

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

Updated as at
30 June 2019

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

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

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

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

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

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

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

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

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

Note 3: Exemptions previously granted to Citigroup Global Markets Holdings Inc., Daiwa Capital Markets Hong Kong Limited, Nomura International plc, SGA Société Générale Acceptance N.V. and Standard Chartered Bank expired on 14 June 2015, 19 July 2016, 9 December 2015, 20 December 2016 and 27 June 2016 respectively.

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

Name	Programme
1 AirAsia Global Notes Limited	US\$1,000,000,000 Multicurrency Medium Term Note Programme
2 Amipeace Ltd.	HK\$10,000,000,000 Medium Term Note Programme
3 AMTD Group Company Limited	U.S.\$500,000,000 Medium Term Note Programme
4 AVIC International Leasing Co., Ltd.	US\$500,000,000 Medium Term Note Programme
5 AVIC International Leasing Co., Ltd.	U.S.\$500,000,000 Medium Term Note Programme
6 Azure Nova International Finance Limited	U.S.\$10,000,000,000 Medium Term Note Programme
7 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
8 Azure Orbit IV International Finance Limited	U.S.\$7,000,000,000 Medium Term Note Programme
9 Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programm
10 Beijing Capital Polaris Investment Co. Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
11 Bocom Leasing Management Hong Kong Company Limited	US\$3,000,000,000 Medium Term Note Programme
12 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
13 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
14 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
15 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
16 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
17 CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
18 CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme

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

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

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

Name	SEHK Stock codes	
1	ABCL Glory Capital Limited	5677
2	Agricultural Development Bank of China	5180
3	Agricultural Development Bank of China	5455
4	Agricultural Development Bank of China	85737
5	Agricultural Development Bank of China	85744
6	Agricultural Development Bank of China	85901
7	Airvessel Finance Holding Limited	5789
8	Alibaba Group Holding Limited	5842
9	Alibaba Group Holding Limited	5843
10	Alibaba Group Holding Limited	5844
11	Alibaba Group Holding Limited	5845
12	Amber Circle Funding Limited	4586
13	Amber Treasure Ventures Limited	5209
14	Amber Treasure Ventures Limited	5243
15	Anhui Provincial Investment Group Holding Co., Ltd.	5186
16	Anhui Transportation Holding Group (H.K.) Limited	5158
17	Asia View Limited	5788
18	AVIC International Finance & Investment Limited	4497
19	AVIC International Finance & Investment Limited	5966
20	Axiata SPV1 (Labuan) Limited	4320
21	Azure Orbit III International Finance Limited	5620
22	Azure Orbit III International Finance Limited	5621
23	Azure Orbit International Finance Limited	5909
24	Bank of China (Hong Kong) Limited	4316
25	Baoji Investment (Group) Co., Ltd.	5492
26	Baosteel Financing 2015 Pty Ltd	5866
27	BCEG (HongKong) Company Limited	5145
28	Beijing Enterprises Water Capital Management Limited	4480
29	Beijing Gas Singapore Capital Corporation	5213
30	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
31	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
32	Bi Hai Co., Ltd.	5185
33	Blue Skyview Company Limited	5364
34	Bluestar Finance Holdings Limited	4550
35	Bluestar Finance Holdings Limited	4556
36	Bluestar Finance Holdings Limited	5089
37	Bluestar Finance Holdings Limited	5599
38	BNY Trust Company of Australia Limited	5766
39	Boom Up Investments Limited	5544
40	Bright Galaxy International Limited	5927
41	Cable and Wireless International Finance B.V.	1077
42	Cable and Wireless International Finance B.V.	1078
43	Caiyun International Investment Limited	5682
44	Caiyun International Investment Limited	5947
45	CALC Bond 2 Limited	4300
46	CALC Bond 3 Limited	5390
47	CALC Bond 3 Limited	5391
48	CCB Life Insurance Company Limited	5437
49	CCBL (Cayman) Corporation Limited	5548
50	CCCI Treasure Limited	5893
51	CCTI 2017 Ltd	5258
52	CDBL Funding 1	5849
53	CDBL Funding 1	5850
54	Celestial Dynasty Limited	5594
55	CELESTIAL MILES LIMITED	5706
56	Central Plaza Development Ltd.	5919
57	CGNPC International Limited	5058

