

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 及 5890)
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

第2類豁免：適用於結構性產品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 BOCI Aisa Limited	2007年12月21日	2019年12月20日
2 BNP Paribas Issuance B.V.	2007年12月21日	2019年12月20日
3 Citigroup Global Markets Holdings Inc. (注解 2)	2009年6月15日	2015年6月14日
4 Credit Suisse AG	2007年12月21日	2019年12月20日
5 Daiwa Capital Markets Hong Kong Limited (注解 3)	2010年7月20日	2016年7月19日
6 Goldman Sachs Structured Products (Asia) Limited	2007年12月21日	2019年12月20日
7 Haitong International Securities Company Limited (注解 4)	2017年3月16日	2019年3月15日
8 J.P. Morgan Structured Products B.V.	2007年12月21日	2019年12月20日
9 Macquarie Bank Limited	2008年1月1日	2019年12月31日
10 Nomura International plc (注解 5)	2009年12月10日	2015年12月9日
11 SG Issuer	2016年4月1日	2019年3月31日
12 SGA Société Générale Acceptance N.V. (注解 6)	2007年12月21日	2016年12月20日
13 Standard Chartered Bank (注解 7)	2010年6月28日	2016年6月27日
14 The Hongkong and Shanghai Banking Corporation Ltd	2007年12月23日	2019年12月22日
15 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: 授予Citigroup Global Markets Holdings Inc.的豁免已於2015年6月14日到期，而此前授予Citigroup Global Markets Holdings Inc.的豁免對其在2007年12月21日至2008年12月20日期間及2009年6月15日至2015年6月14日期間所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Daiwa Capital Markets Hong Kong Limited的豁免已於2016年7月19日到期，而此前授予Daiwa Capital Markets Hong Kong Limited的豁免對其在2010年7月20日至2016年7月19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4: 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5: 授予Nomura International plc的豁免已於2015年12月9日到期，而此前授予Nomura International plc的豁免對其在2009年12月10日至2015年12月9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6: 授予SGA Société Générale Acceptance N.V.的豁免已於2016年12月20日到期，而此前授予SGA Société Générale Acceptance N.V.的豁免對其在2007年12月21日至2016年12月20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7: 授予Standard Chartered Bank的豁免已於2016年6月27日到期，而此前授予Standard Chartered Bank的豁免對其在2010年6月28日至2016年6月27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。

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 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 CCB (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	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	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	U.S. \$2,500,000,000 Medium Term Note and Senior Perpetual Securities
37	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
38	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
39	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
40	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
41	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
42	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
43	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
44	HLP Finance Limited	US\$3 billion Medium Term Note Programme
45	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
46	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
47	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
48	Huarong Finance 2017 Co., Ltd.	U.S. \$14,500,000,000 Medium Term Note Programme
49	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
50	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
51	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
52	Industrial and Commercial Bank of Asia (China) Limited	U.S. \$6,000,000,000 Medium Term Note Programme
53	Industrial Bank Co., Ltd.	U.S. \$5,000,000,000 Medium Term Note Programme
54	Inventive Global Investments Limited	U.S. \$3,500,000,000 Medium Term Note Programme
55	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
56	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
57	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
58	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
59	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
60	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
61	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
62	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
63	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
64	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
