

## 根據《證券及期貨條例》(第571章)第309(2)條批給的豁免

以下載列就(一)發行在香港聯合交易所有限公司(聯交所)上市的證券的法團及(二)其他人士而批給的豁免。該等豁免就(一)批給該等法團、其大股東、董事及最高行政人員，及就(二)批給其他人士，使其無須就其於聯交所上市證券的權益所衍生的義務而遵從《證券及期貨條例》第XV部。本清單每月月初更新。

證監會網站內有關《證券及期貨條例》第XV部的網頁已登載證監會指引，列明根據該條例第309條批給豁免的依據。目前提供的豁免分為五類，而該指引已對該五類豁免加以述明。

### 第1類部份豁免：適用於股份已在香港聯合交易所有限公司及另一證券交易所上市的法團

名稱	聯交所 股份代號
1 宏利金融有限公司	0945
2 渣打集團有限公司	2888 (及 4305, 5348 及 5890)
3 英國保誠有限公司	2378
4 Glencore plc	0805
5 哈薩克礦業有限公司 - S	0847
6 Coach, Inc. - RS	6388
7 迅銷有限公司 - 預託證券	6288 (該豁免僅適用於迅銷有限公司及其大股東)

### 第2類豁免：適用於並無股份在香港聯合交易所有限公司上市的法團

第2類豁免：適用於結構性產品在香港聯合交易所有限公司上市的法團（並無股份在香港聯合交易所有限公司上市）

名稱	豁免期限 (注解 1)	
	豁免開始日	豁免終止日
1 BOCI Aisa Limited	2007年12月21日	2017年12月20日
2 BNP Paribas Arbitrage Issuance B.V.	2007年12月21日	2017年12月20日
3 Citigroup Global Markets Holdings Inc. (注解 2)	2009年6月15日	2015年6月14日
4 Credit Suisse AG	2007年12月21日	2017年12月20日
5 Daiwa Capital Markets Hong Kong Limited (注解 3)	2010年7月20日	2016年7月19日
6 Goldman Sachs Structured Products (Asia) Limited	2007年12月21日	2017年12月20日
7 Haitong International Securities Company Limited (注解 4)	2017年3月16日	2018年3月15日
8 J.P. Morgan Structured Products B.V.	2007年12月21日	2017年12月20日
9 Macquarie Bank Limited	2008年1月1日	2017年12月31日
10 Nomura International plc (注解 5)	2009年12月10日	2015年12月9日
11 SG Issuer	2016年4月1日	2018年3月31日
12 SGA Société Générale Acceptance N.V. (注解 6)	2007年12月21日	2016年12月20日
13 Standard Chartered Bank (注解 7)	2010年6月28日	2016年6月27日
14 The Hongkong and Shanghai Banking Corporation Ltd	2007年12月23日	2017年12月22日
15 UBS AG	2007年12月21日	2017年12月20日

注解1: 授予以上法團的豁免期為12個月(或更少)，並豁免該法團在豁免期內所發行及在香港聯合交易所有限公司上市的結構性產品直至該結構性產品有效期間結為止。

注解2: 授予Citigroup Global Markets Holdings Inc.的豁免已於2015年6月14日到期，而此前授予Citigroup Global Markets Holdings Inc.的豁免對其在2007年12月21日至2008年12月20日期間及2009年6月15日至2015年6月14日期間所發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

注解3: 授予Daiwa Capital Markets Hong Kong Limited的豁免已於2016年7月19日到期，而此前授予Daiwa Capital Markets Hong Kong Limited的豁免對其在2010年7月20日至2016年7月19日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

注解4: 此前授予Haitong International Securities Company Limited的豁免已於2017年3月6日到期，但該豁免對其在2016年3月7日至2017年3月6日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

注解5: 授予Nomura International plc的豁免已於2015年12月9日到期，而此前授予Nomura International plc的豁免對其在2009年12月10日至2015年12月9日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

注解6: 授予SGA Société Générale Acceptance N.V.的豁免已於2016年12月20日到期，而此前授予SGA Société Générale Acceptance N.V.的豁免對其在2007年12月21日至2016年12月20日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

注解7: 授予Standard Chartered Bank的豁免已於2016年6月27日到期，而此前授予Standard Chartered Bank的豁免對其在2010年6月28日至2016年6月27日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。

