Press Releases

Focus 1 Associates Implements Basiscode Compliance Software Program

MEDFORD, Ore. and ATLANTA, February 5, 2018 – Focus 1 Associates LLC (www.focus1associates.com), specializing in assisting registered investment advisers—institutional, wealth advisers, family offices, and advisers to private funds—with their compliance needs under the Investment Advisers Act, is implementing BasisCode Compliance LLC's software platform to improve compliance management for its U.S. and non-U.S. client base.

BasisCode Compliance (www.basiscode.com) is 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 rules-based engine makes it easy for users to modify workflow logic throughout the compliance management lifecycle.

"From the firm's inception in 2005, our mission has been to serve as an extension of our clients' compliance team and to provide advice and perspective that is experienced, practical and timely. Focus 1's decision to partner with BasisCode Compliance was not made in haste. We evaluated several compliance systems over the past few years and in doing so came to realize that this innovative cloud-based software platform was the gold standard. BasisCode Compliance will allow us to continue carrying out our core mission," said Toby Cochran, managing member and president of Focus 1 Associates.

Compliance Officers are facing greater scrutiny than ever as the regulatory environment continues to evolve and become increasingly difficult to navigate.

"Knowing the internal and external pressures our clients deal with daily," added Cochran, "it was important to us that the software platform provide a more centralized and efficient means for our clients to plan, manage and document their annual compliance review. With BasisCode Compliance this can be achieved!"

BasisCode Compliance centralizes the industry's broadest range of functionality within a single platform, increasing compliance management processing visibility. The BasisCode Dashboard displays a consolidated inventory of a firm's program while the BasisCode Portal engages consultants and supervisors, as well as non-supervisory staff, in maintaining a culture of compliance.

"Our innovative platform and our latest Insider Trading Manager™ software provide registrants and consultants with more powerful tools to reduce compliance risk while enhancing the quality of their compliance programs," said BasisCode Compliance President and CEO Carlos Guillen. "The partnership with Focus 1 Associates continues to validate our leadership as the industry's most extensive, integrated and advanced compliance management software available."

About Focus 1 Associates LLC

Focus 1 Associates is a premier provider of SEC compliance services, assisting registered investment advisers with their specific compliance needs under Rule 206(4)-7 of the Investment Advisers Act. The firm specializes in the areas of mock SEC examinations, compliance program development, and annual compliance reviews. As part of its services, Focus 1 Associates provides unlimited consulting on the rules and regulations and industry best practice, educational webinars and industry alerts, as well as compliance templates and sample documents. The firm's experienced professionals deliver practical, solutions-oriented assistance, and each service is customizable and tailored to each firm's compliance needs. For more information, visit www.focus1associates.com.

About BasisCode

BasisCode Compliance LLC (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.

Insider Trading Manager and BasisCode Compliance are trademarks of BasisCode Compliance LLC. All other tradenames are the property of their respective owners.

For further information: For further information: Feintuch Communications: Rick Anderson / Cara Johnson / Henry Feintuch, 718-986-1596 / 212-808-4904 / 212-808-4901, basiscode@feintuchpr.com