

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

Updated as at  
30 September 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 Morgan Stanley Asia Products Limited	22 July 2019	21 July 2020
10 SG Issuer	1 April 2016	31 March 2020
11 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2019
12 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 became listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.

Note 2: A 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 became 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. Structured products that were issued by these corporations during the relevant periods had expired.

(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 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 (HK) 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 Note 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	China Overseas Finance (Cayman) VIII Limited	US\$2.5 billion medium note programme
33	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
34	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
35	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
36	CMB International Leasing Management Limited	US\$20,000,000,000 Medium Term Note Programme
37	CMB Wing Lung Bank Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
38	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
39	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
40	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
41	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
42	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
43	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
44	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
45	FEC Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
46	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
47	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
48	GLP China Holdings Limited	HK\$20,000,000,000 Medium Term Note Programme
49	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
50	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
51	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
52	HKCG (Finance) Limited	US\$3,000,000,000 Medium Term Note Programme
53	HLP Finance Limited	US\$3 billion Medium Term Note Programme
54	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
55	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
56	Horsepower Finance Limited	US \$1,200,000,000 Medium Term Note Programme
57	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
58	Huarong Finance 2019 Co., Ltd.	US\$2,900,000,000 Medium Term Note Programme
59	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
60	Hysan (MTN) Limited	US\$2,500,000,000 Medium Term Note Programme
61	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
62	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
63	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
64	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
65	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
66	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
67	Kunming Traffic Investment Co., Ltd.	US\$2,000,000,000 Medium Term Note Programme
68	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
69	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
70	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
71	New World China Land Limited	US\$2,000,000,000 Medium Term Note Programme
72	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
73	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
74	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
75	Power Assets Finance Limited	U.S.\$2,000,000,000 Medium Term Note Programme
76	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
77	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
78	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
79	Rongshi International Finance Limited	US\$3,000,000,000 Medium Term Note Programme
80	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
81	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
82	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
83	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
84	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
85	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
86	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
87	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
88	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
89	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
90	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
91	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
92	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
93	Swire Pacific MTN Financing (HK) Limited	US\$5,000,000,000 Medium Term Note Programme
94	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
95	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
96	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
97	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
98	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
99	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme

100	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
101	Vanke Real Estate (Hong Kong) Company Limited	US\$9,500,000,000 Medium Term Note Programme
102	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
103	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
104	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
105	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
106	Wuhan Metro Group Co., Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
107	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme
108	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	Alibaba Group Holding Limited	5842
8	Alibaba Group Holding Limited	5843
9	Alibaba Group Holding Limited	5844
10	Alibaba Group Holding Limited	5845
11	Amber Circle Funding Limited	4586
12	Amber Treasure Ventures Limited	5209
13	Amber Treasure Ventures Limited	5243
14	Anhui Provincial Investment Group Holding Co., Ltd.	5186
15	Anhui Transportation Holding Group (H.K.) Limited	5158
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	Bluestar Finance Holdings Limited	4487
37	BNY Trust Company of Australia Limited	5766
38	Boom Up Investments Limited	5544
39	Bright Galaxy International Limited	5927
40	Bright Scholar Education Holdings Limited	5615
41	Cable and Wireless International Finance B.V.	1077
42	Cable and Wireless International Finance B.V.	1078
43	Caiyun International Investment Limited	5947
44	CALC Bond 2 Limited	4300
45	CALC Bond 3 Limited	5390
46	CALC Bond 3 Limited	5391
47	CCB Life Insurance Company Limited	5437
48	CCBL (Cayman) Corporation Limited	5548
49	CCCI Treasure Limited	5893
50	CCTI 2017 Ltd	5258
51	CDBL Funding 1	5849
52	CDBL Funding 1	5850
53	Celestial Dynasty Limited	5594
54	CELESTIAL MILES LIMITED	5706
55	Central Plaza Development Ltd.	5919
56	CGNPC International Limited	5058
57	CGNPC International Limited	5059
58	CGNPC International Limited	5153
59	CGNPC International Limited	5154
60	CGNPC International Limited	5519
61	Chalco Hong Kong Investment Company Limited	5151
62	Chalco Hong Kong Investment Company Limited	5920
63	Chalco Hong Kong Investment Company Limited	5727
64	Chalco Hong Kong Investment Company Limited	5985
65	Chalieco Hong Kong Corporation Limited	5321
66	Chalieco Hong Kong Corporation Limited	5702
67	Chang Development International Limited	5090