65	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
66	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
67	Sichuan Development Holding Co., Ltd. and Yieldking	US\$2,000,000,000 Medium Term Note Programme
68	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
69	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
70	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
71	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
72	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
73	Splendid International Investment Limited	U.S. \$1,500,000,000 Medium Term Note Programme
74	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
75	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
76	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
77	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
78	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
79	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
80	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
81	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
82	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
83	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
84	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
85	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
86	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
87	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
88	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
89	Wharf REIC Finance (BVI) Limited	U.S. \$3,000,000,000 Medium Term Note Programme
90	Wheelock Finance (BVI) Limited, Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
91	CMB Wing Lung Bank Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
92	Yuexiu REIT MTN Company Limited	US\$1,500,000,000 Medium Term Note Programme

第2類豁免：適用於就某一特定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	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 Airvessel Finance Holding Limited	5789
6 Alibaba Group Holding Limited	5842
7 Alibaba Group Holding Limited	5843

8	Alibaba Group Holding Limited	5844
9	Alibaba Group Holding Limited	5845
10	Amber Circle Funding Limited	4586
11	Amber Treasure Ventures Limited	5209
12	Amber Treasure Ventures Limited	5243
13	Anhui Provincial Investment Group Holding Co., Ltd.	5186
14	Anhui Transportation Holding Group (H.K.) Limited	5158
15	Asia View Limited	5788
16	AVIC International Finance & Investment Limited	4497
17	AVIC International Finance & Investment Limited	5966
18	Axiata SPV1 (Labuan) Limited	4320
19	Azure Orbit III International Finance Limited	5620
20	Azure Orbit III International Finance Limited	5621
21	Azure Orbit International Finance Limited	5909
22	Bank of China (Hong Kong) Limited	4316
23	Baoji Investment (Group) Co., Ltd.	5492
24	Baosteel Financing 2015 Pty Ltd	5866
25	BCEG (HongKong) Company Limited	5145
26	Beijing Enterprises Water Capital Management Limited	4480
27	Beijing Gas Singapore Capital Corporation	5213
28	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
29	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
30	Blue Skyview Company Limited	5364
31	Bluestar Finance Holdings Limited	4550
32	Bluestar Finance Holdings Limited	4556
33	Bluestar Finance Holdings Limited	5089
34	Bluestar Finance Holdings Limited	5599
35	Boom Up Investments Limited	5544
36	Bright Galaxy International Limited	5927
37	Cable and Wireless International Finance B.V.	1077
38	Cable and Wireless International Finance B.V.	1078
39	Caiyun International Investment Limited	5682
40	CALC Bond 1 Limited	5642
41	CALC Bond 2 Limited	4300
42	CALC Bond 3 Limited	5390
43	CALC Bond 3 Limited	5391
44	CCB Life Insurance Company Limited	5437
45	CCBL (Cayman) Corporation Limited	5548
46	CCCI Treasure Limited	5893
47	CCTI 2017 Ltd	5258
48	CDBL Funding 1	5849
49	CDBL Funding 1	5850
50	Central Plaza Development Ltd.	5919
51	CGNPC International Limited	5058
52	CGNPC International Limited	5059
53	CGNPC International Limited	5153
54	CGNPC International Limited	5154
55	CGNPC International Limited	5519
56	Chalco Hong Kong Investment Company Limited	5151
57	Chalco Hong Kong Investment Company Limited	5920
