

根據《證券及期貨條例》(第571章)第309(2)條批給的豁免

以下載列就(一)發行在香港聯合交易所有限公司(聯交所)上市的證券的法團及(二)其他人士而批給的豁免。該等豁免就(一)批給該等法團、其大股東、董事及最高行政人員，及就(二)批給其他人士，使其無須就其於聯交所上市證券的權益所衍生的義務而遵從《證券及期貨條例》第XV部。本清單每月更新。

證監會網站內有關《證券及期貨條例》第XV部的網頁已登載證監會指引，列明根據該條例第309條批給豁免的依據。目前提供的豁免分為五類，而該指引已對該五類豁免加以述明。

第1類部份豁免：適用於股份已在香港聯合交易所有限公司及另一證券交易所上市的法團

名稱	聯交所 股份代號	
1 宏利金融有限公司	0945	
2 渣打集團有限公司	2888	(及 4305, 5348, 5890 及 5986)
3 英國保誠有限公司	2378	
4 迅銷有限公司 - 預託證券	6288	(該豁免僅適用於迅銷有限公司及其大股東)

第2類豁免：適用於並無股份在香港聯合交易所有限公司上市的法團

(a)第2類豁免：適用於結構性產品現時在香港聯合交易所有限公司上市的法團(並無股份在香港聯合交易所有限公司上市)

名稱	豁免期限 (注解 1)	
	豁免開始日	豁免終止日
1 Bank Vontobel AG	2019年5月31日	2020年5月30日
2 BOCI Aisa Limited	2007年12月21日	2019年12月20日
3 BNP Paribas Issuance B.V.	2007年12月21日	2019年12月20日
4 Credit Suisse AG	2007年12月21日	2019年12月20日
5 Goldman Sachs Structured Products (Asia) Limited	2007年12月21日	2019年12月20日
6 Haitong International Securities Company Limited (注解 4)	2017年3月16日	2020年3月15日
7 J.P. Morgan Structured Products B.V.	2007年12月21日	2019年12月20日
8 Macquarie Bank Limited	2008年1月1日	2019年12月31日
9 Morgan Stanley Asia Products Limited	2019年7月22日	2020年7月21日
10 SG Issuer	2016年4月1日	2020年3月31日
11 The Hongkong and Shanghai Banking Corporation Ltd	2007年12月23日	2019年12月22日
12 UBS AG	2007年12月21日	2019年12月20日

- 注解1: 授予以上法團的豁免期為12個月(或更少)，並豁免該法團在豁免期內所發行及在香港聯合交易所有限公司上市的結構性產品直至該結構性產品有效期完結為止。
- 注解2: 此前授予Haitong International Securities Company Limited的豁免已於2017年3月6日到期，但該豁免對其在2016年3月7日至2017年3月6日期間發行及在香港聯合交易所有限公司上市的結構性產品維持有效。
- 注解3: 授予Citigroup Global Markets Holdings Inc., Daiwa Capital Markets Hong Kong Limited, Nomura International plc, SGA Société Générale Acceptance N.V. 及 Standard Chartered Bank的豁免已分別於2015年6月14日、2016年7月19日、2015年12月9日、2016年12月20日及2016年6月27日到期。前述法團在相關豁免期內所發行的結構性產品均已到期。

(b)第2類豁免：適用於債務項目下發行的債務證券在香港聯合交易所有限公司上市的法團(並無股份在香港聯合交易所有限公司上市)

名稱	項目
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 1	US\$3,000,000,000 Medium Term Note Programme
20 CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
21 Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
22 CGNPC INTERNATIONAL LIMITED	US\$2,000,000,000 Guaranteed Medium Term Note Programme
23 Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
24 Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
25 Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme

26	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
27	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
28	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
29	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
30	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
31	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
32	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	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\$1,500,000,000 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	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme
107	Zhejiang Energy International Limited	USD2,000,000,000 Medium Term Note Programme

