

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

Updated as at
31 Aug 2018

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

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 listed on The Stock Exchange of Hong Kong Limited

Name	Period of exemption (Note 1)	
	Commencing on	Ending on
1 BOCI Aisa Limited	21 December 2007	20 December 2018
2 BNP Paribas Issuance B.V.	21 December 2007	20 December 2018
3 Citigroup Global Markets Holdings Inc. (Note 2)	15 June 2009	14 June 2015
4 Credit Suisse AG	21 December 2007	20 December 2018
5 Daiwa Capital Markets Hong Kong Limited (Note 3)	20 July 2010	19 July 2016
6 Goldman Sachs Structured Products (Asia) Limited	21 December 2007	20 December 2018
7 Haitong International Securities Company Limited (Note 4)	16 March 2017	15 March 2019
8 J.P. Morgan Structured Products B.V.	21 December 2007	20 December 2018
9 Macquarie Bank Limited	1 January 2008	31 December 2018
10 Nomura International plc (Note 5)	10 December 2009	9 December 2015
11 SG Issuer	1 April 2016	31 March 2019
12 SGA Société Générale Acceptance N.V. (Note 6)	21 December 2007	20 December 2016
13 Standard Chartered Bank (Note 7)	28 June 2010	27 June 2016
14 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2018
15 UBS AG	21 December 2007	20 December 2018

- 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: The exemption granted to Citigroup Global Markets Holdings Inc. expired on 14 June 2015. Previous exemptions granted to Citigroup Global Markets Holdings Inc. continue to apply with respect to all structured products issued by Citigroup Global Markets Holdings Inc. and listed on The Stock Exchange of Hong Kong Limited between (i) 21 December 2007 and 20 December 2008 and (ii) 15 June 2009 and 14 June 2015.
- Note 3: The exemption granted to Daiwa Capital Markets Hong Kong Limited expired on 19 July 2016. Previous exemptions granted to Daiwa Capital Markets Hong Kong Limited continue to apply with respect to all structured products issued by Daiwa Capital Markets Hong Kong Limited and listed on The Stock Exchange of Hong Kong Limited between 20 July 2010 and 19 July 2016.
- Note 4: 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 5: The exemption granted to Nomura International plc expired on 9 December 2015. Previous exemptions granted to Nomura International plc continue to apply with respect to all structured products issued by Nomura International plc and listed on The Stock Exchange of Hong Kong Limited between 10 December 2009 and 9 December 2015.
- Note 6: The exemption granted to SGA Société Générale Acceptance N.V. expired on 20 December 2016. Previous exemptions granted to SGA Société Générale Acceptance N.V. continue to apply with respect to all structured products issued by SGA Société Générale Acceptance N.V. and listed on The Stock Exchange of Hong Kong Limited between 21 December 2007 and 20 December 2016.
- Note 7: The exemption granted to Standard Chartered Bank expired on 27 June 2016. Previous exemptions granted to Standard Chartered Bank continue to apply with respect to all structured products issued by Standard Chartered Bank and listed on The Stock Exchange of Hong Kong Limited between 28 June 2010 and 27 June 2016.

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 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 Note 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	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
39	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
40	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
41	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
42	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
43	HLP Finance Limited	US\$3 billion Medium Term Note Programme
44	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
45	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
46	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
47	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
48	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
49	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
50	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
51	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
52	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
53	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
54	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
55	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
56	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
57	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
58	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
59	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
60	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
61	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
62	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
63	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
64	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
65	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
66	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
67	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
68	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
69	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
70	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
71	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
72	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
73	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
74	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
75	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
76	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
77	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
78	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
79	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
80	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
81	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
82	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
83	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
84	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
85	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
86	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\$7 billion Medium Term Note Programme
87	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme

88	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
89	Wing Lung Bank, Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
90	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme

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 and listed on The Stock Exchange of Hong Kong Limited

