



Your Rothbury Broker

Rodney Knight

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Rodney joined Rothbury in 2020 to ensure we were ready for the new Financial Advice regulations and to oversee the development and implementation of risk management and compliance across Rothbury. He came from similar roles in life insurance and the Public Trust, following 28 years in banking and treasury management.

As Rothbury grows in both size and complexity, we need someone to focus exclusively on risk management and regulation, similar to other leading finance sector organisations. Rodney's role is to set up and lead a "Line 2" risk and compliance function. This means he needs to be independent of every other team in Rothbury. He gives advice wherever needed and then monitor the activities of everyone else. He also provides assurance to Roger and our Directors that we are complying with all regulatory obligations and managing risk in line with the framework recently approved by the Rothbury Board.

Where the Legal Team focus on the operation of law and legal

contracts, his focus is on the practical side of regulation – what do we have to do (or not do) to meet our obligations? It is a complex and evolving discipline that most people would rather not have to drill into. Rodney has always found it interesting, so he decided to change career direction about 8-10 years ago as there aren't many people who want to work in this field. Even fewer have any breadth of leadership experience in customer facing line roles.