(c)第2類豁免：適用於就某一特定發行的債務證券現時在香港聯合交易所有限公司上市的法團（並無股份在香港聯合交易所有限公司上市）

名稱	聯交所 股份代號	
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 Treasury 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	Changde Economic Construction Investment Group Co., Ltd.	5642
70	Changde Urban Construction and Investment Group Co., Ltd.	5328
71	Changde Urban Construction and Investment Group Co., Ltd.	5509
72	Changsha Pilot Investment Holdings Co., Ltd.	5315
73	Charter Style International Limited	85993
74	Chengdu Airport Xingcheng Investment Group Co., Ltd.	5201
75	Chengdu Communications Investment Group Corporation Limited	5062
76	Chengdu Communications Investment Group Corporation Limited	5493
77	Chengdu Economic and Technological Development Zone State-Owned Assets Investment Co., Ltd.	5751
78	Chengdu Hi-tech Investment Group Co., Ltd.	5206
79	Chengdu Tianfu New Area Investment Group Co., Ltd	6011

80	Chengdu Xingcheng Investment Group Co., Ltd.	5314
81	Cheung Kong Bond Securities (02) Limited	4559
82	Cheung Kong Bond Securities (03) Limited	4595
83	Cheung Kong Infrastructure Finance (BVI) Limited	5060
84	China Bright (Hong Kong) Limited	5937
85	China Cinda Finance (2014) Limited	5748
86	China CITIC Bank International Limited	5199
87	China CITIC Bank International Limited	5728
88	China CITIC Bank International Limited	5831
89	China CITIC Bank International Limited	5992
90	China CITIC Bank International Limited	4594
91	China Clean Energy Development Limited	5568
92	China Development Bank Corporation	85904
93	China Development Bank Corporation	85905
94	China Development Bank Corporation	85934
95	China Energy Reserve and Chemicals Group Holding Limited	5639
96	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
97	China Great Wall International Holdings IV Limited	5617
98	China Great Wall International Holdings IV Limited	5620
99	China Huadian Overseas Development 2018 Limited	4491
100	China Huadian Overseas Development Management Company Limited	4533
101	China Life Insurance (Overseas) Co., Ltd	5250
102	China Merchants Finance Company Limited	4548
103	China Merchants Finance Company Limited	5554
104	China Merchants Finance Company Limited	5555
105	China Minmetals Corporation	4442
106	China Minmetals Corporation	5009
107	China Overseas Finance (Cayman) II Limited	4503
108	China Overseas Finance (Cayman) III Limited	5988
109	China Overseas Finance (Cayman) III Limited	5989
110	China Overseas Finance (Cayman) V Limited	4579
111	China Overseas Finance (Cayman) V Limited	4580
112	China Overseas Finance (Cayman) VI Limited	5746
113	China Overseas Finance (Cayman) VI Limited	5760
114	China Overseas Finance (Cayman) VII Limited	4475
115	China Overseas Finance (Cayman) VII Limited	4476
116	China Overseas Finance Investment (Cayman) V Limited	5600
117	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
118	China Railway Resources Huitung Limited	5904
119	China Railway XunJie Co., Limited	5244
120	China Railway XunJie Co., Limited	5692
121	China Resources Power East Foundation Co., Ltd.	4516
122	China Shenhua Overseas Capital Company Limited	5862
123	China Shenhua Overseas Capital Company Limited	5863
124	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
125	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
126	China Southern Power Grid International Finance (BVI) Co., Limited	4583
127	China Southern Power Grid International Finance (BVI) Co., Limited	4598
128	China State Construction Finance (Cayman) I Limited	5462
129	China State Construction Finance (Cayman) II Limited	5037
130	China State Construction Finance (Cayman) II Limited	5038
131	China Taiping Capital Limited	4582
132	China Taiping New Horizon Limited	5984
133	China Yangtze Power International (BVI) 1 Limited	5300
134	China Yangtze Power International (BVI) 2 Limited	5301
135	Chinalco Capital Holdings Limited	4301
136	Chinalco Capital Holdings Limited	5438
137	Chinalco Finance Holdings Limited	5854
138	Chiyu Banking Corporation Limited	5034
139	Chongqing Casin Group Co., Ltd	5595
140	Chongqing Energy Investment Group Co., Ltd.	5898
141	Chongqing Hechuan City Construction Investment (Group) Co., Ltd.	5088
142	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	4562
143	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
144	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
145	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
146	Chouzhou International Investment Limited	4542
147	Chouzhou International Investment Limited	5056
148	CITIC Telecom International Finance Limited	5908
149	CLP Power HK Finance Ltd.	5740
150	CLP Power Hong Kong Financing Limited	4306
151	CLP Power Hong Kong Financing Limited	4318
152	CMHI Finance (BVI) Co., Ltd	5134
153	CMHI Finance (BVI) Co., Ltd	5135
154	CMOC Capital Limited	5722
155	CNI Capital Limited	85725
156	CNOOC Curtis Funding No. 1 Pty Ltd	5972
157	CNOOC Curtis Funding No. 1 Pty Ltd	5973
158	CNOOC Finance (2003) Limited	2568
159	CNOOC Finance (2011) Limited	4506
160	CNOOC Finance (2011) Limited	4507
161	CNOOC Finance (2012) Limited	4546
162	CNOOC Finance (2012) Limited	4547
163	CNOOC Finance (2013) Limited	5941
164	CNOOC Finance (2013) Limited	5942
165	CNOOC Finance (2015) Australia Pty Ltd	5506
166	CNOOC Finance (2015) Australia Pty Ltd	5507
167	CNOOC Finance (2015) U.S.A. LLC	4478