第2類豁免：適用於債務項目下發行的債務證券在香港聯合交易所有限公司上市的法團（並無股份在香港聯合交易所有限公司上市）

名稱	項目
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 Programme
8 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
9 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
10 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
11 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
12 Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
13 Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme

14	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
15	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
16	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
17	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
18	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
19	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
20	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
21	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
22	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
23	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
24	CK Property Finance (MTN) Limited	US\$3,000,000,000 Euro Medium Term Note Programme
25	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
26	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
27	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
28	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
29	Eastern Creation II Investment Holdings Ltd.	US\$2,000,000,000 Guaranteed Euro Medium Term Note Programme
30	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
31	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
32	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
33	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
34	HLP Finance Limited	US\$3 billion Medium Term Note Programme
35	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
36	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
37	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
38	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
39	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
40	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
41	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
42	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
43	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
44	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
45	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
46	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
47	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
48	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
49	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
50	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
51	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
52	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
53	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
54	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
55	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
56	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
57	Sinochem Offshore Capital Company Limited	US\$3,000,000,000 Global Medium Term Note Programme
58	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
59	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
60	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
61	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
62	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
63	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
64	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
65	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
66	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
67	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
68	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
69	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
70	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
71	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
72	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
73	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
74	Yuexiu REIT MTN Company Limited	US\$1,000,000,000 Medium Term Note Programme

第2類豁免：適用於就某一特定發行的債務證券在香港聯合交易所有限公司上市的法團（並無股份在香港聯合交易所有限公司上市）

名稱	聯交所 股份代號
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	Anhui Transportation Holding Group (H.K.) Limited	5529
13	Asia Pacific Ports Development Company Limited	85711
14	Asia View Limited	5788
15	AVIC International Finance & Investment Limited	5965
16	AVIC International Finance & Investment Limited	5966
17	Axiata SPV1 (Labuan) Limited	4320
18	Azure Orbit III International Finance Limited	5620
19	Azure Orbit III International Finance Limited	5621
20	Azure Orbit International Finance Limited	5909
21	Bank of China (Hong Kong) Limited	4316
22	Baosteel Financing 2015 Pty Ltd	5866
23	Baosteel Hong Kong Investment Company Limited	5584
24	Bao-Trans Enterprises Limited	5877
25	Bao-Trans Enterprises Limited	6004
26	BCEG (HongKong) Company Limited	5532
27	Beijing Capital (Hong Kong) Limited	85977
28	Beijing Capital Polaris Investment Co. Ltd	5889
29	Beijing Enterprises Water Capital Management Limited	5938
30	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
31	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
32	Bestgain Real Estate Limited	5914
33	Bluestar Finance Holdings Limited	4550
34	Bluestar Finance Holdings Limited	4556
35	Bluestar Finance Holdings Limited	5599
36	Bohai General Capital Ltd	85995
37	Boom Up Investments Limited	5544
38	Bright Food Hong Kong Limited	5948
39	Bright Galaxy International Limited	5927
40	Cable and Wireless International Finance B.V.	1077
41	Cable and Wireless International Finance B.V.	1078
42	Caiyun International Investment Limited	5682
43	CALC Bond 1 Limited	5642
44	CALC Bond 2 Limited	4300
45	CALC Bond 3 Limited	5390
46	CALC Bond 3 Limited	5391
47	CCB Life Insurance Company Limited	5437
48	CCBL (Cayman) Corporation Limited	5548
49	CCCI Treasure Limited	5893
50	CDBL Funding 1	5849
51	CDBL Funding 1	5850
52	Central Plaza Development Ltd.	5919
53	Century Master Investment Co. Ltd.	5968
54	CGNPC International Limited	5519
55	Chalco Hong Kong Investment Company Limited	5727
56	Chalco Hong Kong Investment Company Limited	5920
57	Chalco Hong Kong Investment Company Limited	5985
58	Chalieco Hong Kong Corporation Limited	5321
59	Chalieco Hong Kong Corporation Limited	5702
60	Chang Development International Limited	5345
61	Changde Urban Construction and Investment Group Co., Ltd.	5328
62	Changsha Pilot Investment Holdings Co., Ltd.	5315
63	Charter Style International Limited	85993
64	Chengdu Xingcheng Investment Group Co., Ltd.	5314
65	Cheung Kong Bond Securities (02) Limited	4559
66	Cheung Kong Bond Securities (03) Limited	4595
67	China Cinda Finance (2014) Limited	5747
68	China Cinda Finance (2014) Limited	5748
69	China CITIC Bank International Limited	4594
70	China CITIC Bank International Limited	5728
71	China CITIC Bank International Limited	5992
72	China Clean Energy Development Limited	5568
73	China Development Bank Corporation	85904
74	China Development Bank Corporation	85905
75	China Development Bank Corporation	85933
76	China Development Bank Corporation	85934
77	China Energy Reserve and Chemicals Group Finance III Limited	5399
78	China Energy Reserve and Chemicals Group Holding Limited	5639
79	China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
80	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
81	China Great Wall International Holdings II Limited	5533
82	China Great Wall International Holdings Limited	5802
83	China Merchants Finance Company Limited	4548
84	China Merchants Finance Company Limited	5554
85	China Merchants Finance Company Limited	5555
86	China Minmetals Corporation	85975
87	China Oceanwide International Financial Management Co., Ltd	5623
88	China Overseas Finance (Cayman) II Limited	4503
89	China Overseas Finance (Cayman) III Limited	5987
90	China Overseas Finance (Cayman) III Limited	5988
91	China Overseas Finance (Cayman) III Limited	5989
92	China Overseas Finance (Cayman) V Limited	4579
93	China Overseas Finance (Cayman) V Limited	4580
94	China Overseas Finance (Cayman) VI Limited	5745
95	China Overseas Finance (Cayman) VI Limited	5746
96	China Overseas Finance (Cayman) VI Limited	5760
97	China Overseas Finance Investment (Cayman) V Limited	5600
98	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
99	China Overseas Land International (Cayman) Limited	5541
100	China Railway Resources Huitung Limited	5904

