

Membership applicants

A Registered Member can be a scientist, engineer or technologist who is involved with the discovery, extraction and utilization of minerals, metals, and energy sources.

How to apply for Registered Member status

To become a Registered Member, candidates must apply, have their application and supporting documentation reviewed by the Registered Member Committee, and be approved for membership.

There are several steps involved in applying for Registered Member status:

Step 1:

- Fill out the application form, including addressing the requirement for a personal statement (part of the application form).

Step 2:

Provide, with the completed application form, the following:

- Payment;
- Copy of degree and transcripts (official transcripts required showing full coursework; and confirming graduation);
- Complete resume or curriculum vitae (with chronological detail for all work performed within and outside the industry, not just representative projects; this must include information on positions of responsibility);

Step 3:

Either identify three suitable verifiers who are Registered Members, contact those verifiers and have them fill out and independently directly submit the verification forms to the SME.

Or

Provide a copy of a valid, current license or certification if you are an applicant with the following professional designations:

- Licensed or certified in a state of the United States that is a member of the National Association of State Boards of Geology (ASBOG);
- Certified by the American Institute of Professional Geologists (AIPG) as a Certified Professional Geologist;
- Professional Engineer licensed or certified in a state of the United States (P.E.) or in a province in Canada (P.Eng.);
- Professional Geologist (P.Geo.) in a province in Canada.

The application will only be forwarded to the Registered Member committee once it is complete in all respects.

Applications can be submitted as follows:

- Email documents to **registeredmember@smenet.org**;
- Mail documents to SME Registered Membership, 12999 E Adam Aircraft Cir, Englewood, CO 80112.

The SME can be contacted with any questions at

- **720-574-1256** or
- **registeredmember@smenet.org**.

Registered Member membership conditions

Applicants must demonstrate that they satisfy at least one of the following:

- Licensed or Certified in a state of the United States that is a member of the National Association of State Boards of Geology (ASBOG);
- Certified by the American Institute of Professional Geologists (AIPG) as a Certified Professional Geologist;
- Professional Engineer licensed or certified in a state of the United States (P.E.) or in a province in Canada (P.Eng.);
- Professional Geologist (P.Geo.) in a province in Canada.

Candidates may apply if they do not meet the above criteria but will need to provide verification documentation from three Registered Members who can verify the applicant's work (see "Selection of verifiers").

Minimum experience

The requirement for seven (7) years of experience is expected to be post-conferral of the professional degree the candidate is basing their application for registered membership on.

Professional experience must be in the mineral and extractive industries, or in government, educational, research, professional or commercial organizations concerned with those industries and members are understood to have experience and worked in areas related to reserves and resources.

Experience can be practical, professional, or a combination of both.

Three (3) of the years of experience must demonstrate that the candidate has acted in a position of responsibility (see "Position of responsibility").

Position of responsibility

This is an area that often results in delays with the review of Registered Member applications.

A candidate for Registered Member status must demonstrate that they have “*a university degree, and a minimum of seven years of professional experience, at least three of which must have been in a position of responsibility*”.

This term, “position of responsibility” is defined in the Registered Member application form as “*one in which the individual was depended on for significant participation and decision making relevant to their respective area of competency and that the applicant is capable of scoping, supervising and checking relevant work to ensure it meets industry standards*”.

As an applicant, your resume or curriculum vitae should include sufficient detail to support the level of responsibility you are stating in each position. Your verifiers must be able to attest to those levels of responsibility.

Degrees and transcripts

A candidate’s application will not be presented to the Registered Member committee for consideration for admission as a Registered Member until supporting copies of the relevant degree(s) and transcript(s) have been provided.

The Registered Member committee requires a copy of both the candidate’s degree certificate, and the transcript. This is for a number of reasons, such as:

- Transcripts provide the Registered Member committee with a record of coursework completed, which can help assess that the degree conferred is “*in fields related to the discovery, extraction and utilization of minerals, metals and energy sources*”, as stipulated in the Registered Member application form;
- Transcripts do not always indicate that the degree was conferred, and when; this is always on the degree conferral certificate;
- There have been instances where a candidate used a forged degree certificate in their application for Registered Member status.

