

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 哈薩克礦業有限公司 - S | 0847 |
| 5 Coach, Inc. - RS | 6388 |
| 6 迅銷有限公司 - 預託證券 | 6288 (該豁免僅適用於迅銷有限公司及其大股東) |

第2類豁免：適用於並無股份在香港聯合交易所有限公司上市的法團

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

| 名稱 | 豁免期限 (注解 1) | |
|-----------------------------------------------------------|-------------|-------------|
| | 豁免開始日 | 豁免終止日 |
| 1 BOCI Aisa Limited | 2007年12月21日 | 2018年12月20日 |
| 2 BNP Paribas Issuance B.V. | 2007年12月21日 | 2018年12月20日 |
| 3 Citigroup Global Markets Holdings Inc. (注解 2) | 2009年6月15日 | 2015年6月14日 |
| 4 Credit Suisse AG | 2007年12月21日 | 2018年12月20日 |
| 5 Daiwa Capital Markets Hong Kong Limited (注解 3) | 2010年7月20日 | 2016年7月19日 |
| 6 Goldman Sachs Structured Products (Asia) Limited | 2007年12月21日 | 2018年12月20日 |
| 7 Haitong International Securities Company Limited (注解 4) | 2017年3月16日 | 2019年3月15日 |
| 8 J.P. Morgan Structured Products B.V. | 2007年12月21日 | 2018年12月20日 |
| 9 Macquarie Bank Limited | 2008年1月1日 | 2018年12月31日 |
| 10 Nomura International plc (注解 5) | 2009年12月10日 | 2015年12月9日 |
| 11 SG Issuer | 2016年4月1日 | 2018年3月31日 |
| 12 SGA Société Générale Acceptance N.V. (注解 6) | 2007年12月21日 | 2016年12月20日 |
| 13 Standard Chartered Bank (注解 7) | 2010年6月28日 | 2016年6月27日 |
| 14 The Hongkong and Shanghai Banking Corporation Ltd | 2007年12月23日 | 2018年12月22日 |
| 15 UBS AG | 2007年12月21日 | 2018年12月20日 |

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

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 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 Azure Orbit IV International Finance Limited | U.S.\$7,000,000,000 Medium Term Note Programme |
| 9 Bank of China (Luxembourg) S.A. | US\$30,000,000,000 Medium Term Note Programme |
| 10 Boom Up Investments Limited | US\$1,000,000,000 Medium Term Note Programme |
| 11 CALC Bonds Limited | US\$3,000,000,000 Medium Term Note Programme |
| 12 Castle Peak Power Finance Company Limited | U.S.\$2,000,000,000 Medium Term Note Programme |
| 13 Cathay Pacific MTN Financing Limited | US\$2 billion Medium Term Note Programme |
| 14 CCBL (Cayman) 1 Corporation Limited | US\$5,000,000,000 Guaranteed Medium Term Note Programme |
| 15 CDBI Treasure I Limited | US\$500,000,000 Medium Term Note Programme |

