



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



Private Wealth
Management
Association

CPWP Associate Online Platform

User Guide for CPWP Associate applying for upgrading to CPWP Certification

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1. Applicant goes to CPWP Associate Online Platform

- Applicant chooses CPWP Associate Online Platform to logon to CPWP Associate User Account



2. CPWP Associate Login to CPWP Associate Online Platform page

- CPWP Associate login to CPWP Associate User platform page (green platform)

PWMA Private Wealth Management Association

CPWPA
Certified Private Wealth Professional Associate
註冊私人財富副管理師

CPWP Associate User Login

✉ Email Address

🔒 Password

📄 Verification code **C 5 A B** Refresh

Remember Me

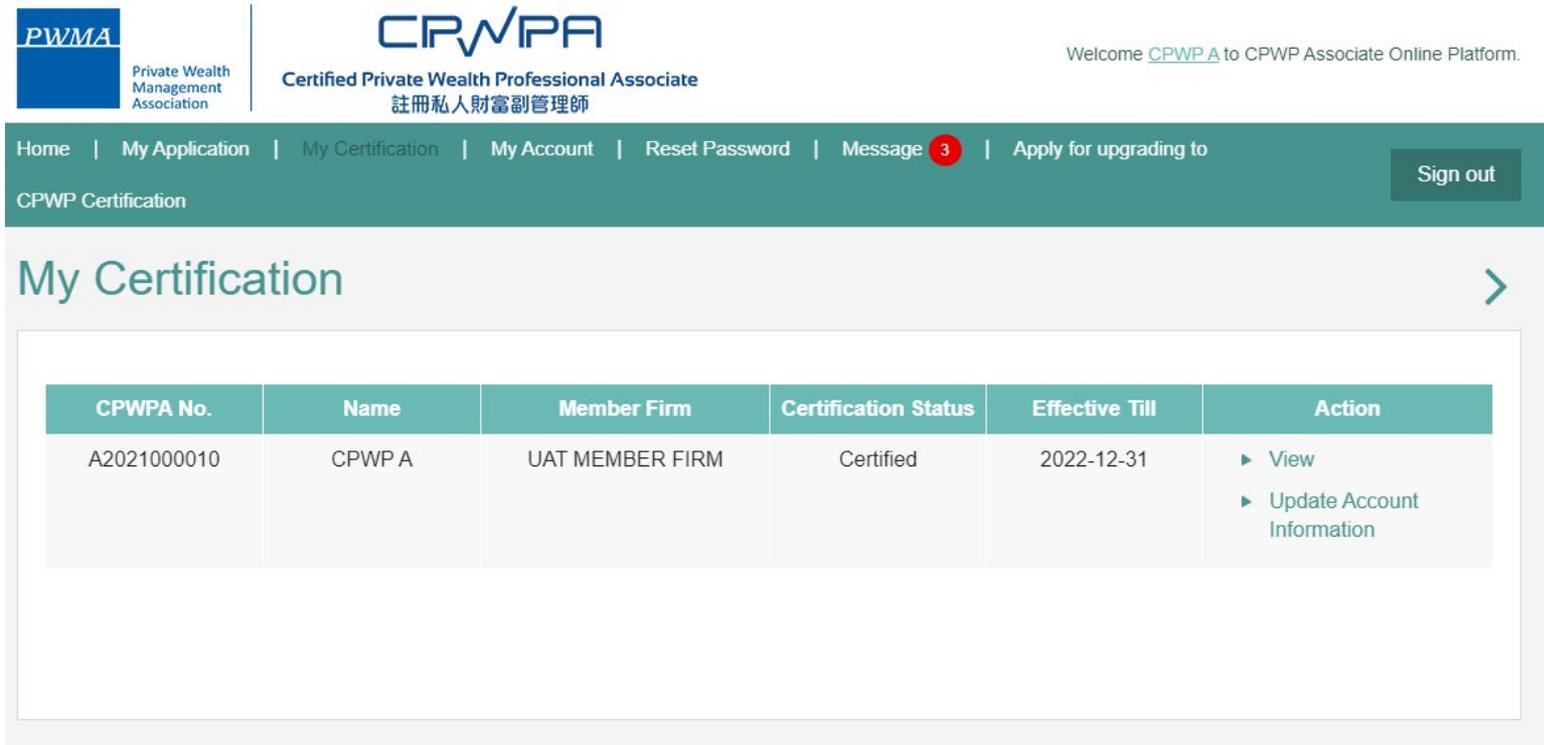
Submit

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

Do not have an existing applicant login with us?
Register as a new applicant now.

