



### Overview

Castine was originally formed in 1982 and has specialized in client-focused systems for the Financial Technology marketplace, generating multiple industry leading and award winning products along the way.

### Technology

All of Castine's products are web-based, can be hosted by Castine or the client, and have a fundamental guiding premise to address the access, documentation, and reporting needs of their audience. For products (or modules) that require portability, anyone with a smartphone, tablet, or desktop can use them.

### Product Line-up

Castine focuses on the middle and back office needs of firms within the investment community, with a special emphasis on compliance and financial reporting.

Castine's products are aimed squarely at those needs:

#### ***The Commissioner* Trader Compensation System**

*The Commissioner* assists broker-dealers with all aspects of trader compensation, including commission allocation for trades and draw management for payroll. *The Commissioner* ends the incredibly time-consuming and manual process of taking every trade that a trader (or trading team) has done, matching it up to the proper rule or rules needed for that client, trade type, trade date, etc., and then making sure that the commissions and trade-based fees are reported properly against any compensation or draw program in place.

#### ***The Controller* Client Expense and P&L System**

*The Controller* generates a comprehensive "Client P&L" view of every client's costs and the offsetting commissions they've generated to help identify the winners and losers within ones client base.

Rather than rely on inaccurate or incomplete data to determine which clients are profitable and which are not, *The Controller* presents all of the information needed to properly – and profitably – run ones company.

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## **Telescope Research Provider Due Diligence and Risk Management System**

The *Telescope* system enables asset managers and hedge funds to address regulatory requirements established by the Investment Advisers Act of 1940 to perform systematic due diligence on their external research providers to prevent the misuse of material, nonpublic information. It collects information about the research provider's policies, procedures, personnel and research gathering methodologies, streamlining the vendor due diligence process. Integrating new research providers and new ideas can be done much quicker than it can with manual systems.

The *Telescope* uses cutting-edge technology to collect this information from the research community. It then presents back to asset managers and hedge funds a risk-weighted picture of their providers. By managing risk in a more proactive and cyclical manner, buy side firms comply with heightened requirements for thorough due diligence and can simultaneously identify and focus on research providers with high risk profiles.

### **About Castine**

Castine Consulting LLC was formerly known as Cogent Consulting LLC. Originally formed in 1982 by Robin Hodgkins, Castine and its predecessors have operated as the market leader in every industry in which they have worked.

Most recently, Castine was the world leader in fintech software that managed all aspects of soft dollars and commission sharing arrangements for investment managers, research providers, and broker-dealers. That product line was sold to BNY Convergenx and the company was then renamed as Castine Consulting. The product line was in use by firms representing over \$15 trillion in AUM at the time of sale.

Prior to working in the finance arena, Castine (under the "Cogent" name) was the #1 provider of multi-partner oil, gas, and extraction solutions to the international exploration community. Its client base included every major oil and many of the largest mining firms worldwide, with over 2,000 installations in 60+ countries. The oil and gas business was spun off in 1997.

Robin Hodgkins remains as Castine's President and Senior Product Strategist, and works side by side with a "who's who" of top talent in the operations, sales, development, and support space.

For additional information, call **347-4-CASTINE** or visit [www.CastineLLC.com](http://www.CastineLLC.com)

