

# Breaking Down Silos and Building up Enterprise Compliance

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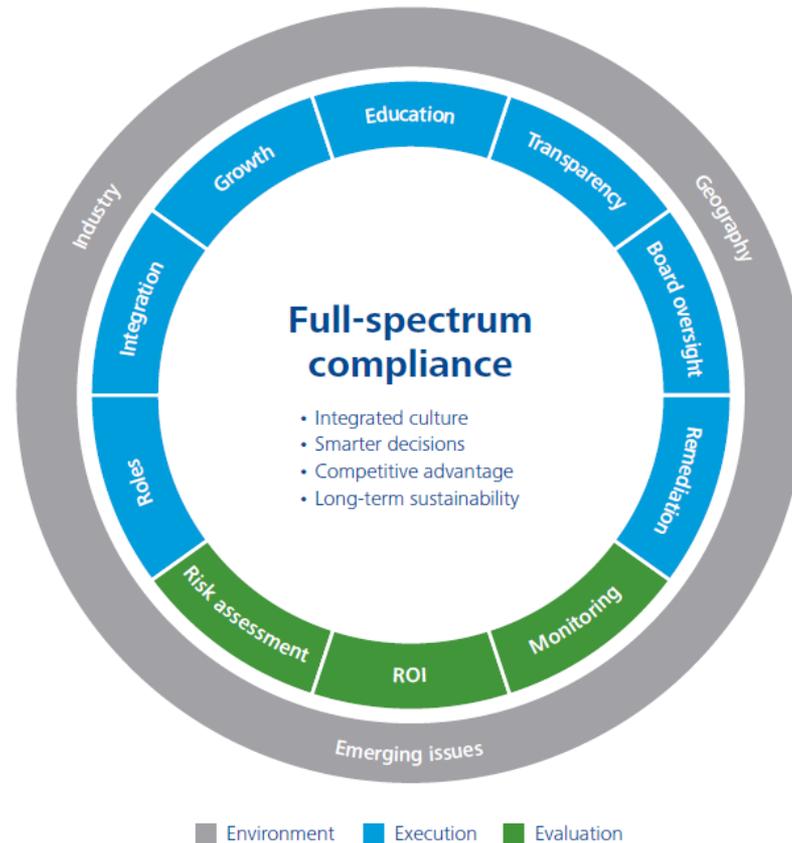
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# Breaking Down Silos and Building up Enterprise Compliance

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## Compliance Framework

### Risk Assessment

- Risk Identification and Preliminary Risk Rating
- Risk and Control Assessment (Targeted Reviews)
- Risk Mitigation (Compliance Action Plans)

### Monitoring

- Risk Prioritization
- Identification of Critical Controls
- Implementation of Monitoring Plans

### Testing

- Test Plan Development
- Sample Selection
- Evidence Request
- Testing Execution, Analysis, and Results
- Risk Mitigation (Compliance Action Plans)

