

Exemptions granted under section 309(2) of the Securities and Futures Ordinance (Cap. 571)

Updated as at
31 July 2019

Exemptions granted in respect of (i) corporations issuing securities listed on The Stock Exchange of Hong Kong Limited and (ii) other persons are set out below. These exemptions are granted to (in respect of (i)) the corporations, their substantial shareholders, directors and chief executives and (in respect of (ii)) other persons, from compliance with Part XV of the Securities and Futures Ordinance in respect of the obligations that derive from their interests in the securities listed on The Stock Exchange of Hong Kong Limited. This list is updated every month.

Guidelines setting out the basis on which exemptions are granted under s.309 of the SFO are published on the Part XV page of the SFC's website. The exemptions available fall into 5 categories, which are described in the Guidelines.

Category 1 partial exemptions for corporations whose shares are listed on The Stock Exchange of Hong Kong Limited and on another stock exchange

Name	SEHK stock codes
1 Manulife Financial Corporation	0945
2 Standard Chartered PLC	2888 (and 4305, 5348, 5890 and 5986)
3 Prudential plc	2378
4 Fast Retailing Co., Ltd. - DR	6288 (only applies to Fast Retailing Co., Ltd and its substantial shareholders)

Category 2 exemptions for corporations none of whose shares are listed on The Stock Exchange of Hong Kong Limited

(a) Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their structured products which are currently listed on The Stock Exchange of Hong Kong Limited

Name	Period of exemption (Note 1)	
	Commencing on	Ending on
1 Bank Vontobel AG	31 May 2019	30 May 2020
2 BOCI Aisa Limited	21 December 2007	20 December 2019
3 BNP Paribas Issuance B.V.	21 December 2007	20 December 2019
4 Credit Suisse AG	21 December 2007	20 December 2019
5 Goldman Sachs Structured Products (Asia) Limited	21 December 2007	20 December 2019
6 Haitong International Securities Company Limited (Note 2)	16 March 2017	15 March 2020
7 J.P. Morgan Structured Products B.V.	21 December 2007	20 December 2019
8 Macquarie Bank Limited	1 January 2008	31 December 2019
9 Morgan Stanley Asia Products Limited	22 July 2019	21 July 2020
10 SG Issuer	1 April 2016	31 March 2020
11 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2019
12 UBS AG	21 December 2007	20 December 2019

Note 1: Exemptions for these corporations are granted for periods of 12 months (or less) and exempt structured products issued and became listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.

Note 2: A previous exemption granted to Haitong International Securities Company Limited expired on 6 March 2017 but continues to apply with respect to all structured products issued by Haitong International Securities Company Limited and became listed on The Stock Exchange of Hong Kong Limited between 7 March 2016 and 6 March 2017.

Note 3: Exemptions previously granted to Citigroup Global Markets Holdings Inc., Daiwa Capital Markets Hong Kong Limited, Nomura International plc, SGA Société Générale Acceptance N.V. and Standard Chartered Bank expired on 14 June 2015, 19 July 2016, 9 December 2015, 20 December 2016 and 27 June 2016 respectively. Structured products that were issued by these corporations during the relevant periods had expired.

(b) Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their debt securities issued under debt programmes and listed on The Stock Exchange of Hong Kong Limited

Name	Programme
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 Bocom Leasing Management Hong Kong Company Limited	US\$3,000,000,000 Medium Term Note Programme
12 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
13 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
14 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
15 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
16 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme

