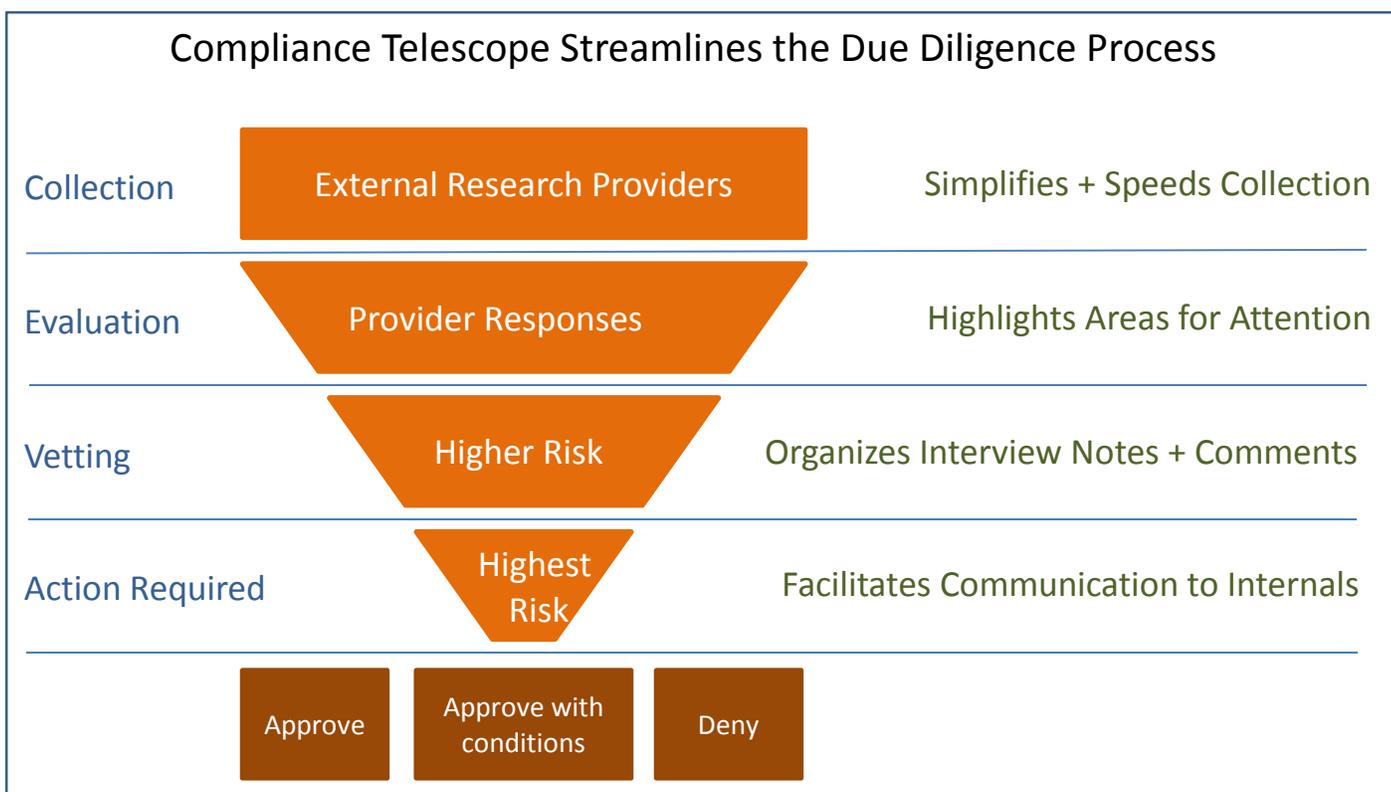




Compliance Telescope is a powerful new platform designed to streamline the due diligence of third party research providers. The service provides timely, accurate and more frequently updated due diligence information making it easier to onboard new providers and monitor current vendors.

Castine Consulting teamed with Integrity Research Associates to develop an innovative online “Universal Due Diligence Questionnaire (DDQ)” covering each vendor’s compliance policies, procedures, and compliance documentation. Rather than collect this in a time-consuming and error-prone manner for each new vendor relationship, the Universal DDQ provides all of this information in one place, saving time for both research providers and their clients.



The Universal DDQ also makes it easier for research firms to respond to due diligence requests. The cloud-based questionnaire is easy to complete 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.

Compliance Telescope highlights the vendors that require the most scrutiny, such as firms offering access to experts or conducting public company channel checks. The platform also stores interview notes, internal reviews and comments for each external provider. The system is tailored to complement asset managers’ internal compliance workflow, while maintaining complete internal records.



The system also makes it easy for investment staff to know which vendors are approved and which have restrictions or other conditions on usage.

Special Capabilities

Compliance Telescope provides unique strengths that can be tailored to each asset managers' specific needs:

- Universal DDQ questions can be augmented with confidential questions or requirements, such as attestations.
- Administrator module to manage all questionnaires, new provider requests, and easily keeping provider information up-to-date.
- Proprietary risk scores for vendors to help prioritize compliance reviews.
- Portfolio manager and analyst notification tool to rapidly identify the approval status of providers, ensuring internal adherence to compliance guidelines.
- Surveillance service to monitor regulatory actions, enforcement proceedings and other events impacting providers, with alerts on actionable issues.
- Database-only option to link *Telescope* data to an existing system, giving access to *Compliance Telescope's* extensive data while maintaining a familiar front end.

Benefits of using the *Compliance Telescope*

Compliance Telescope supports buy-side firms' regulatory requirements for vendor due-diligence by improving its quality and frequency, no matter how many vendors you currently use.

- Compliance Telescope streamlines the vendor due diligence process, reducing risks and demonstrating a strong commitment to surveillance.
- Its 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 firms and organizes interview questions and responses.
- Demonstrates compliance best practices to investors, and to regulators and auditors.

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