### Employee Education & Communication

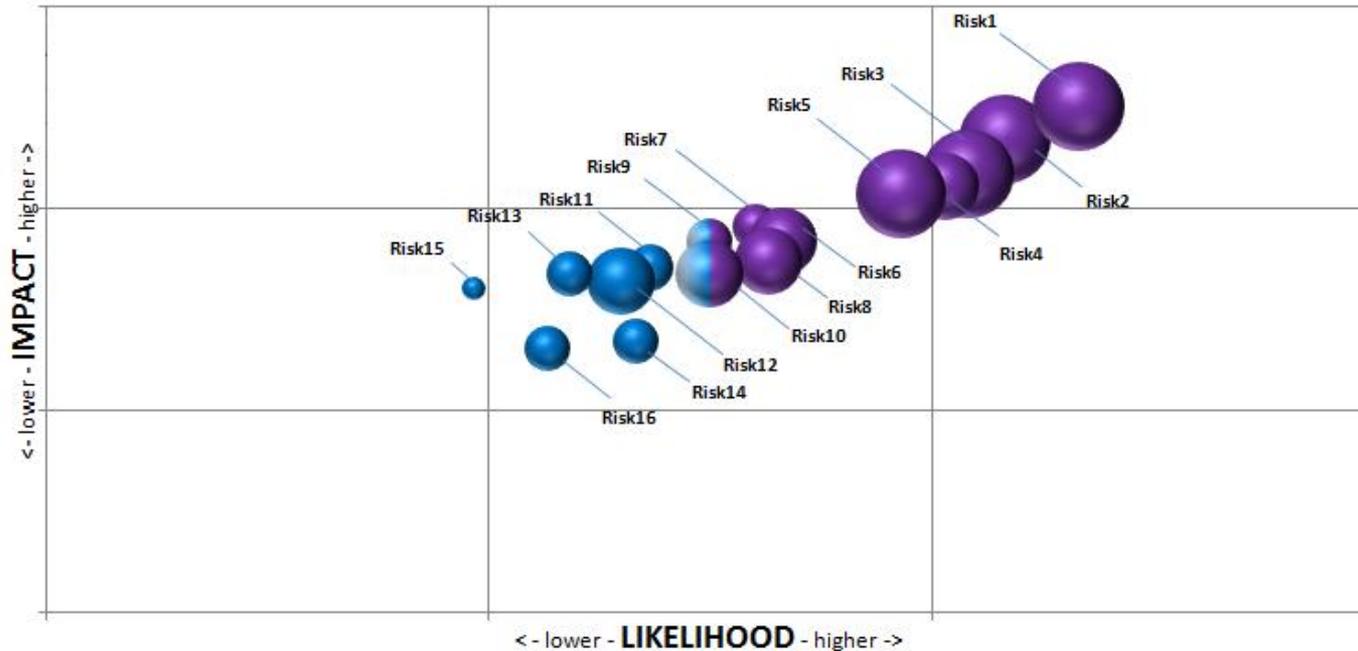
- Monthly Action Item Status Report
- Quarterly Monitoring Report
- Corporate Compliance Manual
- Business Unit Compliance Guides
- All Employee and Targeted Training
- HomeSite Messages and Policy Spotlights

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## Enterprise Risk Management – Heat Map



Axis Indicates Magnitude of Impact and Likelihood

Bubble Size Indicates Velocity (Larger is Faster)

Color Indicates Priority (Purple is Highest Priority)

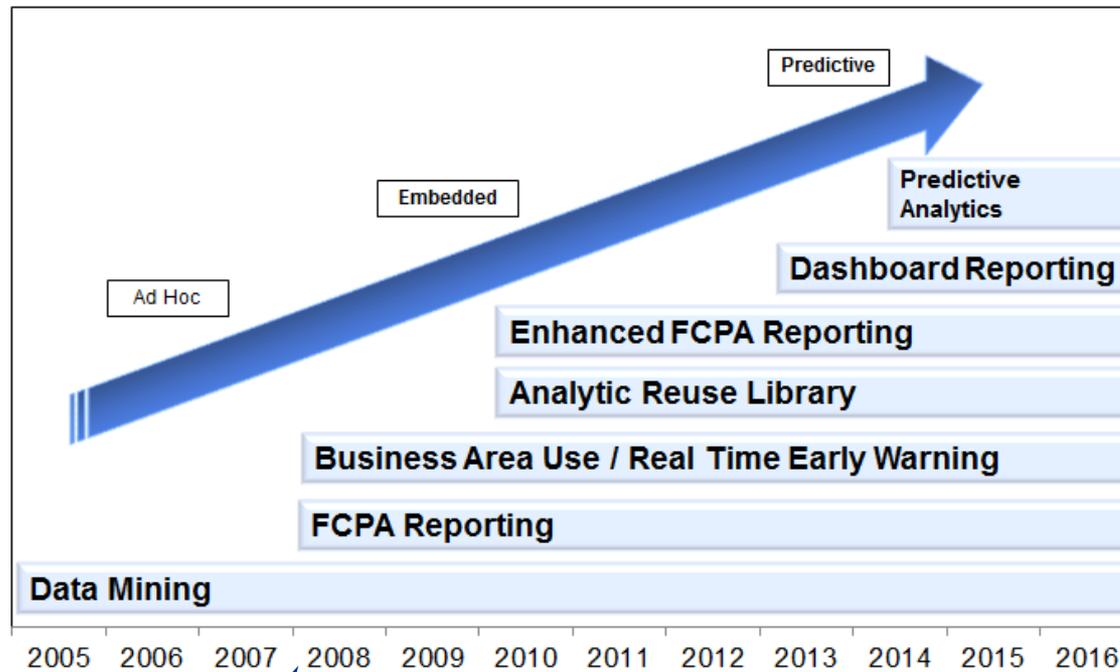


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## Corporate Internal Audit – Automated Data Analytics Evolution



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