



Certified Private Wealth Professional
註冊私人財富管理師



Private Wealth
Management
Association

CPWP Online Platform

CPWP Certification Application User Guide for Applicant

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1. New Applicant Registration

Registration

- “Register” as new applicant at the CPWP User Login page by clicking <https://www.pwma-cpwponline.com/login>



CPWP User Login

✉ Email Address

🔒 Password

ℹ Verification code **M 9 M S** Refresh

Remember Me

Submit

[Forgot Password?](#) [Back](#)

Do not have an existing applicant login with us?
[Register](#) as a new applicant now.

2. New Applicant Registration

Registration (Cont'd)

- Applicant chooses your Current Employer



Register as New Applicant

Your Current Employer is:

Member Firm list ▼

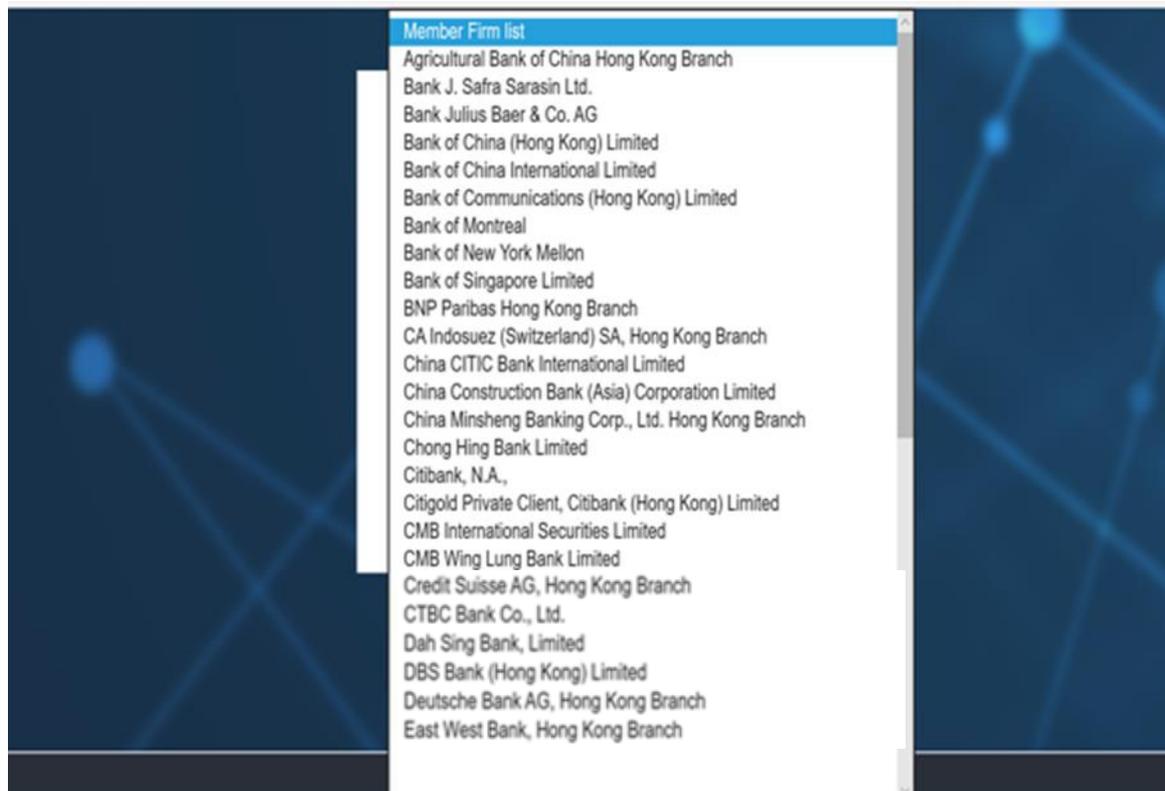
← Back

Next →

3. New Applicant Registration

Registration (Cont'd)

- Applicant selects a Member Firm from the pulldown menu



4. New Application Registration

Registration (Cont'd)

- Applicant completes [Personal Particulars]



Private Wealth
Management
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Certified Private Wealth Professional
註冊私人財富管理師

Register as New Applicant
>

1 Personal Particulars

2 Identity Information

3 Employment Information

■ Personal Particulars

Title *: Dr Mr. Mrs. Ms

Family Name *:
(Remark: The name should match your HKID/passport record.)

