

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

Updated as at
30 June 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 KAZ Minerals PLC | 0847 | |
| 5 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 |

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| 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 | Boom Up Investments Limited | US\$1,000,000,000 Medium Term Note Programme |
| 12 | CALC Bonds Limited | US\$3,000,000,000 Medium Term Note Programme |
| 13 | Castle Peak Power Finance Company Limited | U.S.\$2,000,000,000 Medium Term Note Programme |
| 14 | Cathay Pacific MTN Financing Limited | US\$2 billion Medium Term Note Programme |
| 15 | CCBL (Cayman) 1 Corporation Limited | US\$5,000,000,000 Guaranteed Medium Term Note Programme |
| 16 | CDBI Treasure I Limited | US\$500,000,000 Medium Term Note Programme |
| 17 | CDBL Funding 1 | U.S.\$3,000,000,000 Medium Term Note Programme |
| 18 | CDBL Funding 2 | US\$3,000,000,000 Medium Term Note Programme |
| 19 | Central Plaza Development Limited | US\$2,000,000,000 Guaranteed Medium Term Programme |
| 20 | Champion MTN Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 21 | Charming Light Investments Ltd. and United Wealth Development Ltd. | US\$8,000,000,000 Medium Term Note Programme |
| 22 | Cheung Kong Finance (MTN) Limited and Joynote Ltd | US\$2,000,000,000 Medium Term Note Programme |
| 23 | Cheung Kong Infrastructure Finance (BVI) Limited | US\$2,000,000,000 Euro Medium Term Note Programme |
| 24 | China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 25 | China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited | US\$10,000,000,000 Medium Term Note Programme |
| 26 | China Construction Bank (Asia) Corporation Limited | US\$5,000,000,000 Medium Term Note Programme |
| 27 | China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch | US\$30,000,000,000 Debt Issuance Programme |
| 28 | China Great Wall International Holdings III Limited | U.S.\$6,500,000,000 Medium Term Note Programme |
| 29 | CICC Hong Kong Finance 2016 MTN Limited | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 30 | CITIC Securities Finance MTN Co., Ltd. | US\$3 billion Medium Term Note Programme |
| 31 | CK Property Finance (MTN) Limited | US\$5,000,000,000 Euro Medium Term Note Programme |
| 32 | CMBLEMTN1 Limited | U.S.\$5,000,000,000 Medium Term Note Programme |
| 33 | CNPC General Capital Limited | US\$7,000,000,000 Euro Medium Term Note Programme |
| 34 | Connery Capital Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 35 | COSL Singapore Capital Ltd. | US\$3,500,000,000 Euro Medium Term Note Programme |
| 36 | DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited | U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme |
| 37 | Eastern Creation II Investment Holdings Ltd. | US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 38 | Future Days Limited | US\$3,000,000,000 Medium Term Note Programme |
| 39 | Goodman HK Finance | US\$2,000,000,000 Medium Term Note Programme |
| 40 | Greenland Global Investment Limited | US\$5,000,000,000 Guaranteed Medium Term Notes Programme |
| 41 | Guangzhou Metro Investment Finance (BVI) Ltd. | US\$3,000,000,000 Guaranteed Medium Term Note Programme |
| 42 | HLP Finance Limited | US\$3 billion Medium Term Note Programme |
| 43 | Hong Kong Science and Technology Parks Corporation | HK\$1,707,000,000 Guaranteed Medium Term Note Programme |
| 44 | Horse Gallop Finance Limited | US\$2,000,000,000 Guaranteed Medium Term Note Programme |
| 45 | Horsepower Finance Limited | US\$1,200,000,000 Medium Term Note Programme |