While there can, and have been, rare exceptions to these requirements, such exceptions are strictly evaluated on a case by case basis.

Professional licensure

Candidates who are already registered as professional geologists or professional engineers will need to provide confirmation that they have current registration at the date they are referred to the Registered Member committee for review. This can be provided either as a copy of the receipt of dues payment, or a copy of the applicable license showing the expiry date. It is not the role of the SME staff or the Registered Member committee to search professional association websites to verify the candidate’s license status.

Resumé, curriculum vitae

A candidate's application can be delayed if the Registered Member committee is unable to determine the extent of the candidate's relevant experience, and their time in a position of responsibility.

Often, a "consultant-type" presentation of projects worked on in a resume does not make it clear what the candidate themselves were responsible for on a particular project. Conversely, a "company-type" presentation in a curriculum vitae can focus too narrowly on job titles, and not provide sufficient information on the actual work undertaken by the candidate themselves.

A candidate's resume should provide:

- Work experience since graduation, preferably organized by employer, from current working backward in time;
- Job titles, and time in that role;
- Explanation of positions of responsibility with particular attention to the following:
 - Explanation of type of information for which the candidate was depended on for significant participation and decision making relevant to their respective area of competency;
 - Sufficient detail that it is clear that the candidate is capable of scoping, supervising, and checking or verifying relevant work to ensure it meets generally-accepted industry standards;
- Explanation of any gaps in employment, or delays in degree conferral.

Selection of verifiers

It is the responsibility of the candidate to select appropriate verifiers. Selection criteria include the following.

Verifiers must themselves be Registered Members of the SME

Each verifier must have personal, first-hand working knowledge of the candidate. This must include knowledge of the extent, diversity, and quality of the applicant's practical training and professional experience.

Each verifier must have worked directly with the candidate for a minimum of one year, within the most recent 10 years.

Verifiers must not be supervised by, or be a client of, the applicant.

Verifiers cannot be personnel that the candidate supervises or supervised.

Verification forms must be sent directly by each verifier to the SME office in Englewood, Colorado; they cannot be submitted by the applicant. Completed verification forms can be submitted as follows:

- Email documents to **registeredmember@smenet.org**;

- Mail documents to SME Registered Membership, 12999 E Adam Aircraft Cir, Englewood, CO 80112.

Role of the verifier

The role of the verifier is a critical component of a candidate's application for Registered Member status.

The verification is not a character reference. Many candidates' applications are delayed because the verification does not meet the requirements. As a verifier, you need to specifically provide an honest corroboration of the candidate's work experience, positions of responsibility, and ethical fitness.

To provide a verification, the verifier should be aware of the information that the candidate plans to provide to the Registered Member committee, in particular the candidate's expressed areas of interest, reasons for applying for Registered Member status, and have viewed a copy of the resume that the candidate proposes to submit with their application.

Verifiers should not provide additional areas of interest outside those requested by the candidate, even if the verifier considers the candidate to be competent in those areas, as this can delay assessment of the candidate's application if the Registered Member committee considers the applicant needs to provide additional information to support those additional areas of interest.

What if I don't know three Registered Members of the SME to act as verifiers?

The first step is always to consult the list of Registered Members posted to the SME website. This can be accessed via the following link:

<https://www.smenet.org/registeredmembers>

The list provides the names and general locations of all current Registered Members.

If you cannot locate three verifiers after consulting this list please contact the SME for possible alternatives at **registeredmember@smenet.org**.