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| 16 | CDBL Funding 1 | U.S.\$3,000,000,000 Medium Term Note Programme |
| 17 | CDBL Funding 2 | US\$3,000,000,000 Medium Term Note Programme |
| 18 | Central Plaza Development Limited | US\$2,000,000,000 Guaranteed Medium Term Programme |
| 19 | Champion MTN Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 20 | Charming Light Investments Ltd. and United Wealth Development Ltd. | US\$8,000,000,000 Medium Term Note Programme |
| 21 | Cheung Kong Finance (MTN) Limited and Joynote Ltd | US\$2,000,000,000 Medium Term Note Programme |
| 22 | Cheung Kong Infrastructure Finance (BVI) Limited | US\$2,000,000,000 Euro Medium Term Note Programme |
| 23 | China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 24 | China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited | US\$10,000,000,000 Medium Term Note Programme |
| 25 | China Construction Bank (Asia) Corporation Limited | US\$5,000,000,000 Medium Term Note Programme |
| 26 | China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch | US\$30,000,000,000 Debt Issuance Programme |
| 27 | China Great Wall International Holdings III Limited | U.S.\$6,500,000,000 Medium Term Note Programme |
| 28 | CICC Hong Kong Finance 2016 MTN Limited | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 29 | CITIC Securities Finance MTN Co., Ltd. | US\$3 billion Medium Term Note Programme |
| 30 | CK Property Finance (MTN) Limited | US\$5,000,000,000 Euro Medium Term Note Programme |
| 31 | CMBLEMTN1 Limited | U.S.\$5,000,000,000 Medium Term Note Programme |
| 32 | CNPC General Capital Limited | US\$7,000,000,000 Euro Medium Term Note Programme |
| 33 | Connery Capital Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 34 | COSL Singapore Capital Ltd. | US\$3,500,000,000 Euro Medium Term Note Programme |
| 35 | 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 |
| 36 | Eastern Creation II Investment Holdings Ltd. | US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 37 | Future Days Limited | US\$3,000,000,000 Medium Term Note Programme |
| 38 | Goodman HK Finance | US\$2,000,000,000 Medium Term Note Programme |
| 39 | Greenland Global Investment Limited | US\$3,000,000,000 Guaranteed Medium Term Notes Programme |
| 40 | Guangzhou Metro Investment Finance (BVI) Ltd. | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 41 | HLP Finance Limited | US\$3 billion Medium Term Note Programme |
| 42 | Hong Kong Science and Technology Parks Corporation | HK\$1,707,000,000 Guaranteed Medium Term Note Programme |
| 43 | Horsepower Finance Limited | US\$1,200,000,000 Medium Term Note Programme |
| 44 | Huarong Finance 2017 Co., Ltd. | U.S.\$10,000,000,000 Medium Term Note Programme |
| 45 | Huarong Finance II Co., Ltd | US\$11,000,000,000 Medium Term Note Programme |
| 46 | Hysan (MTN) Limited | US\$1,500,000,000 Medium Term Note Programme |
| 47 | ICBCIL Finance Co. Limited | US\$10,000,000,000 Medium Term Note Programme |
| 48 | Industrial Bank Co., Ltd. | U.S.\$5,000,000,000 Medium Term Note Programme |
| 49 | Inventive Global Investments Limited | U.S.\$1,500,000,000 Medium Term Note Programme |
| 50 | Joyous Glory Group Limited | US\$1,000,000,000 Medium Term Note Programme |
| 51 | K.Wah International Financial Services Limited | US\$1,000,000,000 Medium Term Note Programme |
| 52 | Midea Investment Development Company Limited | US\$3,000,000,000 Medium Term Note Programme |
| 53 | Modern Terminals Capital Limited | US\$1 billion Medium Term Note Programme |
| 54 | MTR Corporation (C.I.) Limited | US\$4 billion Medium Term Note Programme |
| 55 | NWD (MTN) Limited | US\$4,000,000,000 Medium Term Note Programme |
| 56 | NWS (MTN) Limited | US\$1,000,000,000 Medium Term Note Programme |
| 57 | PETRONAS Capital Limited | US\$15,000,000,000 Medium Term Note Programme |
| 58 | Proven Glory Capital Limited | US\$5,000,000,000 Medium Term Note Programme |
| 59 | R-REIT International Finance Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 60 | RH International Finance Limited | US\$1,000,000,000 Medium Term Note Programme |
| 61 | Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch | US\$5,000,000,000 Euro Medium Term Note Programme |
| 62 | Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited | US\$2,000,000,000 Medium Term Note Programme |
| 63 | Silverbell Asia Limited | US\$1,000,000,000 Medium Term Note Programme |
| 64 | Sino (MTN) Limited | US\$1,000,000,000 Medium Term Note Programme |
| 65 | Sinochem Offshore Capital Company Limited | US\$5,000,000,000 Global Medium Term Note Programme |
| 66 | Soar Great Limited | US\$1,500,000,000 Guaranteed Medium Term Note Programme |
| 67 | Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank | US\$50,000,000,000 Debt Issuance Programme |
| 68 | State Elite Global Limited | US\$2,000,000,000 Medium Term Note Programme |
| 69 | State Grid Overseas Investment (2016) Limited | US\$7,700,000,000 Medium Term Note Programme |
| 70 | Sun Hung Kai Properties (Capital Market) Limited | US\$7,000,000,000 Medium Term Note Programme |
| 71 | Sunlight REIT MTN Limited | US\$1,000,000,000 Medium Term Note Programme |
| 72 | Swire Pacific MTN Financing Limited | US\$5,000,000,000 Medium Term Note Programme |
| 73 | Swire Properties MTN Financing Limited | US\$3,000,000,000 Medium Term Note Programme |
| 74 | The Hongkong and Shanghai Banking Corporation Limited | US\$20,000,000,000 Medium Term Note Programme |
| 75 | The Hong Kong Mortgage Corporation Limited | US\$6,000,000,000 Medium Term Note Programme |
| 76 | The Link Finance (Cayman) 2009 Limited | US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 77 | Unican Limited | US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 78 | Urban Renewal Authority | US\$1 billion Medium Term Note Programme |
| 79 | Vanke Real Estate (Hong Kong) Company Limited | US\$4,400,000,000 Medium Term Note Programme |
| 80 | 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 |
| 81 | Wharf REIC Finance (BVI) Limited | U.S.\$3,000,000,000 Medium Term Note Programme |
| 82 | 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 |
| 83 | Wing Lung Bank, Limited | U.S. \$2,000,000,000 Euro Medium Term Note Programme |
| 84 | Yuexiu REIT MTN Company Limited | US\$1,000,000,000 Medium Term Note Programme |

