The basis of an audit-ready business
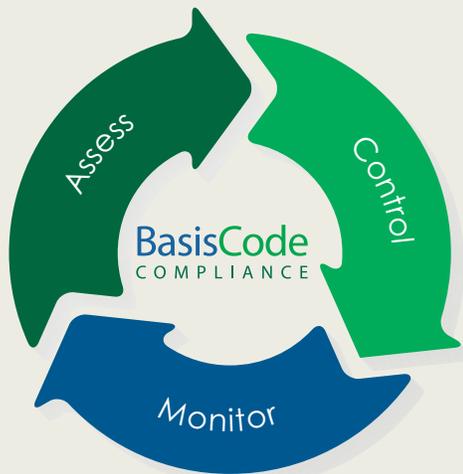
BasisCode
C O M P L I A N C E

BasisCode Compliance™– About Our Company

BasisCode Compliance meets the industry need for more integrated technology tools that manage the lifecycle of compliance risk, from identification to resolution.

The industry's broadest integrated platform of compliance software for asset managers, investment advisors, broker/dealers, insurance companies and other services providers, BasisCode Compliance™ increases process visibility and policy management control while decreasing the time spent managing tasks manually.

Centralized and intuitive, our software spans functionality, from testing and risk assessment to personal trading and staff certifications—all within a unified solution—enhancing compliance controls and decision-making to safeguard your firm and clients.

Assess — **Control** — **Monitor**
BasisCode COMPLIANCE

Assessment
> Intuitive display of overall risk inventory
> Seamless integration with associated tests
> Generation of actionable risk-weighted metrics

Control
> Simple setup of distribution groups and sign-off routing
> Flexible staff certifications, quizzes and testing
> Robust document management and reporting

Monitoring
> Scheduled certifications (e.g. COE) and policy management
> Audit trail of compliance tasks by responsible party
> Reminder checklists, notifications and activity aging

Flexible Technology You Can Trust

By virtue of our integrated yet flexible rules-based platform, you can quickly and cost-effectively extend services as your needs evolve. Open application programming interfaces (APIs) ease data and software integration with other systems. You can globally host our solutions within our secure SSAE16/ISO 27001-compliant distributed data centers and failsafe enterprise-class servers without the need to purchase and continually upgrade hardware or software.

Your staff can securely use the solutions via web browser, smart phone or tablet—anytime, anywhere. Administrative features include user-defined access privileges and a full audit trail of which actions were taken by whom and when.

Our team has decades of experience designing, developing and managing enterprise compliance systems for a broad spectrum of clients, from the leanest to the largest.

Managing the Risk Lifecycle

BasisCode Compliance makes it easier to manage and resolve compliance cases, from risk identification to resolution. Centralized case management improves processing governance and control by transforming decision-making to consistent, firm-specific best practices.

The role-sensitive BasisCode Dashboard helps supervisors manage activities by responsible party. The integrated calendar, user-defined distribution lists and reminder checklists allow compliance administrators to schedule tasks and trigger alerts, ensuring timely staff follow-up.

> Calendar-based reminders and alerts
> Document management and archival with version control
> User-defined query and search capabilities
> Complete audit trail of performed tests
> Rich analytics and robust reporting

Getting Started

With decades of technology, financial and compliance expertise, our team can quickly get you up to speed transitioning manual processes to our automated platform. Our team has decades of experience designing, developing and managing enterprise compliance systems for a broad spectrum of clients, from the leanest to the largest.

As part of our on-boarding process, we help you tailor business processes, define distribution and approval groups, and schedule activities to help improve your compliance program. Once our system is set up to support your business environment, authorized staff will be able to:

> Filter, sort and automatically initiate actions based on flexible parameters
> View an intuitive, consolidated dashboard of activity and action items in order of priority/due date
> Define processing rules, such as order of distribution routing and designated approvers
> Set reminders and thresholds that trigger alerts to monitor high-exposure compliance issues
> Tailor tests, forms, quizzes, templates, application views and reports with user-defined fields
> Easily search for data and documents and create queries for your most frequently run reports