58	Chalco Hong Kong Investment Company Limited	5727
59	Chalco Hong Kong Investment Company Limited	5985
60	Chalieco Hong Kong Corporation Limited	5321
61	Chalieco Hong Kong Corporation Limited	5702
62	Chang Development International Limited	5090
63	Chang Development International Limited	5345
64	Changde Urban Construction and Investment Group Co., Ltd.	5328
65	Changde Urban Construction and Investment Group Co., Ltd.	5509
66	Changsha Pilot Investment Holdings Co., Ltd.	5315
67	Charter Style International Limited	85993
68	Chengdu Communications Investment Group Corporation Limited	5062
69	Chengdu Communications Investment Group Corporation Limited	5493
70	Chengdu Hi-tech Investment Group Co., Ltd.	5206
71	Chengdu Xingcheng Investment Group Co., Ltd.	5314
72	Cheung Kong Bond Securities (02) Limited	4559
73	Cheung Kong Bond Securities (03) Limited	4595
74	Cheung Kong Infrastructure Finance (BVI) Limited	5060
75	China Cinda Finance (2014) Limited	5747
76	China Cinda Finance (2014) Limited	5748
77	China CITIC Bank International Limited	5199
78	China CITIC Bank International Limited	5728
79	China CITIC Bank International Limited	5992
80	China CITIC Bank International Limited	4594
81	China Clean Energy Development Limited	5568
82	China Development Bank Corporation	85904
83	China Development Bank Corporation	85905
84	China Development Bank Corporation	85934
85	China Energy Reserve and Chemicals Group Holding Limited	5639
86	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
87	China Huadian Overseas Development 2018 Limited	4491
88	China Life Insurance (Overseas) Co., Ltd	5250
89	China Merchants Finance Company Limited	4548
90	China Merchants Finance Company Limited	5554
91	China Merchants Finance Company Limited	5555
92	China Minmetals Corporation	4442
93	China Minmetals Corporation	5009
94	China Oceanwide International Financial Management Co., Ltd	5623
95	China Overseas Finance (Cayman) II Limited	4503
96	China Overseas Finance (Cayman) III Limited	5988
97	China Overseas Finance (Cayman) III Limited	5989

98	China Overseas Finance (Cayman) V Limited	4579
99	China Overseas Finance (Cayman) V Limited	4580
100	China Overseas Finance (Cayman) VI Limited	5745
101	China Overseas Finance (Cayman) VI Limited	5746
102	China Overseas Finance (Cayman) VI Limited	5760
103	China Overseas Finance (Cayman) VII Limited	4475
104	China Overseas Finance (Cayman) VII Limited	4476
105	China Overseas Finance Investment (Cayman) V Limited	5600
106	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
107	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
108	China Overseas Land International (Cayman) Limited	5541
109	China Railway Resources Huitung Limited	5904
110	China Railway XunJie Co., Limited	5244
111	China Railway XunJie Co., Limited	5692
112	China Resources Power East Foundation Co., Ltd.	4516
113	China Shenhua Overseas Capital Company Limited	5862
114	China Shenhua Overseas Capital Company Limited	5863
115	China Shipping Overseas Finance 2013 Limited	6020
116	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
117	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
118	China Southern Power Grid International Finance (BVI) Co., Limited	4583
119	China Southern Power Grid International Finance (BVI) Co., Limited	4598
120	China State Construction Finance (Cayman) I Limited	5462
121	China State Construction Finance (Cayman) II Limited	5037
122	China State Construction Finance (Cayman) II Limited	5038
123	China Taiping Capital Limited	4582
124	China Taiping New Horizon Limited	5984
125	China Yangtze Power International (BVI) 1 Limited	5300
126	China Yangtze Power International (BVI) 2 Limited	5301
127	Chinalco Capital Holdings Limited	4301
128	Chinalco Capital Holdings Limited	5438
129	Chinalco Finance Holdings Limited	5854
130	Chiyu Banking Corporation Limited	5034
131	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5488
132	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
133	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
134	Chouzhou International Investment Limited	5056
135	CITIC Telecom International Finance Limited	5908
136	CLP Power HK Finance Ltd.	5740