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

| 名稱 | 聯交所 股份代號 |
|------------------------------------------------------------------------------|-------------|
| 1 ABCL Glory Capital Limited | 5677 |
| 2 Airvessel Finance Holding Limited | 5789 |
| 3 Alibaba Group Holding Limited | 5842 |
| 4 Alibaba Group Holding Limited | 5843 |
| 5 Alibaba Group Holding Limited | 5844 |
| 6 Alibaba Group Holding Limited | 5845 |
| 7 Amber Circle Funding Limited | 4586 |
| 8 Amber Treasure Ventures Limited | 5209 |
| 9 Amber Treasure Ventures Limited | 5243 |
| 10 Anhui Transportation Holding Group (H.K.) Limited | 5529 |
| 11 Asia View Limited | 5788 |
| 12 AVIC International Finance & Investment Limited | 5965 |
| 13 AVIC International Finance & Investment Limited | 5966 |
| 14 Axiata SPV1 (Labuan) Limited | 4320 |
| 15 Azure Orbit III International Finance Limited | 5620 |
| 16 Azure Orbit III International Finance Limited | 5621 |
| 17 Azure Orbit International Finance Limited | 5909 |
| 18 Bank of China (Hong Kong) Limited | 4316 |
| 19 Baosteel Financing 2015 Pty Ltd | 5866 |
| 20 Baosteel Hong Kong Investment Company Limited | 5584 |
| 21 Bao-Trans Enterprises Limited | 6004 |
| 22 BCEG (HongKong) Company Limited | 5532 |
| 23 Beijing Capital Polaris Investment Co. Ltd | 5889 |
| 24 Beijing Enterprises Water Capital Management Limited | 5938 |
| 25 Beijing Gas Singapore Capital Corporation | 5213 |
| 26 Beijing State-Owned Assets Management (Hong Kong) Company Limited | 5520 |
| 27 Beijing State-Owned Assets Management (Hong Kong) Company Limited | 5521 |
| 28 Bestgain Real Estate Limited | 5914 |
| 29 Blue Skyview Company Limited | 5364 |
| 30 Bluestar Finance Holdings Limited | 4550 |
| 31 Bluestar Finance Holdings Limited | 4556 |
| 32 Bluestar Finance Holdings Limited | 5599 |
| 33 Boom Up Investments Limited | 5544 |
| 34 Bright Food Hong Kong Limited | 5948 |
| 35 Bright Galaxy International Limited | 5927 |
| 36 Cable and Wireless International Finance B.V. | 1077 |
| 37 Cable and Wireless International Finance B.V. | 1078 |
| 38 Caiyun International Investment Limited | 5682 |
| 39 CALC Bond 1 Limited | 5642 |
| 40 CALC Bond 2 Limited | 4300 |
| 41 CALC Bond 3 Limited | 5390 |
| 42 CALC Bond 3 Limited | 5391 |
| 43 CCB Life Insurance Company Limited | 5437 |
| 44 CCBL (Cayman) Corporation Limited | 5548 |
| 45 CCCI Treasure Limited | 5893 |
| 46 CCTI 2017 Ltd | 5258 |
| 47 CDBL Funding 1 | 5849 |
| 48 CDBL Funding 1 | 5850 |
| 49 Central Plaza Development Ltd. | 5919 |
| 50 Century Master Investment Co. Ltd. | 5968 |
| 51 CGNPC International Limited | 5058 |
| 52 CGNPC International Limited | 5059 |
| 53 CGNPC International Limited | 5519 |
| 54 Chalco Hong Kong Investment Company Limited | 5727 |
| 55 Chalco Hong Kong Investment Company Limited | 5920 |
| 56 Chalco Hong Kong Investment Company Limited | 5985 |
| 57 Chalieco Hong Kong Corporation Limited | 5321 |
| 58 Chalieco Hong Kong Corporation Limited | 5702 |
| 59 Chang Development International Limited | 5345 |
| 60 Changde Urban Construction and Investment Group Co., Ltd. | 5328 |
| 61 Changsha Pilot Investment Holdings Co., Ltd. | 5315 |
| 62 Charter Style International Limited | 85993 |
| 63 Chengdu Communications Investment Group Corporation Limited | 5062 |
| 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 Cheung Kong Infrastructure Finance (BVI) Limited | 5060 |
| 68 China Cinda Finance (2014) Limited | 5747 |
| 69 China Cinda Finance (2014) Limited | 5748 |
| 70 China CITIC Bank International Limited | 4594 |
| 71 China CITIC Bank International Limited | 5728 |
| 72 China CITIC Bank International Limited | 5992 |
| 73 China Clean Energy Development Limited | 5568 |
| 74 China Development Bank Corporation | 85904 |
| 75 China Development Bank Corporation | 85905 |
| 76 China Development Bank Corporation | 85933 |
| 77 China Development Bank Corporation | 85934 |
| 78 China Energy Reserve and Chemicals Group Finance III Limited | 5399 |
| 79 China Energy Reserve and Chemicals Group Holding Limited | 5639 |
| 80 China Energy Reserve and Chemicals Group Overseas Capital Company Limited | 5512 |
| 81 China Energy Reserve and Chemicals Group Overseas Company Limited | 5503 |
| 82 China Great Wall International Holdings II Limited | 5533 |
| 83 China Life Insurance (Overseas) Co., Ltd | 5250 |
| 84 China Merchants Finance Company Limited | 4548 |

