

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

Updated as at  
31 Jan 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

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 2019
2 BNP Paribas Issuance B.V.	21 December 2007	20 December 2019
3 Citigroup Global Markets Holdings Inc. (Note 2)	15 June 2009	14 June 2015
4 Credit Suisse AG	21 December 2007	20 December 2019
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 2019
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 2019
9 Macquarie Bank Limited	1 January 2008	31 December 2019
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 2019
15 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: 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 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	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
22	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
23	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
24	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
25	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
26	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
27	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
28	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
29	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
30	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
31	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
32	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
33	CMB Wing Lung Bank Limited	U.S.\$2,000,000,000 Euro Medium Term Note Programme
34	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
35	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
36	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
37	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
38	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
39	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
40	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
41	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
42	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
43	GLP China Holdings Limited	HK\$20,000,000,000 Medium Term Note Programme
44	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
45	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
46	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
47	HLP Finance Limited	US\$3 billion Medium Term Note Programme
48	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
49	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
50	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
51	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
52	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
53	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
54	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
55	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
56	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
57	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
58	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
59	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
60	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
61	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
62	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
63	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
64	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
65	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
66	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
67	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
68	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
69	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
70	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
71	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
72	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
73	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
74	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
75	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
76	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
77	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
78	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
79	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
80	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme

81	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
82	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
83	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
84	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
85	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
86	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
87	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
