

BasisCode Compliance Essentials is a powerful compliance management software that simplifies management of the risk lifecycle from identification to resolution strengthening compliance controls and decision-making to safeguard firms and their clients. This comprehensive set of integrated compliance and risk management tools enables clients to rapidly design, deploy and continuously update controls while streamlining day-to-day management of their compliance program. It is extremely flexible and scalable, making it suitable for organizations of all sizes.

BasisCode Essentials saves organizations time and resources while maintaining a strong culture of compliance via its hallmark **audit-ready** capability. It can be employed separately or in conjunction with BasisCode Personal Trading Manager and BasisCode Insider Trading Manager – all managed from a single, unified dashboard.

Testing & Certifications

Seamlessly design, schedule and disseminate routine and ad-hoc compliance tests, certifications, and attestations across your compliance program with ease.

Forms Studio

Automate virtually any paper-driven submission, review and approval process including political contributions, outside business activities, advertising review, onboarding and more.

Risk Assessment

Maintain an inventory of your firm’s compliance risk, provides the ability to rank and weight risk factors, archive past assessments and automatically links to the controls within BasisCode that are mitigating each identified risks, thus demonstrating your commitment to ongoing compliance risk management and an audit-ready business.

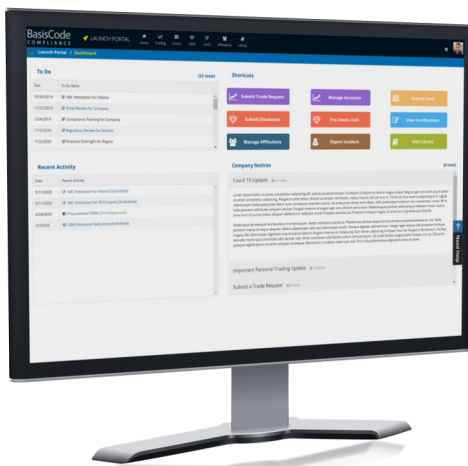
Gift & Entertainment Management

Set firm-wide limits and track employee disclosures against defined thresholds and relationships. Employees can easily check limits and pre-clear activities, and notifications and warnings can be automatically sent to compliance staff and supervisors as exceptions occur. Integrations with Concur are also available to support near real time exception generation.

Document Library

Authorized users can easily organize and share documents, filter by user, group or department and make documents searchable for ease of access.

*Optimize day-to-day implementation of your compliance and risk management program leveraging a powerful, fully integrated suite designed to ensure your **audit-readiness***



Employee Portal

Ensure the timely exchange and tracking of information and requests among employees and other stakeholders. Employees can complete ad hoc forms, access documents, enter gift and entertainment disclosures or submit trade requests.

Governance & Audit

Accommodate the diverse demands of different stakeholders ranging from compliance, operations, audit and finance personnel to corporate secretaries and governance officials by streamlining and automating a collection of separate but related tasks usually performed by different individuals and departments into a simple software dashboard that is easy-to-use and monitor.