

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 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 CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
14 Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme

15	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
16	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
17	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
18	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
19	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
20	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
21	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
22	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
23	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
24	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
25	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
26	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
27	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
28	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
29	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
30	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
31	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
32	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
33	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
34	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
35	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
36	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
37	HLP Finance Limited	US\$3 billion Medium Term Note Programme
38	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
39	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
40	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
41	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
42	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
43	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
44	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
45	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
46	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
47	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
48	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
49	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
50	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
51	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
52	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
53	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
54	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
55	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
56	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
57	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
58	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
59	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
60	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
61	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
62	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
63	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
64	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
65	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
66	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
67	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
68	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
69	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
70	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
71	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
72	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
73	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
74	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
75	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
76	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
77	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	Amber Treasure Ventures Limited	5209
13	Amber Treasure Ventures Limited	5243
14	Anhui Transportation Holding Group (H.K.) Limited	5529
15	Asia Pacific Ports Development Company Limited	85711
16	Asia View Limited	5788
17	AVIC International Finance & Investment Limited	5965
18	AVIC International Finance & Investment Limited	5966
19	Axiata SPV1 (Labuan) Limited	4320
20	Azure Orbit III International Finance Limited	5620
21	Azure Orbit III International Finance Limited	5621
22	Azure Orbit International Finance Limited	5909
23	Bank of China (Hong Kong) Limited	4316
24	Baosteel Financing 2015 Pty Ltd	5866
25	Baosteel Hong Kong Investment Company Limited	5584
26	Bao-Trans Enterprises Limited	5877
27	Bao-Trans Enterprises Limited	6004
28	BCEG (HongKong) Company Limited	5532