| 46 | Huarong Finance 2017 Co., Ltd. | U.S.\$14,500,000,000 Medium Term Note Programme |
| 47 | Huarong Finance II Co., Ltd | US\$11,000,000,000 Medium Term Note Programme |
| 48 | Hysan (MTN) Limited | US\$1,500,000,000 Medium Term Note Programme |
| 49 | ICBCIL Finance Co. Limited | US\$10,000,000,000 Medium Term Note Programme |
| 50 | Industrial and Commercial Bank of Asia (China) Limited | U.S.\$6,000,000,000 Medium Term Note Programme |
| 51 | Industrial Bank Co., Ltd. | U.S.\$5,000,000,000 Medium Term Note Programme |
| 52 | Inventive Global Investments Limited | U.S.\$1,500,000,000 Medium Term Note Programme |
| 53 | Joyous Glory Group Limited | US\$1,000,000,000 Medium Term Note Programme |
| 54 | K.Wah International Financial Services Limited | US\$1,000,000,000 Medium Term Note Programme |
| 55 | Midea Investment Development Company Limited | US\$3,000,000,000 Medium Term Note Programme |
| 56 | Modern Terminals Capital Limited | US\$1 billion Medium Term Note Programme |
| 57 | MTR Corporation (C.I.) Limited | US\$4 billion Medium Term Note Programme |
| 58 | NWD (MTN) Limited | US\$4,000,000,000 Medium Term Note Programme |
| 59 | NWS (MTN) Limited | US\$1,000,000,000 Medium Term Note Programme |
| 60 | PETRONAS Capital Limited | US\$15,000,000,000 Medium Term Note Programme |
| 61 | Proven Glory Capital Limited | US\$5,000,000,000 Medium Term Note Programme |
| 62 | R-REIT International Finance Limited | US\$1,000,000,000 Guaranteed Medium Term Note Programme |
| 63 | RH International Finance Limited | US\$1,000,000,000 Medium Term Note Programme |
| 64 | Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch | US\$5,000,000,000 Euro Medium Term Note Programme |
| 65 | Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited | US\$2,000,000,000 Medium Term Note Programme |
| 66 | Silverbell Asia Limited | US\$1,000,000,000 Medium Term Note Programme |
| 67 | Sino (MTN) Limited | US\$1,000,000,000 Medium Term Note Programme |
| 68 | Sinochem Offshore Capital Company Limited | US\$5,000,000,000 Global Medium Term Note Programme |
| 69 | Soar Great Limited | US\$1,500,000,000 Guaranteed Medium Term Note Programme |
| 70 | Splendid International Investment Limited | U.S.\$1,500,000,000 Medium Term Note Programme |
| 71 | Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank | US\$50,000,000,000 Debt Issuance Programme |
| 72 | State Elite Global Limited | US\$2,000,000,000 Medium Term Note Programme |
| 73 | State Grid Overseas Investment (2016) Limited | US\$10,000,000,000 Medium Term Note Programme |
| 74 | Sun Hung Kai Properties (Capital Market) Limited | US\$7,000,000,000 Medium Term Note Programme |
| 75 | Sunlight REIT MTN Limited | US\$1,000,000,000 Medium Term Note Programme |
| 76 | Swire Pacific MTN Financing Limited | US\$5,000,000,000 Medium Term Note Programme |
| 77 | Swire Properties MTN Financing Limited | US\$3,000,000,000 Medium Term Note Programme |
| 78 | The Hongkong and Shanghai Banking Corporation Limited | US\$20,000,000,000 Medium Term Note Programme |
| 79 | The Hong Kong Mortgage Corporation Limited | US\$6,000,000,000 Medium Term Note Programme |
| 80 | The Link Finance (Cayman) 2009 Limited | US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 81 | Unican Limited | US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme |
| 82 | Urban Renewal Authority | US\$1 billion Medium Term Note Programme |
| 83 | Vanke Real Estate (Hong Kong) Company Limited | US\$7,000,000,000 Medium Term Note Programme |