Given Name *:
(Remark: The name should match your HKID/passport record.)

Date of Birth *:

Work Email *:

Personal Email :

Contact No. *: Office * Mobile * Home(Optional)

Correspondence Address *:

Next →

5. New Application Process

Registration (Cont'd)

- Applicant completes [Identity Information]



Register as New Applicant >

1 Personal Particulars

2 Identity Information

3 Employment Information

Identity Information

First 4 digits of HKID Card
Number *:

First 4 digits of Passport Number:
(If no HKID Card)

← Previous

Next →

6. New Application Process

Registration (Cont'd)

- Applicant selects a Functional Title from the pulldown menu under [Employment Information] and clicks 3 declaration statements before submit

The screenshot displays the 'Register as New Applicant' web form. At the top, there are logos for PWMA (Private Wealth Management Association) and CRWP (Certified Private Wealth Professional / 註冊私人財富管理師). The form is divided into three steps: 1. Personal Particulars, 2. Identity Information, and 3. Employment Information. The 'Employment Information' section is active and contains the following fields:

- Company Name:** Member Firm
- Business Unit *:** PWM
- Functional Title:** A dropdown menu is open, showing options: Please Select, Client Advisor, Investment Advisor, Investment Consultant, Private Banker, Relationship Manager, Team Head, Wealth Manager, (Discretionary) Asset Manager, (Discretionary) Portfolio Manager, and Others: Please specify.

Below the Functional Title field, there are three declaration checkboxes, all of which are checked:

- I confirm that all information provided is true and correct.
- I understand that all the information provided is for PWMA-member-firm employment only.
- By creating an account with PWMA, I agree to the terms and conditions of the PWMA Member Firm Registration Agreement.

At the bottom right of the form, there are two buttons: 'Previous' (with a left arrow) and 'Submit' (with a right arrow).

7. New Application Registration

Registration (Cont'd)

- Applicant receives an email of **“Welcome to Certified Private Wealth Professional (CPWP) Account Registration”**

Dear Applicant,

Thank you for registering to the CPWP Online Application Platform.

Your account has been created successfully.

You can now login to your account to access the online application form via <https://www.pwma-cpwponline.com> with the following username and password:

Username : Applicant@MemberFirm.com.hk

Password : XXXXXX

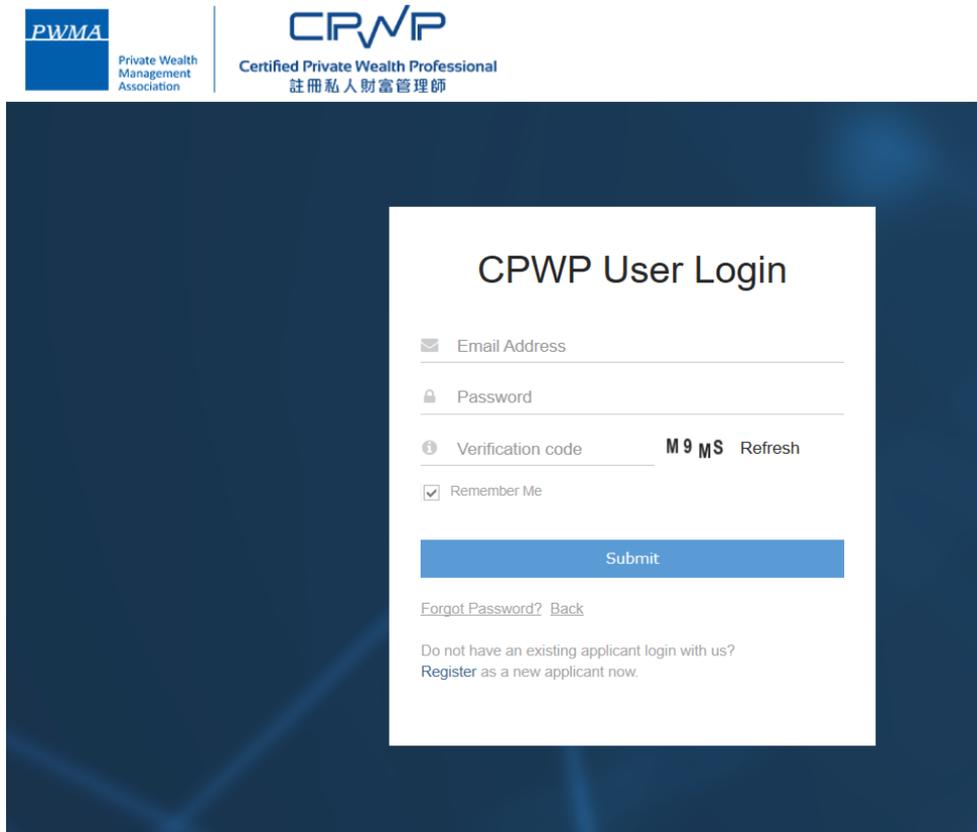
Yours sincerely,
Private Wealth Management Association Limited

