

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

Updated as at  
31 May 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 and 5890)
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 SG Issuer	1 April 2016	31 March 2020
10 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2019
11 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 listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.

Note 2: 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 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.

(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 Programm
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 2	US\$3,000,000,000 Medium Term Note Programme
20	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
21	CGNPC INTERNATIONAL LIMITED	US\$2,000,000,000 Guaranteed Medium Term Note Programme
22	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
23	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
24	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
25	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
26	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
27	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
28	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
29	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
30	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
31	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
32	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
33	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
34	CMB Wing Lung Bank Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
35	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
36	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
37	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
38	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
39	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
40	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
41	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
42	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
43	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
44	GLP China Holdings Limited	HK\$20,000,000,000 Medium Term Note Programme
45	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
46	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
47	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
48	HLP Finance Limited	US\$3 billion Medium Term Note Programme
49	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
50	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
51	Horsepower Finance Limited	US \$1,200,000,000 Medium Term Note Programme
52	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
53	Huarong Finance 2019 Co., Ltd.	US\$2,900,000,000 Medium Term Note Programme
54	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
55	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
56	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
57	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
58	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
59	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
60	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
61	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
62	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
63	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
64	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
65	New World China Land Limited	US\$2,000,000,000 Medium Term Note Programme
66	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
67	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
68	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
69	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
70	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
71	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
72	Rongshi International Finance Limited	US\$3,000,000,000 Medium Term Note Programme
73	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
74	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
75	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
76	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
77	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
78	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
79	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
80	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
81	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
82	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
83	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
84	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
85	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
86	Swire Pacific MTN Financing (HK) Limited	US\$5,000,000,000 Medium Term Note Programme
87	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
88	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
89	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
90	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
91	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme

92	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
93	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
94	Vanke Real Estate (Hong Kong) Company Limited	US\$9,500,000,000 Medium Term Note Programme
95	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
96	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
97	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
98	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
99	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme
100	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	BNY Trust Company of Australia Limited	5766
39	Boom Up Investments Limited	5544
40	Bright Galaxy International Limited	5927
41	Cable and Wireless International Finance B.V.	1077
42	Cable and Wireless International Finance B.V.	1078
43	Caiyun International Investment Limited	5682
44	Caiyun International Investment Limited	5947
45	CALC Bond 2 Limited	4300
46	CALC Bond 3 Limited	5390
47	CALC Bond 3 Limited	5391
48	CCB Life Insurance Company Limited	5437
49	CCBL (Cayman) Corporation Limited	5548
50	CCCI Treasury Limited	5893
51	CCTI 2017 Ltd	5258
52	CDBL Funding 1	5849
53	CDBL Funding 1	5850
54	CELESTIAL MILES LIMITED	5706
55	Central Plaza Development Ltd.	5919
56	CGNPC International Limited	5058
57	CGNPC International Limited	5059
58	CGNPC International Limited	5153
59	CGNPC International Limited	5154
60	CGNPC International Limited	5519
61	Chalco Hong Kong Investment Company Limited	5151

