



CASTINE NEWS

## Castine Releases KYC Solution to help firms address requirements under FINRA's amended Rule 3310

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As FINRA makes the amendments to Rule 3310 (Anti Money Laundering Compliance Program) to reflect the Financial Crimes Enforcement Network's (FinCEN's) adoption of a final rule on Customer Due Diligence Requirements for Financial Institutions (CDD Rule), Castine expands its *Telescope* due diligence platform to enable firms to perform effective KYC.

"Given the recent regulatory changes and upheaval in the KYC provider marketplace, Castine's solution is welcome news" says a Chief Compliance Officer at a large global broker. "We were delighted with the comprehensive nature of Castine's offering. It automates and streamlines what would otherwise be an impossibly laborious process".

The KYC solution is part of the Telescope due diligence platform already used by 2,000+ providers. Although a single standard solution, the platform's underlying intelligence allows the solution to be parameterized to a firm's specific requirements, including client-specific risk scoring and workflow.

### About Castine

The Castine C3 platform of integrated modules lets clients focus on specific areas where gains can be quickly realized with the confidence that the suite can grow as their needs change.

Modules include compliance; commission management, research consumption, pricing, and reviews; trader and adviser compensation.

Offices in New Jersey, London, and Buenos Aires

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