88	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
89	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
90	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
91	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
92	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
93	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
94	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	Agricultural Development Bank of China	5180
3	Agricultural Development Bank of China	5455
4	Agricultural Development Bank of China	85737
5	Airvessel Finance Holding Limited	5789
6	Alibaba Group Holding Limited	5842
7	Alibaba Group Holding Limited	5843
8	Alibaba Group Holding Limited	5844
9	Alibaba Group Holding Limited	5845
10	Amber Circle Funding Limited	4586
11	Amber Treasure Ventures Limited	5209
12	Amber Treasure Ventures Limited	5243
13	Anhui Provincial Investment Group Holding Co., Ltd.	5186
14	Anhui Transportation Holding Group (H.K.) Limited	5158
15	Asia View Limited	5788
16	AVIC International Finance & Investment Limited	4497
17	AVIC International Finance & Investment Limited	5966
18	Axiata SPV1 (Labuan) Limited	4320
19	Azure Orbit III International Finance Limited	5620
20	Azure Orbit III International Finance Limited	5621
21	Azure Orbit International Finance Limited	5909
22	Bank of China (Hong Kong) Limited	4316
23	Baoji Investment (Group) Co., Ltd.	5492
24	Baosteel Financing 2015 Pty Ltd	5866
25	BCEG (HongKong) Company Limited	5145
26	Beijing Enterprises Water Capital Management Limited	4480
27	Beijing Gas Singapore Capital Corporation	5213
28	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
29	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
30	Blue Skyview Company Limited	5364
31	Bluestar Finance Holdings Limited	4550
32	Bluestar Finance Holdings Limited	4556
33	Bluestar Finance Holdings Limited	5089
34	Bluestar Finance Holdings Limited	5599
35	Boom Up Investments Limited	5544
36	Bright Galaxy International Limited	5927
37	Cable and Wireless International Finance B.V.	1077
38	Cable and Wireless International Finance B.V.	1078
39	Caiyun International Investment Limited	5682
40	CALC Bond 1 Limited	5642
41	CALC Bond 2 Limited	4300
42	CALC Bond 3 Limited	5390
43	CALC Bond 3 Limited	5391
44	CCB Life Insurance Company Limited	5437
45	CCBL (Cayman) Corporation Limited	5548
46	CCCI Treasure Limited	5893
47	CCTI 2017 Ltd	5258
48	CDBL Funding 1	5849
49	CDBL Funding 1	5850
50	CELESTIAL MILES LIMITED	5706
51	Central Plaza Development Ltd.	5919
52	CGNPC International Limited	5058
53	CGNPC International Limited	5059
54	CGNPC International Limited	5153
55	CGNPC International Limited	5154
56	CGNPC International Limited	5519
57	Chalco Hong Kong Investment Company Limited	5151
58	Chalco Hong Kong Investment Company Limited	5920
59	Chalco Hong Kong Investment Company Limited	5727
60	Chalco Hong Kong Investment Company Limited	5985

61	Chalieco Hong Kong Corporation Limited	5321
62	Chalieco Hong Kong Corporation Limited	5702
63	Chang Development International Limited	5090
64	Chang Development International Limited	5345
65	Changde Urban Construction and Investment Group Co., Ltd.	5328
66	Changde Urban Construction and Investment Group Co., Ltd.	5509
67	Changsha Pilot Investment Holdings Co., Ltd.	5315
68	Charter Style International Limited	85993
69	Chengdu Communications Investment Group Corporation Limited	5062
70	Chengdu Communications Investment Group Corporation Limited	5493
71	Chengdu Hi-tech Investment Group Co., Ltd.	5206
72	Chengdu Xingcheng Investment Group Co., Ltd.	5314
73	Cheung Kong Bond Securities (02) Limited	4559
74	Cheung Kong Bond Securities (03) Limited	4595
75	Cheung Kong Infrastructure Finance (BVI) Limited	5060
76	China Cinda Finance (2014) Limited	5747
77	China Cinda Finance (2014) Limited	5748
78	China CITIC Bank International Limited	5199
79	China CITIC Bank International Limited	5728
80	China CITIC Bank International Limited	5992
81	China CITIC Bank International Limited	4594
82	China Clean Energy Development Limited	5568
83	China Development Bank Corporation	85904
84	China Development Bank Corporation	85905
85	China Development Bank Corporation	85934
86	China Energy Reserve and Chemicals Group Holding Limited	5639
87	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
88	China Huadian Overseas Development 2018 Limited	4491
89	China Life Insurance (Overseas) Co., Ltd	5250
90	China Merchants Finance Company Limited	4548
91	China Merchants Finance Company Limited	5554
92	China Merchants Finance Company Limited	5555
93	China Minmetals Corporation	4442
94	China Minmetals Corporation	5009
95	China Oceanwide International Financial Management Co., Ltd	5623