68	Chang Development International Limited	5345
69	Chang Development International Limited	5744
70	Changde Economic Construction Investment Group Co., Ltd.	5642
71	Changde Urban Construction and Investment Group Co., Ltd.	5328
72	Changde Urban Construction and Investment Group Co., Ltd.	5509
73	Changde Urban Construction and Investment Group Co., Ltd.	5959
74	Changsha Pilot Investment Holdings Co., Ltd.	5315
75	Charter Style International Limited	85993
76	Chengdu Airport Xingcheng Investment Group Co., Ltd.	5201
77	Chengdu Communications Investment Group Corporation Limited	5062
78	Chengdu Communications Investment Group Corporation Limited	5493
79	Chengdu Economic and Technological Development Zone Construction and Development Co., Ltd.	5714
80	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
81	Chengdu Hi-tech Investment Group Co., Ltd.	5206
82	Chengdu Tianfu New Area Investment Group Co., Ltd.	6011
83	Chengdu Xingcheng Investment Group Co., Ltd.	5314
84	Cheung Kong Bond Securities (02) Limited	4559
85	Cheung Kong Bond Securities (03) Limited	4595
86	Cheung Kong Infrastructure Finance (BVI) Limited	5060
87	China Bright (Hong Kong) Limited	5937
88	China Cinda Finance (2014) Limited	5748
89	China CITIC Bank International Limited	5199
90	China CITIC Bank International Limited	5728
91	China CITIC Bank International Limited	5831
92	China CITIC Bank International Limited	5992
93	China CITIC Bank International Limited	4594
94	China Clean Energy Development Limited	5568
95	China Development Bank Corporation	85904
96	China Development Bank Corporation	85905
97	China Development Bank Corporation	85934
98	China Energy Reserve and Chemicals Group Holding Limited	5639
99	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
100	China Great Wall International Holdings IV Limited	5617
101	China Great Wall International Holdings IV Limited	5620
102	China Huadian Overseas Development 2018 Limited	4491
103	China Huadian Overseas Development Management Company Limited	4533
104	China Life Insurance (Overseas) Co., Ltd.	5250
105	China Merchants Finance Company Limited	4548
106	China Merchants Finance Company Limited	5554
107	China Merchants Finance Company Limited	5555
108	China Minmetals Corporation	4442
109	China Minmetals Corporation	5009
110	China Overseas Finance (Cayman) II Limited	4503
111	China Overseas Finance (Cayman) III Limited	5988
112	China Overseas Finance (Cayman) III Limited	5989
113	China Overseas Finance (Cayman) V Limited	4579
114	China Overseas Finance (Cayman) V Limited	4580
115	China Overseas Finance (Cayman) VI Limited	5746
116	China Overseas Finance (Cayman) VI Limited	5760
117	China Overseas Finance (Cayman) VII Limited	4475
118	China Overseas Finance (Cayman) VII Limited	4476
119	China Overseas Finance Investment (Cayman) V Limited	5600
120	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
121	China Railway Resources Huitung Limited	5904
122	China Railway XunJie Co., Limited	5244
123	China Railway XunJie Co., Limited	5692
124	China Resources Power East Foundation Co., Ltd.	4516
125	China Shenhua Overseas Capital Company Limited	5862
126	China Shenhua Overseas Capital Company Limited	5863
127	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
128	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
129	China Southern Power Grid International Finance (BVI) Co., Limited	4583
130	China Southern Power Grid International Finance (BVI) Co., Limited	4598
131	China State Construction Finance (Cayman) I Limited	5462
132	China State Construction Finance (Cayman) II Limited	5037
133	China State Construction Finance (Cayman) II Limited	5038
134	China Taiping Capital Limited	4582
135	China Taiping New Horizon Limited	5984
136	China Yangtze Power International (BVI) 1 Limited	5300
137	China Yangtze Power International (BVI) 2 Limited	5301
138	Chinalco Capital Holdings Limited	4301
139	Chinalco Capital Holdings Limited	5438
140	Chinalco Capital Holdings Limited	5745
141	Chinalco Finance Holdings Limited	5854
142	Chiyu Banking Corporation Limited	5034
143	Chongqing Casin Group Co., Ltd.	5595
144	Chongqing Energy Investment Group Co., Ltd.	5898
145	Chongqing Hechuan City Construction Investment (Group) Co., Ltd.	5088
146	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	4562
147	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
148	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
149	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
150	Chouzhou International Investment Limited	4542
151	Chouzhou International Investment Limited	5056
152	CITIC Telecom International Finance Limited	5908
153	CLP Power HK Finance Ltd.	5740

