

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

Updated as at
31 Oct 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 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	HKEX, shotc. rt-sellers,e 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 2018
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 AVIC International Leasing Co., Ltd.	U.S.\$500,000,000 Medium Term Note Programme
6 Azure Nova International Finance Limited	U.S.\$5,500,000,000 Medium Term Note Programme

7	Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
8	Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programm
9	Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
10	Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
11	Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
12	CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
13	CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
14	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
15	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
16	Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
17	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
18	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
19	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
20	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
21	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
22	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
23	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
24	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
25	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
26	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
27	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
28	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
29	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
30	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
31	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
32	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
33	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
34	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
35	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
36	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
37	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
38	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
39	HLP Finance Limited	US\$3 billion Medium Term Note Programme
40	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
41	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
42	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
43	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
44	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
45	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
46	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
47	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
48	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
49	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
50	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
51	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
52	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
53	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
54	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
55	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
56	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
57	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
58	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
59	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
60	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
61	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
62	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
63	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
64	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
65	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
66	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
67	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
68	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
69	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
70	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
71	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
72	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
73	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
74	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
75	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
76	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
77	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
78	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
79	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 Airvessel Finance Holding Limited	5789
3 Alibaba Group Holding Limited	5840
4 Alibaba Group Holding Limited	5841
5 Alibaba Group Holding Limited	5842
6 Alibaba Group Holding Limited	5843
7 Alibaba Group Holding Limited	5844
8 Alibaba Group Holding Limited	5845
9 Amber Circle Funding Limited	4585
10 Amber Circle Funding Limited	4586
11 Amber Treasure Ventures Limited	5209
12 Amber Treasure Ventures Limited	5243
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 Boom Up Investments Limited	5544
39 Bright Food Hong Kong Limited	5948
40 Bright Galaxy International Limited	5927
41 Cable and Wireless International Finance B.V.	1077
42 Cable and Wireless International Finance B.V.	1078
43 Caiyun International Investment Limited	5682
44 CALC Bond 1 Limited	5642
45 CALC Bond 2 Limited	4300
46 CALC Bond 3 Limited	5390
47 CALC Bond 3 Limited	5391
48 CCB Life Insurance Company Limited	5437
49 CCBL (Cayman) Corporation Limited	5548
50 CCCI Treasure Limited	5893
51 CCTI 2017 Ltd	5258
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 Chalieceo Hong Kong Corporation Limited	5321
61 Chalieceo 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 Life Insurance (Overseas) Co., Ltd	5250
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	5244
103	China Railway XunJie Co., Limited	5692
104	China Resources Power East Foundation Co., Ltd.	4516
105	China Shenhua Overseas Capital Company Limited	5861
106	China Shenhua Overseas Capital Company Limited	5862
107	China Shenhua Overseas Capital Company Limited	5863
108	China Shipping Overseas Finance 2013 Limited	6020
109	China Southern Power Grid International Finance (BVI) Co., Limited	4583
110	China Southern Power Grid International Finance (BVI) Co., Limited	4598
111	China State Construction Finance (Cayman) I Limited	5916
112	China Taiping Capital Limited	4582
113	China Taiping New Horizon Limited	5984
114	China Uranium Development Company Limited	5971
115	China Yangtze Power International (BVI) 1 Limited	5300
116	China Yangtze Power International (BVI) 2 Limited	5301
117	Chinalco Capital Holdings Limited	4301
118	Chinalco Capital Holdings Limited	5438
119	Chinalco Finance Holdings Limited	5854
120	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
121	CITIC Securities Finance 2013 Co., Ltd.	5937
122	CITIC Telecom International Finance Limited	5908
123	CLP Power HK Finance Ltd.	5740
124	CLP Power Hong Kong Financing Limited	4306
125	CLP Power Hong Kong Financing Limited	4318
126	CMHI Finance (BVI) Co., Ltd.	4302
127	CNI Capital Limited	85725
128	CNMC International Capitals Company Limited	5608
129	CNOOC Curtis Funding No. 1 Pty Ltd	5972
130	CNOOC Curtis Funding No. 1 Pty Ltd	5973
131	CNOOC Finance (2003) Limited	2568
132	CNOOC Finance (2011) Limited	4506
133	CNOOC Finance (2011) Limited	4507
134	CNOOC Finance (2012) Limited	4546
135	CNOOC Finance (2012) Limited	4547
136	CNOOC Finance (2013) Limited	5940
137	CNOOC Finance (2013) Limited	5941
138	CNOOC Finance (2013) Limited	5942
139	CNOOC Finance (2015) Australia Pty Ltd	5506
140	CNOOC Finance (2015) Australia Pty Ltd	5507
141	CNOOC Finance (2015) U.S.A. LLC	5508
142	CNOOC Nexen Finance (2014) ULC	5738
143	CNOOC Nexen Finance (2014) ULC	5739
144	CNPC (HK) Overseas Capital Ltd.	4513
145	CNPC (HK) Overseas Capital Ltd.	4514
146	CNPC General Capital Limited	4544
147	CNPC General Capital Limited	5750
148	CNPC General Capital Limited	5922
149	CNPC General Capital Limited	5923
150	COSCO Pacific Finance (2013) Company Limited	5900
151	COSL Finance (BVI) Limited	4563
152	Cosmos Boom Investment Limited	5534
153	CRCC Yupeng Limited	5778
154	CRCC Yuxiang Limited	5945
155	Crotana Assets Limited	5724
156	CSCEC Finance (Cayman) I Limited	5574
157	CSCEC Finance (Cayman) II Limited	5232
158	CSCEC Finance (Cayman) II Limited	5233
159	CSCEC Finance (Cayman) II Limited	5668
160	CSCEC Finance (Cayman) II Limited	5669
161	CSCI Finance (2015) Co. Ltd	5564
162	CSSC Capital 2015 Limited	5876
163	Dah Sing Bank, Limited	5316
164	Dah Sing Bank, Limited	6021
165	Dawn Victor Limited	5524
166	Dianjian Haixing Limited	5816
167	Double Rosy Limited	5829
168	DYNAMIC MISSION INVESTMENTS LIMITED	5386
169	Eastern Creation Investment Holdings Ltd.	5714