17	CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
18	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
19	CDBL Funding 1	US\$3,000,000,000 Medium Term Note Programme
20	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
21	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
22	CGNPC INTERNATIONAL LIMITED	US\$2,000,000,000 Guaranteed Medium Term Note Programme
23	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
24	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
25	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
26	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
27	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
28	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
29	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
30	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
31	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
32	China Overseas Finance (Cayman) VIII Limited	US\$2.5 billion medium note programme
33	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
34	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
35	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
36	CMB International Leasing Management Limited	US\$20,000,000,000 Medium Term Note Programme
37	CMB Wing Lung Bank Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
38	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
39	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
40	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
41	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
42	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
43	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
44	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
45	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
46	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
47	GLP China Holdings Limited	HK\$20,000,000,000 Medium Term Note Programme
48	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
49	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
50	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
51	HKCG (Finance) Limited	US\$3,000,000,000 Medium Term Note Programme
52	HLP Finance Limited	US\$3 billion Medium Term Note Programme
53	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
54	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
55	Horsepower Finance Limited	US \$1,200,000,000 Medium Term Note Programme
56	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
57	Huarong Finance 2019 Co., Ltd.	US\$2,900,000,000 Medium Term Note Programme
58	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
59	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
60	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
61	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
62	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
63	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
64	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
65	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
66	Kunming Traffic Investment Co., Ltd.	US\$2,000,000,000 Medium Term Note Programme
67	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
68	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
69	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
70	New World China Land Limited	US\$2,000,000,000 Medium Term Note Programme
71	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
72	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
73	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
74	Power Assets Finance Limited	U.S.\$2,000,000,000 Medium Term Note Programme
75	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
76	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
77	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
78	Rongshi International Finance Limited	US\$3,000,000,000 Medium Term Note Programme
79	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
80	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
81	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
82	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
83	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
84	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
85	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
86	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
87	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
88	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
89	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme

90	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
91	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
92	Swire Pacific MTN Financing (HK) Limited	US\$5,000,000,000 Medium Term Note Programme
93	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
94	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
95	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
96	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
97	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
98	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
99	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
100	Vanke Real Estate (Hong Kong) Company Limited	US\$9,500,000,000 Medium Term Note Programme
101	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
102	Wharf Finance (BVI) Limited, Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$7 billion Medium Term Note Programme
103	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
104	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
105	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme
106	Zhejiang Energy International Limited	USD2,000,000,000 Medium Term Note Programme

(c) Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their particular issue of debt securities which are currently listed on The Stock Exchange of Hong Kong Limited

Name	SEHK Stock codes	
1	ABCL Glory Capital Limited	5677
2	Agricultural Development Bank of China	5180
3	Agricultural Development Bank of China	5455
4	Agricultural Development Bank of China	85737
5	Agricultural Development Bank of China	85744
6	Agricultural Development Bank of China	85901
7	Airvessel Finance Holding Limited	5789
8	Alibaba Group Holding Limited	5842
9	Alibaba Group Holding Limited	5843
10	Alibaba Group Holding Limited	5844
11	Alibaba Group Holding Limited	5845
12	Amber Circle Funding Limited	4586
13	Amber Treasure Ventures Limited	5209
14	Amber Treasure Ventures Limited	5243
15	Anhui Provincial Investment Group Holding Co., Ltd.	5186
16	Anhui Transportation Holding Group (H.K.) Limited	5158
17	Asia View Limited	5788
18	AVIC International Finance & Investment Limited	4497
19	AVIC International Finance & Investment Limited	5966
20	Axiata SPV1 (Labuan) Limited	4320
21	Azure Orbit III International Finance Limited	5620
22	Azure Orbit III International Finance Limited	5621
23	Azure Orbit International Finance Limited	5909
24	Bank of China (Hong Kong) Limited	4316
25	Baoji Investment (Group) Co., Ltd.	5492
26	Baosteel Financing 2015 Pty Ltd	5866
27	BCEG (HongKong) Company Limited	5145
28	Beijing Enterprises Water Capital Management Limited	4480
29	Beijing Gas Singapore Capital Corporation	5213
30	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
31	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
32	Bi Hai Co., Ltd.	5185
33	Blue Skyview Company Limited	5364
34	Bluestar Finance Holdings Limited	4550
35	Bluestar Finance Holdings Limited	4556
36	Bluestar Finance Holdings Limited	5089
37	Bluestar Finance Holdings Limited	5599
38	Bluestar Finance Holdings Limited	4487
39	BNY Trust Company of Australia Limited	5766
40	Boom Up Investments Limited	5544
41	Bright Galaxy International Limited	5927
42	Bright Scholar Education Holdings Limited	5615
43	Cable and Wireless International Finance B.V.	1077
44	Cable and Wireless International Finance B.V.	1078
45	Caiyun International Investment Limited	5947
46	CALC Bond 2 Limited	4300
47	CALC Bond 3 Limited	5390
48	CALC Bond 3 Limited	5391
49	CCB Life Insurance Company Limited	5437
50	CCBL (Cayman) Corporation Limited	5548
51	CCCI Treasure Limited	5893
52	CCTI 2017 Ltd	5258
53	CDBL Funding 1	5849

