

## 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 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 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 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 Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
18 China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
19 China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
20 China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
21 CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
22 CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
23 CK Property Finance (MTN) Limited	US\$3,000,000,000 Euro Medium Term Note Programme
24 CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
25 CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
26 Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
27 COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
28 Eastern Creation II Investment Holdings Ltd.	US\$2,000,000,000 Guaranteed Euro Medium Term Note Programme
29 Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
30 Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
31 Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
32 Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
33 HLP Finance Limited	US\$3 billion Medium Term Note Programme
34 Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
35 Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
36 Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
37 Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
38 Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
39 ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
40 Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
41 Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
42 Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
43 K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
44 Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
45 Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
46 MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
47 NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
48 NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
49 PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
50 Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
51 R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
52 RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
53 Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
54 Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
55 Sinochem Offshore Capital Company Limited	US\$3,000,000,000 Global Medium Term Note Programme
56 Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
57 Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
58 State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
59 Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
60 Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
61 Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
62 Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
63 The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
64 The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
65 The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
66 Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
67 Urban Renewal Authority	US\$1 billion Medium Term Note Programme
68 Vanke Real Estate (Hong Kong) Company Limited	US\$3,200,000,000 Medium Term Note Programme
69 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
70 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
71 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（并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 Hong Kong Investment Company Limited	5584
25 Bao-Trans Enterprises Limited	5877
26 Bao-Trans Enterprises Limited	6004
27 BCEG (HongKong) Company Limited	5532
28 Beijing Capital (Hong Kong) Limited	85977
29 Beijing Capital Polaris Investment Co. Ltd	5889
30 Beijing Enterprises Water Capital Management Limited	5938
31 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
32 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
33 Bestgain Real Estate Limited	5914
