

## 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.\$5,500,000,000 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 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
11 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
12 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
13 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
14 CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme

15	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
16	Central Plaza Development Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
17	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
18	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$4,000,000,000 Medium Term Note Programme
19	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
20	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
21	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
22	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
23	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
24	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
25	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
26	CICC Hong Kong Finance 2016 MTN Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
27	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
28	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
29	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
30	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
31	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
32	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
33	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
34	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
35	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
36	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
37	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
38	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
39	HLP Finance Limited	US\$3 billion Medium Term Note Programme
40	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
41	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
42	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
43	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
44	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
45	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
46	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
47	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
48	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
49	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
50	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
51	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
52	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
53	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
54	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
55	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
56	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
57	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
58	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
59	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
60	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
61	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
62	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
63	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
64	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
65	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
66	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
67	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
68	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
69	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
70	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
71	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
72	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
73	The Link Finance (Cayman) 2009 Limited	US\$3,000,000,000 Guaranteed Euro Medium Term Note Programme
74	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
75	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
76	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
77	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd.,	US\$5 billion Medium Term Note Programme
78	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
79	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	5840
4 Alibaba Group Holding Limited	5841
5 Alibaba Group Holding Limited	5842
6 Alibaba Group Holding Limited	5843
7 Alibaba Group Holding Limited	5844
8 Alibaba Group Holding Limited	5845

9	Amber Circle Funding Limited	4585
10	Amber Circle Funding Limited	4586
11	Amber Treasure Ventures Limited	5209
12	Amber Treasure Ventures Limited	5243
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 Polaris Investment Co. Ltd	5889
29	Beijing Enterprises Water Capital Management Limited	5938
30	Beijing Gas Singapore Capital Corporation	5213
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	Blue Skyview Company Limited	5364
35	Bluestar Finance Holdings Limited	4550
36	Bluestar Finance Holdings Limited	4556
37	Bluestar Finance Holdings Limited	5599
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	CCB Life Insurance Company Limited	5437
49	CCBL (Cayman) Corporation Limited	5548
50	CCCI Treasure Limited	5893
51	CCTI 2017 Ltd	5258
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 Life Insurance (Overseas) Co., Ltd	5250
85	China Merchants Finance Company Limited	4548
86	China Merchants Finance Company Limited	5554
87	China Merchants Finance Company Limited	5555
88	China Oceanwide International Financial Management Co., Ltd	5623
89	China Overseas Finance (Cayman) II Limited	4503
90	China Overseas Finance (Cayman) III Limited	5987
91	China Overseas Finance (Cayman) III Limited	5988
92	China Overseas Finance (Cayman) III Limited	5989
93	China Overseas Finance (Cayman) V Limited	4579
94	China Overseas Finance (Cayman) V Limited	4580
95	China Overseas Finance (Cayman) VI Limited	5745
96	China Overseas Finance (Cayman) VI Limited	5746
97	China Overseas Finance (Cayman) VI Limited	5760
98	China Overseas Finance Investment (Cayman) V Limited	5600

99	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
100	China Overseas Land International (Cayman) Limited	5541
101	China Railway Resources Huitung Limited	5904
102	China Railway XunJie Co., Limited	5244
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	Crotona Assets Limited	5724
156	CSCEC Finance (Cayman) I Limited	5574
157	CSCEC Finance (Cayman) II Limited	5232
158	CSCEC Finance (Cayman) II Limited	5233
159	CSCEC Finance (Cayman) II Limited	5668
160	CSCEC Finance (Cayman) II Limited	5669
161	CSCI Finance (2015) Co. Ltd	5564
162	CSSC Capital 2015 Limited	5876
163	Dah Sing Bank, Limited	5316
164	Dah Sing Bank, Limited	6021
165	Dawn Victor Limited	5524
166	Dianjian Haixing Limited	5816
167	Double Rosy Limited	5829
168	DYNAMIC MISSION INVESTMENTS LIMITED	5386
169	Eastern Creation Investment Holdings Ltd.	5714
170	eHi Car Services Limited	5594
171	e-Sun International Finance Limited	85978
172	Fita International Limited	4315
173	FPC Treasury Limited	5924
174	Franshion Brilliant Limited	5229
175	Franshion Brilliant Limited	5347
176	Franshion Brilliant Limited	5385
177	Franshion Brilliant Limited	5713
178	Franshion Brilliant Limited	5977
179	Fujian Zhanglong Group Co., Ltd.	5331
180	FWD Group Limited	5221
181	FWD Limited	5351
182	FWD Limited	5803
183	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
184	Gaoxin International Investment Co., Ltd	5335
185	GOHL Capital Limited	5352
186	Goldwind New Energy (HK) Investment Limited	5545
187	GRAM International Limited	5587

