

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

Updated as at  
31 Mar 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 2020
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 2020
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 Programme
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	US\$3,000,000,000 Guaranteed Medium Term Note Programme
26 China Cinda Finance (2017) I Limited and China Cinda	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	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	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 Frانشion 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	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 New World China Land Limited	US\$2,000,000,000 Medium Term Note Programme
64 NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
65 NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
66 PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
67 Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
68 R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
69 RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
70 Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
71 Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
72 Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme

73	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
74	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
75	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
76	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
77	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
78	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
79	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
80	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
81	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
82	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
83	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
84	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
85	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
86	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
87	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
88	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
89	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
90	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
91	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
92	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
93	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
94	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
95	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme
96	Zhejiang Energy International Limited	USD2,000,000,000 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 Bi Hai Co., Ltd.	5185
31 Blue Skyview Company Limited	5364
32 Bluestar Finance Holdings Limited	4550
33 Bluestar Finance Holdings Limited	4556
34 Bluestar Finance Holdings Limited	5089
35 Bluestar Finance Holdings Limited	5599
36 BNY Trust Company of Australia Limited	5766
37 Boom Up Investments Limited	5544
38 Bright Galaxy International Limited	5927
39 Cable and Wireless International Finance B.V.	1077
40 Cable and Wireless International Finance B.V.	1078
41 Caiyun International Investment Limited	5682
42 CALC Bond 1 Limited	5642
43 CALC Bond 2 Limited	4300
44 CALC Bond 3 Limited	5390
45 CALC Bond 3 Limited	5391

46	CCB Life Insurance Company Limited	5437
47	CCBL (Cayman) Corporation Limited	5548
48	CCCI Treasure Limited	5893
49	CCTI 2017 Ltd	5258
50	CDBL Funding 1	5849
51	CDBL Funding 1	5850
52	CELESTIAL MILES LIMITED	5706
53	Central Plaza Development Ltd.	5919
54	CGNPC International Limited	5058
55	CGNPC International Limited	5059
56	CGNPC International Limited	5153
57	CGNPC International Limited	5154
58	CGNPC International Limited	5519
59	Chalco Hong Kong Investment Company Limited	5151
60	Chalco Hong Kong Investment Company Limited	5920
61	Chalco Hong Kong Investment Company Limited	5727
62	Chalco Hong Kong Investment Company Limited	5985
63	Chalieco Hong Kong Corporation Limited	5321
64	Chalieco Hong Kong Corporation Limited	5702
65	Chang Development International Limited	5090
66	Chang Development International Limited	5345
