



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) – Keep current with RIIA’s growing Body of Knowledge using any of the following options:

- 1 hour: Register and join a RIIA VLC webinar Date: _____
- 1 hour per paper: Read a peer-reviewed paper from an issue of RIIA’s *Retirement Management Journal*, # of papers _____ Date: _____
- 1 hour per paper, unless otherwise noted (due to length) in the RIIA Essential Reading List (ERL): Read a RIIA “Between the Issues” directed-content paper, # of papers/CE hours: _____ Date: _____
- 2 hours: Register and attend a RIIA pre-conference RMA CE session Date: _____
- 4 hours: Register and join one of the monthly RMA distance learning Study Groups Date: _____
- 8 hours: Register and attend RIIA’s Summer Conference at Salem State University (SSU) Date: _____
- 16 hours: Register and attend the annual RMA Master Class program following the Summer Conference at SSU Date: _____
- 40 hours: Register and 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 the following year) Date: _____
- _____ hour(s): Per prior agreement with RMA Director for completing CFA, CPA or CFP CEs Date: _____
- _____ hour(s): ¼ hour CE credit per 15 minutes of ETC training Date: _____
- _____ hour(s): Book-length reading from the RIIA ERL: Book(s) read: _____ Date: _____

Total CE hours: _____

Signature: _____ Date: _____ Phone: _____

Print Name: _____ Employer: _____

Email: _____ Address: _____

To remain a RIIA RMA certificate holder in good standing; to represent to your employer, clients and the public that you are an RMA; and to continue to use the designation, along with the RMA logo or service mark – RMA certificate holders are required to re-certify on an annual basis. In order to do this, RIIA will send an email with an online MemberClicks link for re-certification near the anniversary date of when the RMA exam was originally passed. Using the online form, and in addition to the above CE requirements, RMA certificate holders are required to re-certify on an annual basis that they are in compliance with RIIA’s code of ethics and have 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.

**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.**

RIIA's Essential Readings List (revised November 2016)

RIIA's Essential Readings List (ERL) uses the framework of the Retirement Management Analyst[®] (RMA[®]) curriculum to organize and to provide access to the essential sources in the evolving fields of retirement economics, retirement planning and retirement management.



- Anspach, Dana
Control Your Retirement Destiny
2nd ed. A Book's Mind, 2016. 400pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Gadenne, François
What's the Deal with the RMA?
2nd ed. People Tested Books, 2016. 72pp, Print.
Qualifies for 1 hour of Continuing Education Credit for annual RMA re-certification

- Gadenne, François.
The Retirement Management Analyst (RMA) Designation: Curriculum Book for RMA Candidates
6th ed. 2016. *(Only available to registered RMA students through the online course)*
Qualifies for 8 hours of Continuing Education Credit for annual RMA re-certification

- Lumia, Mark R.
Thinking Outside the Money Box: The Best Concepts for a Worry-free Retirement are Off the Beaten Path
1st ed. CreateSpace Independent Publishing Platform, 2014. 154pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Stelhorn, Stephen
Navigating the Maze of Health Insurance Choices
2nd ed. MSM Capital Management, LLC, 2014. 322pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

RIIA's Essential Readings List (rev Nov 2016) *continued*

- Stellhorn, Stephen
Navigating the Maze of Medicare
1st ed. MSM Capital Management, LLC, 2013. 226pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Stellhorn, Stephen
Navigating the Maze of Social Security
2nd ed. MSM Capital Management, LLC, 2014. 372pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification



- Bodie, Zvi, Robert C. Merton, and David L. Cleeton
Financial Economics
2nd ed. Pearson Learning Solutions, 2012. 506pp, Print.
Qualifies for 8 hours of Continuing Education Credit for annual RMA re-certification

- Derman, Emanuel
Models. Behaving. Badly.: Why Confusing Illusion with Reality Can Lead to Disaster, on Wall Street and in Life
1st ed. Free Press, 2011. 241pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Gigerenzer, Gerd
Risk Savvy: How to Make Good Decisions
Penguin Books, 2014. 319pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Ropeik, David and George Gray
Risk
Houghton Mifflin Co., 2002. 485pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Taleb, Nassim Nicholas
Antifragile: Things That Gain from Disorder
New York: Random House, 2012. Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

RIIA's Essential Readings List (rev Nov 2016) *continued*

- Zwecher, Michael J.
Retirement Portfolios: Theory, Construction, and Management
1st ed. John Wiley & Sons, 2010. 305pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Zwecher, Michael J.
Retirement Portfolios Workbook: Theory, Construction, and Management
1st ed. John Wiley & Sons, 2009. 183pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification



- Collins, Patrick J.
Longevity Risk and Retirement Income Planning
1st ed. CFA Institute Research Foundation, 2016. 132pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification



- Gadenne, François, and Al Turco
*Practice Manual for Retirement Management Analyst (RMA)
Certificate Holders and Compliance Officers*
2nd ed. CreateSpace Independent Publishing Platform, 2016. 140pp, Print.
Qualifies for 4 hours of Continuing Education Credit for annual RMA re-certification

- Collins, Patrick J., Huy Lam and Josh Stampfli
Monitoring and Managing a Retirement Income Portfolio
RMJ Between the Issues, Dec 2015. 34pp, Digital.
(Available on riia-usa.org/between-the-issues)
Qualifies for 2 hours of Continuing Education Credit for annual RMA re-certification

Note: If you are an RMA seeking CE credit for any of these readings, please fill out and submit the RIIA RMA Annual Re-certification form.