188	Green Fortune Capital Limited	5288
189	Greenland Global Investment Limited	5768
190	Greenland Global Investment Limited	5769
191	Guangxi Communications Investment Group Corporation. Ltd	5921
192	GUANGZHOU Silk Road Investment Limited	5323
193	Guotai Junan Financial Holdings (BVI) Limited	5754
194	Haichuan International Investment Co., Ltd.	4538
195	Haitong International Finance 2014 Limited	5801
196	Haitong International Finance 2015 Limited	5867
197	Haitong International Finance Holdings 2015 Limited	5892
198	Hanrui Overseas Investment Co Ltd	5680
199	Henson Finance Limited	4312
200	Hesteel Hong Kong Co., Limited	5417
201	HKCG (Finance) Limited	4303
202	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
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	Huai'an Traffic Holding Co., Ltd.	5784
211	Huaneng Hong Kong Capital Limited	5000
212	Huaneng Hong Kong Capital Limited	5957
213	Huantaihu International investment Co., Ltd	5413
214	Huarong Finance Co., Ltd.	5774
215	Huarui Investment Holding Company Limited	85721
216	Huatai International Finance I Limited	5812
217	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
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	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
230	Jinan West City Investment and Development Group Co., Ltd.	4588
231	Jingneng Clean Energy Investment Holdings Limited	85710
232	Jiuding Group Finance Co., Ltd	5246
233	Keen Idea Global Limited	5393
234	King Power Capital Ltd.	5822
235	King Power Capital Ltd.	5823
236	Korean Reinsurance Company	5815
237	Lai Sun Garment International Finance (2014) Limited	85986
238	Lai Sun Int'l Finance (2012) Limited	4591
239	Logo Star Limited	5996
240	LS Finance (2022) Limited	4571
241	LS Finance (2025) Limited	5535
242	LSD Bonds (2017) Limited	5270
243	Malaysia Sovereign Sukuk Berhad	5894
244	Malaysia Sovereign Sukuk Berhad	5895
245	Malaysia Sukuk Global Berhad	5633
246	Malaysia Sukuk Global Berhad	5634
247	MCC Holding (Hong Kong) Corporation Limited	5210
248	Meiya Power Company Limited	5964
249	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
250	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
251	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
252	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
253	Minmetals Land Capital Limited	5932
254	Minmetals Land Capital Limited	5933
255	Nanyang Commercial Bank, Limited	5214
256	New Lion Bridge Company Limited	5290
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 Holdings International 2017 Co., Limited	5239
262	Oceanwide Holdings International 2017 Co., Limited	5251
263	Oceanwide Real Estate International Holding Company Limited	5798
264	Orient Hongsheng Limited	85705
265	Oriental Capital Company Limited	5305
266	Oversea-Chinese Banking Corporation Limited	85912
267	OVPH Limited	5614
268	PB Issuer (No.4) Limited	5525
269	Peixian State-owned Assets Management Company Limited	5336
270	Petron Corporation	5905
271	PETRONAS Global Sukuk Ltd.	5882
272	PHBS Limited	4325
273	Phoenix Charm International Investment Limited	5332
274	Phoenix Lead Limited	5262
275	Poly Real Estate Finance Ltd.	5730
276	Poly Real Estate Finance Ltd.	5963