54	CDBL Funding 1	5850
55	Celestial Dynasty Limited	5594
56	CELESTIAL MILES LIMITED	5706
57	Central Plaza Development Ltd.	5919
58	CGNPC International Limited	5058
59	CGNPC International Limited	5059
60	CGNPC International Limited	5153
61	CGNPC International Limited	5154
62	CGNPC International Limited	5519
63	Chalco Hong Kong Investment Company Limited	5151
64	Chalco Hong Kong Investment Company Limited	5920
65	Chalco Hong Kong Investment Company Limited	5727
66	Chalco Hong Kong Investment Company Limited	5985
67	Chalieco Hong Kong Corporation Limited	5321
68	Chalieco Hong Kong Corporation Limited	5702
69	Chang Development International Limited	5090
70	Chang Development International Limited	5345
71	Change Urban Construction and Investment Group Co., Ltd.	5328
72	Change Urban Construction and Investment Group Co., Ltd.	5509
73	Changsha Pilot Investment Holdings Co., Ltd.	5315
74	Charter Style International Limited	85993
75	Chengdu Airport Xingcheng Investment Group Co., Ltd.	5201
76	Chengdu Communications Investment Group Corporation Limited	5062
77	Chengdu Communications Investment Group Corporation Limited	5493
78	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
79	Chengdu Hi-tech Investment Group Co., Ltd.	5206
80	Chengdu Tianfu New Area Investment Group Co., Ltd	6011
81	Chengdu Xingcheng Investment Group Co., Ltd.	5314
82	Cheung Kong Bond Securities (02) Limited	4559
83	Cheung Kong Bond Securities (03) Limited	4595
84	Cheung Kong Infrastructure Finance (BVI) Limited	5060
85	China Bright (Hong Kong) Limited	5937
86	China Cinda Finance (2014) Limited	5748
87	China CITIC Bank International Limited	5199
88	China CITIC Bank International Limited	5728
89	China CITIC Bank International Limited	5831
90	China CITIC Bank International Limited	5992
91	China CITIC Bank International Limited	4594
92	China Clean Energy Development Limited	5568
93	China Development Bank Corporation	85904
94	China Development Bank Corporation	85905
95	China Development Bank Corporation	85934
96	China Energy Reserve and Chemicals Group Holding Limited	5639
97	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
98	China Great Wall International Holdings IV Limited	5617
99	China Great Wall International Holdings IV Limited	5620
100	China Huadian Overseas Development 2018 Limited	4491
101	China Huadian Overseas Development Management Company Limited	4533
102	China Life Insurance (Overseas) Co., Ltd	5250
103	China Merchants Finance Company Limited	4548
104	China Merchants Finance Company Limited	5554
105	China Merchants Finance Company Limited	5555
106	China Minmetals Corporation	4442
107	China Minmetals Corporation	5009
108	China Overseas Finance (Cayman) II Limited	4503
109	China Overseas Finance (Cayman) III Limited	5988
110	China Overseas Finance (Cayman) III Limited	5989
111	China Overseas Finance (Cayman) V Limited	4579
112	China Overseas Finance (Cayman) V Limited	4580
113	China Overseas Finance (Cayman) VI Limited	5746
114	China Overseas Finance (Cayman) VI Limited	5760
115	China Overseas Finance (Cayman) VII Limited	4475
116	China Overseas Finance (Cayman) VII Limited	4476
117	China Overseas Finance Investment (Cayman) V Limited	5600
118	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
119	China Railway Resources Huitung Limited	5904
120	China Railway XunJie Co., Limited	5244
121	China Railway XunJie Co., Limited	5692
122	China Resources Power East Foundation Co., Ltd.	4516
123	China Shenhua Overseas Capital Company Limited	5862
124	China Shenhua Overseas Capital Company Limited	5863
125	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
126	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
127	China Southern Power Grid International Finance (BVI) Co., Limited	4583
128	China Southern Power Grid International Finance (BVI) Co., Limited	4598
129	China State Construction Finance (Cayman) I Limited	5462
130	China State Construction Finance (Cayman) II Limited	5037
131	China State Construction Finance (Cayman) II Limited	5038
132	China Taiping Capital Limited	4582
133	China Taiping New Horizon Limited	5984
134	China Yangtze Power International (BVI) 1 Limited	5300