137	CLP Power Hong Kong Financing Limited	4306
138	CLP Power Hong Kong Financing Limited	4318
139	CMHI Finance (BVI) Co., Ltd	5134
140	CMHI Finance (BVI) Co., Ltd	5135
141	CNI Capital Limited	85725
142	CNMC International Capitals Company Limited	5608
143	CNOOC Curtis Funding No. 1 Pty Ltd	5972
144	CNOOC Curtis Funding No. 1 Pty Ltd	5973
145	CNOOC Finance (2003) Limited	2568
146	CNOOC Finance (2011) Limited	4506
147	CNOOC Finance (2011) Limited	4507
148	CNOOC Finance (2012) Limited	4546
149	CNOOC Finance (2012) Limited	4547
150	CNOOC Finance (2013) Limited	5941
151	CNOOC Finance (2013) Limited	5942
152	CNOOC Finance (2015) Australia Pty Ltd	5506
153	CNOOC Finance (2015) Australia Pty Ltd	5507
154	CNOOC Finance (2015) U.S.A. LLC	4478
155	CNOOC Finance (2015) U.S.A. LLC	4479
156	CNOOC Finance (2015) U.S.A. LLC	5508
157	CNOOC Nexen Finance (2014) ULC	5738
158	CNOOC Nexen Finance (2014) ULC	5739
159	CNPC (HK) Overseas Capital Ltd.	4513
160	CNPC (HK) Overseas Capital Ltd.	4514
161	CNPC General Capital Limited	4544
162	CNPC General Capital Limited	5750
163	CNPC General Capital Limited	5923
164	Coastal Emerald Limited	4438
165	COSCO Pacific Finance (2013) Company Limited	5900
166	COSL Finance (BVI) Limited	4563
167	Cosmos Boom Investment Limited	5534
168	CRCC Yupeng Limited	5778
169	CRCC Yuxiang Limited	5945
170	Crotona Assets Limited	5724
171	CSCEC Finance (Cayman) I Limited	5574
172	CSCEC Finance (Cayman) II Limited	5232
173	CSCEC Finance (Cayman) II Limited	5233
174	CSCEC Finance (Cayman) II Limited	5668
175	CSCEC Finance (Cayman) II Limited	5669
176	CSCI Finance (2015) Co. Ltd	5564
177	CSSC Capital One Limited	5181
178	CSSC Capital Two Limited	5182
179	Dah Sing Bank, Limited	5316
180	Dah Sing Bank, Limited	6021
181	Dangdai International Investments Ltd	5027
182	Dianjian Haixing Limited	5816
183	Double Rosy Limited	5829
184	DYNAMIC MISSION INVESTMENTS LIMITED	5386
185	Ease Trade Global Limited	4458
186	Eastern Air Overseas (Hong Kong) Corporation Limited	5022

187	Eastern Creation Investment Holdings Ltd.	5714
188	Excel Capital Global Limited	4496
189	Expand Lead Limited	5165
190	First FZ Bond Limited	5275
191	Fita International Limited	4315
192	FPC Capital Limited	5107
193	FPC Treasury Limited	5924
194	Franshion Brilliant Limited	5030
195	Franshion Brilliant Limited	5229
196	Franshion Brilliant Limited	5347
197	Franshion Brilliant Limited	5385
198	Franshion Brilliant Limited	5472
199	Franshion Brilliant Limited	5713
200	Franshion Brilliant Limited	85732
201	Fujian Zhanglong Group Co., Ltd.	5331
202	Full Dragon (Hong Kong) International Development Limited	4428
203	FWD Group Limited	5019
204	FWD Group Limited	5221
205	FWD Limited	4416
206	FWD Limited	5351
207	FWD Limited	5803
208	Gansu Province Electric Power Investment Group Co., Ltd.	5466
209	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
210	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
211	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
212	Gaoxin International Investment Co., Ltd	5335
213	GOHL Capital Limited	5352
214	GRAM International Limited	5587
215	Granda Century Limited	5152
216	Green Fortune Capital Limited	5288
217	Greenland Global Investment Limited	5768
218	Greenland Global Investment Limited	5769
219	Guang Ying Investment Limited	4492
220	Guangsha Holding Group Co., Ltd.	5456
221	Guangxi Communications Investment Group Corporation. Ltd	5921
222	Guangxi Financial Investment Group Co., Ltd.	5098
223	GUANGZHOU Silk Road Investment Limited	5323
224	Guotai Junan Financial Holdings (BVI) Limited	5754
225	Haichuan International Investment Co., Ltd.	4538
226	Haichuan International Investment Co., Ltd.	5460
227	Haitian (BVI) International Investment Development Limited	5061
228	Haitong International Finance 2014 Limited	5801
229	Haitong International Finance 2015 Limited	5867
230	Haitong International Finance Holdings 2015 Limited	5892
231	Hangzhou Fuyang Chengtuo Group (HK) Limited	5469
232	Hanrui Overseas Investment Co Ltd	5081
233	Hanrui Overseas Investment Co Ltd	5680
234	Harvest International Company	5024
235	Henson Finance Limited	4312
