

### Role Profile

<b>Position Title</b>	Compliance Associate (Fin-Crime)
<b>Role Holder</b>	
<b>Reports To</b>	Assistant Manager – Financial Crime (“AM”)
<b>FCA/PRA Approved Person Category(ies)</b>	N/A
<b>Date</b>	November 2023

### Overall role

Reporting to the Financial Crime Assistant Manager (AM), the Compliance Associate will provide support to deliver on all aspects of the Riverstone Financial Crime framework.

The role will also offer the opportunity to work with other members of the Team to support with delivery on all aspects of Compliance.

### Key Responsibilities and Competencies

#### Financial Crime

- To assist the AM in the execution of the Financial Crime Framework.
- To assist in the financial sanction’s review process.
- To assist in the annual Financial Crime Risk Assessment.
- To ensure all financial crime training is in line with regulatory requirements and is completed.
- To assist in all KYC requests.
- Monitor the Sanctions Mailbox.

#### General

- To support ensuring that systems and procedures are in place to enable full compliance with all relevant Lloyd’s and regulatory requirements.
- To collate all relevant deadlines for regulatory submissions and ensure these are recorded in the deadline management system.
- To liaise with other departments to ensure all financial and other regulatory returns detailed in the deadline management system are submitted to Lloyd’s or other regulatory bodies by the required deadlines.
- To support with Compliance owned regulatory return submissions.
- To support in the drafting of regulatory notifications and applications as required.
- To ensure all documents within the scope of the Document Policy are available to all staff through the extranet and updated in line with the policy requirements.
- To coordinate the timely updating of all Riverstone Policies in line with the Document Policy.
- To coordinate the Quarterly Service Level Attestation process and ensure responses are received timely.
- To monitor all open regulatory actions and ensure timely closure in line with the assigned deadlines.
- Assist in updating the Executive Committee and Board reporting papers.
- Assist in all Lloyd’s requirements including, but not limited to, scratches, Lloyd’s passes, and maintenance of the Lloyd’s Market Association (LMA) database.

- To assist the department in ensuring that any recommendations for corrective and preventative action from the group's internal audit process are implemented and monitored.
- Assist with ad-hoc compliance projects and other Compliance Function tasks as required.
- Ensuring Terms of Business Agreements (TOBAs) are in place with all relevant parties.
- Support the annual Compliance testing plan.
- Perform Employer's Liability Tracing Office (ELTO) tracing activity procedures.
- Coordinate and assist with the Annual Lloyd's Principles Attestation process.
- Perform horizon scanning to identify and assess regulatory developments.
- Assist the Money Laundering Reporting Officer (in conjunction with other members of the Compliance team) in ensuring the company complies with all money laundering regulations, including monitoring AML training.

**On a temporary or permanent basis you may be required to undertake other duties in addition to, or in substitution of, those listed in this role profile**

### Direct Reports

None

### Internal Relationships

All Departments

### External Relationships

Lloyd's

### Authority to Act for the Company

None

### Conduct Rules

- You must act with integrity
- You must act with due care, skill and diligence
- Except in relation to whistleblowing, you must be open and cooperative with the FCA, the PRA and other regulators in line with procedures agreed with your line manager
- You must pay due regard to the interests of customers and treat them fairly
- You must observe proper standards of market conduct where applicable

### Conduct Standards

All employees are expected to abide by the RiverStone Code of Corporate Conduct

**Competence – Experience**

- Insurance or other Financial Services experience

**Knowledge and Skills**

- Verbal and written communication skills
- Motivated and desire to learn / develop
- Good organisational skills and an ability to work to deadlines
- Strong analytical ability and problem-solving skills
- Sceptical mindset
- Ability to build relationships with individuals at all levels

Confirmed as an accurate description of the function

..... Date .....

Role Holder

..... Date .....

Manager