

根據《證券及期貨條例》(第571章)第309(2) 條批給的豁免

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

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

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

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

第2類豁免：適用於並無股份在香港聯合交易所有限公司上市的法團

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

名稱	豁免期限 (注解1)	豁免開始日	豁免終止日
1 BOCI Aisa Limited		2007年12月21日	2017年12月20日
2 BNP Paribas Arbitrage Issuance B.V.		2007年12月21日	2017年12月20日
3 Citigroup Global Markets Holdings Inc. (注解2)		2009年6月15日	2015年6月14日
4 Credit Suisse AG		2007年12月21日	2017年12月20日
5 Daiwa Capital Markets Hong Kong Limited (注解3)		2010年7月20日	2016年7月19日
6 Goldman Sachs Structured Products (Asia) Limited		2007年12月21日	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	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\$4,000,000,000 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\$2,000,000,000 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	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
62	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
63	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
64	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
65	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
66	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
67	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
68	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
69	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
70	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
71	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
72	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
73	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
74	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
75	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
76	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
77	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
78	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
79	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
80	Wing Lung Bank, Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
81	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	4585
8	Amber Circle Funding Limited	4586
9	Amber Treasure Ventures Limited	5209
10	Amber Treasure Ventures Limited	5243
11	Anhui Transportation Holding Group (H.K.) Limited	5529
12	Asia Pacific Ports Development Company Limited	85711
13	Asia View Limited	5788
14	AVIC International Finance & Investment Limited	5965
15	AVIC International Finance & Investment Limited	5966
16	Axiata SPV1 (Labuan) Limited	4320
17	Azure Orbit III International Finance Limited	5620
18	Azure Orbit III International Finance Limited	5621
19	Azure Orbit International Finance Limited	5909
20	Bank of China (Hong Kong) Limited	4316
21	Baosteel Financing 2015 Pty Ltd	5866
22	Baosteel Hong Kong Investment Company Limited	5584
23	Bao-Trans Enterprises Limited	5877
24	Bao-Trans Enterprises Limited	6004
25	BCEG (HongKong) Company Limited	5532
26	Beijing Capital Polaris Investment Co. Ltd	5889
27	Beijing Enterprises Water Capital Management Limited	5938
28	Beijing Gas Singapore Capital Corporation	5213
29	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
30	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
31	Bestgain Real Estate Limited	5914
32	Blue Skyview Company Limited	5364
33	Bluestar Finance Holdings Limited	4550
34	Bluestar Finance Holdings Limited	4556
35	Bluestar Finance Holdings Limited	5599
36	Boom Up Investments Limited	5544
37	Bright Food Hong Kong Limited	5948
38	Bright Galaxy International Limited	5927
39	Cable and Wireless International Finance B.V.	1077
40	Cable and Wireless International Finance B.V.	1078
41	Caiyun International Investment Limited	5682
42	CALC Bond 1 Limited	5642
43	CALC Bond 2 Limited	4300
44	CALC Bond 3 Limited	5390
45	CALC Bond 3 Limited	5391
46	CCB Life Insurance Company Limited	5437
47	CCBL (Cayman) Corporation Limited	5548
48	CCCI Treasure Limited	5893
49	CCTI 2017 Ltd	5258
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 Life Insurance (Overseas) Co., Ltd	5250
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	5009
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	5244
102	China Railway XunJie Co., Limited	5692
103	China Resources Power East Foundation Co., Ltd.	4516
104	China Shenhua Overseas Capital Company Limited	5861
105	China Shenhua Overseas Capital Company Limited	5862
106	China Shenhua Overseas Capital Company Limited	5863
107	China Shipping Overseas Finance 2013 Limited	6020
108	China Southern Power Grid International Finance (BVI) Co., Limited	4583
109	China Southern Power Grid International Finance (BVI) Co., Limited	4598
110	China State Construction Finance (Cayman) I Limited	5916
111	China State Construction Finance (Cayman) II Limited	5037
112	China State Construction Finance (Cayman) II Limited	5038
113	China Taiping Capital Limited	4582
114	China Taiping New Horizon Limited	5984
115	China Uranium Development Company Limited	5971
116	China Yangtze Power International (BVI) 1 Limited	5300
117	China Yangtze Power International (BVI) 2 Limited	5301
118	Chinalco Capital Holdings Limited	4301
119	Chinalco Capital Holdings Limited	5438
120	Chinalco Finance Holdings Limited	5854
121	Chiyu Banking Corporation Limited	5034
122	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
123	CITIC Securities Finance 2013 Co., Ltd.	5937
124	CITIC Telecom International Finance Limited	5908
125	CLP Power HK Finance Ltd.	5740
126	CLP Power Hong Kong Financing Limited	4306
127	CLP Power Hong Kong Financing Limited	4318
128	CMHI Finance (BVI) Co., Ltd.	4302
129	CNI Capital Limited	85725
130	CNMC International Capitals Company Limited	5608
131	CNOOC Curtis Funding No. 1 Pty Ltd	5972
132	CNOOC Curtis Funding No. 1 Pty Ltd	5973
133	CNOOC Finance (2003) Limited	2568
134	CNOOC Finance (2011) Limited	4506
135	CNOOC Finance (2011) Limited	4507
136	CNOOC Finance (2012) Limited	4546
137	CNOOC Finance (2012) Limited	4547
138	CNOOC Finance (2013) Limited	5940
139	CNOOC Finance (2013) Limited	5941
140	CNOOC Finance (2013) Limited	5942
141	CNOOC Finance (2015) Australia Pty Ltd	5506
142	CNOOC Finance (2015) Australia Pty Ltd	5507
143	CNOOC Finance (2015) U.S.A. LLC	5508
144	CNOOC Nexen Finance (2014) ULC	5738
145	CNOOC Nexen Finance (2014) ULC	5739
146	CNPC (HK) Overseas Capital Ltd.	4513
147	CNPC (HK) Overseas Capital Ltd.	4514
148	CNPC General Capital Limited	4544
149	CNPC General Capital Limited	5750
150	CNPC General Capital Limited	5922
151	CNPC General Capital Limited	5923
152	COSCO Pacific Finance (2013) Company Limited	5900
153	COSL Finance (BVI) Limited	4563
154	Cosmos Boom Investment Limited	5534
155	CRCC Yupeng Limited	5778
156	CRCC Yuxiang Limited	5945
157	Crotona Assets Limited	5724
158	CSCEC Finance (Cayman) I Limited	5574
159	CSCEC Finance (Cayman) II Limited	5232
160	CSCEC Finance (Cayman) II Limited	5233
161	CSCEC Finance (Cayman) II Limited	5668
162	CSCEC Finance (Cayman) II Limited	5669
163	CSCI Finance (2015) Co. Ltd	5564
164	CSSC Capital 2015 Limited	5876
165	Dah Sing Bank, Limited	5316
166	Dah Sing Bank, Limited	6021
167	Dangdai International Investments Ltd	5027
168	Dawn Victor Limited	5524
169	Dianjian Haixing Limited	5816
170	Double Rosy Limited	5829
171	DYNAMIC MISSION INVESTMENTS LIMITED	5386
172	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
173	Eastern Creation Investment Holdings Ltd.	5714
174	eHi Car Services Limited	5594
175	e-Sun International Finance Limited	85978
176	Fita International Limited	4315
177	FPC Treasury Limited	5924
178	Franshion Brilliant Limited	5030
179	Franshion Brilliant Limited	5229
180	Franshion Brilliant Limited	5347
181	Franshion Brilliant Limited	5385
182	Franshion Brilliant Limited	5713
183	Franshion Brilliant Limited	5977