168	CNOOC Finance (2015) U.S.A. LLC	4479
169	CNOOC Finance (2015) U.S.A. LLC	5508
170	CNOOC Nexen Finance (2014) ULC	5738
171	CNOOC Nexen Finance (2014) ULC	5739
172	CNPC (HK) Overseas Capital Ltd.	4513
173	CNPC (HK) Overseas Capital Ltd.	4514
174	CNPC General Capital Limited	4544
175	CNPC General Capital Limited	5923
176	Coastal Emerald Limited	5529
177	COSCO Pacific Finance (2013) Company Limited	5900
178	COSL Finance (BVI) Limited	4563
179	Cosmos Boom Investment Limited	5534
180	CRCC Chengan Limited	5581
181	CRCC Yupeng Limited	5778
182	CRCC Yuxiang Limited	5945
183	CSCEC Finance (Cayman) I Limited	5574
184	CSCEC Finance (Cayman) II Limited	5232
185	CSCEC Finance (Cayman) II Limited	5233
186	CSCEC Finance (Cayman) II Limited	5669
187	CSCI Finance (2015) Co. Ltd	5564
188	CSSC Capital One Limited	5181
189	CSSC Capital Two Limited	5182
190	Dah Sing Bank, Limited	5316
191	Dah Sing Bank, Limited	5524
192	Dah Sing Bank, Limited	6021
193	Dalian Deta Holding Co., Ltd.	5608
194	Dangdai International Investments Ltd	5027
195	Dawn Victor Limited	5409
196	Dianjian Haixing Limited	5816
197	Dongxing Voyage Company Limited	5643
198	Double Rosy Limited	5829
199	DYNAMIC MISSION INVESTMENTS LIMITED	5386
200	Ease Trade Global Limited	4458
201	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
202	ENN CLEAN ENERGY INTERNATIONAL INVESTMENT LIMITED	5814
203	Excel Capital Global Limited	4496
204	Expand Lead Limited	5165
205	First FZ Bond Limited	5275
206	Fita International Limited	4315
207	FPC Capital Limited	5107
208	FPC Treasury Limited	5924
209	Franshion Brilliant Limited	5030
210	Franshion Brilliant Limited	5229
211	Franshion Brilliant Limited	5289
212	Franshion Brilliant Limited	5347
213	Franshion Brilliant Limited	5385
214	Franshion Brilliant Limited	5447
215	Franshion Brilliant Limited	5472
216	Fujian Zhanglong Group Co., Ltd.	5331
217	Fujian Zhanglong Group Co., Ltd.	5700
218	Full Dragon (Hong Kong) International Development Limited	4428
219	FWD Group Limited	4403
220	FWD Group Limited	5019
221	FWD Group Limited	5221
222	FWD Limited	4416
223	FWD Limited	5351
224	FWD Limited	5803
225	Gansu Province Electric Power Investment Group Co., Ltd.	5466
226	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
227	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
228	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
229	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5999
230	Gaoxin International Investment Co., Ltd	5335
231	Gemdale Ever Prosperity Investment Limited	4578
232	GET International Investment Holdings Limited	5381
233	GOHL Capital Limited	5352
234	GRAM International Limited	5587
235	Granda Century Limited	5152
236	Green Fortune Capital Limited	5288
237	Greenland Global Investment Limited	5769
238	Guang Ying Investment Limited	4492
239	Guangsha Holding Group Co., Ltd.	5456
240	Guangxi Communications Investment Group Corporation. Ltd	5921
241	Guangxi Financial Investment Group Co., Ltd.	5098
242	GUANGZHOU Silk Road Investment Limited	5323
243	Guohui International (BVI) Co., Ltd.	6002
244	Guotai Junan Holdings Limited	5853
245	Haichuan International Investment Co., Ltd.	4538
246	Haichuan International Investment Co., Ltd.	5460
247	Haimen Zhongnan Investment Development (International) Co., Ltd.	4585
248	Haitian (BVI) International Investment Development Limited	5061
249	Haitong International Finance 2014 Limited	5801
250	Haitong International Finance 2015 Limited	5867
251	Haitong International Finance Holdings 2015 Limited	5892
252	Hangzhou Fuyang Chengtong Group (HK) Limited	5469
253	Hanhui International Limited	5657
254	Hanrui Overseas Investment Co Ltd	5081
255	Harvest International Company	5024
256	Henson Finance Limited	4312