3. Before clicking [Upgrade to CPWP Certification]

- Applicant selects [My Certification] then clicks [Update Account Information] under “Action” to update work email address and employment information (if necessary)
- Click [save] to ensure [edit successfully]

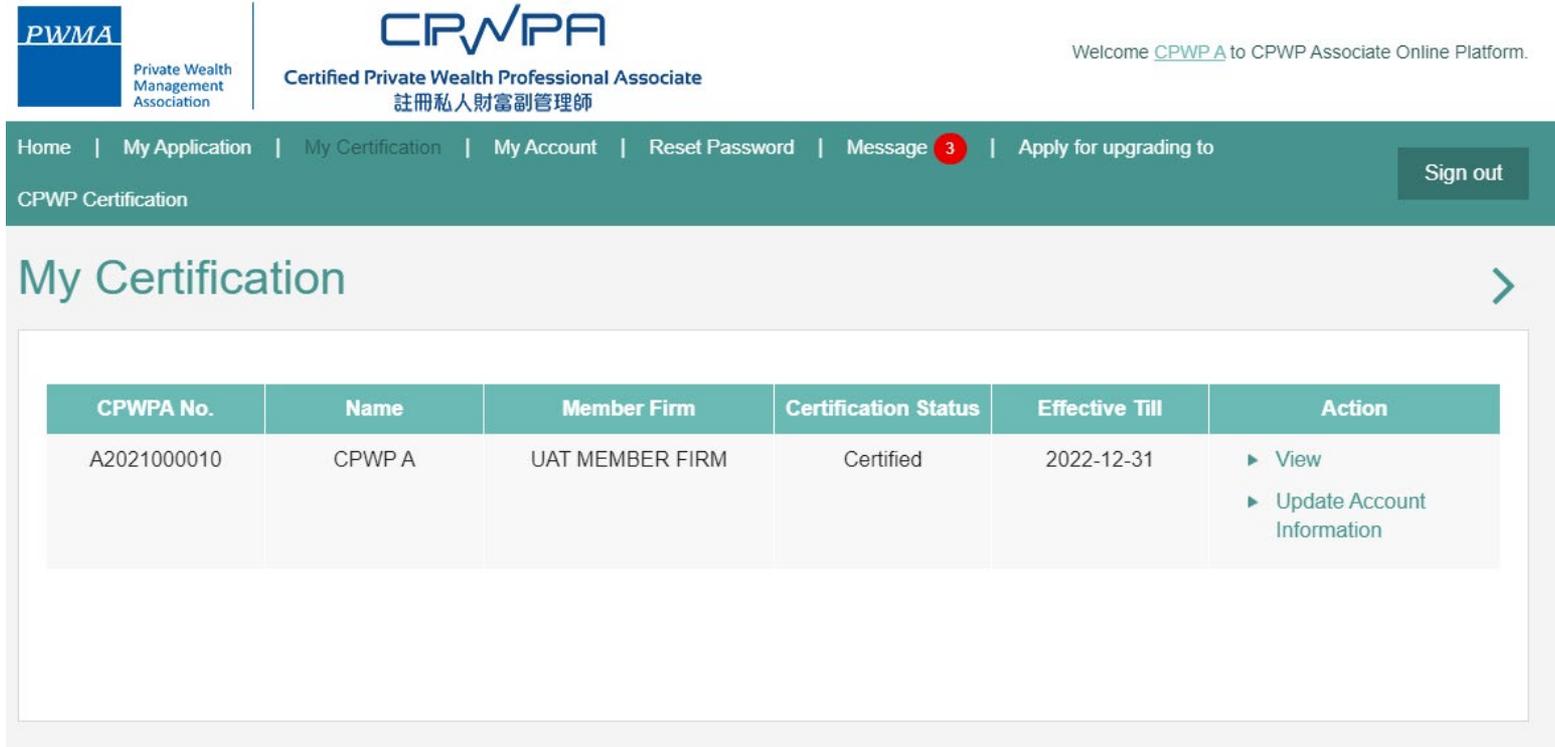


The screenshot shows the user interface of the CPWPA Associate Online Platform. At the top left is the PWMA logo and the text 'Private Wealth Management Association'. In the center is the CPWPA logo and the text 'Certified Private Wealth Professional Associate' and '註冊私人財富副管理師'. On the right, it says 'Welcome CPWPA to CPWP Associate Online Platform.' Below this is a navigation bar with links: Home | My Application | My Certification | My Account | Reset Password | Message 3 | Apply for upgrading to. A 'Sign out' button is on the right. Below the navigation bar is the heading 'My Certification' with a right-pointing arrow. The main content area contains a table with the following data:

