

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

Updated as at
30 Jun 2017

Exemptions granted in respect of (i) corporations issuing securities listed on The Stock Exchange of Hong Kong Limited and (ii) other persons are set out below. These exemptions are granted to (in respect of (i)) the corporations, their substantial shareholders, directors and chief executives and (in respect of (ii)) other persons, from compliance with Part XV of the Securities and Futures Ordinance in respect of the obligations that derive from their interests in the securities listed on The Stock Exchange of Hong Kong Limited. 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 website. The exemptions available fall into 5 categories, which are described in the Guidelines.

Category 1 partial 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	(and 4305, 5348 and 5890)
3 Prudential plc	2378	
4 Glencore plc	0805	
5 KAZ Minerals PLC	0847	
6 Coach, Inc. - RS	6388	
7 Fast Retailing Co., Ltd. - DR	6288	(only applies to Fast Retailing Co., Ltd and its substantial shareholders)

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 (Note 1)	
	Commencing on	Ending on
1 BOCI Aisa Limited	21 December 2007	20 December 2017
2 BNP Paribas Arbitrage Issuance B.V.	21 December 2007	20 December 2017
3 Citigroup Global Markets Holdings Inc. (Note 2)	15 June 2009	14 June 2015
4 Credit Suisse AG	21 December 2007	20 December 2017
5 Daiwa Capital Markets Hong Kong Limited (Note 3)	20 July 2010	19 July 2016
6 Goldman Sachs Structured Products (Asia) Limited	21 December 2007	20 December 2017
7 Haitong International Securities Company Limited (Note 4)	16 March 2017	15 March 2018
8 J.P. Morgan Structured Products B.V.	21 December 2007	20 December 2017
9 Macquarie Bank Limited	1 January 2008	31 December 2017
10 Nomura International plc (Note 5)	10 December 2009	9 December 2015
11 SG Issuer	1 April 2016	31 March 2018
12 SGA Société Générale Acceptance N.V. (Note 6)	21 December 2007	20 December 2016
13 Standard Chartered Bank (Note 7)	28 June 2010	27 June 2016
14 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2017
15 UBS AG	21 December 2007	20 December 2017

Note 1: Exemptions for these corporations are granted for periods of 12 months (or less) and exempt structured products issued and listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.

Note 2: The exemption granted to Citigroup Global Markets Holdings Inc. expired on 14 June 2015. Previous exemptions granted to Citigroup Global Markets Holdings Inc. continue to apply with respect to all structured products issued by Citigroup Global Markets Holdings Inc. and listed on The Stock Exchange of Hong Kong Limited between (i) 21 December 2007 and 20 December 2008 and (ii) 15 June 2009 and 14 June 2015.

Note 3: The exemption granted to Daiwa Capital Markets Hong Kong Limited expired on 19 July 2016. Previous exemptions granted to Daiwa Capital Markets Hong Kong Limited continue to apply with respect to all structured products issued by Daiwa Capital Markets Hong Kong Limited and listed on The Stock Exchange of Hong Kong Limited between 20 July 2010 and 19 July 2016.

Note 4: Previous exemption granted to Haitong International Securities Company Limited expired on 6 March 2017 but continues to apply with respect to all structured products issued by Haitong International Securities Company Limited and listed on The Stock Exchange of Hong Kong Limited between 7 March 2016 and 6 March 2017.

Note 5: The exemption granted to Nomura International plc expired on 9 December 2015. Previous exemptions granted to Nomura International plc continue to apply with respect to all structured products issued by Nomura International plc and listed on The Stock Exchange of Hong Kong Limited between 10 December 2009 and 9 December 2015.

Note 6: The exemption granted to SGA Société Générale Acceptance N.V. expired on 20 December 2016. Previous exemptions granted to SGA Société Générale Acceptance N.V. continue to apply with respect to all structured products issued by SGA Société Générale Acceptance N.V. and listed on The Stock Exchange of Hong Kong Limited between 21 December 2007 and 20 December 2016.

Note 7: The exemption granted to Standard Chartered Bank expired on 27 June 2016. Previous exemptions granted to Standard Chartered Bank continue to apply with respect to all structured products issued by Standard Chartered Bank and listed on The Stock Exchange of Hong Kong Limited between 28 June 2010 and 27 June 2016.

