



Employee Conflict of Interest & Personal Trading

BasisCode Compliance™ Personal Trading Manager

Is your approach to managing employee conflict of interest and Code of Ethics administration exposing you to risk?

The BasisCode Compliance™ Essentials & Personal Trading Manager offers a powerful technology suite that automates and streamlines employee conflict of interest management, Code of Ethics administration and personal trading surveillance.

This sophisticated system reduces regulatory risk; increases the overall efficiency of compliance departments; and eliminates labor-intensive and error-prone manual processes.



Automated Brokerage Feeds



Configurable Rules Engine



Pre-Clearance Requests



Post-Trade Surveillance



Exception & Case Management



Certifications & Attestations

Automated Brokerage Feeds

- Automate the collection of trading data with third-party brokerage feeds
- Tap into our expansive network of institutions to strengthen the reliability of reference data

Configurable Rules Engine

- Automate the enforcement of Code of Ethics policies
- Design rules to analyze and approve, deny or escalate pre-clearance requests
- Analyze requests against trade characteristics, employee attributes and watchlist/restricted lists

Pre-Clearance Requests

- Provide employees a secure and easy-to-use web-based or mobile app interface to submit personal trading requests
- Automatically pass or fail trades based on company policies and immediately deliver outcome back to the employee

Post-Trade Surveillance

- Monitor after-the-fact trading activities against firm-wide rules to spot exceptions
- Supplement post trading surveillance rules by cross referencing external data sources (client trades) via ad-hoc or recurring data imports/feeds

Exception and Case Management

- Efficiently analyze pre- and post-trading exceptions with complete in-case details
- Evidence complete review, from discovery to decision, from a single dashboard
- Audit-ready platform allows evidence to remain integrated and readily available as part of the hallmark reporting capabilities

Certifications & Attestations

- Easily automate the design, delivery and review of required attestations, quarterly transactions and annual holdings reports

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