

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

Updated as at  
30 Sep 2018

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

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

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

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

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

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

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

- Note 1: Exemptions for these corporations are granted for periods of 12 months (or less) and exempt structured products issued and listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.
- Note 2: The exemption granted to Citigroup Global Markets Holdings Inc. expired on 14 June 2015. Previous exemptions granted to Citigroup Global Markets Holdings Inc. continue to apply with respect to all structured products issued by Citigroup Global Markets Holdings Inc. and listed on The Stock Exchange of Hong Kong Limited between (i) 21 December 2007 and 20 December 2008 and (ii) 15 June 2009 and 14 June 2015.
- Note 3: The exemption granted to Daiwa Capital Markets Hong Kong Limited expired on 19 July 2016. Previous exemptions granted to Daiwa Capital Markets Hong Kong Limited continue to apply with respect to all structured products issued by Daiwa Capital Markets Hong Kong Limited and listed on The Stock Exchange of Hong Kong Limited between 20 July 2010 and 19 July 2016.
- Note 4: Previous exemption granted to Haitong International Securities Company Limited expired on 6 March 2017 but continues to apply with respect to all structured products issued by Haitong International Securities Company Limited and listed on The Stock Exchange of Hong Kong Limited between 7 March 2016 and 6 March 2017.
- Note 5: The exemption granted to Nomura International plc expired on 9 December 2015. Previous exemptions granted to Nomura International plc continue to apply with respect to all structured products issued by Nomura International plc and listed on The Stock Exchange of Hong Kong Limited between 10 December 2009 and 9 December 2015.
- Note 6: The exemption granted to SGA Société Générale Acceptance N.V. expired on 20 December 2016. Previous exemptions granted to SGA Société Générale Acceptance N.V. continue to apply with respect to all structured products issued by SGA Société Générale Acceptance N.V. and listed on The Stock Exchange of Hong Kong Limited between 21 December 2007 and 20 December 2016.
- Note 7: The exemption granted to Standard Chartered Bank expired on 27 June 2016. Previous exemptions granted to Standard Chartered Bank continue to apply with respect to all structured products issued by Standard Chartered Bank and listed on The Stock Exchange of Hong Kong Limited between 28 June 2010 and 27 June 2016.

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

Name	Programme
1 AirAsia Global Notes Limited	US\$1,000,000,000 Multicurrency Medium Term Note Programme
2 Amipeace Ltd.	HK\$10,000,000,000 Medium Term Note Programme
3 AMTD Group Company Limited	U.S.\$500,000,000 Medium Term Note Programme
4 AVIC International Leasing Co., Ltd.	US\$500,000,000 Medium Term Note Programme
5 AVIC International Leasing Co., Ltd.	U.S.\$500,000,000 Medium Term Note Programme
6 Azure Nova International Finance Limited	U.S.\$10,000,000,000 Medium Term Note Programme
7 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
8 Azure Orbit IV International Finance Limited	U.S.\$7,000,000,000 Medium Term Note Programme
9 Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programme
10 Beijing Capital Polaris Investment Co. Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
11 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme

12	CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
13	Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
14	Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
15	CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
16	CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
17	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
18	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
19	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
20	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
21	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
22	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
23	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
24	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
25	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
26	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
27	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
28	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
29	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
30	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
31	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
32	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
33	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
34	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
35	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
36	DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited	U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme
37	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
38	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
39	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
40	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
41	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
42	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
43	HLP Finance Limited	US\$3 billion Medium Term Note Programme
44	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
45	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
46	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
47	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
48	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
49	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
50	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
51	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
52	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
53	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
54	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
55	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
56	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
57	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
58	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
59	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
60	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
61	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
62	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
63	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
64	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
65	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
66	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
67	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
68	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
69	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
70	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
71	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
72	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
73	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
74	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
75	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
76	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
77	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
78	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
79	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
80	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
81	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
82	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
83	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
84	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
85	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
86	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd., Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$7 billion Medium Term Note Programme
87	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
88	Wheelock Finance (BVI) Limited	US\$5 billion 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	85737
4 Airvessel Finance Holding Limited	5789
5 Alibaba Group Holding Limited	5842
6 Alibaba Group Holding Limited	5843
7 Alibaba Group Holding Limited	5844
8 Alibaba Group Holding Limited	5845
9 Amber Circle Funding Limited	4586
10 Amber Treasure Ventures Limited	5209
11 Amber Treasure Ventures Limited	5243
12 Anhui Transportation Holding Group (H.K.) Limited	5158
13 Asia View Limited	5788
14 AVIC International Finance & Investment Limited	4497
15 AVIC International Finance & Investment Limited	5966
16 Axiata SPV1 (Labuan) Limited	4320
17 Azure Orbit III International Finance Limited	5620
18 Azure Orbit III International Finance Limited	5621
19 Azure Orbit International Finance Limited	5909
20 Bank of China (Hong Kong) Limited	4316
21 Baosteel Financing 2015 Pty Ltd	5866
22 Baosteel Hong Kong Investment Company Limited	5584
23 Bao-Trans Enterprises Limited	6004
24 BCEG (HongKong) Company Limited	5145
25 Beijing Enterprises Water Capital Management Limited	4480
26 Beijing Gas Singapore Capital Corporation	5213
27 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
28 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
29 Blue Skyview Company Limited	5364
30 Bluestar Finance Holdings Limited	4550
31 Bluestar Finance Holdings Limited	4556
32 Bluestar Finance Holdings Limited	5599
33 Boom Up Investments Limited	5544
34 Bright Galaxy International Limited	5927
35 Cable and Wireless International Finance B.V.	1077
36 Cable and Wireless International Finance B.V.	1078
37 Caiyun International Investment Limited	5682
38 CALC Bond 1 Limited	5642
39 CALC Bond 2 Limited	4300
40 CALC Bond 3 Limited	5390
41 CALC Bond 3 Limited	5391
42 CCB Life Insurance Company Limited	5437
43 CCBL (Cayman) Corporation Limited	5548
44 CCCI Treasure Limited	5893
45 CCTI 2017 Ltd	5258
46 CDBL Funding 1	5849
47 CDBL Funding 1	5850
48 Central Plaza Development Ltd.	5919
49 CGNPC International Limited	5058
50 CGNPC International Limited	5059
51 CGNPC International Limited	5153
52 CGNPC International Limited	5154
53 CGNPC International Limited	5519
54 Chalco Hong Kong Investment Company Limited	5151
55 Chalco Hong Kong Investment Company Limited	5727
56 Chalco Hong Kong Investment Company Limited	5920
57 Chalco Hong Kong Investment Company Limited	5985
58 Chalieco Hong Kong Corporation Limited	5321
59 Chalieco Hong Kong Corporation Limited	5702
60 Chang Development International Limited	5345
61 Changde Urban Construction and Investment Group Co., Ltd.	5328
62 Changsha Pilot Investment Holdings Co., Ltd.	5315
63 Charter Style International Limited	85993
64 Chengdu Communications Investment Group Corporation Limited	5062
65 Chengdu Xingcheng Investment Group Co., Ltd.	5314
66 Cheung Kong Bond Securities (02) Limited	4559
67 Cheung Kong Bond Securities (03) Limited	4595
68 Cheung Kong Infrastructure Finance (BVI) Limited	5060
69 China Cinda Finance (2014) Limited	5747
70 China Cinda Finance (2014) Limited	5748
71 China CITIC Bank International Limited	4594
72 China CITIC Bank International Limited	5728
73 China CITIC Bank International Limited	5992
74 China Clean Energy Development Limited	5568
75 China Development Bank Corporation	85904
76 China Development Bank Corporation	85905
77 China Development Bank Corporation	85933
78 China Development Bank Corporation	85934
79 China Energy Reserve and Chemicals Group Holding Limited	5639