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| 85 | China Merchants Finance Company Limited | 5554 |
| 86 | China Merchants Finance Company Limited | 5555 |
| 87 | China Minmetals Corporation | 5009 |
| 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 | 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 | Chouzhou International Investment Limited | 5056 |
| 124 | CITIC Securities Finance 2013 Co., Ltd. | 5937 |
| 125 | CITIC Telecom International Finance Limited | 5908 |
| 126 | CLP Power HK Finance Ltd. | 5740 |
| 127 | CLP Power Hong Kong Financing Limited | 4306 |
| 128 | CLP Power Hong Kong Financing Limited | 4318 |
| 129 | CMHI Finance (BVI) Co., Ltd. | 4302 |
| 130 | CNI Capital Limited | 85725 |
| 131 | CNMC International Capitals Company Limited | 5608 |
| 132 | CNOOC Curtis Funding No. 1 Pty Ltd | 5972 |
| 133 | CNOOC Curtis Funding No. 1 Pty Ltd | 5973 |
| 134 | CNOOC Finance (2003) Limited | 2568 |
| 135 | CNOOC Finance (2011) Limited | 4506 |
| 136 | CNOOC Finance (2011) Limited | 4507 |
| 137 | CNOOC Finance (2012) Limited | 4546 |
| 138 | CNOOC Finance (2012) Limited | 4547 |
| 139 | CNOOC Finance (2013) Limited | 5940 |
| 140 | CNOOC Finance (2013) Limited | 5941 |
| 141 | CNOOC Finance (2013) Limited | 5942 |
| 142 | CNOOC Finance (2015) Australia Pty Ltd | 5506 |
| 143 | CNOOC Finance (2015) Australia Pty Ltd | 5507 |
| 144 | CNOOC Finance (2015) U.S.A. LLC | 5508 |
| 145 | CNOOC Nexen Finance (2014) ULC | 5738 |
| 146 | CNOOC Nexen Finance (2014) ULC | 5739 |
| 147 | CNPC (HK) Overseas Capital Ltd. | 4513 |
| 148 | CNPC (HK) Overseas Capital Ltd. | 4514 |
| 149 | CNPC General Capital Limited | 4544 |
| 150 | CNPC General Capital Limited | 5750 |
| 151 | CNPC General Capital Limited | 5922 |
| 152 | CNPC General Capital Limited | 5923 |
| 153 | COSCO Pacific Finance (2013) Company Limited | 5900 |
| 154 | COSL Finance (BVI) Limited | 4563 |
| 155 | Cosmos Boom Investment Limited | 5534 |
| 156 | CRCC Yupeng Limited | 5778 |
| 157 | CRCC Yuxiang Limited | 5945 |
| 158 | Crotona Assets Limited | 5724 |
| 159 | CSCEC Finance (Cayman) I Limited | 5574 |
| 160 | CSCEC Finance (Cayman) II Limited | 5232 |
| 161 | CSCEC Finance (Cayman) II Limited | 5233 |
| 162 | CSCEC Finance (Cayman) II Limited | 5668 |
| 163 | CSCEC Finance (Cayman) II Limited | 5669 |
| 164 | CSCI Finance (2015) Co. Ltd | 5564 |
| 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 |

