

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 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	2016年3月7日	2017年3月6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 4)	2009年12月10日	2015年12月9日
11 SG Issuer	2016年4月1日	2017年3月31日
12 SGA Société Générale Acceptance N.V. (注解 5)	2007年12月21日	2016年12月20日
13 Standard Chartered Bank (注解 6)	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完結為止。

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: 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5: 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6: 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.\$2,000,000,000 Medium Term Note Programme
6 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
7 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
8 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
9 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
10 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
11 Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
12 Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
13 Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
14 Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
15 Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
16 China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
17 China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
18 China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
19 China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
20 CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
21 CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
22 CK Property Finance (MTN) Limited	US\$3,000,000,000 Euro Medium Term Note Programme
23 CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
24 CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
25 Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
26 COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
27 Eastern Creation II Investment Holdings Ltd.	US\$2,000,000,000 Guaranteed Euro Medium Term Note Programme
28 Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
29 Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
30 Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
31 Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
32 HLP Finance Limited	US\$3 billion Medium Term Note Programme
33 Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
34 Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
35 Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
36 Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
37 Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
38 ICBCIL Finance Co. Limited	US\$5,000,000,000 Medium Term Note Programme
39 Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
40 Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
41 Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
42 K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
43 Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
44 Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
45 MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
46 NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
47 NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
48 PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
49 R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
50 RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
51 Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
52 Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
53 Sinochem Offshore Capital Company Limited	US\$3,000,000,000 Global Medium Term Note Programme
54 Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
55 Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
56 State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
57 Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
58 Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
59 Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
60 Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
61 The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
62 The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
63 The Link Finance (Cayman) 2009 Limited	US\$1 billion Guaranteed Euro Medium Term Note Programme
64 Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
65 Urban Renewal Authority	US\$1 billion Medium Term Note Programme
66 Vanke Real Estate (Hong Kong) Company Limited	US\$3,200,000,000 Medium Term Note Programme
67 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
68 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
69 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 AVIC International Finance & Investment Limited	85956
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 Group Corporation	86020
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 (Hong Kong) Limited	85977
30 Beijing Capital Polaris Investment Co. Ltd	5889
31 Beijing Enterprises Water Capital Management Limited	5938