34 Bluestar Finance Holdings Limited	4550
35 Bluestar Finance Holdings Limited	4556
36 Bluestar Finance Holdings Limited	5599
37 Bohai General Capital Ltd	85995
38 Boom Up Investments Limited	5544
39 Bright Food Hong Kong Limited	5948
40 Bright Galaxy International Limited	5927
41 Cable and Wireless International Finance B.V.	1077
42 Cable and Wireless International Finance B.V.	1078
43 Caiyun International Investment Limited	5682
44 CALC Bond 1 Limited	5642
45 CALC Bond 2 Limited	4300
46 CALC Bond 3 Limited	5390
47 CALC Bond 3 Limited	5391
48 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 State Construction Finance (Cayman) I Limited	5916
108	China Taiping Capital Limited	4582
109	China Taiping New Horizon Limited	5984
110	China Uranium Development Company Limited	5971
111	China Yangtze Power International (BVI) 1 Limited	5300
112	China Yangtze Power International (BVI) 2 Limited	5301
113	Chinalco Capital Holdings Limited	4301
114	Chinalco Finance Holdings Limited	5854
115	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
116	CITIC Securities Finance 2013 Co., Ltd.	5937
117	CITIC Telecom International Finance Limited	5908
118	CLP Power HK Finance Ltd.	5740
119	CLP Power Hong Kong Financing Limited	4306
120	CLP Power Hong Kong Financing Limited	4318
121	CMHI Finance (BVI) Co., Ltd.	4302
122	CNI Capital Limited	85725
123	CNMC International Capitals Company Limited	5608
124	CNOOC Curtis Funding No. 1 Pty Ltd	5972
125	CNOOC Curtis Funding No. 1 Pty Ltd	5973
126	CNOOC Finance (2003) Limited	2568
127	CNOOC Finance (2011) Limited	4506
128	CNOOC Finance (2011) Limited	4507
129	CNOOC Finance (2012) Limited	4546
130	CNOOC Finance (2012) Limited	4547
131	CNOOC Finance (2013) Limited	5940
132	CNOOC Finance (2013) Limited	5941
133	CNOOC Finance (2013) Limited	5942
134	CNOOC Finance (2015) Australia Pty Ltd	5506
135	CNOOC Finance (2015) Australia Pty Ltd	5507
136	CNOOC Finance (2015) U.S.A. LLC	5508
137	CNOOC Nexen Finance (2014) ULC	5737
138	CNOOC Nexen Finance (2014) ULC	5738
139	CNOOC Nexen Finance (2014) ULC	5739
140	CNPC (HK) Overseas Capital Ltd.	4513
141	CNPC (HK) Overseas Capital Ltd.	4514
142	CNPC General Capital Limited	4543
143	CNPC General Capital Limited	4544
144	CNPC General Capital Limited	5749
145	CNPC General Capital Limited	5750
146	CNPC General Capital Limited	5922
147	CNPC General Capital Limited	5923
148	COSCO Pacific Finance (2013) Company Limited	5900
149	COSL Finance (BVI) Limited	4563
150	Cosmos Boom Investment Limited	5534
151	CRCC Yupeng Limited	5778
152	CRCC Yuxiang Limited	5945
153	Crotone Assets Limited	5724
154	CSCEC Finance (Cayman) I Limited	5574
155	CSCEC Finance (Cayman) II Limited	5668
156	CSCEC Finance (Cayman) II Limited	5669
157	CSCI Finance (2015) Co. Ltd	5564
158	CSSC Capital 2015 Limited	5876
159	Dah Sing Bank, Limited	5316
160	Dah Sing Bank, Limited	6021
161	Dawn Victor Limited	5524
162	Dianjian Haixing Limited	5816
163	Double Rosy Limited	5829
164	DYNAMIC MISSION INVESTMENTS LIMITED	5386
165	Eastern Creation Investment Holdings Ltd.	5714
166	eHi Car Services Limited	5594
167	e-Sun International Finance Limited	85978
168	Fita International Limited	4315
169	FPC Treasury Limited	5924
170	Franshion Brilliant Limited	5347
171	Franshion Brilliant Limited	5385
172	Franshion Brilliant Limited	5713
173	Franshion Brilliant Limited	5977

174	Franshion Investment Limited	4578
175	Fujian Zhanglong Group Co., Ltd.	5331
176	FWD Limited	5351
177	FWD Limited	5803
178	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
179	Gaoxin International Investment Co., Ltd	5335
180	GOHL Capital Limited	5352
181	Goldwind New Energy (HK) Investment Limited	5545
182	GRAM International Limited	5587
183	Greenland Global Investment Limited	5768
184	Greenland Global Investment Limited	5769
185	Guangxi Communications Investment Group Corporation. Ltd	5921
186	GUANGZHOU Silk Road Investment Limited	5323
187	Guosen Securities (Overseas) Company Limited	85959
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	HKCG (Finance) Limited	4303
198	HKEx International Limited	4575
199	HNA Tourism Finance Limited	85720
