

根據《證券及期貨條例》(第571章)第309(2)條批給的豁免

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

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

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

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

第2類豁免：適用於並無股份在香港聯合交易所有限公司上市的法團

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

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

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

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

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

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

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

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

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

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

名稱	項目
1 AirAsia Global Notes Limited	US\$1,000,000,000 Multicurrency Medium Term Note Programme
2 Amipeace Ltd.	HK\$10,000,000,000 Medium Term Note Programme
3 AMTD Group Company Limited	U.S.\$500,000,000 Medium Term Note Programme
4 AVIC International Leasing Co., Ltd.	US\$500,000,000 Medium Term Note Programme
5 Azure Nova International Finance Limited	U.S.\$5,500,000,000 Medium Term Note Programme
6 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
7 Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programme
8 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
9 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
10 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
11 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
12 Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
13 Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme

14	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
15	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
16	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
17	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
18	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
19	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
20	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
21	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
22	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
23	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
24	CK Property Finance (MTN) Limited	US\$3,000,000,000 Euro Medium Term Note Programme
25	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
26	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
27	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
28	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
29	Eastern Creation II Investment Holdings Ltd.	US\$2,000,000,000 Guaranteed Euro Medium Term Note Programme
30	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
31	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
32	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
33	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
34	HLP Finance Limited	US\$3 billion Medium Term Note Programme
35	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
36	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
37	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
38	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
39	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
40	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
41	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
42	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
43	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
44	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
45	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
46	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
47	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
48	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
49	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
50	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
51	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
52	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
53	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
54	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
55	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
56	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
57	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
58	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
59	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
60	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
61	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
62	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
63	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
64	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
65	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
66	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
67	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
68	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
69	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
70	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
71	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
72	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd., Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$5 billion Medium Term Note Programme
73	Wheelock Finance (BVI) Limited, Wheelock Finance (No.1) Limited, Wheelock Finance Limited and Wheelock MTN (Singapore) Pte. Ltd.	US\$3 billion Medium Term Note Programme
74	Yuexiu REIT MTN Company Limited	US\$1,000,000,000 Medium Term Note Programme

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

名稱	聯交所 股份代號
1 ABCL Glory Capital Limited	5677
2 Advance Wisdom Investments Limited	5813
3 Airvessel Finance Holding Limited	5789
4 Alibaba Group Holding Limited	5840
5 Alibaba Group Holding Limited	5841
6 Alibaba Group Holding Limited	5842
7 Alibaba Group Holding Limited	5843
8 Alibaba Group Holding Limited	5844
9 Alibaba Group Holding Limited	5845
10 Amber Circle Funding Limited	4585

11	Amber Circle Funding Limited	4586
12	Amber Treasure Ventures Limited	5209
13	Anhui Transportation Holding Group (H.K.) Limited	5529
14	Asia Pacific Ports Development Company Limited	85711
15	Asia View Limited	5788
16	AVIC International Finance & Investment Limited	5965
17	AVIC International Finance & Investment Limited	5966
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 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	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	CALC Bond 3 Limited	5390
48	CALC Bond 3 Limited	5391
49	CCB Life Insurance Company Limited	5437
50	CCBL (Cayman) Corporation Limited	5548
51	CCCI Treasure Limited	5893
52	CDBL Funding 1	5849
53	CDBL Funding 1	5850
54	Central Plaza Development Ltd.	5919
55	Century Master Investment Co. Ltd.	5968
56	CGNPC International Limited	5519
57	Chalco Hong Kong Investment Company Limited	5727
58	Chalco Hong Kong Investment Company Limited	5920
59	Chalco Hong Kong Investment Company Limited	5985
60	Chalieco Hong Kong Corporation Limited	5321
61	Chalieco Hong Kong Corporation Limited	5702
62	Chang Development International Limited	5345
63	Changde Urban Construction and Investment Group Co., Ltd.	5328
64	Changsha Pilot Investment Holdings Co., Ltd.	5315
65	Charter Style International Limited	85993
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	China Cinda Finance (2014) Limited	5747
70	China Cinda Finance (2014) Limited	5748
71	China CITIC Bank International Limited	4594
72	China CITIC Bank International Limited	5728
73	China CITIC Bank International Limited	5992
74	China Clean Energy Development Limited	5568
75	China Development Bank Corporation	85904
76	China Development Bank Corporation	85905
77	China Development Bank Corporation	85933
78	China Development Bank Corporation	85934
79	China Energy Reserve and Chemicals Group Finance III Limited	5399
80	China Energy Reserve and Chemicals Group Holding Limited	5639
81	China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
82	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
83	China Great Wall International Holdings II Limited	5533
84	China Great Wall International Holdings Limited	5802
85	China Merchants Finance Company Limited	4548
86	China Merchants Finance Company Limited	5554
87	China Merchants Finance Company Limited	5555
88	China Minmetals Corporation	85975
89	China Oceanwide International Financial Management Co., Ltd	5623
90	China Overseas Finance (Cayman) II Limited	4503
91	China Overseas Finance (Cayman) III Limited	5987
92	China Overseas Finance (Cayman) III Limited	5988
93	China Overseas Finance (Cayman) III Limited	5989
94	China Overseas Finance (Cayman) V Limited	4579
95	China Overseas Finance (Cayman) V Limited	4580
96	China Overseas Finance (Cayman) VI Limited	5745
97	China Overseas Finance (Cayman) VI Limited	5746
98	China Overseas Finance (Cayman) VI Limited	5760
99	China Overseas Finance Investment (Cayman) V Limited	5600
100	China Overseas Grand Oceans Finance II (Cayman) Limited	6012