58	CGNPC International Limited	5059
59	CGNPC International Limited	5153
60	CGNPC International Limited	5154
61	CGNPC International Limited	5519
62	Chalco Hong Kong Investment Company Limited	5151
63	Chalco Hong Kong Investment Company Limited	5920
64	Chalco Hong Kong Investment Company Limited	5727
65	Chalco Hong Kong Investment Company Limited	5985
66	Chalieco Hong Kong Corporation Limited	5321
67	Chalieco Hong Kong Corporation Limited	5702
68	Chang Development International Limited	5090
69	Chang Development International Limited	5345
70	Changde Urban Construction and Investment Group Co., Ltd.	5328
71	Changde Urban Construction and Investment Group Co., Ltd.	5509
72	Changsha Pilot Investment Holdings Co., Ltd.	5315
73	Charter Style International Limited	85993
74	Chengdu Communications Investment Group Corporation Limited	5062
75	Chengdu Communications Investment Group Corporation Limited	5493
76	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
77	Chengdu Hi-tech Investment Group Co., Ltd.	5206
78	Chengdu Tianfu New Area Investment Group Co., Ltd	6011
79	Chengdu Xingcheng Investment Group Co., Ltd.	5314
80	Cheung Kong Bond Securities (02) Limited	4559
81	Cheung Kong Bond Securities (03) Limited	4595
82	Cheung Kong Infrastructure Finance (BVI) Limited	5060
83	China Bright (Hong Kong) Limited	5937
84	China Cinda Finance (2014) Limited	5748
85	China CITIC Bank International Limited	5199
86	China CITIC Bank International Limited	5728
87	China CITIC Bank International Limited	5831
88	China CITIC Bank International Limited	5992
89	China CITIC Bank International Limited	4594
90	China Clean Energy Development Limited	5568
91	China Development Bank Corporation	85904
92	China Development Bank Corporation	85905
93	China Development Bank Corporation	85934
94	China Energy Reserve and Chemicals Group Holding Limited	5639
95	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
96	China Huadian Overseas Development 2018 Limited	4491
97	China Huadian Overseas Development Management Company Limited	4533
98	China Life Insurance (Overseas) Co., Ltd	5250
99	China Merchants Finance Company Limited	4548
100	China Merchants Finance Company Limited	5554
101	China Merchants Finance Company Limited	5555
102	China Minmetals Corporation	4442
103	China Minmetals Corporation	5009
104	China Overseas Finance (Cayman) II Limited	4503
105	China Overseas Finance (Cayman) III Limited	5988
106	China Overseas Finance (Cayman) III Limited	5989
107	China Overseas Finance (Cayman) V Limited	4579
108	China Overseas Finance (Cayman) V Limited	4580
109	China Overseas Finance (Cayman) VI Limited	5746
110	China Overseas Finance (Cayman) VI Limited	5760
111	China Overseas Finance (Cayman) VII Limited	4475
112	China Overseas Finance (Cayman) VII Limited	4476
113	China Overseas Finance Investment (Cayman) V Limited	5600
114	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
115	China Overseas Land International (Cayman) Limited	5541
116	China Railway Resources Huitung Limited	5904
117	China Railway XunJie Co., Limited	5244
118	China Railway XunJie Co., Limited	5692
119	China Resources Power East Foundation Co., Ltd.	4516
120	China Shenhua Overseas Capital Company Limited	5862
121	China Shenhua Overseas Capital Company Limited	5863
122	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
123	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
124	China Southern Power Grid International Finance (BVI) Co., Limited	4583
125	China Southern Power Grid International Finance (BVI) Co., Limited	4598
126	China State Construction Finance (Cayman) I Limited	5462
127	China State Construction Finance (Cayman) II Limited	5037
128	China State Construction Finance (Cayman) II Limited	5038
129	China Taiping Capital Limited	4582
130	China Taiping New Horizon Limited	5984
131	China Yangtze Power International (BVI) 1 Limited	5300
132	China Yangtze Power International (BVI) 2 Limited	5301
133	Chinalco Capital Holdings Limited	4301
134	Chinalco Capital Holdings Limited	5438
135	Chinalco Finance Holdings Limited	5854
136	Chiyu Banking Corporation Limited	5034
137	Chongqing Casin Group Co., Ltd	5595
138	Chongqing Energy Investment Group Co., Ltd.	5898