67	Change Urban Construction and Investment Group Co., Ltd.	5328
68	Change Urban Construction and Investment Group Co., Ltd.	5509
69	Changsha Pilot Investment Holdings Co., Ltd.	5315
70	Charter Style International Limited	85993
71	Chengdu Communications Investment Group Corporation Limited	5062
72	Chengdu Communications Investment Group Corporation Limited	5493
73	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
74	Chengdu Hi-tech Investment Group Co., Ltd.	5206
75	Chengdu Xingcheng Investment Group Co., Ltd.	5314
76	Cheung Kong Bond Securities (02) Limited	4559
77	Cheung Kong Bond Securities (03) Limited	4595
78	Cheung Kong Infrastructure Finance (BVI) Limited	5060
79	China Bright (Hong Kong) Limited	5937
80	China Cinda Finance (2014) Limited	5747
81	China Cinda Finance (2014) Limited	5748
82	China CITIC Bank International Limited	5199
83	China CITIC Bank International Limited	5728
84	China CITIC Bank International Limited	5831
85	China CITIC Bank International Limited	5992
86	China CITIC Bank International Limited	4594
87	China Clean Energy Development Limited	5568
88	China Development Bank Corporation	85904
89	China Development Bank Corporation	85905
90	China Development Bank Corporation	85934
91	China Energy Reserve and Chemicals Group Holding Limited	5639
92	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
93	China Huadian Overseas Development 2018 Limited	4491
94	China Life Insurance (Overseas) Co., Ltd	5250
95	China Merchants Finance Company Limited	4548
96	China Merchants Finance Company Limited	5554
97	China Merchants Finance Company Limited	5555
98	China Minmetals Corporation	4442
99	China Minmetals Corporation	5009
100	China Overseas Finance (Cayman) II Limited	4503
101	China Overseas Finance (Cayman) III Limited	5988
102	China Overseas Finance (Cayman) III Limited	5989
103	China Overseas Finance (Cayman) V Limited	4579
104	China Overseas Finance (Cayman) V Limited	4580
105	China Overseas Finance (Cayman) VI Limited	5745
106	China Overseas Finance (Cayman) VI Limited	5746
107	China Overseas Finance (Cayman) VI Limited	5760
108	China Overseas Finance (Cayman) VII Limited	4475
109	China Overseas Finance (Cayman) VII Limited	4476
110	China Overseas Finance Investment (Cayman) V Limited	5600
111	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
112	China Overseas Land International (Cayman) Limited	5541
113	China Railway Resources Huitung Limited	5904
114	China Railway XunJie Co., Limited	5244
115	China Railway XunJie Co., Limited	5692
116	China Resources Power East Foundation Co., Ltd.	4516
117	China Shenhua Overseas Capital Company Limited	5862
118	China Shenhua Overseas Capital Company Limited	5863
119	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
120	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
121	China Southern Power Grid International Finance (BVI) Co., Limited	4583
122	China Southern Power Grid International Finance (BVI) Co., Limited	4598
123	China State Construction Finance (Cayman) I Limited	5462
124	China State Construction Finance (Cayman) II Limited	5037
125	China State Construction Finance (Cayman) II Limited	5038
126	China Taiping Capital Limited	4582

127	China Taiping New Horizon Limited	5984
128	China Yangtze Power International (BVI) 1 Limited	5300
129	China Yangtze Power International (BVI) 2 Limited	5301
130	Chinalco Capital Holdings Limited	4301
131	Chinalco Capital Holdings Limited	5438
132	Chinalco Finance Holdings Limited	5854
133	Chiyu Banking Corporation Limited	5034
134	Chongqing Energy Investment Group Co., Ltd.	5898
135	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
136	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
137	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
138	Chouzhou International Investment Limited	5056
139	CITIC Telecom International Finance Limited	5908
140	CLP Power HK Finance Ltd.	5740
141	CLP Power Hong Kong Financing Limited	4306
142	CLP Power Hong Kong Financing Limited	4318
143	CMHI Finance (BVI) Co., Ltd	5134
144	CMHI Finance (BVI) Co., Ltd	5135
145	CMOC Capital Limited	5722
146	CNI Capital Limited	85725
147	CNOOC Curtis Funding No. 1 Pty Ltd	5972
148	CNOOC Curtis Funding No. 1 Pty Ltd	5973
