

# Dynamic Wealth Advisors Adopts BasisCode Compliance Software Platform

SCOTTSDALE, Ariz. and ATLANTA, September 18, 2017 – Dynamic Wealth Advisors ([www.dynamicwealthadvisors.com](http://www.dynamicwealthadvisors.com)), an advisory and practice development firm servicing independently-owned advisory practices throughout the U.S., has implemented BasisCode Compliance LLC's software platform to improve compliance management for its own RIAs and the independent RIAs for whom it provides back office services.

The BasisCode compliance software platform will be integrated with Dynamic Wealth Advisors' (DWA) Wealth360 platform, including Orion Advisor Services' portfolio accounting solution, enabling the firm to efficiently document the review of personal securities transactions and perform exception reporting on global advisory transactions and portfolios.

Based in Scottsdale, DWA serves independent advisory practices across the country. The firm provides a comprehensive suite of back- and middle-office services, integrated technology and wealth management platforms, service to multiple custodians, compliance services and other open source advisory products and services.

BasisCode Compliance™ ([www.basiscode.com](http://www.basiscode.com)) offers the industry's most comprehensive software platform that improves compliance management for financial firms, compliance consultants, law firms and other service providers. The software simplifies and centralizes compliance management, ranging from compliance testing and risk assessment to trading surveillance, insider trading and staff certifications. The platform provides robust reporting features and an easy-to-use portal for seamless interaction with employees and advisors. The rules-based engine makes it simple for users to modify workflow logic through the platform portal.

"We undertook to find a compliance system that enabled us to track, report and monitor all compliance-related activities for our firm and independent advisors. We also wanted a solution that would integrate with our Wealth360 platform and could substantially streamline our efforts to meet compliance requirements, document testing and provide easy-to-use digital attestations and questionnaires," said Jim Cannon, founder and chief executive officer of Dynamic Wealth Advisors. "After looking at several firms, we determined BasisCode Compliance's platform had the necessary functionality to support our needs to document our compliance program and risk assessment requirements, including date and time stamped documentation for examinations and extensive reporting and integrated personal securities transaction monitoring. We also utilize the system to obtain, review and archive all advertising and marketing materials."

Dynamic Wealth Advisors implemented BasisCode Compliance's Essentials, a core compliance management software suite that helps manage the risk lifecycle from identification to resolution. Essentials offers a basic set of management tools that simplifies management of the core elements of a compliance program and is ideally suited for organizations with simpler compliance management needs. The cloud-based system includes testing and certifications, risk assessment, gifts and entertainment, whistleblower, document portal, robust reporting and a portal for ease of use and seamless interaction with employees.

"We are very pleased that Dynamic Wealth Advisors will be using our platform for streamlining and updating its compliance management system for its broad base of financial advisors," said Carlos Guillen, president & CEO, BasisCode Compliance. "For advisory and practice development firms like Dynamic Wealth Advisors which serve a wide range of independently owned advisory firms, BasisCode provides a range of functionality within a single platform that is easy to use, with robust capabilities to handle the compliance demands of large and small firms, including firms with multiple locations or RIA client firms."

## About Dynamic Wealth Advisors

Dynamic Wealth Advisors is an RIA registered with the Securities and Exchange Commission serving the needs of financial advisory practices and their clients throughout the U.S since 2010. Our affiliated advisors serve individual and family wealth clients, defined contribution and defined benefit retirement plans, endowments and charitable organizations. DWA provides back and middle office support, compliance services, investment management and practice management support to over 35 independent advisory practices. For more information, see [DynamicWealthAdvisors.com](http://DynamicWealthAdvisors.com) or call 877-257-3840.

## About BasisCode

BasisCode Compliance LLC ([www.basiscode.com](http://www.basiscode.com)), headquartered in Atlanta and founded in 2011, is a leading provider of regulatory compliance software solutions which help manage the risk lifecycle from identification to resolution. From core compliance to personal trading and insider trading, each BasisCode software solution is available as a stand-alone product or offered as part of an integrated package. The company's hallmark, audit-ready capability is available in all BasisCode solutions and helps firms maintain a culture of compliance.

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