139	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	4562
140	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
141	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
142	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
143	Chouzhou International Investment Limited	4542
144	Chouzhou International Investment Limited	5056
145	CITIC Telecom International Finance Limited	5908
146	CLP Power HK Finance Ltd.	5740
147	CLP Power Hong Kong Financing Limited	4306
148	CLP Power Hong Kong Financing Limited	4318
149	CMHI Finance (BVI) Co., Ltd	5134
150	CMHI Finance (BVI) Co., Ltd	5135
151	CMOC Capital Limited	5722
152	CNI Capital Limited	85725
153	CNOOC Curtis Funding No. 1 Pty Ltd	5972
154	CNOOC Curtis Funding No. 1 Pty Ltd	5973
155	CNOOC Finance (2003) Limited	2568
156	CNOOC Finance (2011) Limited	4506
157	CNOOC Finance (2011) Limited	4507
158	CNOOC Finance (2012) Limited	4546
159	CNOOC Finance (2012) Limited	4547
160	CNOOC Finance (2013) Limited	5941
161	CNOOC Finance (2013) Limited	5942
162	CNOOC Finance (2015) Australia Pty Ltd	5506
163	CNOOC Finance (2015) Australia Pty Ltd	5507
164	CNOOC Finance (2015) U.S.A. LLC	4478
165	CNOOC Finance (2015) U.S.A. LLC	4479
166	CNOOC Finance (2015) U.S.A. LLC	5508
167	CNOOC Nexen Finance (2014) ULC	5738
168	CNOOC Nexen Finance (2014) ULC	5739
169	CNPC (HK) Overseas Capital Ltd.	4513
170	CNPC (HK) Overseas Capital Ltd.	4514
171	CNPC General Capital Limited	4544
172	CNPC General Capital Limited	5923
173	Coastal Emerald Limited	5529
174	COSCO Pacific Finance (2013) Company Limited	5900
175	COSL Finance (BVI) Limited	4563
176	Cosmos Boom Investment Limited	5534
177	CRCC Chengan Limited	5581
178	CRCC Yupeng Limited	5778
179	CRCC Yuxiang Limited	5945
180	CSCEC Finance (Cayman) I Limited	5574
181	CSCEC Finance (Cayman) II Limited	5232
182	CSCEC Finance (Cayman) II Limited	5233
183	CSCEC Finance (Cayman) II Limited	5669
184	CSCI Finance (2015) Co. Ltd	5564
185	CSSC Capital One Limited	5181
186	CSSC Capital Two Limited	5182
187	Dah Sing Bank, Limited	5316
188	Dah Sing Bank, Limited	5524
189	Dah Sing Bank, Limited	6021
190	Dangdai International Investments Ltd	5027
191	Dianjian Haixing Limited	5816
192	Double Rosy Limited	5829
193	DYNAMIC MISSION INVESTMENTS LIMITED	5386
194	Ease Trade Global Limited	4458
195	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
196	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
197	Excel Capital Global Limited	4496
198	Expand Lead Limited	5165
199	First FZ Bond Limited	5275
200	Fita International Limited	4315
201	FPC Capital Limited	5107
202	FPC Treasury Limited	5924
203	Franshion Brilliant Limited	5030
204	Franshion Brilliant Limited	5229
205	Franshion Brilliant Limited	5289
206	Franshion Brilliant Limited	5347
207	Franshion Brilliant Limited	5385
208	Franshion Brilliant Limited	5472
209	Fujian Zhanglong Group Co., Ltd.	5331
210	Full Dragon (Hong Kong) International Development Limited	4428
211	FWD Group Limited	5019
212	FWD Group Limited	5221
213	FWD Limited	4416
214	FWD Limited	5351
215	FWD Limited	5803
216	Gansu Province Electric Power Investment Group Co., Ltd.	5466
217	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
218	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
219	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304