257	Hesteel Hong Kong Co., Limited	5417
258	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
259	Hong Kong Sukuk 2014 Limited	4223
260	Hong Kong Sukuk 2015 Limited	4226
261	Hong Kong Sukuk 2017 Limited	4233
262	Hongkong Baorong Development Limited	5465
263	Hongkong Electric Finance Limited	4505
264	Hongkong International (Qingdao) Company Limited	5023
265	Hongkong International (Qingdao) Company Limited	5048
266	Hongkong International (Qingdao) Company Limited	5191
267	Hongkong International (Qingdao) Company Limited	5874
268	Hongkong International (Qingdao) Company Limited	5875
269	HongKong Xiangyu Investment Co., Limited	4409
270	Huafa 2019 I Company Limited	5976
271	Huafa Group 2018 I Company Limited	5150
272	Huai'an Traffic Holding Co., Ltd.	5784
273	Huai'an Water Conservancy Holding Group Co., Ltd.	6009
274	Huaibei City Construction Investment Holding Group Company Limited	5474
275	Huaibei City Construction Investment Holding Group Company Limited	5946
276	Huaneng Hong Kong Capital Limited	5000
277	Huantaihu International investment Co., Ltd	5413
278	Huasing International Holdings Co., Limited	4448
279	Huasing International Holdings Co., Limited	4449
280	Huatai International Finance I Limited	5812
281	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
282	Huaxing Investment Holding Company Limited	5363
283	Huayi Finance I Ltd.	5847
284	HUAYUAN PROPERTY CO., LTD	5922
285	Huayuan Property Co., Ltd.	5239
286	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
287	Hunan Xiangjiang New Area Development Group Co Ltd	5223
288	Huzhou City Investment Development Group Co., Ltd.	5074
289	Huzhou Communications Investment Group Co., Ltd.	85740
290	ICBCIL Finance Co. Limited	5884
291	IFC Development (Corporate Treasury) Limited	5715
292	IFC Development (Corporate Treasury) Limited	5756
293	IFC Development (Corporate Treasury) Limited	5757
294	IFC Development (Corporate Treasury) Limited	6000
295	Industrial and Commercial Bank of China (Asia) Limited	5686
296	Industrial and Commercial Bank of China (Asia) Limited	5976
297	Industrial and Commercial Bank of China (Macau) Limited	5797
298	Intellect Aim Management Ltd.	6003
299	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
300	Jiangxi Railway Investment Group Corporation	5770
301	JIC Zhixin Limited	5031
302	JIC Zhixin Limited	5032
303	Jinan Hi-tech Holding Group Co., Ltd.	5481
304	Jinan West City Investment and Development Group Co., Ltd.	4588
305	Jinke Property Group Co., Ltd.	5292
306	Jinshine International Co., Ltd.	4451
307	Jisco SR Pearl Ltd.	5953
308	Jiuding Group Finance Co., Ltd	5246
309	Joy Treasure Assets Holdings Inc.	5901
310	Joy Treasure Assets Holdings Inc.	5903
311	Keen Idea Global Limited	5393
312	King Power Capital Ltd.	5822
313	King Power Capital Ltd.	5823
314	King Talent Management Limited	5026
315	Korean Reinsurance Company	5815
316	Kunming Dianchi Investment Co. Ltd.	5569
317	Kunzhi Limited	4464
318	Kunzhi Limited	5100
319	Lai Fung Bonds (2018) Limited	5087
320	Legend Fortune Limited	5128
321	Liang Shan International Development Limited	5585
322	Linqang Wings Inc	5149
323	Liuzhou Dongtong Investment & Development Co., Ltd.	4329
324	LS Finance (2017) Limited	4471
325	LS Finance (2022) Limited	4571
326	LS Finance (2025) Limited	5535
327	LSD Bonds (2017) Limited	5270
328	Luso International Banking Limited	5078
329	Malaysia Sovereign Sukuk Berhad	5894
330	Malaysia Sovereign Sukuk Berhad	5895
331	Malaysia Sukuk Global Berhad	5633
332	Malaysia Sukuk Global Berhad	5634
333	MCC Holding (Hong Kong) Corporation Limited	4483
334	MCC Holding (Hong Kong) Corporation Limited	5210
335	Mei Nian Investment Limited	5932
336	Meilun (BVI) Limited	5625
337	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
338	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
339	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
340	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
341	Minmetals Land Capital Limited	5933
342	Mudanjiang City Investment Group Co., Ltd.	5297
343	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
344	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
345	Nanyang Commercial Bank, Limited	5214
346	New Lion Bridge Company Limited	5290