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| 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 | Full Dragon (Hong Kong) International Development Limited | 4428 |
| 186 | FWD Group Limited | 5019 |
| 187 | FWD Group Limited | 5221 |
| 188 | FWD Limited | 4416 |
| 189 | FWD Limited | 5351 |
| 190 | FWD Limited | 5803 |
| 191 | Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd. | 5057 |
| 192 | Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd. | 5304 |
| 193 | Gaoxin International Investment Co., Ltd | 5335 |
| 194 | GOHL Capital Limited | 5352 |
| 195 | Goldwind New Energy (HK) Investment Limited | 5545 |
| 196 | GRAM International Limited | 5587 |
| 197 | Green Fortune Capital Limited | 5288 |
| 198 | Greenland Global Investment Limited | 5768 |
| 199 | Greenland Global Investment Limited | 5769 |
| 200 | Guangxi Communications Investment Group Corporation. Ltd | 5921 |
| 201 | Guangxi Financial Investment Group Co., Ltd. | 5098 |
| 202 | GUANGZHOU Silk Road Investment Limited | 5323 |
| 203 | Guotai Junan Financial Holdings (BVI) Limited | 5754 |
| 204 | Haichuan International Investment Co., Ltd. | 4538 |
| 205 | Haitian (BVI) International Investment Development Limited | 5061 |
| 206 | Haitong International Finance 2014 Limited | 5801 |
| 207 | Haitong International Finance 2015 Limited | 5867 |
| 208 | Haitong International Finance Holdings 2015 Limited | 5892 |
| 209 | Hanrui Overseas Investment Co Ltd | 5081 |
| 210 | Hanrui Overseas Investment Co Ltd | 5680 |
| 211 | Harvest International Company | 5024 |
| 212 | Henson Finance Limited | 4312 |
| 213 | Hesteel Hong Kong Co., Limited | 5417 |
| 214 | HKCG (Finance) Limited | 4303 |
| 215 | Hong Kong Red Star Macalline Universal Home Furnishings Limited | 5278 |
| 216 | Hong Kong Sukuk 2014 Limited | 4223 |
| 217 | Hong Kong Sukuk 2015 Limited | 4226 |
| 218 | Hong Kong Sukuk 2017 Limited | 4233 |
| 219 | Hongkong Baorong Development Limited | 5595 |
| 220 | Hongkong Electric Finance Limited | 4505 |
| 221 | Hongkong International (Qingdao) Company Limited | 5023 |
| 222 | Hongkong International (Qingdao) Company Limited | 5048 |
| 223 | Hongkong International (Qingdao) Company Limited | 5874 |
| 224 | Hongkong International (Qingdao) Company Limited | 5875 |
| 225 | HongKong Xiangyu Investment Co., Limited | 4409 |
| 226 | Huai'an Traffic Holding Co., Ltd. | 5784 |
| 227 | Huaneng Hong Kong Capital Limited | 5000 |
| 228 | Huaneng Hong Kong Capital Limited | 5957 |
| 229 | Huantaihu International investment Co., Ltd | 5413 |
| 230 | Huarong Finance Co., Ltd. | 5774 |
| 231 | Huarui Investment Holding Company Limited | 85721 |
| 232 | Huatai International Finance I Limited | 5812 |
| 233 | Huaxin Pharmaceutical (Hong Kong) Co., Ltd. | 5297 |
| 234 | Huaxing Investment Holding Company Limited | 5363 |
| 235 | Huayi Finance I Ltd. | 5847 |
| 236 | Huzhou City Investment Development Group Co., Ltd. | 5074 |
| 237 | ICBCIL Finance Co. Limited | 5883 |
| 238 | ICBCIL Finance Co. Limited | 5884 |
| 239 | IFC Development (Corporate Treasury) Limited | 5715 |
| 240 | IFC Development (Corporate Treasury) Limited | 5756 |
| 241 | IFC Development (Corporate Treasury) Limited | 5757 |
| 242 | IFC Development (Corporate Treasury) Limited | 5949 |
| 243 | Industrial and Commercial Bank of China (Asia) Limited | 5686 |
| 244 | Industrial and Commercial Bank of China (Asia) Limited | 5976 |
| 245 | Industrial and Commercial Bank of China (Macau) Limited | 5797 |
| 246 | Jiangsu Zhongguancun Holding Group (International) Co Ltd | 5956 |
| 247 | JIC Zhixin Limited | 5031 |
| 248 | JIC Zhixin Limited | 5032 |
| 249 | Jinan West City Investment and Development Group Co., Ltd. | 4588 |
| 250 | Jiuding Group Finance Co., Ltd | 5246 |
| 251 | Keen Idea Global Limited | 5393 |
| 252 | King Power Capital Ltd. | 5822 |
| 253 | King Power Capital Ltd. | 5823 |
| 254 | King Talent Management Limited | 5026 |
| 255 | Korean Reinsurance Company | 5815 |
| 256 | Lai Fung Bonds (2018) Limited | 5087 |
| 257 | Lai Sun Garment International Finance (2014) Limited | 85986 |
| 258 | Logo Star Limited | 5996 |
| 259 | LS Finance (2022) Limited | 4571 |
| 260 | LS Finance (2025) Limited | 5535 |
| 261 | LSD Bonds (2017) Limited | 5270 |
| 262 | Luso International Banking Limited | 5078 |