101	China Railway XunJie Co., Limited	5692
102	China Resources Power East Foundation Co., Ltd.	4516
103	China Shenhua Overseas Capital Company Limited	5861
104	China Shenhua Overseas Capital Company Limited	5862
105	China Shenhua Overseas Capital Company Limited	5863
106	China Shipping Overseas Finance 2013 Limited	6020
107	China Southern Power Grid International Finance (BVI) Co., Limited	4583
108	China Southern Power Grid International Finance (BVI) Co., Limited	4598
109	China State Construction Finance (Cayman) I Limited	5916
110	China Taiping Capital Limited	4582
111	China Taiping New Horizon Limited	5984
112	China Uranium Development Company Limited	5971
113	China Yangtze Power International (BVI) 1 Limited	5300
114	China Yangtze Power International (BVI) 2 Limited	5301
115	Chinalco Capital Holdings Limited	4301
116	Chinalco Capital Holdings Limited	5438
117	Chinalco Finance Holdings Limited	5854
118	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
119	CITIC Securities Finance 2013 Co., Ltd.	5937
120	CITIC Telecom International Finance Limited	5908
121	CLP Power HK Finance Ltd.	5740
122	CLP Power Hong Kong Financing Limited	4306
123	CLP Power Hong Kong Financing Limited	4318
124	CMHI Finance (BVI) Co., Ltd.	4302
125	CNI Capital Limited	85725
126	CNMC International Capitals Company Limited	5608
127	CNOOC Curtis Funding No. 1 Pty Ltd	5972
128	CNOOC Curtis Funding No. 1 Pty Ltd	5973
129	CNOOC Finance (2003) Limited	2568
130	CNOOC Finance (2011) Limited	4506
131	CNOOC Finance (2011) Limited	4507
132	CNOOC Finance (2012) Limited	4546
133	CNOOC Finance (2012) Limited	4547
134	CNOOC Finance (2013) Limited	5940
135	CNOOC Finance (2013) Limited	5941
136	CNOOC Finance (2013) Limited	5942
137	CNOOC Finance (2015) Australia Pty Ltd	5506
138	CNOOC Finance (2015) Australia Pty Ltd	5507
139	CNOOC Finance (2015) U.S.A. LLC	5508
140	CNOOC Nexen Finance (2014) ULC	5738
141	CNOOC Nexen Finance (2014) ULC	5739
142	CNPC (HK) Overseas Capital Ltd.	4513
143	CNPC (HK) Overseas Capital Ltd.	4514
144	CNPC General Capital Limited	4544
145	CNPC General Capital Limited	5749
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	Crotana 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 Limited	5351
178	FWD Limited	5803
179	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
180	Gaoxin International Investment Co., Ltd	5335
181	GOHL Capital Limited	5352
182	Goldwind New Energy (HK) Investment Limited	5545
183	GRAM International Limited	5587
184	Greenland Global Investment Limited	5768
185	Greenland Global Investment Limited	5769
186	Guangxi Communications Investment Group Corporation. Ltd	5921
187	GUANGZHOU Silk Road Investment Limited	5323
188	Guotai Junan Financial Holdings (BVI) Limited	5754
189	Haichuan International Investment Co., Ltd.	4538