Name	SEHK Stock codes
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 Asia View Limited	5788
11 AVIC International Finance & Investment Limited	4497
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	5145
23 Beijing Enterprises Water Capital Management Limited	4480
24 Beijing Gas Singapore Capital Corporation	5213
25 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
26 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
27 Blue Skyview Company Limited	5364
28 Bluestar Finance Holdings Limited	4550
29 Bluestar Finance Holdings Limited	4556
30 Bluestar Finance Holdings Limited	5599
31 Boom Up Investments Limited	5544
32 Bright Galaxy International Limited	5927
33 Cable and Wireless International Finance B.V.	1077
34 Cable and Wireless International Finance B.V.	1078
35 Caiyun International Investment Limited	5682
36 CALC Bond 1 Limited	5642
37 CALC Bond 2 Limited	4300
38 CALC Bond 3 Limited	5390
39 CALC Bond 3 Limited	5391
40 CCB Life Insurance Company Limited	5437
41 CCBL (Cayman) Corporation Limited	5548
42 CCCI Treasure Limited	5893
43 CCTI 2017 Ltd	5258
44 CDBL Funding 1	5849
45 CDBL Funding 1	5850
46 Central Plaza Development Ltd.	5919
47 Century Master Investment Co. Ltd.	5968
48 CGNPC International Limited	5058
49 CGNPC International Limited	5059
50 CGNPC International Limited	5519
51 Chalco Hong Kong Investment Company Limited	5727
52 Chalco Hong Kong Investment Company Limited	5920
53 Chalco Hong Kong Investment Company Limited	5985
54 Chalieceo Hong Kong Corporation Limited	5321
55 Chalieceo Hong Kong Corporation Limited	5702
56 Chang Development International Limited	5345
57 Changde Urban Construction and Investment Group Co., Ltd.	5328
58 Changsha Pilot Investment Holdings Co., Ltd.	5315
59 Charter Style International Limited	85993
60 Chengdu Communications Investment Group Corporation Limited	5062
61 Chengdu Xingcheng Investment Group Co., Ltd.	5314
62 Cheung Kong Bond Securities (02) Limited	4559
63 Cheung Kong Bond Securities (03) Limited	4595
64 Cheung Kong Infrastructure Finance (BVI) Limited	5060
65 China Cinda Finance (2014) Limited	5747
66 China Cinda Finance (2014) Limited	5748
67 China CITIC Bank International Limited	4594
68 China CITIC Bank International Limited	5728
69 China CITIC Bank International Limited	5992
70 China Clean Energy Development Limited	5568
71 China Development Bank Corporation	85904
72 China Development Bank Corporation	85905
73 China Development Bank Corporation	85933
74 China Development Bank Corporation	85934
75 China Energy Reserve and Chemicals Group Holding Limited	5639
76 China Energy Reserve and Chemicals Group Overseas Company Limited	5503

77	China Huadian Overseas Development 2018 Limited	4491
78	China Life Insurance (Overseas) Co., Ltd	5250
79	China Merchants Finance Company Limited	4548
80	China Merchants Finance Company Limited	5554
81	China Merchants Finance Company Limited	5555
82	China Minmetals Corporation	4442