62	Chalco Hong Kong Investment Company Limited	5920
63	Chalco Hong Kong Investment Company Limited	5727
64	Chalco Hong Kong Investment Company Limited	5985
65	Chalieco Hong Kong Corporation Limited	5321
66	Chalieco Hong Kong Corporation Limited	5702
67	Chang Development International Limited	5090
68	Chang Development International Limited	5345
69	Changde Urban Construction and Investment Group Co., Ltd.	5328
70	Changde Urban Construction and Investment Group Co., Ltd.	5509
71	Changsha Pilot Investment Holdings Co., Ltd.	5315
72	Charter Style International Limited	85993
73	Chengdu Communications Investment Group Corporation Limited	5062
74	Chengdu Communications Investment Group Corporation Limited	5493
75	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
76	Chengdu Hi-tech Investment Group Co., Ltd.	5206
77	Chengdu Tianfu New Area Investment Group Co., Ltd	6011
78	Chengdu Xingcheng Investment Group Co., Ltd.	5314
79	Cheung Kong Bond Securities (02) Limited	4559
80	Cheung Kong Bond Securities (03) Limited	4595
81	Cheung Kong Infrastructure Finance (BVI) Limited	5060
82	China Bright (Hong Kong) Limited	5937
83	China Cinda Finance (2014) Limited	5748
84	China CITIC Bank International Limited	5199
85	China CITIC Bank International Limited	5728
86	China CITIC Bank International Limited	5831
87	China CITIC Bank International Limited	5992
88	China CITIC Bank International Limited	4594
89	China Clean Energy Development Limited	5568
90	China Development Bank Corporation	85904
91	China Development Bank Corporation	85905
92	China Development Bank Corporation	85934
93	China Energy Reserve and Chemicals Group Holding Limited	5639
94	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
95	China Huadian Overseas Development 2018 Limited	4491
96	China Huadian Overseas Development Management Company Limited	4533
97	China Life Insurance (Overseas) Co., Ltd	5250
98	China Merchants Finance Company Limited	4548
99	China Merchants Finance Company Limited	5554
100	China Merchants Finance Company Limited	5555
101	China Minmetals Corporation	4442
102	China Minmetals Corporation	5009
103	China Overseas Finance (Cayman) II Limited	4503
104	China Overseas Finance (Cayman) III Limited	5988
105	China Overseas Finance (Cayman) III Limited	5989
106	China Overseas Finance (Cayman) V Limited	4579
107	China Overseas Finance (Cayman) V Limited	4580
108	China Overseas Finance (Cayman) VI Limited	5746
109	China Overseas Finance (Cayman) VI Limited	5760
110	China Overseas Finance (Cayman) VII Limited	4475
111	China Overseas Finance (Cayman) VII Limited	4476
112	China Overseas Finance Investment (Cayman) V Limited	5600
113	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
114	China Overseas Land International (Cayman) Limited	5541
115	China Railway Resources Huitung Limited	5904
116	China Railway XunJie Co., Limited	5244
117	China Railway XunJie Co., Limited	5692
118	China Resources Power East Foundation Co., Ltd.	4516
119	China Shenhua Overseas Capital Company Limited	5862
120	China Shenhua Overseas Capital Company Limited	5863
121	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
122	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
123	China Southern Power Grid International Finance (BVI) Co., Limited	4583
124	China Southern Power Grid International Finance (BVI) Co., Limited	4598
125	China State Construction Finance (Cayman) I Limited	5462
126	China State Construction Finance (Cayman) II Limited	5037
127	China State Construction Finance (Cayman) II Limited	5038
128	China Taiping Capital Limited	4582
129	China Taiping New Horizon Limited	5984
130	China Yangtze Power International (BVI) 1 Limited	5300
131	China Yangtze Power International (BVI) 2 Limited	5301
132	Chinalco Capital Holdings Limited	4301
133	Chinalco Capital Holdings Limited	5438
134	Chinalco Finance Holdings Limited	5854
135	Chiyu Banking Corporation Limited	5034
136	Chongqing Energy Investment Group Co., Ltd.	5898
137	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	4562
138	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
139	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
140	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
141	Chouzhou International Investment Limited	4542