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

Name	Programme
1 AirAsia Global Notes Limited	US\$1,000,000,000 Multicurrency Medium Term Note Programme
2 Amipeace Ltd.	HK\$10,000,000,000 Medium Term Note Programme
3 AMTD Group Company Limited	U.S.\$500,000,000 Medium Term Note Programme
4 AVIC International Leasing Co., Ltd.	US\$500,000,000 Medium Term Note Programme
5 Azure Nova International Finance Limited	U.S.\$5,500,000,000 Medium Term Note Programme
6 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme

7	Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programm
8	Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
9	Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
10	Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
11	CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
12	CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
13	Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
14	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
15	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
16	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
17	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
18	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
19	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
20	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
21	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
22	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
23	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
24	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
25	CK Property Finance (MTN) Limited	US\$3,000,000,000 Euro Medium Term Note Programme
26	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
27	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
28	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
29	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
30	DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited	U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme
31	Eastern Creation II Investment Holdings Ltd.	US\$2,000,000,000 Guaranteed Euro Medium Term Note Programme
32	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
33	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
34	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
35	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
36	HLP Finance Limited	US\$3 billion Medium Term Note Programme
37	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
38	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
39	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
40	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
41	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
42	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
43	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
44	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
45	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
46	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
47	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
48	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
49	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
50	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
51	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
52	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
53	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
54	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
55	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
56	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
57	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
58	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
59	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
60	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
61	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
62	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
63	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
64	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
65	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
66	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
67	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
68	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
69	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
70	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
71	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
72	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
73	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
74	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd., Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$5 billion Medium Term Note Programme
75	Wheelock Finance (BVI) Limited, Wheelock Finance (No.1) Limited, Wheelock Finance Limited and Wheelock MTN (Singapore) Pte. Ltd.	US\$3 billion Medium Term Note Programme
76	Yuexiu REIT MTN Company Limited	US\$1,000,000,000 Medium Term Note Programme

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

Name	SEHK Stock codes
1 ABCL Glory Capital Limited	5677
2 Advance Wisdom Investments Limited	5813
3 Airvessel Finance Holding Limited	5789
4 Alibaba Group Holding Limited	5840
5 Alibaba Group Holding Limited	5841
6 Alibaba Group Holding Limited	5842
7 Alibaba Group Holding Limited	5843
8 Alibaba Group Holding Limited	5844
9 Alibaba Group Holding Limited	5845
10 Amber Circle Funding Limited	4585
11 Amber Circle Funding Limited	4586
12 Amber Treasure Ventures Limited	5209
13 Anhui Transportation Holding Group (H.K.) Limited	5529
14 Asia Pacific Ports Development Company Limited	85711
15 Asia View Limited	5788
16 AVIC International Finance & Investment Limited	5965
17 AVIC International Finance & Investment Limited	5966
18 Axiata SPV1 (Labuan) Limited	4320
19 Azure Orbit III International Finance Limited	5620
20 Azure Orbit III International Finance Limited	5621
21 Azure Orbit International Finance Limited	5909
22 Bank of China (Hong Kong) Limited	4316
23 Baosteel Financing 2015 Pty Ltd	5866
24 Baosteel Hong Kong Investment Company Limited	5584
25 Bao-Trans Enterprises Limited	5877
26 Bao-Trans Enterprises Limited	6004
27 BCEG (HongKong) Company Limited	5532
28 Beijing Capital Polaris Investment Co. Ltd	5889
29 Beijing Enterprises Water Capital Management Limited	5938
30 Beijing Gas Singapore Capital Corporation	5213
31 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
32 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
33 Bestgain Real Estate Limited	5914
34 Blue Skyview Company Limited	5364
35 Bluestar Finance Holdings Limited	4550
36 Bluestar Finance Holdings Limited	4556
37 Bluestar Finance Holdings Limited	5599
38 Bohai General Capital Ltd	85995
39 Boom Up Investments Limited	5544
40 Bright Food Hong Kong Limited	5948
41 Bright Galaxy International Limited	5927
42 Cable and Wireless International Finance B.V.	1077
43 Cable and Wireless International Finance B.V.	1078
44 Caiyun International Investment Limited	5682
45 CALC Bond 1 Limited	5642
46 CALC Bond 2 Limited	4300
47 CALC Bond 3 Limited	5390
48 CALC Bond 3 Limited	5391
49 CCB Life Insurance Company Limited	5437
50 CCBL (Cayman) Corporation Limited	5548
51 CCCI Treasure Limited	5893
52 CDBL Funding 1	5849
53 CDBL Funding 1	5850
54 Central Plaza Development Ltd.	5919
55 Century Master Investment Co. Ltd.	5968
56 CGNPC International Limited	5519
57 Chalco Hong Kong Investment Company Limited	5727
58 Chalco Hong Kong Investment Company Limited	5920
59 Chalco Hong Kong Investment Company Limited	5985
60 Chalieco Hong Kong Corporation Limited	5321
61 Chalieco Hong Kong Corporation Limited	5702
62 Chang Development International Limited	5345
63 Changde Urban Construction and Investment Group Co., Ltd.	5328
64 Changsha Pilot Investment Holdings Co., Ltd.	5315
65 Charter Style International Limited	85993
66 Chengdu Xingcheng Investment Group Co., Ltd.	5314
67 Cheung Kong Bond Securities (02) Limited	4559
68 Cheung Kong Bond Securities (03) Limited	4595
69 China Cinda Finance (2014) Limited	5747
70 China Cinda Finance (2014) Limited	5748
71 China CITIC Bank International Limited	4594
72 China CITIC Bank International Limited	5728
73 China CITIC Bank International Limited	5992
74 China Clean Energy Development Limited	5568
75 China Development Bank Corporation	85904
76 China Development Bank Corporation	85905
77 China Development Bank Corporation	85933
78 China Development Bank Corporation	85934
79 China Energy Reserve and Chemicals Group Finance III Limited	5399
80 China Energy Reserve and Chemicals Group Holding Limited	5639
81 China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
82 China Energy Reserve and Chemicals Group Overseas Company Limited	5503

