

Asset Manager Toolkit

CSA, MiFID II, RPA, and P&L Foundation System for Large Asset Management Complexes

Large institutional asset managers and hedge funds struggle not only with the constantly evolving nature of research valuation and commission management regulations but also with why their systems need to be replaced or re-thought every 3-5 years. In fact, these issues are directly connected to the size of the firm.

After 20 years of developing the most complex CSA, RPA, voting, and other commission management systems, it has become clear that:

Top Asset Managers and Hedge Funds Cannot Survive Packaged Voting Solutions

Castine's *Asset Manager Toolkit* is aimed squarely at solving this dilemma by providing flexible tools that can be combined together and built on to yield a perfect fit for complex firms while simultaneously maintaining flexibility for future changes. Rather than confront new regulations with a new package, the *AM Toolkit* can be updated to keep a connection to the past while offering a familiar yet updated solution for the future.



Castine's *AM Toolkit* is a fully integrated foundation that can be built on in an infinite number of ways – all while preserving the benefit of a fully supported solution from the industry leaders in commission management.



Castine's *Asset Manager Toolkit* was recently described by one of the largest global asset managers as a "game changer." It avoids painting firms into a corner with a monolithic package by using proven building blocks for each piece of a project. The blocks can be combined in a variety of different structures to truly reflect what the asset manager *wants* from a system rather than being *told* how to fit into a vendor's package.

As regulations and needs change, the *AM Toolkit* can be changed as well. "Re-think and re-use" vs "re-think and start over."

The *AM Toolkit* is a unified set of solutions that can be used on day one or whenever they're needed. Knowing that the capabilities are there gives one confidence that there's no "start over" event. The toolkit shares all data across all areas, saving time and reducing redundancy, and can be hosted on Castine's cloud (AWS or GCP) or in-house.

Each component module within the *AM Toolkit* can operate on its own or in conjunction with other modules.

Votes & Reviews Multi-dimensional reviews, including top-level and hierarchical reviews, with or without interactions and analyst reviews. Value-weighted valuations and scorecard builder.

Interaction Capture & Valuation Standalone or broker-provided interaction tracking, valuation, and commentary. Multi-factor coverage and analytics to show broker performance and consumption patterns.

Rebates Full calculation engine to handle client rebates for CSA monies used to pay for research.

Research Pricing & Rate Cards Comprehensive tracking of all research pricing *and* execution rate cards across all brokers and IRPs. Pricing across all services and rates across all markets, asset classes, etc.

Trade Unbundling Use pre-split CSA information or use Castine's unbundling engine to get the most accurate view of balances across all brokers and aggregators. Unlimited OMS connectivity.

Ad-Hoc Reporting Kiosk Trade and consumption reporting without the need for programmers, pivot tables, or understanding of complex data warehouses. DIY and completely curated for accurate answers.

Budgeting Manage budgets for research in the way that best represents how you get value from your brokers and IRPs. By firm, by fund, by client. Holding engine links client information to budgets.

Reconciliation Streamline reconciliation of trades with Castine's multi-pass, multi-mapping, and tolerance-tuned engine.

Compliance Perform due diligence for MiFID II, 28(e), cyber, KYC, KYV, employees, etc. Risk scoring.

Calendars Broker, IRP, and in-house sponsored event calendaring, with invites and attendance tracking.

Research IOI's Users can indicate what sectors, regions, firms, subjects that they are interested in, making research consumption and invitations more targeted to save time and add value.

For more information on the *Asset Manager Toolkit*, or on each module, please contact Castine.

About Castine

Since 1982, Castine LLC has provided Cloud-based and in-house solutions to the financial industry. The Castine C3 platform addresses Commission management, Compliance, and Compensation and is in use by firms worldwide.

Offices in New Jersey, London, and Buenos Aires