200	Hong Kong Huafa Investment Holdings Company Limited	85976
201	Hong Kong Sukuk 2014 Limited	4223
202	Hong Kong Sukuk 2015 Limited	4226
203	Hong Kong Sukuk 2017 Limited	4233
204	Hongkong Baorong Development Limited	5595
205	Hongkong Electric Finance Limited	4505
206	Hongkong International (Qingdao) Company Limited	5874
207	Hongkong International (Qingdao) Company Limited	5875
208	Hua Xia Bank Co., Limited	85980
209	Huai'an Traffic Holding Co., Ltd.	5784
210	Huaneng Hong Kong Capital Limited	5957
211	Huantaihu International investment Co., Ltd	5413
212	Huarong Finance Co., Ltd.	5773
213	Huarong Finance Co., Ltd.	5774
214	Huarui Investment Holding Company Limited	85721
215	Huatai International Finance I Limited	5812
216	Huaxing Investment Holding Company Limited	5363
217	Huayi Finance I Ltd.	5847
218	ICBCIL Finance Co. Limited	5883
219	ICBCIL Finance Co. Limited	5884
220	IFC Development (Corporate Treasury) Limited	5715
221	IFC Development (Corporate Treasury) Limited	5756
222	IFC Development (Corporate Treasury) Limited	5757
223	IFC Development (Corporate Treasury) Limited	5949
224	Industrial and Commercial Bank of China (Asia) Limited	5686
225	Industrial and Commercial Bank of China (Asia) Limited	5976
226	Industrial and Commercial Bank of China (Macau) Limited	5797
227	ITNL International Pte. Ltd.	85985
228	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
229	Jinan West City Investment and Development Group Co., Ltd.	4588
230	Jinchuan Group Co., Ltd.	85984
231	Jingneng Clean Energy Investment Holdings Limited	85710
232	Keen Idea Global Limited	5393
233	King Power Capital Ltd.	5822
234	King Power Capital Ltd.	5823
235	Korean Reinsurance Company	5815
236	Lai Sun Garment International Finance (2014) Limited	85986
237	Lai Sun Int'l Finance (2012) Limited	4591
238	Logo Star Limited	5996
239	LS Finance (2022) Limited	4571
240	LS Finance (2025) Limited	5535
241	Maikun Investment Co., Ltd.	85972
242	Malaysia Sovereign Sukuk Berhad	5894
243	Malaysia Sovereign Sukuk Berhad	5895
244	Malaysia Sukuk Global Berhad	5633
245	Malaysia Sukuk Global Berhad	5634
246	Meiya Power Company Limited	5964
247	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
248	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
249	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
251	Minmetals Land Capital Limited	5932
252	Minmetals Land Capital Limited	5933
253	New Rose Investments Limited	5344
254	NWD Finance (BVI) Limited	4561
255	Oceanwide Holdings International 2015 Co., Limited	5557
256	Oceanwide Real Estate International Holding Company Limited	5798
257	Orient Hongsheng Limited	85705
258	Oriental Capital Company Limited	5305
259	Oversea-Chinese Banking Corporation Limited	85912
260	OVPH Limited	5614
261	PB Issuer (No.4) Limited	5525
262	Peixian State-owned Assets Management Company Limited	5336

263	Petron Corporation	5905
264	PETRONAS Global Sukuk Ltd.	5882
265	PHBS Limited	4325
266	Phoenix Charm International Investment Limited	5332
267	Poly Real Estate Finance Ltd.	5730
268	Poly Real Estate Finance Ltd.	5963
269	Power Construction Corporation of China	85967
270	Profit Fast Limited	5578
271	Prosperous Ray Limited	5993
272	Prosperous Ray Limited	5994
273	Proven Honour Capital Limited	5516
274	Proven Honour Capital Limited	5641
275	PTT Public Company Limited	2527
276	Pulai Capital Limited	4540
277	Qilu International Finance (BVI) Company Limited	85991
278	Qinghai Provincial Investment Group Co., Ltd.	5380
279	Rail Transit International Investment Company Limited	5643
280	Rail Transit International Investment Company Limited	5644
281	Reward International Investment Limited	5360
282	Rizhao Port (Hong Kong) Company Limited	85966
283	RKI Overseas Finance 2016 (A) Limited	5695
284	RKI Overseas Finance 2016 (B) Limited	4309
285	Road King Infrastructure Finance (2012) Limited	4565
286	Rosy Capital Global Limited	85719
287	SDSC Global Finance Limited	5303
288	SDSC International Finance Limited	5827
289	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
290	Shandong Gold International Mining Investment Holding Limited	5572