| 84 | Westwood Group Holdings Limited | US\$3,000,000,000 Medium Term Note Programme |
| 85 | 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 |

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| 86 | Wharf REIC Finance (BVI) Limited | U.S.\$3,000,000,000 Medium Term Note Programme |
| 87 | 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 |
| 88 | Wing Lung Bank, Limited | U.S. \$2,000,000,000 Euro Medium Term Note Programme |
| 89 | 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 | Beijing Enterprises Water Capital Management Limited | 4480 |
| 23 | Beijing Gas Singapore Capital Corporation | 5213 |
| 24 | Beijing State-Owned Assets Management (Hong Kong) Company Limited | 5520 |
| 25 | Beijing State-Owned Assets Management (Hong Kong) Company Limited | 5521 |
| 26 | Blue Skyview Company Limited | 5364 |
| 27 | Bluestar Finance Holdings Limited | 4550 |
| 28 | Bluestar Finance Holdings Limited | 4556 |
| 29 | Bluestar Finance Holdings Limited | 5599 |
| 30 | Boom Up Investments Limited | 5544 |
| 31 | Bright Galaxy International Limited | 5927 |
| 32 | Cable and Wireless International Finance B.V. | 1077 |
| 33 | Cable and Wireless International Finance B.V. | 1078 |
| 34 | Caiyun International Investment Limited | 5682 |
| 35 | CALC Bond 1 Limited | 5642 |
| 36 | CALC Bond 2 Limited | 4300 |
| 37 | CALC Bond 3 Limited | 5390 |
| 38 | CALC Bond 3 Limited | 5391 |
| 39 | CCB Life Insurance Company Limited | 5437 |
| 40 | CCBL (Cayman) Corporation Limited | 5548 |
| 41 | CCCI Treasure Limited | 5893 |
| 42 | CCTI 2017 Ltd | 5258 |
| 43 | CDBL Funding 1 | 5849 |
| 44 | CDBL Funding 1 | 5850 |
| 45 | Central Plaza Development Ltd. | 5919 |
| 46 | Century Master Investment Co. Ltd. | 5968 |
| 47 | CGNPC International Limited | 5058 |
| 48 | CGNPC International Limited | 5059 |
| 49 | CGNPC International Limited | 5519 |
| 50 | Chalco Hong Kong Investment Company Limited | 5727 |
| 51 | Chalco Hong Kong Investment Company Limited | 5920 |
| 52 | Chalco Hong Kong Investment Company Limited | 5985 |
| 53 | Chalieco Hong Kong Corporation Limited | 5321 |
| 54 | Chalieco Hong Kong Corporation Limited | 5702 |
| 55 | Chang Development International Limited | 5345 |
| 56 | Changde Urban Construction and Investment Group Co., Ltd. | 5328 |
| 57 | Changsha Pilot Investment Holdings Co., Ltd. | 5315 |
| 58 | Charter Style International Limited | 85993 |
| 59 | Chengdu Communications Investment Group Corporation Limited | 5062 |
| 60 | Chengdu Xingcheng Investment Group Co., Ltd. | 5314 |
| 61 | Cheung Kong Bond Securities (02) Limited | 4559 |
| 62 | Cheung Kong Bond Securities (03) Limited | 4595 |
| 63 | Cheung Kong Infrastructure Finance (BVI) Limited | 5060 |
| 64 | China Cinda Finance (2014) Limited | 5747 |
| 65 | China Cinda Finance (2014) Limited | 5748 |
| 66 | China CITIC Bank International Limited | 4594 |
| 67 | China CITIC Bank International Limited | 5728 |
| 68 | China CITIC Bank International Limited | 5992 |
| 69 | China Clean Energy Development Limited | 5568 |
| 70 | China Development Bank Corporation | 85904 |
| 71 | China Development Bank Corporation | 85905 |
| 72 | China Development Bank Corporation | 85933 |
| 73 | China Development Bank Corporation | 85934 |
| 74 | China Energy Reserve and Chemicals Group Holding Limited | 5639 |
| 75 | China Energy Reserve and Chemicals Group Overseas Company Limited | 5503 |

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| 76 | China Huadian Overseas Development 2018 Limited | 4491 |
| 77 | China Life Insurance (Overseas) Co., Ltd | 5250 |
| 78 | China Merchants Finance Company Limited | 4548 |