149	CNOOC Finance (2003) Limited	2568
150	CNOOC Finance (2011) Limited	4506
151	CNOOC Finance (2011) Limited	4507
152	CNOOC Finance (2012) Limited	4546
153	CNOOC Finance (2012) Limited	4547
154	CNOOC Finance (2013) Limited	5941
155	CNOOC Finance (2013) Limited	5942
156	CNOOC Finance (2015) Australia Pty Ltd	5506
157	CNOOC Finance (2015) Australia Pty Ltd	5507
158	CNOOC Finance (2015) U.S.A. LLC	4478
159	CNOOC Finance (2015) U.S.A. LLC	4479
160	CNOOC Finance (2015) U.S.A. LLC	5508
161	CNOOC Nexen Finance (2014) ULC	5738
162	CNOOC Nexen Finance (2014) ULC	5739
163	CNPC (HK) Overseas Capital Ltd.	4513
164	CNPC (HK) Overseas Capital Ltd.	4514
165	CNPC General Capital Limited	4544
166	CNPC General Capital Limited	5750
167	CNPC General Capital Limited	5923
168	Coastal Emerald Limited	5529
169	COSCO Pacific Finance (2013) Company Limited	5900
170	COSL Finance (BVI) Limited	4563
171	Cosmos Boom Investment Limited	5534
172	CRCC Yupeng Limited	5778
173	CRCC Yuxiang Limited	5945
174	Crotona Assets Limited	5724
175	CSCEC Finance (Cayman) I Limited	5574
176	CSCEC Finance (Cayman) II Limited	5232
177	CSCEC Finance (Cayman) II Limited	5233
178	CSCEC Finance (Cayman) II Limited	5668
179	CSCEC Finance (Cayman) II Limited	5669
180	CSCI Finance (2015) Co. Ltd	5564
181	CSSC Capital One Limited	5181
182	CSSC Capital Two Limited	5182
183	Dah Sing Bank, Limited	5316
184	Dah Sing Bank, Limited	5524
185	Dah Sing Bank, Limited	6021
186	Dangdai International Investments Ltd	5027
187	Dianjian Haixing Limited	5816
188	Double Rosy Limited	5829
189	DYNAMIC MISSION INVESTMENTS LIMITED	5386
190	Ease Trade Global Limited	4458
191	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
192	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
193	Excel Capital Global Limited	4496
194	Expand Lead Limited	5165
195	First FZ Bond Limited	5275
196	Fita International Limited	4315
197	FPC Capital Limited	5107
198	FPC Treasury Limited	5924
199	Franshion Brilliant Limited	5030
200	Franshion Brilliant Limited	5229
201	Franshion Brilliant Limited	5347
202	Franshion Brilliant Limited	5385
203	Franshion Brilliant Limited	5472
204	Fujian Zhanglong Group Co., Ltd.	5331
205	Full Dragon (Hong Kong) International Development Limited	4428
206	FWD Group Limited	5019
207	FWD Group Limited	5221

208	FWD Limited	4416
209	FWD Limited	5351
210	FWD Limited	5803
211	Gansu Province Electric Power Investment Group Co., Ltd.	5466
212	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
213	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
214	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
215	Gaoxin International Investment Co., Ltd	5335
216	GOHL Capital Limited	5352
217	GRAM International Limited	5587
218	Granda Century Limited	5152
219	Green Fortune Capital Limited	5288
220	Greenland Global Investment Limited	5768
221	Greenland Global Investment Limited	5769
222	Guang Ying Investment Limited	4492
223	Guangsha Holding Group Co., Ltd.	5456
224	Guangxi Communications Investment Group Corporation. Ltd	5921
225	Guangxi Financial Investment Group Co., Ltd.	5098
226	GUANGZHOU Silk Road Investment Limited	5323
227	Guotai Junan Financial Holdings (BVI) Limited	5754
228	Guotai Junan Holdings Limited	5853
229	Haichuan International Investment Co., Ltd.	4538
230	Haichuan International Investment Co., Ltd.	5460
231	Haitian (BVI) International Investment Development Limited	5061
232	Haitong International Finance 2014 Limited	5801
233	Haitong International Finance 2015 Limited	5867
234	Haitong International Finance Holdings 2015 Limited	5892
235	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
236	Hanrui Overseas Investment Co Ltd	5081
237	Hanrui Overseas Investment Co Ltd	5680
238	Harvest International Company	5024
239	Henson Finance Limited	4312
240	Hesteel Hong Kong Co., Limited	5417
241	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
242	Hong Kong Sukuk 2014 Limited	4223
243	Hong Kong Sukuk 2015 Limited	4226
244	Hong Kong Sukuk 2017 Limited	4233
245	Hong Seng Limited	4484
246	Hongkong Baorong Development Limited	5465
247	Hongkong Electric Finance Limited	4505
248	Hongkong International (Qingdao) Company Limited	5023