Please do not reply to this e-mail. For questions, please email to ECFonline@pwma.org.hk

8. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures

- Applicant log-in to [CPWP User Login] page by clicking <https://www.pwma-cpwponline.com/login> and input User Name (Email Address) and Password from the Welcome email



PWMA Private Wealth Management Association

CPWP
Certified Private Wealth Professional
註冊私人財富管理師

CPWP User Login

✉ Email Address

🔒 Password

📄 Verification code **M 9 M S** Refresh

Remember Me

Submit

[Forgot Password? Back](#)

Do not have an existing applicant login with us?
[Register as a new applicant now.](#)

9. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures (Cont'd)

- Applicant reviews [Personal Particulars] & [Current Employment]

Home | My Certification Application | My Account | Reset Password | Message | Sign out

My Account Information >

Personal Particulars	Current Employment	Disciplinary Actions, Financial Status
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10. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant chooses [My Certification Application] and clicks [Apply for CPWP]

The screenshot shows the user interface for the CPWP certification application platform. At the top left, there are logos for PWMA (Private Wealth Management Association) and CPWP (Certified Private Wealth Professional / 註冊私人財富管理師). A welcome message reads: "Welcome 8 CASE to CPWP certification application platform." Below this is a navigation bar with links: Home, My Certification Application, My Account, Reset Password, Message, and Sign out. The main heading is "My Certification Application" with a right-pointing arrow. Below the heading is a table with the following columns: Application No, Applicant Name, Date of Submission to PWMA, Application Status, and Action. The table is currently empty, displaying "No records" in red text. Below the table is a blue button labeled "Apply for CPWP".

Application No	Applicant Name	Date of Submission to PWMA	Application Status	Action
No records				

[Apply for CPWP](#)

11. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant answers all questions under [Qualifications]
- Scans Module 1 and Module 2 Official Exam Results and Upload it to Q3 & Q 4.
Acceptable scan file types : jpg/jpeg/png/doc/docx/pdf/xls/xlsx

Apply for CPWP
>

1 Qualifications

2 Personal Particulars

3 Employment History

4 Disciplinary Actions and Investigations

5 Acknowledgement

■ Please answer the following questions

1. Are you currently a relevant practitioner as defined under Enhanced Competency Framework "ECF" for PWM Industry at a PWMA member institution?

Yes No

2. Which PWMA member institution are you currently employed?

Member Firm

3. Have you passed and do you hold a valid result taken from the recent 5 years for CPWP Module 1 examination (both Paper 1 & 2) offered by Hong Kong Securities and Investment Institute "HKSI"?

Yes No

4. Have you passed and do you hold a valid result taken from the recent 5 years for CPWP Module 2 examination offered by Hong Kong Institute of Bankers "HKIB"?

Yes No

5. Have you accumulated 3 years of Private Wealth Management experience as a relevant practitioner in the recent 5 years?