| 79 | China Merchants Finance Company Limited | 5554 |
| 80 | China Merchants Finance Company Limited | 5555 |
| 81 | China Minmetals Corporation | 4442 |
| 82 | China Minmetals Corporation | 5009 |
| 83 | China Oceanwide International Financial Management Co., Ltd | 5623 |
| 84 | China Overseas Finance (Cayman) II Limited | 4503 |
| 85 | China Overseas Finance (Cayman) III Limited | 5987 |
| 86 | China Overseas Finance (Cayman) III Limited | 5988 |
| 87 | China Overseas Finance (Cayman) III Limited | 5989 |
| 88 | China Overseas Finance (Cayman) V Limited | 4579 |
| 89 | China Overseas Finance (Cayman) V Limited | 4580 |
| 90 | China Overseas Finance (Cayman) VI Limited | 5745 |
| 91 | China Overseas Finance (Cayman) VI Limited | 5746 |
| 92 | China Overseas Finance (Cayman) VI Limited | 5760 |
| 93 | China Overseas Finance (Cayman) VII Limited | 4475 |
| 94 | China Overseas Finance (Cayman) VII Limited | 4476 |
| 95 | China Overseas Finance Investment (Cayman) V Limited | 5600 |
| 96 | China Overseas Grand Oceans Finance II (Cayman) Limited | 6012 |
| 97 | China Overseas Grand Oceans Finance IV (Cayman) Limited | 5106 |
| 98 | China Overseas Land International (Cayman) Limited | 5541 |
| 99 | China Railway Resources Huitung Limited | 5904 |
| 100 | China Railway XunJie Co., Limited | 5244 |
| 101 | China Railway XunJie Co., Limited | 5692 |
| 102 | China Resources Power East Foundation Co., Ltd. | 4516 |
| 103 | China Shenhua Overseas Capital Company Limited | 5862 |
| 104 | China Shenhua Overseas Capital Company Limited | 5863 |
| 105 | China Shipping Overseas Finance 2013 Limited | 6020 |
| 106 | China Southern Power Grid International Finance (BVI) Co., Limited | 4583 |
| 107 | China Southern Power Grid International Finance (BVI) Co., Limited | 4598 |
| 108 | China State Construction Finance (Cayman) II Limited | 5037 |
| 109 | China State Construction Finance (Cayman) II Limited | 5038 |
| 110 | China Taiping Capital Limited | 4582 |
| 111 | China Taiping New Horizon Limited | 5984 |
| 112 | China Uranium Development Company Limited | 5971 |
| 113 | China Yangtze Power International (BVI) 1 Limited | 5300 |
| 114 | China Yangtze Power International (BVI) 2 Limited | 5301 |
| 115 | Chinalco Capital Holdings Limited | 4301 |
| 116 | Chinalco Capital Holdings Limited | 5438 |
| 117 | Chinalco Finance Holdings Limited | 5854 |
| 118 | Chiyu Banking Corporation Limited | 5034 |
| 119 | Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd. | 5699 |
| 120 | Chouzhou International Investment Limited | 5056 |
| 121 | CITIC Telecom International Finance Limited | 5908 |
| 122 | CLP Power HK Finance Ltd. | 5740 |
| 123 | CLP Power Hong Kong Financing Limited | 4306 |
| 124 | CLP Power Hong Kong Financing Limited | 4318 |
| 125 | CNI Capital Limited | 85725 |
| 126 | CNMC International Capitals Company Limited | 5608 |
| 127 | CNOOC Curtis Funding No. 1 Pty Ltd | 5972 |
| 128 | CNOOC Curtis Funding No. 1 Pty Ltd | 5973 |
| 129 | CNOOC Finance (2003) Limited | 2568 |
| 130 | CNOOC Finance (2011) Limited | 4506 |
| 131 | CNOOC Finance (2011) Limited | 4507 |
| 132 | CNOOC Finance (2012) Limited | 4546 |
| 133 | CNOOC Finance (2012) Limited | 4547 |
| 134 | CNOOC Finance (2013) Limited | 5941 |
| 135 | CNOOC Finance (2013) Limited | 5942 |
| 136 | CNOOC Finance (2015) Australia Pty Ltd | 5506 |
| 137 | CNOOC Finance (2015) Australia Pty Ltd | 5507 |
| 138 | CNOOC Finance (2015) U.S.A. LLC | 4478 |
| 139 | CNOOC Finance (2015) U.S.A. LLC | 4479 |
| 140 | CNOOC Finance (2015) U.S.A. LLC | 5508 |