249	Hongkong International (Qingdao) Company Limited	5048
250	Hongkong International (Qingdao) Company Limited	5191
251	Hongkong International (Qingdao) Company Limited	5874
252	Hongkong International (Qingdao) Company Limited	5875
253	HongKong Xiangyu Investment Co., Limited	4409
254	Huafa Group 2018 I Company Limited	5150
255	Huai'an Traffic Holding Co., Ltd.	5784
256	Huaibei City Construction Investment Holding Group Company Limited	5474
257	Huaneng Hong Kong Capital Limited	5000
258	Huantaihu International investment Co., Ltd	5413
259	Huarong Finance Co., Ltd.	5774
260	Huasing International Holdings Co., Limited	4448
261	Huasing International Holdings Co., Limited	4449
262	Huatai International Finance I Limited	5812
263	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
264	Huaxing Investment Holding Company Limited	5363
265	Huayi Finance I Ltd.	5847
266	HUAYUAN PROPERTY CO., LTD	5922
267	Huayuan Property Co., Ltd.	5239
268	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
269	Hunan Xiangjiang New Area Development Group Co Ltd	5223
270	Huzhou City Investment Development Group Co., Ltd.	5074
271	Huzhou Communications Investment Group Co., Ltd.	85740
272	ICBCIL Finance Co. Limited	5884
273	IFC Development (Corporate Treasury) Limited	5715
274	IFC Development (Corporate Treasury) Limited	5756
275	IFC Development (Corporate Treasury) Limited	5757
276	IFC Development (Corporate Treasury) Limited	5949
277	Industrial and Commercial Bank of China (Asia) Limited	5686
278	Industrial and Commercial Bank of China (Asia) Limited	5976
279	Industrial and Commercial Bank of China (Macau) Limited	5797
280	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
281	Jiangxi Railway Investment Group Corporation	5770
282	JIC Zhixin Limited	5031
283	JIC Zhixin Limited	5032
284	Jinan Hi-tech Holding Group Co., Ltd.	5481
285	Jinan West City Investment and Development Group Co., Ltd.	4588
286	Jinshine International Co., Ltd.	4451
287	Jiuding Group Finance Co., Ltd	5246
288	Joy Treasure Assets Holdings Inc.	5901
289	Joy Treasure Assets Holdings Inc.	5903

290	Keen Idea Global Limited	5393
291	King Power Capital Ltd.	5822
292	King Power Capital Ltd.	5823
293	King Talent Management Limited	5026
294	Korean Reinsurance Company	5815
295	Kunzhi Limited	4464
296	Kunzhi Limited	5100
297	Lai Fung Bonds (2018) Limited	5087
298	Legend Fortune Limited	5128
299	Lingang Wings Inc	5149
300	LS Finance (2022) Limited	4571
301	LS Finance (2025) Limited	5535
302	LSD Bonds (2017) Limited	5270
303	Luso International Banking Limited	5078
304	Lvqi Holdings Co., Ltd.	4456
305	Malaysia Sovereign Sukuk Berhad	5894
306	Malaysia Sovereign Sukuk Berhad	5895
307	Malaysia Sukuk Global Berhad	5633
308	Malaysia Sukuk Global Berhad	5634
309	MCC Holding (Hong Kong) Corporation Limited	4483
310	MCC Holding (Hong Kong) Corporation Limited	5210
311	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
312	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
313	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
314	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
315	Minmetals Land Capital Limited	5933
316	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
317	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
318	Nanyang Commercial Bank, Limited	5214
319	New Lion Bridge Company Limited	5290
320	New Rose Investments Limited	5344
321	Nimble City Limited	5144
322	Nuoxi Capital Limited	4401
323	Nuoxi Capital Limited	4402
324	Nuoxi Capital Limited	5436
325	Nuoxi Capital Limited	5484
326	Nuoxi Capital Limited	5704
327	NWD Finance (BVI) Limited	4561
328	NWD Finance (BVI) Limited	5856
329	Oceanwide Holdings International 2015 Co., Limited	5557
330	Oceanwide Holdings International 2017 Co., Limited	5035
331	Oceanwide Holdings International 2017 Co., Limited	5251
332	Oceanwide Holdings International Development III Co., Ltd.	5196
333	Oceanwide Real Estate International Holding Company Limited	5798
334	Orient Huizhi Limited	5041
335	Oriental Capital Company Limited	5305
336	Oversea-Chinese Banking Corporation Limited	85912
337	OVPH Limited	5614
338	PB Issuer (No.4) Limited	5525
339	Peixian State-owned Assets Management Company Limited	5336