Yes No

Save ✓

Next ➔

If you have answered "Yes" to this question, please upload relevant information or document(s):



(File format: jpg/JPG/jpeg/png/doc/docx/pdf/xls/xlsx)

12. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant completes “Current Experience” in [Employment History] and files Self declaration form

Home | My Certification Application | My Account | Reset Password | Message Sign out

Apply for CPWP 2020000149N >

1 Qualifications | 2 Personal Particulars | **3 Employment History** | 4 Disciplinary Actions and Investigations | 5 Acknowledgement

■ Employment History: List Recent 5 Years of PWM Experience Including Current Employment

Current Experience

Employer	Business Unit	Functional Title	Employment Period MM/DD/YY	Number of Years and Months in the Position/Title
Member Firm	PWM	Relationship I	08/01/2017 -	3 year(s) 1 month(s)

Please select one of the following self-declaration forms on key roles / responsibilities for completion in relation to your role as appropriate

Advisory (If you manage or managed client portfolios on an advisory basis)

Discretionary (If you manage or managed client portfolios on a discretionary basis e.g. Discretionary Portfolio Manager)

Self-declaration on Key Roles / Responsibilities for Advisory Portfolio Management

Is this a Private Wealth Management Experience?
 Yes No

Is this an Experience of Working Overseas?
 Yes No

Please tick the appropriate key roles / responsibilities in relation to your functional title / position described above.

	Key roles / responsibilities	Tick where appropriate
1	Identifying and originating new customer relationships, and developing existing relationships	<input type="checkbox"/>
2	Performing "know your customer" procedure, including collecting relevant customer information, performing and documenting customer needs analysis and customer risk profiling, documenting investment objectives and strategies and / or investment mandate	<input type="checkbox"/>
3	Delivering wealth management advice and solutions to customers, taking into account customers' circumstances, and working closely with relevant parties (e.g. Product Specialists and Portfolio Management Specialists) as appropriate	<input type="checkbox"/>
4	Explaining key features, structures and risks of wealth management products to customers, and explaining (and negotiating) respective terms and conditions	<input type="checkbox"/>
5	Making investment recommendations and for solicitations to customers, and, unless an exemption applies, providing a copy of the rationale to customers	<input type="checkbox"/>
6	Working closely with relevant parties to ensure timely and accurate execution of transactions	<input type="checkbox"/>
7	Coordinating closely with relevant parties (e.g. Operations and Compliance) to conduct regular review of the performance of customers' asset portfolio (e.g. financial performance, quality of account service, and anti-money laundering / counter-terrorist financing issues)	<input type="checkbox"/>
8	Maintaining customer relationship and updating customer risk profile regularly and as appropriate	<input type="checkbox"/>

13. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant fill-in "Previous Experience" under [Employment History] if applicant has less than 3 years Relevant Practitioner Experience in "Current Experience"

Previous Experience

Employer	Functional Title	Employment Period MM/DD/YY	Number of Years and Months in the Position/Title	Self-declared
<input type="text"/>	Please Select <input type="text"/>	<input type="text"/> - <input type="text"/>		<input type="checkbox"/>

Please select one of the following self-declaration forms on key roles / responsibilities for completion in relation to your role as appropriate

- Advisory (if you manage or managed clientlist portfolios on an advisory basis)
- Discretionary (If you manage or managed clientlist portfolios on a discretionary basis e.g. Discretionary Portfolio Manager)

 Add more employment history of your PWM experience

+ To upload supporting documents related to employment (if any):

Upload Files 

(File format: jpg/JPG/jpeg/png/doc/docx/pdf/xls/xlsx)

14. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant fill-in [Disciplinary Actions and Investigations, Financial Status and Character]

Home | My Certification Application | My Account | Reset Password | Message Sign out

Apply for CPWP 2020000149N >

1 Qualifications 2 Personal Particulars 3 Employment History 4 **Disciplinary Actions and Investigations** 5 Acknowledgement

Disciplinary Actions and Investigations, Financial Status and Character

Required to answer by selecting Yes or No:

1. Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?

Yes No

2. Have you ever had a record of non-compliance with various non-statutory codes, or been censured, disciplined or disqualified by any professional or regulatory body in relation to your profession?

Yes No

3. Have you ever been investigated about offences involving fraud or dishonesty or adjudged by court to be criminally or civilly liable for fraud, dishonesty or misfeasance?

Yes No

4. Have you ever been refused or restricted from the right to carry on any profession for which a specific license, registration or other authorization is required by law?

Yes No

5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?