80	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
81	China Huadian Overseas Development 2018 Limited	4491
82	China Life Insurance (Overseas) Co., Ltd	5250
83	China Merchants Finance Company Limited	4548
84	China Merchants Finance Company Limited	5554
85	China Merchants Finance Company Limited	5555
86	China Minmetals Corporation	4442
87	China Minmetals Corporation	5009
88	China Oceanwide International Financial Management Co., Ltd	5623
89	China Overseas Finance (Cayman) II Limited	4503
90	China Overseas Finance (Cayman) III Limited	5987
91	China Overseas Finance (Cayman) III Limited	5988
92	China Overseas Finance (Cayman) III Limited	5989
93	China Overseas Finance (Cayman) V Limited	4579
94	China Overseas Finance (Cayman) V Limited	4580
95	China Overseas Finance (Cayman) VI Limited	5745
96	China Overseas Finance (Cayman) VI Limited	5746
97	China Overseas Finance (Cayman) VI Limited	5760
98	China Overseas Finance (Cayman) VII Limited	4475
99	China Overseas Finance (Cayman) VII Limited	4476
100	China Overseas Finance Investment (Cayman) V Limited	5600
101	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
102	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
103	China Overseas Land International (Cayman) Limited	5541
104	China Railway Resources Huitung Limited	5904
105	China Railway XunJie Co., Limited	5244
106	China Railway XunJie Co., Limited	5692
107	China Resources Power East Foundation Co., Ltd.	4516
108	China Shenhua Overseas Capital Company Limited	5862
109	China Shenhua Overseas Capital Company Limited	5863
110	China Shipping Overseas Finance 2013 Limited	6020
111	China Southern Power Grid International Finance (BVI) Co., Limited	4583
112	China Southern Power Grid International Finance (BVI) Co., Limited	4598
113	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
114	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
115	China State Construction Finance (Cayman) II Limited	5037
116	China State Construction Finance (Cayman) II Limited	5038
117	China Taiping Capital Limited	4582
118	China Taiping New Horizon Limited	5984
119	China Uranium Development Company Limited	5971
120	China Yangtze Power International (BVI) 1 Limited	5300
121	China Yangtze Power International (BVI) 2 Limited	5301
122	Chinalco Capital Holdings Limited	4301
123	Chinalco Capital Holdings Limited	5438
124	Chinalco Finance Holdings Limited	5854
125	Chiyu Banking Corporation Limited	5034
126	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
127	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
128	Chouzhou International Investment Limited	5056
129	CITIC Telecom International Finance Limited	5908
130	CLP Power HK Finance Ltd.	5740
131	CLP Power Hong Kong Financing Limited	4306
132	CLP Power Hong Kong Financing Limited	4318
133	CMHI Finance (BVI) Co., Ltd	5134
134	CMHI Finance (BVI) Co., Ltd	5135
135	CNI Capital Limited	85725
136	CNMC International Capitals Company Limited	5608
137	CNOOC Curtis Funding No. 1 Pty Ltd	5972
138	CNOOC Curtis Funding No. 1 Pty Ltd	5973
139	CNOOC Finance (2003) Limited	2568
140	CNOOC Finance (2011) Limited	4506
141	CNOOC Finance (2011) Limited	4507
142	CNOOC Finance (2012) Limited	4546
143	CNOOC Finance (2012) Limited	4547
144	CNOOC Finance (2013) Limited	5941
145	CNOOC Finance (2013) Limited	5942
146	CNOOC Finance (2015) Australia Pty Ltd	5506
147	CNOOC Finance (2015) Australia Pty Ltd	5507
148	CNOOC Finance (2015) U.S.A. LLC	4478
149	CNOOC Finance (2015) U.S.A. LLC	4479
150	CNOOC Finance (2015) U.S.A. LLC	5508
151	CNOOC Nexen Finance (2014) ULC	5738
152	CNOOC Nexen Finance (2014) ULC	5739
153	CNPC (HK) Overseas Capital Ltd.	4513
154	CNPC (HK) Overseas Capital Ltd.	4514
155	CNPC General Capital Limited	4544
156	CNPC General Capital Limited	5750
157	CNPC General Capital Limited	5923
158	Coastal Emerald Limited	4438
159	COSCO Pacific Finance (2013) Company Limited	5900
160	COSL Finance (BVI) Limited	4563
161	Cosmos Boom Investment Limited	5534
162	CRCC Yupeng Limited	5778
163	CRCC Yuxiang Limited	5945
164	Crotona Assets Limited	5724
165	CSCEC Finance (Cayman) I Limited	5574