190	Haitong International Finance 2014 Limited	5801
191	Haitong International Finance 2015 Limited	5867
192	Haitong International Finance Holdings 2015 Limited	5892
193	Hang Seng Bank (China) Limited	85981
194	Hanrui Overseas Investment Co Ltd	5680
195	Hebei Iron & Steel (Hong Kong) International Trade Co., Limited	5818
196	Henson Finance Limited	4312
197	Hesteel Hong Kong Co., Limited	5417
198	HKCG (Finance) Limited	4303
199	HKEx International Limited	4575
200	HNA Tourism Finance Limited	85720
201	Hong Kong Huafa Investment Holdings Company Limited	85976
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	Hua Xia Bank Co., Limited	85980
210	Huai'an Traffic Holding Co., Ltd.	5784
211	Huaneng Hong Kong Capital Limited	5957
212	Huantaihu International investment Co., Ltd	5413
213	Huarong Finance Co., Ltd.	5773
214	Huarong Finance Co., Ltd.	5774
215	Huarui Investment Holding Company Limited	85721
216	Huatai International Finance I Limited	5812
217	Huaxing Investment Holding Company Limited	5363
218	Huayi Finance I Ltd.	5847
219	ICBCIL Finance Co. Limited	5883
220	ICBCIL Finance Co. Limited	5884
221	IFC Development (Corporate Treasury) Limited	5715
222	IFC Development (Corporate Treasury) Limited	5756
223	IFC Development (Corporate Treasury) Limited	5757
224	IFC Development (Corporate Treasury) Limited	5949
225	Industrial and Commercial Bank of China (Asia) Limited	5686
226	Industrial and Commercial Bank of China (Asia) Limited	5976
227	Industrial and Commercial Bank of China (Macau) Limited	5797
228	ITNL International Pte. Ltd.	85985
229	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
230	Jinan West City Investment and Development Group Co., Ltd.	4588
231	Jinchuan Group Co., Ltd.	85984
232	Jingneng Clean Energy Investment Holdings Limited	85710
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	Maikun Investment Co., Ltd.	85972
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	Meiya Power Company Limited	5964
248	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
249	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
251	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
252	Minmetals Land Capital Limited	5932
253	Minmetals Land Capital Limited	5933
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	Power Construction Corporation of China	85967
272	Profit Fast Limited	5578
273	Prosperous Ray Limited	5993
274	Prosperous Ray Limited	5994
275	Proven Honour Capital Limited	5516
276	Proven Honour Capital Limited	5641
277	PTT Public Company Limited	2527
278	Pulai Capital Limited	4540