347	New Momentum International Limited	5997
348	New Rose Investments Limited	5344
349	Nimble City Limited	5144
350	Nuoxi Capital Limited	4401
351	Nuoxi Capital Limited	4402
352	Nuoxi Capital Limited	5365
353	Nuoxi Capital Limited	5436
354	Nuoxi Capital Limited	5484
355	Nuoxi Capital Limited	5704
356	Nuoxi Capital Limited	5996
357	NWD Finance (BVI) Limited	4561
358	NWD Finance (BVI) Limited	5856
359	Oceanwide Holdings International 2015 Co., Limited	5557
360	Oceanwide Holdings International 2017 Co., Limited	5251
361	Oceanwide Holdings International Development III Co., Ltd.	4532
362	Oceanwide Holdings International Development III Co., Ltd.	5196
363	Oceanwide Real Estate International Holding Company Limited	5798
364	Orient Huizhi Limited	5041
365	Oriental Capital Company Limited	5305
366	Oversea-Chinese Banking Corporation Limited	85912
367	OVPH Limited	5614
368	PB Issuer (No.4) Limited	5525
369	Peixian State-owned Assets Management Company Limited	5336
370	Perfect Point Ventures Limited	4566
371	Petron Corporation	5905
372	PETRONAS Global Sukuk Ltd.	5882
373	PHBS Limited	4325
374	Phoenix Charm International Investment Limited	5332
375	Phoenix Lead Limited	5262
376	Pingdingshan Tianan Coal Mining Co., Ltd.	6004
377	Pingxiang Urban Construction Investment Developing Company	4535
378	Pioneer Reward Limited	4530
379	Poly Real Estate Finance Ltd	4417
380	Poly Real Estate Finance Ltd	5164
381	Poly Real Estate Finance Ltd	5916
382	Power Best Global Investments Limited	5940
383	Powerchina Real Estate Group Ltd.	5471
384	Press Metal (Labuan) Ltd.	5299
385	Prosperous Ray Limited	5994
386	Proven Honour Capital Limited	5516
387	Proven Honour Capital Limited	5641
388	PTT Public Company Limited	2527
389	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
390	Qingdao Jiaozhou Bay Development Group Co., Ltd.	5951
391	Qingdao Jimo District Urban Development Investment Co., Ltd.	5658
392	Qinghai Provincial Investment Group Co., Ltd.	4450
393	Qinghai Provincial Investment Group Co., Ltd.	5380
394	Radiant Access Limited	5205
395	Rail Transit International Investment Company Limited	5644
396	Reward International Investment Limited	5360
397	RKI Overseas Finance 2016 (B) Limited	4309
398	Rongshi International Finance Limited	5448
399	Rongshi International Finance Limited	5449
400	Rosy Delta Investments Limited	5097
401	SCIG International Financial Limited	5174
402	SDG FINANCE I LIMITED	4539
403	SDG FINANCE I LIMITED	5192
404	SDSC Global Finance Limited	5303
405	SDSC International Finance Limited	5827
406	SF Holding Investment Limited	5130
407	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
408	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
409	Shaanxi Xixian New Area Qinhan New City Development and Construction Group Co., Ltd.	5935
410	Shandong Commercial Group Co., Ltd.	5512
411	Shandong Energy Australia Pty Ltd	5248
412	Shandong Iron and Steel Xinheng International Company Limited	4453
413	Shandong Iron and Steel Xinheng International Company Limited	5063
414	Shandong Iron and Steel Xinheng International Company Limited	5470
415	Shandong Iron and Steel Xinheng International Company Limited	5601
416	Shanghai Commercial Bank Limited	5043
417	Shanghai Commercial Bank Limited	5530
418	Shanghai Electric Power Finance Limited	5558
419	Shanghai Port Group (BVI) Development Co., Limited	4587
420	Shanghai Port Group (BVI) Holding Co., Limited	5255
421	Shanghai Port Group (BVI) Holding Co., Limited	5256
422	Shangrao Investment Holdings International Company Limited	4429
423	Shanghai (Hong Kong) International Investments Limited	5435
424	Shaoxing City Investment Group Limited	5489
425	Si Fa Investment Limited	5490
426	Sichuan Communications Overseas Development Co., Ltd.	5399
427	Sichuan Railway Investment Group Co., Ltd.	5575
428	SIHC International Capital Ltd	5176
429	SIHC International Capital Ltd	5177
430	Sino Trendy Investment Limited	4407
431	Sinochem Global Capital Co., Ltd.	5935
432	Sinochem Overseas Capital Company Limited	4501
433	Sinochem Overseas Capital Company Limited	4502
434	Sino-Ocean Land Treasure Finance I Limited	5782
435	Sino-Ocean Land Treasure Finance II Limited	5868