96	China Overseas Finance (Cayman) II Limited	4503
97	China Overseas Finance (Cayman) III Limited	5988
98	China Overseas Finance (Cayman) III Limited	5989
99	China Overseas Finance (Cayman) V Limited	4579
100	China Overseas Finance (Cayman) V Limited	4580
101	China Overseas Finance (Cayman) VI Limited	5745
102	China Overseas Finance (Cayman) VI Limited	5746
103	China Overseas Finance (Cayman) VI Limited	5760
104	China Overseas Finance (Cayman) VII Limited	4475
105	China Overseas Finance (Cayman) VII Limited	4476
106	China Overseas Finance Investment (Cayman) V Limited	5600
107	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
108	China Overseas Land International (Cayman) Limited	5541
109	China Railway Resources Huitung Limited	5904
110	China Railway XunJie Co., Limited	5244
111	China Railway XunJie Co., Limited	5692
112	China Resources Power East Foundation Co., Ltd.	4516
113	China Shenhua Overseas Capital Company Limited	5862
114	China Shenhua Overseas Capital Company Limited	5863
115	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
116	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
117	China Southern Power Grid International Finance (BVI) Co., Limited	4583
118	China Southern Power Grid International Finance (BVI) Co., Limited	4598
119	China State Construction Finance (Cayman) I Limited	5462
120	China State Construction Finance (Cayman) II Limited	5037
121	China State Construction Finance (Cayman) II Limited	5038
122	China Taiping Capital Limited	4582
123	China Taiping New Horizon Limited	5984
124	China Yangtze Power International (BVI) 1 Limited	5300
125	China Yangtze Power International (BVI) 2 Limited	5301
126	Chinalco Capital Holdings Limited	4301
127	Chinalco Capital Holdings Limited	5438
128	Chinalco Finance Holdings Limited	5854
129	Chiyu Banking Corporation Limited	5034
130	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
131	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
132	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
133	Chouzhou International Investment Limited	5056
134	CITIC Telecom International Finance Limited	5908
135	CLP Power HK Finance Ltd.	5740
136	CLP Power Hong Kong Financing Limited	4306
137	CLP Power Hong Kong Financing Limited	4318
138	CMHI Finance (BVI) Co., Ltd	5134
139	CMHI Finance (BVI) Co., Ltd	5135
140	CMO Capital Limited	5722
141	CNI Capital Limited	85725
142	CNOOC Curtis Funding No. 1 Pty Ltd	5972
143	CNOOC Curtis Funding No. 1 Pty Ltd	5973

144	CNOOC Finance (2003) Limited	2568
145	CNOOC Finance (2011) Limited	4506
146	CNOOC Finance (2011) Limited	4507
147	CNOOC Finance (2012) Limited	4546
148	CNOOC Finance (2012) Limited	4547
149	CNOOC Finance (2013) Limited	5941
150	CNOOC Finance (2013) Limited	5942
151	CNOOC Finance (2015) Australia Pty Ltd	5506
152	CNOOC Finance (2015) Australia Pty Ltd	5507
153	CNOOC Finance (2015) U.S.A. LLC	4478
154	CNOOC Finance (2015) U.S.A. LLC	4479
155	CNOOC Finance (2015) U.S.A. LLC	5508
156	CNOOC Nexen Finance (2014) ULC	5738
157	CNOOC Nexen Finance (2014) ULC	5739
158	CNPC (HK) Overseas Capital Ltd.	4513
159	CNPC (HK) Overseas Capital Ltd.	4514
160	CNPC General Capital Limited	4544
161	CNPC General Capital Limited	5750
162	CNPC General Capital Limited	5923
163	Coastal Emerald Limited	4438
164	Coastal Emerald Limited	5529
165	COSCO Pacific Finance (2013) Company Limited	5900
166	COSL Finance (BVI) Limited	4563
167	Cosmos Boom Investment Limited	5534
168	CRCC Yupeng Limited	5778
169	CRCC Yuxiang Limited	5945
170	Crotona Assets Limited	5724
171	CSCEC Finance (Cayman) I Limited	5574
172	CSCEC Finance (Cayman) II Limited	5232
173	CSCEC Finance (Cayman) II Limited	5233
174	CSCEC Finance (Cayman) II Limited	5668
175	CSCEC Finance (Cayman) II Limited	5669
176	CSCI Finance (2015) Co. Ltd	5564
177	CSSC Capital One Limited	5181
178	CSSC Capital Two Limited	5182
179	Dah Sing Bank, Limited	5316
180	Dah Sing Bank, Limited	5524
181	Dah Sing Bank, Limited	6021
182	Dangdai International Investments Ltd	5027
183	Dianjian Haixing Limited	5816
184	Double Rosy Limited	5829
185	DYNAMIC MISSION INVESTMENTS LIMITED	5386
186	Ease Trade Global Limited	4458
187	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
188	Eastern Creation Investment Holdings Ltd.	5714
189	Excel Capital Global Limited	4496
190	Expand Lead Limited	5165
191	First FZ Bond Limited	5275
192	Fita International Limited	4315
193	FPC Capital Limited	5107
194	FPC Treasury Limited	5924
195	Franshion Brilliant Limited	5030
196	Franshion Brilliant Limited	5229
197	Franshion Brilliant Limited	5347
198	Franshion Brilliant Limited	5385
199	Franshion Brilliant Limited	5472
200	Franshion Brilliant Limited	5713
201	Franshion Brilliant Limited	85732
