

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	2018年12月20日
2 BNP Paribas Issuance B.V.	2007年12月21日	2018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	2018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	2018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	2018年12月20日
9 Macquarie Bank Limited	2008年1月1日	2018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	2018年12月22日
15 UBS AG	2007年12月21日	2018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: 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 AVIC International Leasing Co., Ltd.	U.S.\$500,000,000 Medium Term Note Programme
6 Azure Nova International Finance Limited	U.S.\$10,000,000,000 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 Programme
9 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
10 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
11 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
12 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
13 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
14 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme

15	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
16	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
17	Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
18	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
19	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
20	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
21	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
22	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
23	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
24	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
25	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
26	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
27	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
28	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
29	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
30	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
31	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
32	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
33	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
34	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
35	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
36	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
37	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
38	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
39	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
40	HLP Finance Limited	US\$3 billion Medium Term Note Programme
41	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
42	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
43	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
44	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
45	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
46	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
47	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
48	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
49	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
50	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
51	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
52	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
53	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
54	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
55	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
56	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
57	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
58	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
59	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
60	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
61	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
62	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
63	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
64	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
65	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
66	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
67	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
68	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
69	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
70	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
71	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
72	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
73	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
74	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
75	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
76	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
77	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
78	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
79	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
80	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
81	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
82	Wing Lung Bank, Limited	U.S.\$2,000,000,000 Euro Medium Term Note Programme
83	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 Airvessel Finance Holding Limited	5789
3 Alibaba Group Holding Limited	5842
4 Alibaba Group Holding Limited	5843
5 Alibaba Group Holding Limited	5844
6 Alibaba Group Holding Limited	5845
7 Amber Circle Funding Limited	4586
8 Amber Treasure Ventures Limited	5209
9 Amber Treasure Ventures Limited	5243
10 Anhui Transportation Holding Group (H.K.) Limited	5529
11 Asia Pacific Ports Development Company Limited	85711
12 Asia View Limited	5788
13 AVIC International Finance & Investment Limited	5965
14 AVIC International Finance & Investment Limited	5966
15 Axiata SPV1 (Labuan) Limited	4320
16 Azure Orbit III International Finance Limited	5620
17 Azure Orbit III International Finance Limited	5621
18 Azure Orbit International Finance Limited	5909
19 Bank of China (Hong Kong) Limited	4316
20 Baosteel Financing 2015 Pty Ltd	5866
21 Baosteel Hong Kong Investment Company Limited	5584
22 Bao-Trans Enterprises Limited	5877
23 Bao-Trans Enterprises Limited	6004
24 BCEG (HongKong) Company Limited	5532
25 Beijing Capital Polaris Investment Co. Ltd	5889
26 Beijing Enterprises Water Capital Management Limited	5938
27 Beijing Gas Singapore Capital Corporation	5213
28 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
29 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
30 Bestgain Real Estate Limited	5914
31 Blue Skyview Company Limited	5364
32 Bluestar Finance Holdings Limited	4550
33 Bluestar Finance Holdings Limited	4556
34 Bluestar Finance Holdings Limited	5599
35 Boom Up Investments Limited	5544
36 Bright Food Hong Kong Limited	5948
37 Bright Galaxy International Limited	5927
38 Cable and Wireless International Finance B.V.	1077
39 Cable and Wireless International Finance B.V.	1078
40 Caiyun International Investment Limited	5682
41 CALC Bond 1 Limited	5642
42 CALC Bond 2 Limited	4300
43 CALC Bond 3 Limited	5390
44 CALC Bond 3 Limited	5391
45 CCB Life Insurance Company Limited	5437
46 CCBL (Cayman) Corporation Limited	5548
47 CCCI Treasure Limited	5893
48 CCTI 2017 Ltd	5258
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	5058
54 CGNPC International Limited	5059
55 CGNPC International Limited	5519
56 Chalco Hong Kong Investment Company Limited	5727
57 Chalco Hong Kong Investment Company Limited	5920
58 Chalco Hong Kong Investment Company Limited	5985
59 Chalieco Hong Kong Corporation Limited	5321
60 Chalieco Hong Kong Corporation Limited	5702
61 Chang Development International Limited	5345
62 Changde Urban Construction and Investment Group Co., Ltd.	5328
63 Changsha Pilot Investment Holdings Co., Ltd.	5315
64 Charter Style International Limited	85993
65 Chengdu Communications Investment Group Corporation Limited	5062
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 Cheung Kong Infrastructure Finance (BVI) Limited	5060
70 China Cinda Finance (2014) Limited	5747
71 China Cinda Finance (2014) Limited	5748
72 China CITIC Bank International Limited	4594
73 China CITIC Bank International Limited	5728
74 China CITIC Bank International Limited	5992
75 China Clean Energy Development Limited	5568
76 China Development Bank Corporation	85904
77 China Development Bank Corporation	85905
78 China Development Bank Corporation	85933
79 China Development Bank Corporation	85934
80 China Energy Reserve and Chemicals Group Finance III Limited	5399
81 China Energy Reserve and Chemicals Group Holding Limited	5639
82 China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
83 China Energy Reserve and Chemicals Group Overseas Company Limited	5503
84 China Great Wall International Holdings II Limited	5533

85	China Life Insurance (Overseas) Co., Ltd	5250
86	China Merchants Finance Company Limited	4548
87	China Merchants Finance Company Limited	5554
88	China Merchants Finance Company Limited	5555
89	China Minmetals Corporation	5009
90	China Oceanwide International Financial Management Co., Ltd	5623
91	China Overseas Finance (Cayman) II Limited	4503
92	China Overseas Finance (Cayman) III Limited	5987
93	China Overseas Finance (Cayman) III Limited	5988
94	China Overseas Finance (Cayman) III Limited	5989
95	China Overseas Finance (Cayman) V Limited	4579
96	China Overseas Finance (Cayman) V Limited	4580
97	China Overseas Finance (Cayman) VI Limited	5745
98	China Overseas Finance (Cayman) VI Limited	5746
99	China Overseas Finance (Cayman) VI Limited	5760
100	China Overseas Finance Investment (Cayman) V Limited	5600
101	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
102	China Overseas Land International (Cayman) Limited	5541
103	China Railway Resources Huitung Limited	5904
104	China Railway XunJie Co., Limited	5244
105	China Railway XunJie Co., Limited	5692
106	China Resources Power East Foundation Co., Ltd.	4516
107	China Shenhua Overseas Capital Company Limited	5861