29	Beijing Capital Polaris Investment Co. Ltd	5889
30	Beijing Enterprises Water Capital Management Limited	5938
31	Beijing Gas Singapore Capital Corporation	5213
32	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
33	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
34	Bestgain Real Estate Limited	5914
35	Blue Skyview Company Limited	5364
36	Bluestar Finance Holdings Limited	4550
37	Bluestar Finance Holdings Limited	4556
38	Bluestar Finance Holdings Limited	5599
39	Bohai General Capital Ltd	85995
40	Boom Up Investments Limited	5544
41	Bright Food Hong Kong Limited	5948
42	Bright Galaxy International Limited	5927
43	Cable and Wireless International Finance B.V.	1077
44	Cable and Wireless International Finance B.V.	1078
45	Caiyun International Investment Limited	5682
46	CALC Bond 1 Limited	5642
47	CALC Bond 2 Limited	4300
48	CALC Bond 3 Limited	5390
49	CALC Bond 3 Limited	5391
50	CCB Life Insurance Company Limited	5437
51	CCBL (Cayman) Corporation Limited	5548
52	CCCI Treasure Limited	5893
53	CCTI 2017 Ltd	5258
54	CDBL Funding 1	5849
55	CDBL Funding 1	5850
56	Central Plaza Development Ltd.	5919
57	Century Master Investment Co. Ltd.	5968
58	CGNPC International Limited	5519
59	Chalco Hong Kong Investment Company Limited	5727
60	Chalco Hong Kong Investment Company Limited	5920
61	Chalco Hong Kong Investment Company Limited	5985
62	Chalieco Hong Kong Corporation Limited	5321
63	Chalieco Hong Kong Corporation Limited	5702
64	Chang Development International Limited	5345
65	Changde Urban Construction and Investment Group Co., Ltd.	5328
66	Changsha Pilot Investment Holdings Co., Ltd.	5315
67	Charter Style International Limited	85993
68	Chengdu Xingcheng Investment Group Co., Ltd.	5314
69	Cheung Kong Bond Securities (02) Limited	4559
70	Cheung Kong Bond Securities (03) Limited	4595
71	China Cinda Finance (2014) Limited	5747
72	China Cinda Finance (2014) Limited	5748
73	China CITIC Bank International Limited	4594
74	China CITIC Bank International Limited	5728
75	China CITIC Bank International Limited	5992
76	China Clean Energy Development Limited	5568
77	China Development Bank Corporation	85904
78	China Development Bank Corporation	85905
79	China Development Bank Corporation	85933
80	China Development Bank Corporation	85934
81	China Energy Reserve and Chemicals Group Finance III Limited	5399
82	China Energy Reserve and Chemicals Group Holding Limited	5639
83	China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
84	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
85	China Great Wall International Holdings II Limited	5533
86	China Great Wall International Holdings Limited	5802
87	China Life Insurance (Overseas) Co., Ltd	5250
88	China Merchants Finance Company Limited	4548
89	China Merchants Finance Company Limited	5554
90	China Merchants Finance Company Limited	5555
91	China Oceanwide International Financial Management Co., Ltd	5623
92	China Overseas Finance (Cayman) II Limited	4503
93	China Overseas Finance (Cayman) III Limited	5987
94	China Overseas Finance (Cayman) III Limited	5988
95	China Overseas Finance (Cayman) III Limited	5989
96	China Overseas Finance (Cayman) V Limited	4579
97	China Overseas Finance (Cayman) V Limited	4580
98	China Overseas Finance (Cayman) VI Limited	5745

99	China Overseas Finance (Cayman) VI Limited	5746
100	China Overseas Finance (Cayman) VI Limited	5760
101	China Overseas Finance Investment (Cayman) V Limited	5600
102	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
103	China Overseas Land International (Cayman) Limited	5541
104	China Railway Resources Huitung Limited	5904
105	China Railway XunJie Co., Limited	5244
106	China Railway XunJie Co., Limited	5692
107	China Resources Power East Foundation Co., Ltd.	4516
108	China Shenhua Overseas Capital Company Limited	5861
109	China Shenhua Overseas Capital Company Limited	5862
110	China Shenhua Overseas Capital Company Limited	5863
111	China Shipping Overseas Finance 2013 Limited	6020
112	China Southern Power Grid International Finance (BVI) Co., Limited	4583
113	China Southern Power Grid International Finance (BVI) Co., Limited	4598
114	China State Construction Finance (Cayman) I Limited	5916
115	China Taiping Capital Limited	4582
116	China Taiping New Horizon Limited	5984
117	China Uranium Development Company Limited	5971
118	China Yangtze Power International (BVI) 1 Limited	5300
119	China Yangtze Power International (BVI) 2 Limited	5301
120	Chinalco Capital Holdings Limited	4301
121	Chinalco Capital Holdings Limited	5438
122	Chinalco Finance Holdings Limited	5854
123	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
124	CITIC Securities Finance 2013 Co., Ltd.	5937
