

## RIA Awards 2020 Results

| Awards Category    | COMBINED (12 Judges)  |            |
|--------------------|---|------------|
|                    | COMBINED  | Individual |
| Awards Description | <p>Market Education: Recognizing RIA members who seek to bridge the gap between knowledge about and demand for RI by engaging and educating market participants, raising awareness of responsible investment and developing and promoting tools, resources and research related to RI.</p> <p>Integration: Recognizing RIA members who further the adoption and development of responsible investment practices among investment professionals by enabling the development of RI literacy and expertise, and implementing and enhancing RI policies, processes and principles.</p> <p>Market education activities could include:<br/>                     - Investor or advisor education tools/ resources, campaigns, market research, publications, media (marketing efforts but not just product related), and thought leadership with an external, market focus.</p> <p>Integration activities could include:<br/>                     - Projects/strategies designed to integrate RI into the individual's investment practices<br/>                     - Improvements to internal processes, policies or staffing to support integration of RI into the individual's investment practices<br/>                     - Staff training or education programs across different levels/areas of the organization to integrate RI into the individual's investment practices</p> |            |

| Themes                       | Questions  | Evaluation Criteria  | WINNER                              | FINALIST                              | Score Range |              |
|------------------------------|--|--|-------------------------------------|---------------------------------------|-------------|--------------|
|                              |  |  | Tim Nash                            | Gabriel Flores                        | Min         | Max          |
|                              |  |  | Market Education - Public Awareness | Market Education - Leading by example |             |              |
| <b>Originality</b>           |  |  |                                     |                                       |             |              |
| <b>Ambition</b>              | Describe your ambitions for the project/initiative. What challenges did you expect, and what limitations did you have to overcome to be successful? Provide a measure of the scale of this project/initiative relative to your resources (team size, AUM, time required).  | How ambitious was the project, taking into consideration its scale relative to the organization and/or individual?   | 4.2                                 | 2.7                                   | 2.7         | 4.2          |
| <b>Innovation</b>            | Describe the innovative attributes of your project/initiative. How did your project/initiative take an innovative approach and/or deliver an innovative outcome?   | Did the project or initiative take a particularly innovative approach or deliver an innovative outcome?  | 2.9                                 | 2.2                                   | 2.0         | 2.9          |
| <b>Uniqueness</b>            | Describe the unique attributes of your project/initiative. Were you seeking to solve an issue or problem you perceived that was not previously well-addressed in the market OR within your organization/ business/ clients, or among your competitors?   | Is the project or initiative solving an issue or problem that was not previously well-addressed?   | 3.3                                 | 2.5                                   | 2.4         | 3.3          |
| <b>Theme Score</b>           |  |  | <b>3.47</b>                         | <b>2.44</b>                           | <b>2.44</b> | <b>3.47</b>  |
| <b>Design &amp; Delivery</b> |  |  |                                     |                                       |             |              |
| <b>Design</b>                | Identify the objectives, goals or success criteria you established for the project/initiative. The objectives could be quantitative and/or qualitative in nature. Include timelines, scope, stakeholders involved, target audience where relevant. How did you track your progress?                                  | Is the project or initiative designed with a clear goal in mind?   | 3.3                                 | 3.2                                   | 3.2         | 3.4          |
| <b>Methodology</b>           | Describe the methodology or approach you took in developing the project/initiative.  | Is the Award entrant's methodology or approach clear?  | 3.3                                 | 3.7                                   | 3.1         | 3.7          |
| <b>Accessibility</b>         | Describe how accessible your education project/initiative was for the market/ stakeholders. What marketing/communication channels did you use to reach your target audience/stakeholders? Was the project/initiative widely accessible or available on a limited scale (for example, via webinar or in-person only)? | Were education projects and initiatives widely accessible, or only available on a limited scale (for example via webinar or in-person only)?   | 4.5                                 | 2.4                                   | 2.1         | 4.5          |
| <b>Comprehensibility</b>     | Describe how you prepared the contents of the project/initiative to be understandable for your target audience/stakeholders.   | Are the contents of the project or initiative prepared in a way that is understandable for the target audience?  | 4.0                                 | 3.8                                   | 2.8         | 4.0          |
| <b>Success</b>               | Describe the results or outcome of the project/initiative. Did you meet or exceed the success criteria you established for the project/initiative? What were your learnings from the project/initiative?   | To what extent were the goals of the project or initiative achieved?   | 3.6                                 | 2.6                                   | 2.6         | 3.8          |
| <b>Theme Score</b>           |  |  | <b>3.72</b>                         | <b>3.13</b>                           | <b>3.03</b> | <b>3.72</b>  |
| <b>Influence</b>             |  |  |                                     |                                       |             |              |
| <b>Mainstream</b>            | Discuss how the project/initiative contributes to making RI a more dominant trend in the Canadian investment industry. Did the project/initiative reach an audience beyond the RI community?   | Did the initiative reach a target audience outside of the RI community?  | 4.3                                 | 3.2                                   | 2.4         | 4.3          |
| <b>Impact</b>                | Describe the impact of the project/initiative. To what extent does the project/initiative benefit the RI community at large, the Award entrant, and/or the Award entrant's clients (as applicable)? How was impact assessed?   | Does the project or initiative benefit the RI community at large, the Award entrant alone, and/or the Award entrant clients?   | 4.1                                 | 3.0                                   | 2.4         | 4.1          |
| <b>Momentum</b>              | Discuss your project/initiative's momentum. To what extent did the project/initiative build on existing activities and/or provide a direction for future activities? How does the project/initiative support your long term commitment to responsible investment?  | Does the project or initiative build on existing activities and/or provide a direction for future activities? How does the project or initiative indicate a broader, long term commitment to responsible investment? | 3.8                                 | 3.2                                   | 3.2         | 3.8          |
| <b>Theme Score</b>           |  |  | <b>4.06</b>                         | <b>3.11</b>                           | <b>2.78</b> | <b>4.06</b>  |
| <b>Final Score</b>           |  |  | <b>11.24</b>                        | <b>8.69</b>                           | <b>8.28</b> | <b>11.24</b> |