



# Consultants

## BasisCode Compliance™ for Consultants

The groundbreaking BasisCode regulatory compliance management system empowers compliance consulting firms to automate compliance processes to allow for more focused and meaningful engagement with clients.

### With BasisCode Compliance, consultants can:

- **Optimize** the delivery of services to clients, providing the ability to customize services on a client-by-client basis
- **Simplify** day-to-day functions and add transparency to client processes and services resulting in improved profitability
- **Standardize** service delivery and management of regulatory compliance program



Testing & Certifications



Risk Assessments



Gifts & Entertainment



Workflow Enabled Forms



Document Library



Code of Ethics & Personal Trading



Employee Portal & Mobile App

### Competitive Advantage

- Accommodate the diverse demands and expectations of prospective clients by offering the most comprehensive compliance solution
- Surpass national corporate brands that dilute in-house offerings by attempting to design and deliver technology
- Provide verifiable value to each relationship with a transparent audit trail of the completed work items collaborated on via technology

### Scalability

- Enhance service offerings by automating core administrative processes, freeing up time to promote more meaningful engagement
- Strengthen and showcase brand subject matter expertise by systematizing routine activities
- Measure and improve overall staff performance, productivity and transparency via robust analytics

### Comprehensive Compliance Management

- Access a consolidated view across all clients and global action items, and drill down into client-specific work items from a single, unified dashboard
- Model baseline templates for tests, certifications, questionnaires and risk assessments enabling efficient client onboarding and program maintenance
- Trust the industry's leading, fully-integrated, compliance technology framework that prioritizes audit-readiness and reporting

### Centralize & Standardize

- Adopt a firm-wide technology to organize client assets, templates and processes while offering agile responses to client needs
- Unify internal procedures to optimize service offerings and standardize deliverables to promote brand and provide a consistent work product

### Showcase your Brand

- Increase brand awareness as a BasisCode Marketplace partner
- Showcase core competencies, value proposition and differentiators to potentially gain new partnerships with direct clients of BasisCode

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