236	Hesteel Hong Kong Co., Limited	5417
237	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
238	Hong Kong Sukuk 2014 Limited	4223
239	Hong Kong Sukuk 2015 Limited	4226
240	Hong Kong Sukuk 2017 Limited	4233
241	Hong Seng Limited	4484
242	Hongkong Baorong Development Limited	5465
243	Hongkong Electric Finance Limited	4505
244	Hongkong International (Qingdao) Company Limited	5023
245	Hongkong International (Qingdao) Company Limited	5048
246	Hongkong International (Qingdao) Company Limited	5191
247	Hongkong International (Qingdao) Company Limited	5874
248	Hongkong International (Qingdao) Company Limited	5875
249	HongKong Xiangyu Investment Co., Limited	4409
250	Huafa Group 2018 I Company Limited	5150
251	Huai'an Traffic Holding Co., Ltd.	5784
252	Huaibei City Construction Investment Holding Group Company Limited	5474
253	Huaneng Hong Kong Capital Limited	5000
254	Huantaihu International investment Co., Ltd	5413
255	Huarong Finance Co., Ltd.	5774
256	Huasing International Holdings Co., Limited	4448
257	Huasing International Holdings Co., Limited	4449
258	Huatai International Finance I Limited	5812
259	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
260	Huaxing Investment Holding Company Limited	5363
261	Huayi Finance I Ltd.	5847
262	Huayuan Property Co., Ltd.	5239
263	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
264	Hunan Xiangjiang New Area Development Group Co Ltd	5223
265	Huzhou City Investment Development Group Co., Ltd.	5074
266	Huzhou Communications Investment Group Co., Ltd.	85740
267	ICBCIL Finance Co. Limited	5884
268	IFC Development (Corporate Treasury) Limited	5715
269	IFC Development (Corporate Treasury) Limited	5756
270	IFC Development (Corporate Treasury) Limited	5757
271	IFC Development (Corporate Treasury) Limited	5949
272	Industrial and Commercial Bank of China (Asia) Limited	5686
273	Industrial and Commercial Bank of China (Asia) Limited	5976
274	Industrial and Commercial Bank of China (Macau) Limited	5797
275	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
276	JIC Zhixin Limited	5031

277	JIC Zhixin Limited	5032
278	Jinan Hi-tech Holding Group Co., Ltd.	5481
279	Jinan West City Investment and Development Group Co., Ltd.	4588
280	Jinshine International Co., Ltd.	4451
281	Jiuding Group Finance Co., Ltd	5246
282	Keen Idea Global Limited	5393
283	King Power Capital Ltd.	5822
284	King Power Capital Ltd.	5823
285	King Talent Management Limited	5026
286	Korean Reinsurance Company	5815
287	Kunzhi Limited	4464
288	Kunzhi Limited	5100
289	Lai Fung Bonds (2018) Limited	5087
290	Legend Fortune Limited	5128
291	Lingang Wings Inc	5149
292	LS Finance (2022) Limited	4571
293	LS Finance (2025) Limited	5535
294	LSD Bonds (2017) Limited	5270
295	Luso International Banking Limited	5078
296	Lvqi Holdings Co., Ltd.	4456
297	Malaysia Sovereign Sukuk Berhad	5894
298	Malaysia Sovereign Sukuk Berhad	5895
299	Malaysia Sukuk Global Berhad	5633
300	Malaysia Sukuk Global Berhad	5634
301	MCC Holding (Hong Kong) Corporation Limited	4483
302	MCC Holding (Hong Kong) Corporation Limited	5210
303	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
304	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
305	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
306	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
307	Minmetals Land Capital Limited	5933
308	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
309	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
310	Nanyang Commercial Bank, Limited	5214
311	New Lion Bridge Company Limited	5290
312	New Rose Investments Limited	5344
313	Nimble City Limited	5144
314	Nuoxi Capital Limited	4401
315	Nuoxi Capital Limited	4402
316	Nuoxi Capital Limited	5436
317	Nuoxi Capital Limited	5484
318	NWD Finance (BVI) Limited	4561
319	Oceanwide Holdings International 2015 Co., Limited	5557
320	Oceanwide Holdings International 2017 Co., Limited	5035
321	Oceanwide Holdings International 2017 Co., Limited	5251
322	Oceanwide Holdings International Development III Co., Ltd.	5196
323	Oceanwide Real Estate International Holding Company Limited	5798
324	Orient Huizhi Limited	5041
