

The BasisCode Personal Trading Manager is a powerful technology designed to automate and streamline Code of Ethics administration and personal trading surveillance. This sophisticated system reduces regulatory risk while increasing the overall efficiency of your compliance department by eliminating labor-intensive and error-prone manual processes.

Pre-Clearance Requests

Leveraging the Employee Launch Portal, employees can easily submit and automatically view the status of requests for trading pre-clearance. The fully configurable request process supports firm specific policies to automate the approval, rejection or escalation of requests based upon unique attributes of each submission. The workflow can support multi-level and multi-participant review assignments to ensure that each request is handled accurately and completely.

Automated Brokerage Feeds

Automate the post-trade reconciliation and quarterly and annual certification processes by automating the collection of trading data through secure, third-party brokerage feeds. With a comprehensive and growing network of available institutions, using our Trade Account Portal, employees and Officers alike can establish and monitor connectivity strengthening the reliability of your reference data.

Configurable Rules Engine

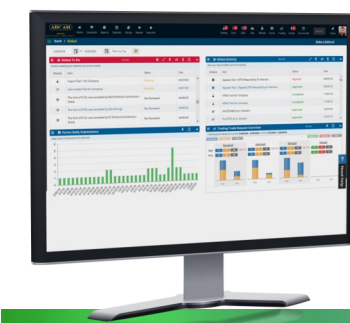
The highly configurable rules engine within the BasisCode Personal Trading Manager helps ensure firms can accurately and completely enforce the firm's Code of Ethics policies related to personal trading activity on a pre and post trade surveillance basis. Rules designed to inform the pre-clearance process can be built against any number of attributes of the request type, outside affiliations of the requestor, restricted/monitored list types, or other trading activities so that requests are automatically approved, rejected, or escalated. Similarly, rules designed to inform the post-trading surveillance process can be designed against the same myriad of parameters and help to ensure that any anomalous, unapproved, or prohibited activities are flagged and routed through the desired exception management process.

Post Trade Surveillance

Supplement your post trading surveillance rules base by cross referencing external data sources, including client transactions easily using our flexible framework to support ad-hoc or recurring data imports/feeds.

Exception and Case Management

Efficiently analyze pre and post trade exceptions, with complete in-case details displaying critical information about the nature of each request or flagged item. Utilize our integrated discussion feature enabling Officers to easily gather supporting insights from unassociated users, while archiving the responses and associated documents within its specific case improving the integrity of the record-keeping process. Manage the entire review process from within a single case, from analyzation to disclosure of remedial actions, all which become readily available as part of the hallmark **audit-ready** reporting capabilities across the platform.



Certifications & Attestations

Leveraging the Employee Launch Portal, easily assemble and deploy your Code of Ethics manual, quarterly and annual employee certifications. Design your firm specific forms and certifications to include system 'Tokens' which are designed to automatically display system managed data (ie: transactions, holdings, outside affiliations) to better enable consistency while reducing data entry and other error-prone processes. Easily monitor, track and report across activities related to specific time periods, users, accounts/account types or any number of available filtering mechanisms.

*Streamline Code of Ethics administration while **increasing efficiencies and eliminating risks** related to labor-intensive, error-prone processes*