

# Guidelines for CPWP Certification

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## Requirement for CPWP Certification

1. Please refer to **Guidelines for Grandfathering** regarding CPWP certification for grandfathered Relevant Practitioners.
2. Relevant Practitioners who have less than 10 years of relevant work experience on or before 31 December 2014 are:
  - a) Required to pass Module 1 (Technical, Industry and Product Knowledge) and Module 2 (Ethics and Compliance) examination papers; **and**
  - b) Must be currently employed by a member institution with at least 3 years of work experience performing the prescribed functions and roles of a Relevant Practitioner within a private wealth management institution in the most recent 5 years. Please refer to Definition of Relevant Practitioners for examples of the prescribed functions and roles listed under "key roles and required competence".
3. The relevant experience is self-declared with verification from the Human Resources and /or respective relevant department of the concerned PWM institution(s).
4. Please complete the **Online Application for CPWP Certification** and upload the necessary supporting documents (e.g. employment reference letter, official examination results of Module 1 and/or Module 2 etc.) via the CPWP Online Platform. Upon verification by a member institution and receipt of application fee, the application will be submitted to PWMA.
5. The result of each examination paper for both Module 1 and Module 2 is only valid for 5 years (counting from the date of the examination) for the purpose of applying for CPWP certification.

Application for CPWP certification should be received by PWMA not later than 3 months from the end of the validity period of the examination result. For illustrations of validity period of examination results for applying for CPWP certification, please refer to the FAQ (<http://www.pwma.org.hk/index.php/Ecf/faq>).