

### Role Profile

<b>Position Title</b>	Group Compliance Associate
<b>Role Holder</b>	TBC
<b>Reports To</b>	Group Risk and Compliance Director
<b>FCA/PRA Approved Person Category(ies)</b>	No
<b>Date</b>	March 2025

### Overall role

1. Support the Group Risk and Compliance Director (“GRCD”) in ensuring there is an effective compliance program and framework in place at all times, across all Group entities, that is operating as intended and complies with all regulatory and other requirements
2. Support the GRCD in ensuring there are appropriate written policies, procedures and governance in place relating to Compliance
3. Support the GRCD in developing and implementing a Group wide Documentation program
4. Support the GRCD in developing and implementing a Group wide Compliance assurance program
5. Support the GRCD in the development of a Group wide third party process
6. To ensure adequate Compliance training is undertaken by relevant employees
7. To liaise with / assist with the coordination of the Compliance Function leads as appropriate
8. Provide general administrative support to the GRCD
9. Provide ad hoc support to local entity Heads of Compliance

### Key Responsibilities and Competencies

1. Support the Group Risk and Compliance Director (“GRCD”) in ensuring there is an effective compliance program and framework in place at all times, across all Group entities, that is operating as intended and complies with all regulatory and other requirements
  - Support the GRCD in working with the local Heads of Compliance to ensure appropriate compliance frameworks are in place across the Group, which are compliant with regulatory requirements / expectations and reflect the needs of the Group
  - Support the GRCD in ensuring appropriate Compliance frameworks are in place for RSML and RIHL
  - Support the GRCD in the development of, and delivery of, an Annual Group Compliance Plan
  - Support the GRCD in ensuring there is appropriate reporting to oversight bodies, including the RSML Board, the RIHL Board and the Group Executive Committee.
2. Support the GRCD in ensuring there are appropriate written policies, procedures and governance in place relating to Compliance
  - Support the GRCD in working with the local Heads of Compliance to ensure appropriate Compliance policies are in place across the Group, which are compliant with regulatory requirements.
3. Support the GRCD in developing and implementing a Group wide Documentation program
  - Support the GRCD in developing and implementing a Group wide documentation program, which ensures all documentation is reviewed and updated in line with the Group Documentation Policy.
  - Support the GRCD in the delivery of the RIINC Policy alignment project, bringing RIINC into the scope of the Group wide Policy framework.

- 4. Support the GRCD in developing and implementing a Group wide Compliance assurance program**
  - Support the GRCD in developing and implementing a Group wide Compliance assurance program, including a detailed testing program covering the intra-group services to provide assurance to the relevant Boards.
  - Assist with the coordination and delivery of local Compliance assurance testing where appropriate
- 5. Support the GRCD in the development of a Group wide third party process**
  - Support the GRCD in the development of a Group wide third party process, that meets the local regulatory requirements
  - Support the GRCD in implementing a software solution for the Group wide third party process
  - Work closely with the Operational Resilience Manager in ensuring the third party process is appropriately linked to the Operational Resilience Framework.
- 6. To ensure adequate Compliance training is undertaken by relevant employees**
  - Support the GRCD in working with the local Heads of Compliance to ensure an appropriate Compliance training plan is in place for all employees
  - Support the GRCD and local Heads of Compliance in developing in house training
- 7. To liaise with / assist with the coordination of the Compliance Function leads as appropriate**
  - Support the GRCD Director in ensuring consistency of processes across the Group and achieving efficiencies / synergies where appropriate.
- 8. Provide general administrative support to the GRCD**
  - Provide general administrative support to the GRCD as required
- 9. Provide ad hoc support to local entity Heads of Compliance**
  - Provide ad hoc support to the local entity Heads of Compliance as appropriate.
  - **Have an awareness of the Treating Customers Fairly (“TCF”) and Conduct Risk strategies**
  - **Have an awareness of Data Protection legislation, including the Data Protection Act and the General Data Protection Regulations**
  - ***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

Territorial Heads of Compliance

### External Relationships

None

### Authority to Act for the Company

Within authority levels

### Conduct Rules

The regulatory Conduct Rules set minimum standards of individual behaviour in financial services:

- You must act with integrity
- You must act with due care, skill and diligence
- You must be open and cooperative with the FCA, the PRA and other regulators
- You must pay due regard to the interests of customers and treat them fairly
- You must observe proper standards of market conduct where applicable
- All Conduct Rules staff to 'act to deliver good outcomes for retail customers' where the activities of the firm fall within the scope of the Duty

### Conduct Standards

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

### Competence – Experience

- Experience working in the insurance industry
- Compliance experience is not required, but would be beneficial

### Knowledge

- Good understanding of the insurance industry
- Working knowledge of Microsoft Office Applications

### Skills

- Strong stakeholder management skills, including the ability to negotiate and influence
- Excellent verbal and written communication skills
- An analytical mindset approach, with good attention to detail and can identify issues and discuss solutions
- Strong organisational skills that enable the management and delivery of multiple concurrent assignments and deliverables
- Ability to build strong relationships and collaborate effectively with stakeholders across the business

Confirmed as an accurate description of the function

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Role Holder

Date .....

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Manager

Date .....