



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

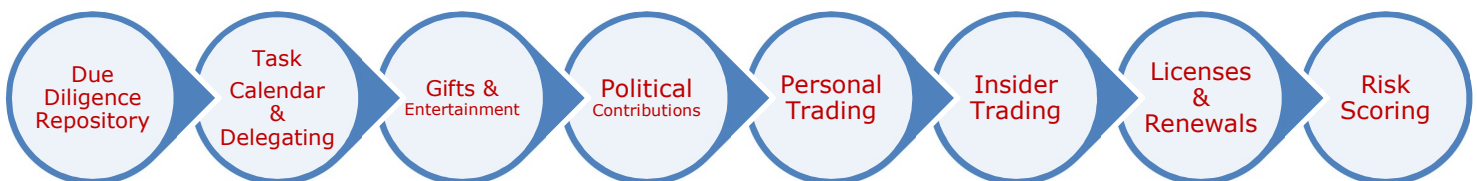
Rather than having to use multiple databases or systems, the **Compliance Suite** brings everything together in one place. You can leverage any of our growing list of modules to best address your current and future compliance technology requirements. Start by leveraging the almost 1,000 completed pre-collected due diligence questionnaires that reside within Castine's *Telescope* module database. Streamline your tasks with our **Intelli-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 Suite** 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.

Each module can be used on its own or in conjunction with any of Castine's other modules, including the full commission management / MiFID II system. Whether used as standalone modules or together as an integrated suite, these modules provide you with the easiest and most powerful compliance portal available.

Policies & Procedures • MiFID II • Best Practices



About Castine

Originally formed in 1982, Castine (formerly known as Cogent) has operated in the compliance and commission management sector for over 20 years. Castine also has products for broker dealers, research firms, asset managers and hedge funds around CSAs, RPAs, MiFID II, and performance analysis. Castine operates offices in New Jersey, Buenos Aires, and London.