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- b) The Corporate Investor Participant certifies that it is a resident for tax purposes in the jurisdiction(s) as indicated in the table below and it hereby provides its Taxpayer Identification Number or the functional equivalent thereof (“TIN”) for each jurisdiction indicated.
 公司投資者戶口持有人聲明及保證其為下方列表列出居留司法管轄區之稅務居民並特此提供所列每個居留司法管轄區的稅務編號或具有等同功能的識別編號(“稅務編號”)。

Notes to completing the table below:

填寫下方列表時注意:

- Please indicate all jurisdictions of residence for tax purposes (including the Hong Kong Special Administration Region of the People’s Republic of China (“Hong Kong”) where applicable). If space provided below is insufficient, continue on additional sheet(s). If the Corporate Investor Participant is not a resident for tax purposes in any jurisdiction (e.g. it is fiscally transparent), please indicate the jurisdiction in which the Corporate Investor Participant’s place of effective management is situated.
 請提供所有作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。如下方空位不夠應用,可另紙填寫。如公司投資者戶口持有人並非任何居留司法管轄區的稅務居民(例如:它是財政透明實體),請填寫實際管理機構所在的司法管轄區。
- If the Corporate Investor Participant is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Business Registration Number.
 如公司投資者戶口持有人為香港的稅務居民,稅務編號是其香港商業登記號碼。
- Please note that Hong Kong, the Macau Special Administrative Region of the People’s Republic of China, the People’s Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.
 請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區。
- If you have any questions about your jurisdiction(s) of residence for tax purposes, or how to complete the table below or other parts of this Self-Certification Form, please contact your tax advisor.
 如閣下有關於貴作為稅務居民的居留司法管轄區,或如何填寫下方列表的疑問,請向貴稅務顧問諮詢。
- If a TIN is not provided, please select one of the reasons below:
 Reason A – The jurisdiction does not issue TINs to its residents.
 Reason B – The Corporate Investor Participant is unable to obtain a TIN. Please provide explanation in the table below.
 Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.
 如沒有提供稅務編號,請選擇以下一個理由:
 理由A – 此居留司法管轄區並沒有向其居民發出稅務編號。
 理由B – 公司投資者戶口持有人不能取得稅務編號。請在下方列表提供解釋。
 理由C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Corporate Investor Participant 公司投資者戶口持有人作為稅務居民的居留司法管轄區	TIN of Corporate Investor Participant 公司投資者戶口持有人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號,填寫理由A、B或C	Explanation if Reason B is selected 如選取理由B,解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 2: Identification of Controlling Person(s) (Complete this part if the Corporate Investor Participant is a Passive NFE)

第二部:識別公司投資者戶口持有人的控權人(填寫此部如公司投資者戶口持有人為被動非財務實體)

The Corporate Investor Participant certifies that the names (last name in capital letters, then first name; both in English) of all of its controlling person(s) are indicated in the table below.

公司投資者戶口持有人聲明及保證其所有控權人的姓名(大楷英文姓氏在前,英文名字在後)已在此下方列表列出。

Notes to completing the table below and Part 3 of this Self-Certification Form:

填寫下方列表和此表格第三部時注意:

- If no natural person exercises control over the Corporate Investor Participant and the Corporate Investor Participant is a legal person, the controlling person will be the individual holding the position of senior managing official.
 就公司投資者戶口持有人,如沒有自然人行使控制權並且公司投資者戶口持有人為法人,控權人會是高級管理人員。
- For each controlling person in the table below, please complete Part 3 of this Self-Certification Form. If there is more than one controlling person, please continue on additional copies of the next page of this Self-Certification Form and submit them together with this Self-Certification Form.
 請為下方列表的每位控權人填寫此表格第三部。如多於一位控權人,請另外填寫下頁的副本並和此表格一起提交。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 3: AEOI Information Provided by Corporate Investor Participant on Each Controlling Person

(Complete this part if the Corporate Investor Participant is a Passive NFE)

第三部：公司投資者戶口持有人提供的每位控權人 AEOI 資料(填寫此部如公司投資者戶口持有人為被動非財務實體)

Name of Controlling Person: _____
 控權人姓名 (Last name in capital letters, then first name; both in English)
 (大楷英文姓氏在前，英文名字在後)

Current Residence Address of Controlling Person: _____
 控權人現時住址

Date of Birth (DD-MM-YYYY): _____
 出生日期(日日-月月-年年)