142	Chouzhou International Investment Limited	5056
143	CITIC Telecom International Finance Limited	5908
144	CLP Power HK Finance Ltd.	5740
145	CLP Power Hong Kong Financing Limited	4306
146	CLP Power Hong Kong Financing Limited	4318
147	CMHI Finance (BVI) Co., Ltd	5134
148	CMHI Finance (BVI) Co., Ltd	5135
149	CMOC Capital Limited	5722
150	CNI Capital Limited	85725
151	CNOOC Curtis Funding No. 1 Pty Ltd	5972
152	CNOOC Curtis Funding No. 1 Pty Ltd	5973
153	CNOOC Finance (2003) Limited	2568
154	CNOOC Finance (2011) Limited	4506
155	CNOOC Finance (2011) Limited	4507
156	CNOOC Finance (2012) Limited	4546
157	CNOOC Finance (2012) Limited	4547
158	CNOOC Finance (2013) Limited	5941
159	CNOOC Finance (2013) Limited	5942
160	CNOOC Finance (2015) Australia Pty Ltd	5506
161	CNOOC Finance (2015) Australia Pty Ltd	5507
162	CNOOC Finance (2015) U.S.A. LLC	4478
163	CNOOC Finance (2015) U.S.A. LLC	4479
164	CNOOC Finance (2015) U.S.A. LLC	5508
165	CNOOC Nexen Finance (2014) ULC	5738
166	CNOOC Nexen Finance (2014) ULC	5739
167	CNPC (HK) Overseas Capital Ltd.	4513
168	CNPC (HK) Overseas Capital Ltd.	4514
169	CNPC General Capital Limited	4544
170	CNPC General Capital Limited	5923
171	Coastal Emerald Limited	5529
172	COSCO Pacific Finance (2013) Company Limited	5900
173	COSL Finance (BVI) Limited	4563
174	Cosmos Boom Investment Limited	5534
175	CRCC Yupeng Limited	5778
176	CRCC Yuxiang Limited	5945
177	CSCEC Finance (Cayman) I Limited	5574
178	CSCEC Finance (Cayman) II Limited	5232
179	CSCEC Finance (Cayman) II Limited	5233
180	CSCEC Finance (Cayman) II Limited	5668
181	CSCEC Finance (Cayman) II Limited	5669
182	CSCI Finance (2015) Co. Ltd	5564
183	CSSC Capital One Limited	5181
184	CSSC Capital Two Limited	5182
185	Dah Sing Bank, Limited	5316
186	Dah Sing Bank, Limited	5524
187	Dah Sing Bank, Limited	6021
188	Dangdai International Investments Ltd	5027
189	Dianjian Haixing Limited	5816
190	Double Rosy Limited	5829
191	DYNAMIC MISSION INVESTMENTS LIMITED	5386
192	Ease Trade Global Limited	4458
193	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
194	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
195	Excel Capital Global Limited	4496
196	Expand Lead Limited	5165
197	First FZ Bond Limited	5275
198	Fita International Limited	4315
199	FPC Capital Limited	5107
200	FPC Treasury Limited	5924
201	Franshion Brilliant Limited	5030
202	Franshion Brilliant Limited	5229
203	Franshion Brilliant Limited	5347
204	Franshion Brilliant Limited	5385
205	Franshion Brilliant Limited	5472
206	Fujian Zhanglong Group Co., Ltd.	5331
207	Full Dragon (Hong Kong) International Development Limited	4428
208	FWD Group Limited	5019
209	FWD Group Limited	5221
210	FWD Limited	4416
211	FWD Limited	5351
212	FWD Limited	5803
213	Gansu Province Electric Power Investment Group Co., Ltd.	5466
214	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
215	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
216	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
217	Gaoxin International Investment Co., Ltd	5335
218	GOHL Capital Limited	5352
219	GRAM International Limited	5587
220	Granda Century Limited	5152
221	Green Fortune Capital Limited	5288
222	Greenland Global Investment Limited	5768
223	Greenland Global Investment Limited	5769

