

## 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
3 英國保誠有限公司	2378
4 哈薩克礦業有限公司 - S	0847
5 迅銷有限公司 - 預託證券	6288

(及 4305, 5348 及 5890)

(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	2018年12月20日
2 BNP Paribas Issuance B.V.	2007年12月21日	2018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	2018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	2018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	2018年12月20日
9 Macquarie Bank Limited	2008年1月1日	2018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	2018年12月22日
15 UBS AG	2007年12月21日	2018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間完結為止。

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 Programm
10 Beijing Capital Polaris Investment Co. Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
11 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
12 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
13 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
14 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
15 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
16 CDBI Treasure 1 Limited	US\$500,000,000 Medium Term Note Programme
17 CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
18 CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme

19	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
20	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
21	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
22	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
23	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
24	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
25	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
26	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
27	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
28	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
29	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
30	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
31	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
32	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
33	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
34	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
35	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
36	DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited	U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme
37	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
38	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
39	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
40	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
41	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
42	HLP Finance Limited	US\$3 billion Medium Term Note Programme
43	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
44	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
45	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
46	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
47	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
48	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
49	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
50	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
51	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
52	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
53	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
54	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
55	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
56	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
57	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
58	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
59	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
60	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
61	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
62	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
63	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
64	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
65	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
66	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
67	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
68	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
69	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
70	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
71	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
72	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
73	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
74	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
75	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
76	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
77	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
78	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
79	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
80	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
81	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
82	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
83	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
84	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
85	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
86	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
87	Wheelock Finance (BVI) Limited, Wheelock Finance (No.1) Limited, Wheelock Finance Limited and Wheelock MTN (Singapore) Pte. Ltd.	US\$3 billion Medium Term Note Programme
88	Wing Lung Bank, Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme
89	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	Airvessel Finance Holding Limited	5789
3	Alibaba Group Holding Limited	5842
4	Alibaba Group Holding Limited	5843
5	Alibaba Group Holding Limited	5844
6	Alibaba Group Holding Limited	5845
7	Amber Circle Funding Limited	4586
8	Amber Treasure Ventures Limited	5209
9	Amber Treasure Ventures Limited	5243
10	Asia View Limited	5788
11	AVIC International Finance & Investment Limited	4497
12	AVIC International Finance & Investment Limited	5965
13	AVIC International Finance & Investment Limited	5966
14	Axiata SPV1 (Labuan) Limited	4320
15	Azure Orbit III International Finance Limited	5620
16	Azure Orbit III International Finance Limited	5621
17	Azure Orbit International Finance Limited	5909
18	Bank of China (Hong Kong) Limited	4316
19	Baosteel Financing 2015 Pty Ltd	5866
20	Baosteel Hong Kong Investment Company Limited	5584
21	Bao-Trans Enterprises Limited	6004
22	Beijing Enterprises Water Capital Management Limited	4480
23	Beijing Gas Singapore Capital Corporation	5213
24	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
25	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
26	Blue Skyview Company Limited	5364
27	Bluestar Finance Holdings Limited	4550
28	Bluestar Finance Holdings Limited	4556
29	Bluestar Finance Holdings Limited	5599
30	Boom Up Investments Limited	5544
31	Bright Galaxy International Limited	5927
32	Cable and Wireless International Finance B.V.	1077
33	Cable and Wireless International Finance B.V.	1078
34	Caiyun International Investment Limited	5682
35	CALC Bond 1 Limited	5642
36	CALC Bond 2 Limited	4300
37	CALC Bond 3 Limited	5390
38	CALC Bond 3 Limited	5391
39	CCB Life Insurance Company Limited	5437
40	CCBL (Cayman) Corporation Limited	5548
41	CCCI Treasure Limited	5893
42	CCTI 2017 Ltd	5258
43	CDBL Funding 1	5849
44	CDBL Funding 1	5850
45	Central Plaza Development Ltd.	5919
46	Century Master Investment Co. Ltd.	5968
47	CGNPC International Limited	5058
48	CGNPC International Limited	5059
49	CGNPC International Limited	5519
50	Chalco Hong Kong Investment Company Limited	5727
51	Chalco Hong Kong Investment Company Limited	5920
52	Chalco Hong Kong Investment Company Limited	5985
53	Chalieco Hong Kong Corporation Limited	5321
54	Chalieco Hong Kong Corporation Limited	5702
55	Chang Development International Limited	5345
56	Changde Urban Construction and Investment Group Co., Ltd.	5328
57	Changsha Pilot Investment Holdings Co., Ltd.	5315
58	Charter Style International Limited	85993
59	Chengdu Communications Investment Group Corporation Limited	5062
60	Chengdu Xingcheng Investment Group Co., Ltd.	5314
61	Cheung Kong Bond Securities (02) Limited	4559
62	Cheung Kong Bond Securities (03) Limited	4595
63	Cheung Kong Infrastructure Finance (BVI) Limited	5060
64	China Cinda Finance (2014) Limited	5747
65	China Cinda Finance (2014) Limited	5748
66	China CITIC Bank International Limited	4594
67	China CITIC Bank International Limited	5728
68	China CITIC Bank International Limited	5992
69	China Clean Energy Development Limited	5568
70	China Development Bank Corporation	85904
71	China Development Bank Corporation	85905
72	China Development Bank Corporation	85933
73	China Development Bank Corporation	85934
74	China Energy Reserve and Chemicals Group Holding Limited	5639
75	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
76	China Huadian Overseas Development 2018 Limited	4491
77	China Life Insurance (Overseas) Co., Ltd	5250
78	China Merchants Finance Company Limited	4548
79	China Merchants Finance Company Limited	5554
80	China Merchants Finance Company Limited	5555
81	China Minmetals Corporation	4442
82	China Minmetals Corporation	5009
83	China Oceanwide International Financial Management Co., Ltd	5623
84	China Overseas Finance (Cayman) II Limited	4503
85	China Overseas Finance (Cayman) III Limited	5987
86	China Overseas Finance (Cayman) III Limited	5988
87	China Overseas Finance (Cayman) III Limited	5989
88	China Overseas Finance (Cayman) V Limited	4579
89	China Overseas Finance (Cayman) V Limited	4580
90	China Overseas Finance (Cayman) VI Limited	5745
91	China Overseas Finance (Cayman) VI Limited	5746
92	China Overseas Finance (Cayman) VI Limited	5760
93	China Overseas Finance (Cayman) VII Limited	4475