436	Sino-Ocean Land Treasure Finance II Limited	5869
437	Sino-Ocean Land Treasure III Limited	5276
438	Sino-Ocean Land Treasure IV Limited	5131
439	Sino-Ocean Land Treasure IV Limited	5623
440	Sino-Ocean Land Treasure IV Limited	5712
441	Skyland Mining (BVI) Limited	5228
442	Skysea International Capital Management Limited	4529
443	SmarTone Finance Limited	5917
444	Societe Generale	5947
445	Societe Generale	5959
446	Societe Generale	5960
447	Societe Generale	5961
448	Societe Generale	5962
449	SPIC 2016 US dollar Bond Company Limited	5324
450	SPIC 2016 US dollar Bond Company Limited	5325
451	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
452	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
453	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
454	State Grid Overseas Investment (2013) Limited	5954
455	State Grid Overseas Investment (2013) Limited	5955
456	State Grid Overseas Investment (2014) Limited	5742
457	State Grid Overseas Investment (2014) Limited	5743
458	State Grid Overseas Investment (2016) Limited	5649
459	State Grid Overseas Investment (2016) Limited	5650
460	State Grid Overseas Investment (2016) Limited	5651
461	State Grid Overseas Investment (2016) Limited	5652
462	Strategic International Group Limited	5241
463	Sunny Express Enterprises Corp.	5906
464	Sunshine Life Insurance Corporation Limited	5628
465	Sunshine Life Insurance Corporation Limited	5629
466	Suqian Economic Development (BVI) Co., Limited	5302
467	Taikang Insurance Group Inc.	5349
468	Taiyuan State-owned Investment Group Company Limited	6005
469	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
470	The Hongkong and Shanghai Banking Corporation Limited	4323
471	Tianjin Lingang Investment Holding Co., Ltd.	5716
472	Tianjin Real Estate Group Co., Ltd	5286
473	Tianqi Finco Co., Ltd	5036
474	Tibet Financial Leasing Co., Ltd.	5707
475	Tongfang Aqua 2017 Limited	4454
476	Tongfang Aqua Limited	6001
477	Top Luxury Investment Limited	5598
478	Top Wise Excellence Enterprise Co., Ltd.	5402
479	Towngas (Finance) Limited	5749
480	Towngas (Finance) Limited	6018
481	Trade Horizon Global Limited	5133
482	Treasure Generator Limited	5709
483	Triceratops Capital Co., Limited	4408
484	Tsinghua Unic Limited	4413
485	Tsinghua Unic Limited	4414
486	Tsinghua Unic Limited	4415
487	Tuspark Forward Ltd.	4599
488	Tuspark Forward Ltd.	5143
489	Tuspark Forward Ltd.	5857
490	Tuspark Forward Ltd.	5735
491	TVB Finance Limited	4577
492	UHI Capital Ltd.	4572
493	Unigroup International Holdings Ltd.	5597
494	Union Life Insurance Co., Ltd.	4322
495	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
496	Vertex Capital Investment Limited	5931
497	Wakala Global Sukuk Berhad	4519
498	Wanda Group Overseas Limited	5599
499	Wanda Properties Global Co. Limited	5835
500	Wanda Properties International Co. Limited	6023
501	Want Want China Finance Limited	5446
502	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
503	Wuhan Financial Holdings (Group) Co., Ltd.	5498
504	Wuhan Metro Group Co., Ltd.	5467
505	Wuhan Metro Group Co., Ltd.	5939
506	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
507	Wuhan State-owned Assets Management Limited Company	5070
508	Xi Yang Overseas Limited	4565
509	Xiangxing Overseas Investment Co., Ltd.	5329
510	Xiangyu Investment (BVI) Co., Ltd.	5572
511	Xihui Haiwai I Investment Holdings Co., Limited	5990
512	Xin Fu (BVI) Co., Limited	5985
513	Xingang International Holding Limited	5330
514	Xingsheng (BVI) Company Limited	5172
515	Xingsheng (BVI) Company Limited	5606
516	Xinhu (BVI) 2018 Holding Company Limited	4569
517	Xinhu (BVI) 2018 Holding Company Limited	5497
518	Xinhu (BVI) 2018 Holding Company Limited	5889
519	Xinhu (BVI) Holding Company Limited	5382
520	Xinjiang Financial Investment Co., Ltd.	5907
521	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5570
522	Xinjiang Transportation Construction Investment Holding Co. Ltd.	5952
523	Xinjiang Zhongtai (Group) Co., Ltd.	4567
524	Xinxing Industry Investment Company Limited	5065
525	Yancoal International Resources Development Co., Limited	4552