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 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 CCBL (Cayman) Corporation Limited	5548
48 CCCI Treasure Limited	5893
49 CDBL Funding 1	5849
50 CDBL Funding 1	5850
51 Central Plaza Development Ltd.	5919
52 Century Master Investment Co. Ltd.	5968
53 CGNPC International Limited	5519
54 Chalco Hong Kong Investment Company Limited	5727
55 Chalco Hong Kong Investment Company Limited	5920
56 Chalco Hong Kong Investment Company Limited	5985
57 Chalico Hong Kong Corporation Limited	5321
58 Chalico Hong Kong Corporation Limited	5702
59 Changde Urban Construction and Investment Group Co., Ltd.	5328
60 Changsha Pilot Investment Holdings Co., Ltd.	5315
61 Charter Style International Limited	85993
62 Chengdu Xingcheng Investment Group Co., Ltd.	5314
63 Cheung Kong Bond Securities (02) Limited	4559
64 Cheung Kong Bond Securities (03) Limited	4595
65 China Cinda Finance (2014) Limited	5747
66 China Cinda Finance (2014) Limited	5748
67 China CITIC Bank International Limited	4594
68 China CITIC Bank International Limited	5728
69 China CITIC Bank International Limited	5992
70 China Clean Energy Development Limited	5568
71 China Development Bank Corporation	85903
72 China Development Bank Corporation	85904
73 China Development Bank Corporation	85905
74 China Development Bank Corporation	85933
75 China Development Bank Corporation	85934
76 China Energy Reserve and Chemicals Group Holding Limited	5639
77 China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
78 China Energy Reserve and Chemicals Group Overseas Company Limited	5503
79 China Great Wall International Holdings II Limited	5533
80 China Great Wall International Holdings Limited	5802
81 China Merchants Finance Company Limited	4548
82 China Merchants Finance Company Limited	5554
83 China Merchants Finance Company Limited	5555
84 China Minmetals Corporation	85975

85	China Oceanwide International Financial Management Co., Ltd	5623
86	China Overseas Finance (Cayman) II Limited	4503
87	China Overseas Finance (Cayman) III Limited	5987
88	China Overseas Finance (Cayman) III Limited	5988
89	China Overseas Finance (Cayman) III Limited	5989
90	China Overseas Finance (Cayman) IV Limited	4533
91	China Overseas Finance (Cayman) V Limited	4579
92	China Overseas Finance (Cayman) V Limited	4580
93	China Overseas Finance (Cayman) VI Limited	5745
94	China Overseas Finance (Cayman) VI Limited	5746
95	China Overseas Finance (Cayman) VI Limited	5760
96	China Overseas Finance Investment (Cayman) V Limited	5600
97	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
98	China Overseas Land International (Cayman) Limited	5541
99	China Railway Resources Huitung Limited	5904
100	China Railway XunJie Co., Limited	5692
101	China Resources Power East Foundation Co., Ltd.	4516
102	China Shenhua Overseas Capital Company Limited	5861
103	China Shenhua Overseas Capital Company Limited	5862
104	China Shenhua Overseas Capital Company Limited	5863
105	China Shipping Overseas Finance 2013 Limited	6020
106	China State Construction Finance (Cayman) I Limited	5916
107	China Taiping Capital Limited	4582
108	China Taiping New Horizon Limited	5984
109	China Uranium Development Company Limited	5971
110	China Yangtze Power International (BVI) 1 Limited	5300
111	China Yangtze Power International (BVI) 2 Limited	5301
112	Chinalco Capital Holdings Limited	4301
113	Chinalco Finance Holdings Limited	5854
114	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
115	CITIC Securities Finance 2013 Co., Ltd.	5937
116	CITIC Telecom International Finance Limited	5908
117	CLP Power HK Finance Ltd.	5740
118	CLP Power Hong Kong Financing Limited	4306
119	CLP Power Hong Kong Financing Limited	4318
120	CMHI Finance (BVI) Co., Ltd.	4302
121	CNI Capital Limited	85725
122	CNMC International Capitals Company Limited	5608
123	CNOOC Curtis Funding No. 1 Pty Ltd	5972
124	CNOOC Curtis Funding No. 1 Pty Ltd	5973
125	CNOOC Finance (2003) Limited	2568
126	CNOOC Finance (2011) Limited	4506
127	CNOOC Finance (2011) Limited	4507
128	CNOOC Finance (2012) Limited	4546
129	CNOOC Finance (2012) Limited	4547
130	CNOOC Finance (2013) Limited	5940
131	CNOOC Finance (2013) Limited	5941
132	CNOOC Finance (2013) Limited	5942
133	CNOOC Finance (2015) Australia Pty Ltd	5506
134	CNOOC Finance (2015) Australia Pty Ltd	5507
135	CNOOC Finance (2015) U.S.A. LLC	5508
136	CNOOC Nexen Finance (2014) ULC	5737
137	CNOOC Nexen Finance (2014) ULC	5738
138	CNOOC Nexen Finance (2014) ULC	5739
139	CNPC (HK) Overseas Capital Ltd.	4513
140	CNPC (HK) Overseas Capital Ltd.	4514
141	CNPC General Capital Limited	4543
142	CNPC General Capital Limited	4544
143	CNPC General Capital Limited	5749
144	CNPC General Capital Limited	5750
145	CNPC General Capital Limited	5922
146	CNPC General Capital Limited	5923
147	COSCO Pacific Finance (2013) Company Limited	5900
148	COSL Finance (BVI) Limited	4563
149	Cosmos Boom Investment Limited	5534
150	CRCC Yupeng Limited	5778
