Enact

Enact's Compliance Management Policy

Compliance Department Overview
The Compliance department is led by the Chief Compliance Officer who reports to the General Counsel.

Compliance Management
Compliance and Legal are accountable for monitoring changes in regulations and any impact to our business; Compliance partners with the business to drive the appropriate changes. All new products and changes to existing products, as well as changes to guidelines, require review and approval by cross-functional review committees, including both Compliance and Legal. As part of this review process, required regulatory approvals are identified and managed to ensure all approvals are obtained prior to implementation.

Compliance monitoring occurs monthly and a compliance self-assessment review is conducted annually. Additionally, compliance testing is included in the scope of internal process audits and third party vendor audits. These audits are conducted by our Risk team. Compliance exceptions requiring remediation are tracked by Risk, the functional owner and Compliance. Internal findings and audit reports are not, as a matter of course, made available to customers.

Compliance Training
The Compliance department educates employees and contractors on the laws, regulations and company policies that apply to their day-to-day job responsibilities. Refer to our Compliance Training Program Practices and Procedures.

Last Updated: 6/21/2021

Enact℠