135	China Yangtze Power International (BVI) 2 Limited	5301
136	Chinalco Capital Holdings Limited	4301
137	Chinalco Capital Holdings Limited	5438
138	Chinalco Finance Holdings Limited	5854
139	Chiyu Banking Corporation Limited	5034
140	Chongqing Casin Group Co., Ltd	5595
141	Chongqing Energy Investment Group Co., Ltd.	5898
142	Chongqing Hechuan City Construction Investment (Group) Co., Ltd.	5088
143	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	4562
144	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
145	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
146	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
147	Chouzhou International Investment Limited	4542
148	Chouzhou International Investment Limited	5056
149	CITIC Telecom International Finance Limited	5908
150	CLP Power HK Finance Ltd.	5740
151	CLP Power Hong Kong Financing Limited	4306
152	CLP Power Hong Kong Financing Limited	4318
153	CMHI Finance (BVI) Co., Ltd	5134
154	CMHI Finance (BVI) Co., Ltd	5135
155	CMOG Capital Limited	5722
156	CNI Capital Limited	85725
157	CNOOC Curtis Funding No. 1 Pty Ltd	5972
158	CNOOC Curtis Funding No. 1 Pty Ltd	5973
159	CNOOC Finance (2003) Limited	2568
160	CNOOC Finance (2011) Limited	4506
161	CNOOC Finance (2011) Limited	4507
162	CNOOC Finance (2012) Limited	4546
163	CNOOC Finance (2012) Limited	4547
164	CNOOC Finance (2013) Limited	5941
165	CNOOC Finance (2013) Limited	5942
166	CNOOC Finance (2015) Australia Pty Ltd	5506
167	CNOOC Finance (2015) Australia Pty Ltd	5507
168	CNOOC Finance (2015) U.S.A. LLC	4478
169	CNOOC Finance (2015) U.S.A. LLC	4479
170	CNOOC Finance (2015) U.S.A. LLC	5508
171	CNOOC Nexen Finance (2014) ULC	5738
172	CNOOC Nexen Finance (2014) ULC	5739
173	CNPC (HK) Overseas Capital Ltd.	4513
174	CNPC (HK) Overseas Capital Ltd.	4514
175	CNPC General Capital Limited	4544
176	CNPC General Capital Limited	5923
177	Coastal Emerald Limited	5529
178	COSCO Pacific Finance (2013) Company Limited	5900
179	COSL Finance (BVI) Limited	4563
180	Cosmos Boom Investment Limited	5534
181	CRCC Chengan Limited	5581
182	CRCC Yupeng Limited	5778
183	CRCC Yuxiang Limited	5945
184	CSCEC Finance (Cayman) I Limited	5574
185	CSCEC Finance (Cayman) II Limited	5232
186	CSCEC Finance (Cayman) II Limited	5233
187	CSCEC Finance (Cayman) II Limited	5669
188	CSCI Finance (2015) Co. Ltd	5564
189	CSSC Capital One Limited	5181
190	CSSC Capital Two Limited	5182
191	Dah Sing Bank, Limited	5316
192	Dah Sing Bank, Limited	5524
193	Dah Sing Bank, Limited	6021
194	Dalian Deta Holding Co., Ltd.	5608
195	Dangdai International Investments Ltd	5027
196	Dawn Victor Limited	5409
197	Dianjian Haixing Limited	5816
198	Double Rosy Limited	5829
199	DYNAMIC MISSION INVESTMENTS LIMITED	5386
200	Ease Trade Global Limited	4458
201	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
202	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
203	Excel Capital Global Limited	4496
204	Expand Lead Limited	5165
205	First FZ Bond Limited	5275
206	Fita International Limited	4315
207	FPC Capital Limited	5107
208	FPC Treasury Limited	5924
209	Franshion Brilliant Limited	5030
210	Franshion Brilliant Limited	5229
211	Franshion Brilliant Limited	5289
212	Franshion Brilliant Limited	5347
213	Franshion Brilliant Limited	5385
214	Franshion Brilliant Limited	5447
215	Franshion Brilliant Limited	5472