108	China Shenhua Overseas Capital Company Limited	5862
109	China Shenhua Overseas Capital Company Limited	5863
110	China Shipping Overseas Finance 2013 Limited	6020
111	China Southern Power Grid International Finance (BVI) Co., Limited	4583
112	China Southern Power Grid International Finance (BVI) Co., Limited	4598
113	China State Construction Finance (Cayman) I Limited	5916
114	China State Construction Finance (Cayman) II Limited	5037
115	China State Construction Finance (Cayman) II Limited	5038
116	China Taiping Capital Limited	4582
117	China Taiping New Horizon Limited	5984
118	China Uranium Development Company Limited	5971
119	China Yangtze Power International (BVI) 1 Limited	5300
120	China Yangtze Power International (BVI) 2 Limited	5301
121	Chinalco Capital Holdings Limited	4301
122	Chinalco Capital Holdings Limited	5438
123	Chinalco Finance Holdings Limited	5854
124	Chiyu Banking Corporation Limited	5034
125	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
126	Chouzhou International Investment Limited	5056
127	CITIC Securities Finance 2013 Co., Ltd.	5937
128	CITIC Telecom International Finance Limited	5908
129	CLP Power HK Finance Ltd.	5740
130	CLP Power Hong Kong Financing Limited	4306
131	CLP Power Hong Kong Financing Limited	4318
132	CMHI Finance (BVI) Co., Ltd.	4302
133	CNI Capital Limited	85725
134	CNMC International Capitals Company Limited	5608
135	CNOOC Curtis Funding No. 1 Pty Ltd	5972
136	CNOOC Curtis Funding No. 1 Pty Ltd	5973
137	CNOOC Finance (2003) Limited	2568
138	CNOOC Finance (2011) Limited	4506
139	CNOOC Finance (2011) Limited	4507
140	CNOOC Finance (2012) Limited	4546
141	CNOOC Finance (2012) Limited	4547
142	CNOOC Finance (2013) Limited	5940
143	CNOOC Finance (2013) Limited	5941
144	CNOOC Finance (2013) Limited	5942
145	CNOOC Finance (2015) Australia Pty Ltd	5506
146	CNOOC Finance (2015) Australia Pty Ltd	5507
147	CNOOC Finance (2015) U.S.A. LLC	5508
148	CNOOC Nexen Finance (2014) ULC	5738
149	CNOOC Nexen Finance (2014) ULC	5739
150	CNPC (HK) Overseas Capital Ltd.	4513
151	CNPC (HK) Overseas Capital Ltd.	4514
152	CNPC General Capital Limited	4544
153	CNPC General Capital Limited	5750
154	CNPC General Capital Limited	5922
155	CNPC General Capital Limited	5923
156	COSCO Pacific Finance (2013) Company Limited	5900
157	COSL Finance (BVI) Limited	4563
158	Cosmos Boom Investment Limited	5534
159	CRCC Yupeng Limited	5778
160	CRCC Yuxiang Limited	5945
161	Crotana Assets Limited	5724
162	CSCEC Finance (Cayman) I Limited	5574
163	CSCEC Finance (Cayman) II Limited	5232
164	CSCEC Finance (Cayman) II Limited	5233
165	CSCEC Finance (Cayman) II Limited	5668
166	CSCEC Finance (Cayman) II Limited	5669
167	CSCI Finance (2015) Co. Ltd	5564
168	CSSC Capital 2015 Limited	5876
169	Dah Sing Bank, Limited	5316
170	Dah Sing Bank, Limited	6021
171	Dangdai International Investments Ltd	5027
172	Dawn Victor Limited	5524
173	Dianjian Haixing Limited	5816

174	Double Rosy Limited	5829
175	DYNAMIC MISSION INVESTMENTS LIMITED	5386
176	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
177	Eastern Creation Investment Holdings Ltd.	5714
178	eHi Car Services Limited	5594
179	e-Sun International Finance Limited	85978
180	Fita International Limited	4315
181	FPC Treasury Limited	5924
182	Franshion Brilliant Limited	5030
183	Franshion Brilliant Limited	5229
184	Franshion Brilliant Limited	5347
185	Franshion Brilliant Limited	5385
186	Franshion Brilliant Limited	5713
187	Franshion Brilliant Limited	5977
188	Fujian Zhanglong Group Co., Ltd.	5331
189	FWD Group Limited	5019
190	FWD Group Limited	5221
191	FWD Limited	5351
192	FWD Limited	5803
193	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
194	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
195	Gaoxin International Investment Co., Ltd	5335
196	GOHL Capital Limited	5352
197	Goldwind New Energy (HK) Investment Limited	5545
198	GRAM International Limited	5587
199	Green Fortune Capital Limited	5288
200	Greenland Global Investment Limited	5768
201	Greenland Global Investment Limited	5769
202	Guangxi Communications Investment Group Corporation. Ltd	5921
203	GUANGZHOU Silk Road Investment Limited	5323
204	Guotai Junan Financial Holdings (BVI) Limited	5754
205	Haichuan International Investment Co., Ltd.	4538
206	Haitian (BVI) International Investment Development Limited	5061
207	Haitong International Finance 2014 Limited	5801
208	Haitong International Finance 2015 Limited	5867
209	Haitong International Finance Holdings 2015 Limited	5892
210	Hanrui Overseas Investment Co Ltd	5081
211	Hanrui Overseas Investment Co Ltd	5680
212	Harvest International Company	5024
213	Henson Finance Limited	4312
214	Hesteel Hong Kong Co., Limited	5417
215	HKCG (Finance) Limited	4303
216	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
217	Hong Kong Sukuk 2014 Limited	4223
218	Hong Kong Sukuk 2015 Limited	4226
