

Application for Responsible Investment Specialist (RIS) Designation

If you have successfully completed the Canadian RI Fundamentals course, please complete this form to receive the Responsible Investment Specialist (RIS) designation. Successful applicants will be notified within two business days and will receive a wall certificate within approximately four weeks.

1. RIA Statement of Purpose

The Responsible Investment Association's purpose is to:

- Promote and support an integrated reporting framework in which there is standardized disclosure of material ESG information.
- Promote the integration of ESG factors into investment analysis and decision-making processes.
- Promote the practice of responsible investing in Canada.
- Support the responsible investment activities of its members.

I, _____, understand the RIA's purpose and support the RIA's objective of advancing responsible investment in Canada.

2. Requirements to Maintain Your Designation

Applicants must meet the following obligations to maintain the RIS designation:

1. Complete six hours of continuing education activities on a biennial basis.
2. Be in good standing with any regulatory bodies you are affiliated with, such as MFDA, IIROC, etc.

I, _____, understand that I am required to meet the above obligations to maintain my RIS designation. Failure to meet these obligations will result in losing my designation.

3. Continuing Education (CE) Activities

After you have held your RIS designation for one year, you are required to complete 6 hours of CE activities every two years. (i.e. No CE action will be required from you during the first year). The two-year time period in which the six hours of continuing education must be completed commences on January 1st of the year following the year the designation is received.

You can choose from the following CE activities:

RIA Conference	Attending the RIA Conference every two years fulfills all of your CE requirements. Those who do not attend the Conference may choose from the options below.
Webinars	Participate in RIA webinars or choose from the RIA's library of webinars, which is available online at https://RIACanada.ca/webinars-ce .
ESG AfterWork	Attend the RIA's ESG AfterWork or other RIA educational & networking events.
PRI Academy Courses	RIS recipients can take <u>PRI Academy</u> courses and apply it towards their CE requirements.
RI Week Events	Responsible Investment Week takes place each fall, with events in multiple cities. The event schedule will be available at http://riweek.ca .
Other RI Events and Activities	You're welcome to send us a request to apply other educational activities toward your CE requirement. We're flexible, as long as the activities are educational and relate to RI.

I, _____, understand my continuing education options and obligations, and that RIA staff may request confirmation of my CE activities at any time.

4. Mailing Address

Please provide your mailing address below to receive your wall certificate.

Street address

City

Province/Territory

Postal Code

Print name

By signing below, you are indicating that you acknowledge and understand all obligations associated with your RIS designation as outlined above.

Signature

Date

Please send your completed, signed, and dated application form to staff@riacanada.ca.