

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 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	2019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 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 Beijing Capital Polaris Investment Co. Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
11 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
12 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
13 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
14 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
15 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
16 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme

17	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
18	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
19	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
20	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
21	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
22	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
23	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
24	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
25	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
26	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
27	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
28	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
29	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
30	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
31	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
32	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
33	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
34	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
35	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
36	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
37	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
38	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
39	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
40	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
41	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
42	HLP Finance Limited	US\$3 billion Medium Term Note Programme
43	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
44	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
45	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
46	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
47	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
48	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
49	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
50	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
51	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
52	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
53	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
54	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
55	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
56	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
57	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
58	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
59	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
60	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
61	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
62	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
63	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
64	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
65	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
66	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
67	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
68	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
69	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
70	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
71	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
72	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
73	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
74	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
75	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
76	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
77	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
78	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
79	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
80	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
81	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
82	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
83	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
84	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
85	Wing Lung Bank, Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
86	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 Blue Skyview Company Limited	5364
29 Bluestar Finance Holdings Limited	4550
30 Bluestar Finance Holdings Limited	4556
31 Bluestar Finance Holdings Limited	5599
32 Boom Up Investments Limited	5544
33 Bright Food Hong Kong Limited	5948
34 Bright Galaxy International Limited	5927
35 Cable and Wireless International Finance B.V.	1077
36 Cable and Wireless International Finance B.V.	1078
37 Caiyun International Investment Limited	5682
38 CALC Bond 1 Limited	5642
39 CALC Bond 2 Limited	4300
40 CALC Bond 3 Limited	5390
41 CALC Bond 3 Limited	5391
42 CCB Life Insurance Company Limited	5437
43 CCBL (Cayman) Corporation Limited	5548
44 CCCI Treasure Limited	5893
45 CCTI 2017 Ltd	5258
46 CDBL Funding 1	5849
47 CDBL Funding 1	5850
48 Central Plaza Development Ltd.	5919
49 Century Master Investment Co. Ltd.	5968
50 CGNPC International Limited	5058
51 CGNPC International Limited	5059
52 CGNPC International Limited	5519
53 Chalco Hong Kong Investment Company Limited	5727
54 Chalco Hong Kong Investment Company Limited	5920
55 Chalco Hong Kong Investment Company Limited	5985
56 Chalieco Hong Kong Corporation Limited	5321
57 Chalieco Hong Kong Corporation Limited	5702
58 Chang Development International Limited	5345
59 Changde Urban Construction and Investment Group Co., Ltd.	5328
60 Changsha Pilot Investment Holdings Co., Ltd.	5315
61 Charter Style International Limited	85993
62 Chengdu Communications Investment Group Corporation Limited	5062
63 Chengdu Xingcheng Investment Group Co., Ltd.	5314
64 Cheung Kong Bond Securities (02) Limited	4559
65 Cheung Kong Bond Securities (03) Limited	4595
66 Cheung Kong Infrastructure Finance (BVI) Limited	5060
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 Holding Limited	5639
78 China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
79 China Energy Reserve and Chemicals Group Overseas Company Limited	5503
80 China Great Wall International Holdings II Limited	5533
81 China Life Insurance (Overseas) Co., Ltd	5250
82 China Merchants Finance Company Limited	4548
83 China Merchants Finance Company Limited	5554
84 China Merchants Finance Company Limited	5555

85	China Minmetals Corporation	4442
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	5862
105	China Shenhua Overseas Capital Company Limited	5863
106	China Shipping Overseas Finance 2013 Limited	6020
107	China Southern Power Grid International Finance (BVI) Co., Limited	4583
108	China Southern Power Grid International Finance (BVI) Co., Limited	4598
109	China State Construction Finance (Cayman) I Limited	5916
110	China State Construction Finance (Cayman) II Limited	5037
111	China State Construction Finance (Cayman) II Limited	5038
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	Chiyu Banking Corporation Limited	5034
121	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
122	Chouzhou International Investment Limited	5056
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	Coastal Emerald Limited	4438
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	Crotone 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

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	Franshion Brilliant Limited	85732
185	Fujian Zhanglong Group Co., Ltd.	5331
186	Full Dragon (Hong Kong) International Development Limited	4428
187	FWD Group Limited	5019
188	FWD Group Limited	5221
189	FWD Limited	4416
190	FWD Limited	5351
191	FWD Limited	5803
192	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
193	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
194	Gaoxin International Investment Co., Ltd	5335
195	GOHL Capital Limited	5352
196	Goldwind New Energy (HK) Investment Limited	5545
197	GRAM International Limited	5587
198	Green Fortune Capital Limited	5288
199	Greenland Global Investment Limited	5768
200	Greenland Global Investment Limited	5769
201	Guangxi Communications Investment Group Corporation. Ltd	5921
202	Guangxi Financial Investment Group Co., Ltd.	5098
203	GUANGZHOU Silk Road Investment Limited	5323
204	Guotai Junan Financial Holdings (BVI) Limited	5754
205	Haichuan International Investment Co., Ltd.	4538
206	Haitian (BVI) International Investment Development Limited	5061
207	Haitong International Finance 2014 Limited	5801
208	Haitong International Finance 2015 Limited	5867
209	Haitong International Finance Holdings 2015 Limited	5892
210	Hanrui Overseas Investment Co Ltd	5081
211	Hanrui Overseas Investment Co Ltd	5680
212	Harvest International Company	5024
213	Henson Finance Limited	4312
214	Hesteel Hong Kong Co., Limited	5417
215	HKCG (Finance) Limited	4303
216	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
217	Hong Kong Sukuk 2014 Limited	4223
218	Hong Kong Sukuk 2015 Limited	4226
219	Hong Kong Sukuk 2017 Limited	4233
220	Hongkong Baorong Development Limited	5595
221	Hongkong Electric Finance Limited	4505
222	Hongkong International (Qingdao) Company Limited	5023
223	Hongkong International (Qingdao) Company Limited	5048
224	Hongkong International (Qingdao) Company Limited	5874
225	Hongkong International (Qingdao) Company Limited	5875
226	HongKong Xiangyu Investment Co., Limited	4409
227	Huai'an Traffic Holding Co., Ltd.	5784
228	Huaneng Hong Kong Capital Limited	5000
229	Huaneng Hong Kong Capital Limited	5957
230	Huantaihu International investment Co., Ltd	5413