202	Fujian Zhanglong Group Co., Ltd.	5331
203	Full Dragon (Hong Kong) International Development Limited	4428
204	FWD Group Limited	5019
205	FWD Group Limited	5221
206	FWD Limited	4416
207	FWD Limited	5351
208	FWD Limited	5803
209	Gansu Province Electric Power Investment Group Co., Ltd.	5466
210	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
211	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
212	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
213	Gaoxin International Investment Co., Ltd	5335
214	GOHL Capital Limited	5352
215	GRAM International Limited	5587
216	Granda Century Limited	5152
217	Green Fortune Capital Limited	5288
218	Greenland Global Investment Limited	5768
219	Greenland Global Investment Limited	5769
220	Guang Ying Investment Limited	4492
221	Guangsha Holding Group Co., Ltd.	5456
222	Guangxi Communications Investment Group Corporation. Ltd	5921
223	Guangxi Financial Investment Group Co., Ltd.	5098
224	GUANGZHOU Silk Road Investment Limited	5323
225	Guotai Junan Financial Holdings (BVI) Limited	5754
226	Haichuan International Investment Co., Ltd.	4538
227	Haichuan International Investment Co., Ltd.	5460

228	Haitian (BVI) International Investment Development Limited	5061
229	Haitong International Finance 2014 Limited	5801
230	Haitong International Finance 2015 Limited	5867
231	Haitong International Finance Holdings 2015 Limited	5892
232	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
233	Hanrui Overseas Investment Co Ltd	5081
234	Hanrui Overseas Investment Co Ltd	5680
235	Harvest International Company	5024
236	Henson Finance Limited	4312
237	Hesteel Hong Kong Co., Limited	5417
238	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
239	Hong Kong Sukuk 2014 Limited	4223
240	Hong Kong Sukuk 2015 Limited	4226
241	Hong Kong Sukuk 2017 Limited	4233
242	Hong Seng Limited	4484
243	Hongkong Baorong Development Limited	5465
244	Hongkong Electric Finance Limited	4505
245	Hongkong International (Qingdao) Company Limited	5023
246	Hongkong International (Qingdao) Company Limited	5048
247	Hongkong International (Qingdao) Company Limited	5191
248	Hongkong International (Qingdao) Company Limited	5874
249	Hongkong International (Qingdao) Company Limited	5875
250	HongKong Xiangyu Investment Co., Limited	4409
251	Huafa Group 2018 I Company Limited	5150
252	Huai'an Traffic Holding Co., Ltd.	5784
253	Huaibei City Construction Investment Holding Group Company Limited	5474
254	Huaneng Hong Kong Capital Limited	5000
255	Huantaihu International investment Co., Ltd	5413
256	Huarong Finance Co., Ltd.	5774
257	Huasing International Holdings Co., Limited	4448
258	Huasing International Holdings Co., Limited	4449
259	Huatai International Finance I Limited	5812
260	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
261	Huaxing Investment Holding Company Limited	5363
262	Huayi Finance I Ltd.	5847
263	Huayuan Property Co., Ltd.	5239
264	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
265	Hunan Xiangjiang New Area Development Group Co Ltd	5223
266	Huzhou City Investment Development Group Co., Ltd.	5074
267	Huzhou Communications Investment Group Co., Ltd.	85740
268	ICBCIL Finance Co. Limited	5884
269	IFC Development (Corporate Treasury) Limited	5715
270	IFC Development (Corporate Treasury) Limited	5756
271	IFC Development (Corporate Treasury) Limited	5757
272	IFC Development (Corporate Treasury) Limited	5949
273	Industrial and Commercial Bank of China (Asia) Limited	5686
274	Industrial and Commercial Bank of China (Asia) Limited	5976
275	Industrial and Commercial Bank of China (Macau) Limited	5797
276	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
277	JIC Zhixin Limited	5031
278	JIC Zhixin Limited	5032
279	Jinan Hi-tech Holding Group Co., Ltd.	5481
280	Jinan West City Investment and Development Group Co., Ltd.	4588
281	Jinshine International Co., Ltd.	4451
282	Jiuding Group Finance Co., Ltd	5246
283	Keen Idea Global Limited	5393
284	King Power Capital Ltd.	5822
285	King Power Capital Ltd.	5823
286	King Talent Management Limited	5026
287	Korean Reinsurance Company	5815
288	Kunzhi Limited	4464
289	Kunzhi Limited	5100
290	Lai Fung Bonds (2018) Limited	5087
291	Legend Fortune Limited	5128
292	Lingang Wings Inc	5149
293	LS Finance (2022) Limited	4571
294	LS Finance (2025) Limited	5535
295	LSD Bonds (2017) Limited	5270
296	Luso International Banking Limited	5078
297	Lvqi Holdings Co., Ltd.	4456
298	Malaysia Sovereign Sukuk Berhad	5894
299	Malaysia Sovereign Sukuk Berhad	5895
300	Malaysia Sukuk Global Berhad	5633
301	Malaysia Sukuk Global Berhad	5634
302	MCC Holding (Hong Kong) Corporation Limited	4483
303	MCC Holding (Hong Kong) Corporation Limited	5210