101	China Overseas Land International (Cayman) Limited	5541
102	China Railway Resources Huitung Limited	5904
103	China Railway XunJie Co., Limited	5692
104	China Resources Power East Foundation Co., Ltd.	4516
105	China Shenhua Overseas Capital Company Limited	5861
106	China Shenhua Overseas Capital Company Limited	5862
107	China Shenhua Overseas Capital Company Limited	5863
108	China Shipping Overseas Finance 2013 Limited	6020
109	China Southern Power Grid International Finance (BVI) Co., Limited	4583
110	China Southern Power Grid International Finance (BVI) Co., Limited	4598
111	China State Construction Finance (Cayman) I Limited	5916
112	China Taiping Capital Limited	4582
113	China Taiping New Horizon Limited	5984
114	China Uranium Development Company Limited	5971
115	China Yangtze Power International (BVI) 1 Limited	5300
116	China Yangtze Power International (BVI) 2 Limited	5301
117	Chinalco Capital Holdings Limited	4301
118	Chinalco Capital Holdings Limited	5438
119	Chinalco Finance Holdings Limited	5854
120	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
121	CITIC Securities Finance 2013 Co., Ltd.	5937
122	CITIC Telecom International Finance Limited	5908
123	CLP Power HK Finance Ltd.	5740
124	CLP Power Hong Kong Financing Limited	4306
125	CLP Power Hong Kong Financing Limited	4318
126	CMHI Finance (BVI) Co., Ltd.	4302
127	CNI Capital Limited	85725
128	CNMC International Capitals Company Limited	5608
129	CNOOC Curtis Funding No. 1 Pty Ltd	5972
130	CNOOC Curtis Funding No. 1 Pty Ltd	5973
131	CNOOC Finance (2003) Limited	2568
132	CNOOC Finance (2011) Limited	4506
133	CNOOC Finance (2011) Limited	4507
134	CNOOC Finance (2012) Limited	4546
135	CNOOC Finance (2012) Limited	4547
136	CNOOC Finance (2013) Limited	5940
137	CNOOC Finance (2013) Limited	5941
138	CNOOC Finance (2013) Limited	5942
139	CNOOC Finance (2015) Australia Pty Ltd	5506
140	CNOOC Finance (2015) Australia Pty Ltd	5507
141	CNOOC Finance (2015) U.S.A. LLC	5508
142	CNOOC Nexen Finance (2014) ULC	5738
143	CNOOC Nexen Finance (2014) ULC	5739
144	CNPC (HK) Overseas Capital Ltd.	4513
145	CNPC (HK) Overseas Capital Ltd.	4514
146	CNPC General Capital Limited	4544
147	CNPC General Capital Limited	5750
148	CNPC General Capital Limited	5922
149	CNPC General Capital Limited	5923
150	COSCO Pacific Finance (2013) Company Limited	5900
151	COSL Finance (BVI) Limited	4563
152	Cosmos Boom Investment Limited	5534
153	CRCC Yupeng Limited	5778
154	CRCC Yuxiang Limited	5945
155	Crotana Assets Limited	5724
156	CSCEC Finance (Cayman) I Limited	5574
157	CSCEC Finance (Cayman) II Limited	5668
158	CSCEC Finance (Cayman) II Limited	5669
159	CSCI Finance (2015) Co. Ltd	5564
160	CSSC Capital 2015 Limited	5876
161	Dah Sing Bank, Limited	5316
162	Dah Sing Bank, Limited	6021
163	Dawn Victor Limited	5524
164	Dianjian Haixing Limited	5816
165	Double Rosy Limited	5829
166	DYNAMIC MISSION INVESTMENTS LIMITED	5386
167	Eastern Creation Investment Holdings Ltd.	5714
168	eHi Car Services Limited	5594
169	e-Sun International Finance Limited	85978
170	Fita International Limited	4315
171	FPC Treasury Limited	5924
172	Franshion Brilliant Limited	5347
173	Franshion Brilliant Limited	5385
174	Franshion Brilliant Limited	5713
175	Franshion Brilliant Limited	5977
176	Franshion Investment Limited	4578
177	Fujian Zhanglong Group Co., Ltd.	5331
178	FWD Limited	5351
179	FWD Limited	5803
180	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
181	Gaoxin International Investment Co., Ltd	5335
182	GOHL Capital Limited	5352
183	Goldwind New Energy (HK) Investment Limited	5545
184	GRAM International Limited	5587
185	Greenland Global Investment Limited	5768
186	Greenland Global Investment Limited	5769
187	Guangxi Communications Investment Group Corporation. Ltd	5921
188	GUANGZHOU Silk Road Investment Limited	5323
189	Guotai Junan Financial Holdings (BVI) Limited	5754