170	eHi Car Services Limited	5594
171	e-Sun International Finance Limited	85978
172	Fita International Limited	4315
173	FPC Treasury Limited	5924
174	Franshion Brilliant Limited	5229
175	Franshion Brilliant Limited	5347
176	Franshion Brilliant Limited	5385
177	Franshion Brilliant Limited	5713
178	Franshion Brilliant Limited	5977
179	Fujian Zhanglong Group Co., Ltd.	5331
180	FWD Group Limited	5221
181	FWD Limited	5351
182	FWD Limited	5803
183	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
184	Gaoxin International Investment Co., Ltd	5335
185	GOHL Capital Limited	5352
186	Goldwind New Energy (HK) Investment Limited	5545
187	GRAM International Limited	5587
188	Green Fortune Capital Limited	5288
189	Greenland Global Investment Limited	5768
190	Greenland Global Investment Limited	5769
191	Guangxi Communications Investment Group Corporation. Ltd	5921
192	GUANGZHOU Silk Road Investment Limited	5323
193	Guotai Junan Financial Holdings (BVI) Limited	5754
194	Haichuan International Investment Co., Ltd.	4538
195	Haitong International Finance 2014 Limited	5801
196	Haitong International Finance 2015 Limited	5867
197	Haitong International Finance Holdings 2015 Limited	5892
198	Hanrui Overseas Investment Co Ltd	5680
199	Henson Finance Limited	4312
200	Hesteel Hong Kong Co., Limited	5417
201	HKCG (Finance) Limited	4303
202	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
203	Hong Kong Sukuk 2014 Limited	4223
204	Hong Kong Sukuk 2015 Limited	4226
205	Hong Kong Sukuk 2017 Limited	4233
206	Hongkong Baorong Development Limited	5595
207	Hongkong Electric Finance Limited	4505
208	Hongkong International (Qingdao) Company Limited	5874
209	Hongkong International (Qingdao) Company Limited	5875
210	Huai'an Traffic Holding Co., Ltd.	5784
211	Huaneng Hong Kong Capital Limited	5000
212	Huaneng Hong Kong Capital Limited	5957
213	Huantaihu International investment Co., Ltd	5413
214	Huarong Finance Co., Ltd.	5774
215	Huarui Investment Holding Company Limited	85721
216	Huatai International Finance I Limited	5812
217	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
218	Huaxing Investment Holding Company Limited	5363
219	Huayi Finance I Ltd.	5847
220	ICBCIL Finance Co. Limited	5883
221	ICBCIL Finance Co. Limited	5884
222	IFC Development (Corporate Treasury) Limited	5715
223	IFC Development (Corporate Treasury) Limited	5756
224	IFC Development (Corporate Treasury) Limited	5757
225	IFC Development (Corporate Treasury) Limited	5949
226	Industrial and Commercial Bank of China (Asia) Limited	5686
227	Industrial and Commercial Bank of China (Asia) Limited	5976
228	Industrial and Commercial Bank of China (Macau) Limited	5797
229	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
230	Jinan West City Investment and Development Group Co., Ltd.	4588
231	Jingneng Clean Energy Investment Holdings Limited	85710
232	Jiuding Group Finance Co., Ltd	5246
233	Keen Idea Global Limited	5393
234	King Power Capital Ltd.	5822
235	King Power Capital Ltd.	5823
236	Korean Reinsurance Company	5815
237	Lai Sun Garment International Finance (2014) Limited	85986
238	Lai Sun Int'l Finance (2012) Limited	4591
239	Logo Star Limited	5996
240	LS Finance (2022) Limited	4571
241	LS Finance (2025) Limited	5535
242	LSD Bonds (2017) Limited	5270
243	Malaysia Sovereign Sukuk Berhad	5894
244	Malaysia Sovereign Sukuk Berhad	5895
245	Malaysia Sukuk Global Berhad	5633
246	Malaysia Sukuk Global Berhad	5634
247	MCC Holding (Hong Kong) Corporation Limited	5210
248	Meiya Power Company Limited	5964
249	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
251	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
252	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
253	Minmetals Land Capital Limited	5932
254	Minmetals Land Capital Limited	5933
255	Nanyang Commercial Bank, Limited	5214
256	New Lion Bridge Company Limited	5290

