

## Exemptions granted under section 309(2) of the Securities and Futures Ordinance (Cap. 571)

Exemptions granted in respect of corporations issuing securities listed on The Stock Exchange of Hong Kong Limited are set out below. These exemptions are granted to the corporations, their substantial shareholders, directors and chief executives from compliance with Part XV of the Securities and Futures Ordinance in respect of the obligations that derive from the listing by these corporations of their securities on the Stock Exchange of Hong Kong. This list is updated at the beginning of every month.

Guidelines setting out the basis on which exemptions are granted under s.309 of the SFO are published on the Part XV page of the SFC's web site. The exemptions available fall into 3 categories, which are described in the Guidelines.

### Category 1 exemptions for corporations whose shares are listed on the Stock Exchange of Hong Kong Limited and on another stock exchange

Name	SEHK stock codes
1. Manulife Financial Corporation	0945
2. Standard Chartered PLC	2888
3. SouthGobi Energy Resources Ltd	1878
4. Prudential plc	2378

### Category 2 exemptions for corporations none of whose shares are listed on the Stock Exchange of Hong Kong Limited

Category 2 exemptions for corporations (none of whose shares are listed on the Stock Exchange of Hong Kong Limited) in respect of their structured products listed on The Stock Exchange of Hong Kong Limited

Name	Period of exemption	
	Commencing on	Ending on
1. ABN AMRO Bank N.V.	21 December, 2007	20 December, 2010
2. BOCI Aisa Limited	21 December, 2007	20 December, 2010
3. Barclays Bank PLC	21 December, 2007	20 December, 2010
4. BNP Paribas Arbitrage Issuance B.V.	21 December, 2007	20 December, 2010
5. Calyon Financial Products (Guernsey) Limited	21 December, 2007	20 December, 2008
6. Citigroup Global Markets Holdings Inc.	15 June, 2009	14 June, 2011
7. Coöperatieve Centrale Raiffeisen-Boerenleenbank B.A.	21 December, 2007	20 December, 2010
8. Credit Suisse	21 December, 2007	20 December, 2010
9. DBS Bank Ltd	21 December, 2007	20 December, 2010
10. Deutsche Bank AG	21 December, 2007	20 December, 2010
11. Fortis Bank S.A./N.V.	21 December, 2007	20 December, 2009
12. Goldman Sachs Structured Products (Asia) Limited	21 December, 2007	20 December, 2010
13. J.P. Morgan Structured Products B.V.	21 December, 2007	20 December, 2010
14. KBC Financial Products International Limited	21 December, 2007	20 December, 2010
15. Macquarie Bank Limited	1 January, 2008	31 December, 2010
16. Nomura International plc	10 December, 2009	9 December, 2010
17. SGA Société Générale Acceptance N.V.	21 December, 2007	20 December, 2010
18. Standard Bank Plc	21 December, 2007	20 December, 2010
19. Standard Chartered Bank	28 June, 2010	27 June, 2011
20. The Hongkong and Shanghai Banking Corporation Ltd	21 December, 2007	20 December, 2010
21. UBS AG	21 December, 2007	20 December, 2010

#### 1. BNP Paribas Arbitrage Issuance B.V. - stock codes listed below

3972	6552					
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#### 2. Calyon Financial Products (Guernsey) Limited (formerly Credit Lyonnais Financial Products (Guernsey) Limited) - stock codes listed below

2166							
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<b>3. Deutsche Bank AG - stock codes listed below</b>							
1027	1982	6025	6026	6081	9189		

<b>4. Fortis Bank S.A./N.V. - stock codes listed below</b>							
5939	5940						

<b>5. J.P. Morgan Structured Products B.V. - stock codes listed below</b>							
1408	1409	1410	1803	4435	4453		

<b>6. KBC Financial Products International Limited - stock codes listed below</b>							
1438	3327	4474					

<b>7. Macquarie Bank Limited - stock codes listed below</b>							
4971							

<b>8. SGA Société Générale Acceptance N.V. - stock codes listed below</b>							
2691							

<b>9. Standard Bank Plc - stock codes listed below</b>							
1144							

<b>10. UBS AG - stock codes listed below</b>							
1427	1872	3761	3853	6145	7636	7637	9091
9097	9318	9625	9655				