CPWPA No.	Name	Member Firm	Certification Status	Effective Till	Action
A2021000010	CPWP A	UAT MEMBER FIRM	Certified	2022-12-31	<ul style="list-style-type: none"> ▶ View ▶ Update Account Information

4. CPWP Associate clicks [Upgrade to CPWP Certification]

- Applicant selects [My Certification] and clicks **[Apply for upgrading to CPWP Certification]** in the top menu bar



The screenshot shows the user interface of the CPWP Associate Online Platform. At the top left is the PWMA logo. In the center, the CPWPA logo is displayed with the text 'Certified Private Wealth Professional Associate' and '註冊私人財富副管理師'. On the right, a welcome message reads 'Welcome CPWPA to CPWP Associate Online Platform.' Below this is a navigation bar with links: Home, My Application, My Certification, My Account, Reset Password, Message (with a red notification bubble containing the number 3), and Apply for upgrading to. A 'Sign out' button is located on the right side of the navigation bar. The main content area is titled 'My Certification' and contains a table with the following data:

CPWPA No.	Name	Member Firm	Certification Status	Effective Till	Action
A2021000010	CPWP A	UAT MEMBER FIRM	Certified	2022-12-31	<ul style="list-style-type: none"> ▶ View ▶ Update Account Information

5. Confirm to click [Apply for upgrading to CPWP Certification]

- Applicant reviews [Note] before confirming [Apply for upgrading to CPWP Certification]

The screenshot displays the PWMA CPWP Certification application interface. A modal dialog box titled "Note" is centered on the screen, providing instructions and a confirmation step for upgrading to CPWP Certification. The background shows the user's profile and a table of their current CPWPA No. and Name.

Note

Thank you for your interest in applying for CPWP Certification.

To apply for upgrading to CPWP certification, please note that:

1. You must be currently employed by a PWMA member institution with at least 3 years' experience as a Relevant Practitioner within private wealth management institution(s) out of the most recent 5 years.
2. Your current employment and personal information must be updated in your CPWP Associate User Account.

I confirm that I have met the above criteria to apply for upgrading to CPWP Certification.

Buttons: Apply for upgrading to CPWP Certification, Back

CPWPA No. | **Name**

CPWPA No.	Name
A2021000010	CP

Action

- ▶ View
- ▶ Update Account Information

6. Confirm to click [Apply for upgrading to CPWP Certification]

- Applicant receives a prompt indicating that his/her data has been transferred from CPWPA platform to CPWP platform
- Applicant clicks the link in the prompt or **[Go to CPWP Online Platform]** button to complete the CPWP Certification application process

The screenshot shows the CPWP Certification application process confirmation page. At the top left, there are logos for PWMA (Private Wealth Management Association) and CPWPA (Certified Private Wealth Professional Associate / 註冊私人財富管理師). A welcome message reads: "Welcome CPWPA to CPWP Associate Online Platform." The navigation bar includes links for Home, My Application, My Certification, My Account, Reset Password, Message (with a red notification bubble containing the number 3), and Apply for upgrading to CPWP Certification. A Sign out button is located on the right. The main heading is "Apply for upgrading to CPWP Certification". A green notification bar states: "Your account information and login details have been transferred to your CPWP User Account." Below this, a large green checkmark is displayed next to the text: "By using your existing login details, please logon to your CPWP User Account to complete the CPWP Certification application process via <https://www.pwma-cpwponline.com/test/login>." At the bottom, there is a prominent green button labeled "Go to CPWP Online Platform" with a right-pointing arrow.

7. Applicant receives [Apply for upgrading to CPWP Certification] email

- Applicant also receives an email notification with the subject of [Apply for upgrading to CPWP Certification]

Dear CPWP A,

Thank you for applying to upgrade to CPWP Certification.

Your CPWP Associate account information and login details have been transferred to your CPWP User Account.