125	CITIC Telecom International Finance Limited	5908
126	CLP Power HK Finance Ltd.	5740
127	CLP Power Hong Kong Financing Limited	4306
128	CLP Power Hong Kong Financing Limited	4318
129	CMHI Finance (BVI) Co., Ltd.	4302
130	CNI Capital Limited	85725
131	CNMC International Capitals Company Limited	5608
132	CNOOC Curtis Funding No. 1 Pty Ltd	5972
133	CNOOC Curtis Funding No. 1 Pty Ltd	5973
134	CNOOC Finance (2003) Limited	2568
135	CNOOC Finance (2011) Limited	4506
136	CNOOC Finance (2011) Limited	4507
137	CNOOC Finance (2012) Limited	4546
138	CNOOC Finance (2012) Limited	4547
139	CNOOC Finance (2013) Limited	5940
140	CNOOC Finance (2013) Limited	5941
141	CNOOC Finance (2013) Limited	5942
142	CNOOC Finance (2015) Australia Pty Ltd	5506
143	CNOOC Finance (2015) Australia Pty Ltd	5507
144	CNOOC Finance (2015) U.S.A. LLC	5508
145	CNOOC Nexen Finance (2014) ULC	5738
146	CNOOC Nexen Finance (2014) ULC	5739
147	CNPC (HK) Overseas Capital Ltd.	4513
148	CNPC (HK) Overseas Capital Ltd.	4514
149	CNPC General Capital Limited	4544
150	CNPC General Capital Limited	5750
151	CNPC General Capital Limited	5922
152	CNPC General Capital Limited	5923
153	COSCO Pacific Finance (2013) Company Limited	5900
154	COSL Finance (BVI) Limited	4563
155	Cosmos Boom Investment Limited	5534
156	CRCC Yupeng Limited	5778
157	CRCC Yuxiang Limited	5945
158	Crotana Assets Limited	5724
159	CSCEC Finance (Cayman) I Limited	5574
160	CSCEC Finance (Cayman) II Limited	5232
161	CSCEC Finance (Cayman) II Limited	5233
162	CSCEC Finance (Cayman) II Limited	5668
163	CSCEC Finance (Cayman) II Limited	5669
164	CSCI Finance (2015) Co. Ltd	5564
165	CSSC Capital 2015 Limited	5876
166	Dah Sing Bank, Limited	5316
167	Dah Sing Bank, Limited	6021
168	Dawn Victor Limited	5524
169	Dianjian Haixing Limited	5816
170	Double Rosy Limited	5829
171	DYNAMIC MISSION INVESTMENTS LIMITED	5386
172	Eastern Creation Investment Holdings Ltd.	5714
173	eHi Car Services Limited	5594
174	e-Sun International Finance Limited	85978
175	Fita International Limited	4315
176	FPC Treasury Limited	5924
177	Franshion Brilliant Limited	5229
178	Franshion Brilliant Limited	5347
179	Franshion Brilliant Limited	5385
180	Franshion Brilliant Limited	5713
181	Franshion Brilliant Limited	5977
182	Franshion Investment Limited	4578
183	Fujian Zhanglong Group Co., Ltd.	5331
184	FWD Group Limited	5221
185	FWD Limited	5351
186	FWD Limited	5803
187	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304

188	Gaoxin International Investment Co., Ltd	5335
189	GOHL Capital Limited	5352
190	Goldwind New Energy (HK) Investment Limited	5545
191	GRAM International Limited	5587
192	Greenland Global Investment Limited	5768
193	Greenland Global Investment Limited	5769
194	Guangxi Communications Investment Group Corporation. Ltd	5921
195	GUANGZHOU Silk Road Investment Limited	5323
196	Guotai Junan Financial Holdings (BVI) Limited	5754
197	Haichuan International Investment Co., Ltd.	4538
198	Haitong International Finance 2014 Limited	5801
199	Haitong International Finance 2015 Limited	5867
200	Haitong International Finance Holdings 2015 Limited	5892
201	Hanrui Overseas Investment Co Ltd	5680
202	Hebei Iron & Steel (Hong Kong) International Trade Co., Limited	5818
203	Henson Finance Limited	4312
204	Hesteel Hong Kong Co., Limited	5417
205	HKCG (Finance) Limited	4303
206	HKEx International Limited	4575
207	Hong Kong Sukuk 2014 Limited	4223
208	Hong Kong Sukuk 2015 Limited	4226
209	Hong Kong Sukuk 2017 Limited	4233
210	Hongkong Baorong Development Limited	5595
211	Hongkong Electric Finance Limited	4505
212	Hongkong International (Qingdao) Company Limited	5874
213	Hongkong International (Qingdao) Company Limited	5875
214	Huai'an Traffic Holding Co., Ltd.	5784
215	Huaneng Hong Kong Capital Limited	5957
216	Huantaihu International investment Co., Ltd	5413
217	Huarong Finance Co., Ltd.	5774
218	Huarui Investment Holding Company Limited	85721
219	Huatai International Finance I Limited	5812
220	Huaxing Investment Holding Company Limited	5363
221	Huayi Finance I Ltd.	5847
222	ICBCIL Finance Co. Limited	5883
223	ICBCIL Finance Co. Limited	5884
224	IFC Development (Corporate Treasury) Limited	5715
225	IFC Development (Corporate Treasury) Limited	5756
226	IFC Development (Corporate Treasury) Limited	5757
227	IFC Development (Corporate Treasury) Limited	5949
228	Industrial and Commercial Bank of China (Asia) Limited	5686
229	Industrial and Commercial Bank of China (Asia) Limited	5976
230	Industrial and Commercial Bank of China (Macau) Limited	5797
231	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
232	Jinan West City Investment and Development Group Co., Ltd.	4588