| 141 | CNOOC Nexen Finance (2014) ULC | 5738 |
| 142 | CNOOC Nexen Finance (2014) ULC | 5739 |
| 143 | CNPC (HK) Overseas Capital Ltd. | 4513 |
| 144 | CNPC (HK) Overseas Capital Ltd. | 4514 |
| 145 | CNPC General Capital Limited | 4544 |
| 146 | CNPC General Capital Limited | 5750 |
| 147 | CNPC General Capital Limited | 5923 |
| 148 | Coastal Emerald Limited | 4438 |
| 149 | COSCO Pacific Finance (2013) Company Limited | 5900 |
| 150 | COSL Finance (BVI) Limited | 4563 |
| 151 | Cosmos Boom Investment Limited | 5534 |
| 152 | CRCC Yupeng Limited | 5778 |
| 153 | CRCC Yuxiang Limited | 5945 |
| 154 | Crotone Assets Limited | 5724 |
| 155 | CSCEC Finance (Cayman) I Limited | 5574 |
| 156 | CSCEC Finance (Cayman) II Limited | 5232 |
| 157 | CSCEC Finance (Cayman) II Limited | 5233 |
| 158 | CSCEC Finance (Cayman) II Limited | 5668 |
| 159 | CSCEC Finance (Cayman) II Limited | 5669 |
| 160 | CSCI Finance (2015) Co. Ltd | 5564 |
| 161 | Dah Sing Bank, Limited | 5316 |
| 162 | Dah Sing Bank, Limited | 6021 |

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| 163 | Dangdai International Investments Ltd | 5027 |
| 164 | Danjian Haixing Limited | 5816 |
| 165 | Double Rosy Limited | 5829 |
| 166 | DYNAMIC MISSION INVESTMENTS LIMITED | 5386 |
| 167 | Ease Trade Global Limited | 4458 |
| 168 | Eastern Air Overseas (Hong Kong) Corporation Limited | 5022 |
| 169 | Eastern Creation Investment Holdings Ltd. | 5714 |
| 170 | eHi Car Services Limited | 5594 |
| 171 | Excel Capital Global Limited | 4496 |
| 172 | Fita International Limited | 4315 |
| 173 | FPC Capital Limited | 5107 |
| 174 | FPC Treasury Limited | 5924 |
| 175 | Franshion Brilliant Limited | 5030 |
| 176 | Franshion Brilliant Limited | 5229 |
| 177 | Franshion Brilliant Limited | 5347 |
| 178 | Franshion Brilliant Limited | 5385 |
| 179 | Franshion Brilliant Limited | 5713 |
| 180 | Franshion Brilliant Limited | 5977 |
| 181 | Franshion Brilliant Limited | 85732 |
| 182 | Fujian Zhanglong Group Co., Ltd. | 5331 |
| 183 | Full Dragon (Hong Kong) International Development Limited | 4428 |
| 184 | FWD Group Limited | 5019 |
| 185 | FWD Group Limited | 5221 |
| 186 | FWD Limited | 4416 |
| 187 | FWD Limited | 5351 |
| 188 | FWD Limited | 5803 |
| 189 | Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd. | 5057 |
| 190 | Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd. | 5304 |
| 191 | Gaoxin International Investment Co., Ltd | 5335 |
| 192 | GOHL Capital Limited | 5352 |
| 193 | Goldwind New Energy (HK) Investment Limited | 5545 |
| 194 | GRAM International Limited | 5587 |
| 195 | Green Fortune Capital Limited | 5288 |
| 196 | Greenland Global Investment Limited | 5768 |
| 197 | Greenland Global Investment Limited | 5769 |
| 198 | Guang Ying Investment Limited | 4492 |
| 199 | Guangxi Communications Investment Group Corporation. Ltd | 5921 |
| 200 | Guangxi Financial Investment Group Co., Ltd. | 5098 |
| 201 | GUANGZHOU Silk Road Investment Limited | 5323 |
| 202 | Guotai Junan Financial Holdings (BVI) Limited | 5754 |
| 203 | Haichuan International Investment Co., Ltd. | 4538 |
| 204 | Haitian (BVI) International Investment Development Limited | 5061 |
| 205 | Haitong International Finance 2014 Limited | 5801 |
| 206 | Haitong International Finance 2015 Limited | 5867 |
| 207 | Haitong International Finance Holdings 2015 Limited | 5892 |
| 208 | Hanrui Overseas Investment Co Ltd | 5081 |
| 209 | Hanrui Overseas Investment Co Ltd | 5680 |
| 210 | Harvest International Company | 5024 |
| 211 | Henson Finance Limited | 4312 |