279	Qilu International Finance (BVI) Company Limited	85991
280	Qinghai Provincial Investment Group Co., Ltd.	5380
281	Rail Transit International Investment Company Limited	5643
282	Rail Transit International Investment Company Limited	5644
283	Reward International Investment Limited	5360
284	Rizhao Port (Hong Kong) Company Limited	85966
285	RKI Overseas Finance 2016 (A) Limited	5695
286	RKI Overseas Finance 2016 (B) Limited	4309
287	Road King Infrastructure Finance (2012) Limited	4565
288	Rongshi International Finance Limited	5448
289	Rongshi International Finance Limited	5449
290	Rosy Capital Global Limited	85719
291	SDSC Global Finance Limited	5303
292	SDSC International Finance Limited	5827
293	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
294	Shandong Gold International Mining Investment Holding Limited	5572
295	Shandong Iron and Steel Xinheng International Company Limited	5601
296	Shanghai Electric Power Finance Limited	5558
297	Shanghai Pdong Development Bank Co., Ltd.	85969
298	Shanghai (Hong Kong) International Investments Limited	5435
299	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
300	Shine Power International Limited	5777
301	Silver Sparkle Limited	5697
302	Sinochem Global Capital Co., Ltd.	5935
303	Sinochem Overseas Capital Company Limited	4501
304	Sinochem Overseas Capital Company Limited	4502
305	Sino-Ocean Land Treasure Finance I Limited	5781
306	Sino-Ocean Land Treasure Finance I Limited	5782
307	Sino-Ocean Land Treasure Finance II Limited	5868
308	Sino-Ocean Land Treasure Finance II Limited	5869
309	Sinotrains Sailing Ltd	85973
310	Skyland Mining (BVI) Limited	5775
311	Skysea International Capital Management Limited	4529
312	SmarTone Finance Limited	5917
313	Soar Rise Limited	85974
314	Societe Generale	5947
315	Societe Generale	5959
316	Societe Generale	5960
317	Societe Generale	5961
318	Societe Generale	5962
319	SPIC 2016 US dollar Bond Company Limited	5324
320	SPIC 2016 US dollar Bond Company Limited	5325
321	State Grid Overseas Investment (2013) Limited	5953
322	State Grid Overseas Investment (2013) Limited	5954
323	State Grid Overseas Investment (2013) Limited	5955
324	State Grid Overseas Investment (2014) Limited	5741
325	State Grid Overseas Investment (2014) Limited	5742
326	State Grid Overseas Investment (2014) Limited	5743
327	State Grid Overseas Investment (2016) Limited	5649
328	State Grid Overseas Investment (2016) Limited	5650
329	State Grid Overseas Investment (2016) Limited	5651
330	State Grid Overseas Investment (2016) Limited	5652
331	Sunshine Life Insurance Corporation Limited	5627
332	Sunshine Life Insurance Corporation Limited	5628
333	Sunshine Life Insurance Corporation Limited	5629
334	Suqian Economic Development (BVI) Co., Limited	5302
335	Sure Best Management Limited	85970
336	Taikang Insurance Group Inc.	5349
337	The Hongkong and Shanghai Banking Corporation Limited	4323
338	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
339	Tong Jie Limited	5906
340	Top Luxury Investment Limited	5598
341	Top Wise Excellence Enterprise Co., Ltd.	5402
342	Towngas (Finance) Limited	6018
343	Treasure Generator Limited	5709
344	Tuspark Forward Ltd.	5581
345	Tuspark Forward Ltd.	5735
346	TVB Finance Limited	4577
347	Unigroup International Holdings Ltd.	5596
348	Unigroup International Holdings Ltd.	5597
349	Union Life Insurance Co., Ltd.	4322
350	Wakala Global Sukuk Berhad	4519
351	Wanda Properties International Co. Limited	6023
352	Wanda Properties Overseas Limited	5997
353	Wanhua Chemical International Holding Co., Ltd.	85703
354	Want Want China Finance Limited	5446
355	Want Want China Finance Limited	5944
356	Wise Source International Limited	5309
357	Wuhan Metro Group Co., Ltd.	5939
358	Xiangxing Overseas Investment Co., Ltd.	5329
359	Xiangyu Investment (BVI) Co., Ltd.	5683
360	Xihui Haiwai I Investment Holdings Co., Limited	5679
361	Xingang International Holding Limited	5330
362	Xinhu (BVI) Holding Company Limited	5382
363	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
364	Yancoal International Resources Development Co., Limited	4551
365	Yancoal International Resources Development Co., Limited	4552
366	Yancoal International Resources Development Co., Limited	5424
367	Yancoal International Trading Co., Limited	5753
368	Yango (Cayman) Investment Limited	5414

369	Yieldking Investment Limited	85988
370	Yingde Gases Investment Limited	5793
371	Yingde Gases Investment Limited	5926
372	YONGDA Investment Limited	5543
373	Yufu Eternity Limited	85706
374	Yunnan Energy Investment (Overseas) Company Limited	85996
375	Yunnan Energy Investment Finance Company Ltd.	5632
376	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
377	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
378	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
379	Zhaohai Investment (BVI) Limited	5546
380	Zhaohai Investment (BVI) Limited	5547
381	Zhejiang Energy Group (Hong Kong) Limited	5807
382	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
383	ZHIYUAN Group (BVI) Co., Ltd.	5603
384	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
385	Zhuzhou City Construction Development Group Co., Ltd.	5710

### 第3類豁免：適用於股份在香港聯合交易所有限公司上市的以法團形式運作的開放式集體投資計劃

名稱	聯交所 股份代號	
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

### 第4類豁免：適用於聯交所的交易所參與者

名稱	
1	中國創盈市場服務有限公司
2	中國投資信息有限公司

### 第5類豁免：適用於屬結算參與者的結算所

名稱	
1	中國證券登記結算有限責任公司