166	CSCEC Finance (Cayman) II Limited	5232
167	CSCEC Finance (Cayman) II Limited	5233
168	CSCEC Finance (Cayman) II Limited	5668
169	CSCEC Finance (Cayman) II Limited	5669
170	CSCI Finance (2015) Co. Ltd	5564
171	CSSC Capital One Limited	5181
172	CSSC Capital Two Limited	5182
173	Dah Sing Bank, Limited	5316
174	Dah Sing Bank, Limited	6021
175	Dangdai International Investments Ltd	5027
176	Dianjian Haixing Limited	5816
177	Double Rosy Limited	5829
178	DYNAMIC MISSION INVESTMENTS LIMITED	5386
179	Ease Trade Global Limited	4458
180	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
181	Eastern Creation Investment Holdings Ltd.	5714
182	eHi Car Services Limited	5594
183	Excel Capital Global Limited	4496
184	Expand Lead Limited	5165
185	Fita International Limited	4315
186	FPC Capital Limited	5107
187	FPC Treasury Limited	5924
188	Franshion Brilliant Limited	5030
189	Franshion Brilliant Limited	5229
190	Franshion Brilliant Limited	5347
191	Franshion Brilliant Limited	5385
192	Franshion Brilliant Limited	5713
193	Franshion Brilliant Limited	5977
194	Franshion Brilliant Limited	85732
195	Fujian Zhanglong Group Co., Ltd.	5331
196	Full Dragon (Hong Kong) International Development Limited	4428
197	FWD Group Limited	5019
198	FWD Group Limited	5221
199	FWD Limited	4416
200	FWD Limited	5351
201	FWD Limited	5803
202	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
203	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
204	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
205	Gaoxin International Investment Co., Ltd	5335
206	GOHL Capital Limited	5352
207	GRAM International Limited	5587
208	Granda Century Limited	5152
209	Green Fortune Capital Limited	5288
210	Greenland Global Investment Limited	5768
211	Greenland Global Investment Limited	5769
212	Guang Ying Investment Limited	4492
213	Guangxi Communications Investment Group Corporation. Ltd	5921
214	Guangxi Financial Investment Group Co., Ltd.	5098
215	GUANGZHOU Silk Road Investment Limited	5323
216	Guotai Junan Financial Holdings (BVI) Limited	5754
217	Haichuan International Investment Co., Ltd.	4538
218	Haitian (BVI) International Investment Development Limited	5061
219	Haitong International Finance 2014 Limited	5801
220	Haitong International Finance 2015 Limited	5867
221	Haitong International Finance Holdings 2015 Limited	5892
222	Hanrui Overseas Investment Co Ltd	5081
223	Hanrui Overseas Investment Co Ltd	5680
224	Harvest International Company	5024
225	Henson Finance Limited	4312
226	Hesteel Hong Kong Co., Limited	5417
227	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
228	Hong Kong Sukuk 2014 Limited	4223
229	Hong Kong Sukuk 2015 Limited	4226
230	Hong Kong Sukuk 2017 Limited	4233
231	Hong Seng Limited	4484
232	Hongkong Baorong Development Limited	5595
233	Hongkong Electric Finance Limited	4505
234	Hongkong International (Qingdao) Company Limited	5023
235	Hongkong International (Qingdao) Company Limited	5048
236	Hongkong International (Qingdao) Company Limited	5874
237	Hongkong International (Qingdao) Company Limited	5875
238	HongKong Xiangyu Investment Co., Limited	4409
239	Huafa Group 2018 I Company Limited	5150
240	Huai'an Traffic Holding Co., Ltd.	5784
241	Huaneng Hong Kong Capital Limited	5000
242	Huantaihu International investment Co., Ltd	5413
243	Huarong Finance Co., Ltd.	5774
244	Huarui Investment Holding Company Limited	85721
245	Huasing International Holdings Co., Limited	4448
246	Huasing International Holdings Co., Limited	4449
247	Huatai International Finance I Limited	5812
248	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
249	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
250	Huaxing Investment Holding Company Limited	5363
251	Huayi Finance I Ltd.	5847
252	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431