Yes No

15. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant must check [Acknowledgement & Declaration] box before clicking [submit]

Home | My Certification Application | My Account | Reset Password | Message Sign out

Apply for CPWP 2019000159N >

1 Qualifications
2 Personal Particulars
3 Employment History
4 Disciplinary Actions and Investigations
5 Acknowledgement

■ Acknowledgement and Declaration (Applicant)

- I declare that all information I have provided in this form is true and correct.
- I understand that under any circumstances, the submitted application and paid application fee for each application are non-refundable and non-transferable.
- I authorize the PWMA to obtain, and the relevant authorities to release, any information about my qualifications and/or employment as required for my application.
- I acknowledge that PWMA has the right to withdraw my CPWP designation if I do not meet the requirements.
- I confirm that I have read and understood the Personal Information Collection Statement set out in the website of PWMA at www.pwma.org.hk and consent to the terms set out therein.
- I attach herewith copies of results of Module 1 and/or Module 2 in respect of Enhanced Competency Framework.
- I understand that all information I have provided in this application will be accessible by any authorized person by my employer.
- Check this box to indicate that you have read, understood, and agreed to the above acknowledgement and declaration.

Save ✓
← Previous
Submit →

16. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant receives “Your application submitted successfully” prompt

[Home](#) | [My Certification Application](#) | [My Account](#) | [Reset Password](#) | [Message](#)

[Sign out](#)

Apply for CPWP

Your application submitted successfully

Thank you for using our on-line CPWP certification application platform.

Please note that your application form has been sent to your employer for verification.

Once the employment information provided by you in this application is verified by your employer and a non-refundable and non-transferable application fee is received by PWMA, your application will be submitted to PWMA for processing.

[Back to Mainpage](#) ➔

17. New Applicant [Apply for CPWP] procedures

Apply for CPWP procedures cont'd

- Applicant receives an email of “**Your CPWP Application (2019000159N) has been submitted to PWMA**” after Member Firm’s verification

Dear Applicant,

Your CPWP Application (Application No: 2019000159N) has been submitted to PWMA for processing.

The application fee has been paid by your bank.

Yours sincerely,

Private Wealth Management Association Limited

18. New Applicant settles Payment

Payment

After Member Firm verification, Applicant received payment request from Member Firm

- Applicants receives an email of **“Application(202000159N) has been verified by a member firm. Please proceed to make payment in “My Certification Application”**

Dear Applicant

Application 2020000159N has been verified by the relevant department of your bank, please proceed to make payment for your Certification application.

Application No : 2020000159N

Please click the below link to pay now:

<https://www.pwma-cpwponline.com/pay/111?type=2>

The invoice could be download here:

<https://www.pwma-cpwponline.com/invoice/111?type=2>

Yours sincerely,

Private Wealth Management Association Limited

19. New Applicant settles Payment

Payment (Cont'd)

- Log-in to CPWP User Login page by clicking <https://www.pwma-cpwponline.com/login>
- Clicks [Go to pay]
- Settles Payment Method either by either Online Payment or Cheque/ Bank Transfer.

Home | My Certification Application | My Account | Reset Password | Message
Sign out

My Certification Application >

Application No	Applicant Name	Date of Submission to PWMA	Application Status	Action
2019000159N	Applicant		Pending Payment by Applicant	View Go to Pay

Comment(s)

20. New Applicant settles Payment

Payment (Cont'd) - Payment by Cheque/ Bank Transfer/ ATM

- Selects Cheque Payment/ Bank Transfer OR
- Transfers payment by Online Banking or ATM machine
- Cheque should be made payable to **“Private Wealth Management Association Limited”**
- Payment by Cheque/ Bank Transfer/ ATM must retain payment proof and upload to the online application before clicking [Submit]

Home | My Certification Application | My Account | Reset Password | Message Sign out

Payment >

Application No	Name	Employer	Expire Date	Action	Price
2019000159N	Applicant	Member Firm		Apply	1000.00

Payment Method:

Online Payment (Support Visa & Master)
 Cheque Payment/Bank Transfer

Attach Cheque Payment/Bank Transfer Receipt or Payment Proof

Upload Files

(File format: .jpg/.JPG/.jpeg/.png/.doc/.docx/.pdf/.xls/.xlsx)