By using your existing login details, please logon to your CPWP User Account to complete the CPWP Certification application process via <https://www.pwma-cpwponline.com/login>.

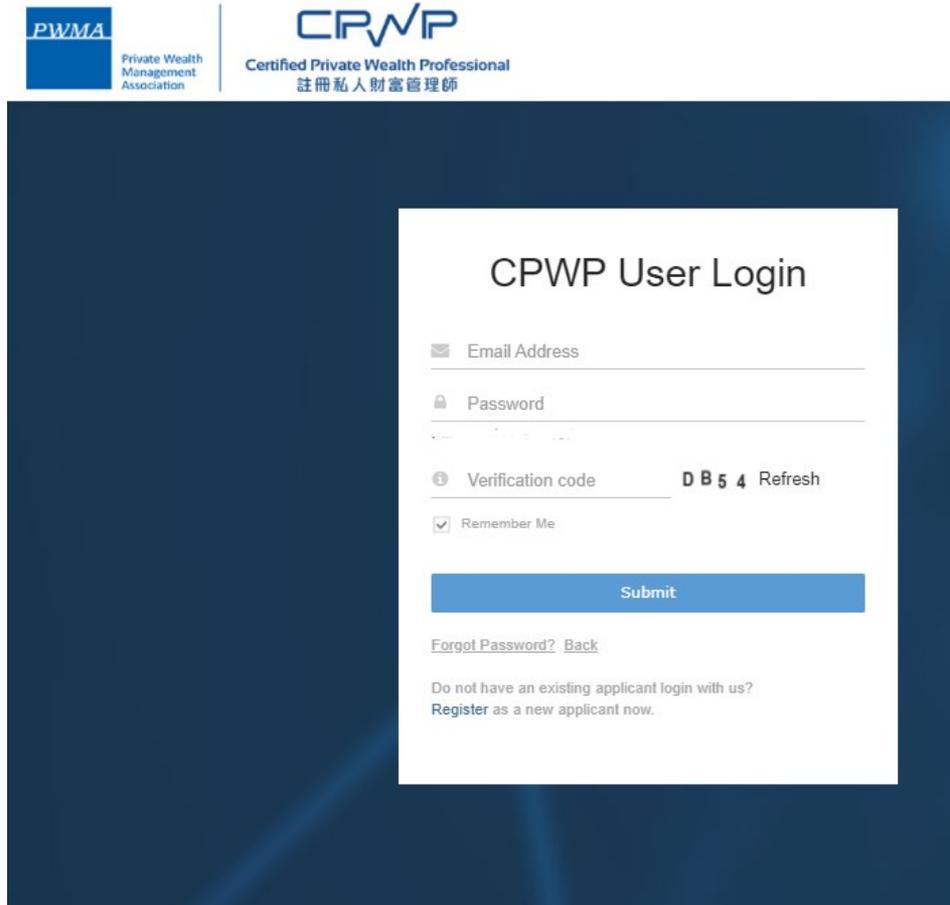
Should you have any questions, please do not hesitate to contact us at ECFonline@pwma.org.hk.

Yours sincerely,

Private Wealth Management Association Limited

8. CPWP Associate login to CPWP User platform

- Applicant login to [CPWP User Login] (blue platform) by inputting the same Login email and password as CPWP Associate User Account