526	Yancoal International Resources Development Co., Limited	5424
527	Yancoal International Resources Development Co., Ltd	5461
528	Yancoal International Trading Co., Limited	5753
529	Yango (Cayman) Investment Limited	4470
530	Yango (Cayman) Investment Limited	5414
531	Yangzhou Economic and Technological Development Zone Development Corporation	5513
532	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
533	Yankuang Group (Cayman) Limited	5044
534	Yankuang Group (Cayman) Limited	5705
535	Yichang High-Tech Investment Development Co., Ltd.	5495
536	Yihua Overseas Investment Ltd	5293
537	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
538	Yingde Gases Investment Limited	5793
539	YONGDA Investment Limited	5543
540	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
541	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
542	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
543	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
544	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
545	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
546	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5998
547	Zhangzhou Transportation Development Group Co., Ltd.	5584
548	Zhaohai Investment (BVI) Limited	5547
549	Zhaojin Mining International Finance Limited	5851
550	Zhejiang Baron (BVI) Company Limited	5146
551	Zhengzhou Metro Group Co., Ltd.	5496
552	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
553	Zhongtai International Bond 2017 (BVI) Company Limited	5263
554	Zhongtai International Finance (BVI) Company Limited	5919
555	Zhongyuan Sincere Investment Co. Ltd.	5095
556	Zhongyuan Sincere Investment Co. Ltd.	5596
557	Zhoushan City Investment Group Corporation Limited	5487
558	Zhuji Development Limited	5480
559	Zhuzhou City Construction Development Group Co., Ltd.	4531
560	Zhuzhou City Construction Development Group Co., Ltd.	5710
561	Zijin International Capital Company Limited	5188

第3類豁免：適用於股份在香港聯合交易所有限公司上市的以法團形式運作的開放式集體投資計劃

名稱	聯交所 股份代號	
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

* 此基金為一隻合成交易所買賣基金

第4類豁免：適用於聯交所的交易所參與者

名稱	
1	中國創盈市場服務有限公司
2	中國投資信息有限公司

第5類豁免：適用於屬結算參與者的結算所

名稱	
1	中國證券登記結算有限責任公司