190	Haichuan International Investment Co., Ltd.	4538
191	Haitong International Finance 2014 Limited	5801
192	Haitong International Finance 2015 Limited	5867
193	Haitong International Finance Holdings 2015 Limited	5892
194	Hang Seng Bank (China) Limited	85981
195	Hanrui Overseas Investment Co Ltd	5680
196	Hebei Iron & Steel (Hong Kong) International Trade Co., Limited	5818
197	Henson Finance Limited	4312
198	Hesteel Hong Kong Co., Limited	5417
199	HKCG (Finance) Limited	4303
200	HKEx International Limited	4575
201	HNA Tourism Finance Limited	85720
202	Hong Kong Huafa Investment Holdings Company Limited	85976
203	Hong Kong Sukuk 2014 Limited	4223
204	Hong Kong Sukuk 2015 Limited	4226
205	Hong Kong Sukuk 2017 Limited	4233
206	Hongkong Baorong Development Limited	5595
207	Hongkong Electric Finance Limited	4505
208	Hongkong International (Qingdao) Company Limited	5874
209	Hongkong International (Qingdao) Company Limited	5875
210	Hua Xia Bank Co., Limited	85980
211	Huai'an Traffic Holding Co., Ltd.	5784
212	Huaneng Hong Kong Capital Limited	5957
213	Huantaihu International investment Co., Ltd	5413
214	Huarong Finance Co., Ltd.	5773
215	Huarong Finance Co., Ltd.	5774
216	Huarui Investment Holding Company Limited	85721
217	Huatai International Finance I Limited	5812
218	Huaxing Investment Holding Company Limited	5363
219	Huayi Finance I Ltd.	5847
220	ICBCIL Finance Co. Limited	5883
221	ICBCIL Finance Co. Limited	5884
222	IFC Development (Corporate Treasury) Limited	5715
223	IFC Development (Corporate Treasury) Limited	5756
224	IFC Development (Corporate Treasury) Limited	5757
225	IFC Development (Corporate Treasury) Limited	5949
226	Industrial and Commercial Bank of China (Asia) Limited	5686
227	Industrial and Commercial Bank of China (Asia) Limited	5976
228	Industrial and Commercial Bank of China (Macau) Limited	5797
229	ITNL International Pte. Ltd.	85985
230	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
231	Jinan West City Investment and Development Group Co., Ltd.	4588
232	Jinchuan Group Co., Ltd.	85984
233	Jingneng Clean Energy Investment Holdings Limited	85710
234	Keen Idea Global Limited	5393
235	King Power Capital Ltd.	5822
236	King Power Capital Ltd.	5823
237	Korean Reinsurance Company	5815
238	Lai Sun Garment International Finance (2014) Limited	85986
239	Lai Sun Int'l Finance (2012) Limited	4591
240	Logo Star Limited	5996
241	LS Finance (2022) Limited	4571
242	LS Finance (2025) Limited	5535
243	Maikun Investment Co., Ltd.	85972
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 Real Estate International Holding Company Limited	5798
262	Orient Hongsheng Limited	85705
263	Oriental Capital Company Limited	5305
264	Oversea-Chinese Banking Corporation Limited	85912
265	OVPH Limited	5614
266	PB Issuer (No.4) Limited	5525
267	Peixian State-owned Assets Management Company Limited	5336
268	Petron Corporation	5905
269	PETRONAS Global Sukuk Ltd.	5882
270	PHBS Limited	4325
271	Phoenix Charm International Investment Limited	5332
272	Poly Real Estate Finance Ltd.	5730
273	Poly Real Estate Finance Ltd.	5963
274	Profit Fast Limited	5578
275	Prosperous Ray Limited	5993
276	Prosperous Ray Limited	5994
277	Proven Honour Capital Limited	5516
278	Proven Honour Capital Limited	5641