257	New Rose Investments Limited	5344
258	Nuoxi Capital Limited	5436
259	NWD Finance (BVI) Limited	4561
260	Oceanwide Holdings International 2015 Co., Limited	5557
261	Oceanwide Holdings International 2017 Co., Limited	5239
262	Oceanwide Holdings International 2017 Co., Limited	5251
263	Oceanwide Real Estate International Holding Company Limited	5798
264	Orient Hongsheng Limited	85705
265	Oriental Capital Company Limited	5305
266	Oversea-Chinese Banking Corporation Limited	85912
267	OVPH Limited	5614
268	PB Issuer (No.4) Limited	5525
269	Peixian State-owned Assets Management Company Limited	5336
270	Petron Corporation	5905
271	PETRONAS Global Sukuk Ltd.	5882
272	PHBS Limited	4325
273	Phoenix Charm International Investment Limited	5332
274	Phoenix Lead Limited	5262
275	Poly Real Estate Finance Ltd.	5730
276	Poly Real Estate Finance Ltd.	5963
277	Press Metal (Labuan) Ltd.	5299
278	Profit Fast Limited	5578
279	Prosperous Ray Limited	5993
280	Prosperous Ray Limited	5994
281	Proven Honour Capital Limited	5516
282	Proven Honour Capital Limited	5641
283	PTT Public Company Limited	2527
284	Pulai Capital Limited	4540
285	Qinghai Provincial Investment Group Co., Ltd.	5289
286	Qinghai Provincial Investment Group Co., Ltd.	5380
287	Radiant Access Limited	5205
288	Rail Transit International Investment Company Limited	5643
289	Rail Transit International Investment Company Limited	5644
290	Reward International Investment Limited	5360
291	RKI Overseas Finance 2016 (A) Limited	5695
292	RKI Overseas Finance 2016 (B) Limited	4309
293	Rongshi International Finance Limited	5448
294	Rongshi International Finance Limited	5449
295	Rosy Capital Global Limited	85719
296	SDSC Global Finance Limited	5303
297	SDSC International Finance Limited	5827
298	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
299	Shandong Energy Australia Pty Ltd	5248
300	Shandong Gold International Mining Investment Holding Limited	5572
301	Shandong Iron and Steel Xinheng International Company Limited	5601
302	Shanghai Electric Power Finance Limited	5558
303	Shanghai Port Group (BVI) Holding Co., Limited	5255
304	Shanghai Port Group (BVI) Holding Co., Limited	5256
305	Shanghai (Hong Kong) International Investments Limited	5435
306	Shine Power International Limited	5777
307	Silver Sparkle Limited	5697
308	Sinochem Global Capital Co., Ltd.	5935
309	Sinochem Overseas Capital Company Limited	4501
310	Sinochem Overseas Capital Company Limited	4502
311	Sino-Ocean Land Treasure Finance I Limited	5781
312	Sino-Ocean Land Treasure Finance I Limited	5782
313	Sino-Ocean Land Treasure Finance II Limited	5868
314	Sino-Ocean Land Treasure Finance II Limited	5869
315	Sino-Ocean Land Treasure III Limited	5276
316	Skyland Mining (BVI) Limited	5228
317	Skysea International Capital Management Limited	4529
318	SmarTone Finance Limited	5917
319	Societe Generale	5947
320	Societe Generale	5959
321	Societe Generale	5960
322	Societe Generale	5961
323	Societe Generale	5962
324	SPIC 2016 US dollar Bond Company Limited	5324
325	SPIC 2016 US dollar Bond Company Limited	5325
326	State Grid Overseas Investment (2013) Limited	5953
327	State Grid Overseas Investment (2013) Limited	5954
328	State Grid Overseas Investment (2013) Limited	5955
329	State Grid Overseas Investment (2014) Limited	5741
330	State Grid Overseas Investment (2014) Limited	5742
331	State Grid Overseas Investment (2014) Limited	5743
332	State Grid Overseas Investment (2016) Limited	5649
333	State Grid Overseas Investment (2016) Limited	5650
334	State Grid Overseas Investment (2016) Limited	5651
335	State Grid Overseas Investment (2016) Limited	5652
336	Strategic International Group Limited	5241
337	Sunshine Life Insurance Corporation Limited	5627
338	Sunshine Life Insurance Corporation Limited	5628
339	Sunshine Life Insurance Corporation Limited	5629
340	Suqian Economic Development (BVI) Co., Limited	5302
341	Taikang Insurance Group Inc.	5349
342	The Hongkong and Shanghai Banking Corporation Limited	4323
343	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673

