



### Overview

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

### 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.



### *Broker and Research Providers*

Castine's sell-side suite addresses the key difficulties for institutional and retail brokers and those providing research products and services through the use of CSAs or Europe's MiFID II RPA payment mechanisms:

- **Commissioner** All aspects of trader and advisor compensation, with client and trader profitability, expense management, and RR and team-based compensation.
- **Commander** Complete CSA and RPA portal for brokers in the US and EU to handle commission management, reconciliation, and payments for their clients, be they trading directly, using inbound or outbound aggregators.
- **Spinnaker** Broker and IRP-based research pricing and invoicing system, based on negotiated pricing models and/or consumption-based pricing.

### *Buy-Side and Investors*

Castine has a robust set of tools specifically aimed at investors and buy-side firms. These cover critical aspects of both compliance and commission management:

- **RPA Centre & P&L Centre** Manage research budgeting whether or not your firm is using commissions to pay for research. Consumption, reviews, multi-strategy budgeting and trade report is included.
- **Telescope Due Diligence** Fund, broker, research provider, KYC, and cyber-security reviews, built into a portal that allows one to complete critical due diligence on any type of firm and then use that information for risk scoring, approval workflow, and license management. Castine does the legwork to collect DDQs, keeps them current, and sends out alerts when anything changes; this saves your firm time and effort and letting you focus on actionable information.



## ***Compliance Operations and Due Diligence***

Compliance is the fastest growing department in many firms, with strict requirements being generated on all parties to financial transactions. SEC, ESMA, FINRA, FCA and other regulatory groups and associations are generating workloads that need to find a way to be simplified.

- ***Compliance Wheelhouse*** Convert very labor intensive tasks into an easy-to-manage set of tools for CCOs, their consultants, and their staff. Intelligent calendar management, task delegation and follow-up, G&E, political contributions, trade errors, and due diligence are just the start. Lets you walk a regulator from your policy manual to its associated procedures to every ad-hoc or repeating task to every note, attachment, and exception.
- ***Telescope Due Diligence*** Castine's Telescope product is built on a pre-collected list of due diligence questionnaires that Castine has gathered from funds, brokers, IRPs, professional service providers, and clients. Castine handles the effort to collect DDQ responses from new firms not already in the repository. Each subscriber can use Castine's Universal Due Diligence Questionnaire and add their own questions when applicable,

## **Technology**

Castine's entire product suite is Cloud-based, may be hosted by Castine or the client, is accessible with any standard browser (PCs, Macs, tablets, and smartphones), and is developed on an open source foundation using HTML5 and scalable database software.

## **Castine History**

Castine Consulting LLC was originally formed in 1982 and has operated as the market leader in every industry in which it has worked.

Most recently, Castine was the world leader in fintech software for broker votes, soft dollars and commission sharing arrangements for investment managers, research providers, and broker-dealers. That product line was sold to BNY Convergex and the company was then renamed as Castine Consulting.

Prior to working with finance sector firms, Castine (under its original "Cogent" name) was the #1 provider of multi-partner finance solutions to international oil & gas exploration community.

In its 30+ years of building industry-leading products, Castine has worked with over 2,000 clients in 60+ countries and in 5 spoken languages. Every project undertaken by Castine includes a 100% acceptance guarantee.

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