253	Huzhou City Investment Development Group Co., Ltd.	5074
254	ICBCIL Finance Co. Limited	5884
255	IFC Development (Corporate Treasury) Limited	5715
256	IFC Development (Corporate Treasury) Limited	5756
257	IFC Development (Corporate Treasury) Limited	5757
258	IFC Development (Corporate Treasury) Limited	5949
259	Industrial and Commercial Bank of China (Asia) Limited	5686
260	Industrial and Commercial Bank of China (Asia) Limited	5976
261	Industrial and Commercial Bank of China (Macau) Limited	5797
262	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
263	JIC Zhixin Limited	5031
264	JIC Zhixin Limited	5032
265	Jinan West City Investment and Development Group Co., Ltd.	4588
266	Jinshine International Co., Ltd.	4451
267	Jiuding Group Finance Co., Ltd	5246
268	Keen Idea Global Limited	5393
269	King Power Capital Ltd.	5822
270	King Power Capital Ltd.	5823
271	King Talent Management Limited	5026
272	Korean Reinsurance Company	5815
273	Kunzhi Limited	4464
274	Kunzhi Limited	5100
275	Lai Fung Bonds (2018) Limited	5087
276	Legend Fortune Limited	5128
277	Lingang Wings Inc	5149
278	Logo Star Limited	5996
279	LS Finance (2022) Limited	4571
280	LS Finance (2025) Limited	5535
281	LSD Bonds (2017) Limited	5270
282	Luso International Banking Limited	5078
283	Lvqi Holdings Co., Ltd.	4456
284	Malaysia Sovereign Sukuk Berhad	5894
285	Malaysia Sovereign Sukuk Berhad	5895
286	Malaysia Sukuk Global Berhad	5633
287	Malaysia Sukuk Global Berhad	5634
288	MCC Holding (Hong Kong) Corporation Limited	4483
289	MCC Holding (Hong Kong) Corporation Limited	5210
290	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
291	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
292	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
293	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
294	Minmetals Land Capital Limited	5933
295	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
296	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
297	Nanyang Commercial Bank, Limited	5214
298	New Lion Bridge Company Limited	5290
299	New Rose Investments Limited	5344
300	Nimble City Limited	5144
301	Nuoxi Capital Limited	4401
302	Nuoxi Capital Limited	4402
303	Nuoxi Capital Limited	5436
304	NWD Finance (BVI) Limited	4561
305	Oceanwide Holdings International 2015 Co., Limited	5557
306	Oceanwide Holdings International 2017 Co., Limited	5035
307	Oceanwide Holdings International 2017 Co., Limited	5251
308	Oceanwide Real Estate International Holding Company Limited	5798
309	Orient Huizhi Limited	5041
310	Oriental Capital Company Limited	5305
311	Oversea-Chinese Banking Corporation Limited	85912
312	OVPH Limited	5614
313	PB Issuer (No.4) Limited	5525
314	Peixian State-owned Assets Management Company Limited	5336
315	Petron Corporation	5905
316	PETRONAS Global Sukuk Ltd.	5882
317	PHBS Limited	4325
318	Phoenix Charm International Investment Limited	5332
319	Phoenix Lead Limited	5262
320	Poly Real Estate Finance Ltd	4417
321	Poly Real Estate Finance Ltd	5164
322	Poly Real Estate Finance Ltd.	5730
323	Press Metal (Labuan) Ltd.	5299
324	Profit Fast Limited	5578
325	Prosperous Ray Limited	5993
326	Prosperous Ray Limited	5994
327	Proven Honour Capital Limited	5516
328	Proven Honour Capital Limited	5641
329	PTT Public Company Limited	2527
330	Pulai Capital Limited	4540
331	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
332	Qinghai Province General Aviation Group Co., Ltd.	5064
333	Qinghai Provincial Investment Group Co., Ltd.	4450
334	Qinghai Provincial Investment Group Co., Ltd.	5380
335	Radiant Access Limited	5205
336	Rail Transit International Investment Company Limited	5643
337	Rail Transit International Investment Company Limited	5644
338	Reward International Investment Limited	5360
339	RKI Overseas Finance 2016 (A) Limited	5695
340	RKI Overseas Finance 2016 (B) Limited	4309