The application approvals process

The application process commonly takes several months. The typical pathway is:

- Application is sent to SME;
- SME staff review the application for completeness:
 - Incomplete applications are held back until all of the required information is provided;
- The completed application is presented to the Registered Member committee for consideration:

- This committee meets on monthly basis throughout the calendar year;
- Each committee member independently reviews the application and indicates in a ballot whether the applicant meets the minimum requirement for membership;
- Where a committee member has concerns, these are raised on the ballot for group discussion;
- Committee members may request that additional information be provided by the applicant or the applicant's verifiers. In these instances, application reviews are delayed until the requested information is made available.
- Once approved, the applicant is advised of application success and is entitled to call themselves a Registered Member. The approved applicant's name is then added to the list of Registered Members on the SME website.

Ethics

Any alleged breach of this code or any alleged unprofessional conduct by a Registered Member which may be brought before the Ethics Committee shall be investigated and, if proved, shall be dealt with in accordance with the procedures.

Every Registered Member shall observe and be bound by the SME Code of Ethics as published by the SME.

The Code of Ethics can be found at:

<https://www.sme.org/globalassets/sme.org/code-of-ethics.pdf>

The applicant is required, on their application form, to attest to:

1. The responsibility of members for the welfare, health and safety of the community shall at all times come before their responsibility to the profession, to sectional or private interests, or to other members.
2. Members shall act so as to uphold and enhance the honor, integrity and dignity of the profession.
3. Members shall perform work only in their areas of competence.
4. Members shall build their professional reputation on merit and shall not compete unfairly.
5. Members shall apply their skill and knowledge in the interests of their employer or client for whom they shall act, in professional matters, as faithful agents or trustees.
6. Members shall give evidence, express opinions, or make statements in an objective and truthful manner and on the basis of adequate knowledge.
7. Members shall continue their professional development throughout their careers and shall actively assist and encourage those under their direction to advance their knowledge and experience.

8. Members shall comply with all laws and government regulations relating to the mineral industries, and with the rules, regulations and practices as established and promulgated by the U.S. Securities and Exchange Commission with respect to the official listing requirements for mining and other companies.

Continuing professional development

The SME strongly encourages, but does not formally oblige, its Registered Members to continue with professional development throughout their careers.

Professional development activities that contribute to professional development hours may include:

- Active participation in professional associations, such as the SME, as an officer or committee member (maximum of 20 hours claimed as professional development hours over a two-year period);
- Completion of a continuing education unit (CEU) from any accredited institution that awards CEUs; typically the SME would assign one CEU to be the equivalent of 10 professional development hours;
- Completion of ethics-related courses;
- Preparation and presentation of technical research papers, either on-line or in-person. (Preparation of reports required to meet statutory requirements or public disclosure regulations do not qualify as technical research papers);
- Attendance at technical meetings, conferences, workshops, on-line or in-person courses, field trips, and other events with a technical focus hosted by the SME or other professional associations;
- Teaching or instructing mining industry-related short-courses hosted by the SME or other professional associations;
- Participation in educational outreach for K–12+, for example as part of the SME's Minerals Education Coalition events.

As a good practice, Registered Members should aim to have 30 hours of professional development activities in any two-year period, and should keep a record of the duration and type of professional development activity undertaken.

If a Registered Member exceeds the suggested 30 hours of qualified continuing professional education during the two year period, a total of 15 hours of qualified continuing professional education over the 30 hours can be carried forward into the next two-year period, but should be accompanied by records of the duration and type of professional development activity undertaken.

If the Registered Member has resigned or otherwise revoked their membership status, when re-applying for re-instatement as a Registered Member, the applicant may be requested by the Registered Member Committee to provide documentation of professional development activities as part of the re-instatement application.

Acting as a Qualified Person

Candidates should be aware that the awarding of Registered Member status does not necessarily mean that the applicant meets the definition of a Qualified Person under Regulation S-K, Subpart 1300, Definitions.

Please review the “Qualified Person” and “relevant experience” definitions (reproduced below for your convenience) prior to agreeing to acting as a Qualified Person to ensure you meet all of the requirements. Being an Registered Member of the SME is only one of the criteria to be met.