340	Petron Corporation	5905
341	PETRONAS Global Sukuk Ltd.	5882
342	PHBS Limited	4325
343	Phoenix Charm International Investment Limited	5332
344	Phoenix Lead Limited	5262
345	Poly Real Estate Finance Ltd	4417
346	Poly Real Estate Finance Ltd	5164
347	Poly Real Estate Finance Ltd	5916
348	Poly Real Estate Finance Ltd.	5730
349	Powerchina Real Estate Group Ltd.	5471
350	Press Metal (Labuan) Ltd.	5299
351	Prosperous Ray Limited	5994
352	Proven Honour Capital Limited	5516
353	Proven Honour Capital Limited	5641
354	PTT Public Company Limited	2527
355	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
356	Qinghai Provincial Investment Group Co., Ltd.	4450
357	Qinghai Provincial Investment Group Co., Ltd.	5380
358	Radiant Access Limited	5205
359	Rail Transit International Investment Company Limited	5643
360	Rail Transit International Investment Company Limited	5644
361	Reward International Investment Limited	5360
362	RKI Overseas Finance 2016 (A) Limited	5695
363	RKI Overseas Finance 2016 (B) Limited	4309
364	Rongshi International Finance Limited	5448
365	Rongshi International Finance Limited	5449
366	Rosy Delta Investments Limited	5097
367	SCIG International Financial Limited	5174
368	SDG FINANCE I LIMITED	5192
369	SDSC Global Finance Limited	5303
370	SDSC International Finance Limited	5827
371	SF Holding Investment Limited	5130

372	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
373	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
374	Shandong Commercial Group Co., Ltd.	5512
375	Shandong Energy Australia Pty Ltd	5248
376	Shandong Iron and Steel Xinheng International Company Limited	4453
377	Shandong Iron and Steel Xinheng International Company Limited	5063
378	Shandong Iron and Steel Xinheng International Company Limited	5470
379	Shandong Iron and Steel Xinheng International Company Limited	5601
380	Shanghai Commercial Bank Limited	5043
381	Shanghai Commercial Bank Limited	5530
382	Shanghai Electric Power Finance Limited	5558
383	Shanghai Port Group (BVI) Holding Co., Limited	5255
384	Shanghai Port Group (BVI) Holding Co., Limited	5256
385	Shangrao Investment Holdings International Company Limited	4429
386	Shanghai (Hong Kong) International Investments Limited	5435
387	Shaoxing City Investment Group Limited	5489
388	Shine Power International Limited	5777
389	Si Fa Investment Limited	5490
390	Sichuan Communications Overseas Development Co., Ltd.	5399
391	SIHC International Capital Ltd	5176
392	SIHC International Capital Ltd	5177
393	Silver Sparkle Limited	5697
394	Sino Trendy Investment Limited	4407
395	Sinochem Global Capital Co., Ltd.	5935
396	Sinochem Overseas Capital Company Limited	4501
397	Sinochem Overseas Capital Company Limited	4502
398	Sino-Ocean Land Treasure Finance I Limited	5781
399	Sino-Ocean Land Treasure Finance I Limited	5782
400	Sino-Ocean Land Treasure Finance II Limited	5868
401	Sino-Ocean Land Treasure Finance II Limited	5869
402	Sino-Ocean Land Treasure III Limited	5276
403	Sino-Ocean Land Treasure IV Limited	5131
404	Sino-Ocean Land Treasure IV Limited	5712
405	Skyland Mining (BVI) Limited	5228
406	Skysea International Capital Management Limited	4529
407	SmarTone Finance Limited	5917
408	Societe Generale	5947
409	Societe Generale	5959
410	Societe Generale	5960
411	Societe Generale	5961
412	Societe Generale	5962
413	SPIC 2016 US dollar Bond Company Limited	5324
414	SPIC 2016 US dollar Bond Company Limited	5325
415	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
416	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
417	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
418	State Grid Overseas Investment (2013) Limited	5954
419	State Grid Overseas Investment (2013) Limited	5955
420	State Grid Overseas Investment (2014) Limited	5741
421	State Grid Overseas Investment (2014) Limited	5742
422	State Grid Overseas Investment (2014) Limited	5743
423	State Grid Overseas Investment (2016) Limited	5649
424	State Grid Overseas Investment (2016) Limited	5650
425	State Grid Overseas Investment (2016) Limited	5651
426	State Grid Overseas Investment (2016) Limited	5652
427	Strategic International Group Limited	5241
428	Sunny Express Enterprises Corp.	5906