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| 263 | Malaysia Sovereign Sukuk Berhad | 5894 |
| 264 | Malaysia Sovereign Sukuk Berhad | 5895 |
| 265 | Malaysia Sukuk Global Berhad | 5633 |
| 266 | Malaysia Sukuk Global Berhad | 5634 |
| 267 | MCC Holding (Hong Kong) Corporation Limited | 5210 |
| 268 | Meiya Power Company Limited | 5964 |
| 269 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5552 |
| 270 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5553 |
| 271 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5688 |
| 272 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5689 |
| 273 | Minmetals Land Capital Limited | 5932 |
| 274 | Minmetals Land Capital Limited | 5933 |
| 275 | Nanjing Yangzi State-owned Assets Investment Group Co., Ltd | 5053 |
| 276 | Nanjing Yangzi State-owned Assets Investment Group Co., Ltd | 5054 |
| 277 | Nanyang Commercial Bank, Limited | 5214 |
| 278 | New Lion Bridge Company Limited | 5290 |
| 279 | New Rose Investments Limited | 5344 |
| 280 | Nuoxi Capital Limited | 4401 |
| 281 | Nuoxi Capital Limited | 4402 |
| 282 | Nuoxi Capital Limited | 5436 |
| 283 | NWD Finance (BVI) Limited | 4561 |
| 284 | Oceanwide Holdings International 2015 Co., Limited | 5557 |
| 285 | Oceanwide Holdings International 2017 Co., Limited | 5035 |
| 286 | Oceanwide Holdings International 2017 Co., Limited | 5239 |
| 287 | Oceanwide Holdings International 2017 Co., Limited | 5251 |
| 288 | Oceanwide Real Estate International Holding Company Limited | 5798 |
| 289 | Orient Huizhi Limited | 5041 |
| 290 | Oriental Capital Company Limited | 5305 |
| 291 | Oversea-Chinese Banking Corporation Limited | 85912 |
| 292 | OVPH Limited | 5614 |
| 293 | PB Issuer (No.4) Limited | 5525 |
| 294 | Peixian State-owned Assets Management Company Limited | 5336 |
| 295 | Petron Corporation | 5905 |
| 296 | PETRONAS Global Sukuk Ltd. | 5882 |
| 297 | PHBS Limited | 4325 |
| 298 | Phoenix Charm International Investment Limited | 5332 |
| 299 | Phoenix Lead Limited | 5262 |
| 300 | Poly Real Estate Finance Ltd | 4417 |
| 301 | Poly Real Estate Finance Ltd. | 5730 |
| 302 | Poly Real Estate Finance Ltd. | 5963 |
| 303 | Press Metal (Labuan) Ltd. | 5299 |
| 304 | Profit Fast Limited | 5578 |
| 305 | Prosperous Ray Limited | 5993 |
| 306 | Prosperous Ray Limited | 5994 |
| 307 | Proven Honour Capital Limited | 5516 |
| 308 | Proven Honour Capital Limited | 5641 |
| 309 | PTT Public Company Limited | 2527 |
| 310 | Pulai Capital Limited | 4540 |
| 311 | Qinghai Province General Aviation Group Co., Ltd. | 5064 |
| 312 | Qinghai Provincial Investment Group Co., Ltd. | 5289 |
| 313 | Qinghai Provincial Investment Group Co., Ltd. | 5380 |
| 314 | Radiant Access Limited | 5205 |
| 315 | Rail Transit International Investment Company Limited | 5643 |
| 316 | Rail Transit International Investment Company Limited | 5644 |
| 317 | Reward International Investment Limited | 5360 |
| 318 | RKI Overseas Finance 2016 (A) Limited | 5695 |
| 319 | RKI Overseas Finance 2016 (B) Limited | 4309 |
| 320 | Rongshi International Finance Limited | 5448 |
| 321 | Rongshi International Finance Limited | 5449 |
| 322 | Rosy Capital Global Limited | 85719 |
| 323 | Rosy Delta Investments Limited | 5097 |
| 324 | SDSC Global Finance Limited | 5303 |
| 325 | SDSC International Finance Limited | 5827 |
| 326 | Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd. | 5317 |
| 327 | Shandong Energy Australia Pty Ltd | 5248 |
| 328 | Shandong Gold International Mining Investment Holding Limited | 5572 |
| 329 | Shandong Iron and Steel Xinheng International Company Limited | 5063 |
| 330 | Shandong Iron and Steel Xinheng International Company Limited | 5601 |
| 331 | Shanghai Commercial Bank Limited | 5043 |
| 332 | Shanghai Electric Power Finance Limited | 5558 |
| 333 | Shanghai Port Group (BVI) Holding Co., Limited | 5255 |
| 334 | Shanghai Port Group (BVI) Holding Co., Limited | 5256 |
| 335 | Shangrao Investment Holdings International Company Limited | 4429 |
| 336 | Shanghai (Hong Kong) International Investments Limited | 5435 |
| 337 | Shine Power International Limited | 5777 |
| 338 | Silver Sparkle Limited | 5697 |
| 339 | Sino Trendy Investment Limited | 4407 |
| 340 | Sinochem Global Capital Co., Ltd. | 5935 |
| 341 | Sinochem Overseas Capital Company Limited | 4501 |
| 342 | Sinochem Overseas Capital Company Limited | 4502 |
| 343 | Sino-Ocean Land Treasure Finance I Limited | 5781 |
| 344 | Sino-Ocean Land Treasure Finance I Limited | 5782 |
| 345 | Sino-Ocean Land Treasure Finance II Limited | 5868 |
| 346 | Sino-Ocean Land Treasure Finance II Limited | 5869 |
| 347 | Sino-Ocean Land Treasure III Limited | 5276 |
| 348 | Skyland Mining (BVI) Limited | 5228 |
| 349 | Skysea International Capital Management Limited | 4529 |
| 350 | SmarTone Finance Limited | 5917 |
| 351 | Societe Generale | 5947 |
| 352 | Societe Generale | 5959 |