325	Oriental Capital Company Limited	5305
326	Oversea-Chinese Banking Corporation Limited	85912
327	OVPH Limited	5614
328	PB Issuer (No.4) Limited	5525
329	Peixian State-owned Assets Management Company Limited	5336
330	Petron Corporation	5905
331	PETRONAS Global Sukuk Ltd.	5882
332	PHBS Limited	4325
333	Phoenix Charm International Investment Limited	5332
334	Phoenix Lead Limited	5262
335	Poly Real Estate Finance Ltd	4417
336	Poly Real Estate Finance Ltd	5164
337	Poly Real Estate Finance Ltd.	5730
338	Powerchina Real Estate Group Ltd.	5471
339	Press Metal (Labuan) Ltd.	5299
340	Prosperous Ray Limited	5994
341	Proven Honour Capital Limited	5516
342	Proven Honour Capital Limited	5641
343	PTT Public Company Limited	2527
344	Pulai Capital Limited	4540
345	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
346	Qinghai Provincial Investment Group Co., Ltd.	4450
347	Qinghai Provincial Investment Group Co., Ltd.	5380
348	Radiant Access Limited	5205
349	Rail Transit International Investment Company Limited	5643
350	Rail Transit International Investment Company Limited	5644
351	Reward International Investment Limited	5360
352	RKI Overseas Finance 2016 (A) Limited	5695
353	RKI Overseas Finance 2016 (B) Limited	4309
354	Rongshi International Finance Limited	5448
355	Rongshi International Finance Limited	5449
356	Rosy Delta Investments Limited	5097
357	SCIG International Financial Limited	5174
358	SDG FINANCE I LIMITED	5192
359	SDSC Global Finance Limited	5303
360	SDSC International Finance Limited	5827
361	SF Holding Investment Limited	5130
362	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5504
363	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
364	Shandong Commercial Group Co., Ltd.	5512
365	Shandong Energy Australia Pty Ltd	5248
366	Shandong Iron and Steel Xinheng International Company Limited	4453
367	Shandong Iron and Steel Xinheng International Company Limited	5063
368	Shandong Iron and Steel Xinheng International Company Limited	5470

369	Shandong Iron and Steel Xinheng International Company Limited	5601
370	Shanghai Commercial Bank Limited	5043
371	Shanghai Electric Power Finance Limited	5558
372	Shanghai Port Group (BVI) Holding Co., Limited	5255
373	Shanghai Port Group (BVI) Holding Co., Limited	5256
374	Shangrao Investment Holdings International Company Limited	4429
375	Shanghai (Hong Kong) International Investments Limited	5435
376	Shaoxing City Investment Group Limited	5489
377	Shine Power International Limited	5777
378	Si Fa Investment Limited	5490
379	Sichuan Communications Overseas Development Co., Ltd.	5399
380	SIHC International Capital Ltd	5176
381	SIHC International Capital Ltd	5177
382	Silver Sparkle Limited	5697
383	Sino Trendy Investment Limited	4407
384	Sinochem Global Capital Co., Ltd.	5935
385	Sinochem Overseas Capital Company Limited	4501
386	Sinochem Overseas Capital Company Limited	4502
387	Sino-Ocean Land Treasure Finance I Limited	5781
388	Sino-Ocean Land Treasure Finance I Limited	5782
389	Sino-Ocean Land Treasure Finance II Limited	5868
390	Sino-Ocean Land Treasure Finance II Limited	5869
391	Sino-Ocean Land Treasure III Limited	5276
392	Sino-Ocean Land Treasure IV Limited	5131
393	Skyland Mining (BVI) Limited	5228
394	Skysea International Capital Management Limited	4529
395	SmarTone Finance Limited	5917
396	Societe Generale	5947
397	Societe Generale	5959
398	Societe Generale	5960
399	Societe Generale	5961
400	Societe Generale	5962
401	SPIC 2016 US dollar Bond Company Limited	5324
402	SPIC 2016 US dollar Bond Company Limited	5325
403	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
404	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
405	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
406	State Grid Overseas Investment (2013) Limited	5954
407	State Grid Overseas Investment (2013) Limited	5955
408	State Grid Overseas Investment (2014) Limited	5741
409	State Grid Overseas Investment (2014) Limited	5742
410	State Grid Overseas Investment (2014) Limited	5743
411	State Grid Overseas Investment (2016) Limited	5649
412	State Grid Overseas Investment (2016) Limited	5650
413	State Grid Overseas Investment (2016) Limited	5651