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 **DB54** Refresh

Remember Me

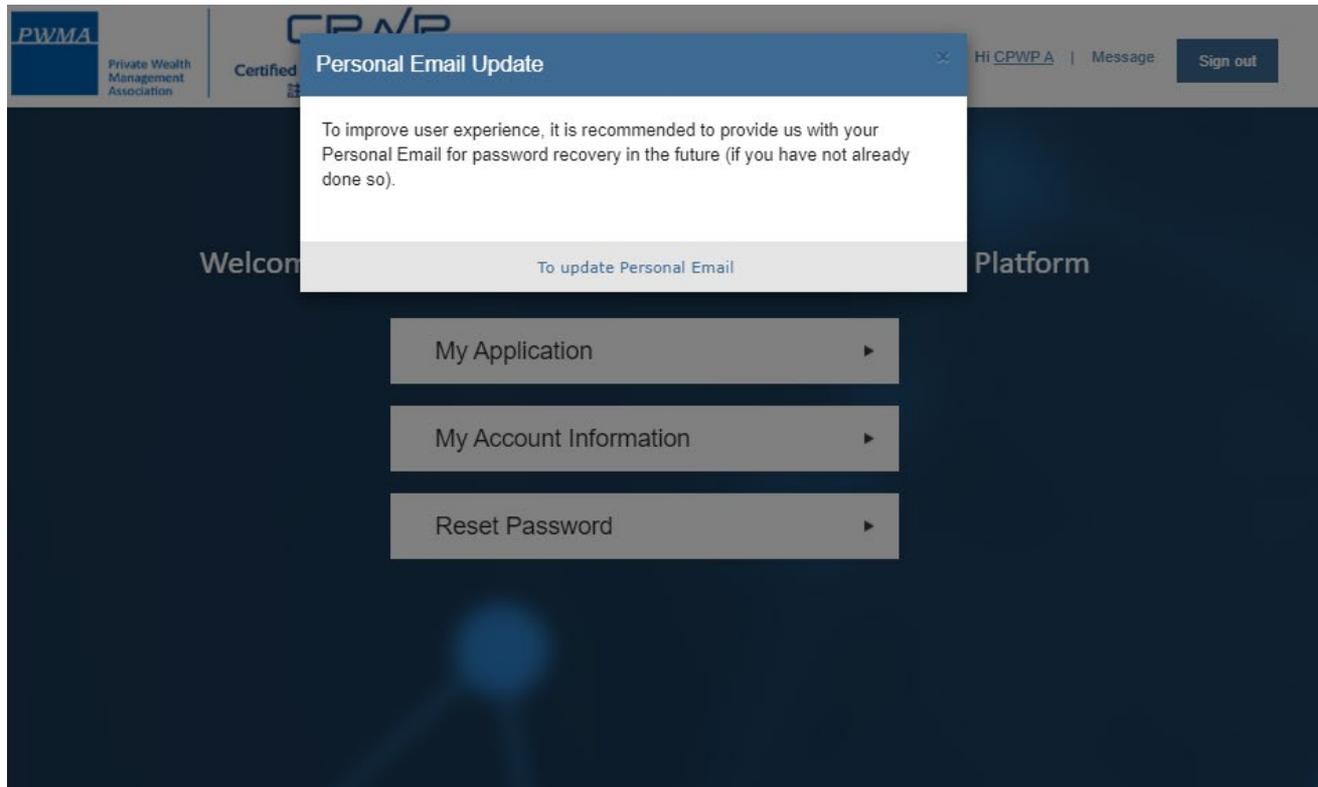
Submit

[Forgot Password? Back](#)

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

9. CPWP Associate updates Personal Email Address (if necessary)

- Applicant updates Personal Email Address (if necessary)
- If Email address is up-to-date, please click [x] to close the prompt



10. [Apply for CPWP] procedures

- Applicant clicks [My Application]

The screenshot shows the user interface of the CPWP Certification and Renewal Application Platform. At the top left is the PWMA logo (Private Wealth Management Association). In the center is the CPWP logo (Certified Private Wealth Professional / 註冊私人財富管理師). At the top right, it says "Hi CPWPA | Message" and a "Sign out" button. The main content area has a dark blue background with the text "Welcome to CPWP Certification and Renewal Application Platform". Below this, there are three white buttons with right-pointing arrows: "My Application", "My Account Information", and "Reset Password".

11. [Apply for CPWP] procedures

- Applicant clicks **[Apply for CPWP]** button

The screenshot shows the user interface of the CPWP certification application platform. At the top left is the PWMA logo (Private Wealth Management Association). In the center is the CPWP logo (Certified Private Wealth Professional / 註冊私人財富管理師). On the right, a welcome message reads: "Welcome CPWPA to CPWP certification application platform." Below the logos is a navigation bar with links: Home, My Application, My Account, Reset Password, Message, and a Sign out button. The main content area is titled "My Application" and contains a table with the following headers: Application No, Applicant Name, Date of Submission to PWMA, Application Status, and Action. The table body is empty, displaying "No records" in red text. Below the table is a prominent blue button labeled "Apply for CPWP".