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| 353 | Societe Generale | 5960 |
| 354 | Societe Generale | 5961 |
| 355 | Societe Generale | 5962 |
| 356 | SPIC 2016 US dollar Bond Company Limited | 5324 |
| 357 | SPIC 2016 US dollar Bond Company Limited | 5325 |
| 358 | State Grid Overseas Investment (2013) Limited | 5953 |
| 359 | State Grid Overseas Investment (2013) Limited | 5954 |
| 360 | State Grid Overseas Investment (2013) Limited | 5955 |
| 361 | State Grid Overseas Investment (2014) Limited | 5741 |
| 362 | State Grid Overseas Investment (2014) Limited | 5742 |
| 363 | State Grid Overseas Investment (2014) Limited | 5743 |
| 364 | State Grid Overseas Investment (2016) Limited | 5649 |
| 365 | State Grid Overseas Investment (2016) Limited | 5650 |
| 366 | State Grid Overseas Investment (2016) Limited | 5651 |
| 367 | State Grid Overseas Investment (2016) Limited | 5652 |
| 368 | Strategic International Group Limited | 5241 |
| 369 | Sunshine Life Insurance Corporation Limited | 5627 |
| 370 | Sunshine Life Insurance Corporation Limited | 5628 |
| 371 | Sunshine Life Insurance Corporation Limited | 5629 |
| 372 | Suqian Economic Development (BVI) Co., Limited | 5302 |
| 373 | Taikang Insurance Group Inc. | 5349 |
| 374 | The Hongkong and Shanghai Banking Corporation Limited | 4323 |
| 375 | Tianfang Jincheng (BVI) Limited | 4403 |
| 376 | Tianjin Infrastructure Construction & Investment Group Co., Ltd. | 5673 |
| 377 | Tianjin Lingang Investment Holding Co., Ltd | 5281 |
| 378 | Tianjin Real Estate Group Co., Ltd | 5286 |
| 379 | Tianqi Finco Co., Ltd | 5036 |
| 380 | Top Luxury Investment Limited | 5598 |
| 381 | Top Wise Excellence Enterprise Co., Ltd. | 5402 |
| 382 | Towngas (Finance) Limited | 6018 |
| 383 | Treasure Generator Limited | 5709 |
| 384 | Triceratops Capital Co., Limited | 4408 |
| 385 | Tsinghua Unic Limited | 4413 |
| 386 | Tsinghua Unic Limited | 4414 |
| 387 | Tsinghua Unic Limited | 4415 |
| 388 | Tuspark Forward Ltd. | 5581 |
| 389 | Tuspark Forward Ltd. | 5735 |
| 390 | TVB Finance Limited | 4577 |
| 391 | Unigroup International Holdings Ltd. | 5596 |
| 392 | Unigroup International Holdings Ltd. | 5597 |
| 393 | Union Life Insurance Co., Ltd. | 4322 |
| 394 | Urumqi Gaoxin Investment and Development Group Co., Ltd. | 5073 |
| 395 | Wakala Global Sukuk Berhad | 4519 |
| 396 | Wanda Properties International Co. Limited | 6023 |
| 397 | Wanda Properties Overseas Limited | 5997 |
| 398 | Want Want China Finance Limited | 5446 |
| 399 | Want Want China Finance Limited | 5944 |
| 400 | Wise Source International Limited | 5309 |
| 401 | Wuhan Metro Group Co., Ltd. | 5939 |
| 402 | Wuhan State-owned Assets Management Limited Company | 5070 |
| 403 | Xiangxing Overseas Investment Co., Ltd. | 5329 |
| 404 | Xiangyu Investment (BVI) Co., Ltd. | 5683 |
| 405 | Xihui Haiwai I Investment Holdings Co., Limited | 5679 |
| 406 | Xingang International Holding Limited | 5330 |
| 407 | Xinhu (BVI) Holding Company Limited | 5382 |
| 408 | Xinxing Industry Investment Company Limited | 5065 |
| 409 | Xuzhou Economic and Technology Development Zone International Investment Co., Ltd. | 5675 |
| 410 | Yancoal International Resources Development Co., Limited | 4552 |
| 411 | Yancoal International Resources Development Co., Limited | 5424 |
| 412 | Yancoal International Trading Co., Limited | 5753 |
| 413 | Yango (Cayman) Investment Limited | 5414 |
| 414 | Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd. | 5072 |
| 415 | Yankuang Group (Cayman) Limited | 5044 |
| 416 | Yihua Overseas Investment Ltd | 5293 |
| 417 | Yinchuan Tonglian Capital Investment Operation Co., Ltd. | 5247 |
| 418 | Yingde Gases Investment Limited | 5793 |
| 419 | Yingde Gases Investment Limited | 5926 |
| 420 | YONGDA Investment Limited | 5543 |
| 421 | Yunnan Energy Investment Finance Company Ltd. | 5632 |
| 422 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5012 |
| 423 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5013 |
| 424 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5326 |
| 425 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5327 |
| 426 | Yunnan Provincial Investment Holdings Group Co., Ltd. | 5624 |
| 427 | Zhaohai Investment (BVI) Limited | 5546 |
| 428 | Zhaohai Investment (BVI) Limited | 5547 |
| 429 | Zhenjiang Cultural Tourism Industry Group Co., Ltd. | 5319 |
| 430 | ZHIYUAN Group (BVI) Co., Ltd. | 5603 |
| 431 | Zhongtai International Bond 2017 (BVI) Company Limited | 5263 |
| 432 | Zhongtai International Finance (BVI) Company Limited | 4418 |
| 433 | Zhongyuan Sincere Investment Co. Ltd. | 5095 |
| 434 | Zhuzhou City Construction Development Group Co., Ltd. | 5710 |
| 435 | Zoucheng Limin Construction Development Company Limited | 5079 |