83	China Great Wall International Holdings II Limited	5533
84	China Great Wall International Holdings Limited	5802
85	China Merchants Finance Company Limited	4548
86	China Merchants Finance Company Limited	5554
87	China Merchants Finance Company Limited	5555
88	China Oceanwide International Financial Management Co., Ltd	5623
89	China Overseas Finance (Cayman) II Limited	4503
90	China Overseas Finance (Cayman) III Limited	5987
91	China Overseas Finance (Cayman) III Limited	5988
92	China Overseas Finance (Cayman) III Limited	5989
93	China Overseas Finance (Cayman) V Limited	4579
94	China Overseas Finance (Cayman) V Limited	4580
95	China Overseas Finance (Cayman) VI Limited	5745
96	China Overseas Finance (Cayman) VI Limited	5746
97	China Overseas Finance (Cayman) VI Limited	5760
98	China Overseas Finance Investment (Cayman) V Limited	5600
99	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
100	China Overseas Land International (Cayman) Limited	5541
101	China Railway Resources Huitung Limited	5904
102	China Railway XunJie Co., Limited	5692
103	China Resources Power East Foundation Co., Ltd.	4516
104	China Shenhua Overseas Capital Company Limited	5861
105	China Shenhua Overseas Capital Company Limited	5862
106	China Shenhua Overseas Capital Company Limited	5863
107	China Shipping Overseas Finance 2013 Limited	6020
108	China Southern Power Grid International Finance (BVI) Co., Limited	4583
109	China Southern Power Grid International Finance (BVI) Co., Limited	4598
110	China State Construction Finance (Cayman) I Limited	5916
111	China Taiping Capital Limited	4582
112	China Taiping New Horizon Limited	5984
113	China Uranium Development Company Limited	5971
114	China Yangtze Power International (BVI) 1 Limited	5300
115	China Yangtze Power International (BVI) 2 Limited	5301
116	Chinalco Capital Holdings Limited	4301
117	Chinalco Capital Holdings Limited	5438
118	Chinalco Finance Holdings Limited	5854
119	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
120	CITIC Securities Finance 2013 Co., Ltd.	5937
121	CITIC Telecom International Finance Limited	5908
122	CLP Power HK Finance Ltd.	5740
123	CLP Power Hong Kong Financing Limited	4306
124	CLP Power Hong Kong Financing Limited	4318
125	CMHI Finance (BVI) Co., Ltd.	4302
126	CNI Capital Limited	85725
127	CNMC International Capitals Company Limited	5608
128	CNOOC Curtis Funding No. 1 Pty Ltd	5972
129	CNOOC Curtis Funding No. 1 Pty Ltd	5973
130	CNOOC Finance (2003) Limited	2568
131	CNOOC Finance (2011) Limited	4506
132	CNOOC Finance (2011) Limited	4507
133	CNOOC Finance (2012) Limited	4546
134	CNOOC Finance (2012) Limited	4547
135	CNOOC Finance (2013) Limited	5940
136	CNOOC Finance (2013) Limited	5941
137	CNOOC Finance (2013) Limited	5942
138	CNOOC Finance (2015) Australia Pty Ltd	5506
139	CNOOC Finance (2015) Australia Pty Ltd	5507
140	CNOOC Finance (2015) U.S.A. LLC	5508
141	CNOOC Nexen Finance (2014) ULC	5738
142	CNOOC Nexen Finance (2014) ULC	5739
143	CNPC (HK) Overseas Capital Ltd.	4513
144	CNPC (HK) Overseas Capital Ltd.	4514
145	CNPC General Capital Limited	4544
146	CNPC General Capital Limited	5750
147	CNPC General Capital Limited	5922
148	CNPC General Capital Limited	5923
149	COSCO Pacific Finance (2013) Company Limited	5900
150	COSL Finance (BVI) Limited	4563
151	Cosmos Boom Investment Limited	5534
152	CRCC Yupeng Limited	5778
153	CRCC Yuxiang Limited	5945
154	Crotone Assets Limited	5724
155	CSCEC Finance (Cayman) I Limited	5574
156	CSCEC Finance (Cayman) II Limited	5668
157	CSCEC Finance (Cayman) II Limited	5669
158	CSCI Finance (2015) Co. Ltd	5564
159	CSSC Capital 2015 Limited	5876
160	Dah Sing Bank, Limited	5316
161	Dah Sing Bank, Limited	6021
162	Dawn Victor Limited	5524
163	Dianjian Haixing Limited	5816
164	Double Rosy Limited	5829
165	DYNAMIC MISSION INVESTMENTS LIMITED	5386
166	Eastern Creation Investment Holdings Ltd.	5714
167	eHi Car Services Limited	5594
168	e-Sun International Finance Limited	85978
169	Fita International Limited	4315