220	Gaoxin International Investment Co., Ltd	5335
221	Gemdale Ever Prosperity Investment Limited	4578
222	GOHL Capital Limited	5352
223	GRAM International Limited	5587
224	Granda Century Limited	5152
225	Green Fortune Capital Limited	5288
226	Greenland Global Investment Limited	5768
227	Greenland Global Investment Limited	5769
228	Guang Ying Investment Limited	4492
229	Guangsha Holding Group Co., Ltd.	5456
230	Guangxi Communications Investment Group Corporation. Ltd	5921
231	Guangxi Financial Investment Group Co., Ltd.	5098
232	GUANGZHOU Silk Road Investment Limited	5323
233	Guotai Junan Holdings Limited	5853
234	Haichuan International Investment Co., Ltd.	4538
235	Haichuan International Investment Co., Ltd.	5460
236	Haimen Zhongnan Investment Development (International) Co., Ltd.	4585
237	Haitian (BVI) International Investment Development Limited	5061
238	Haitong International Finance 2014 Limited	5801
239	Haitong International Finance 2015 Limited	5867
240	Haitong International Finance Holdings 2015 Limited	5892
241	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
242	Hanrui Overseas Investment Co Ltd	5081
243	Harvest International Company	5024
244	Henson Finance Limited	4312
245	Hesteel Hong Kong Co., Limited	5417
246	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
247	Hong Kong Sukuk 2014 Limited	4223
248	Hong Kong Sukuk 2015 Limited	4226
249	Hong Kong Sukuk 2017 Limited	4233
250	Hongkong Baorong Development Limited	5465
251	Hongkong Electric Finance Limited	4505
252	Hongkong International (Qingdao) Company Limited	5023
253	Hongkong International (Qingdao) Company Limited	5048
254	Hongkong International (Qingdao) Company Limited	5191
255	Hongkong International (Qingdao) Company Limited	5874
256	Hongkong International (Qingdao) Company Limited	5875
257	HongKong Xiangyu Investment Co., Limited	4409
258	Huafa 2019 I Company Limited	5976
259	Huafa Group 2018 I Company Limited	5150
260	Huai'an Traffic Holding Co., Ltd.	5784
261	Huai'an Water Conservancy Holding Group Co., Ltd.	6009
262	HuaiBei City Construction Investment Holding Group Company Limited	5474
263	HuaiBei City Construction Investment Holding Group Company Limited	5946
264	Huaneng Hong Kong Capital Limited	5000
265	Huantaihu International investment Co., Ltd	5413
266	Huarong Finance Co., Ltd.	5774
267	Huasing International Holdings Co., Limited	4448
268	Huasing International Holdings Co., Limited	4449
269	Huatai International Finance I Limited	5812
270	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
271	Huaxing Investment Holding Company Limited	5363
272	Huayi Finance I Ltd.	5847
273	HUAYUAN PROPERTY CO., LTD	5922
274	Huayuan Property Co., Ltd.	5239
275	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
276	Hunan Xiangjiang New Area Development Group Co Ltd	5223
277	Huzhou City Investment Development Group Co., Ltd.	5074
278	Huzhou Communications Investment Group Co., Ltd.	85740
279	ICBCIL Finance Co. Limited	5884
280	IFC Development (Corporate Treasury) Limited	5715
281	IFC Development (Corporate Treasury) Limited	5756
282	IFC Development (Corporate Treasury) Limited	5757
283	IFC Development (Corporate Treasury) Limited	6000
284	Industrial and Commercial Bank of China (Asia) Limited	5686
285	Industrial and Commercial Bank of China (Asia) Limited	5976
286	Industrial and Commercial Bank of China (Macau) Limited	5797
287	Intellect Aim Management Ltd.	6003
288	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
289	Jiangxi Railway Investment Group Corporation	5770
290	JIC Zhixin Limited	5031
291	JIC Zhixin Limited	5032
292	Jinan Hi-tech Holding Group Co., Ltd.	5481
293	Jinan West City Investment and Development Group Co., Ltd.	4588
294	Jinke Property Group Co., Ltd.	5292
295	Jinshine International Co., Ltd.	4451
296	Jisco SR Pearl Ltd.	5953
297	Jiuding Group Finance Co., Ltd	5246
298	Joy Treasure Assets Holdings Inc.	5901
299	Joy Treasure Assets Holdings Inc.	5903
300	Keen Idea Global Limited	5393
301	King Power Capital Ltd.	5822