216	Fujian Zhanglong Group Co., Ltd.	5331
217	Full Dragon (Hong Kong) International Development Limited	4428
218	FWD Group Limited	4403
219	FWD Group Limited	5019
220	FWD Group Limited	5221
221	FWD Limited	4416
222	FWD Limited	5351
223	FWD Limited	5803
224	Gansu Province Electric Power Investment Group Co., Ltd.	5466
225	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
226	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
227	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
228	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5999
229	Gaoxin International Investment Co., Ltd	5335
230	Gemdale Ever Prosperity Investment Limited	4578
231	GET International Investment Holdings Limited	5381
232	GOHL Capital Limited	5352
233	GRAM International Limited	5587
234	Granda Century Limited	5152
235	Green Fortune Capital Limited	5288
236	Greenland Global Investment Limited	5769
237	Guang Ying Investment Limited	4492
238	Guangsha Holding Group Co., Ltd.	5456
239	Guangxi Communications Investment Group Corporation. Ltd	5921
240	Guangxi Financial Investment Group Co., Ltd.	5098
241	GUANGZHOU Silk Road Investment Limited	5323
242	Guohui International (BVI) Co., Ltd.	6002
243	Guotai Junan Holdings Limited	5853
244	Haichuan International Investment Co., Ltd.	4538
245	Haichuan International Investment Co., Ltd.	5460
246	Haimen Zhongnan Investment Development (International) Co., Ltd.	4585
247	Haitian (BVI) International Investment Development Limited	5061
248	Haitong International Finance 2014 Limited	5801
249	Haitong International Finance 2015 Limited	5867
250	Haitong International Finance Holdings 2015 Limited	5892
251	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
252	Hanrui Overseas Investment Co Ltd	5081
253	Harvest International Company	5024
254	Henson Finance Limited	4312
255	Hesteel Hong Kong Co., Limited	5417
256	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
257	Hong Kong Sukuk 2014 Limited	4223
258	Hong Kong Sukuk 2015 Limited	4226
259	Hong Kong Sukuk 2017 Limited	4233
260	Hongkong Baorong Development Limited	5465
261	Hongkong Electric Finance Limited	4505
262	Hongkong International (Qingdao) Company Limited	5023
263	Hongkong International (Qingdao) Company Limited	5048
264	Hongkong International (Qingdao) Company Limited	5191
265	Hongkong International (Qingdao) Company Limited	5874
266	Hongkong International (Qingdao) Company Limited	5875
267	HongKong Xiangyu Investment Co., Limited	4409
268	Huafa 2019 I Company Limited	5976
269	Huafa Group 2018 I Company Limited	5150
270	Huai'an Traffic Holding Co., Ltd.	5784
271	Huai'an Water Conservancy Holding Group Co., Ltd.	6009
272	Huaibei City Construction Investment Holding Group Company Limited	5474
273	Huaibei City Construction Investment Holding Group Company Limited	5946
274	Huaneng Hong Kong Capital Limited	5000
275	Huantaihu International investment Co., Ltd	5413
276	Huasing International Holdings Co., Limited	4448
277	Huasing International Holdings Co., Limited	4449
278	Huatai International Finance I Limited	5812
279	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
280	Huaxing Investment Holding Company Limited	5363
281	Huayi Finance I Ltd.	5847
282	HUAYUAN PROPERTY CO., LTD	5922
283	Huayuan Property Co., Ltd.	5239
284	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
285	Hunan Xiangjiang New Area Development Group Co Ltd	5223
286	Huzhou City Investment Development Group Co., Ltd.	5074
287	Huzhou Communications Investment Group Co., Ltd.	85740
288	ICBCIL Finance Co. Limited	5884
289	IFC Development (Corporate Treasury) Limited	5715
290	IFC Development (Corporate Treasury) Limited	5756
291	IFC Development (Corporate Treasury) Limited	5757
292	IFC Development (Corporate Treasury) Limited	6000
293	Industrial and Commercial Bank of China (Asia) Limited	5686
294	Industrial and Commercial Bank of China (Asia) Limited	5976
295	Industrial and Commercial Bank of China (Macau) Limited	5797
296	Intellect Aim Management Ltd.	6003
297	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956