83	China Minmetals Corporation	5009
84	China Oceanwide International Financial Management Co., Ltd	5623
85	China Overseas Finance (Cayman) II Limited	4503
86	China Overseas Finance (Cayman) III Limited	5987
87	China Overseas Finance (Cayman) III Limited	5988
88	China Overseas Finance (Cayman) III Limited	5989
89	China Overseas Finance (Cayman) V Limited	4579
90	China Overseas Finance (Cayman) V Limited	4580
91	China Overseas Finance (Cayman) VI Limited	5745
92	China Overseas Finance (Cayman) VI Limited	5746
93	China Overseas Finance (Cayman) VI Limited	5760
94	China Overseas Finance (Cayman) VII Limited	4475
95	China Overseas Finance (Cayman) VII Limited	4476
96	China Overseas Finance Investment (Cayman) V Limited	5600
97	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
98	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
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) II Limited	5037
110	China State Construction Finance (Cayman) II Limited	5038
111	China Taiping Capital Limited	4582
112	China Taiping New Horizon Limited	5984
113	China Uranium Development Company Limited	5971
114	China Yangtze Power International (BVI) 1 Limited	5300
115	China Yangtze Power International (BVI) 2 Limited	5301
116	Chinalco Capital Holdings Limited	4301
117	Chinalco Capital Holdings Limited	5438
118	Chinalco Finance Holdings Limited	5854
119	Chiyu Banking Corporation Limited	5034
120	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
121	Chouzhou International Investment Limited	5056
122	CITIC Telecom International Finance Limited	5908
123	CLP Power HK Finance Ltd.	5740
124	CLP Power Hong Kong Financing Limited	4306
125	CLP Power Hong Kong Financing Limited	4318
126	CMHI Finance (BVI) Co., Ltd	5134
127	CMHI Finance (BVI) Co., Ltd	5135
128	CNI Capital Limited	85725
129	CNMC International Capitals Company Limited	5608
130	CNOOC Curtis Funding No. 1 Pty Ltd	5972
131	CNOOC Curtis Funding No. 1 Pty Ltd	5973
132	CNOOC Finance (2003) Limited	2568
133	CNOOC Finance (2011) Limited	4506
134	CNOOC Finance (2011) Limited	4507
135	CNOOC Finance (2012) Limited	4546
136	CNOOC Finance (2012) Limited	4547
137	CNOOC Finance (2013) Limited	5941
138	CNOOC Finance (2013) Limited	5942
139	CNOOC Finance (2015) Australia Pty Ltd	5506
140	CNOOC Finance (2015) Australia Pty Ltd	5507
141	CNOOC Finance (2015) U.S.A. LLC	4478
142	CNOOC Finance (2015) U.S.A. LLC	4479
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	5923
151	Coastal Emerald Limited	4438
152	COSCO Pacific Finance (2013) Company Limited	5900
153	COSL Finance (BVI) Limited	4563
154	Cosmos Boom Investment Limited	5534
155	CRCC Yupeng Limited	5778
156	CRCC Yuxiang Limited	5945
157	Crotona Assets Limited	5724
158	CSCEC Finance (Cayman) I Limited	5574
159	CSCEC Finance (Cayman) II Limited	5232
160	CSCEC Finance (Cayman) II Limited	5233
161	CSCEC Finance (Cayman) II Limited	5668
162	CSCEC Finance (Cayman) II Limited	5669
163	CSCI Finance (2015) Co. Ltd	5564

