

**RF SECURITIES
CLEARING**

**RF CAPITAL
GROUP**

RICHARDSON
Wealth

Accessibility Policy & Practice

Version 5 – April 2021

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Summary & Commitment

The Accessibility for Ontarians with Disabilities Act is a law that was passed by the province of Ontario which allows the government to develop and enforce specific standards for accessibility. The standards are intended to achieve accessibility for people with disabilities in the areas of customer service, transportation, the built environment, information and communication, and employment. The Customer Service Regulation establishes accessibility standards for the provision of goods and services and applies to private sector organizations as of January 1, 2012.

Richardson Wealth, RF Capital Group and RF Securities Clearing are committed to treating all people in a way that allows them to maintain their dignity and independence. We believe in integration and equal opportunity. We are committed to meeting the needs of people with disabilities in a timely manner, and will do so by preventing and removing barriers to accessibility and meeting requirements under the Accessibility for Ontarians with Disabilities Act.

Richardson Wealth, RF Capital Group and RF Securities Clearing are also committed to applying the same standard throughout its offices and websites across Canada.

Richardson Wealth, RF Capital Group and RF Securities Clearing have developed a Multi-Year Plan that describes how it intends over time to become a more accessible organization and sets forth the principles of how it provides service and otherwise interacts with people with disabilities. This plan will be posted on the company website, reviewed and updated periodically by the Committee.

Training

Richardson Wealth, RF Capital Group and RF Securities Clearing have provided training to all employees on the accessibility laws and the Human Rights Code to increase awareness and encourage respect for the core principles of independence, dignity, integration and equality of opportunity for people with disabilities.

Training was provided in a way that best suits the duties of the employees.

Richardson Wealth, RF Capital Group and RF Securities Clearing implemented a training program that all employees are required to complete on an annual basis . The training focuses on the following topics:

- The purpose and requirements of the Accessibility Act
- How to interact and communicate with people with various types of disabilities
- The purpose of assistive devices and how to interact with people who use them
- The purpose of service animals and how to interact with people who use them
- The purpose of support persons and how to interact with people who are accompanied by a support person
- What to do if a person with a disability is having difficulty accessing Richardson Wealth, RF Capital Group and RF Securities Clearing services.

Employees are required to read the Richardson Wealth, RF Capital Group and RF Securities Clearing policies, practices and procedures in addition to any other internal documents on accessibility.

Richardson Wealth, RF Capital Group and RF Securities Clearing keep a record of all training provided under the Act, including the dates on which the training was provided and the individuals who received the training.

Employment

Richardson Wealth, RF Capital Group and RF Securities Clearing are committed to fair and accessible employment practices and will continue take steps to notify applicants and employees that accommodations are available upon request to people with disabilities. These practices are available during recruitment, selection and assessment process and for the duration of their employment.

Richardson Wealth, RF Capital Group and RF Securities Clearing have a process in place for individual accommodation plans and return-to-work policies for employees that have been absent due to a disability and will work with the employee to meet their needs upon their return.

Steps will be taken to ensure accessibility needs of employees with disabilities are taken into account during performance management, career development and redeployment processes.

Upon request, employees with disabilities will have an individual accommodation plan developed by Human Resources in consultation with the employee.

Devices and Alternative Formats

Individuals to whom Richardson Wealth, RF Capital Group and RF Securities Clearing provide services may need to do so with the use of assistive devices such as communication aids, cognition aids, personal mobility aids and medical aids.

These assistive devices may include:

- Manual and motorized wheelchairs
- Canes, crutches and walkers
- White canes
- Hearing aids
- Magnifiers
- Oxygen tanks
- Electronic communication devices

Availability of assistive devices:

Richardson Wealth, RF Capital Group and RF Securities Clearing strive to enable people with disabilities to benefit from the same quality of service as other customers. Physically-accessible areas of Richardson Wealth, RF Capital Group and RF Securities Clearing premises include the following assistive devices, as appropriate:

- Automatic door openers
- Elevator or ramp
- Accessible washrooms
- Websites
- TTY telephony

Design of Public Spaces

Richardson Wealth, RF Capital Group and RF Securities Clearing along with each location building management will meet the standards for the design of public spaces when building or making major modifications to public spaces. It will put procedures in place to prevent disruptions to its accessible parts of its public spaces. In the event of disruption, Richardson Wealth, RF Capital Group and RF Securities Clearing will notify the public of this disruption.

These procedures will be in conjunction with building management practices as they comply with the Act.