219	Hong Kong Sukuk 2017 Limited	4233
220	Hongkong Baorong Development Limited	5595
221	Hongkong Electric Finance Limited	4505
222	Hongkong International (Qingdao) Company Limited	5023
223	Hongkong International (Qingdao) Company Limited	5048
224	Hongkong International (Qingdao) Company Limited	5874
225	Hongkong International (Qingdao) Company Limited	5875
226	Huai'an Traffic Holding Co., Ltd.	5784
227	Huaneng Hong Kong Capital Limited	5000
228	Huaneng Hong Kong Capital Limited	5957
229	Huantaihu International investment Co., Ltd	5413
230	Huarong Finance Co., Ltd.	5774
231	Huarui Investment Holding Company Limited	85721
232	Huatai International Finance I Limited	5812
233	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
234	Huaxing Investment Holding Company Limited	5363
235	Huayi Finance I Ltd.	5847
236	Huzhou City Investment Development Group Co., Ltd.	5074
237	ICBCIL Finance Co. Limited	5883
238	ICBCIL Finance Co. Limited	5884
239	IFC Development (Corporate Treasury) Limited	5715
240	IFC Development (Corporate Treasury) Limited	5756
241	IFC Development (Corporate Treasury) Limited	5757
242	IFC Development (Corporate Treasury) Limited	5949
243	Industrial and Commercial Bank of China (Asia) Limited	5686
244	Industrial and Commercial Bank of China (Asia) Limited	5976
245	Industrial and Commercial Bank of China (Macau) Limited	5797
246	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
247	JIC Zhixin Limited	5031
248	JIC Zhixin Limited	5032
249	Jinan West City Investment and Development Group Co., Ltd.	4588
250	Jiuding Group Finance Co., Ltd	5246
251	Keen Idea Global Limited	5393
252	King Power Capital Ltd.	5822
253	King Power Capital Ltd.	5823
254	King Talent Management Limited	5026
255	Korean Reinsurance Company	5815
256	Lai Sun Garment International Finance (2014) Limited	85986
257	Lai Sun Int'l Finance (2012) Limited	4591
258	Logo Star Limited	5996
259	LS Finance (2022) Limited	4571
260	LS Finance (2025) Limited	5535
261	LSD Bonds (2017) Limited	5270
262	Luso International Banking Limited	5078

263	Malaysia Sovereign Sukuk Berhad	5894
264	Malaysia Sovereign Sukuk Berhad	5895
265	Malaysia Sukuk Global Berhad	5633
266	Malaysia Sukuk Global Berhad	5634
267	MCC Holding (Hong Kong) Corporation Limited	5210
268	Meiya Power Company Limited	5964
269	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
270	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
271	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
272	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
273	Minmetals Land Capital Limited	5932
274	Minmetals Land Capital Limited	5933
275	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
276	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
277	Nanyang Commercial Bank, Limited	5214
278	New Lion Bridge Company Limited	5290
279	New Rose Investments Limited	5344
280	Nuoxi Capital Limited	5436
281	NWD Finance (BVI) Limited	4561
282	Oceanwide Holdings International 2015 Co., Limited	5557
283	Oceanwide Holdings International 2017 Co., Limited	5035
284	Oceanwide Holdings International 2017 Co., Limited	5239
285	Oceanwide Holdings International 2017 Co., Limited	5251
286	Oceanwide Real Estate International Holding Company Limited	5798
287	Orient Huizhi Limited	5041
288	Oriental Capital Company Limited	5305
289	Oversea-Chinese Banking Corporation Limited	85912
290	OVPH Limited	5614
291	PB Issuer (No.4) Limited	5525
292	Peixian State-owned Assets Management Company Limited	5336
293	Petron Corporation	5905
294	PETRONAS Global Sukuk Ltd.	5882
295	PHBS Limited	4325
296	Phoenix Charm International Investment Limited	5332
297	Phoenix Lead Limited	5262
298	Poly Real Estate Finance Ltd.	5730
299	Poly Real Estate Finance Ltd.	5963
300	Press Metal (Labuan) Ltd.	5299
301	Profit Fast Limited	5578
302	Prosperous Ray Limited	5993
303	Prosperous Ray Limited	5994
304	Proven Honour Capital Limited	5516
305	Proven Honour Capital Limited	5641
306	PTT Public Company Limited	2527
307	Pulai Capital Limited	4540
308	Qinghai Province General Aviation Group Co., Ltd.	5064
309	Qinghai Provincial Investment Group Co., Ltd.	5289
310	Qinghai Provincial Investment Group Co., Ltd.	5380
311	Radiant Access Limited	5205
312	Rail Transit International Investment Company Limited	5643
313	Rail Transit International Investment Company Limited	5644
314	Reward International Investment Limited	5360
315	RKI Overseas Finance 2016 (A) Limited	5695
316	RKI Overseas Finance 2016 (B) Limited	4309
317	Rongshi International Finance Limited	5448
318	Rongshi International Finance Limited	5449
319	Rosy Capital Global Limited	85719
320	SDSC Global Finance Limited	5303
321	SDSC International Finance Limited	5827
322	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
323	Shandong Energy Australia Pty Ltd	5248
324	Shandong Gold International Mining Investment Holding Limited	5572
325	Shandong Iron and Steel Xinheng International Company Limited	5063