170	FPC Treasury Limited	5924
171	Franshion Brilliant Limited	5347
172	Franshion Brilliant Limited	5385
173	Franshion Brilliant Limited	5713
174	Franshion Brilliant Limited	5977
175	Franshion Investment Limited	4578
176	Fujian Zhanglong Group Co., Ltd.	5331
177	FWD Group Limited	5221
178	FWD Limited	5351
179	FWD Limited	5803
180	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
181	Gaoxin International Investment Co., Ltd	5335
182	GOHL Capital Limited	5352
183	Goldwind New Energy (HK) Investment Limited	5545
184	GRAM International Limited	5587
185	Greenland Global Investment Limited	5768
186	Greenland Global Investment Limited	5769
187	Guangxi Communications Investment Group Corporation. Ltd	5921
188	GUANGZHOU Silk Road Investment Limited	5323
189	Guotai Junan Financial Holdings (BVI) Limited	5754
190	Haichuan International Investment Co., Ltd.	4538
191	Haitong International Finance 2014 Limited	5801
192	Haitong International Finance 2015 Limited	5867
193	Haitong International Finance Holdings 2015 Limited	5892
194	Hang Seng Bank (China) Limited	85981
195	Hanrui Overseas Investment Co Ltd	5680
196	Hebei Iron & Steel (Hong Kong) International Trade Co., Limited	5818
197	Henson Finance Limited	4312
198	Hesteel Hong Kong Co., Limited	5417
199	HKCG (Finance) Limited	4303
200	HKEx International Limited	4575
201	HNA Tourism Finance Limited	85720
202	Hong Kong Sukuk 2014 Limited	4223
203	Hong Kong Sukuk 2015 Limited	4226
204	Hong Kong Sukuk 2017 Limited	4233
205	Hongkong Baorong Development Limited	5595
206	Hongkong Electric Finance Limited	4505
207	Hongkong International (Qingdao) Company Limited	5874
208	Hongkong International (Qingdao) Company Limited	5875
209	Huai'an Traffic Holding Co., Ltd.	5784
210	Huaneng Hong Kong Capital Limited	5957
211	Huantaihu International investment Co., Ltd	5413
212	Huarong Finance Co., Ltd.	5773
213	Huarong Finance Co., Ltd.	5774
214	Huarui Investment Holding Company Limited	85721
215	Huatai International Finance I Limited	5812
216	Huaxing Investment Holding Company Limited	5363
217	Huayi Finance I Ltd.	5847
218	ICBCIL Finance Co. Limited	5883
219	ICBCIL Finance Co. Limited	5884
220	IFC Development (Corporate Treasury) Limited	5715
221	IFC Development (Corporate Treasury) Limited	5756
222	IFC Development (Corporate Treasury) Limited	5757
223	IFC Development (Corporate Treasury) Limited	5949
224	Industrial and Commercial Bank of China (Asia) Limited	5686
225	Industrial and Commercial Bank of China (Asia) Limited	5976
226	Industrial and Commercial Bank of China (Macau) Limited	5797
227	ITNL International Pte. Ltd.	85985
228	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
229	Jinan West City Investment and Development Group Co., Ltd.	4588
230	Jinchuan Group Co., Ltd.	85984
231	Jingneng Clean Energy Investment Holdings Limited	85710
232	Keen Idea Global Limited	5393
233	King Power Capital Ltd.	5822
234	King Power Capital Ltd.	5823
235	Korean Reinsurance Company	5815
236	Lai Sun Garment International Finance (2014) Limited	85986
237	Lai Sun Int'l Finance (2012) Limited	4591
238	Logo Star Limited	5996
239	LS Finance (2022) Limited	4571
240	LS Finance (2025) Limited	5535
241	Malaysia Sovereign Sukuk Berhad	5894
242	Malaysia Sovereign Sukuk Berhad	5895
243	Malaysia Sukuk Global Berhad	5633
244	Malaysia Sukuk Global Berhad	5634
245	MCC Holding (Hong Kong) Corporation Limited	5210
246	Meiya Power Company Limited	5964
247	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
248	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
249	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
251	Minmetals Land Capital Limited	5932
252	Minmetals Land Capital Limited	5933
253	Nanyang Commercial Bank, Limited	5214
254	New Rose Investments Limited	5344
255	Nuoxi Capital Limited	5436
256	NWD Finance (BVI) Limited	4561