164	Dah Sing Bank, Limited	5316
165	Dah Sing Bank, Limited	6021
166	Dangdai International Investments Ltd	5027
167	Dianjian Haixing Limited	5816
168	Double Rosy Limited	5829
169	DYNAMIC MISSION INVESTMENTS LIMITED	5386
170	Ease Trade Global Limited	4458
171	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
172	Eastern Creation Investment Holdings Ltd.	5714
173	eHi Car Services Limited	5594
174	Excel Capital Global Limited	4496
175	Fita International Limited	4315
176	FPC Capital Limited	5107
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.	5132
194	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
195	Gaoxin International Investment Co., Ltd	5335
196	GOHL Capital Limited	5352
197	GRAM International Limited	5587
198	Green Fortune Capital Limited	5288
199	Greenland Global Investment Limited	5768
200	Greenland Global Investment Limited	5769
201	Guang Ying Investment Limited	4492
202	Guangxi Communications Investment Group Corporation. Ltd	5921
203	Guangxi Financial Investment Group Co., Ltd.	5098
204	GUANGZHOU Silk Road Investment Limited	5323
205	Guotai Junan Financial Holdings (BVI) Limited	5754
206	Haichuan International Investment Co., Ltd.	4538
207	Haitian (BVI) International Investment Development Limited	5061
208	Haitong International Finance 2014 Limited	5801
209	Haitong International Finance 2015 Limited	5867
210	Haitong International Finance Holdings 2015 Limited	5892
211	Hanrui Overseas Investment Co Ltd	5081
212	Hanrui Overseas Investment Co Ltd	5680
213	Harvest International Company	5024
214	Henson Finance Limited	4312
215	Hesteel Hong Kong Co., Limited	5417
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	Hong Seng Limited	4484
221	Hongkong Baorong Development Limited	5595
222	Hongkong Electric Finance Limited	4505
223	Hongkong International (Qingdao) Company Limited	5023
224	Hongkong International (Qingdao) Company Limited	5048
225	Hongkong International (Qingdao) Company Limited	5874
226	Hongkong International (Qingdao) Company Limited	5875
227	HongKong Xiangyu Investment Co., Limited	4409
228	Huai'an Traffic Holding Co., Ltd.	5784
229	Huaneng Hong Kong Capital Limited	5000
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	Kunzhi Limited	4464
262	Kunzhi Limited	5100
263	Lai Fung Bonds (2018) Limited	5087
264	Legend Fortune Limited	5128
265	Logo Star Limited	5996
266	LS Finance (2022) Limited	4571
267	LS Finance (2025) Limited	5535
268	LSD Bonds (2017) Limited	5270
269	Luso International Banking Limited	5078
270	Lvqi Holdings Co., Ltd.	4456
271	Malaysia Sovereign Sukuk Berhad	5894
272	Malaysia Sovereign Sukuk Berhad	5895
273	Malaysia Sukuk Global Berhad	5633
274	Malaysia Sukuk Global Berhad	5634
275	MCC Holding (Hong Kong) Corporation Limited	4483
276	MCC Holding (Hong Kong) Corporation Limited	5210
277	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
278	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
279	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
280	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
281	Minmetals Land Capital Limited	5933
282	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
283	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
284	Nanyang Commercial Bank, Limited	5214
285	New Lion Bridge Company Limited	5290
286	New Rose Investments Limited	5344
287	Nimble City Limited	5144
288	Nuoxi Capital Limited	4401
289	Nuoxi Capital Limited	4402
290	Nuoxi Capital Limited	5436
291	NWD Finance (BVI) Limited	4561
292	Oceanwide Holdings International 2015 Co., Limited	5557
293	Oceanwide Holdings International 2017 Co., Limited	5035
294	Oceanwide Holdings International 2017 Co., Limited	5251
295	Oceanwide Real Estate International Holding Company Limited	5798
296	Orient Huizhi Limited	5041
297	Oriental Capital Company Limited	5305
298	Oversea-Chinese Banking Corporation Limited	85912
299	OVPH Limited	5614
300	PB Issuer (No.4) Limited	5525
301	Peixian State-owned Assets Management Company Limited	5336
302	Petron Corporation	5905
303	PETRONAS Global Sukuk Ltd.	5882
304	PHBS Limited	4325
305	Phoenix Charm International Investment Limited	5332
306	Phoenix Lead Limited	5262
307	Poly Real Estate Finance Ltd	4417
308	Poly Real Estate Finance Ltd.	5730
309	Press Metal (Labuan) Ltd.	5299
310	Profit Fast Limited	5578
311	Prosperous Ray Limited	5993
312	Prosperous Ray Limited	5994
313	Proven Honour Capital Limited	5516
314	Proven Honour Capital Limited	5641
315	PTT Public Company Limited	2527
316	Pulai Capital Limited	4540
317	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
318	Qinghai Province General Aviation Group Co., Ltd.	5064
319	Qinghai Provincial Investment Group Co., Ltd.	4450
320	Qinghai Provincial Investment Group Co., Ltd.	5289
321	Qinghai Provincial Investment Group Co., Ltd.	5380
322	Radiant Access Limited	5205
323	Rail Transit International Investment Company Limited	5643
324	Rail Transit International Investment Company Limited	5644
325	Reward International Investment Limited	5360
326	RKI Overseas Finance 2016 (A) Limited	5695
327	RKI Overseas Finance 2016 (B) Limited	4309
328	Rongshi International Finance Limited	5448
329	Rongshi International Finance Limited	5449
330	Rosy Delta Investments Limited	5097
331	SDSC Global Finance Limited	5303
332	SDSC International Finance Limited	5827
333	SF Holding Investment Limited	5130
334	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
335	Shandong Energy Australia Pty Ltd	5248
336	Shandong Gold International Mining Investment Holding Limited	5572
337	Shandong Iron and Steel Xinheng International Company Limited	4453
338	Shandong Iron and Steel Xinheng International Company Limited	5063
339	Shandong Iron and Steel Xinheng International Company Limited	5601