429	Sunshine Life Insurance Corporation Limited	5627
430	Sunshine Life Insurance Corporation Limited	5628
431	Sunshine Life Insurance Corporation Limited	5629
432	Suqian Economic Development (BVI) Co., Limited	5302
433	Taikang Insurance Group Inc.	5349
434	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
435	The Hongkong and Shanghai Banking Corporation Limited	4323
436	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
437	Tianjin Lingang Investment Holding Co., Ltd.	5148
438	Tianjin Real Estate Group Co., Ltd	5286
439	Tianqi Finco Co., Ltd	5036
440	Tongfang Aqua 2017 Limited	4454
441	Top Luxury Investment Limited	5598
442	Top Wise Excellence Enterprise Co., Ltd.	5402
443	Top Yield Ventures Limited	5102
444	Towngas (Finance) Limited	5749
445	Towngas (Finance) Limited	6018
446	Trade Horizon Global Limited	5133
447	Treasure Generator Limited	5709
448	Triceratops Capital Co., Limited	4408
449	Tsinghua Unic Limited	4413
450	Tsinghua Unic Limited	4414
451	Tsinghua Unic Limited	4415
452	Tuspark Forward Ltd.	5143
453	Tuspark Forward Ltd.	5857



454	Tuspark Forward Ltd.	5735
455	TVB Finance Limited	4577
456	Unigroup International Holdings Ltd.	5597
457	Union Life Insurance Co., Ltd.	4322
458	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
459	Vertex Capital Investment Limited	4471
460	Wakala Global Sukuk Berhad	4519
461	Wanda Properties Global Co. Limited	5835
462	Wanda Properties International Co. Limited	6023
463	Want Want China Finance Limited	5446
464	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
465	Wuhan Financial Holdings (Group) Co., Ltd.	5498
466	Wuhan Metro Group Co., Ltd.	5467
467	Wuhan Metro Group Co., Ltd.	5939
468	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
469	Wuhan State-owned Assets Management Limited Company	5070
470	Xiangxing Overseas Investment Co., Ltd.	5329
471	Xiangyu Investment (BVI) Co., Ltd.	5683
472	Xihui Haiwai I Investment Holdings Co., Limited	5679
473	Xingang International Holding Limited	5330
474	Xingsheng (BVI) Company Limited	5172
475	Xinhu (BVI) 2018 Holding Company Limited	5497
476	Xinhu (BVI) 2018 Holding Company Limited	5889
477	Xinhu (BVI) Holding Company Limited	5382
478	Xinjiang Financial Investment Co., Ltd.	5907
479	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
480	Xinxing Industry Investment Company Limited	5065
481	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
482	Yancoal International Resources Development Co., Limited	4552
483	Yancoal International Resources Development Co., Limited	5424
484	Yancoal International Resources Development Co., Ltd	5461
485	Yancoal International Trading Co., Limited	5753
486	Yango (Cayman) Investment Limited	4470
487	Yango (Cayman) Investment Limited	5414
488	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
489	Yankuang Group (Cayman) Limited	5044
490	Yankuang Group (Cayman) Limited	5705
491	Yichang High-Tech Investment Development Co., Ltd.	5495
492	Yihua Overseas Investment Ltd	5293
493	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
494	Yingde Gases Investment Limited	5793
495	YONGDA Investment Limited	5543
496	Yunnan Energy Investment Finance Company Ltd.	5632
497	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
498	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
499	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
500	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
501	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
502	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
503	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
504	Zhaohai Investment (BVI) Limited	5547
505	Zhaojin Mining International Finance Limited	5851
506	Zhejiang Baron (BVI) Company Limited	5146
507	Zhengzhou Metro Group Co., Ltd.	5496
508	Zhejiang Cultural Tourism Industry Group Co., Ltd.	5319
509	Zhongtai International Bond 2017 (BVI) Company Limited	5263
510	Zhongtai International Finance (BVI) Company Limited	5919
511	Zhongyuan Sincere Investment Co. Ltd.	5095
512	Zhoushan City Investment Group Corporation Limited	5487
513	Zhuji Development Limited	5480
514	Zhuzhou City Construction Development Group Co., Ltd.	5710
515	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