233	Jingneng Clean Energy Investment Holdings Limited	85710
234	Jiuding Group Finance Co., Ltd	5246
235	Keen Idea Global Limited	5393
236	King Power Capital Ltd.	5822
237	King Power Capital Ltd.	5823
238	Korean Reinsurance Company	5815
239	Lai Sun Garment International Finance (2014) Limited	85986
240	Lai Sun Int'l Finance (2012) Limited	4591
241	Logo Star Limited	5996
242	LS Finance (2022) Limited	4571
243	LS Finance (2025) Limited	5535
244	Malaysia Sovereign Sukuk Berhad	5894
245	Malaysia Sovereign Sukuk Berhad	5895
246	Malaysia Sukuk Global Berhad	5633
247	Malaysia Sukuk Global Berhad	5634
248	MCC Holding (Hong Kong) Corporation Limited	5210
249	Meiya Power Company Limited	5964
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
251	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
252	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
253	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
254	Minmetals Land Capital Limited	5932
255	Minmetals Land Capital Limited	5933
256	Nanyang Commercial Bank, Limited	5214
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	Profit Fast Limited	5578
278	Prosperous Ray Limited	5993
279	Prosperous Ray Limited	5994
280	Proven Honour Capital Limited	5516
281	Proven Honour Capital Limited	5641
282	PTT Public Company Limited	2527
283	Pulai Capital Limited	4540
284	Qilu International Finance (BVI) Company Limited	85991
285	Qinghai Provincial Investment Group Co., Ltd.	5380
286	Radiant Access Limited	5205
287	Rail Transit International Investment Company Limited	5643
288	Rail Transit International Investment Company Limited	5644
289	Reward International Investment Limited	5360
290	RKI Overseas Finance 2016 (A) Limited	5695
291	RKI Overseas Finance 2016 (B) Limited	4309
292	Road King Infrastructure Finance (2012) Limited	4565
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	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
307	Shine Power International Limited	5777
308	Silver Sparkle Limited	5697
309	Sinochem Global Capital Co., Ltd.	5935
310	Sinochem Overseas Capital Company Limited	4501
311	Sinochem Overseas Capital Company Limited	4502
312	Sino-Ocean Land Treasure Finance I Limited	5781
313	Sino-Ocean Land Treasure Finance I Limited	5782
314	Sino-Ocean Land Treasure Finance II Limited	5868
315	Sino-Ocean Land Treasure Finance II Limited	5869
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	Tong Jie Limited	5906
345	Top Luxury Investment Limited	5598
346	Top Wise Excellence Enterprise Co., Ltd.	5402
347	Towngas (Finance) Limited	6018
348	Treasure Generator Limited	5709
349	Tuspark Forward Ltd.	5581
350	Tuspark Forward Ltd.	5735
351	TVB Finance Limited	4577
352	Unigroup International Holdings Ltd.	5596
353	Unigroup International Holdings Ltd.	5597
354	Union Life Insurance Co., Ltd.	4322
355	Wakala Global Sukuk Berhad	4519
356	Wanda Properties International Co. Limited	6023
357	Wanda Properties Overseas Limited	5997
358	Wanhua Chemical International Holding Co., Ltd.	85703
359	Want Want China Finance Limited	5446
360	Want Want China Finance Limited	5944
361	Wise Source International Limited	5309
362	Wuhan Metro Group Co., Ltd.	5939
363	Xiangxing Overseas Investment Co., Ltd.	5329
364	Xiangyu Investment (BVI) Co., Ltd.	5683
365	Xihui Haiwai I Investment Holdings Co., Limited	5679
366	Xingang International Holding Limited	5330

367	Xinhu (BVI) Holding Company Limited	5382
368	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
369	Yancoal International Resources Development Co., Limited	4552
370	Yancoal International Resources Development Co., Limited	5424
371	Yancoal International Trading Co., Limited	5753
372	Yango (Cayman) Investment Limited	5414
373	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
374	Yingde Gases Investment Limited	5793
375	Yingde Gases Investment Limited	5926
376	YONGDA Investment Limited	5543
377	Yufu Eternity Limited	85706
378	Yunnan Energy Investment (Overseas) Company Limited	85996
379	Yunnan Energy Investment Finance Company Ltd.	5632
380	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
381	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
382	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
383	Zhaohai Investment (BVI) Limited	5546
384	Zhaohai Investment (BVI) Limited	5547
385	Zhejiang Energy Group (Hong Kong) Limited	5807
386	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
387	ZHIYUAN Group (BVI) Co., Ltd.	5603
388	Zhongtai International Bond 2017 (BVI) Company Limited	5263
389	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
390	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