第3類豁免：適用於股份在香港聯合交易所有限公司上市的以法團形式運作的開放式集體投資計劃

| 名稱 | 聯交所 股份代號 |
|------------------------------------------------|-------------|
| 1 Xtrackers FTSE Vietnam Swap UCITS ETF* | 3087 |
| 2 Xtrackers FTSE China 50 UCITS ETF | 3007 |
| 3 Xtrackers MSCI Brazil UCITS ETF | 3048 |
| 4 Xtrackers MSCI Korea UCITS ETF | 2848 |
| 5 Xtrackers MSCI Pacific ex Japan UCITS ETF | 3043 |
| 6 Xtrackers MSCI Russia Capped Swap UCITS ETF* | 3027 |
| 7 Xtrackers MSCI Taiwan UCITS ETF | 3036 |
| 8 Xtrackers MSCI USA Swap UCITS ETF* | 3020 |
| 9 Xtrackers MSCI World Swap UCITS ETF* | 3019 |
| 10 Xtrackers Nifty 50 Swap UCITS ETF* | 3015 |
| 11 Xtrackers CSI300 Swap UCITS ETF* | 3049 |
| 12 Xtrackers MSCI China UCITS ETF | 3055 |
| 13 Xtrackers MSCI Indonesia Swap UCITS ETF* | 3099 |
| 14 Xtrackers MSCI Malaysia UCITS ETF | 3082 |
| 15 Xtrackers MSCI Thailand UCITS ETF | 3092 |
| 16 Xtrackers MSCI Philippines UCITS ETF | 3016 |
| 17 Xtrackers MSCI Singapore UCITS ETF | 3065 |

* 此基金為一隻合成交易所買賣基金

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 |