

### Role Profile

<b>Position Title</b>	Financial Crime Associate - Compliance
<b>Role Holder</b>	
<b>Reports To</b>	Compliance Manager Assistant Manager – Financial Crime (“AM”)
<b>FCA/PRA Approved Person Category(ies)</b>	N/A
<b>Date</b>	April 2025

### Overall role

The role-holder will work together with the Fin-Crime AM to manage the effectiveness of RiverStone UK's Financial Crime Framework and therefore have a particular interest in ensuring the prevention of financial crime risk and incidents.

Responsibilities will also include supporting RiverStone's continued effort to review, assess and record impact resulting from regulatory change therefore an interest in Compliance and Regulatory matters is also required.

There will be opportunity to develop broader Compliance experience and exposure by working with other members of the Compliance Team to support delivery of the annual Compliance plan and, also, contribute towards continuous improvement of the Compliance Function.

### Key Responsibilities and Competencies

#### Financial Crime

- Assist the AM in the execution of the Financial Crime Framework.
- Support the Financial Crime process by reviewing daily, quarterly and onboarding screening results.
- Support the timely review of Fin-Crime referrals received from the business.
- Ensure all Fin-Crime related policy and procedure is continuously reviewed and kept up to date.
- Assist with the undertaking of the annual Financial Crime Risk Assessment process.
- Monitor Compliance Mailboxes : Financial Crime, Market Mail and Compliance.
- Support the delivery of Financial Crime training.
- 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.

#### General

- Support the function with ensuring systems and procedures are in place to enable compliance with all relevant Lloyd's and regulatory requirements.
- Support with second line control reviews on Compliance related topics.
- Assist with preparing KYC request responses.
- Support with prepared Compliance owned regulatory returns for submission as required.
- Assist in updating the UK Executive Committee and other Committee papers as required.
- Assist with ad-hoc projects and other Compliance Function tasks as required.
- Coordinate and assist with the Annual Lloyd's Principles Attestation process.
- Support the Compliance function with integration activities.
- Work with the team on developing and enhancing reg-tech capabilities.
- Support delivery of the annual Compliance training programme.

- Inform the Compliance Director of any known risk events and assist with reporting as required.
- 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

Lloyds, LMA

### 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



**RiverStone**  
International

..... Date .....

Role Holder

..... Date .....

Manager