154	CLP Power Hong Kong Financing Limited	4306
155	CLP Power Hong Kong Financing Limited	4318
156	CMHI Finance (BVI) Co., Ltd	5134
157	CMHI Finance (BVI) Co., Ltd	5135
158	CMOC Capital Limited	5722
159	CNI Capital Limited	85725
160	CNOOC Curtis Funding No. 1 Pty Ltd	5972
161	CNOOC Curtis Funding No. 1 Pty Ltd	5973
162	CNOOC Finance (2003) Limited	2568
163	CNOOC Finance (2011) Limited	4506
164	CNOOC Finance (2011) Limited	4507
165	CNOOC Finance (2012) Limited	4546
166	CNOOC Finance (2012) Limited	4547
167	CNOOC Finance (2013) Limited	5941
168	CNOOC Finance (2013) Limited	5942
169	CNOOC Finance (2015) Australia Pty Ltd	5506
170	CNOOC Finance (2015) Australia Pty Ltd	5507
171	CNOOC Finance (2015) U.S.A. LLC	4478
172	CNOOC Finance (2015) U.S.A. LLC	4479
173	CNOOC Finance (2015) U.S.A. LLC	5508
174	CNOOC Nexen Finance (2014) ULC	5738
175	CNOOC Nexen Finance (2014) ULC	5739
176	CNPC (HK) Overseas Capital Ltd.	4513
177	CNPC (HK) Overseas Capital Ltd.	4514
178	CNPC General Capital Limited	4544
179	CNPC General Capital Limited	5923
180	Coastal Emerald Limited	5529
181	COSCO Pacific Finance (2013) Company Limited	5900
182	COSL Finance (BVI) Limited	4563
183	Cosmos Boom Investment Limited	5534
184	CRCC Chengan Limited	5581
185	CRCC Yupeng Limited	5778
186	CRCC Yuxiang Limited	5945
187	CSCEC Finance (Cayman) I Limited	5574
188	CSCEC Finance (Cayman) II Limited	5232
189	CSCEC Finance (Cayman) II Limited	5233
190	CSCEC Finance (Cayman) II Limited	5669
191	CSCI Finance (2015) Co. Ltd	5564
192	CSSC Capital One Limited	5181
193	CSSC Capital Two Limited	5182
194	Dah Sing Bank, Limited	5316
195	Dah Sing Bank, Limited	5524
196	Dah Sing Bank, Limited	6021
197	Dalian Deta Holding Co., Ltd.	5608
198	Dangdai International Investments Ltd	5027
199	Dawn Victor Limited	5409
200	Dianjian Haixing Limited	5816
201	Dongxing Voyage Company Limited	5643
202	Double Rosy Limited	5829
203	DYNAMIC MISSION INVESTMENTS LIMITED	5386
204	Ease Trade Global Limited	4458
205	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
206	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
207	Excel Capital Global Limited	4496
208	Expand Lead Limited	5165
209	First FZ Bond Limited	5275
210	Fita International Limited	4315
211	FPC Capital Limited	5107
212	FPC Treasury Limited	5924
213	Franshion Brilliant Limited	5030
214	Franshion Brilliant Limited	5229
215	Franshion Brilliant Limited	5289
216	Franshion Brilliant Limited	5347
217	Franshion Brilliant Limited	5385
218	Franshion Brilliant Limited	5447
219	Franshion Brilliant Limited	5472
220	Fujian Zhanglong Group Co., Ltd.	5331
221	Fujian Zhanglong Group Co., Ltd.	5700
222	Full Dragon (Hong Kong) International Development Limited	4428
223	FWD Group Limited	4403
224	FWD Group Limited	5019
225	FWD Group Limited	5221
226	FWD Group Limited	5793
227	FWD Limited	4416
228	FWD Limited	5351
229	FWD Limited	5803
230	Gansu Province Electric Power Investment Group Co., Ltd.	5466
231	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
232	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
233	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
234	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5999
235	Gaoxin International Investment Co., Ltd	5335
236	Gemdale Ever Prosperity Investment Limited	4578
237	GET International Investment Holdings Limited	5381
238	GOHL Capital Limited	5352
239	GRAM International Limited	5587
240	Granda Century Limited	5152