231	Huarong Finance Co., Ltd.	5774
232	Huarui Investment Holding Company Limited	85721
233	Huasing International Holdings Co., Limited	4448
234	Huasing International Holdings Co., Limited	4449
235	Huatai International Finance I Limited	5812
236	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
237	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
238	Huaxing Investment Holding Company Limited	5363
239	Huayi Finance I Ltd.	5847
240	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
241	Huzhou City Investment Development Group Co., Ltd.	5074
242	ICBCIL Finance Co. Limited	5884
243	IFC Development (Corporate Treasury) Limited	5715
244	IFC Development (Corporate Treasury) Limited	5756
245	IFC Development (Corporate Treasury) Limited	5757
246	IFC Development (Corporate Treasury) Limited	5949
247	Industrial and Commercial Bank of China (Asia) Limited	5686
248	Industrial and Commercial Bank of China (Asia) Limited	5976
249	Industrial and Commercial Bank of China (Macau) Limited	5797
250	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
251	JIC Zhixin Limited	5031
252	JIC Zhixin Limited	5032
253	Jinan West City Investment and Development Group Co., Ltd.	4588
254	Jinshine International Co., Ltd.	4451
255	Jiuding Group Finance Co., Ltd	5246
256	Keen Idea Global Limited	5393
257	King Power Capital Ltd.	5822
258	King Power Capital Ltd.	5823
259	King Talent Management Limited	5026
260	Korean Reinsurance Company	5815
261	Lai Fung Bonds (2018) Limited	5087
262	Lai Sun Garment International Finance (2014) Limited	85986

263	Logo Star Limited	5996
264	LS Finance (2022) Limited	4571
265	LS Finance (2025) Limited	5535
266	LSD Bonds (2017) Limited	5270
267	Luso International Banking Limited	5078
268	Malaysia Sovereign Sukuk Berhad	5894
269	Malaysia Sovereign Sukuk Berhad	5895
270	Malaysia Sukuk Global Berhad	5633
271	Malaysia Sukuk Global Berhad	5634
272	MCC Holding (Hong Kong) Corporation Limited	5210
273	Meiya Power Company Limited	5964
274	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
275	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
276	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
277	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
278	Minmetals Land Capital Limited	5932
279	Minmetals Land Capital Limited	5933
280	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
281	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
282	Nanyang Commercial Bank, Limited	5214
283	New Lion Bridge Company Limited	5290
284	New Rose Investments Limited	5344
285	Nuoxi Capital Limited	4401
286	Nuoxi Capital Limited	4402
287	Nuoxi Capital Limited	5436
288	NWD Finance (BVI) Limited	4561
289	Oceanwide Holdings International 2015 Co., Limited	5557
290	Oceanwide Holdings International 2017 Co., Limited	5035
291	Oceanwide Holdings International 2017 Co., Limited	5239
292	Oceanwide Holdings International 2017 Co., Limited	5251
293	Oceanwide Real Estate International Holding Company Limited	5798
294	Orient Huizhi Limited	5041
295	Oriental Capital Company Limited	5305
296	Oversea-Chinese Banking Corporation Limited	85912
297	OVPH Limited	5614
298	PB Issuer (No.4) Limited	5525
299	Peixian State-owned Assets Management Company Limited	5336
300	Petron Corporation	5905
301	PETRONAS Global Sukuk Ltd.	5882
302	PHBS Limited	4325
303	Phoenix Charm International Investment Limited	5332
304	Phoenix Lead Limited	5262
305	Poly Real Estate Finance Ltd	4417
306	Poly Real Estate Finance Ltd.	5730
307	Poly Real Estate Finance Ltd.	5963
308	Press Metal (Labuan) Ltd.	5299
309	Profit Fast Limited	5578
310	Prosperous Ray Limited	5993
311	Prosperous Ray Limited	5994
312	Proven Honour Capital Limited	5516
313	Proven Honour Capital Limited	5641
314	PTT Public Company Limited	2527
315	Pulai Capital Limited	4540
316	Qinghai Province General Aviation Group Co., Ltd.	5064
317	Qinghai Provincial Investment Group Co., Ltd.	4450
318	Qinghai Provincial Investment Group Co., Ltd.	5289
319	Qinghai Provincial Investment Group Co., Ltd.	5380
320	Radiant Access Limited	5205
321	Rail Transit International Investment Company Limited	5643
322	Rail Transit International Investment Company Limited	5644
323	Reward International Investment Limited	5360
324	RKI Overseas Finance 2016 (A) Limited	5695
325	RKI Overseas Finance 2016 (B) Limited	4309
326	Rongshi International Finance Limited	5448
327	Rongshi International Finance Limited	5449
328	Rosy Capital Global Limited	85719
329	Rosy Delta Investments Limited	5097
330	SDSC Global Finance Limited	5303
331	SDSC International Finance Limited	5827
332	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
333	Shandong Energy Australia Pty Ltd	5248
334	Shandong Gold International Mining Investment Holding Limited	5572
335	Shandong Iron and Steel Xinheng International Company Limited	4453
336	Shandong Iron and Steel Xinheng International Company Limited	5063
337	Shandong Iron and Steel Xinheng International Company Limited	5601
338	Shanghai Commercial Bank Limited	5043