| 212 | Hesteel Hong Kong Co., Limited | 5417 |
| 213 | HKCG (Finance) Limited | 4303 |
| 214 | Hong Kong Red Star Macalline Universal Home Furnishings Limited | 5278 |
| 215 | Hong Kong Sukuk 2014 Limited | 4223 |
| 216 | Hong Kong Sukuk 2015 Limited | 4226 |
| 217 | Hong Kong Sukuk 2017 Limited | 4233 |
| 218 | Hong Seng Limited | 4484 |
| 219 | Hongkong Baorong Development Limited | 5595 |
| 220 | Hongkong Electric Finance Limited | 4505 |
| 221 | Hongkong International (Qingdao) Company Limited | 5023 |
| 222 | Hongkong International (Qingdao) Company Limited | 5048 |
| 223 | Hongkong International (Qingdao) Company Limited | 5874 |
| 224 | Hongkong International (Qingdao) Company Limited | 5875 |
| 225 | HongKong Xiangyu Investment Co., Limited | 4409 |
| 226 | Huai'an Traffic Holding Co., Ltd. | 5784 |
| 227 | Huaneng Hong Kong Capital Limited | 5000 |
| 228 | Huantaihu International investment Co., Ltd | 5413 |
| 229 | Huarong Finance Co., Ltd. | 5774 |
| 230 | Huarui Investment Holding Company Limited | 85721 |
| 231 | Huasing International Holdings Co., Limited | 4448 |
| 232 | Huasing International Holdings Co., Limited | 4449 |
| 233 | Huatai International Finance I Limited | 5812 |
| 234 | Huaxin Pharmaceutical (Hong Kong) Co., Ltd. | 4447 |
| 235 | Huaxin Pharmaceutical (Hong Kong) Co., Ltd. | 5297 |
| 236 | Huaxing Investment Holding Company Limited | 5363 |
| 237 | Huayi Finance I Ltd. | 5847 |
| 238 | Hubei Science & Technology Investment Group (Hong Kong) Company Limited | 4431 |
| 239 | Huzhou City Investment Development Group Co., Ltd. | 5074 |
| 240 | ICBCIL Finance Co. Limited | 5884 |
| 241 | IFC Development (Corporate Treasury) Limited | 5715 |
| 242 | IFC Development (Corporate Treasury) Limited | 5756 |
| 243 | IFC Development (Corporate Treasury) Limited | 5757 |
| 244 | IFC Development (Corporate Treasury) Limited | 5949 |
| 245 | Industrial and Commercial Bank of China (Asia) Limited | 5686 |
| 246 | Industrial and Commercial Bank of China (Asia) Limited | 5976 |
| 247 | Industrial and Commercial Bank of China (Macau) Limited | 5797 |
| 248 | Jiangsu Zhongguancun Holding Group (International) Co Ltd | 5956 |
| 249 | JIC Zhixin Limited | 5031 |

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| 250 | JIC Zhixin Limited | 5032 |
| 251 | Jinan West City Investment and Development Group Co., Ltd. | 4588 |
| 252 | Jinshine International Co., Ltd. | 4451 |
| 253 | Jiuding Group Finance Co., Ltd | 5246 |
| 254 | Keen Idea Global Limited | 5393 |
| 255 | King Power Capital Ltd. | 5822 |
| 256 | King Power Capital Ltd. | 5823 |
| 257 | King Talent Management Limited | 5026 |
| 258 | Korean Reinsurance Company | 5815 |
| 259 | Kunzhi Limited | 4464 |
| 260 | Kunzhi Limited | 5100 |
| 261 | Lai Fung Bonds (2018) Limited | 5087 |
| 262 | Lai Sun Garment International Finance (2014) Limited | 85986 |
| 263 | Logo Star Limited | 5996 |
| 264 | LS Finance (2022) Limited | 4571 |
| 265 | LS Finance (2025) Limited | 5535 |
| 266 | LSD Bonds (2017) Limited | 5270 |
| 267 | Luso International Banking Limited | 5078 |
| 268 | Lvqi Holdings Co., Ltd. | 4456 |
| 269 | Malaysia Sovereign Sukuk Berhad | 5894 |
| 270 | Malaysia Sovereign Sukuk Berhad | 5895 |
| 271 | Malaysia Sukuk Global Berhad | 5633 |
| 272 | Malaysia Sukuk Global Berhad | 5634 |
| 273 | MCC Holding (Hong Kong) Corporation Limited | 4483 |
| 274 | MCC Holding (Hong Kong) Corporation Limited | 5210 |
| 275 | Meiya Power Company Limited | 5964 |
| 276 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5552 |
| 277 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5553 |