341	Rongshi International Finance Limited	5448
342	Rongshi International Finance Limited	5449
343	Rosy Delta Investments Limited	5097
344	SCIG International Financial Limited	5174
345	SDSC Global Finance Limited	5303
346	SDSC International Finance Limited	5827
347	SF Holding Investment Limited	5130
348	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
349	Shandong Energy Australia Pty Ltd	5248
350	Shandong Gold International Mining Investment Holding Limited	5572
351	Shandong Iron and Steel Xinheng International Company Limited	4453
352	Shandong Iron and Steel Xinheng International Company Limited	5063
353	Shandong Iron and Steel Xinheng International Company Limited	5601
354	Shanghai Commercial Bank Limited	5043
355	Shanghai Electric Power Finance Limited	5558
356	Shanghai Port Group (BVI) Holding Co., Limited	5255
357	Shanghai Port Group (BVI) Holding Co., Limited	5256
358	Shangrao Investment Holdings International Company Limited	4429
359	Shanghai (Hong Kong) International Investments Limited	5435
360	Shine Power International Limited	5777
361	SIHC International Capital Ltd	5176
362	SIHC International Capital Ltd	5177
363	Silver Sparkle Limited	5697
364	Sino Trendy Investment Limited	4407
365	Sinochem Global Capital Co., Ltd.	5935
366	Sinochem Overseas Capital Company Limited	4501
367	Sinochem Overseas Capital Company Limited	4502
368	Sino-Ocean Land Treasure Finance I Limited	5781
369	Sino-Ocean Land Treasure Finance I Limited	5782
370	Sino-Ocean Land Treasure Finance II Limited	5868
371	Sino-Ocean Land Treasure Finance II Limited	5869
372	Sino-Ocean Land Treasure III Limited	5276
373	Sino-Ocean Land Treasure IV Limited	5131
374	Skyland Mining (BVI) Limited	5228
375	Skysea International Capital Management Limited	4529
376	SmarTone Finance Limited	5917
377	Societe Generale	5947
378	Societe Generale	5959
379	Societe Generale	5960
380	Societe Generale	5961
381	Societe Generale	5962
382	SPIC 2016 US dollar Bond Company Limited	5324
383	SPIC 2016 US dollar Bond Company Limited	5325
384	State Grid Overseas Investment (2013) Limited	5954
385	State Grid Overseas Investment (2013) Limited	5955
386	State Grid Overseas Investment (2014) Limited	5741
387	State Grid Overseas Investment (2014) Limited	5742
388	State Grid Overseas Investment (2014) Limited	5743
389	State Grid Overseas Investment (2016) Limited	5649
390	State Grid Overseas Investment (2016) Limited	5650
391	State Grid Overseas Investment (2016) Limited	5651
392	State Grid Overseas Investment (2016) Limited	5652
393	Strategic International Group Limited	5241
394	Sunshine Life Insurance Corporation Limited	5627
395	Sunshine Life Insurance Corporation Limited	5628
396	Sunshine Life Insurance Corporation Limited	5629
397	Suqian Economic Development (BVI) Co., Limited	5302
398	Taikang Insurance Group Inc.	5349
399	The Hongkong and Shanghai Banking Corporation Limited	4323
400	Tianfang Jincheng (BVI) Limited	4403
401	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
402	Tianjin Lingang Investment Holding Co., Ltd.	5148
403	Tianjin Real Estate Group Co., Ltd	5286
404	Tianqi Finco Co., Ltd	5036
405	Tongfang Aqua 2017 Limited	4454
406	Top Luxury Investment Limited	5598
407	Top Wise Excellence Enterprise Co., Ltd.	5402
408	Top Yield Ventures Limited	5102
409	Towngas (Finance) Limited	6018
410	Trade Horizon Global Limited	5133
411	Treasure Generator Limited	5709
412	Triceratops Capital Co., Limited	4408
413	Tsinghua Unic Limited	4413
414	Tsinghua Unic Limited	4414
415	Tsinghua Unic Limited	4415
416	Tuspark Forward Ltd.	5143
417	Tuspark Forward Ltd.	5581
418	Tuspark Forward Ltd.	5735
419	TVB Finance Limited	4577
420	Unigroup International Holdings Ltd.	5596
421	Unigroup International Holdings Ltd.	5597
422	Union Life Insurance Co., Ltd.	4322
423	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
424	Vertex Capital Investment Limited	4471
425	Wakala Global Sukuk Berhad	4519
426	Wanda Properties International Co. Limited	6023
427	Wanda Properties Overseas Limited	5997
428	Want Want China Finance Limited	5446
429	Wise Source International Limited	5309
430	Wuhan Metro Group Co., Ltd.	5939
431	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139