339	Shanghai Electric Power Finance Limited	5558
340	Shanghai Port Group (BVI) Holding Co., Limited	5255
341	Shanghai Port Group (BVI) Holding Co., Limited	5256
342	Shangrao Investment Holdings International Company Limited	4429
343	Shanghai (Hong Kong) International Investments Limited	5435
344	Shine Power International Limited	5777
345	Silver Sparkle Limited	5697
346	Sino Trendy Investment Limited	4407
347	Sinochem Global Capital Co., Ltd.	5935
348	Sinochem Overseas Capital Company Limited	4501
349	Sinochem Overseas Capital Company Limited	4502
350	Sino-Ocean Land Treasure Finance I Limited	5781
351	Sino-Ocean Land Treasure Finance I Limited	5782
352	Sino-Ocean Land Treasure Finance II Limited	5868

353	Sino-Ocean Land Treasure Finance II Limited	5869
354	Sino-Ocean Land Treasure III Limited	5276
355	Skyland Mining (BVI) Limited	5228
356	Skysea International Capital Management Limited	4529
357	SmarTone Finance Limited	5917
358	Societe Generale	5947
359	Societe Generale	5959
360	Societe Generale	5960
361	Societe Generale	5961
362	Societe Generale	5962
363	SPIC 2016 US dollar Bond Company Limited	5324
364	SPIC 2016 US dollar Bond Company Limited	5325
365	State Grid Overseas Investment (2013) Limited	5953
366	State Grid Overseas Investment (2013) Limited	5954
367	State Grid Overseas Investment (2013) Limited	5955
368	State Grid Overseas Investment (2014) Limited	5741
369	State Grid Overseas Investment (2014) Limited	5742
370	State Grid Overseas Investment (2014) Limited	5743
371	State Grid Overseas Investment (2016) Limited	5649
372	State Grid Overseas Investment (2016) Limited	5650
373	State Grid Overseas Investment (2016) Limited	5651
374	State Grid Overseas Investment (2016) Limited	5652
375	Strategic International Group Limited	5241
376	Sunshine Life Insurance Corporation Limited	5627
377	Sunshine Life Insurance Corporation Limited	5628
378	Sunshine Life Insurance Corporation Limited	5629
379	Suqian Economic Development (BVI) Co., Limited	5302
380	Taikang Insurance Group Inc.	5349
381	The Hongkong and Shanghai Banking Corporation Limited	4323
382	Tianfang Jincheng (BVI) Limited	4403
383	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
384	Tianjin Lingang Investment Holding Co., Ltd	5281
385	Tianjin Real Estate Group Co., Ltd	5286
386	Tianqi Finco Co., Ltd	5036
387	Tongfang Aqua 2017 Limited	4454
388	Top Luxury Investment Limited	5598
389	Top Wise Excellence Enterprise Co., Ltd.	5402
390	Towngas (Finance) Limited	6018
391	Treasure Generator Limited	5709
392	Triceratops Capital Co., Limited	4408
393	Tsinghua Unic Limited	4413
394	Tsinghua Unic Limited	4414
395	Tsinghua Unic Limited	4415
396	Tuspark Forward Ltd.	5581
397	Tuspark Forward Ltd.	5735
398	TVB Finance Limited	4577
399	Unigroup International Holdings Ltd.	5596
400	Unigroup International Holdings Ltd.	5597
401	Union Life Insurance Co., Ltd.	4322
402	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
403	Wakala Global Sukuk Berhad	4519
404	Wanda Properties International Co. Limited	6023
405	Wanda Properties Overseas Limited	5997
406	Want Want China Finance Limited	5446
407	Want Want China Finance Limited	5944
408	Wise Source International Limited	5309
409	Wuhan Metro Group Co., Ltd.	5939
410	Wuhan State-owned Assets Management Limited Company	5070
411	Xiangxing Overseas Investment Co., Ltd.	5329
412	Xiangyu Investment (BVI) Co., Ltd.	5683
413	Xihui Haiwai I Investment Holdings Co., Limited	5679
414	Xingang International Holding Limited	5330
415	Xinhu (BVI) Holding Company Limited	5382
416	Xinxing Industry Investment Company Limited	5065
417	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
418	Yancoal International Resources Development Co., Limited	4552
419	Yancoal International Resources Development Co., Limited	5424
420	Yancoal International Trading Co., Limited	5753
421	Yango (Cayman) Investment Limited	5414
422	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
423	Yankuang Group (Cayman) Limited	5044
424	Yihua Overseas Investment Ltd	5293
425	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
426	Yingde Gases Investment Limited	5793
427	Yingde Gases Investment Limited	5926
428	YONGDA Investment Limited	5543
429	Yunnan Energy Investment Finance Company Ltd.	5632
430	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
431	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
432	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
433	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
434	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
435	Zhaohai Investment (BVI) Limited	5546
436	Zhaohai Investment (BVI) Limited	5547
437	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
438	ZHIYUAN Group (BVI) Co., Ltd.	5603
439	Zhongtai International Bond 2017 (BVI) Company Limited	5263
440	Zhongtai International Finance (BVI) Company Limited	4418
441	Zhongyuan Sincere Investment Co. Ltd.	5095
442	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 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