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

My Application

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

[Apply for CPWP](#)

12. [Apply for CPWP] procedures

- Applicant reviews questions 1 to 4 under [Qualifications]

The screenshot displays the CPWP certification application platform interface. At the top, 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 navigation bar includes links for Home, My Application, My Account, Reset Password, Message, and Sign out. The main heading is 'Apply for CPWP'. Below this, a progress bar shows five steps: 1. Qualifications (active), 2. Personal Particulars, 3. Employment History, 4. Disciplinary Actions and Investigations, and 5. Acknowledgement. A blue banner prompts the user to 'Please answer the following questions'. Four questions are listed:

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?
UAT MEMBER FIRM
3. Do you hold below CPWP Associate Certification?
A2021000010
4. Have you accumulated 3 years of Private Wealth Management experience as a relevant practitioner in the recent 5 years?
 Yes No

At the bottom right, there are 'Save' and 'Next' buttons.

13. [Apply for CPWP] procedures

- Applicant reviews [Personal Particulars] data



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Welcome CPWP_A to CPWP certification application platform.

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

Apply for CPWP >

1 Qualifications

2 Personal Particulars

3 Employment History

4 Disciplinary Actions and Investigations

5 Acknowledgement

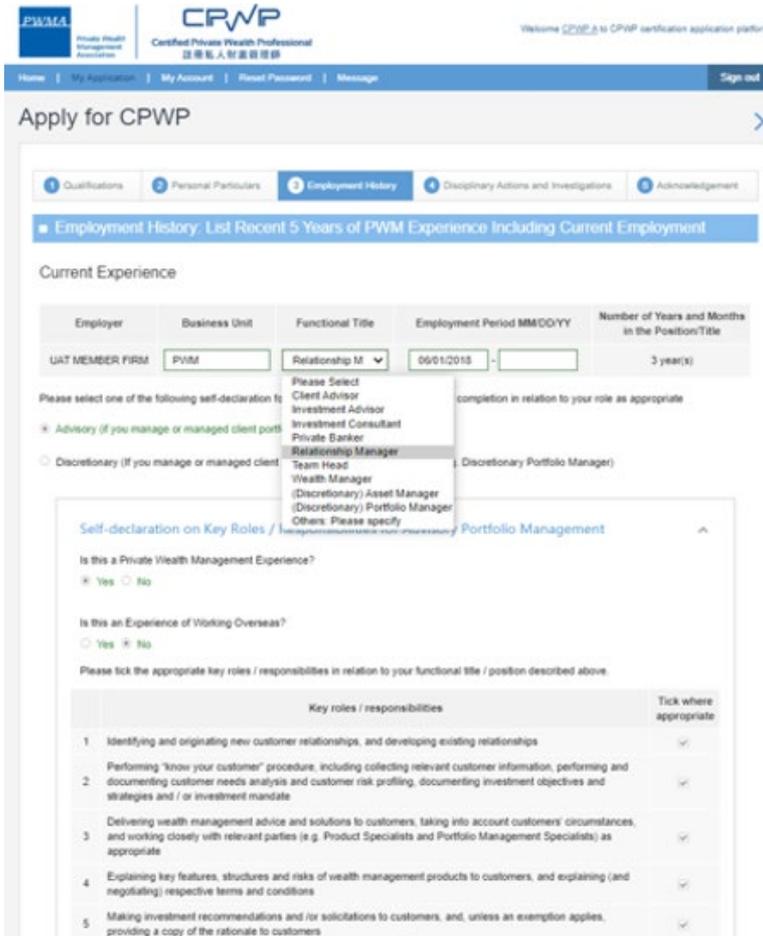
Complete CPWP Certification Application below (name should match your HKID/passport record)

Personal Particulars

Family Name *:	<input type="text" value="CPWP"/>		
Given Name *:	<input type="text" value="A"/>		
First 4 digits of HKID Card Number *:	<input type="text" value="1234"/>		
First 4 digits of Passport Number: (If no HKID Card)	<input type="text"/>		
Date of Birth *:	<input type="text" value="06/01"/>		
Work Email *:	<input type="text" value="CASE-1-TEST2@PWMA-CPWPONLINE.COM"/>		
Personal Email :	<input type="text"/>		
Contact No. *:	Office *	Mobile *	Home(Optional)
	<input type="text" value="22222222"/>	<input type="text" value="9222 9222"/>	<input type="text"/>
Correspondence Address *:	<input type="text" value="123 BANK STREET HK"/>		

14. [Apply for CPWP] procedures

- Applicant selects [Functional Title], and files [Employment History] and [Self declaration form] for current and previous experience



Apply for CPWP

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
UAT MEMBER FIRM	PWM	Relationship M	06/01/2018 -	3 year(s)

Please select one of the following self-declaration forms 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