224	Guang Ying Investment Limited	4492
225	Guangsha Holding Group Co., Ltd.	5456
226	Guangxi Communications Investment Group Corporation. Ltd	5921
227	Guangxi Financial Investment Group Co., Ltd.	5098
228	GUANGZHOU Silk Road Investment Limited	5323
229	Guotai Junan Holdings Limited	5853
230	Haichuan International Investment Co., Ltd.	4538
231	Haichuan International Investment Co., Ltd.	5460
232	Haitian (BVI) International Investment Development Limited	5061
233	Haitong International Finance 2014 Limited	5801
234	Haitong International Finance 2015 Limited	5867
235	Haitong International Finance Holdings 2015 Limited	5892
236	Hangzhou Fuyang Chengtou Group (HK) Limited	5469
237	Hanrui Overseas Investment Co Ltd	5081
238	Hanrui Overseas Investment Co Ltd	5680
239	Harvest International Company	5024
240	Henson Finance Limited	4312
241	Hesteel Hong Kong Co., Limited	5417
242	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
243	Hong Kong Sukuk 2014 Limited	4223
244	Hong Kong Sukuk 2015 Limited	4226
245	Hong Kong Sukuk 2017 Limited	4233
246	Hongkong Baorong Development Limited	5465
247	Hongkong Electric Finance Limited	4505
248	Hongkong International (Qingdao) Company Limited	5023
249	Hongkong International (Qingdao) Company Limited	5048
250	Hongkong International (Qingdao) Company Limited	5191
251	Hongkong International (Qingdao) Company Limited	5874
252	Hongkong International (Qingdao) Company Limited	5875
253	HongKong Xiangyu Investment Co., Limited	4409
254	Huafa Group 2018 I Company Limited	5150
255	Huai'an Traffic Holding Co., Ltd.	5784
256	Huai'an Water Conservancy Holding Group Co., Ltd.	6009
257	Huaibei City Construction Investment Holding Group Company Limited	5474
258	Huaibei City Construction Investment Holding Group Company Limited	5946
259	Huaneng Hong Kong Capital Limited	5000
260	Huantaihu International investment Co., Ltd	5413
261	Huarong Finance Co., Ltd.	5774
262	Huasing International Holdings Co., Limited	4448
263	Huasing International Holdings Co., Limited	4449
264	Huatai International Finance I Limited	5812
265	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
266	Huaxing Investment Holding Company Limited	5363
267	Huayi Finance I Ltd.	5847
268	HUAYUAN PROPERTY CO., LTD	5922
269	Huayuan Property Co., Ltd.	5239
270	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
271	Hunan Xiangjiang New Area Development Group Co Ltd	5223
272	Huzhou City Investment Development Group Co., Ltd.	5074
273	Huzhou Communications Investment Group Co., Ltd.	85740
274	ICBCIL Finance Co. Limited	5884
275	IFC Development (Corporate Treasury) Limited	5715
276	IFC Development (Corporate Treasury) Limited	5756
277	IFC Development (Corporate Treasury) Limited	5757
278	IFC Development (Corporate Treasury) Limited	6000
279	Industrial and Commercial Bank of China (Asia) Limited	5686
280	Industrial and Commercial Bank of China (Asia) Limited	5976
281	Industrial and Commercial Bank of China (Macau) Limited	5797
282	Intellect Aim Management Ltd.	6003
283	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
284	Jiangxi Railway Investment Group Corporation	5770
285	JIC Zhixin Limited	5031
286	JIC Zhixin Limited	5032
287	Jinan Hi-tech Holding Group Co., Ltd.	5481
288	Jinan West City Investment and Development Group Co., Ltd.	4588
289	Jinshine International Co., Ltd.	4451
290	Jisco SR Pearl Ltd.	5953
291	Jiuding Group Finance Co., Ltd	5246
292	Joy Treasure Assets Holdings Inc.	5901
293	Joy Treasure Assets Holdings Inc.	5903
294	Keen Idea Global Limited	5393
295	King Power Capital Ltd.	5822
296	King Power Capital Ltd.	5823
297	King Talent Management Limited	5026
298	Korean Reinsurance Company	5815
299	Kunzhi Limited	4464
300	Kunzhi Limited	5100
301	Lai Fung Bonds (2018) Limited	5087
302	Legend Fortune Limited	5128
303	Lingang Wings Inc	5149
304	Liuzhou Dongtong Investment & Development Co., Ltd.	4329
305	LS Finance (2022) Limited	4571