277	Press Metal (Labuan) Ltd.	5299
278	Profit Fast Limited	5578
279	Prosperous Ray Limited	5993
280	Prosperous Ray Limited	5994
281	Proven Honour Capital Limited	5516
282	Proven Honour Capital Limited	5641
283	PTT Public Company Limited	2527
284	Pulai Capital Limited	4540
285	Qinghai Provincial Investment Group Co., Ltd.	5289
286	Qinghai Provincial Investment Group Co., Ltd.	5380
287	Radiant Access Limited	5205
288	Rail Transit International Investment Company Limited	5643
289	Rail Transit International Investment Company Limited	5644
290	Reward International Investment Limited	5360
291	RKI Overseas Finance 2016 (A) Limited	5695
292	RKI Overseas Finance 2016 (B) Limited	4309
293	Rongshi International Finance Limited	5448
294	Rongshi International Finance Limited	5449
295	Rosy Capital Global Limited	85719
296	SDSC Global Finance Limited	5303
297	SDSC International Finance Limited	5827
298	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
299	Shandong Energy Australia Pty Ltd	5248
300	Shandong Gold International Mining Investment Holding Limited	5572
301	Shandong Iron and Steel Xinheng International Company Limited	5601
302	Shanghai Electric Power Finance Limited	5558
303	Shanghai Port Group (BVI) Holding Co., Limited	5255
304	Shanghai Port Group (BVI) Holding Co., Limited	5256
305	Shanghai (Hong Kong) International Investments Limited	5435
306	Shine Power International Limited	5777
307	Silver Sparkle Limited	5697
308	Sinochem Global Capital Co., Ltd.	5935
309	Sinochem Overseas Capital Company Limited	4501
310	Sinochem Overseas Capital Company Limited	4502
311	Sino-Ocean Land Treasure Finance I Limited	5781
312	Sino-Ocean Land Treasure Finance I Limited	5782
313	Sino-Ocean Land Treasure Finance II Limited	5868
314	Sino-Ocean Land Treasure Finance II Limited	5869
315	Sino-Ocean Land Treasure III Limited	5276
316	Skyland Mining (BVI) Limited	5228
317	Skysea International Capital Management Limited	4529
318	SmarTone Finance Limited	5917
319	Societe Generale	5947
320	Societe Generale	5959
321	Societe Generale	5960
322	Societe Generale	5961
323	Societe Generale	5962
324	SPIC 2016 US dollar Bond Company Limited	5324
325	SPIC 2016 US dollar Bond Company Limited	5325
326	State Grid Overseas Investment (2013) Limited	5953
327	State Grid Overseas Investment (2013) Limited	5954
328	State Grid Overseas Investment (2013) Limited	5955
329	State Grid Overseas Investment (2014) Limited	5741
330	State Grid Overseas Investment (2014) Limited	5742
331	State Grid Overseas Investment (2014) Limited	5743
332	State Grid Overseas Investment (2016) Limited	5649
333	State Grid Overseas Investment (2016) Limited	5650
334	State Grid Overseas Investment (2016) Limited	5651
335	State Grid Overseas Investment (2016) Limited	5652
336	Strategic International Group Limited	5241
337	Sunshine Life Insurance Corporation Limited	5627
338	Sunshine Life Insurance Corporation Limited	5628
339	Sunshine Life Insurance Corporation Limited	5629
340	Suqian Economic Development (BVI) Co., Limited	5302
341	Taikang Insurance Group Inc.	5349
342	The Hongkong and Shanghai Banking Corporation Limited	4323
343	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
344	Tianjin Lingang Investment Holding Co., Ltd	5281
345	Tianjin Real Estate Group Co., Ltd	5286
346	Tong Jie Limited	5906
347	Top Luxury Investment Limited	5598
348	Top Wise Excellence Enterprise Co., Ltd.	5402
349	Towngas (Finance) Limited	6018
350	Treasure Generator Limited	5709
351	Tuspark Forward Ltd.	5581
352	Tuspark Forward Ltd.	5735
353	TVB Finance Limited	4577
354	Unigroup International Holdings Ltd.	5596
355	Unigroup International Holdings Ltd.	5597
356	Union Life Insurance Co., Ltd.	4322
357	Wakala Global Sukuk Berhad	4519
358	Wanda Properties International Co. Limited	6023
359	Wanda Properties Overseas Limited	5997
360	Wanhua Chemical International Holding Co., Ltd.	85703
361	Want Want China Finance Limited	5446
362	Want Want China Finance Limited	5944
363	Wise Source International Limited	5309
364	Wuhan Metro Group Co., Ltd.	5939
365	Xiangxing Overseas Investment Co., Ltd.	5329
366	Xiangyu Investment (BVI) Co., Ltd.	5683

367	Xihui Haiwai I Investment Holdings Co., Limited	5679
368	Xingang International Holding Limited	5330
369	Xinhu (BVI) Holding Company Limited	5382
370	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
371	Yancoal International Resources Development Co., Limited	4552
372	Yancoal International Resources Development Co., Limited	5424
373	Yancoal International Trading Co., Limited	5753
374	Yango (Cayman) Investment Limited	5414
375	Yihua Overseas Investment Ltd	5293
376	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
377	Yingde Gases Investment Limited	5793
378	Yingde Gases Investment Limited	5926
379	YONGDA Investment Limited	5543
380	Yufu Eternity Limited	85706
381	Yunnan Energy Investment Finance Company Ltd.	5632
382	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
383	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
384	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
385	Zhaohai Investment (BVI) Limited	5546
386	Zhaohai Investment (BVI) Limited	5547
387	Zhejiang Cultural Tourism Industry Group Co., Ltd.	5319
388	ZHIYUAN Group (BVI) Co., Ltd.	5603
389	Zhongtai International Bond 2017 (BVI) Company Limited	5263
390	Zhuhai Da Heng Qin Investment Co., Ltd.	85708
391	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