241	Green Fortune Capital Limited	40010
242	Greenland Global Investment Limited	5769
243	Guang Ying Investment Limited	4492
244	Guangsha Holding Group Co., Ltd.	5456
245	Guangxi Communications Investment Group Corporation. Ltd	5880
246	Guangxi Communications Investment Group Corporation. Ltd	5921
247	Guangxi Financial Investment Group Co., Ltd.	5098
248	Guangxi Liuzhou Dongcheng Investment Development Group Co., Ltd.	40013
249	GUANGZHOU Silk Road Investment Limited	5323
250	Guohui International (BVI) Co., Ltd.	6002
251	Guotai Junan Holdings Limited	5853
252	Haichuan International Investment Co., Ltd.	5460
253	Haiguo Xintai Capital Limited	40011
254	Haimen Zhongnan Investment Development (International) Co., Ltd.	4585
255	Haitian (BVI) International Investment Development Limited	5061
256	Haitong International Finance 2015 Limited	5867
257	Haitong International Finance Holdings 2015 Limited	5892
258	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
259	Hanhui International Limited	5657
260	Hanrui Overseas Investment Co Ltd	5081
261	Harvest International Company	5024
262	Hesteel Hong Kong Co., Limited	5417
263	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
264	Hong Kong Sukuk 2015 Limited	4226
265	Hong Kong Sukuk 2017 Limited	4233
266	Hongkong Baorong Development Limited	5465
267	Hongkong Electric Finance Limited	4505
268	Hongkong International (Qingdao) Company Limited	5023
269	Hongkong International (Qingdao) Company Limited	5048
270	Hongkong International (Qingdao) Company Limited	5191
271	Hongkong International (Qingdao) Company Limited	5874
272	Hongkong International (Qingdao) Company Limited	5875
273	HongKong Xiangyu Investment Co., Limited	4409
274	Huafa 2019 I Company Limited	5976
275	Huafa Group 2018 I Company Limited	5150
276	Huai'an Traffic Holding Co., Ltd.	5784
277	Huai'an Traffic Holding Co., Ltd.	6006
278	Huai'an Water Conservancy Holding Group Co., Ltd.	6009
279	Huaibei City Construction Investment Holding Group Company Limited	5474
280	Huaibei City Construction Investment Holding Group Company Limited	5946
281	Huaneng Hong Kong Capital Limited	5000
282	Huantaihu International investment Co., Ltd	5413
283	Huasing International Holdings Co., Limited	4448
284	Huasing International Holdings Co., Limited	4449
285	Huatai International Finance I Limited	5812
286	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
287	Huaxing Investment Holding Company Limited	5363
288	Huayi Finance I Ltd.	5847
289	HUAYUAN PROPERTY CO., LTD	5922
290	Huayuan Property Co., Ltd.	5239
291	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
292	Hunan Xiangjiang New Area Development Group Co Ltd	5223
293	Huzhou City Investment Development Group Co., Ltd.	5074
294	Huzhou Communications Investment Group Co., Ltd.	85740
295	ICBCIL Finance Co. Limited	5884
296	IFC Development (Corporate Treasury) Limited	5715
297	IFC Development (Corporate Treasury) Limited	5756
298	IFC Development (Corporate Treasury) Limited	5757
299	IFC Development (Corporate Treasury) Limited	6000
300	Industrial and Commercial Bank of China (Asia) Limited	5686
301	Industrial and Commercial Bank of China (Asia) Limited	5976
302	Industrial and Commercial Bank of China (Macau) Limited	5750
303	Industrial and Commercial Bank of China (Macau) Limited	5797
304	Intellect Aim Management Ltd.	6003
305	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
306	Jiangxi Railway Investment Group Corporation	5770
307	JIC Zhixin Limited	5031
308	JIC Zhixin Limited	5032
309	Jinan Hi-tech Holding Group Co., Ltd.	5481
310	Jinan Hi-tech Holding Group Co., Ltd.	40018
311	Jinan West City Investment and Development Group Co., Ltd.	4588
312	Jinke Property Group Co., Ltd.	5292
313	Jinshine International Co., Ltd.	4451
314	Jisco SR Pearl Ltd.	5953
315	Jiuding Group Finance Co., Ltd	5246
316	Joy Treasure Assets Holdings Inc.	5901
317	Joy Treasure Assets Holdings Inc.	5903
318	Joy Treasure Assets Holdings Inc.	6027
319	Joy Treasure Assets Holdings Inc.	40000
320	Keen Idea Global Limited	5393
321	King Power Capital Ltd.	5822
322	King Power Capital Ltd.	5823
323	King Talent Management Limited	5026
324	Korean Reinsurance Company	5815
325	Kunming Dianchi Investment Co. Ltd.	5569
326	Kunzhi Limited	4464
327	Kunzhi Limited	5100

