

# How Can BasisCode Help With Form CRS & Regulation Best Interest?

## Ask Us How BasisCode Can Help...

With Form CRS & Regulation Best Interest

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The SEC recently issued Risk Alerts on OCIE's Form CRS & Regulation Best Interest Exam Focuses. Meeting these compliance dates has taken center stage for many financial services firms and with good reason.

As firms continue to assess the immediate and long-term changes needed to support these new requirements, the BasisCode Compliance platform is well designed to support your firm's agile response and procedural updates.

So, what are the **Top 3** ways BasisCode can help?

### 1. Delivery

*Utilizing the Certifications module of BasisCode, firm Officers can assemble firm specific distribution lists to prepare and deliver their firm's Form CRS to the appropriate clients.*

## **2. Communications & Training**

*Utilizing a combination of our Testing, Certifications and Document Library features, Officers will be able to fully implement, communicate, and train their staff on changes to their compliance procedures as a result of these new requirements.*

## **3. On-Going Management of Conflicts of Interest**

*Managing broker conflicts has been noted as a FINRA exam focus area for Broker-Dealers. The BasisCode Certifications and Forms Studio will allow firms to model their on-going processes to support initial capture and, scheduled or ad-hoc, requests for updates to conflicts of interest across the organization, be it at the broker level or product level.*

The scalable nature of the BasisCode Compliance suite has been designed to enable compliance teams to rapidly design and deploy new or modifications to their compliance programs to maintain strong cultures of compliance and adapt to regulatory change.

This coupled with our hallmark, audit-ready reporting capabilities, will provide confidence in preparing for future regulatory examinations. Schedule a demo today to learn more about how we can help.

REQUEST A DEMO