

# Manager, Regulatory Investigations & Inquiries

## 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

**Position Level:** PL08

**Required Travel(%):** 0

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

**People Manager:** No

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

**Req ID:** 148270

## **What is the opportunity?**

In this role you will provide support and advice to the Wealth Management Canada business, including, RBC Dominion Securities Inc., Philips Hager & North Investment Counsel Inc., RBC Wealth Management Financial Services Inc., Royal Trust and RBC DS Global Ltd. (Caribbean), in relation to regulatory inquiries, regulatory proceedings, internal investigations, and regulatory investigations, with a view to mitigating regulatory and reputational risk for RBC.

## **What will you do?**

- Respond and/or assist in responding to time-sensitive regulatory inquiries including investigating, preparing documentation, and drafting responses to the regulators.
- Assist in assessing whether requests for information are within the jurisdiction of the requestor.
- Review requests to identify patterns of conduct and potential regulatory risk for RBC.
- Assist in coordinating regulatory inspections and examinations, as well as assist in preparation and execution of regulatory filings.
- Assist in reporting to business and senior Compliance managers.
- Liaising with the various business units in gathering information and documentation with respect to inquiries from regulators.
- Liaising with Technology & Operations and other Functions to gather information and documentation with respect to inquiries from regulators.
- Special projects as assigned within Wealth Management Canada Compliance.
- Assisting with conducting internal investigations, including preparing investigation reports.

## **What do you need to succeed?**

### **Must-have**

- 2+ years' experience in the investment industry and/or compliance work.
- Post-secondary university degree (business/finance/economics) or equivalent work related experience.
- Ability to work in a fast paced environment with tight deadlines.

### **Nice-to-have**

- CSI courses, such as the Canadian Securities Course and Conduct and Practices Handbook.
- Knowledge of Universal Market Integrity Rules (UMIR) and IIROC Member Rules.
- Experience with Broadridge applications (BTS, Berton).
- Strong demonstrated experience utilizing MS Excel and Access.

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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## **Inclusion and Equal Opportunity Employment**

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.