291	Shandong Iron and Steel Xinheng International Company Limited	5601
292	Shanghai Electric Power Finance Limited	5558
293	Shanghai Pudong Development Bank Co., Ltd.	85969
294	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
295	Shine Power International Limited	5777
296	Silver Sparkle Limited	5697
297	Sinochem Global Capital Co., Ltd.	5935
298	Sinochem Overseas Capital Company Limited	4501
299	Sinochem Overseas Capital Company Limited	4502
300	Sino-Ocean Land Treasure Finance I Limited	5781
301	Sino-Ocean Land Treasure Finance I Limited	5782
302	Sino-Ocean Land Treasure Finance II Limited	5868
303	Sino-Ocean Land Treasure Finance II Limited	5869
304	Sinotrains Sailing Ltd	85973
305	Skyland Mining (BVI) Limited	5775
306	Skysea International Capital Management Limited	4529
307	SmarTone Finance Limited	5917
308	Soar Rise Limited	85974
309	Societe Generale	5947
310	Societe Generale	5959
311	Societe Generale	5960
312	Societe Generale	5961
313	Societe Generale	5962
314	SPIC 2016 US dollar Bond Company Limited	5324
315	SPIC 2016 US dollar Bond Company Limited	5325
316	State Grid Overseas Investment (2013) Limited	5953
317	State Grid Overseas Investment (2013) Limited	5954
318	State Grid Overseas Investment (2013) Limited	5955
319	State Grid Overseas Investment (2014) Limited	5741
320	State Grid Overseas Investment (2014) Limited	5742
321	State Grid Overseas Investment (2014) Limited	5743
322	State Grid Overseas Investment (2016) Limited	5649
323	State Grid Overseas Investment (2016) Limited	5650
324	State Grid Overseas Investment (2016) Limited	5651
325	State Grid Overseas Investment (2016) Limited	5652
326	Sunshine Life Insurance Corporation Limited	5627
327	Sunshine Life Insurance Corporation Limited	5628
328	Sunshine Life Insurance Corporation Limited	5629
329	Suqian Economic Development (BVI) Co., Limited	5302
330	Sure Best Management Limited	85970
331	Taikang Insurance Group Inc.	5349
332	The Hongkong and Shanghai Banking Corporation Limited	4323
333	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
334	Tong Jie Limited	5906
335	Top Luxury Investment Limited	5598
336	Top Wise Excellence Enterprise Co., Ltd.	5402
337	Towngas (Finance) Limited	6018
338	Treasure Generator Limited	5709
339	Tuspark Forward Ltd.	5581
340	Tuspark Forward Ltd.	5735
341	TVB Finance Limited	4577
342	Unigroup International Holdings Ltd.	5596
343	Unigroup International Holdings Ltd.	5597
344	Union Life Insurance Co., Ltd.	4322
345	Wakala Global Sukuk Berhad	4519
346	Wanda Properties International Co. Limited	6023
347	Wanda Properties Overseas Limited	5997
348	Wanhua Chemical International Holding Co., Ltd.	85703
349	Want Want China Finance Limited	5944
350	Wise Source International Limited	5309
351	Wuhan Metro Group Co., Ltd.	5939
352	Xiangxing Overseas Investment Co., Ltd.	5329

353	Xiangyu Investment (BVI) Co., Ltd.	5683
354	Xihui Haiwai I Investment Holdings Co., Limited	5679
355	Xingang International Holding Limited	5330
356	Xinhu (BVI) Holding Company Limited	5382
357	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
358	Yancoal International Resources Development Co., Limited	4551
359	Yancoal International Resources Development Co., Limited	4552
360	Yancoal International Trading Co., Limited	5753
361	Yango (Cayman) Investment Limited	5414
362	Yieldking Investment Limited	85988
363	Yingde Gases Investment Limited	5793
364	Yingde Gases Investment Limited	5926
365	YONGDA Investment Limited	5543
366	Yufu Eternity Limited	85706
367	Yunnan Energy Investment (Overseas) Company Limited	85996
368	Yunnan Energy Investment Finance Company Ltd.	5632
369	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
370	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
371	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
372	Zhaohai Investment (BVI) Limited	5546
373	Zhaohai Investment (BVI) Limited	5547
374	Zhejiang Energy Group (Hong Kong) Limited	5807
375	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
376	ZHIYUAN Group (BVI) Co., Ltd.	5603
377	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
378	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