

TELESCOPE – 3RD PARTY DUE DILIGENCE & LICENSE MANAGEMENT

COMPLETE BUY-SIDE COMPLIANCE MANAGEMENT OF COUNTERPARTIES AND VENDORS

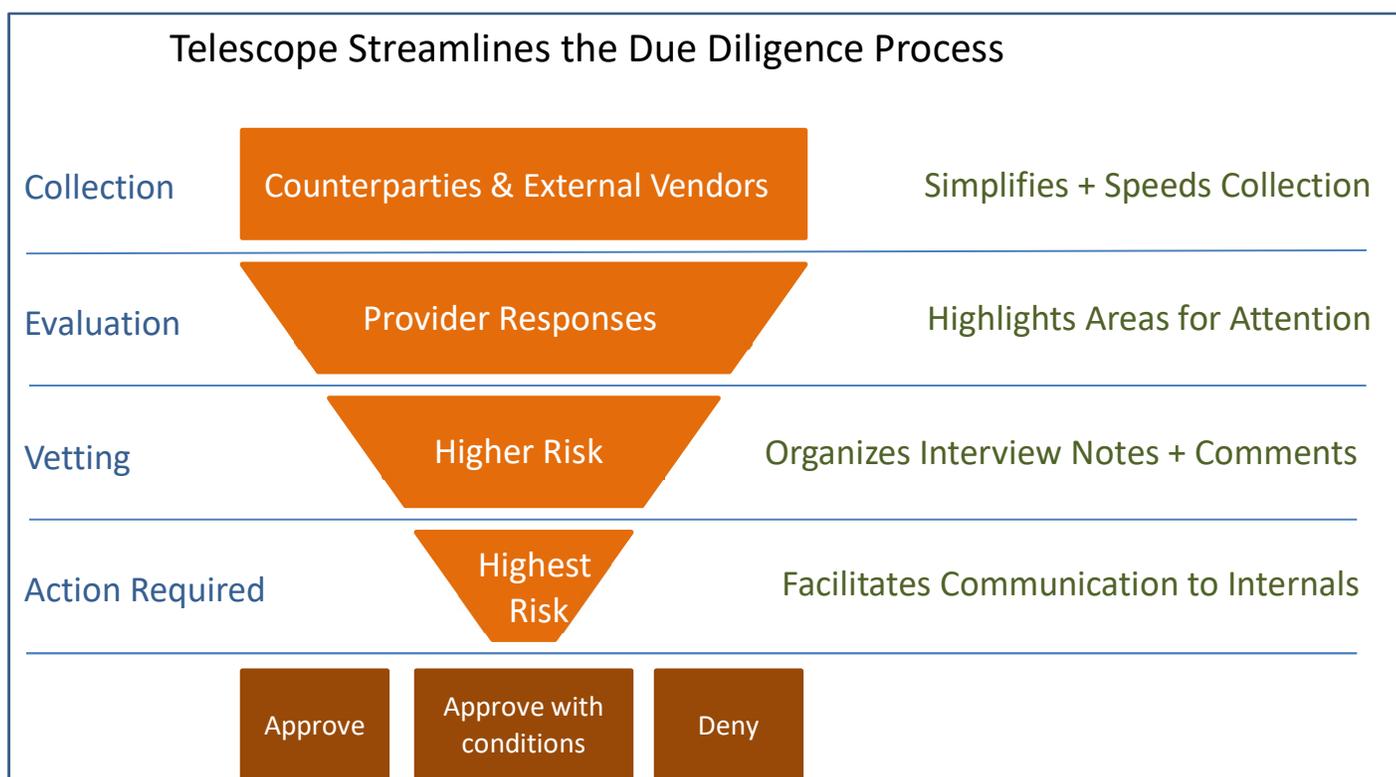


Telescope streamlines the due diligence of brokers, third party research providers, market data providers, and general vendors. The service’s pre-built due diligence database provides timely, accurate and frequently updated due diligence information, making it easier to onboard new providers and monitor current ones.

Telescope has collected due diligence information from hundreds of firms and makes that information instantly available to any client of those firms. Castine handles all the legwork to collect information from new firms that are not already in our database and allows clients to ask their own, private, questions of any firm.

Telescope is built around our innovative and industry accepted online “Universal Due Diligence Questionnaire (DDQ)” covering each vendor’s offerings, compliance policies, procedures, and supporting documentation. Rather than collect this in a time-consuming and error-prone manner for each new vendor relationship, the Universal DDQ provides displays this information in one place, saving time for both vendors and research providers and for their clients.

Telescope’s optional License Management module adds centralized budgeting, renewal and cancellation alerts, and user administration, making for an even more focused one-stop solution and helping firms save thousands of dollars annually by avoiding unwanted renewals and services.



Vendors enjoy working with us because the Universal DDQ makes it easier for them to respond to due diligence requests and can be used across multiple clients. Asset managers can **add their own confidential questions** and requirements, such as attestations, which are proprietary to them and not accessible to anyone else.



Telescope highlights vendors that require the most scrutiny, such as critical services, expert networks, technology solutions, etc. The platform organizes interview notes, internal reviews and comments for each external provider. Vendor approval workflow is also built into the system, with email notifications being forwarded to the appropriate team members as vendors or counterparties move through the approval process.

Special Capabilities

Telescope provides unique strengths that can be tailored to each asset manager's specific needs:

- Questionnaires target research brokers, independent research providers (IRPs), trading counterparties, IT/security, general vendor assessments, or new areas as needed.
- Universal DDQ questions can be augmented with your own confidential questions or requirements, such as attestations.
- Historical data is maintained in perpetuity and easily available for review at any time.
- Castine handles all logistics to contact each firm, collect responses, and issue reminders and regular updates.
- Castine notifies users whenever vendors change responses to key questions (or any question) in their due diligence questionnaire.
- Complete interview management, with the ability to flag answers for follow-up.
- Vendor and counterparty reviews and approvals are managed through a single portal so you can access all information in one place.
- License manager offers complete control over the renewal and cancellation process.

Benefits of using the *Telescope*

Telescope supports the buy-sides' regulatory requirements for vendor due-diligence by improving its quality and frequency of information collected, regardless of the number of vendors you have.

- *Telescope* streamlines the vendor due diligence process, reducing risks and demonstrating a strong commitment to surveillance.
- Our cloud-based system is faster and more accurate than error-prone email and spreadsheet methodologies.
- The crowd-sourced Universal DDQ saves time for both the sell-side and the buy-side, improving the timeliness and completeness of due diligence responses.
- Speeds the onboarding process for new research providers.
- Identifies higher risk counterparties and organizes interview questions and responses.
- *Telescope* saves time by automatically alerting users when key answers are changed.
- Demonstrates compliance best practices to investors, regulators, and auditors.
- License manager helps to ensure you never pay for services that accidentally renew because you were unaware the cancellation window had closed.

For additional information, call **347-4-CASTINE** or visit www.CastineLLC.com