257	Oceanwide Holdings International 2015 Co., Limited	5557
258	Oceanwide Real Estate International Holding Company Limited	5798
259	Orient Hongsheng Limited	85705
260	Oriental Capital Company Limited	5305
261	Oversea-Chinese Banking Corporation Limited	85912
262	OVPH Limited	5614
263	PB Issuer (No.4) Limited	5525
264	Peixian State-owned Assets Management Company Limited	5336
265	Petron Corporation	5905
266	PETRONAS Global Sukuk Ltd.	5882
267	PHBS Limited	4325
268	Phoenix Charm International Investment Limited	5332
269	Poly Real Estate Finance Ltd.	5730
270	Poly Real Estate Finance Ltd.	5963
271	Profit Fast Limited	5578
272	Prosperous Ray Limited	5993
273	Prosperous Ray Limited	5994
274	Proven Honour Capital Limited	5516
275	Proven Honour Capital Limited	5641
276	PTT Public Company Limited	2527
277	Pulai Capital Limited	4540
278	Qilu International Finance (BVI) Company Limited	85991
279	Qinghai Provincial Investment Group Co., Ltd.	5380
280	Radiant Access Limited	5205
281	Rail Transit International Investment Company Limited	5643
282	Rail Transit International Investment Company Limited	5644
283	Reward International Investment Limited	5360
284	RKI Overseas Finance 2016 (A) Limited	5695
285	RKI Overseas Finance 2016 (B) Limited	4309
286	Road King Infrastructure Finance (2012) Limited	4565
287	Rongshi International Finance Limited	5448
288	Rongshi International Finance Limited	5449
289	Rosy Capital Global Limited	85719
290	SDSC Global Finance Limited	5303
291	SDSC International Finance Limited	5827
292	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
293	Shandong Gold International Mining Investment Holding Limited	5572
294	Shandong Iron and Steel Xinheng International Company Limited	5601
295	Shanghai Electric Power Finance Limited	5558
296	Shanghai (Hong Kong) International Investments Limited	5435
297	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
298	Shine Power International Limited	5777
299	Silver Sparkle Limited	5697
300	Sinochem Global Capital Co., Ltd.	5935
301	Sinochem Overseas Capital Company Limited	4501
302	Sinochem Overseas Capital Company Limited	4502
303	Sino-Ocean Land Treasure Finance I Limited	5781
304	Sino-Ocean Land Treasure Finance I Limited	5782
305	Sino-Ocean Land Treasure Finance II Limited	5868
306	Sino-Ocean Land Treasure Finance II Limited	5869
307	Skyland Mining (BVI) Limited	5228
308	Skyland Mining (BVI) Limited	5775
309	Skysea International Capital Management Limited	4529
310	SmarTone Finance Limited	5917
311	Societe Generale	5947
312	Societe Generale	5959
313	Societe Generale	5960
314	Societe Generale	5961
315	Societe Generale	5962
316	SPIC 2016 US dollar Bond Company Limited	5324
317	SPIC 2016 US dollar Bond Company Limited	5325
318	State Grid Overseas Investment (2013) Limited	5953
319	State Grid Overseas Investment (2013) Limited	5954
320	State Grid Overseas Investment (2013) Limited	5955
321	State Grid Overseas Investment (2014) Limited	5741
322	State Grid Overseas Investment (2014) Limited	5742
323	State Grid Overseas Investment (2014) Limited	5743
324	State Grid Overseas Investment (2016) Limited	5649
325	State Grid Overseas Investment (2016) Limited	5650
326	State Grid Overseas Investment (2016) Limited	5651
327	State Grid Overseas Investment (2016) Limited	5652
328	Sunshine Life Insurance Corporation Limited	5627
329	Sunshine Life Insurance Corporation Limited	5628
330	Sunshine Life Insurance Corporation Limited	5629
331	Suqian Economic Development (BVI) Co., Limited	5302
332	Taikang Insurance Group Inc.	5349
333	The Hongkong and Shanghai Banking Corporation Limited	4323
334	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
335	Tong Jie Limited	5906
336	Top Luxury Investment Limited	5598
337	Top Wise Excellence Enterprise Co., Ltd.	5402
338	Towngas (Finance) Limited	6018
339	Treasure Generator Limited	5709
340	Tuspark Forward Ltd.	5581
341	Tuspark Forward Ltd.	5735
342	TVB Finance Limited	4577
343	Unigroup International Holdings Ltd.	5596

