

# Compliance Administrator

## JOB SUMMARY

**City:** Toronto

**Address:** 155 Wellington St W

**Work Hours/Week:** 37.5

**Work Environment:** Office

**Employment Type:** Permanent

**Career Level:** Experienced Hire/Professional

**Pay Type:** Salary + Variable Bonus

**Required Travel (%):** 0

**Exempt/Non-Exempt:** N/A

**People Manager:** No

**Application Deadline:** 10/24/2017

**Req ID:** 148272

## What is the opportunity?

In this role you will coordinate and maintain the administration of the advisory and complaint management systems for RBC Wealth Management Canada, including, RBC Dominion Securities Inc., Philips Hager & North Investment Counsel Inc., Royal Trust, and RBC Wealth Management Financial Services Inc., to ensure timely completion of tasks and accurate reporting. Utilizing your strong attention to detail skills, you will coordinate and maintain the administration of the inquiries management system for RBC Wealth Management Canada.

## What will you do?

- Coordinate client complaints, including, but not limited to, imputing and maintaining complaints within the complaint database, sending out acknowledgment letters and assigning complaints to Compliance Officers, and obtaining necessary supporting documents.
- Filing complaints and internal investigations with IIROC through Comet and Operational Risk through Open Pages.
- Prepare profit and loss statements for complaints and/or litigation as necessary.
- Provide professional, effective, accurate and timely support to the Compliance Officers as it relates to client complaints, regulatory and policy related matters.
- Coordinating and preparing reports, including monthly regional director reports and the UDP report as well as coordinate and track responses to third party requests for information.
- Maintain and update compliance intranet sites and train Compliance Officers on the use of department systems.
- Coordinate the Outside Business Activity review / approval process including all reporting statistics, follow-up, and escalations to senior management.
- Coordinate regulatory requests for information, including, but not limited to, imputing and maintaining requests within the Regulatory Inquiries database, sending out acknowledgement letters, assigning inquiries, and obtaining necessary supporting documents.

## What do you need to succeed?

### Must-have

- Demonstrated strong analytical skills, problem solving and attention to detail..
- Ability to collaborate and build relationships within Compliance and with functional partners.
- Excellent knowledge of computer software systems, including, Microsoft Word, Excel, Access, and PowerPoint.
- Ability to effectively manage projects and identify where efficiencies and costs can be realized.
- Adaptive to driving and responding to change management with proven ability to prioritize and multi-task in a demanding environment.

### Nice-to-have

- University degree or college diploma.
- Previous work experience in the retail securities industry.
- Fluency in French is an asset.

Interested parties should please contact: Cosimo De Leo Senior Manager, Enterprise Talent Sourcing Programs [cosimo.deleo@rbc.com](mailto:cosimo.deleo@rbc.com)

### **What's in it for you?**

We thrive on the challenge to be our best, progressive thinking to keep growing, and working together to deliver trusted advice to help our clients thrive and communities prosper. We care about each other, reaching our potential, making a difference to our communities, and achieving success that is mutual.

- A comprehensive Total Rewards Program including bonuses and flexible benefits, competitive compensation, commissions, and stock where applicable
- Leaders who support your development through coaching and managing opportunities
- Ability to make a difference and lasting impact
- Work in a dynamic, collaborative, progressive, and high-performing team
- A world-class training program in financial services

### **About RBC**

Royal Bank of Canada is Canada's largest bank, and one of the largest banks in the world, based on market capitalization. We are one of North America's leading diversified financial services companies, and provide personal and commercial banking, wealth management, insurance, investor services and capital markets products and services on a global basis. We have over 80,000 full- and part-time employees who serve more than 16 million personal, business, public sector and institutional clients through offices in Canada, the U.S. and 37 other countries. For more information, please visit [rbc.com](http://rbc.com).

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RBC is an equal opportunity employer committed to diversity and inclusion. We are pleased to consider all qualified applicants for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veterans status, Aboriginal/Native American status or any other legally-protected factors. Disability-related accommodations during the application process are available upon request.