Public spaces include:

- Outdoor paths of travel such as sidewalks, ramps, stairs, rest areas
- Parking lot or garage
- Reception areas

Accessibility and Multi-Year Plan

Richardson Wealth, RF Capital Group and RF Securities Clearing have established an internal accessibility committee which is composed of members from various departments of the company and is responsible for coordinating efforts to ensure that it is compliant with its obligations under the AODA. This committee also works to inspire leadership through the services provided including:

- Helping with accessibility related issues both with internal employees and external clients, vendors, etc.
- Supporting and promoting accessibility tools and guides
- Supporting or coordinating other initiatives
- Developing accessibility standards and practices

Integrated Accessibility Standard Regulation – General Requirements			
Requirement	Compliance Date	Actions	Status
<p>Accessible Customer Service</p> <ul style="list-style-type: none"> • Welcome service animals and support persons • Put an accessibility policy in place for employees, vendors, clients so they can know what to expect <p>Provide accessible emergency and public information when asked</p> <ul style="list-style-type: none"> • Evacuation plans or brochures <p>Provide employees with disabilities emergency information</p> <ul style="list-style-type: none"> • Provide employees with disabilities accessible and customized emergency information 	January 1, 2012	<ul style="list-style-type: none"> • 	Completed
<p>Accessibility Policy</p> <ul style="list-style-type: none"> • Develop, implement and maintain policies governing how the organization achieves or will achieve accessibility through meeting the application legislative requirements • Make policy publicly accessible 	January 1, 2014	<ul style="list-style-type: none"> • Create policy • Publish on website • Provide contact information in accessible formats 	Completed
<p>Accessibility Plan</p> <ul style="list-style-type: none"> • Create multi-year plan • Post multi-year plan on the internal and external websites • Maintain plan • Review plan every 5 years • Provide plan in accessible formats upon request 	January 2014	<ul style="list-style-type: none"> • Develop, implement and maintain plan • Publish on Richardson Wealth, RF Capital Group and RF Securities Clearing internal and external websites • Report on status of plan annually 	Completed

<ul style="list-style-type: none"> • Prepare an annual status report on the progress against the plan and post on website 		<ul style="list-style-type: none"> • Review plan every 5 years 	
<p>Training</p> <ul style="list-style-type: none"> • How to interact with colleagues and clients with disabilities • Requirements of the customer service standard and AODA Act • Organization's policy • How to use equipment and devices available • New hire • Changes to the accessible customer service policies • Tracking of completed training • Human Rights Code • Areas of standards that are relevant to work responsibilities • Public areas 	January 1, 2015	<ul style="list-style-type: none"> • Develop training program for employees on: <ul style="list-style-type: none"> • General AODA requirements • Information and communication standards in relation to their role and responsibilities • Maintain record of training provided with dates and number of individuals trained 	Completed
<p>Accessibility Compliance Reporting</p>	December 31, 2014	<ul style="list-style-type: none"> • File compliance report 	Completed
<p>Websites</p> <p>New websites, web content and web-based applications must conform to WWW Consortium Web Content Accessibility Guidelines per the following:</p> <ul style="list-style-type: none"> • By January 1, 2014, all new websites and web content on those sites must conform with WCAG 2.0 Level A, except where not practicable • By January 1, 2021, all websites, web content and web-based applications must be WCAG 2.0 Level AA, except where not practicable 	<p>January 1, 2014</p> <p>January 1, 2021</p>	<ul style="list-style-type: none"> • Make websites accessible • Apply criteria and requirements to all websites and web content 	<p>Completed</p> <p>Ongoing</p>
<p>Public Spaces</p> <ul style="list-style-type: none"> • Parking • Service counters • Waiting areas • Accessible washrooms 	January 1, 2017	<ul style="list-style-type: none"> • Assess needs of each location • Work with building management to ensure all areas are accessible for individuals with disabilities • Redevelop areas wherever necessary 	Ongoing
<p>Accessibility Compliance Reporting</p>	December 31, 2017	<ul style="list-style-type: none"> • File accessibility compliance report 	Completed
<p>Accessibility Compliance Reporting</p>	December 31, 2020	<ul style="list-style-type: none"> • File accessibility compliance report 	Ongoing
<p>Accessibility Compliance Reporting</p>	December 31, 2023	<ul style="list-style-type: none"> • File accessibility compliance report 	Ongoing

Client & Employee Feedback

Richardson Wealth, RF Capital Group and RF Securities Clearing aim to meet service delivery expectations for all of its clients and employees, including those with disabilities. Our organization welcomes feedback on how client and employee expectations are being met and uses it as an opportunity to improve.

Richardson Wealth, RF Capital Group and RF Securities Clearing recognize that people with disabilities may use different methods to communicate their feedback. Clients who wish to provide feedback on the way it services people with disabilities can do so in a variety of formats including:

By mail Accessibility Officer
Richardson Wealth Limited
145 King Street West
Suite 500
Toronto, ON M5H 1J8

By email Accessibility@RichardsonWealth.com

Clients providing feedback should include the following information:

- Time and date of event
- Feedback concerning event
- Service being accessed
- Personnel involved
- Additional comments
- Contact information (should the person wish to be contacted)

Feedback will be reviewed and appropriate action, if any, will be developed and implemented.