328	Lai Fung Bonds (2018) Limited	5087
329	Legend Fortune Limited	5128
330	Liang Shan International Development Limited	5585
331	Lingang Wings Inc	5149
332	Liuzhou Dongtong Investment & Development Co., Ltd.	4329
333	LS Finance (2017) Limited	4471
334	LS Finance (2022) Limited	4571
335	LS Finance (2025) Limited	5535
336	LSD Bonds (2017) Limited	5270
337	Luso International Banking Limited	5078
338	Malaysia Sovereign Sukuk Berhad	5894
339	Malaysia Sovereign Sukuk Berhad	5895
340	Malaysia Sukuk Global Berhad	5633
341	Malaysia Sukuk Global Berhad	5634
342	MCC Holding (Hong Kong) Corporation Limited	4483
343	MCC Holding (Hong Kong) Corporation Limited	5210
344	Mei Nian Investment Limited	5932
345	Meilun (BVI) Limited	5625
346	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
347	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
348	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
349	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
350	Minmetals Land Capital Limited	5933
351	Mudanjiang City Investment Group Co., Ltd.	5297
352	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
353	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
354	Nanyang Commercial Bank, Limited	5214
355	New Lion Bridge Company Limited	5290
356	New Momentum International Limited	5997
357	New Rose Investments Limited	5344
358	Nimble City Limited	5144
359	Nuoxi Capital Limited	4401
360	Nuoxi Capital Limited	4402
361	Nuoxi Capital Limited	5365
362	Nuoxi Capital Limited	5436
363	Nuoxi Capital Limited	5484
364	Nuoxi Capital Limited	5704
365	Nuoxi Capital Limited	5996
366	NWD Finance (BVI) Limited	4561
367	NWD Finance (BVI) Limited	5856
368	Oceanwide Holdings International 2015 Co., Limited	5557
369	Oceanwide Holdings International 2017 Co., Limited	5251
370	Oceanwide Holdings International Development III Co., Ltd.	4532
371	Oceanwide Holdings International Development III Co., Ltd.	5196
372	Orient Huizhi Limited	5041
373	Oriental Capital Company Limited	5305
374	Oversea-Chinese Banking Corporation Limited	85912
375	OVPH Limited	5614
376	PB Issuer (No.4) Limited	5525
377	Peixian State-owned Assets Management Company Limited	5336
378	Perfect Point Ventures Limited	4566
379	Petron Corporation	5905
380	PETRONAS Global Sukuk Ltd.	5882
381	PHBS Limited	4325
382	Phoenix Charm International Investment Limited	5332
383	Phoenix Lead Limited	5262
384	Pingdingshan Tianan Coal Mining Co., Ltd.	6004
385	Pingxiang Urban Construction Investment Developing Company	4535
386	Pioneer Reward Limited	4530
387	Poly Real Estate Finance Ltd	4417
388	Poly Real Estate Finance Ltd	5164
389	Poly Real Estate Finance Ltd	5916
390	Power Best Global Investments Limited	5940
391	Powerchina Real Estate Group Ltd.	5471
392	Press Metal (Labuan) Ltd.	5299
393	Prosperous Ray Limited	5994
394	Proven Honour Capital Limited	5516
395	Proven Honour Capital Limited	5641
396	PTT Public Company Limited	2527
397	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
398	Qingdao Jiaozhou Bay Development Group Co., Ltd.	5951
399	Qingdao Jimo District Urban Development Investment Co., Ltd.	5658
400	Qinghai Provincial Investment Group Co., Ltd.	4450
401	Qinghai Provincial Investment Group Co., Ltd.	5380
402	Radiant Access Limited	5205
403	Rail Transit International Investment Company Limited	5644
404	Reward International Investment Limited	5360
405	RKI Overseas Finance 2016 (B) Limited	4309
406	Rongshi International Finance Limited	5448
407	Rongshi International Finance Limited	5449
408	Rosy Delta Investments Limited	5097
409	SCIG International Financial Limited	5174
410	SDG FINANCE I LIMITED	4539
411	SDG FINANCE I LIMITED	5192
412	SDSC Global Finance Limited	5303
413	SDSC International Finance Limited	5827
414	SF Holding Investment Limited	5130