302	King Power Capital Ltd.	5823
303	King Talent Management Limited	5026
304	Korean Reinsurance Company	5815
305	Kunming Dianchi Investment Co. Ltd.	5569
306	Kunzhi Limited	4464
307	Kunzhi Limited	5100
308	Lai Fung Bonds (2018) Limited	5087
309	Legend Fortune Limited	5128
310	Liang Shan International Development Limited	5585
311	Lingang Wings Inc	5149
312	Liuzhou Dongtong Investment & Development Co., Ltd.	4329
313	LS Finance (2022) Limited	4571
314	LS Finance (2025) Limited	5535
315	LSD Bonds (2017) Limited	5270
316	Luso International Banking Limited	5078
317	Malaysia Sovereign Sukuk Berhad	5894
318	Malaysia Sovereign Sukuk Berhad	5895
319	Malaysia Sukuk Global Berhad	5633
320	Malaysia Sukuk Global Berhad	5634
321	MCC Holding (Hong Kong) Corporation Limited	4483
322	MCC Holding (Hong Kong) Corporation Limited	5210
323	Mei Nian Investment Limited	5932
324	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
325	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
326	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
327	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
328	Minmetals Land Capital Limited	5933
329	Mudanjiang City Investment Group Co., Ltd.	5297
330	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
331	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
332	Nanyang Commercial Bank, Limited	5214
333	New Lion Bridge Company Limited	5290
334	New Rose Investments Limited	5344
335	Nimble City Limited	5144
336	Nuoxi Capital Limited	4401
337	Nuoxi Capital Limited	4402
338	Nuoxi Capital Limited	5365
339	Nuoxi Capital Limited	5436
340	Nuoxi Capital Limited	5484
341	Nuoxi Capital Limited	5704
342	Nuoxi Capital Limited	5996
343	NWD Finance (BVI) Limited	4561
344	NWD Finance (BVI) Limited	5856
345	Oceanwide Holdings International 2015 Co., Limited	5557
346	Oceanwide Holdings International 2017 Co., Limited	5251
347	Oceanwide Holdings International Development III Co., Ltd.	4532
348	Oceanwide Holdings International Development III Co., Ltd.	5196
349	Oceanwide Real Estate International Holding Company Limited	5798
350	Orient Huizhi Limited	5041
351	Oriental Capital Company Limited	5305
352	Oversea-Chinese Banking Corporation Limited	85912
353	OVPH Limited	5614
354	PB Issuer (No.4) Limited	5525
355	Peixian State-owned Assets Management Company Limited	5336
356	Perfect Point Ventures Limited	4566
357	Petron Corporation	5905
358	PETRONAS Global Sukuk Ltd.	5882
359	PHBS Limited	4325
360	Phoenix Charm International Investment Limited	5332
361	Phoenix Lead Limited	5262
362	Pingxiang Urban Construction Investment Developing Company	4535
363	Pioneer Reward Limited	4530
364	Poly Real Estate Finance Ltd	4417
365	Poly Real Estate Finance Ltd	5164
366	Poly Real Estate Finance Ltd	5916
367	Power Best Global Investments Limited	5940
368	Powerchina Real Estate Group Ltd.	5471
369	Press Metal (Labuan) Ltd.	5299
370	Prosperous Ray Limited	5994
371	Proven Honour Capital Limited	5516
372	Proven Honour Capital Limited	5641
373	PTT Public Company Limited	2527
374	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
375	Qingdao Jiaozhou Bay Development Group Co., Ltd.	5951
376	Qinghai Provincial Investment Group Co., Ltd.	4450
377	Qinghai Provincial Investment Group Co., Ltd.	5380
378	Radiant Access Limited	5205
379	Rail Transit International Investment Company Limited	5644
380	Reward International Investment Limited	5360
381	RKI Overseas Finance 2016 (A) Limited	5695
382	RKI Overseas Finance 2016 (B) Limited	4309
383	Rongshi International Finance Limited	5448