184	Fujian Zhanglong Group Co., Ltd.	5331
185	FWD Group Limited	5019
186	FWD Group Limited	5221
187	FWD Limited	5351
188	FWD Limited	5803
189	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
190	Gaoxin International Investment Co., Ltd	5335
191	GOHL Capital Limited	5352
192	Goldwind New Energy (HK) Investment Limited	5545
193	GRAM International Limited	5587
194	Green Fortune Capital Limited	5288
195	Greenland Global Investment Limited	5768
196	Greenland Global Investment Limited	5769
197	Guangxi Communications Investment Group Corporation. Ltd	5921
198	GUANGZHOU Silk Road Investment Limited	5323
199	Guotai Junan Financial Holdings (BVI) Limited	5754
200	Haichuan International Investment Co., Ltd.	4538
201	Haitong International Finance 2014 Limited	5801
202	Haitong International Finance 2015 Limited	5867
203	Haitong International Finance Holdings 2015 Limited	5892
204	Hanrui Overseas Investment Co Ltd	5680
205	Harvest International Company	5024
206	Henson Finance Limited	4312
207	Hesteel Hong Kong Co., Limited	5417
208	HKCG (Finance) Limited	4303
209	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
210	Hong Kong Sukuk 2014 Limited	4223
211	Hong Kong Sukuk 2015 Limited	4226
212	Hong Kong Sukuk 2017 Limited	4233
213	Hongkong Baorong Development Limited	5595
214	Hongkong Electric Finance Limited	4505
215	Hongkong International (Qingdao) Company Limited	5023
216	Hongkong International (Qingdao) Company Limited	5048
217	Hongkong International (Qingdao) Company Limited	5874
218	Hongkong International (Qingdao) Company Limited	5875
219	Huai'an Traffic Holding Co., Ltd.	5784
220	Huaneng Hong Kong Capital Limited	5000
221	Huaneng Hong Kong Capital Limited	5957
222	Huantaihu International investment Co., Ltd	5413
223	Huarong Finance Co., Ltd.	5774
224	Huarui Investment Holding Company Limited	85721
225	Huatai International Finance I Limited	5812
226	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
227	Huaxing Investment Holding Company Limited	5363
228	Huayi Finance I Ltd.	5847
229	ICBCIL Finance Co. Limited	5883
230	ICBCIL Finance Co. Limited	5884
231	IFC Development (Corporate Treasury) Limited	5715
232	IFC Development (Corporate Treasury) Limited	5756
233	IFC Development (Corporate Treasury) Limited	5757
234	IFC Development (Corporate Treasury) Limited	5949
235	Industrial and Commercial Bank of China (Asia) Limited	5686
236	Industrial and Commercial Bank of China (Asia) Limited	5976
237	Industrial and Commercial Bank of China (Macau) Limited	5797
238	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
239	JIC Zhixin Limited	5031
240	JIC Zhixin Limited	5032
241	Jinan West City Investment and Development Group Co., Ltd.	4588
242	Jingneng Clean Energy Investment Holdings Limited	85710
243	Jiuding Group Finance Co., Ltd	5246
244	Keen Idea Global Limited	5393
245	King Power Capital Ltd.	5822
246	King Power Capital Ltd.	5823
247	King Talent Management Limited	5026
248	Korean Reinsurance Company	5815
249	Lai Sun Garment International Finance (2014) Limited	85986
250	Lai Sun Int'l Finance (2012) Limited	4591
251	Logo Star Limited	5996
252	LS Finance (2022) Limited	4571
253	LS Finance (2025) Limited	5535
254	LSD Bonds (2017) Limited	5270
255	Malaysia Sovereign Sukuk Berhad	5894
256	Malaysia Sovereign Sukuk Berhad	5895
257	Malaysia Sukuk Global Berhad	5633
258	Malaysia Sukuk Global Berhad	5634
259	MCC Holding (Hong Kong) Corporation Limited	5210
260	Meiya Power Company Limited	5964
261	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
262	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
263	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
264	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
265	Minmetals Land Capital Limited	5932
266	Minmetals Land Capital Limited	5933
267	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
268	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
269	Nanyang Commercial Bank, Limited	5214
270	New Lion Bridge Company Limited	5290
271	New Rose Investments Limited	5344
272	Nuoxi Capital Limited	5436