94	China Overseas Finance (Cayman) VII Limited	4476
95	China Overseas Finance Investment (Cayman) V Limited	5600
96	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
97	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
98	China Overseas Land International (Cayman) Limited	5541
99	China Railway Resources Huitung Limited	5904
100	China Railway XunJie Co., Limited	5244
101	China Railway XunJie Co., Limited	5692
102	China Resources Power East Foundation Co., Ltd.	4516
103	China Shenhua Overseas Capital Company Limited	5862
104	China Shenhua Overseas Capital Company Limited	5863
105	China Shipping Overseas Finance 2013 Limited	6020
106	China Southern Power Grid International Finance (BVI) Co., Limited	4583
107	China Southern Power Grid International Finance (BVI) Co., Limited	4598
108	China State Construction Finance (Cayman) II Limited	5037
109	China State Construction Finance (Cayman) II Limited	5038
110	China Taiping Capital Limited	4582
111	China Taiping New Horizon Limited	5984
112	China Uranium Development Company Limited	5971
113	China Yangtze Power International (BVI) 1 Limited	5300
114	China Yangtze Power International (BVI) 2 Limited	5301
115	Chinalco Capital Holdings Limited	4301
116	Chinalco Capital Holdings Limited	5438
117	Chinalco Finance Holdings Limited	5854
118	Chiyu Banking Corporation Limited	5034
119	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
120	Chouzhou International Investment Limited	5056
121	CITIC Telecom International Finance Limited	5908
122	CLP Power HK Finance Ltd.	5740
123	CLP Power Hong Kong Financing Limited	4306
124	CLP Power Hong Kong Financing Limited	4318
125	CNI Capital Limited	85725
126	CNMC International Capitals Company Limited	5608
127	CNOOC Curtis Funding No. 1 Pty Ltd	5972
128	CNOOC Curtis Funding No. 1 Pty Ltd	5973
129	CNOOC Finance (2003) Limited	2568
130	CNOOC Finance (2011) Limited	4506
131	CNOOC Finance (2011) Limited	4507
132	CNOOC Finance (2012) Limited	4546
133	CNOOC Finance (2012) Limited	4547
134	CNOOC Finance (2013) Limited	5941
135	CNOOC Finance (2013) Limited	5942
136	CNOOC Finance (2015) Australia Pty Ltd	5506
137	CNOOC Finance (2015) Australia Pty Ltd	5507
138	CNOOC Finance (2015) U.S.A. LLC	4478
139	CNOOC Finance (2015) U.S.A. LLC	4479
140	CNOOC Finance (2015) U.S.A. LLC	5508
141	CNOOC Nexen Finance (2014) ULC	5738
142	CNOOC Nexen Finance (2014) ULC	5739
143	CNPC (HK) Overseas Capital Ltd.	4513
144	CNPC (HK) Overseas Capital Ltd.	4514
145	CNPC General Capital Limited	4544
146	CNPC General Capital Limited	5750
147	CNPC General Capital Limited	5923
148	Coastal Emerald Limited	4438
149	COSCO Pacific Finance (2013) Company Limited	5900
150	COSL Finance (BVI) Limited	4563
151	Cosmos Boom Investment Limited	5534
152	CRCC Yupeng Limited	5778
153	CRCC Yuxiang Limited	5945
154	Crotina Assets Limited	5724
155	CSCEC Finance (Cayman) I Limited	5574
156	CSCEC Finance (Cayman) II Limited	5232
157	CSCEC Finance (Cayman) II Limited	5233
158	CSCEC Finance (Cayman) II Limited	5668
159	CSCEC Finance (Cayman) II Limited	5669
160	CSCI Finance (2015) Co. Ltd	5564
161	Dah Sing Bank, Limited	5316
162	Dah Sing Bank, Limited	6021
163	Dangdai International Investments Ltd	5027
164	Dianjian Haixing Limited	5816
165	Double Rosy Limited	5829
166	DYNAMIC MISSION INVESTMENTS LIMITED	5386
167	Ease Trade Global Limited	4458
168	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
169	Eastern Creation Investment Holdings Ltd.	5714
170	eHi Car Services Limited	5594
171	Excel Capital Global Limited	4496
172	Fita International Limited	4315
173	FPC Capital Limited	5107
174	FPC Treasury Limited	5924
175	Franshion Brilliant Limited	5030
176	Franshion Brilliant Limited	5229
177	Franshion Brilliant Limited	5347
178	Franshion Brilliant Limited	5385
179	Franshion Brilliant Limited	5713
180	Franshion Brilliant Limited	5977
181	Franshion Brilliant Limited	85732
182	Fujian Zhanglong Group Co., Ltd.	5331
183	Full Dragon (Hong Kong) International Development Limited	4428
184	FWD Group Limited	5019
185	FWD Group Limited	5221
186	FWD Limited	4416