415	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
416	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
417	Shaanxi Xixian New Area Qinhan New City Development and Construction Group Co., Ltd.	5935
418	Shandong Commercial Group Co., Ltd.	5512
419	Shandong Energy Australia Pty Ltd	5248
420	Shandong Iron and Steel Xinheng International Company Limited	4453
421	Shandong Iron and Steel Xinheng International Company Limited	5063
422	Shandong Iron and Steel Xinheng International Company Limited	5470
423	Shandong Iron and Steel Xinheng International Company Limited	5601
424	Shandong Iron and Steel Xinheng International Company Limited	40003
425	Shanghai Commercial Bank Limited	5043
426	Shanghai Commercial Bank Limited	5530
427	Shanghai Electric Power Finance Limited	5558
428	Shanghai Port Group (BVI) Development Co., Limited	4587
429	Shanghai Port Group (BVI) Development Co., Limited	5734
430	Shanghai Port Group (BVI) Development Co., Limited	5741
431	Shanghai Port Group (BVI) Holding Co., Limited	5255
432	Shanghai Port Group (BVI) Holding Co., Limited	5256
433	Shangrao Investment Holdings International Company Limited	4429
434	Shanghai (Hong Kong) International Investments Limited	5435
435	Shanghai (Hong Kong) International Investments Limited	40009
436	Shaoxing City Investment Group Limited	5489
437	Shuifa International Holdings (BVI) Co., Ltd.	5992
438	Si Fa Investment Limited	5490
439	Sichuan Communications Overseas Development Co., Ltd.	5399
440	Sichuan Railway Investment Group Co., Ltd.	5575
441	SIHC International Capital Ltd	5176
442	SIHC International Capital Ltd	5177
443	Sino Trendy Investment Limited	4407
444	Sinochem Global Capital Co., Ltd.	5935
445	Sinochem Overseas Capital Company Limited	4501
446	Sinochem Overseas Capital Company Limited	4502
447	Sino-Ocean Land Treasure Finance I Limited	5782
448	Sino-Ocean Land Treasure Finance II Limited	5868
449	Sino-Ocean Land Treasure Finance II Limited	5869
450	Sino-Ocean Land Treasure III Limited	5276
451	Sino-Ocean Land Treasure IV Limited	5131
452	Sino-Ocean Land Treasure IV Limited	5623
453	Sino-Ocean Land Treasure IV Limited	5712
454	Skyland Mining (BVI) Limited	5228
455	Skysea International Capital Management Limited	4529
456	SmarTone Finance Limited	5917
457	Societe Generale	5947
458	Societe Generale	5959
459	Societe Generale	5960
460	Societe Generale	5961
461	Societe Generale	5962
462	SPIC 2016 US dollar Bond Company Limited	5324
463	SPIC 2016 US dollar Bond Company Limited	5325
464	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
465	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
466	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
467	State Grid Overseas Investment (2013) Limited	5954
468	State Grid Overseas Investment (2013) Limited	5955
469	State Grid Overseas Investment (2014) Limited	5742
470	State Grid Overseas Investment (2014) Limited	5743
471	State Grid Overseas Investment (2016) Limited	5649
472	State Grid Overseas Investment (2016) Limited	5650
473	State Grid Overseas Investment (2016) Limited	5651
474	State Grid Overseas Investment (2016) Limited	5652
475	Strategic International Group Limited	5241
476	Sunny Express Enterprises Corp.	5906
477	Sunshine Life Insurance Corporation Limited	5628
478	Sunshine Life Insurance Corporation Limited	5629
479	Suqian Economic Development (BVI) Co., Limited	5302
480	Suzhou City Construction Investment Group (Holding) Co., Ltd.	5723
481	Taikang Insurance Group Inc.	5349
482	Taiyuan State-owned Investment Group Company Limited	6005
483	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
484	The Hongkong and Shanghai Banking Corporation Limited	4323
485	Tianjin Lingang Investment Holding Co., Ltd.	5716
486	Tianjin Real Estate Group Co., Ltd	5286
487	Tianqi Finco Co., Ltd	5036
488	Tibet Financial Leasing Co., Ltd.	5707
489	Tongfang Aqua 2017 Limited	4454
490	Tongfang Aqua Limited	6001
491	Top Luxury Investment Limited	5598
492	Top Wise Excellence Enterprise Co., Ltd.	5402
493	Towngas (Finance) Limited	5749
494	Towngas (Finance) Limited	6018
495	Trade Horizon Global Limited	5133
496	Treasure Generator Limited	5709
497	Triceratops Capital Co., Limited	4408
498	Tsinghua Unic Limited	4413
499	Tsinghua Unic Limited	4414
500	Tsinghua Unic Limited	4415
501	Tuspark Forward Ltd.	4599