384	Rongshi International Finance Limited	5449
385	Rosy Delta Investments Limited	5097
386	SCIG International Financial Limited	5174
387	SDG FINANCE I LIMITED	4539
388	SDG FINANCE I LIMITED	5192
389	SDSC Global Finance Limited	5303
390	SDSC International Finance Limited	5827
391	SF Holding Investment Limited	5130
392	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
393	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
394	Shaanxi Xixian New Area Qinhan New City Development and Construction Group Co., Ltd.	5935
395	Shandong Commercial Group Co., Ltd.	5512
396	Shandong Energy Australia Pty Ltd	5248
397	Shandong Iron and Steel Xinheng International Company Limited	4453
398	Shandong Iron and Steel Xinheng International Company Limited	5063
399	Shandong Iron and Steel Xinheng International Company Limited	5470
400	Shandong Iron and Steel Xinheng International Company Limited	5601
401	Shanghai Commercial Bank Limited	5043
402	Shanghai Commercial Bank Limited	5530
403	Shanghai Electric Power Finance Limited	5558
404	Shanghai Port Group (BVI) Development Co., Limited	4587
405	Shanghai Port Group (BVI) Holding Co., Limited	5255
406	Shanghai Port Group (BVI) Holding Co., Limited	5256
407	Shangrao Investment Holdings International Company Limited	4429
408	Shanghai (Hong Kong) International Investments Limited	5435
409	Shaoxing City Investment Group Limited	5489
410	Shine Power International Limited	5777
411	Si Fa Investment Limited	5490
412	Sichuan Communications Overseas Development Co., Ltd.	5399
413	Sichuan Railway Investment Group Co., Ltd.	5575
414	SIHC International Capital Ltd	5176
415	SIHC International Capital Ltd	5177
416	Silver Sparkle Limited	5697
417	Sino Trendy Investment Limited	4407
418	Sinochem Global Capital Co., Ltd.	5935
419	Sinochem Overseas Capital Company Limited	4501
420	Sinochem Overseas Capital Company Limited	4502
421	Sino-Ocean Land Treasure Finance I Limited	5781
422	Sino-Ocean Land Treasure Finance I Limited	5782
423	Sino-Ocean Land Treasure Finance II Limited	5868
424	Sino-Ocean Land Treasure Finance II Limited	5869
425	Sino-Ocean Land Treasure III Limited	5276
426	Sino-Ocean Land Treasure IV Limited	5131
427	Sino-Ocean Land Treasure IV Limited	5712
428	Skyland Mining (BVI) Limited	5228
429	Skysea International Capital Management Limited	4529
430	SmarTone Finance Limited	5917
431	Societe Generale	5947
432	Societe Generale	5959
433	Societe Generale	5960
434	Societe Generale	5961
435	Societe Generale	5962
436	SPIC 2016 US dollar Bond Company Limited	5324
437	SPIC 2016 US dollar Bond Company Limited	5325
438	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
439	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
440	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
441	State Grid Overseas Investment (2013) Limited	5954
442	State Grid Overseas Investment (2013) Limited	5955
443	State Grid Overseas Investment (2014) Limited	5742
444	State Grid Overseas Investment (2014) Limited	5743
445	State Grid Overseas Investment (2016) Limited	5649
446	State Grid Overseas Investment (2016) Limited	5650
447	State Grid Overseas Investment (2016) Limited	5651
448	State Grid Overseas Investment (2016) Limited	5652
449	Strategic International Group Limited	5241
450	Sunny Express Enterprises Corp.	5906
451	Sunshine Life Insurance Corporation Limited	5628
452	Sunshine Life Insurance Corporation Limited	5629
453	Suqian Economic Development (BVI) Co., Limited	5302
454	Taikang Insurance Group Inc.	5349
455	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
456	The Hongkong and Shanghai Banking Corporation Limited	4323
457	Tianjin Lingang Investment Holding Co., Ltd.	5148
458	Tianjin Real Estate Group Co., Ltd	5286
459	Tianqi Finco Co., Ltd	5036
460	Tongfang Aqua 2017 Limited	4454
461	Top Luxury Investment Limited	5598
462	Top Wise Excellence Enterprise Co., Ltd.	5402
463	Towngas (Finance) Limited	5749
464	Towngas (Finance) Limited	6018
465	Trade Horizon Global Limited	5133