306	LS Finance (2025) Limited	5535
307	LSD Bonds (2017) Limited	5270
308	Luso International Banking Limited	5078
309	Malaysia Sovereign Sukuk Berhad	5894
310	Malaysia Sovereign Sukuk Berhad	5895
311	Malaysia Sukuk Global Berhad	5633
312	Malaysia Sukuk Global Berhad	5634
313	MCC Holding (Hong Kong) Corporation Limited	4483
314	MCC Holding (Hong Kong) Corporation Limited	5210
315	Mei Nian Investment Limited	5932
316	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
317	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
318	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
319	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
320	Minmetals Land Capital Limited	5933
321	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
322	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
323	Nanyang Commercial Bank, Limited	5214
324	New Lion Bridge Company Limited	5290
325	New Rose Investments Limited	5344
326	Nimble City Limited	5144
327	Nuoxi Capital Limited	4401
328	Nuoxi Capital Limited	4402
329	Nuoxi Capital Limited	5436
330	Nuoxi Capital Limited	5484
331	Nuoxi Capital Limited	5704
332	Nuoxi Capital Limited	5996
333	NWD Finance (BVI) Limited	4561
334	NWD Finance (BVI) Limited	5856
335	Oceanwide Holdings International 2015 Co., Limited	5557
336	Oceanwide Holdings International 2017 Co., Limited	5251
337	Oceanwide Holdings International Development III Co., Ltd.	4532
338	Oceanwide Holdings International Development III Co., Ltd.	5196
339	Oceanwide Real Estate International Holding Company Limited	5798
340	Orient Huizhi Limited	5041
341	Oriental Capital Company Limited	5305
342	Oversea-Chinese Banking Corporation Limited	85912
343	OVPH Limited	5614
344	PB Issuer (No.4) Limited	5525
345	Peixian State-owned Assets Management Company Limited	5336
346	Perfect Point Ventures Limited	4566
347	Petron Corporation	5905
348	PETRONAS Global Sukuk Ltd.	5882
349	PHBS Limited	4325
350	Phoenix Charm International Investment Limited	5332
351	Phoenix Lead Limited	5262
352	Pingxiang Urban Construction Investment Developing Company	4535
353	Pioneer Reward Limited	4530
354	Poly Real Estate Finance Ltd	4417
355	Poly Real Estate Finance Ltd	5164
356	Poly Real Estate Finance Ltd	5916
357	Power Best Global Investments Limited	5940
358	Powerchina Real Estate Group Ltd.	5471
359	Press Metal (Labuan) Ltd.	5299
360	Prosperous Ray Limited	5994
361	Proven Honour Capital Limited	5516
362	Proven Honour Capital Limited	5641
363	PTT Public Company Limited	2527
364	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
365	Qinghai Provincial Investment Group Co., Ltd.	4450
366	Qinghai Provincial Investment Group Co., Ltd.	5380
367	Radiant Access Limited	5205
368	Rail Transit International Investment Company Limited	5644
369	Reward International Investment Limited	5360
370	RKI Overseas Finance 2016 (A) Limited	5695
371	RKI Overseas Finance 2016 (B) Limited	4309
372	Rongshi International Finance Limited	5448
373	Rongshi International Finance Limited	5449
374	Rosy Delta Investments Limited	5097
375	SCIG International Financial Limited	5174
376	SDG FINANCE I LIMITED	4539
377	SDG FINANCE I LIMITED	5192
378	SDSC Global Finance Limited	5303
379	SDSC International Finance Limited	5827
380	SF Holding Investment Limited	5130
381	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
382	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
383	Shandong Commercial Group Co., Ltd.	5512
384	Shandong Energy Australia Pty Ltd	5248
385	Shandong Iron and Steel Xinheng International Company Limited	4453
386	Shandong Iron and Steel Xinheng International Company Limited	5063
387	Shandong Iron and Steel Xinheng International Company Limited	5470

388	Shandong Iron and Steel Xinheng International Company Limited	5601
389	Shanghai Commercial Bank Limited	5043
390	Shanghai Commercial Bank Limited	5530
391	Shanghai Electric Power Finance Limited	5558
392	Shanghai Port Group (BVI) Holding Co., Limited	5255
393	Shanghai Port Group (BVI) Holding Co., Limited	5256
394	Shangrao Investment Holdings International Company Limited	4429
395	Shanghai (Hong Kong) International Investments Limited	5435
396	Shaoxing City Investment Group Limited	5489
397	Shine Power International Limited	5777
398	Si Fa Investment Limited	5490
399	Sichuan Communications Overseas Development Co., Ltd.	5399
400	SIHC International Capital Ltd	5176
401	SIHC International Capital Ltd	5177
402	Silver Sparkle Limited	5697
403	Sino Trendy Investment Limited	4407
404	Sinochem Global Capital Co., Ltd.	5935
405	Sinochem Overseas Capital Company Limited	4501
406	Sinochem Overseas Capital Company Limited	4502
407	Sino-Ocean Land Treasure Finance I Limited	5781
408	Sino-Ocean Land Treasure Finance I Limited	5782
409	Sino-Ocean Land Treasure Finance II Limited	5868
410	Sino-Ocean Land Treasure Finance II Limited	5869
411	Sino-Ocean Land Treasure III Limited	5276
412	Sino-Ocean Land Treasure IV Limited	5131
413	Sino-Ocean Land Treasure IV Limited	5712
414	Skyland Mining (BVI) Limited	5228
415	Skysea International Capital Management Limited	4529
416	SmarTone Finance Limited	5917
417	Societe Generale	5947
418	Societe Generale	5959
419	Societe Generale	5960
420	Societe Generale	5961
421	Societe Generale	5962
422	SPIC 2016 US dollar Bond Company Limited	5324
423	SPIC 2016 US dollar Bond Company Limited	5325
424	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
425	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
426	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
427	State Grid Overseas Investment (2013) Limited	5954
428	State Grid Overseas Investment (2013) Limited	5955
429	State Grid Overseas Investment (2014) Limited	5742
430	State Grid Overseas Investment (2014) Limited	5743
431	State Grid Overseas Investment (2016) Limited	5649
432	State Grid Overseas Investment (2016) Limited	5650
433	State Grid Overseas Investment (2016) Limited	5651
434	State Grid Overseas Investment (2016) Limited	5652
435	Strategic International Group Limited	5241
436	Sunny Express Enterprises Corp.	5906
437	Sunshine Life Insurance Corporation Limited	5628
438	Sunshine Life Insurance Corporation Limited	5629
439	Suqian Economic Development (BVI) Co., Limited	5302
440	Taikang Insurance Group Inc.	5349
441	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
442	The Hongkong and Shanghai Banking Corporation Limited	4323
443	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
444	Tianjin Lingang Investment Holding Co., Ltd.	5148
445	Tianjin Real Estate Group Co., Ltd	5286
446	Tianqi Finco Co., Ltd	5036
447	Tongfang Aqua 2017 Limited	4454
448	Top Luxury Investment Limited	5598
449	Top Wise Excellence Enterprise Co., Ltd.	5402
450	Towngas (Finance) Limited	5749
451	Towngas (Finance) Limited	6018
452	Trade Horizon Global Limited	5133
453	Treasure Generator Limited	5709
454	Triceratops Capital Co., Limited	4408
455	Tsinghua Unic Limited	4413
456	Tsinghua Unic Limited	4414
457	Tsinghua Unic Limited	4415
458	Tuspark Forward Ltd.	5143
459	Tuspark Forward Ltd.	5857
460	Tuspark Forward Ltd.	5735
461	TVB Finance Limited	4577
462	Unigroup International Holdings Ltd.	5597
463	Union Life Insurance Co., Ltd.	4322
464	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
465	Vertex Capital Investment Limited	5931
466	Wakala Global Sukuk Berhad	4519
467	Wanda Properties Global Co. Limited	5835
468	Wanda Properties International Co. Limited	6023
469	Want Want China Finance Limited	5446