344	Unigroup International Holdings Ltd.	5597
345	Union Life Insurance Co., Ltd.	4322
346	Wakala Global Sukuk Berhad	4519
347	Wanda Properties International Co. Limited	6023
348	Wanda Properties Overseas Limited	5997
349	Wanhua Chemical International Holding Co., Ltd.	85703
350	Want Want China Finance Limited	5446
351	Want Want China Finance Limited	5944
352	Wise Source International Limited	5309
353	Wuhan Metro Group Co., Ltd.	5939
354	Xiangxing Overseas Investment Co., Ltd.	5329
355	Xiangyu Investment (BVI) Co., Ltd.	5683
356	Xihui Haiwai I Investment Holdings Co., Limited	5679
357	Xingang International Holding Limited	5330
358	Xinhu (BVI) Holding Company Limited	5382
359	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
360	Yancoal International Resources Development Co., Limited	4552
361	Yancoal International Resources Development Co., Limited	5424
362	Yancoal International Trading Co., Limited	5753
363	Yango (Cayman) Investment Limited	5414
364	Yieldking Investment Limited	85988
365	Yingde Gases Investment Limited	5793
366	Yingde Gases Investment Limited	5926
367	YONGDA Investment Limited	5543
368	Yufu Eternity Limited	85706
369	Yunnan Energy Investment (Overseas) Company Limited	85996
370	Yunnan Energy Investment Finance Company Ltd.	5632
371	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
372	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
373	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
374	Zhaohai Investment (BVI) Limited	5546
375	Zhaohai Investment (BVI) Limited	5547
376	Zhejiang Energy Group (Hong Kong) Limited	5807
377	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
378	ZHIYUAN Group (BVI) Co., Ltd.	5603
379	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
380	Zhuzhou City Construction Development Group Co., Ltd.	5710