(Address, city/town and country) (地址，城市與國家)

a) The Corporate Investor Participant certifies that the table below indicates all of the jurisdiction(s) of residence for tax purposes (including Hong Kong where applicable) of the controlling person and the controlling person's TIN for each jurisdiction indicated.
 公司投資者戶口持有人聲明及保證下方列表列出控權人所有作為稅務居民的居留司法管轄區(包括香港如適用)及所列每個居留司法管轄區發給控權人的稅務編號。

Notes to completing the table below:
 填寫下方列表時注意:

- If the controlling person is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).
 如控權人為香港的稅務居民，稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。
- If a TIN of the controlling person is not provided, please select one of the reasons below:
 Reason A – The jurisdiction does not issue TINs to its residents.
 Reason B – The controlling person is unable to obtain a TIN. Please provide explanation in the table below.
 Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.
 如沒有提供控權人的稅務編號，請選擇以下一個理由：
 理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。
 理由 B – 控權人不能取得稅務編號。請在下方列表提供解釋。
 理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要稅務編號持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Controlling Person 控權人作為稅務居民的居留司法管轄區	TIN of Controlling Person 控權人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號，填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B，解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

b) The Corporate Investor Participant certifies that the controlling person is the Type of Controlling Person indicated in the table below (select only one box). 公司投資者戶口持有人聲明及保證控權人屬於以下選擇的控權人類別(請只選擇以下其中一方格)。

Type of Entity 實體類別	Type of Controlling Person 控權人類別
Legal Person 法人	<input type="checkbox"/> Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人(即擁有不少於百分之二十五的已發行股本)
	<input type="checkbox"/> Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於百分之二十五的表決權)
	<input type="checkbox"/> Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人
Trust 信託	<input type="checkbox"/> Settlor 財產授予人
	<input type="checkbox"/> Trustee 受託人
	<input type="checkbox"/> Protector 保護人
	<input type="checkbox"/> Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員
	<input type="checkbox"/> Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人)
Legal Arrangement other than Trust 除信託以外的法律安排	<input type="checkbox"/> Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人
	<input type="checkbox"/> Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他(例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人)

Part 4: Signature, Declarations And Consent For Disclosure

第四部：簽署，聲明及同意披露

The Corporate Investor Participant acknowledges and agrees that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of AEOI, including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and such information (including the personal data in connection with the controlling person(s) of the Corporate Investor Participant provided herein (collectively the “Personal Information”)) may be reported by HKSCC or HKEX to the Hong Kong Inland Revenue Department (the “IRD”) for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the “Relevant Authorities”) in which the Corporate Investor Participant (and/or any controlling person) is a resident for tax purposes. Any references to controlling person(s) in this Part 4 of this Self-Certification Form shall include any person(s) listed in Part 2 of this Self-Certification Form. Any additional cop(ies) of Part 3 of this Self-Certification Form that may be submitted by the Corporate Investor Participant to HKSCC and HKEX shall be treated for purposes of this Part 4 as an integral part of this Self-Certification Form.

公司投資者戶口持有人知悉及同意，本表格所載資料由結算公司和香港交易所收集並可備存作 AEOI (包括香港法例第 112 章《稅務條例》第 50B(3) 條) 用途，及可被結算公司或香港交易所把該等資料 (包括本表格所提供相關公司投資者戶口持有人的任何控權人的個人資料 (統稱“個人資料”)) 向香港稅務局 (“稅務局”) 申報，從而把資料轉交到公司投資者戶口持有人 (和/或任何控權人) 作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關 (“相關當局”)。每當在本表格的第四部提及控權人，會包括在本表格第二部所列出的人士。當施行此第四部時，任何公司投資者戶口持有人提交予結算公司和香港交易所的本表格第三部副本，會被視為本表格整體的一部分。

The Corporate Investor Participant hereby expressly gives its consent to the disclosure, use and making available by HKSCC and HKEX of information (including the Personal Information) on this Self-Certification Form as well as information relating to or derived from the Corporate Investor Participant’s account maintained with HKSCC in its capacity as an Investor Participant, to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the “Tax Information Exchange Framework” as defined in the Terms and Conditions for Investor Participants, General Rules of CCASS and the CCASS Operational Procedures.