298	Jiangxi Railway Investment Group Corporation	5770
299	JIC Zhixin Limited	5031
300	JIC Zhixin Limited	5032
301	Jinan Hi-tech Holding Group Co., Ltd.	5481
302	Jinan West City Investment and Development Group Co., Ltd.	4588
303	Jinke Property Group Co., Ltd.	5292
304	Jinshine International Co., Ltd.	4451
305	Jisco SR Pearl Ltd.	5953
306	Jiuding Group Finance Co., Ltd	5246
307	Joy Treasure Assets Holdings Inc.	5901
308	Joy Treasure Assets Holdings Inc.	5903
309	Keen Idea Global Limited	5393
310	King Power Capital Ltd.	5822
311	King Power Capital Ltd.	5823
312	King Talent Management Limited	5026
313	Korean Reinsurance Company	5815
314	Kunming Dianchi Investment Co. Ltd.	5569
315	Kunzhi Limited	4464
316	Kunzhi Limited	5100
317	Lai Fung Bonds (2018) Limited	5087
318	Legend Fortune Limited	5128
319	Liang Shan International Development Limited	5585
320	Lingang Wings Inc	5149
321	Liuzhou Dongtong Investment & Development Co., Ltd.	4329
322	LS Finance (2017) Limited	4471
323	LS Finance (2022) Limited	4571
324	LS Finance (2025) Limited	5535
325	LSD Bonds (2017) Limited	5270
326	Luso International Banking Limited	5078
327	Malaysia Sovereign Sukuk Berhad	5894
328	Malaysia Sovereign Sukuk Berhad	5895
329	Malaysia Sukuk Global Berhad	5633
330	Malaysia Sukuk Global Berhad	5634
331	MCC Holding (Hong Kong) Corporation Limited	4483
332	MCC Holding (Hong Kong) Corporation Limited	5210
333	Mei Nian Investment Limited	5932
334	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
335	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
336	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
337	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
338	Minmetals Land Capital Limited	5933
339	Mudanjiang City Investment Group Co., Ltd.	5297
340	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
341	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
342	Nanyang Commercial Bank, Limited	5214
343	New Lion Bridge Company Limited	5290
344	New Momentum International Limited	5997
345	New Rose Investments Limited	5344
346	Nimble City Limited	5144
347	Nuoxi Capital Limited	4401
348	Nuoxi Capital Limited	4402
349	Nuoxi Capital Limited	5365
350	Nuoxi Capital Limited	5436
351	Nuoxi Capital Limited	5484
352	Nuoxi Capital Limited	5704
353	Nuoxi Capital Limited	5996
354	NWD Finance (BVI) Limited	4561
355	NWD Finance (BVI) Limited	5856
356	Oceanwide Holdings International 2015 Co., Limited	5557
357	Oceanwide Holdings International 2017 Co., Limited	5251
358	Oceanwide Holdings International Development III Co., Ltd.	4532
359	Oceanwide Holdings International Development III Co., Ltd.	5196
360	Oceanwide Real Estate International Holding Company Limited	5798
361	Orient Huizhi Limited	5041
362	Oriental Capital Company Limited	5305
363	Oversea-Chinese Banking Corporation Limited	85912
364	OVPH Limited	5614
365	PB Issuer (No.4) Limited	5525
366	Peixian State-owned Assets Management Company Limited	5336
367	Perfect Point Ventures Limited	4566
368	Petron Corporation	5905
369	PETRONAS Global Sukuk Ltd.	5882
370	PHBS Limited	4325
371	Phoenix Charm International Investment Limited	5332
372	Phoenix Lead Limited	5262
373	Pingdingshan Tianan Coal Mining Co., Ltd.	6004
374	Pingxiang Urban Construction Investment Developing Company	4535
375	Pioneer Reward Limited	4530
376	Poly Real Estate Finance Ltd	4417
377	Poly Real Estate Finance Ltd	5164
378	Poly Real Estate Finance Ltd	5916
379	Power Best Global Investments Limited	5940