470	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
471	Wuhan Financial Holdings (Group) Co., Ltd.	5498
472	Wuhan Metro Group Co., Ltd.	5467
473	Wuhan Metro Group Co., Ltd.	5939
474	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
475	Wuhan State-owned Assets Management Limited Company	5070
476	Xiangxing Overseas Investment Co., Ltd.	5329
477	Xiangyu Investment (BVI) Co., Ltd.	5683
478	Xihui Haiwai I Investment Holdings Co., Limited	5679
479	Xihui Haiwai I Investment Holdings Co., Limited	5990
480	Xingang International Holding Limited	5330
481	Xingsheng (BVI) Company Limited	5172
482	Xinhu (BVI) 2018 Holding Company Limited	5497
483	Xinhu (BVI) 2018 Holding Company Limited	5889
484	Xinhu (BVI) Holding Company Limited	5382
485	Xinjiang Financial Investment Co., Ltd.	5907
486	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5952
487	Xinxing Industry Investment Company Limited	5065
488	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
489	Yancoal International Resources Development Co., Limited	4552
490	Yancoal International Resources Development Co., Limited	5424
491	Yancoal International Resources Development Co., Ltd	5461
492	Yancoal International Trading Co., Limited	5753
493	Yango (Cayman) Investment Limited	4470
494	Yango (Cayman) Investment Limited	5414
495	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
496	Yankuang Group (Cayman) Limited	5044
497	Yankuang Group (Cayman) Limited	5705
498	Yichang High-Tech Investment Development Co., Ltd.	5495
499	Yihua Overseas Investment Ltd	5293
500	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
501	Yingde Gases Investment Limited	5793
502	YONGDA Investment Limited	5543
503	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
504	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
505	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
506	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
507	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
508	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
509	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5998
510	Zhaohai Investment (BVI) Limited	5547
511	Zhaojin Mining International Finance Limited	5851
512	Zhejiang Baron (BVI) Company Limited	5146
513	Zhengzhou Metro Group Co., Ltd.	5496
514	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
515	Zhongtai International Bond 2017 (BVI) Company Limited	5263
516	Zhongtai International Finance (BVI) Company Limited	5919
517	Zhongyuan Sincere Investment Co. Ltd.	5095
518	Zhoushan City Investment Group Corporation Limited	5487
519	Zhuji Development Limited	5480
520	Zhuzhou City Construction Development Group Co., Ltd.	4531
521	Zhuzhou City Construction Development Group Co., Ltd.	5710
522	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