

# PWMA Membership Application Form

## 1. Member Information

Name of Institution: \_\_\_\_\_

Business Registration No.: \_\_\_\_\_

Business Address: \_\_\_\_\_  
(including country)

Website URL: \_\_\_\_\_

## 2. Type of Business

<input type="checkbox"/>	a) Private Wealth Management (PWM) Institution* ( <i>Private Bank (PB) or Authorised Institution with dedicated PB business providing banking, dealing, advisory or portfolio management services to PB clients</i> )
<input type="checkbox"/>	b) PWM Licensed Corporation* ( <i>provides dealing, advisory or asset/portfolio management services to PB clients</i> )
<input type="checkbox"/>	c) Other Licensed Corporations such as Asset Management
<input type="checkbox"/>	d) Consulting and/or Business Advisory services
<input type="checkbox"/>	e) Legal Services
<input type="checkbox"/>	f) Accountancy services
<input type="checkbox"/>	g) Trust services
<input type="checkbox"/>	h) Information and/or Technology Services
<input type="checkbox"/>	i) Education and/or Professional Training
<input type="checkbox"/>	j) Other (please describe below)

\* PWM Institution and PWM Licensed Corporation definition: <https://www.hkma.gov.hk/media/eng/doc/key-information/guidelines-and-circular/2021/20210714e1.pdf>

## 3. Business Information (please attach as separate page)

- I. Please provide a brief description of your organisation including its history, the number of staff, the nature of any products or services it provides, the types of clients it serves, the relationship it has with the private wealth management industry, and value of assets under management if relevant.
- II. If your business category is (a) or (b) above, please also provide details of the number of Relevant Practitioners within the Private Wealth Management (PWM) business in Hong Kong. For more information on Relevant Practitioners, please see: <https://www.pwma.org.hk/en/files/definition-of-relevant-practitioners/> [https://www.pwma.org.hk/en/ecf\\_faqs/how-does-one-determine-whether-the-individual-is-considered-as-a-relevant-practitioner-for-the-purpose-of-ecf/](https://www.pwma.org.hk/en/ecf_faqs/how-does-one-determine-whether-the-individual-is-considered-as-a-relevant-practitioner-for-the-purpose-of-ecf/)
- III. Please provide details of which regulatory authority oversees your business operations in Hong Kong and specify which licenses your organisation holds.
- IV. Please confirm if your organisation is currently under investigation by any regulatory authorities or has been subject to any disciplinary actions in the past three years? This declaration is required for PWMA's membership application and renewal process, therefore please notify us without delay should any future investigations or disciplinary actions arise.

# PWMA Membership Application Form

V. Please tell us more about your reasons for joining PWMA – please mark all that apply.

<input type="checkbox"/>	Policy & Governance	<input type="checkbox"/>	Corporate Branding & Marketing
<input type="checkbox"/>	Advocacy & Lobbying	<input type="checkbox"/>	Business Development Opportunities
<input type="checkbox"/>	Ecosystem & Community	<input type="checkbox"/>	Event Exposure & Sponsorship
<input type="checkbox"/>	Collaboration & Partnership	<input type="checkbox"/>	Speaker & Panel Opportunities
<input type="checkbox"/>	Knowledge & Education	<input type="checkbox"/>	Other (Please specify below)

VI. In addition to the above, please provide a brief explanation as to why your organisations is interested in joining the PWMA, and how you can contribute to the Association and the wealth management industry.

## 4. General Contact Information

Please provide details of the personnel designated as PWMA's direct key contact(s) for your firm:

Name: _____	Name: _____
Position: _____	Position: _____
Email: _____	Email: _____
Phone: _____	Phone: _____

## 5. CPWP Contact Information

For members whose business category is (a) or (b) above, please also provide details of personnel designated as key contacts in relation to CPWP including applications and renewals.

<https://www.pwma.org.hk/en/ecf/cpwp/>

Name: _____	Name: _____
Position: _____	Position: _____
Email: _____	Email: _____
Phone: _____	Phone: _____

# PWMA Membership Application Form

## 6. Declaration

We confirm the information provided above is correct and complete. On behalf of the Institution, we undertake to observe and abide by the rules, regulations, codes and guidelines of the Private Wealth Management Association for the time being in force and from time to time laid down by the Executive Board or the voting members of the PWMA.

We agree that the information provided in this application form will be used by the PWMA for the purposes of future correspondence and the Association's administration.

---

Authorised Signature

Name:  
Position:  
Date:

---

Authorised Signature

Name:  
Position:  
Date: