



# Governance, Risk & Compliance

## BasisCode Compliance™ Essentials

### Antiquated and inefficient risk management approach?

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 effectively safeguard firms.

### Optimize the process with GRC Software.

The comprehensive set of integrated compliance and risk management tools provides rapid design, deployment and continuous updating of controls. This effortlessly streamlines day-to-day management of compliance programs. With the software's flexibility and capacity to scale, it is an essential compliance solution for organizations of all sizes.



Testing &  
Certifications



Risk  
Assessments



Gifts &  
Entertainment



Workflow  
Enabled Forms



Document  
Library



Governance &  
Audit



Employee Portal  
& Mobile App

### Testing & Certifications

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

### Risk Assessments

- Maintain risk inventories, ratings and weights
- Seamlessly link risks to their mitigating controls for greater transparency

### Gifts & Entertainment

- Maintain firm-wide limits and track employee disclosures
- Allow employees to pre-clear and check activities against thresholds
- Automate exception management
- Concur integration available

### Workflow Enabled Forms

- Automate any paper-driven submission, review and approval process,
- Political contributions
- Outside business activities
- Advertising review, and much more

### Document Library

- Authorize users to easily organize and share documents, filter by user, group or department and make documents searchable for easy access

### Governance & Audit

- Accommodate the diverse demands of different stakeholders
- Streamline and automate a collection of separate but related tasks usually performed by different individuals and departments
- Branch Audits, New Hire Onboarding, and much more

### RegNews

- Never miss another regulatory alert, proposal, or new rule with our customizable news feed, located right on your dashboard

### Employee Portal & Mobile App

- Ensure the timely exchange and tracking of information and requests among employees and other stakeholders
- Secure access via SSOMobile app accessibility available

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