151	CRCC Yuxiang Limited	5945
152	Crotana Assets Limited	5724
153	CSCEC Finance (Cayman) I Limited	5574
154	CSCEC Finance (Cayman) II Limited	5668
155	CSCEC Finance (Cayman) II Limited	5669
156	CSCI Finance (2015) Co. Ltd	5564
157	CSSC Capital 2015 Limited	5876
158	Dah Sing Bank, Limited	5316
159	Dah Sing Bank, Limited	6021
160	Dawn Victor Limited	5524
161	Dianjian Haixing Limited	5816
162	Double Rosy Limited	5829
163	Eastern Air Overseas (Hong Kong) Corporation Limited	85953
164	Eastern Creation Investment Holdings Ltd.	5714
165	eHi Car Services Limited	5594
166	e-Sun International Finance Limited	85978
167	Fita International Limited	4315
168	FPC Treasury Limited	5924
169	Franshion Brilliant Limited	5713
170	Franshion Brilliant Limited	5977
171	Franshion Investment Limited	4578
172	Fujian Zhanglong Group Co., Ltd.	5331
173	FWD Limited	5803

174	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
175	Gaoxin International Investment Co., Ltd	5335
176	Goldwind New Energy (HK) Investment Limited	5545
177	GRAM International Limited	5587
178	Greenland Global Investment Limited	5768
179	Greenland Global Investment Limited	5769
180	Guangxi Communications Investment Group Corporation. Ltd	5921
181	GUANGZHOU Silk Road Investment Limited	5323
182	Guosen Securities (Overseas) Company Limited	85959
183	Guotai Junan Financial Holdings (BVI) Limited	5754
184	Haichuan International Investment Co., Ltd.	4538
185	Haitong International Finance 2014 Limited	5801
186	Haitong International Finance 2015 Limited	5867
187	Haitong International Finance Holdings 2015 Limited	5892
188	Hang Seng Bank (China) Limited	85981
189	Hanrui Overseas Investment Co Ltd	5680
190	Hebei Iron & Steel (Hong Kong) International Trade Co., Limited	5818
191	Henson Finance Limited	4312
192	HKCG (Finance) Limited	4303
193	HKEx International Limited	4575
194	HNA Tourism Finance Limited	85720
195	Hong Kong Huafa Investment Holdings Company Limited	85976
196	Hong Kong Sukuk 2014 Limited	4223
197	Hong Kong Sukuk 2015 Limited	4226
198	Hongkong Baorong Development Limited	5595
199	Hongkong Electric Finance Limited	4505
200	Hongkong International (Qingdao) Company Limited	5874
201	Hongkong International (Qingdao) Company Limited	5875
202	Hua Xia Bank Co., Limited	85980
203	Huai'an Traffic Holding Co., Ltd.	5784
204	Huaneng Hong Kong Capital Limited	5957
205	Huarong Finance Co., Ltd.	5773
206	Huarong Finance Co., Ltd.	5774
207	Huarui Investment Holding Company Limited	85721
208	Huatai International Finance I Limited	5812
209	Huayi Finance I Ltd.	5847
210	ICBCIL Finance Co. Limited	5883
211	ICBCIL Finance Co. Limited	5884
212	IFC Development (Corporate Treasury) Limited	5715
213	IFC Development (Corporate Treasury) Limited	5756
214	IFC Development (Corporate Treasury) Limited	5757
215	IFC Development (Corporate Treasury) Limited	5949
216	Industrial and Commercial Bank of China (Asia) Limited	5686
217	Industrial and Commercial Bank of China (Asia) Limited	5976
218	Industrial and Commercial Bank of China (Macau) Limited	5797
219	ITNL International Pte. Ltd.	85985
220	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
221	Jinan West City Investment and Development Group Co., Ltd.	4588
222	Jinchuan Group Co., Ltd.	85984
223	Jingneng Clean Energy Investment Holdings Limited	85710
224	Jingneng Investment Group Co., Limited	6028
225	King Power Capital Ltd.	5822
226	King Power Capital Ltd.	5823
227	Korean Reinsurance Company	5815
228	Kunzhi Limited	85939
229	Lai Sun Garment International Finance (2014) Limited	85986
230	Lai Sun Int'l Finance (2012) Limited	4591
231	Logo Star Limited	5996
232	LS Finance (2017) Limited	4530
233	LS Finance (2022) Limited	4571
234	LS Finance (2025) Limited	5535
235	Maikun Investment Co., Ltd.	85972
236	Malaysia Sovereign Sukuk Berhad	5894
237	Malaysia Sovereign Sukuk Berhad	5895
238	Malaysia Sukuk Global Berhad	5633
239	Malaysia Sukuk Global Berhad	5634
240	Meiya Power Company Limited	5964
241	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
242	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
243	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
244	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
245	Minmetals Land Capital Limited	5932
246	Minmetals Land Capital Limited	5933
247	NWD Finance (BVI) Limited	4561
248	Oceanwide Holdings International 2015 Co., Limited	5557
249	Oceanwide Real Estate International Holding Company Limited	5798
250	Orient Hongsheng Limited	85705
251	Oriental Capital Company Limited	5305
252	Oversea-Chinese Banking Corporation Limited	85912
253	OVPH Limited	5614
254	PB Issuer (No.4) Limited	5525
255	Peixian State-owned Assets Management Company Limited	5336
256	Petron Corporation	5905
257	PETRONAS Global Sukuk Ltd.	5882
258	PHBS Limited	4325
259	Phoenix Charm International Investment Limited	5332
260	Poly Real Estate Finance Ltd.	5730
261	Poly Real Estate Finance Ltd.	5963
262	Power Construction Corporation of China	85967