279	PTT Public Company Limited	2527
280	Pulai Capital Limited	4540
281	Qilu International Finance (BVI) Company Limited	85991
282	Qinghai Provincial Investment Group Co., Ltd.	5380
283	Radiant Access Limited	5205
284	Rail Transit International Investment Company Limited	5643
285	Rail Transit International Investment Company Limited	5644
286	Reward International Investment Limited	5360
287	RKI Overseas Finance 2016 (A) Limited	5695
288	RKI Overseas Finance 2016 (B) Limited	4309
289	Road King Infrastructure Finance (2012) Limited	4565
290	Rongshi International Finance Limited	5448
291	Rongshi International Finance Limited	5449
292	Rosy Capital Global Limited	85719
293	SDSC Global Finance Limited	5303
294	SDSC International Finance Limited	5827
295	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
296	Shandong Gold International Mining Investment Holding Limited	5572
297	Shandong Iron and Steel Xinheng International Company Limited	5601
298	Shanghai Electric Power Finance Limited	5558
299	Shanghai (Hong Kong) International Investments Limited	5435
300	Shenzhen Qianhai Financial Holdings Co., Ltd.	85714
301	Shine Power International Limited	5777
302	Silver Sparkle Limited	5697
303	Sinochem Global Capital Co., Ltd.	5935
304	Sinochem Overseas Capital Company Limited	4501
305	Sinochem Overseas Capital Company Limited	4502
306	Sino-Ocean Land Treasure Finance I Limited	5781
307	Sino-Ocean Land Treasure Finance I Limited	5782
308	Sino-Ocean Land Treasure Finance II Limited	5868
309	Sino-Ocean Land Treasure Finance II Limited	5869
310	Sinotrains Sailing Ltd	85973
311	Skyland Mining (BVI) Limited	5775
312	Skysea International Capital Management Limited	4529
313	SmarTone Finance Limited	5917
314	Soar Rise Limited	85974
315	Societe Generale	5947
316	Societe Generale	5959
317	Societe Generale	5960
318	Societe Generale	5961
319	Societe Generale	5962
320	SPIC 2016 US dollar Bond Company Limited	5324
321	SPIC 2016 US dollar Bond Company Limited	5325
322	State Grid Overseas Investment (2013) Limited	5953
323	State Grid Overseas Investment (2013) Limited	5954
324	State Grid Overseas Investment (2013) Limited	5955
325	State Grid Overseas Investment (2014) Limited	5741
326	State Grid Overseas Investment (2014) Limited	5742
327	State Grid Overseas Investment (2014) Limited	5743
328	State Grid Overseas Investment (2016) Limited	5649
329	State Grid Overseas Investment (2016) Limited	5650
330	State Grid Overseas Investment (2016) Limited	5651
331	State Grid Overseas Investment (2016) Limited	5652
332	Sunshine Life Insurance Corporation Limited	5627
333	Sunshine Life Insurance Corporation Limited	5628
334	Sunshine Life Insurance Corporation Limited	5629
335	Suqian Economic Development (BVI) Co., Limited	5302
336	Taikang Insurance Group Inc.	5349
337	The Hongkong and Shanghai Banking Corporation Limited	4323
338	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
339	Tong Jie Limited	5906
340	Top Luxury Investment Limited	5598
341	Top Wise Excellence Enterprise Co., Ltd.	5402
342	Towngas (Finance) Limited	6018
343	Treasure Generator Limited	5709
344	Tuspark Forward Ltd.	5581
345	Tuspark Forward Ltd.	5735
346	TVB Finance Limited	4577
347	Unigroup International Holdings Ltd.	5596
348	Unigroup International Holdings Ltd.	5597
349	Union Life Insurance Co., Ltd.	4322
350	Wakala Global Sukuk Berhad	4519
351	Wanda Properties International Co. Limited	6023
352	Wanda Properties Overseas Limited	5997
353	Wanhua Chemical International Holding Co., Ltd.	85703
354	Want Want China Finance Limited	5446
355	Want Want China Finance Limited	5944
356	Wise Source International Limited	5309
357	Wuhan Metro Group Co., Ltd.	5939
358	Xiangxing Overseas Investment Co., Ltd.	5329
359	Xiangyu Investment (BVI) Co., Ltd.	5683
360	Xihui Haiwai I Investment Holdings Co., Limited	5679
361	Xingang International Holding Limited	5330
362	Xinhu (BVI) Holding Company Limited	5382
363	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
364	Yancoal International Resources Development Co., Limited	4552
365	Yancoal International Resources Development Co., Limited	5424
366	Yancoal International Trading Co., Limited	5753
367	Yango (Cayman) Investment Limited	5414
368	Yieldking Investment Limited	85988

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