466	Treasure Generator Limited	5709
467	Triceratops Capital Co., Limited	4408
468	Tsinghua Unic Limited	4413
469	Tsinghua Unic Limited	4414
470	Tsinghua Unic Limited	4415
471	Tuspark Forward Ltd.	4599
472	Tuspark Forward Ltd.	5143
473	Tuspark Forward Ltd.	5857
474	Tuspark Forward Ltd.	5735
475	TVB Finance Limited	4577
476	UHI Capital Ltd.	4572
477	Unigroup International Holdings Ltd.	5597
478	Union Life Insurance Co., Ltd.	4322
479	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
480	Vertex Capital Investment Limited	5931
481	Wakala Global Sukuk Berhad	4519
482	Wanda Properties Global Co. Limited	5835
483	Wanda Properties International Co. Limited	6023
484	Want Want China Finance Limited	5446
485	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
486	Wuhan Financial Holdings (Group) Co., Ltd.	5498
487	Wuhan Metro Group Co., Ltd.	5467
488	Wuhan Metro Group Co., Ltd.	5939
489	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
490	Wuhan State-owned Assets Management Limited Company	5070
491	Xi Yang Overseas Limited	4565
492	Xiangxing Overseas Investment Co., Ltd.	5329
493	Xiangyu Investment (BVI) Co., Ltd.	5572
494	Xiangyu Investment (BVI) Co., Ltd.	5683
495	Xihui Haiwai I Investment Holdings Co., Limited	5990
496	Xin Fu (BVI) Co., Limited	5985
497	Xingang International Holding Limited	5330
498	Xingsheng (BVI) Company Limited	5172
499	Xinhu (BVI) 2018 Holding Company Limited	4569
500	Xinhu (BVI) 2018 Holding Company Limited	5497
501	Xinhu (BVI) 2018 Holding Company Limited	5889
502	Xinhu (BVI) Holding Company Limited	5382
503	Xinjiang Financial Investment Co., Ltd.	5907
504	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5570
505	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5952
506	Xinjiang Zhongtai (Group) Co., Ltd.	4567
507	Xinxing Industry Investment Company Limited	5065
508	Yancoal International Resources Development Co., Limited	4552
509	Yancoal International Resources Development Co., Limited	5424
510	Yancoal International Resources Development Co., Ltd	5461
511	Yancoal International Trading Co., Limited	5753
512	Yango (Cayman) Investment Limited	4470
513	Yango (Cayman) Investment Limited	5414
514	Yangzhou Economic and Technological Development Zone Development Corporation	5513
515	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
516	Yankuang Group (Cayman) Limited	5044
517	Yankuang Group (Cayman) Limited	5705
518	Yichang High-Tech Investment Development Co., Ltd.	5495
519	Yihua Overseas Investment Ltd	5293
520	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
521	Yingde Gases Investment Limited	5793
522	YONGDA Investment Limited	5543
523	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
524	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
525	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
526	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
527	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
528	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
529	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5998
530	Zhangzhou Transportation Development Group Co., Ltd.	5584
531	Zhaohai Investment (BVI) Limited	5547
532	Zhaojin Mining International Finance Limited	5851
533	Zhejiang Baron (BVI) Company Limited	5146
534	Zhengzhou Metro Group Co., Ltd.	5496
535	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
536	Zhongtai International Bond 2017 (BVI) Company Limited	5263
537	Zhongtai International Finance (BVI) Company Limited	5919
538	Zhongyuan Sincere Investment Co. Ltd.	5095
539	Zhongyuan Sincere Investment Co. Ltd.	5596
540	Zhoushan City Investment Group Corporation Limited	5487
541	Zhuji Development Limited	5480
542	Zhuzhou City Construction Development Group Co., Ltd.	4531
543	Zhuzhou City Construction Development Group Co., Ltd.	5710
544	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