380	Powerchina Real Estate Group Ltd.	5471
381	Press Metal (Labuan) Ltd.	5299
382	Prosperous Ray Limited	5994
383	Proven Honour Capital Limited	5516
384	Proven Honour Capital Limited	5641
385	PTT Public Company Limited	2527
386	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
387	Qingdao Jiaozhou Bay Development Group Co., Ltd.	5951
388	Qinghai Provincial Investment Group Co., Ltd.	4450
389	Qinghai Provincial Investment Group Co., Ltd.	5380
390	Radiant Access Limited	5205
391	Rail Transit International Investment Company Limited	5644
392	Reward International Investment Limited	5360
393	RKI Overseas Finance 2016 (A) Limited	5695
394	RKI Overseas Finance 2016 (B) Limited	4309
395	Rongshi International Finance Limited	5448
396	Rongshi International Finance Limited	5449
397	Rosy Delta Investments Limited	5097
398	SCIG International Financial Limited	5174
399	SDG FINANCE I LIMITED	4539
400	SDG FINANCE I LIMITED	5192
401	SDSC Global Finance Limited	5303
402	SDSC International Finance Limited	5827
403	SF Holding Investment Limited	5130
404	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
405	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
406	Shaanxi Xixian New Area Qinhan New City Development and Construction Group Co., Ltd.	5935
407	Shandong Commercial Group Co., Ltd.	5512
408	Shandong Energy Australia Pty Ltd	5248
409	Shandong Iron and Steel Xinheng International Company Limited	4453
410	Shandong Iron and Steel Xinheng International Company Limited	5063
411	Shandong Iron and Steel Xinheng International Company Limited	5470
412	Shandong Iron and Steel Xinheng International Company Limited	5601
413	Shanghai Commercial Bank Limited	5043
414	Shanghai Commercial Bank Limited	5530
415	Shanghai Electric Power Finance Limited	5558
416	Shanghai Port Group (BVI) Development Co., Limited	4587
417	Shanghai Port Group (BVI) Holding Co., Limited	5255
418	Shanghai Port Group (BVI) Holding Co., Limited	5256
419	Shangrao Investment Holdings International Company Limited	4429
420	Shanghai (Hong Kong) International Investments Limited	5435
421	Shaoxing City Investment Group Limited	5489
422	Si Fa Investment Limited	5490
423	Sichuan Communications Overseas Development Co., Ltd.	5399
424	Sichuan Railway Investment Group Co., Ltd.	5575
425	SIHC International Capital Ltd	5176
426	SIHC International Capital Ltd	5177
427	Silver Sparkle Limited	5697
428	Sino Trendy Investment Limited	4407
429	Sinochem Global Capital Co., Ltd.	5935
430	Sinochem Overseas Capital Company Limited	4501
431	Sinochem Overseas Capital Company Limited	4502
432	Sino-Ocean Land Treasure Finance I Limited	5782
433	Sino-Ocean Land Treasure Finance II Limited	5868
434	Sino-Ocean Land Treasure Finance II Limited	5869
435	Sino-Ocean Land Treasure III Limited	5276
436	Sino-Ocean Land Treasure IV Limited	5131
437	Sino-Ocean Land Treasure IV Limited	5712
438	Skyland Mining (BVI) Limited	5228
439	Skysea International Capital Management Limited	4529
440	SmarTone Finance Limited	5917
441	Societe Generale	5947
442	Societe Generale	5959
443	Societe Generale	5960
444	Societe Generale	5961
445	Societe Generale	5962
446	SPIC 2016 US dollar Bond Company Limited	5324
447	SPIC 2016 US dollar Bond Company Limited	5325
448	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
449	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
450	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
451	State Grid Overseas Investment (2013) Limited	5954
452	State Grid Overseas Investment (2013) Limited	5955
453	State Grid Overseas Investment (2014) Limited	5742
454	State Grid Overseas Investment (2014) Limited	5743
455	State Grid Overseas Investment (2016) Limited	5649
456	State Grid Overseas Investment (2016) Limited	5650
457	State Grid Overseas Investment (2016) Limited	5651
458	State Grid Overseas Investment (2016) Limited	5652
459	Strategic International Group Limited	5241
460	Sunny Express Enterprises Corp.	5906
461	Sunshine Life Insurance Corporation Limited	5628