340	Shanghai Commercial Bank Limited	5043
341	Shanghai Electric Power Finance Limited	5558
342	Shanghai Port Group (BVI) Holding Co., Limited	5255
343	Shanghai Port Group (BVI) Holding Co., Limited	5256
344	Shangrao Investment Holdings International Company Limited	4429
345	Shanghai (Hong Kong) International Investments Limited	5435
346	Shine Power International Limited	5777
347	Silver Sparkle Limited	5697
348	Sino Trendy Investment Limited	4407
349	Sinochem Global Capital Co., Ltd.	5935
350	Sinochem Overseas Capital Company Limited	4501
351	Sinochem Overseas Capital Company Limited	4502
352	Sino-Ocean Land Treasure Finance I Limited	5781
353	Sino-Ocean Land Treasure Finance I Limited	5782
354	Sino-Ocean Land Treasure Finance II Limited	5868
355	Sino-Ocean Land Treasure Finance II Limited	5869
356	Sino-Ocean Land Treasure III Limited	5276
357	Sino-Ocean Land Treasure IV Limited	5131
358	Skyland Mining (BVI) Limited	5228
359	Skysea International Capital Management Limited	4529
360	SmarTone Finance Limited	5917
361	Societe Generale	5947
362	Societe Generale	5959
363	Societe Generale	5960
364	Societe Generale	5961
365	Societe Generale	5962
366	SPIC 2016 US dollar Bond Company Limited	5324
367	SPIC 2016 US dollar Bond Company Limited	5325
368	State Grid Overseas Investment (2013) Limited	5954
369	State Grid Overseas Investment (2013) Limited	5955
370	State Grid Overseas Investment (2014) Limited	5741
371	State Grid Overseas Investment (2014) Limited	5742
372	State Grid Overseas Investment (2014) Limited	5743
373	State Grid Overseas Investment (2016) Limited	5649
374	State Grid Overseas Investment (2016) Limited	5650
375	State Grid Overseas Investment (2016) Limited	5651
376	State Grid Overseas Investment (2016) Limited	5652
377	Strategic International Group Limited	5241
378	Sunshine Life Insurance Corporation Limited	5627
379	Sunshine Life Insurance Corporation Limited	5628
380	Sunshine Life Insurance Corporation Limited	5629
381	Suqian Economic Development (BVI) Co., Limited	5302
382	Taikang Insurance Group Inc.	5349
383	The Hongkong and Shanghai Banking Corporation Limited	4323
384	Tianfang Jincheng (BVI) Limited	4403
385	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
386	Tianjin Lingang Investment Holding Co., Ltd.	5148
387	Tianjin Lingang Investment Holding Co., Ltd.	5281
388	Tianjin Real Estate Group Co., Ltd	5286
389	Tianqi Finco Co., Ltd	5036
390	Tongfang Aqua 2017 Limited	4454
391	Top Luxury Investment Limited	5598
392	Top Wise Excellence Enterprise Co., Ltd.	5402
393	Top Yield Ventures Limited	5102
394	Towngas (Finance) Limited	6018
395	Trade Horizon Global Limited	5133
396	Treasure Generator Limited	5709
397	Triceratops Capital Co., Limited	4408
398	Tsinghua Unic Limited	4413
399	Tsinghua Unic Limited	4414
400	Tsinghua Unic Limited	4415
401	Tuspark Forward Ltd.	5143
402	Tuspark Forward Ltd.	5581
403	Tuspark Forward Ltd.	5735
404	TVB Finance Limited	4577
405	Unigroup International Holdings Ltd.	5596
406	Unigroup International Holdings Ltd.	5597
407	Union Life Insurance Co., Ltd.	4322
408	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
409	Vertex Capital Investment Limited	4471
410	Wakala Global Sukuk Berhad	4519
411	Wanda Properties International Co. Limited	6023
412	Wanda Properties Overseas Limited	5997
413	Want Want China Finance Limited	5446
414	Wise Source International Limited	5309
415	Wuhan Metro Group Co., Ltd.	5939
416	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
417	Wuhan State-owned Assets Management Limited Company	5070
418	Xiangxing Overseas Investment Co., Ltd.	5329
419	Xiangyu Investment (BVI) Co., Ltd.	5683
420	Xihui Haiwai I Investment Holdings Co., Limited	5679
421	Xingang International Holding Limited	5330
422	Xinhu (BVI) Holding Company Limited	5382
423	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
424	Xinxing Industry Investment Company Limited	5065
425	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
426	Yancoal International Resources Development Co., Limited	4552
427	Yancoal International Resources Development Co., Limited	5424
428	Yancoal International Trading Co., Limited	5753
429	Yango (Cayman) Investment Limited	4470
430	Yango (Cayman) Investment Limited	5414

431	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
432	Yankuang Group (Cayman) Limited	5044
433	Yihua Overseas Investment Ltd	5293
434	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
435	Yingde Gases Investment Limited	5793
436	YONGDA Investment Limited	5543
437	Yunnan Energy Investment Finance Company Ltd.	5632
438	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
439	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
440	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
441	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
442	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
443	Zhaohai Investment (BVI) Limited	5547
444	Zhejiang Baron (BVI) Company Limited	5146
445	Zhejiang Cultural Tourism Industry Group Co., Ltd.	5319
446	ZHIYUAN Group (BVI) Co., Ltd.	5603
447	Zhongtai International Bond 2017 (BVI) Company Limited	5263
448	Zhongtai International Finance (BVI) Company Limited	4418
449	Zhongyuan Sincere Investment Co. Ltd.	5095
450	Zhuzhou City Construction Development Group Co., Ltd.	5710
451	Zoucheng Limin Construction Development Company Limited	5079

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