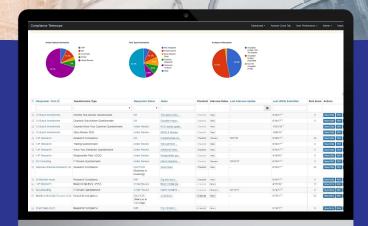# Compliance Telescope

Due Diligence, Risk Scoring, Alerting, and Compliance Workflow

Intelligent automation to make 3rd party due diligence more effective

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Telescope is a state-of-the art technology that streamlines due diligence associated with the third parties used by your organization.

Telescope is pre-populated with completed due diligence responses from 2,000+ firms that are immediately accessible to all Telescope subscribers, based on permissioning. Castine adds your new firms as a part of the service.

Telescope clients enjoy the benefit of timely, accurate and frequently updated due diligence information, making it easier to onboard new providers and monitor current ones.

Telescope supports your existing requirements for vendor due diligence by improving the quality and frequency of information collected, regardless of the number of third party vendors you work with.

- **Intelligent automation** (alerts when changes occur, self-tailoring questions) streamlines the vendor due diligence process, reduces risk and enables a strong commitment to surveillance.
- Far faster and more accurate than error-prone email and spreadsheet methodologies.
- The **crowd-sourced Universal DDQ** saves time for organizations of all sizes, improving the timeliness and completeness of due diligence responses.
- Speeds the onboarding process for new third-party providers.
- **Risk scoring** identifies higher risk counterparties and organizes interview questions and responses.
- Telescope saves time by **automatically alerting users** when key answers are changed.
- Demonstrates compliance best practices to investors, regulators, and auditors.
- For subscription-based services, license manager helps to ensure you never unintentionally renew and pay third party services.
- Telescope is web-based and operates on a 24/7 basis with no IT overhead.

Questionnaires target a wide variety of vendors **including research brokers, fund managers, cybersecurity, trading counterparties, sub-advisors, distributors, managers, clients/KYC, professional services, expert networks, consultants** and more.

Universal DDQs can be augmented with your own confidential questions or requirements (e.g. attestations). Historical data is maintained in perpetuity. We can create new questionnaires for you as well!

Castine manages all logistics to contact each firm, collect responses and request regular updates.

Vendor approval workflow is intelligently built into Telescope, with email notifications for appropriate team members as counterparties move through your specific approval process.

Telescope is built around- around a series of innovative "Universal Due Diligence Questionnaires (DDQs)", covering many different types of vendor's offerings, compliance policies, procedures, and supporting documents. Client-specific questions make Telescope a one-stop shop for compliance information.

Telescope's Risk Scoring module empowers clients to set their own risk scoring algorithms and alerts to proactively identify and address higher risk third party firms.

Telescope's License Management module adds centralized budgeting, renewal and cancellation alerts, and user administration, making for an even more focused one-stop solution and helping to save thousands of dollars annually by avoiding unintended renewals of third party services.

Telescope instantly notifies users when responders change answers to key questions (as determined by you) within their DDQ.

Complete interview management, with the ability to flag answers for follow-up. Vendor and counterparty reviews and approval are managed through a single portal to provide access to all information in a centralized location.

Vendors enjoy working with Telescope because of the convenience of completing the UDDQ once and having it be available to all of their requesting clients. Since Telescope saves vendors so much time they are deeply incented to complete the UDDQs in a timely fashion.

Telescope highlights vendors who require the most scrutiny (e.g. critical service providers, expert networks, technology providers).

About Castine

Since 1982, Castine LLC has provided Cloud-based and in-house solutions to the financial industry. Our C3 platform addresses Commission management, Compliance, and Compensation and are in use by brokers, IRPs, asset managers, hedge funds, and investors worldwide.

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 CSA, RPA, and P&L-based commission management for the buy- and sell-side, including research consumption, pricing, and reviews; compliance calendar, due diligence and RFPs, and reporting and approvals from employees and trading; trader and adviser compensation, performance reporting, trend analysis, and profitability.

Offices in New Jersey, London, and Buenos Aires