§229.1300 (Item 1300) Definitions.

Qualified person is an individual who is:

1. A mineral industry professional with at least five years of relevant experience in the type of mineralization and type of deposit under consideration and in the specific type of activity that person is undertaking on behalf of the registrant; and

2. An eligible member or licensee in good standing of a recognized professional organization at the time the technical report is prepared. For an organization to be a recognized professional organization, it must:

i. Be either:

A. An organization recognized within the mining industry as a reputable professional association; or

B. board authorized by U.S. federal, state or foreign statute to regulate professionals in the mining, geoscience or related field;

(ii) Admit eligible members primarily on the basis of their academic qualifications and experience;

(iii) Establish and require compliance with professional standards of competence and ethics;

(iv) Require or encourage continuing professional development;

(v) Have and apply disciplinary powers, including the power to suspend or expel a member regardless of where the member practices or resides; and

(vi) Provide a public list of members in good standing.

Relevant experience means, for purposes of determining whether a party is a qualified person, that the party has experience in the specific type of activity that the person is undertaking on behalf of the registrant. If the qualified person is preparing or supervising the preparation of a technical report concerning exploration results, the relevant experience must be in exploration. If the qualified person is estimating, or supervising the estimation of mineral resources, the relevant experience must be in the estimation, assessment and evaluation of mineral resources and associated technical and economic factors likely to influence the prospect of economic extraction. If the qualified person is estimating, or

supervising the estimation of mineral reserves, the relevant experience must be in engineering and other disciplines required for the estimation, assessment, evaluation and economic extraction of mineral reserves.

1. Relevant experience also means, for purposes of determining whether a party is a qualified person, that the party has experience evaluating the specific type of mineral deposit under consideration (e.g., coal, metal, base metal, industrial mineral, or mineral brine). The type of experience necessary to qualify as relevant is a facts and circumstances determination. For example, experience in a high-nugget, vein-type mineralization such as tin or tungsten would likely be relevant experience for estimating mineral resources for vein-gold mineralization, whereas experience in a low grade disseminated gold deposit likely would not be relevant.

Note 1 to paragraph (1) of the definition of relevant experience: It is not always necessary for a person to have five years' experience in each and every type of deposit in order to be an eligible qualified person if that person has relevant experience in similar deposit types. For example, a person with 20 years' experience in estimating mineral resources for a variety of metalliferous hard-rock deposit types may not require as much as five years of specific experience in porphyry-copper deposits to act as a qualified person. Relevant experience in the other deposit types could count towards the experience in relation to porphyry-copper deposits.

2. For a qualified person providing a technical report for exploration results or mineral resource estimates, relevant experience also requires, in addition to experience in the type of mineralization, sufficient experience with the sampling and analytical techniques, as well as extraction and processing techniques, relevant to the mineral deposit under consideration. Sufficient experience means that level of experience necessary to be able to identify, with substantial confidence, problems that could affect the reliability of data and issues associated with processing.

3. For a qualified person applying the modifying factors, as defined by this section, to convert mineral resources to mineral reserves, relevant experience also requires:

(i) Sufficient knowledge and experience in the application of these factors to the mineral deposit under consideration; and

(ii) Experience with the geology, geostatistics, mining, extraction and processing that is applicable to the type of mineral and mining under consideration.

We also remind you that it is the registrant (the mining or exploration company) that is responsible for identifying the appropriate Qualified Persons for reporting purposes, not the SME, under Regulation S-K, Subpart 1302, Qualified Person, technical report summary, and technical studies.

§229.1302 (Item 1302) Qualified person, technical report summary, and technical studies.

2. The registrant is responsible for determining that the person meets the qualifications specified under the definition of qualified person in §229.1300, and

that the disclosure in the registrant's filing accurately reflects the information provided by the qualified person.

A complete copy of Regulation S-K1300 can be found on the Securities and Exchange Commission's website:

<https://www.sec.gov/files/rules/final/2018/33-10570.pdf>