263	Profit Fast Limited	5578
264	Prosperous Ray Limited	5993
265	Prosperous Ray Limited	5994
266	Proven Honour Capital Limited	5516
267	Proven Honour Capital Limited	5641
268	PTT Public Company Limited	2527
269	Pulai Capital Limited	4540
270	Qilu International Finance (BVI) Company Limited	85991
271	Rail Transit International Investment Company Limited	5643
272	Rail Transit International Investment Company Limited	5644
273	Rizhao Port (Hong Kong) Company Limited	85966
274	RKI Overseas Finance 2016 (A) Limited	5695
275	RKI Overseas Finance 2016 (B) Limited	4309
276	Road King Infrastructure Finance (2012) Limited	4565
277	Rosy Capital Global Limited	85719
278	SDSC Global Finance Limited	5303
279	SDSC International Finance Limited	5827
280	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
281	Shandong Gold International Mining Investment Holding Limited	5572
282	Shandong Iron and Steel Xinheng International Company Limited	5601
283	Shanghai Electric Power Finance Limited	5558
284	Shanghai Pudong Development Bank Co., Ltd.	85969
285	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
286	Shine Power International Limited	5777
287	Silver Sparkle Limited	5697
288	Sinochem Global Capital Co., Ltd.	5935
289	Sinochem Overseas Capital Company Limited	4501
290	Sinochem Overseas Capital Company Limited	4502
291	Sino-Ocean Land Treasure Finance I Limited	5781
292	Sino-Ocean Land Treasure Finance I Limited	5782
293	Sino-Ocean Land Treasure Finance II Limited	5868
294	Sino-Ocean Land Treasure Finance II Limited	5869
295	Sinotrains Sailing Ltd	85973
296	Skyland Mining (BVI) Limited	5775
297	Skysea International Capital Management Limited	4529
298	SmarTone Finance Limited	5917
299	Soar Rise Limited	85974
300	Societe Generale	5947
301	Societe Generale	5959
302	Societe Generale	5960
303	Societe Generale	5961
304	Societe Generale	5962
305	SPIC 2016 US dollar Bond Company Limited	5324
306	SPIC 2016 US dollar Bond Company Limited	5325
307	Starway Assets Enterprises Inc.	85944
308	State Grid Overseas Investment (2013) Limited	5953
309	State Grid Overseas Investment (2013) Limited	5954
310	State Grid Overseas Investment (2013) Limited	5955
311	State Grid Overseas Investment (2014) Limited	5741
312	State Grid Overseas Investment (2014) Limited	5742
313	State Grid Overseas Investment (2014) Limited	5743
314	State Grid Overseas Investment (2016) Limited	5649
315	State Grid Overseas Investment (2016) Limited	5650
316	State Grid Overseas Investment (2016) Limited	5651
317	State Grid Overseas Investment (2016) Limited	5652
318	Sunshine Life Insurance Corporation Limited	5627
319	Sunshine Life Insurance Corporation Limited	5628
320	Sunshine Life Insurance Corporation Limited	5629
321	Suqian Economic Development (BVI) Co., Limited	5302
322	Sure Best Management Limited	85970
323	The Hongkong and Shanghai Banking Corporation Limited	4323
324	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
325	Tong Jie Limited	5906
326	Top Luxury Investment Limited	5598
327	Towngas (Finance) Limited	6018
328	Treasure Generator Limited	5709
329	Tuspark Forward Ltd.	5581
330	Tuspark Forward Ltd.	5735
331	TVB Finance Limited	4577
332	Unigroup International Holdings Ltd.	5596
333	Unigroup International Holdings Ltd.	5597
334	Union Life Insurance Co., Ltd.	4322
335	Universal Number One Co., Ltd	85946
336	Wakala Global Sukuk Berhad	4519
337	Wanda Properties International Co. Limited	6023
338	Wanda Properties Overseas Limited	5997
339	Wanhua Chemical International Holding Co., Ltd.	85703
340	Want Want China Finance Limited	5944
341	Wise Source International Limited	5309
342	Wuhan Metro Group Co., Ltd.	5939
343	Xiangxing Overseas Investment Co., Ltd.	5329
344	Xiangyu Investment (BVI) Co., Ltd.	5683
345	Xihui Haiwai I Investment Holdings Co., Limited	5679
346	Xingang International Holding Limited	5330
347	Xuzhou Economic and Technology Development Zone International Investment Co.,	5675
348	Yancoal International Resources Development Co., Limited	4551
349	Yancoal International Resources Development Co., Limited	4552
350	Yancoal International Trading Co., Limited	5753

351	Yieldking Investment Limited	85988
352	Yingde Gases Investment Limited	5793
353	Yingde Gases Investment Limited	5926
354	YONGDA Investment Limited	5543
355	Yufu Eternity Limited	85706
356	Yunnan Energy Investment (Overseas) Company Limited	85996
357	Yunnan Energy Investment Finance Company Ltd.	5632
358	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
359	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
360	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
361	Zhaohai Investment (BVI) Limited	5546
362	Zhaohai Investment (BVI) Limited	5547
363	Zhejiang Energy Group (Hong Kong) Limited	5807
364	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
365	ZHIYUAN Group (BVI) Co., Ltd.	5603
366	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
367	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