| 278 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5688 |
| 279 | MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED | 5689 |
| 280 | Minmetals Land Capital Limited | 5933 |
| 281 | Nanjing Yangzi State-owned Assets Investment Group Co., Ltd | 5053 |
| 282 | Nanjing Yangzi State-owned Assets Investment Group Co., Ltd | 5054 |
| 283 | Nanyang Commercial Bank, Limited | 5214 |
| 284 | New Lion Bridge Company Limited | 5290 |
| 285 | New Rose Investments Limited | 5344 |
| 286 | Nuoxi Capital Limited | 4401 |
| 287 | Nuoxi Capital Limited | 4402 |
| 288 | Nuoxi Capital Limited | 5436 |
| 289 | NWD Finance (BVI) Limited | 4561 |
| 290 | Oceanwide Holdings International 2015 Co., Limited | 5557 |
| 291 | Oceanwide Holdings International 2017 Co., Limited | 5035 |
| 292 | Oceanwide Holdings International 2017 Co., Limited | 5239 |
| 293 | Oceanwide Holdings International 2017 Co., Limited | 5251 |
| 294 | Oceanwide Real Estate International Holding Company Limited | 5798 |
| 295 | Orient Huizhi Limited | 5041 |
| 296 | Oriental Capital Company Limited | 5305 |
| 297 | Oversea-Chinese Banking Corporation Limited | 85912 |
| 298 | OVPH Limited | 5614 |
| 299 | PB Issuer (No.4) Limited | 5525 |
| 300 | Peixian State-owned Assets Management Company Limited | 5336 |
| 301 | Petron Corporation | 5905 |
| 302 | PETRONAS Global Sukuk Ltd. | 5882 |
| 303 | PHBS Limited | 4325 |
| 304 | Phoenix Charm International Investment Limited | 5332 |
| 305 | Phoenix Lead Limited | 5262 |
| 306 | Poly Real Estate Finance Ltd | 4417 |
| 307 | Poly Real Estate Finance Ltd. | 5730 |
| 308 | Poly Real Estate Finance Ltd. | 5963 |
| 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 Capital Global Limited | 85719 |
| 331 | Rosy Delta Investments Limited | 5097 |
| 332 | SDSC Global Finance Limited | 5303 |
| 333 | SDSC International Finance Limited | 5827 |
| 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 |

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| 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 | Skyland Mining (BVI) Limited | 5228 |
| 358 | Skysea International Capital Management Limited | 4529 |
| 359 | SmarTone Finance Limited | 5917 |
| 360 | Societe Generale | 5947 |
| 361 | Societe Generale | 5959 |
| 362 | Societe Generale | 5960 |
| 363 | Societe Generale | 5961 |
| 364 | Societe Generale | 5962 |
| 365 | SPIC 2016 US dollar Bond Company Limited | 5324 |
| 366 | SPIC 2016 US dollar Bond Company Limited | 5325 |
| 367 | State Grid Overseas Investment (2013) Limited | 5954 |
| 368 | State Grid Overseas Investment (2013) Limited | 5955 |
| 369 | State Grid Overseas Investment (2014) Limited | 5741 |
| 370 | State Grid Overseas Investment (2014) Limited | 5742 |
| 371 | State Grid Overseas Investment (2014) Limited | 5743 |
| 372 | State Grid Overseas Investment (2016) Limited | 5649 |
| 373 | State Grid Overseas Investment (2016) Limited | 5650 |
| 374 | State Grid Overseas Investment (2016) Limited | 5651 |
| 375 | State Grid Overseas Investment (2016) Limited | 5652 |
| 376 | Strategic International Group Limited | 5241 |
| 377 | Sunshine Life Insurance Corporation Limited | 5627 |
| 378 | Sunshine Life Insurance Corporation Limited | 5628 |
| 379 | Sunshine Life Insurance Corporation Limited | 5629 |
| 380 | Suqian Economic Development (BVI) Co., Limited | 5302 |
| 381 | Taikang Insurance Group Inc. | 5349 |
| 382 | The Hongkong and Shanghai Banking Corporation Limited | 4323 |
| 383 | Tianfang Jincheng (BVI) Limited | 4403 |
| 384 | Tianjin Infrastructure Construction & Investment Group Co., Ltd. | 5673 |
