Manager, Regulatory & Surveillance Initiatives

Requisition	R0000193295
Employer	RBC Dominion Securities Inc.
Canadian locations	Toronto (Ontario, Canada)
Primary address	600 QUEENS PLATE DR, TORONTO, ON M9W 0A4, Canada
Posted	November 25, 2026
Last day to apply	December 13, 2026
Posted deadline	December 14, 2026
Business area	WEALTH MANAGEMENT
Employment status	Regular
Work schedule	Full time · 37.5 h per week
Pay type	Salaried

The position

Under the responsibility of the Senior Manager, Regulatory and Oversight Initiatives, the Manager, Regulatory and Oversight Initiatives, will act as an expert in the planning, assistance, direction and management of highly specialized and time-appropriate regulatory and oversight initiatives across RBC Wealth Management Canada (WMC), including RBC Dominion Securities (RBC DS), RBC Philips, Hager & North Investment Advocacy (RBC PH&N IC) and RBC DS Global.

This individual will work collaboratively with business lines, Product Owners, Compliance, Legal, and other head office partners, to design and implement processes that enhance client and advisor experiences while ensuring regulatory compliance and supporting WMC transformation initiatives.

Responsibilities

Regulatory and Surveillance Initiatives

- Maintain subject matter expertise on regulatory and surveillance topics including AML, CIRO, KYC, and related documentation, reporting, and processes.
- Liaise with compliance teams, regulatory teams, and regulatory and risk teams to interpret regulatory requirements and translate them into functional operational requirements for front-line teams, while building trust and trust with all partners by actively seeking and responding to their comments.
- Review WMC processes, monitor their impact, and identify regulatory gaps with recommendations that minimize risk to clients, advisors, and the firm.
- Support the development and updating of regulatory and monitoring frameworks and serve as a climbing point for advisory teams and branch on these issues.
- Understanding industry trends, competitive intelligence and organizational knowledge to develop alternative approaches/solutions
- Create efficiencies by leveraging available AI tools and emerging RBC technologies.

Change Management and Stakeholder Engagement

- Implement changes to policies, processes and controls in coordination with functional partners and develop communication and training materials to inform senior management and advisory teams.
- Facilitate meetings, prepare agendas and minutes and track project outcomes, including risks and constraints related to delivery, while fostering a collaborative culture of regulatory excellence and continuous learning.

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Qualifications

Requirements

- Bachelor’s degree or equivalent
- 3 years and more experience in heritage management and/or regulation
- Excellent capacity for verbal and written communication, presentation and relationship management
- Results-driven with ability to assess and analyze situations and make client-centric decisions
- Ability to work effectively in rapidly changing and changing priorities

Assets

- Experience working in a WMC branch or front office and leading initiatives with multiple stakeholders
- Proven leadership, creative problem solving and change management skills
- Experience in regulatory and surveillance frameworks, including tax programs relating to IRS and CRA (QI/FATCA & CRS)

Key Competencies

- Advanced problem identification, creativity, analytical thinking and critical thinking
- Organizational and regulatory awareness
- Influence, Innovation, Change Management and Collaborative Skills
- Managing multiple and conflicting priorities
- Resiliency and resourcefulness

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.
- Ability to make a difference and have a lasting impact.
- Join a collaborative team that works at a high standard and looks for new ways to improve.
- Flexible work/life balance options.
- Opportunities to do challenging work.
- Opportunities to assume progressively greater responsibilities.
- Access to a variety of job opportunities in enterprises and geographies.

Job Skills

Communication, critical thinking, decision-making, group problem solving, long-term planning, management of organizational change, professional presentation, solution development, strategic planning, decision-making initiative

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

Compensation for this position (including salary and discretionary/variable payments) will be determined by factors, including but not limited to candidate's experience, skills, registration status, performance, individual goals, market conditions, and business needs.

Pay Range

The expected pay range for this position is

$67,000.00 - $110,000.00

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The pay scale provided is that of the principal workplace mentioned in the Additional Employment Details section of this assignment. Pay scales may vary depending on location. If the assignment lists several locations, a recruiter can confirm the availability of the relevant role and pay scale for the additional locations listed. RBC supports pay transparency and we strive to ensure that all pay scales are competitive, fair and equitable.

You have the potential to win RBC's discretionary variable pay program, which gives you the opportunity to increase your total pay, provided that businesses meet their performance targets and achieve your individual goals.

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 R0000193295 on the RBC careers portal.

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