273	NWD Finance (BVI) Limited	4561
274	Oceanwide Holdings International 2015 Co., Limited	5557
275	Oceanwide Holdings International 2017 Co., Limited	5035
276	Oceanwide Holdings International 2017 Co., Limited	5239
277	Oceanwide Holdings International 2017 Co., Limited	5251
278	Oceanwide Real Estate International Holding Company Limited	5798
279	Orient Huizhi Limited	5041
280	Oriental Capital Company Limited	5305
281	Oversea-Chinese Banking Corporation Limited	85912
282	OVPH Limited	5614
283	PB Issuer (No.4) Limited	5525
284	Peixian State-owned Assets Management Company Limited	5336
285	Petron Corporation	5905
286	PETRONAS Global Sukuk Ltd.	5882
287	PHBS Limited	4325
288	Phoenix Charm International Investment Limited	5332
289	Phoenix Lead Limited	5262
290	Poly Real Estate Finance Ltd.	5730
291	Poly Real Estate Finance Ltd.	5963
292	Press Metal (Labuan) Ltd.	5299
293	Profit Fast Limited	5578
294	Prosperous Ray Limited	5993
295	Prosperous Ray Limited	5994
296	Proven Honour Capital Limited	5516
297	Proven Honour Capital Limited	5641
298	PTT Public Company Limited	2527
299	Pulai Capital Limited	4540
300	Qinghai Provincial Investment Group Co., Ltd.	5289
301	Qinghai Provincial Investment Group Co., Ltd.	5380
302	Radiant Access Limited	5205
303	Rail Transit International Investment Company Limited	5643
304	Rail Transit International Investment Company Limited	5644
305	Reward International Investment Limited	5360
306	RKI Overseas Finance 2016 (A) Limited	5695
307	RKI Overseas Finance 2016 (B) Limited	4309
308	Rongshi International Finance Limited	5448
309	Rongshi International Finance Limited	5449
310	Rosy Capital Global Limited	85719
311	SDSC Global Finance Limited	5303
312	SDSC International Finance Limited	5827
313	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
314	Shandong Energy Australia Pty Ltd	5248
315	Shandong Gold International Mining Investment Holding Limited	5572
316	Shandong Iron and Steel Xinheng International Company Limited	5601
317	Shanghai Commercial Bank Limited	5043
318	Shanghai Electric Power Finance Limited	5558
319	Shanghai Port Group (BVI) Holding Co., Limited	5255
320	Shanghai Port Group (BVI) Holding Co., Limited	5256
321	Shanghai (Hong Kong) International Investments Limited	5435
322	Shine Power International Limited	5777
323	Silver Sparkle Limited	5697
324	Sinochem Global Capital Co., Ltd.	5935
325	Sinochem Overseas Capital Company Limited	4501
326	Sinochem Overseas Capital Company Limited	4502
327	Sino-Ocean Land Treasure Finance I Limited	5781
328	Sino-Ocean Land Treasure Finance I Limited	5782
329	Sino-Ocean Land Treasure Finance II Limited	5868
330	Sino-Ocean Land Treasure Finance II Limited	5869
331	Sino-Ocean Land Treasure III Limited	5276
332	Skyland Mining (BVI) Limited	5228
333	Skysea International Capital Management Limited	4529
334	SmarTone Finance Limited	5917
335	Societe Generale	5947
336	Societe Generale	5959
337	Societe Generale	5960
338	Societe Generale	5961
339	Societe Generale	5962
340	SPIC 2016 US dollar Bond Company Limited	5324
341	SPIC 2016 US dollar Bond Company Limited	5325
342	State Grid Overseas Investment (2013) Limited	5953
343	State Grid Overseas Investment (2013) Limited	5954
344	State Grid Overseas Investment (2013) Limited	5955
345	State Grid Overseas Investment (2014) Limited	5741
346	State Grid Overseas Investment (2014) Limited	5742
347	State Grid Overseas Investment (2014) Limited	5743
348	State Grid Overseas Investment (2016) Limited	5649
349	State Grid Overseas Investment (2016) Limited	5650
350	State Grid Overseas Investment (2016) Limited	5651
351	State Grid Overseas Investment (2016) Limited	5652
352	Strategic International Group Limited	5241
353	Sunshine Life Insurance Corporation Limited	5627
354	Sunshine Life Insurance Corporation Limited	5628
355	Sunshine Life Insurance Corporation Limited	5629
356	Suqian Economic Development (BVI) Co., Limited	5302
357	Taikang Insurance Group Inc.	5349
358	The Hongkong and Shanghai Banking Corporation Limited	4323
359	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
360	Tianjin Lingang Investment Holding Co., Ltd	5281
361	Tianjin Real Estate Group Co., Ltd	5286
362	Tianqi Finco Co., Ltd	5036