| 385 | Tianjin Lingang Investment Holding Co., Ltd | 5281 |
| 386 | Tianjin Real Estate Group Co., Ltd | 5286 |
| 387 | Tianqi Finco Co., Ltd | 5036 |
| 388 | Tongfang Aqua 2017 Limited | 4454 |
| 389 | Top Luxury Investment Limited | 5598 |
| 390 | Top Wise Excellence Enterprise Co., Ltd. | 5402 |
| 391 | Top Yield Ventures Limited | 5102 |
| 392 | Towngas (Finance) Limited | 6018 |
| 393 | Treasure Generator Limited | 5709 |
| 394 | Triceratops Capital Co., Limited | 4408 |
| 395 | Tsinghua Unic Limited | 4413 |
| 396 | Tsinghua Unic Limited | 4414 |
| 397 | Tsinghua Unic Limited | 4415 |
| 398 | Tuspark Forward Ltd. | 5581 |
| 399 | Tuspark Forward Ltd. | 5735 |
| 400 | TVB Finance Limited | 4577 |
| 401 | Unigroup International Holdings Ltd. | 5596 |
| 402 | Unigroup International Holdings Ltd. | 5597 |
| 403 | Union Life Insurance Co., Ltd. | 4322 |
| 404 | Urumqi Gaoxin Investment and Development Group Co., Ltd. | 5073 |
| 405 | Vertex Capital Investment Limited | 4471 |
| 406 | Wakala Global Sukuk Berhad | 4519 |
| 407 | Wanda Properties International Co. Limited | 6023 |
| 408 | Wanda Properties Overseas Limited | 5997 |
| 409 | Want Want China Finance Limited | 5446 |
| 410 | Wise Source International Limited | 5309 |
| 411 | Wuhan Metro Group Co., Ltd. | 5939 |
| 412 | Wuhan State-owned Assets Management Limited Company | 5070 |
| 413 | Xiangxing Overseas Investment Co., Ltd. | 5329 |
| 414 | Xiangyu Investment (BVI) Co., Ltd. | 5683 |
| 415 | Xihui Haiwai I Investment Holdings Co., Limited | 5679 |
| 416 | Xingang International Holding Limited | 5330 |
| 417 | Xinhu (BVI) Holding Company Limited | 5382 |
| 418 | Xinjiang Transportation Construction Investment Holding Co. Ltd. | 4472 |
| 419 | Xinxing Industry Investment Company Limited | 5065 |
| 420 | Xuzhou Economic and Technology Development Zone International Investment Co., Ltd. | 5675 |
| 421 | Yancoal International Resources Development Co., Limited | 4552 |
| 422 | Yancoal International Resources Development Co., Limited | 5424 |
| 423 | Yancoal International Trading Co., Limited | 5753 |

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| 424 | Yango (Cayman) Investment Limited | 4470 |
| 425 | Yango (Cayman) Investment Limited | 5414 |
| 426 | Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd. | 5072 |
| 427 | Yankuang Group (Cayman) Limited | 5044 |
| 428 | Yihua Overseas Investment Ltd | 5293 |
| 429 | Yinchuan Tonglian Capital Investment Operation Co., Ltd. | 5247 |
| 430 | Yingde Gases Investment Limited | 5793 |
| 431 | YONGDA Investment Limited | 5543 |
| 432 | Yunnan Energy Investment Finance Company Ltd. | 5632 |
| 433 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5012 |
| 434 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5013 |
| 435 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5326 |
| 436 | Yunnan Energy Investment Overseas Finance Company Ltd. | 5327 |
| 437 | Yunnan Provincial Investment Holdings Group Co., Ltd. | 5624 |
| 438 | Zhaohai Investment (BVI) Limited | 5546 |
| 439 | Zhaohai Investment (BVI) Limited | 5547 |
| 440 | Zhenjiang Cultural Tourism Industry Group Co., Ltd. | 5319 |
| 441 | ZHIYUAN Group (BVI) Co., Ltd. | 5603 |
| 442 | Zhongtai International Bond 2017 (BVI) Company Limited | 5263 |
| 443 | Zhongtai International Finance (BVI) Company Limited | 4418 |
| 444 | Zhongyuan Sincere Investment Co. Ltd. | 5095 |
| 445 | Zhuzhou City Construction Development Group Co., Ltd. | 5710 |
| 446 | 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 |