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 checked="" 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 checked="" 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 checked="" type="checkbox"/>
4 Explaining key features, structures and risks of wealth management products to customers, and explaining (and negotiating) respective terms and conditions	<input checked="" type="checkbox"/>
5 Making investment recommendations and / or solicitations to customers, and, unless an exemption applies, providing a copy of the rationale to customers	<input checked="" type="checkbox"/>

Previous Experience

Employer	Business Unit	Functional Title	Employment Period MM/DD/YY	Number of Years and Months in the Position/Title	Self-declared
		Please Select			<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 client portfolios on an advisory basis)
- Discretionary (if you manage or managed client portfolios on a discretionary basis e.g. Discretionary Portfolio Manager)

+ Add more employment history of your PWM experience

15. [Apply for CPWP] procedures

- Applicant selects appropriate answers under [Disciplinary Action and Investigation]

The screenshot displays the CPWP application platform interface. At the top, 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 navigation bar includes links for Home, My Application, My Account, Reset Password, Message, and Sign out. The main heading is 'Apply for CPWP'. Below this is a progress indicator with five steps: 1. Qualifications, 2. Personal Particulars, 3. Employment History, 4. Disciplinary Actions and Investigations (currently selected), and 5. Acknowledgement. The selected step is titled 'Disciplinary Actions and Investigations, Financial Status and Character'. A note states 'Required to answer by selecting Yes or No:'. Five questions are listed, each with radio button options for 'Yes' and '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

At the bottom of the form, there are three buttons: 'Save' with a checkmark, 'Previous' with a left arrow, and 'Next' with a right arrow.

16. [Apply for CPWP] procedures

- Applicant checks the box to confirm the content of [Acknowledgement and Declaration] before clicking [Submit]

The screenshot displays the CPWP application platform interface. At the top, 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 CPWPA to CPWP certification application platform." Below this is a navigation bar with links for Home, My Application, My Account, Reset Password, Message, and Sign out.

The main heading is "Apply for CPWP" with a right-pointing arrow. Below the heading is a progress indicator with five steps: 1 Qualifications, 2 Personal Particulars, 3 Employment History, 4 Disciplinary Actions and Investigations, and 5 Acknowledgement. Step 5 is currently selected and highlighted in blue.

The "Acknowledgement and Declaration (Applicant)" section contains a list of statements for the applicant to confirm:

- I declare that all information I have provided in this form is true and correct.
- I understand that under any circumstances, the submitted application is non-returnable.
- 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.

At the bottom of the form, there are three buttons: "Save" with a checkmark icon, "Previous" with a left-pointing arrow, and "Submit" with a right-pointing arrow.

17. [Apply for CPWP] procedures

- Applicant receives a prompt “Your application has been submitted successfully” for Member Firm’s verification

The screenshot displays the CPWP certification application platform interface. At the top left, the PWMA logo and the CPWP logo (Certified Private Wealth Professional) are visible. A navigation bar includes links for Home, My Application, My Account, Reset Password, and Message, along with a Sign out button. The main content area is titled "Apply for CPWP" and features a blue success message: "Your application has been submitted successfully". Below this, a text box contains the following information: "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." A "Back to Mainpage" button is located at the bottom of the message box.

18. Applicant receives CPWP Certification Result

- After approval granted by Accreditation and Exemption Committee
- Receive email “Granting of Certified Private Wealth Professional (“CPWP”) Certification (CPWP Certification No. : 2021000001)

Dear CPWP A,

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/test/certification_detail/) is hereby granted to you with expiry date till 31 December 2021.

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 number for any future correspondence with us.