304	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
305	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
306	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
307	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
308	Minmetals Land Capital Limited	5933
309	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
310	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
311	Nanyang Commercial Bank, Limited	5214

312	New Lion Bridge Company Limited	5290
313	New Rose Investments Limited	5344
314	Nimble City Limited	5144
315	Nuoxi Capital Limited	4401
316	Nuoxi Capital Limited	4402
317	Nuoxi Capital Limited	5436
318	Nuoxi Capital Limited	5484
319	Nuoxi Capital Limited	5704
320	NWD Finance (BVI) Limited	4561
321	Oceanwide Holdings International 2015 Co., Limited	5557
322	Oceanwide Holdings International 2017 Co., Limited	5035
323	Oceanwide Holdings International 2017 Co., Limited	5251
324	Oceanwide Holdings International Development III Co., Ltd.	5196
325	Oceanwide Real Estate International Holding Company Limited	5798
326	Orient Huizhi Limited	5041
327	Oriental Capital Company Limited	5305
328	Oversea-Chinese Banking Corporation Limited	85912
329	OVPH Limited	5614
330	PB Issuer (No.4) Limited	5525
331	Peixian State-owned Assets Management Company Limited	5336
332	Petron Corporation	5905
333	PETRONAS Global Sukuk Ltd.	5882
334	PHBS Limited	4325
335	Phoenix Charm International Investment Limited	5332
336	Phoenix Lead Limited	5262
337	Poly Real Estate Finance Ltd	4417
338	Poly Real Estate Finance Ltd	5164
339	Poly Real Estate Finance Ltd.	5730
340	Powerchina Real Estate Group Ltd.	5471
341	Press Metal (Labuan) Ltd.	5299
342	Prosperous Ray Limited	5994
343	Proven Honour Capital Limited	5516
344	Proven Honour Capital Limited	5641
345	PTT Public Company Limited	2527
346	Pulai Capital Limited	4540
347	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
348	Qinghai Provincial Investment Group Co., Ltd.	4450
349	Qinghai Provincial Investment Group Co., Ltd.	5380
350	Radiant Access Limited	5205
351	Rail Transit International Investment Company Limited	5643
352	Rail Transit International Investment Company Limited	5644
353	Reward International Investment Limited	5360
354	RKI Overseas Finance 2016 (A) Limited	5695
355	RKI Overseas Finance 2016 (B) Limited	4309
356	Rongshi International Finance Limited	5448
357	Rongshi International Finance Limited	5449
358	Rosy Delta Investments Limited	5097
359	SCIG International Financial Limited	5174
360	SDG FINANCE I LIMITED	5192
361	SDSC Global Finance Limited	5303
362	SDSC International Finance Limited	5827
363	SF Holding Investment Limited	5130
364	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
365	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
366	Shandong Commercial Group Co., Ltd.	5512
367	Shandong Energy Australia Pty Ltd	5248
368	Shandong Iron and Steel Xinheng International Company Limited	4453
369	Shandong Iron and Steel Xinheng International Company Limited	5063
370	Shandong Iron and Steel Xinheng International Company Limited	5470
371	Shandong Iron and Steel Xinheng International Company Limited	5601
372	Shanghai Commercial Bank Limited	5043
373	Shanghai Commercial Bank Limited	5530
374	Shanghai Electric Power Finance Limited	5558
375	Shanghai Port Group (BVI) Holding Co., Limited	5255
376	Shanghai Port Group (BVI) Holding Co., Limited	5256
377	Shangrao Investment Holdings International Company Limited	4429
378	Shanghai (Hong Kong) International Investments Limited	5435
379	Shaoxing City Investment Group Limited	5489
380	Shine Power International Limited	5777
381	Si Fa Investment Limited	5490
382	Sichuan Communications Overseas Development Co., Ltd.	5399
383	SIHC International Capital Ltd	5176
384	SIHC International Capital Ltd	5177
385	Silver Sparkle Limited	5697
386	Sino Trendy Investment Limited	4407
387	Sinochem Global Capital Co., Ltd.	5935
388	Sinochem Overseas Capital Company Limited	4501
389	Sinochem Overseas Capital Company Limited	4502
390	Sino-Ocean Land Treasure Finance I Limited	5781
391	Sino-Ocean Land Treasure Finance I Limited	5782
392	Sino-Ocean Land Treasure Finance II Limited	5868
393	Sino-Ocean Land Treasure Finance II Limited	5869
394	Sino-Ocean Land Treasure III Limited	5276
395	Sino-Ocean Land Treasure IV Limited	5131

396	Sino-Ocean Land Treasure IV Limited	5712
397	Skyland Mining (BVI) Limited	5228
398	Skysea International Capital Management Limited	4529
399	SmarTone Finance Limited	5917
400	Societe Generale	5947
401	Societe Generale	5959
402	Societe Generale	5960
403	Societe Generale	5961
404	Societe Generale	5962
405	SPIC 2016 US dollar Bond Company Limited	5324
406	SPIC 2016 US dollar Bond Company Limited	5325