414	State Grid Overseas Investment (2016) Limited	5652
415	Strategic International Group Limited	5241
416	Sunshine Life Insurance Corporation Limited	5627
417	Sunshine Life Insurance Corporation Limited	5628
418	Sunshine Life Insurance Corporation Limited	5629
419	Sujian Economic Development (BVI) Co., Limited	5302
420	Taikang Insurance Group Inc.	5349
421	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
422	The Hongkong and Shanghai Banking Corporation Limited	4323
423	Tianfang Jincheng (BVI) Limited	4403
424	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
425	Tianjin Lingang Investment Holding Co., Ltd.	5148
426	Tianjin Real Estate Group Co., Ltd	5286
427	Tianqi Finco Co., Ltd	5036
428	Tongfang Aqua 2017 Limited	4454
429	Top Luxury Investment Limited	5598
430	Top Wise Excellence Enterprise Co., Ltd.	5402
431	Top Yield Ventures Limited	5102
432	Towngas (Finance) Limited	6018
433	Trade Horizon Global Limited	5133
434	Treasure Generator Limited	5709
435	Triceratops Capital Co., Limited	4408
436	Tsinghua Unic Limited	4413
437	Tsinghua Unic Limited	4414
438	Tsinghua Unic Limited	4415
439	Tuspark Forward Ltd.	5143
440	Tuspark Forward Ltd.	5735
441	TVB Finance Limited	4577
442	Unigroup International Holdings Ltd.	5597
443	Union Life Insurance Co., Ltd.	4322
444	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
445	Vertex Capital Investment Limited	4471
446	Wakala Global Sukuk Berhad	4519
447	Wanda Properties International Co. Limited	6023
448	Want Want China Finance Limited	5446
449	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
450	Wuhan Financial Holdings (Group) Co., Ltd.	5498
451	Wuhan Metro Group Co., Ltd.	5467
452	Wuhan Metro Group Co., Ltd.	5939
453	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
454	Wuhan State-owned Assets Management Limited Company	5070
455	Xiangxing Overseas Investment Co., Ltd.	5329
456	Xiangyu Investment (BVI) Co., Ltd.	5683
457	Xihui Haiwai I Investment Holdings Co., Limited	5679
458	Xingang International Holding Limited	5330
459	Xingsheng (BVI) Company Limited	5172
460	Xinhu (BVI) 2018 Holding Company Limited	5497
461	Xinhu (BVI) Holding Company Limited	5382

462	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
463	Xinxing Industry Investment Company Limited	5065
464	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
465	Yancoal International Resources Development Co., Limited	4552
466	Yancoal International Resources Development Co., Limited	5424
467	Yancoal International Resources Development Co., Ltd	5461
468	Yancoal International Trading Co., Limited	5753
469	Yango (Cayman) Investment Limited	4470
470	Yango (Cayman) Investment Limited	5414
471	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
472	Yankuang Group (Cayman) Limited	5044
473	Yichang High-Tech Investment Development Co., Ltd.	5495
474	Yihua Overseas Investment Ltd	5293
475	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
476	Yingde Gases Investment Limited	5793
477	YONGDA Investment Limited	5543
478	Yunnan Energy Investment Finance Company Ltd.	5632
479	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
480	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
481	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
482	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
483	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
484	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
485	Yuyao Economic Development Zone Construction Investment and Development Co., Ltd	5494
486	Zhaohai Investment (BVI) Limited	5547
487	Zhejiang Baron (BVI) Company Limited	5146
488	Zhengzhou Metro Group Co., Ltd.	5496
489	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
490	ZHIYUAN Group (BVI) Co., Ltd.	5603
491	Zhongtai International Bond 2017 (BVI) Company Limited	5263
492	Zhongtai International Finance (BVI) Company Limited	4418
493	Zhongyuan Sincere Investment Co. Ltd.	5095
494	Zhoushan City Investment Group Corporation Limited	5487
495	Zhuji Development Limited	5480
496	Zhuzhou City Construction Development Group Co., Ltd.	5710
497	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