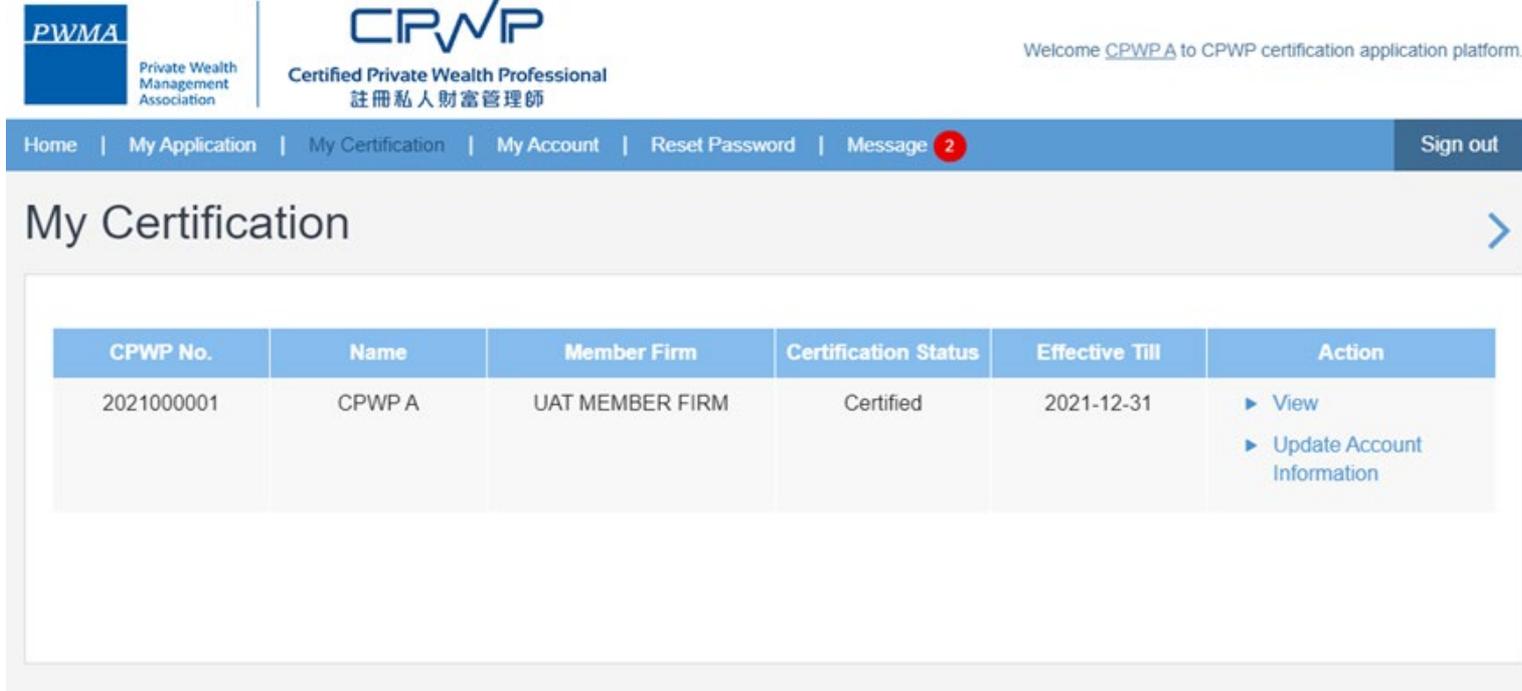
19. Applicant login to view the CPWP Certificate's Expire Date

- Applicant logs on to CPWP User platform to view the expiry date and e-Certificate from [My Certification]

The screenshot displays the CPWP User platform interface. At the top left is the PWMA logo (Private Wealth Management Association). In the center is the CPWP logo (Certified Private Wealth Professional / 註冊私人財富管理師). On the top right, the user is logged in as 'Hi CPWPA', has a 'Message' notification with a red circle containing the number '2', and a 'Sign out' button. The main content area has a dark blue background with the text 'Welcome to CPWP Certification and Renewal Application Platform'. Below this, there are four white buttons with right-pointing arrows: 'My Application', 'My Certification (Expire Date: 2021-12-31)', 'My Account Information', and 'Reset Password'.

20. Applicant to download the CPWP Electronic Certificate

- Applicant can view and download the electronic certificate by clicking “View”



The screenshot displays the user interface for the CPWP certification application platform. At the top left is the PWMA logo and the text 'Private Wealth Management Association'. In the center is the 'CPWP Certified Private Wealth Professional' logo with the Chinese text '註冊私人財富管理師'. On the right, a welcome message reads 'Welcome CPWPA to CPWP certification application platform.' Below the header is a navigation bar with links for Home, My Application, My Certification, My Account, Reset Password, and Message (with a red notification bubble containing the number 2), and a Sign out button. The main content area is titled 'My Certification' and contains a table with the following data:

CPWP No.	Name	Member Firm	Certification Status	Effective Till	Action
2021000001	CPWPA	UAT MEMBER FIRM	Certified	2021-12-31	<ul style="list-style-type: none"> ▶ View ▶ Update Account Information

21. Online CPWP Electronic Certificate is available

