to G&E and political contributions. Effectively track all those who actually benefit from each of the third-party services your organization uses with our license, renewal, and cancelation management tools. Ensure all new service reviews, interviews, and approvals are tracked and followed-up on in a timely way.

Castine helps to address US based compliance requirements as well as those coming out of the EU. With the advent of MiFID II, many firms are reexamining their internal processes and looking to replace old legacy systems with more capable, flexible, and single-portal solutions. Castine's *Compliance Wheelhouse* is exactly that. New technology that runs on any browser, tablet, or PC, built by Castine's team of experts in commission management and MiFID II helps bring your compliance team up to an entirely new level of efficiency.



Streamline DDQ Collection, Reviews, Change Alerts

The Compliance Telescope is not only a repository of thousands of pre-completed DDQs, it is also a complete system for every organization doing due diligence. *Telescope* is being used by investors and allocators, funds and asset managers, and brokers and research firms to conduct targeted due diligence.

Telescope streamlines the entire process, from designing new DDQs to outsourcing their collection to Castine, getting alerts when answers change, document management, and approval workflows. Even writing management summaries from the responses you get and tracking risk scores.

Intelligent Compliance Calendar and Integrated Policies and Procedures

Castine's *Inteli-Task* system is an intelligent task management system to collect all of the work product around each task – be they ongoing, regulator requested, or one-offs – to ensure that no time is wasted or task missed.

Inteli-Task links all tasks to a calendar as well as one's policies and procedures to provide a complete picture of who is doing what tasks, which tasks are in risk of falling behind, and who can cover for a person to prevent tasks from being delayed or material exceptions not being addressed in a timely manner.

All related documents are available in the same portal, saving time as compared to collecting documents from multiple systems.

Simplify Responding to RFPs and DDQs

AnswerBase is a set of tools to help any firm struggling with a tidal wave of DDQ and RFP/RFI requests.

AnswerBase Catalog contains pre-screened answers to questions your organization gets from prospects and clients. Rather than have every response started from scratch, *Answerbase Catalog* lets you or an assistant compose responses from answers you've already approved.

Answerbase DataRoom is a virtual data room for you to manage documents with your clients and prospects. 100% encrypted and fully permissioned it saves tremendous amounts of time compared to non-due diligence aware systems.

Consolidate Portal for Compliance Operations

The *Wheelhouse* system consolidates all compliance operations into one fully encrypted portal, including:

- Gifts and Entertainment approvals
- Trade Error management
- Policy and Procedure reviews and publication
- Political Contribution approvals
- Employee Attestations (outside business interests, licensing, etc).

And more! All available in one portal, with all related documents right there at the click of a mouse.

About Castine

Since 1982, Castine LLC has provided Cloud-based and in-house solutions to the financial industry. Our C3 platform addresses Compliance, Commission Management, and Compensation and are in use by brokers, IRPs, asset managers, hedge funds, and investors worldwide.

The Castine C3 platform of integrated modules lets clients focus on specific areas where gains can be quickly realized with the confidence that the suite can grow as their needs change.

Modules include compliance operations (calendar, gifts and entertainment, trade errors, etc), due diligence and RFPs; CSA, RPA, and P&L-based commission management for the buy- and sell-side, including research consumption, pricing, and reviews; trader and adviser compensation, performance reporting, trend analysis, and profitability.

Offices in New Jersey, London, and Buenos Aires