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

	Name	Stock codes
1	db x-trackers FTSE VIETNAM UCITS ETF	3087
2	db x-trackers FTSE CHINA 50 UCITS ETF (DR)	3007
3	db x-trackers MSCI BRAZIL INDEX UCITS ETF (DR)	3048
4	db x-trackers MSCI EM ASIA INDEX UCITS ETF	3035
5	db x-trackers MSCI EMERGING MARKETS INDEX UCITS ETF	3009
6	db x-trackers MSCI KOREA INDEX UCITS ETF (DR)	2848
7	db x-trackers MSCI PACIFIC EX JAPAN INDEX UCITS ETF (DR)	3043
8	db x-trackers MSCI RUSSIA CAPPED INDEX UCITS ETF	3027
9	db x-trackers MSCI TAIWAN INDEX UCITS ETF (DR)	3036
10	db x-trackers MSCI USA INDEX UCITS ETF	3020
11	db x-trackers MSCI WORLD INDEX UCITS ETF	3019
12	db x-trackers NIFTY 50 UCITS ETF	3015
13	db x-trackers CSI300 BANKS UCITS ETF	3061
14	db x-trackers CSI300 CONSUMER DISCRETIONARY UCITS ETF	3025
15	db x-trackers CSI300 ENERGY UCITS ETF	3017
16	db x-trackers CSI300 FINANCIALS UCITS ETF	2844
17	db x-trackers CSI300 HEALTH CARE UCITS ETF	3057
18	db x-trackers CSI300 UCITS ETF	3049
19	db x-trackers CSI300 INDUSTRIALS UCITS ETF	3005
20	db x-trackers CSI300 MATERIALS UCITS ETF	3062
21	db x-trackers CSI300 REAL ESTATE UCITS ETF	2816
22	db x-trackers CSI300 TRANSPORTATION UCITS ETF	3063
23	db x-trackers CSI300 UTILITIES UCITS ETF	3052
24	db x-trackers MSCI CHINA INDEX UCITS ETF (DR)	3055
25	db x-trackers MSCI INDIA INDEX UCITS ETF	3045
26	db x-trackers MSCI INDONESIA INDEX UCITS ETF	3099
27	db x-trackers MSCI MALAYSIA INDEX UCITS ETF (DR)	3082
28	db x-trackers MSCI THAILAND INDEX UCITS ETF (DR)	3092
29	db x-trackers II AUSTRALIAN DOLLAR CASH UCITS ETF	3026
30	db x-trackers MSCI PHILIPPINES IM INDEX UCITS ETF (DR)	3016
31	db x-trackers MSCI SINGAPORE IM INDEX UCITS ETF (DR)	3065
32	db x-trackers MSCI PAKISTAN IM INDEX UCITS ETF	3106
33	db x-trackers MSCI BANGLADESH IM INDEX UCITS ETF	3105
34	db x-trackers MSCI AC ASIA EX JAPAN HIGH DIVIDEND YIELD INDEX UCITS ETF	3013

Category 4 exemptions for exchange participants of The Stock Exchange of Hong Kong Limited

Name

- 1 **China Innovation Market Service Company Limited**
- 2 **China Investment Information Services Limited**

Category 5 exemptions for clearing houses that are clearing participants

Name

- 1 **China Securities Depository and Clearing Corporation Limited**