



Retirement Management Analyst® (RMA®)

Annual Re-certification

Ethics and Retirement Management Code of Conduct

By my signature below, I hereby certify that over the past year I have conducted my business to the highest standards of professional ethics and specifically adhered to the code of conduct as outlined in the Practice Manual for Retirement Management Analyst® (RMA®) Certificate Holders and Compliance Officers. Further, I certify that I have not been fined or sanctioned from practicing in the financial services field by any state or federal government or regulatory authority, or by any industry self-regulatory body or by any employer.

Continuing Education

If you are an RMA in good standing: I certify that during the past year I have completed a minimum of 20 hours of continuing education (CE) as indicated below:

If you are a re-certifying RMA whose good standing has lapsed: I certify that during the next year, I will complete a minimum of 20 hours of continuing education (CE) as indicated below:

20 hours (mandatory) – Keeping current with RIIA's growing Body of Knowledge (BOK) using any of the following options:

- | | |
|--|-------------|
| <input type="checkbox"/> 1 hour: Register/join a RIIA VLC webinar | Date: _____ |
| <input type="checkbox"/> 1 hour or more: Read a peer-reviewed paper in an issue of RIIA's RMJ | Date: _____ |
| <input type="checkbox"/> 1 hour or more: Read a RIIA "Between the Issues" directed-content paper | Date: _____ |
| <input type="checkbox"/> 2 hours: Register/attend a RIIA preconference RMA CE session | Date: _____ |
| <input type="checkbox"/> 4 hours: Register/join one of the monthly RMA distance learning Study Group | Date: _____ |
| <input type="checkbox"/> 8 hours: Register/attend RIIA's Summer Conference at SSU | Date: _____ |
| <input type="checkbox"/> 40 hours: Register/join one of the quarterly RMA distance learning programs at SSU as a refresher course (Note: excess CE hours above 20 hours can be carried over into following year) | Date: _____ |
| <input type="checkbox"/> 40 hours: Register/join and attend the annual Master-RMA distance learning program and Summer Boot Camp at SSU (Note: excess CE hours above 20 hours can be carried over into following year) | Date: _____ |
| <input type="checkbox"/> _____ hour(s): Per prior agreement with RMA Director based on completed CFA, CPA or CFP CEs | Date: _____ |

Total CE hours: _____

Signature: _____ Date: _____ Phone: _____

Print name: _____ Employer: _____

Address: _____ Email: _____

To remain a RIIA Retirement Management Analyst® ("RMA®") in good standing, to represent to your employer, clients and the public that you are a RMA and to use the designation, along with the RMA logo or service mark – RMA certificate holders are required to certify on an annual basis, based on the date of passing the RMA exam, that they have completed the following requirements:

- No fines or sanctions from practicing in the financial services field by any state or federal government or regulatory authority, or by any industry self-regulatory body or by any employer.
- Compliance with RIIA's code of ethics.

Return Completed Form and Re-certification Fee of \$295 to:
RIIA, 101 Federal Street, Ste 1900, Boston, MA 02110 or fax to 617-342-7080.