← Back
Submit →

21. New Applicant settles Payment

Payment (Cont'd) Payment by Credit card

- Applicant selects online payment
- Global Online Payment accepts Visa, Master and JCB credit card only

Home | My Certification Application | My Account | Reset Password | Message
Sign out

Payment >

Application No	Name	Employer	Expire Date	Action	Price
2020000149N	Applicant	Member Firm		Apply	1000.00

Payment Method:

- Online Payment (Support Visa & Master)
- Cheque Payment/Bank Transfer

← Back
Submit →

22. New Applicant settles Payment

Payment (Cont'd) - Payment by Credit card

- Settles payment by Credit Card and fill-in Credit Card Billing Information before clicking [Next]

The screenshot displays a payment form with a navigation bar at the top containing four tabs: "Billing" (highlighted in green), "Payment", "Review", and "Receipt".

Billing Information

* Required field

First Name *

Last Name *

Company Name *

Address *

City *

Country/Region *

State/Province *

Zip/Postal Code *

Phone Number *

Email *

[Cancel Order](#)

Your Order

Total amount	HKD 1,000.00
--------------	--------------

23. New Applicant settles Payment

Payment (Cont'd) - Payment by Credit card

- Fill-in [Payment Details] before clicking [Next]

Billing
Payment
Review
Receipt

Payment Details 🔒

* Required field

Card Type *

Visa

JCB

Mastercard

Card Number *

Expiration Date *

CVN *
This code is a three or four digit number printed on the back or front of credit cards.

Back
Next

[Cancel Order](#)

Your Order

Total amount
HKD 1,000.00

24. New Applicant settles Payment

Payment (Cont'd) -Payment by Credit card

- Proceeds to payment and reviews your order before clicking [Pay]

Billing	Payment	Review	Receipt
Review your Order			
Payment Details		Your Order	
Card Type	Visa	Total amount	HKD 1,000.00
Card Number	xxxxxxxxxxxx4242		
Expiration Date	11-2020		
Back		Pay	
Cancel Order			

25. New Applicant settles Payment

Payment (Cont'd)

Applicant

- Receives an email of “Your CPWP Certification Application(2019000159N) has been submitted to PWMA” after settled the payment
- Login to CPWP online platform to download a receipt for reimbursement

Dear Applicant

Your CPWP Application (Application No: 2019000159N) has been submitted to PWMA for processing.

The application fee has been paid.

Yours sincerely,

Private Wealth Management Association Limited

26. Applicant receives CPWP Certification Result and download online CPWP e-certificate

After approval granted by Accreditation & Exemption Committee, New Applicant

- Receives an email of “**Granting of Certified Private Wealth Professional (“CPWP”) Certification (CPWP Certification No.: 2019000302)**”
- Download the E-certificate from the hyperlink in the email

Dear Applicant,

Granting of Certified Private Wealth Professional (“CPWP”) Certification

With respect to your application for CPWP certification for the purpose of the Enhanced Competency Framework, we take pleasure to confirm that you have fulfilled the prerequisite requirements for certification. A CPWP certification https://www.pwma-cpwponline.com/certification_detail/ is hereby granted to you with expiry date **till 31 December 2020**.

Please note that the said certification has to be renewed annually by taking not less than 10 hours of private wealth management (“PWM”)-related On-going Professional Training (“OPT”) in each calendar year, of which 5 hours may be the Continuous Professional Training required by the Securities and Futures Commission. Of the 10 OPT hours, at least 2 hours should be on PWM-related ethics and compliance.

For CPWP certification renewal, you should submit to us the Online Application Form for CPWP Certification Renewal (On-going Professional Training) within 1 month following the expiry of your certification.

We would like to remind you that you are to abide by the attached Private Wealth Management Association (“PWMA”) Code of Ethics and Conduct and certain conditions listed under Section 15 of the PWMA By-laws, failing which your certification status may be revoked.

Please note quote the CPWP Certification number for any future correspondence with us.

Yours sincerely,

Private Wealth Management Association Limited

27. Applicant receives CPWP Certification Result and download online CPWP e-certificate

Online CPWP Electronic Certificate is available

- New Applicant login to <https://www.pwma-cpwponline.com/login> and download an electronic certificate