公司投資者戶口持有人明確表示同意結算公司及香港交易所因或有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的《稅務資料交換框架》內的其它課題不時向稅務局和/或相關當局披露，使用和提供本表格所載資料 (包括個人資料) 和/或與公司投資者戶口持有人以投資者戶口持有人身份持有的戶口有關或從中所獲得的資料。

The Corporate Investor Participant further certifies that it has notified and has obtained the consent from the controlling person(s) with respect to the disclosure, use and making available by HKSCC and HKEX of the Personal Information to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the Tax Information Exchange Framework.

公司投資者戶口持有人亦聲明及保證公司投資者戶口持有人已通知每一個控權人及已獲得每一個控權人的同意，有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的稅務資料交換框架，結算公司及香港交易所可將個人資料不時披露、使用和向稅務局和/或相關當局提供。

The Corporate Investor Participant understands, and has notified and obtained the consent from the controlling person(s), that the Personal Information will continue to be made available to the IRD and/or the Relevant Authorities until such time as HKSCC or HKEX has received the Corporate Investor Participant’s written notification of revocation of the Corporate Investor Participant’s consent. The Corporate Investor Participant further understands, and has notified and obtained the consent from the controlling person(s), that following withdrawal of the Corporate Investor Participant’s consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD and/or the Relevant Authorities to which it was previously disclosed for the purposes of, or in connection with, AEOI and/or any other Tax Information Exchange Framework matters.

公司投資者戶口持有人明白和已通知每一個控權人及已獲得每一個控權人的同意，個人資料將可能被提供予稅務局和/或相關當局、直至公司投資者戶口持有人以書面形式通知結算公司或香港交易所撤銷有關同意。公司投資者戶口持有人亦明白和已通知每一個控權人及已獲得每一個控權人的同意，在撤銷有關同意前已因或有關 AEOI 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局和/或相關當局繼續查閱。

The Corporate Investor Participant certifies that it is the account holder (within the meaning of AEOI) of the account(s) to which this Self-Certification Form relates.

公司投資者戶口持有人聲明及保證，就與本表格所載所有相關的帳戶，公司投資者戶口持有人是按 AEOI 定義下的帳戶持有人。

The Corporate Investor Participant agrees that it will advise HKSCC and HKEX of any change in circumstances which (i) affects the Corporate Investor Participant's jurisdiction(s) of residence for tax purposes or its AEOI entity type (and/or, where relevant to this Self-Certification Form, the identity of its controlling person(s) and/or the jurisdiction(s) of residence for tax purposes of any such controlling person(s)), or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete. The Corporate Investor Participant agrees that it will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

公司投資者戶口持有人承諾，如情況有所改變，以致影響本表格的(i)公司投資者戶口持有人作為稅務居民的居留司法管轄區或其 AEOI 類別(和/或與本表格所載有關的控權人的身份和/或任何該控權人作為稅務居民的居留司法管轄區)，或(ii)引致本表格所載的資料不正確或不完備，公司投資者戶口持有人會通知結算公司和香港交易所，並會在情況發生改變後 30 日內，向結算公司和香港交易所提交一份已適當更新的自我證明表格。

The Corporate Investor Participant declares that the information given and statements in this Self-Certification Form are, to the best of the Corporate Investor Participant's knowledge and belief, true, correct and complete.

公司投資者戶口持有人在此聲明已閱讀明白此自我證明表格內所有之內容。同時聲明盡公司投資者戶口持有人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signed by the Corporate Investor Participant :

公司投資者戶口持有人簽署：

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Signature of individual authorised to sign for Corporate Investor Participant (with company chop, ONLY applicable if it forms part of your signing instruction)

公司投資者戶口持有人授權人簽名(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

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Print name of authorised signatory

授權人姓名

Date (DD-MM-YYYY)

日期(日日-月月-年年年年)

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Law of Hong Kong) if any person, in making a self-certification relating to AEOI, makes a statement that is misleading, false or incorrect in a material particular and knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e., \$10,000).

警告：根據香港法例第 112 章《稅務條例》第 80(2E)條，如任何人在自我證明表格作出關於 AEOI 自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級(即\$10,000)罰款。

This Self-Certification Form is written in English with a translation in Chinese. In case of any inconsistency, the English version shall prevail.

此自我證明表格的中英文本內容如有歧異，當以英文本為準。

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Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative,

telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F, Two Exchange Square
8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK

