Manager, Royal Mutual Funds Inc (RMFI) Surveillance

Requisition	R0000191350
Employer	RBC Dominion Securities Inc.
Canadian locations	Toronto (Ontario, Canada)
Primary address	600 QUEENS PLATE DR, TORONTO, ON M9W 0A4, Canada
Posted	November 3, 2026
Last day to apply	December 3, 2026
Posted deadline	December 4, 2026
Business area	CHIEF LEGAL & ADMIN OFFICE GRP
Employment status	Regular
Work schedule	Full time · 37.5 h per week
Pay type	Salaried

The position

You will be part of the RBC Compliance Surveillance Team, which is a core, global, second-line-of-defense function within Compliance that works closely with the first-line and the third-line (Internal Audit) and other second-line functions as part of an integrated controls framework. It performs routine (mostly automated), post-event monitoring of trading activity and communications (electronic and voice) for controlling and mitigating specific relevant risks (e.g. market abuse and manipulation, suitability & sales practices) associated with the supported Capital Markets, Wealth Management businesses, Royal Mutual Funds Inc. (RMFI) and Global Asset Management.

As Manager, RMFI Trade Surveillance, you will act as a senior member in the team to lead the daily and periodic reviews of sales and trading activities in Canada to detect potential suitability and sales practices concerns focusing on mutual funds activities. You will participate in and contribute to team projects (alert parameter changes, working with Compliance IT), and keep detailed record keeping and compile surveillance statistics for periodic reporting.

Responsibilities

- Carry out routine review of trades in retail RMFI accounts to follow company policies and application regulations (e.g. CIRO)
- Assist team members in managing complex commercial surveillance alerts and ad hoc investigations
- Assist the Associate Director in managing the escalation of daily alerts and resolution schedule
- Conduct targeted reviews in response to inquiries from internal stakeholders or external regulators. Interpret and investigate substantive findings for context and potential impact
- Assess the effectiveness of monitoring and provide ongoing reporting to management
- Maintain monitoring groups and provide reporting measures to management
- Conduct special projects, as assigned by management, including escalation and resolution of potential gaps and identified issues.
- Provide support for audit-related matters and policy/procedure manual upkeep
- Conduct IT testing for surveillance system/ tool enhancements

novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com

Royal Bank of Canada Website, © 1995-2026 - Tous droits réservés © 2026 - optimisé par novijob™

Qualifications

Requirements

- 4-6 years of related work experience in a financial institution and/or regulated securities/mutual fund lenders/and/or securities regulator
- Knowledge of mutual fund/securities rules and regulations (e.g. CIRO, OSC)
- Knowledge of the activities of mutual fund distribution firms or other activities of retail investment firms
- Bachelor's degree or equivalent
- Good understanding of suitability and sales practices, rules and regulatory requirements
- Critical thinking, excellent analytical skills and problem solving
- Strong written and verbal communication skills

Assets

- CSC, CPH
- Prior experience in retail supervision or compliance with undefined retail investment requirements

Pay and benefits

RBC teams aim to grow by working together, thinking ahead and giving dependable advice that helps clients and communities prosper. They support one another, develop their potential and strive for outcomes that benefit the communities they serve as well as the bank.

- A total compensation program with competitive pay, bonuses and flexible benefits, plus commissions and stock where applicable.
- Managers who coach employees and help them find opportunities to develop.
- Capacity to make a difference and sustainable impact
- Join a collaborative team that works at a high standard and looks for new ways to improve.
- A world-class financial services training programme
- Flexible work/life balance options
- Opportunities to do challenging work
- Opportunities for progressively fulfilling greater responsibilities

Job Skills

Audits Compliance, critical thinking, data collection analysis, decision making, financial regulation, industry knowledge, interpersonal management, product services, risk management, strategic thinking

RBC accepts applications until 11:59 p.m. on the day before the posted deadline.

Our Employment Opportunities

RBC works as One RBC and follows five shared values: putting clients first, integrity, collaboration, respect and excellence. As one of the world’s largest and most successful banks, it sees inclusion and different perspectives as important to continued growth. RBC supports staff in doing their best work, working together, innovating and developing professionally. Its policies and programs foster respect, belonging and opportunities for everyone to create value for clients and communities.

Talent community

People who join RBC’s talent community can receive new postings, career advice and recruitment event updates tailored to their interests.

RBC’s careers portal shares information about career paths and how its teams contribute to client and community well-being.

RBC is accepting applications for an existing vacancy. Qualified applicants may hear from the recruitment team for a more detailed review of their résumé.

Search for requisition R0000191350 on the RBC careers portal.

Royal Bank of Canada Website, © 1995-2026 - Tous droits réservés © 2026 - optimisé par novijob™

novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com novijob.com