462	Sunshine Life Insurance Corporation Limited	5629
463	Suqian Economic Development (BVI) Co., Limited	5302
464	Taikang Insurance Group Inc.	5349
465	Taiyuan State-owned Investment Group Company Limited	6005
466	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
467	The Hongkong and Shanghai Banking Corporation Limited	4323
468	Tianjin Lingang Investment Holding Co., Ltd.	5148
469	Tianjin Real Estate Group Co., Ltd	5286
470	Tianqi Finco Co., Ltd	5036
471	Tongfang Aqua 2017 Limited	4454
472	Tongfang Aqua Limited	6001
473	Top Luxury Investment Limited	5598
474	Top Wise Excellence Enterprise Co., Ltd.	5402
475	Towngas (Finance) Limited	5749
476	Towngas (Finance) Limited	6018
477	Trade Horizon Global Limited	5133
478	Treasure Generator Limited	5709
479	Triceratops Capital Co., Limited	4408
480	Tsinghua Unic Limited	4413
481	Tsinghua Unic Limited	4414
482	Tsinghua Unic Limited	4415
483	Tuspark Forward Ltd.	4599
484	Tuspark Forward Ltd.	5143
485	Tuspark Forward Ltd.	5857
486	Tuspark Forward Ltd.	5735
487	TVB Finance Limited	4577
488	UHI Capital Ltd.	4572
489	Unigroup International Holdings Ltd.	5597
490	Union Life Insurance Co., Ltd.	4322
491	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
492	Vertex Capital Investment Limited	5931
493	Wakala Global Sukuk Berhad	4519
494	Wanda Group Overseas Limited	5599
495	Wanda Properties Global Co. Limited	5835
496	Wanda Properties International Co. Limited	6023
497	Want Want China Finance Limited	5446
498	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
499	Wuhan Financial Holdings (Group) Co., Ltd.	5498
500	Wuhan Metro Group Co., Ltd.	5467
501	Wuhan Metro Group Co., Ltd.	5939
502	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
503	Wuhan State-owned Assets Management Limited Company	5070
504	Xi Yang Overseas Limited	4565
505	Xiangxing Overseas Investment Co., Ltd.	5329
506	Xiangyu Investment (BVI) Co., Ltd.	5572
507	Xihui Haiwai I Investment Holdings Co., Limited	5990
508	Xin Fu (BVI) Co., Limited	5985
509	Xingang International Holding Limited	5330
510	Xingsheng (BVI) Company Limited	5172
511	Xingsheng (BVI) Company Limited	5606
512	Xinhu (BVI) 2018 Holding Company Limited	4569
513	Xinhu (BVI) 2018 Holding Company Limited	5497
514	Xinhu (BVI) 2018 Holding Company Limited	5889
515	Xinhu (BVI) Holding Company Limited	5382
516	Xinjiang Financial Investment Co., Ltd.	5907
517	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5570
518	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5952
519	Xinjiang Zhongtai (Group) Co., Ltd.	4567
520	Xinxing Industry Investment Company Limited	5065
521	Yancoal International Resources Development Co., Limited	4552
522	Yancoal International Resources Development Co., Limited	5424
523	Yancoal International Resources Development Co., Ltd	5461
524	Yancoal International Trading Co., Limited	5753
525	Yango (Cayman) Investment Limited	4470
526	Yango (Cayman) Investment Limited	5414
527	Yangzhou Economic and Technological Development Zone Development Corporation	5513
528	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
529	Yankuang Group (Cayman) Limited	5044
530	Yankuang Group (Cayman) Limited	5705
531	Yichang High-Tech Investment Development Co., Ltd.	5495
532	Yihua Overseas Investment Ltd	5293
533	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
534	Yingde Gases Investment Limited	5793
535	YONGDA Investment Limited	5543
536	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
537	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
538	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
539	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
540	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
541	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
542	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5998
543	Zhangzhou Transportation Development Group Co., Ltd.	5584

544	Zhaohai Investment (BVI) Limited	5547
545	Zhaojin Mining International Finance Limited	5851
546	Zhejiang Baron (BVI) Company Limited	5146
547	Zhengzhou Metro Group Co., Ltd.	5496
548	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
549	Zhongtai International Bond 2017 (BVI) Company Limited	5263
550	Zhongtai International Finance (BVI) Company Limited	5919
551	Zhongyuan Sincere Investment Co. Ltd.	5095
552	Zhongyuan Sincere Investment Co. Ltd.	5596
553	Zhoushan City Investment Group Corporation Limited	5487
554	Zhuji Development Limited	5480
555	Zhuzhou City Construction Development Group Co., Ltd.	4531
556	Zhuzhou City Construction Development Group Co., Ltd.	5710
557	Zijin International Capital Company Limited	5188

Category 3 exemptions for open-ended CIS in corporate form whose shares are listed on The Stock Exchange of Hong Kong Limited

	Name	SEHK Stock codes
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

* This is a synthetic ETF

Category 4 exemptions for exchange participants of The Stock Exchange of Hong Kong Limited

	Name
1	China Innovation Market Service Company Limited
2	China Investment Information Services Limited

Category 5 exemptions for clearing houses that are clearing participants

	Name
1	China Securities Depository and Clearing Corporation Limited