363	Tong Jie Limited	5906
364	Top Luxury Investment Limited	5598
365	Top Wise Excellence Enterprise Co., Ltd.	5402
366	Towngas (Finance) Limited	6018
367	Treasure Generator Limited	5709
368	Tuspark Forward Ltd.	5581
369	Tuspark Forward Ltd.	5735
370	TVB Finance Limited	4577
371	Unigroup International Holdings Ltd.	5596
372	Unigroup International Holdings Ltd.	5597
373	Union Life Insurance Co., Ltd.	4322
374	Wakala Global Sukuk Berhad	4519
375	Wanda Properties International Co. Limited	6023
376	Wanda Properties Overseas Limited	5997
377	Want Want China Finance Limited	5446
378	Want Want China Finance Limited	5944
379	Wise Source International Limited	5309
380	Wuhan Metro Group Co., Ltd.	5939
381	Xiangxing Overseas Investment Co., Ltd.	5329
382	Xiangyu Investment (BVI) Co., Ltd.	5683
383	Xihui Haiwai I Investment Holdings Co., Limited	5679
384	Xingang International Holding Limited	5330
385	Xinhu (BVI) Holding Company Limited	5382
386	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
387	Yancoal International Resources Development Co., Limited	4552
388	Yancoal International Resources Development Co., Limited	5424
389	Yancoal International Trading Co., Limited	5753
390	Yango (Cayman) Investment Limited	5414
391	Yankuang Group (Cayman) Limited	5044
392	Yihua Overseas Investment Ltd	5293
393	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
394	Yingde Gases Investment Limited	5793
395	Yingde Gases Investment Limited	5926
396	YONGDA Investment Limited	5543
397	Yunnan Energy Investment Finance Company Ltd.	5632
398	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
399	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
400	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
401	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
402	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
403	Zhaohai Investment (BVI) Limited	5546
404	Zhaohai Investment (BVI) Limited	5547
405	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
406	ZHIYUAN Group (BVI) Co., Ltd.	5603
407	Zhongtai International Bond 2017 (BVI) Company Limited	5263
408	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
409	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 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