



### Role Profile

<b>Position Title</b>	Solicitor - Commercial Legal
<b>Role Holder</b>	
<b>Reports To</b>	Solicitor and Commercial Legal Manager
<b>FCA/PRA Approved Person Category(ies)</b>	N/A
<b>Date</b>	October 2024

### Overall role

- **Support the management of RiverStone Group’s commercial legal work**
- **Maintain the RiverStone Group’s master contract list and outsourcing register**
- **Work with the Data Protection Office and as a member of the Data Protection team**
- **Have an awareness of the Treating Customers Fairly (“TCF”) and Conduct Risk strategies**
- **Have an awareness of Data Protection legislation, including Solthe Data Protection Act and the General Data Protection Regulations**

### Key Responsibilities and Competencies

- **Support the management of the RiverStone Group’s commercial legal work**
  - Draft or review and negotiate commercial contracts required by the RiverStone Group companies, and where necessary obtaining external legal advice
  - Support and advise the RiverStone Group Companies on contract terms and general legal enquiries
  - Maintain an awareness of the Group’s international structure and consequent commercial legal requirements, working as appropriate with local counsel
  - Ensure commercial contracts entered into by RiverStone Group companies comply with the commercial contract standard operating process (SOP).
  - Maintain a service level for the drafting or review of commercial contracts
  - Maintain the monthly Exco reporting to demonstrate the number of commercial contracts handled, performance against the service level, and executed contracts
  - Support the business with projects related to the commercial legal work as required
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  - Help RSML’s associates to understand and comply with their obligations to carry out due diligence and a materiality assessment before entering into a commercial contract.
  - Support the annual review and maintenance of the service agreements in place between RiverStone Group companies to ensure that they remain appropriate for the development of the business, where necessary obtaining external legal advice.
  - Obtain training on developments in law and market practice which impact the negotiation of commercial contracts.
  - Support the monitoring and implementation of legal and regulatory developments, assess their impact on the RiverStone Group’s commercial contracts and advise management of actions that need to be taken to address them.
  - Provide legal advice within the business as required.
  - Ensure effective and timely reporting as required
  - Work with the Group General Counsel and the General Counsel to establish departmental goals and report progress in achieving them.

- Understand and implement the policies and procedures of the RiverStone Group.
- **Maintain the RiverStone Group’s master contract list and outsourcing register**
- Ensure that suitable procedures are in place such that details of all commercial contracts entered into by companies in the RiverStone Group are recorded on the master contract list and outsourcing register.
- Work with other departments to ensure they understand the purpose of and rules surrounding the master contract list and outsourcing register and their role in helping to maintaining it.
- Ensure copies of commercial contracts on the master contract list and outsourcing register are held centrally.
- Record on the master contract list information for which the legal department has responsibility in an appropriate and timely manner.
- Work with other departments to ensure that they record on the master contract list information for which they have responsibility in an appropriate and timely manner
- Instigate a process for the regular monitoring review of adherence to the rules surrounding maintenance of the master contract list and report to management instances in which information has not been added to the master contract list within agreed periods of time
- Work with the Compliance department to ensure that the master contract list records all information relating to commercial contracts that RSML is required to hold for regulatory purposes.
- Work with the Data Protection Officer and as a member of the Data Protection Team
- Work with the Data Protection team as required to promote the compliance with Data Protection Legislation by RiverStone Group companies
- Provide advice to associates in RiverStone Group companies on how to comply with Data Protection Legislation
- Work with other departments to maintain RSML’s record of processing activities.
- **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**

All RiverStone departments (across all territories).

#### **External Relationships**

External law firms, third party service providers, vendors and counterparties (including their agents and advisors) with which commercial contracts are negotiated and agreed.

### **Authority to Act for the Company**

None – to be reviewed annually.

### **Conduct Rules**

- You must act with integrity.
- You must act with due skill, care and diligence.
- Except in relation to whistleblowing, you must be open and co-operative with the FCA, the PRA and other regulators in line with procedures agreed with your line manager.
- You must take reasonable steps to ensure that the business of the firm for which you are responsible is controlled effectively.
- You must take reasonable steps to ensure that the business of the firm for which you are responsible complies with the relevant requirements and standards of the regulatory system.
- You must take reasonable steps to ensure that any delegation of your responsibilities is to an appropriate person and that you oversee the discharge of the delegated responsibility effectively.
- You must disclose appropriately any information of which the FCA or the PRA would reasonably expect to have notice.
- When exercising your responsibilities, you must pay due regard to the interests of current and potential future policyholders in ensuring the provision by the firm of an appropriate degree of protection for their insured benefits.
- 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 Conduct

### **Competence – Experience**

- Experience of drafting, reviewing and negotiating commercial contracts

### **Knowledge**

- Knowledge and understanding key principles of English contract law, in the context of the insurance industry.
- Ability to draft and negotiate commercial contracts.

### **Skills**

- Communication
- Negotiation and Settlement
- Analysis
- Diligence
- Interpersonal
- Decision Making

Confirmed as an accurate description of the function



**RiverStone**  
International

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Role Holder

Date .....

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Manager

Date .....