Category 2 exemptions for corporations (none of whose shares are listed on the Stock Exchange of Hong Kong Limited) in respect of their debt securities issued under debt programmes and listed on The Stock Exchange of Hong Kong Limited

*Exemptions granted in respect of a programme*

<b>1. Henson Finance Limited</b>	<i>US\$500 million fixed interest coupon guaranteed notes</i>
<b>2. HKCG (Finance) Limited</b>	<i>US\$1,000,000,000 Medium Term Note Programme</i>
<b>3. Kowloon-Canton Railway Corporation</b>	<i>US\$3,000,000,000 Medium Term Note Programme</i>
<b>4. Swire Pacific MTN Financing Limited</b>	<i>US\$1,500,000,000 Medium Term Note Programme</i>
<b>5. The Hong Kong Mortgage Corporation Limited</b>	<i>US\$3,000,000,000 Medium Term Note Programme</i>
<b>6. The Link Finance (Cayman) 2009 Limited</b>	<i>US\$1 billion Guaranteed Euro Medium Term Note Programme</i>
<b>7. Urban Renewal Authority</b>	<i>US\$1 billion Medium Term Note Programme</i>

*Exemptions granted in respect of a particular issue of debt security*

	<b>stock codes</b>
<b>1. 1Malaysia Sukuk Global Berhad Trust Certificates 2015</b>	4321
<b>2. Bank of China (Hong Kong) Limited</b>	4316
<b>3. Cherating Capital Ltd</b>	1519
<b>4. CLP Power Hong Kong Financing Ltd.</b>	4306
<b>5. CLP Power Hong Kong Financing Ltd.</b>	4318
<b>6. Fita International Ltd.</b>	4315
<b>7. Gainlead International Limited</b>	1513
<b>8. Henson Finance Limited</b>	4312
<b>9. HKCG (Finance) Limited</b>	4303
<b>10. Hutchison Whampoa International (03/13) Limited</b>	2565
<b>11. PTT Public Company Limited</b>	2527
<b>12. Paka Capital Ltd</b>	1608
<b>13. Rafflesia Capital Limited</b>	1504
<b>14. Swire Pacific MTN Financing Limited</b>	2543
<b>15. Swire Pacific MTN Financing Limited</b>	2544
<b>16. The Hongkong and Shanghai Banking Corporation Limited</b>	2511
<b>17. The Hongkong and Shanghai Banking Corporation Limited</b>	2534

18. The Hongkong and Shanghai Banking Corporation Limited	2550
19. The Hongkong and Shanghai Banking Corporation Limited	2558
20. The Hongkong and Shanghai Banking Corporation Limited	4304
21. TGB (SPV) Ltd	2518

**Category 3 exemptions for open-ended CIS in corporate form whose shares are listed on The Stock Exchange of Hong Kong Limited**

	<b>stock codes</b>
1. db x-trackers FTSE Vietnam ETF	3087
2. db x-trackers FTSE/Xinhua China 25 ETF	3007
3. db x-trackers MSCI Brazil TRN Index ETF	3048
4. db x-trackers MSCI EM Asia TRN Index ETF	3035
5. db x-trackers MSCI Emerging Markets TRN Index ETF	3009
6. db x-trackers MSCI Korea TRN Index ETF	2848
7. db x-trackers MSCI Pacific ex-Japan TRN Index ETF	3043
8. db x-trackers MSCI Russia Capped Index ETF	3027
9. db x-trackers MSCI Taiwan TRN Index ETF	3036
10. db x-trackers MSCI USA TRN Index ETF	3020
11. db x-trackers MSCI World TRN Index ETF	3019
12. db x-trackers S&P CNX NIFTY ETF	3015
13. db x-trackers US Dollar Money Market ETF	3011
14. db x-trackers CSI300 Banks Index ETF	3061
15. db x-trackers CSI300 Consumer Discretionary Index ETF	3025
16. db x-trackers CSI300 Energy Index ETF	3017
17. db x-trackers CSI300 Financials Index ETF	2844
18. db x-trackers CSI300 Health Care Index ETF	3057
19. db x-trackers CSI300 Index ETF	3049
20. db x-trackers CSI300 Industrials Index ETF	3005
21. db x-trackers CSI300 Materials Index ETF	3062
22. db x-trackers CSI300 Real Estate Index ETF	2816
23. db x-trackers CSI300 Transportation Index ETF	3063
24. db x-trackers CSI300 Utilities Index ETF	3052