407	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
408	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
409	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
410	State Grid Overseas Investment (2013) Limited	5954
411	State Grid Overseas Investment (2013) Limited	5955
412	State Grid Overseas Investment (2014) Limited	5741
413	State Grid Overseas Investment (2014) Limited	5742
414	State Grid Overseas Investment (2014) Limited	5743
415	State Grid Overseas Investment (2016) Limited	5649
416	State Grid Overseas Investment (2016) Limited	5650
417	State Grid Overseas Investment (2016) Limited	5651
418	State Grid Overseas Investment (2016) Limited	5652
419	Strategic International Group Limited	5241
420	Sunshine Life Insurance Corporation Limited	5627
421	Sunshine Life Insurance Corporation Limited	5628
422	Sunshine Life Insurance Corporation Limited	5629
423	Suqian Economic Development (BVI) Co., Limited	5302
424	Taikang Insurance Group Inc.	5349
425	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
426	The Hongkong and Shanghai Banking Corporation Limited	4323
427	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
428	Tianjin Lingang Investment Holding Co., Ltd.	5148
429	Tianjin Real Estate Group Co., Ltd	5286
430	Tianqi Finco Co., Ltd	5036
431	Tongfang Aqua 2017 Limited	4454
432	Top Luxury Investment Limited	5598
433	Top Wise Excellence Enterprise Co., Ltd.	5402
434	Top Yield Ventures Limited	5102
435	Towngas (Finance) Limited	6018
436	Trade Horizon Global Limited	5133
437	Treasure Generator Limited	5709
438	Triceratops Capital Co., Limited	4408
439	Tsinghua Unic Limited	4413
440	Tsinghua Unic Limited	4414
441	Tsinghua Unic Limited	4415
442	Tuspark Forward Ltd.	5143
443	Tuspark Forward Ltd.	5735
444	TVB Finance Limited	4577
445	Unigroup International Holdings Ltd.	5597
446	Union Life Insurance Co., Ltd.	4322
447	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
448	Vertex Capital Investment Limited	4471
449	Wakala Global Sukuk Berhad	4519
450	Wanda Properties International Co. Limited	6023
451	Want Want China Finance Limited	5446
452	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
453	Wuhan Financial Holdings (Group) Co., Ltd.	5498
454	Wuhan Metro Group Co., Ltd.	5467
455	Wuhan Metro Group Co., Ltd.	5939
456	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
457	Wuhan State-owned Assets Management Limited Company	5070
458	Xiangxing Overseas Investment Co., Ltd.	5329
459	Xiangyu Investment (BVI) Co., Ltd.	5683
460	Xihui Haiwai I Investment Holdings Co., Limited	5679
461	Xingang International Holding Limited	5330
462	Xingsheng (BVI) Company Limited	5172
463	Xinhu (BVI) 2018 Holding Company Limited	5497
464	Xinhu (BVI) Holding Company Limited	5382
465	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
466	Xinxing Industry Investment Company Limited	5065
467	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
468	Yancoal International Resources Development Co., Limited	4552
469	Yancoal International Resources Development Co., Limited	5424
470	Yancoal International Resources Development Co., Ltd	5461
471	Yancoal International Trading Co., Limited	5753
472	Yango (Cayman) Investment Limited	4470
473	Yango (Cayman) Investment Limited	5414
474	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
475	Yankuang Group (Cayman) Limited	5044
476	Yankuang Group (Cayman) Limited	5705
477	Yichang High-Tech Investment Development Co., Ltd.	5495
478	Yihua Overseas Investment Ltd	5293
479	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247



480	Yingde Gases Investment Limited	5793
481	YONGDA Investment Limited	5543
482	Yunnan Energy Investment Finance Company Ltd.	5632
483	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
484	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
485	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
486	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
487	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
488	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
489	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
490	Zhaohai Investment (BVI) Limited	5547
491	Zhejiang Baron (BVI) Company Limited	5146
492	Zhengzhou Metro Group Co., Ltd.	5496
493	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
494	Zhongtai International Bond 2017 (BVI) Company Limited	5263
495	Zhongtai International Finance (BVI) Company Limited	4418
496	Zhongyuan Sincere Investment Co. Ltd.	5095
497	Zhoushan City Investment Group Corporation Limited	5487
498	Zhuji Development Limited	5480
499	Zhuzhou City Construction Development Group Co., Ltd.	5710
500	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