344	Tianjin Lingang Investment Holding Co., Ltd	5281
345	Tianjin Real Estate Group Co., Ltd	5286
346	Tong Jie Limited	5906
347	Top Luxury Investment Limited	5598
348	Top Wise Excellence Enterprise Co., Ltd.	5402
349	Towngas (Finance) Limited	6018
350	Treasure Generator Limited	5709
351	Tuspark Forward Ltd.	5581
352	Tuspark Forward Ltd.	5735
353	TVB Finance Limited	4577
354	Unigroup International Holdings Ltd.	5596
355	Unigroup International Holdings Ltd.	5597
356	Union Life Insurance Co., Ltd.	4322
357	Wakala Global Sukuk Berhad	4519
358	Wanda Properties International Co. Limited	6023
359	Wanda Properties Overseas Limited	5997
360	Wanhua Chemical International Holding Co., Ltd.	85703
361	Want Want China Finance Limited	5446
362	Want Want China Finance Limited	5944
363	Wise Source International Limited	5309
364	Wuhan Metro Group Co., Ltd.	5939
365	Xiangxing Overseas Investment Co., Ltd.	5329
366	Xiangyu Investment (BVI) Co., Ltd.	5683
367	Xihui Haiwai I Investment Holdings Co., Limited	5679
368	Xingang International Holding Limited	5330
369	Xinhu (BVI) Holding Company Limited	5382
370	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
371	Yancoal International Resources Development Co., Limited	4552
372	Yancoal International Resources Development Co., Limited	5424
373	Yancoal International Trading Co., Limited	5753
374	Yango (Cayman) Investment Limited	5414
375	Yihua Overseas Investment Ltd	5293
376	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
377	Yingde Gases Investment Limited	5793
378	Yingde Gases Investment Limited	5926
379	YONGDA Investment Limited	5543
380	Yufu Eternity Limited	85706
381	Yunnan Energy Investment Finance Company Ltd.	5632
382	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
383	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
384	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
385	Zhaohai Investment (BVI) Limited	5546
386	Zhaohai Investment (BVI) Limited	5547
387	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
388	ZHIYUAN Group (BVI) Co., Ltd.	5603
389	Zhongtai International Bond 2017 (BVI) Company Limited	5263
390	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
391	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 KOREA INDEX UCITS ETF (DR)	2848
5	db x-trackers MSCI PACIFIC EX JAPAN INDEX UCITS ETF (DR)	3043
6	db x-trackers MSCI RUSSIA CAPPED INDEX UCITS ETF	3027
7	db x-trackers MSCI TAIWAN INDEX UCITS ETF (DR)	3036
8	db x-trackers MSCI USA INDEX UCITS ETF	3020
9	db x-trackers MSCI WORLD INDEX UCITS ETF	3019
10	db x-trackers NIFTY 50 UCITS ETF	3015
11	db x-trackers CSI300 UCITS ETF	3049
12	db x-trackers MSCI CHINA INDEX UCITS ETF (DR)	3055
13	db x-trackers MSCI INDONESIA INDEX UCITS ETF	3099
14	db x-trackers MSCI MALAYSIA INDEX UCITS ETF (DR)	3082
15	db x-trackers MSCI THAILAND INDEX UCITS ETF (DR)	3092
16	db x-trackers MSCI PHILIPPINES IM INDEX UCITS ETF (DR)	3016
17	db x-trackers MSCI SINGAPORE IM INDEX UCITS ETF (DR)	3065

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