432	Wuhan State-owned Assets Management Limited Company	5070
433	Xiangxing Overseas Investment Co., Ltd.	5329
434	Xiangyu Investment (BVI) Co., Ltd.	5683
435	Xihui Haiwai I Investment Holdings Co., Limited	5679
436	Xingang International Holding Limited	5330
437	Xingsheng (BVI) Company Limited	5172
438	Xinhu (BVI) Holding Company Limited	5382
439	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
440	Xinxing Industry Investment Company Limited	5065
441	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
442	Yancoal International Resources Development Co., Limited	4552
443	Yancoal International Resources Development Co., Limited	5424
444	Yancoal International Trading Co., Limited	5753
445	Yango (Cayman) Investment Limited	4470
446	Yango (Cayman) Investment Limited	5414
447	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
448	Yankuang Group (Cayman) Limited	5044
449	Yihua Overseas Investment Ltd	5293
450	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
451	Yingde Gases Investment Limited	5793
452	YONGDA Investment Limited	5543
453	Yunnan Energy Investment Finance Company Ltd.	5632
454	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
455	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
456	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
457	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
458	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
459	Zhaohai Investment (BVI) Limited	5547
460	Zhejiang Baron (BVI) Company Limited	5146
461	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
462	ZHIYUAN Group (BVI) Co., Ltd.	5603
463	Zhongtai International Bond 2017 (BVI) Company Limited	5263
464	Zhongtai International Finance (BVI) Company Limited	4418
465	Zhongyuan Sincere Investment Co. Ltd.	5095
466	Zhuzhou City Construction Development Group Co., Ltd.	5710
467	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