326	Shandong Iron and Steel Xinheng International Company Limited	5601
327	Shanghai Commercial Bank Limited	5043
328	Shanghai Electric Power Finance Limited	5558
329	Shanghai Port Group (BVI) Holding Co., Limited	5255
330	Shanghai Port Group (BVI) Holding Co., Limited	5256
331	Shanghai (Hong Kong) International Investments Limited	5435
332	Shine Power International Limited	5777
333	Silver Sparkle Limited	5697
334	Sinochem Global Capital Co., Ltd.	5935
335	Sinochem Overseas Capital Company Limited	4501
336	Sinochem Overseas Capital Company Limited	4502
337	Sino-Ocean Land Treasure Finance I Limited	5781
338	Sino-Ocean Land Treasure Finance I Limited	5782
339	Sino-Ocean Land Treasure Finance II Limited	5868
340	Sino-Ocean Land Treasure Finance II Limited	5869
341	Sino-Ocean Land Treasure III Limited	5276
342	Skyland Mining (BVI) Limited	5228
343	Skysea International Capital Management Limited	4529
344	SmarTone Finance Limited	5917
345	Societe Generale	5947
346	Societe Generale	5959
347	Societe Generale	5960
348	Societe Generale	5961
349	Societe Generale	5962
350	SPIC 2016 US dollar Bond Company Limited	5324
351	SPIC 2016 US dollar Bond Company Limited	5325
352	State Grid Overseas Investment (2013) Limited	5953

353	State Grid Overseas Investment (2013) Limited	5954
354	State Grid Overseas Investment (2013) Limited	5955
355	State Grid Overseas Investment (2014) Limited	5741
356	State Grid Overseas Investment (2014) Limited	5742
357	State Grid Overseas Investment (2014) Limited	5743
358	State Grid Overseas Investment (2016) Limited	5649
359	State Grid Overseas Investment (2016) Limited	5650
360	State Grid Overseas Investment (2016) Limited	5651
361	State Grid Overseas Investment (2016) Limited	5652
362	Strategic International Group Limited	5241
363	Sunshine Life Insurance Corporation Limited	5627
364	Sunshine Life Insurance Corporation Limited	5628
365	Sunshine Life Insurance Corporation Limited	5629
366	Suqian Economic Development (BVI) Co., Limited	5302
367	Taikang Insurance Group Inc.	5349
368	The Hongkong and Shanghai Banking Corporation Limited	4323
369	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
370	Tianjin Lingang Investment Holding Co., Ltd	5281
371	Tianjin Real Estate Group Co., Ltd	5286
372	Tianqi Finco Co., Ltd	5036
373	Tong Jie Limited	5906
374	Top Luxury Investment Limited	5598
375	Top Wise Excellence Enterprise Co., Ltd.	5402
376	Towngas (Finance) Limited	6018
377	Treasure Generator Limited	5709
378	Tuspark Forward Ltd.	5581
379	Tuspark Forward Ltd.	5735
380	TVB Finance Limited	4577
381	Unigroup International Holdings Ltd.	5596
382	Unigroup International Holdings Ltd.	5597
383	Union Life Insurance Co., Ltd.	4322
384	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
385	Wakala Global Sukuk Berhad	4519
386	Wanda Properties International Co. Limited	6023
387	Wanda Properties Overseas Limited	5997
388	Want Want China Finance Limited	5446
389	Want Want China Finance Limited	5944
390	Wise Source International Limited	5309
391	Wuhan Metro Group Co., Ltd.	5939
392	Wuhan State-owned Assets Management Limited Company	5070
393	Xiangxing Overseas Investment Co., Ltd.	5329
394	Xiangyu Investment (BVI) Co., Ltd.	5683
395	Xihui Haiwai I Investment Holdings Co., Limited	5679
396	Xingang International Holding Limited	5330
397	Xinhu (BVI) Holding Company Limited	5382
398	Xinxing Industry Investment Company Limited	5065
399	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
400	Yancoal International Resources Development Co., Limited	4552
401	Yancoal International Resources Development Co., Limited	5424
402	Yancoal International Trading Co., Limited	5753
403	Yango (Cayman) Investment Limited	5414
404	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
405	Yankuang Group (Cayman) Limited	5044
406	Yihua Overseas Investment Ltd	5293
407	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
408	Yingde Gases Investment Limited	5793
409	Yingde Gases Investment Limited	5926
410	YONGDA Investment Limited	5543
411	Yunnan Energy Investment Finance Company Ltd.	5632
412	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
413	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
414	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
415	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
416	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
417	Zhaohai Investment (BVI) Limited	5546
418	Zhaohai Investment (BVI) Limited	5547
419	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
420	ZHIYUAN Group (BVI) Co., Ltd.	5603
421	Zhongtai International Bond 2017 (BVI) Company Limited	5263
422	Zhuzhou City Construction Development Group Co., Ltd.	5710
423	Zoucheng Limin Construction Development Company Limited	5079

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 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

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