



The Basis of an Audit-Ready Business

BasisCode Compliance™ Overview

Antiquated and inefficient risk management approach?

BasisCode Compliance™ 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.

GOVERNANCE, RISK & COMPLIANCE



Essentials

is the foundation of compliance suite which provides the essential elements to optimize any firm's program management approach including:

- Testing & Certifications
- Forms Studio
- Risk Assessments
- Gifts & Entertainment
- Document Library
- Governance & Audit Manager
- Employee Portal & Mobile App

INSIDER TRADING



Insider Trading Manager

features a highly advanced, proprietary detection engine skillfully designed to increase detection accuracy and reduce false positives. The software's sophisticated filtering mechanisms reduce the volume of extraneous data, while increasing the accuracy of items that warrant review. The process saves time, reduces risk, and provides for more meaningful analysis and can be applied to trade activity in both firm and employee transactions.

EMPLOYEE CONFLICTS & PERSONAL TRADING



Personal Trading Manager

is a robust 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.

BASISCODE FOR CONSULTANTS



Consultants

The groundbreaking BasisCode compliance dashboard software for consultants provides a comprehensive regulatory management system that empowers compliance consulting firms to automate key processes so they can focus on more meaningful engagement with their clients.

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