502	Tuspark Forward Ltd.	5143
503	Tuspark Forward Ltd.	5857
504	Tuspark Forward Ltd.	5735
505	TVB Finance Limited	4577
506	UHI Capital Ltd.	4572
507	Unigroup International Holdings Ltd.	5597
508	Union Life Insurance Co., Ltd.	4322
509	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
510	Vertex Capital Investment Limited	5931
511	Wakala Global Sukuk Berhad	4519
512	Wanda Group Overseas Limited	5599
513	Wanda Properties Global Co. Limited	5835
514	Wanda Properties International Co. Limited	6023
515	Want Want China Finance Limited	5446
516	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
517	Wuhan Financial Holdings (Group) Co., Ltd.	5498
518	Wuhan Metro Group Co., Ltd.	5467
519	Wuhan Metro Group Co., Ltd.	5939
520	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
521	Wuhan State-owned Assets Management Limited Company	5070
522	Xi Yang Overseas Limited	4565
523	Xi'an Qujiang Culture Holdings Co., Ltd.	40002
524	Xiangxing Overseas Investment Co., Ltd.	5329
525	Xiangyu Investment (BVI) Co., Ltd.	5572
526	Xihui Haiwai I Investment Holdings Co., Limited	5990
527	Xin Fu (BVI) Co., Limited	5985
528	Xingang International Holding Limited	5330
529	Xingsheng (BVI) Company Limited	5172
530	Xingsheng (BVI) Company Limited	5606
531	Xinhu (BVI) 2018 Holding Company Limited	4569
532	Xinhu (BVI) 2018 Holding Company Limited	5497
533	Xinhu (BVI) 2018 Holding Company Limited	5889
534	Xinhu (BVI) Holding Company Limited	5382
535	Xinjiang Financial Investment Co., Ltd.	5907
536	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5570
537	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5952
538	Xinjiang Zhongtai (Group) Co., Ltd.	4567
539	Xinxing Industry Investment Company Limited	5065
540	Yancoal International Resources Development Co., Limited	4552
541	Yancoal International Resources Development Co., Limited	5424
542	Yancoal International Resources Development Co., Ltd	5461
543	Yancoal International Trading Co., Limited	5753
544	Yango (Cayman) Investment Limited	4470
545	Yango (Cayman) Investment Limited	5414
546	Yangzhou Economic and Technological Development Zone Development Corporation	5513
547	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
548	Yankuang Group (Cayman) Limited	5044
549	Yankuang Group (Cayman) Limited	5705
550	Yichang High-Tech Investment Development Co., Ltd.	5495
551	Yihua Overseas Investment Ltd	5293
552	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
553	Yingde Gases Investment Limited	5793
554	YONGDA Investment Limited	5543
555	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
556	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
557	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
558	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
559	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
560	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
561	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5998
562	Zhangzhou Jiulongjiang Group Co., Ltd.	5730
563	Zhangzhou Transportation Development Group Co., Ltd.	5584
564	Zhaobing Investment (BVI) Limited	6018
565	Zhaohai Investment (BVI) Limited	5547
566	Zhaojin Mining International Finance Limited	5851
567	Zhejiang Baron (BVI) Company Limited	5146
568	Zhengzhou Metro Group Co., Ltd.	5496
569	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
570	Zhongtai International Bond 2017 (BVI) Company Limited	5263
571	Zhongtai International Finance (BVI) Company Limited	5919
572	Zhongyuan Sincere Investment Co. Ltd.	5095
573	Zhongyuan Sincere Investment Co. Ltd.	5596
574	Zhoushan City Investment Group Corporation Limited	5487
575	Zhuji Development Limited	5480
576	Zhuzhou City Construction Development Group Co., Ltd.	4531
577	Zhuzhou City Construction Development Group Co., Ltd.	5710
578	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

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

##### **Name**

- 1 Budweiser Brewing Company APAC Limited