187	FWD Limited	5351
188	FWD Limited	5803
189	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
190	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
191	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
192	Gaoxin International Investment Co., Ltd	5335
193	GOHL Capital Limited	5352
194	GRAM International Limited	5587
195	Green Fortune Capital Limited	5288
196	Greenland Global Investment Limited	5768
197	Greenland Global Investment Limited	5769
198	Guang Ying Investment Limited	4492
199	Guangxi Communications Investment Group Corporation. Ltd	5921
200	Guangxi Financial Investment Group Co., Ltd.	5098
201	GUANGZHOU Silk Road Investment Limited	5323
202	Guotai Junan Financial Holdings (BVI) Limited	5754
203	Haichuan International Investment Co., Ltd.	4538
204	Haitian (BVI) International Investment Development Limited	5061
205	Haitong International Finance 2014 Limited	5801
206	Haitong International Finance 2015 Limited	5867
207	Haitong International Finance Holdings 2015 Limited	5892
208	Hanrui Overseas Investment Co Ltd	5081
209	Hanrui Overseas Investment Co Ltd	5680
210	Harvest International Company	5024
211	Henson Finance Limited	4312
212	Hesteel Hong Kong Co., Limited	5417
213	HKCG (Finance) Limited	4303
214	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
215	Hong Kong Sukuk 2014 Limited	4223
216	Hong Kong Sukuk 2015 Limited	4226
217	Hong Kong Sukuk 2017 Limited	4233
218	Hong Seng Limited	4484
219	Hongkong Baorong Development Limited	5595
220	Hongkong Electric Finance Limited	4505
221	Hongkong International (Qingdao) Company Limited	5023
222	Hongkong International (Qingdao) Company Limited	5048
223	Hongkong International (Qingdao) Company Limited	5874
224	Hongkong International (Qingdao) Company Limited	5875
225	HongKong Xiangyu Investment Co., Limited	4409
226	Huai'an Traffic Holding Co., Ltd.	5784
227	Huaneng Hong Kong Capital Limited	5000
228	Huantaihu International investment Co., Ltd	5413
229	Huarong Finance Co., Ltd.	5774
230	Huarui Investment Holding Company Limited	85721
231	Huasing International Holdings Co., Limited	4448
232	Huasing International Holdings Co., Limited	4449
233	Huatai International Finance I Limited	5812
234	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
235	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
236	Huaxing Investment Holding Company Limited	5363
237	Huayi Finance I Ltd.	5847
238	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
239	Huzhou City Investment Development Group Co., Ltd.	5074
240	ICBCIL Finance Co. Limited	5884
241	IFC Development (Corporate Treasury) Limited	5715
242	IFC Development (Corporate Treasury) Limited	5756
243	IFC Development (Corporate Treasury) Limited	5757
244	IFC Development (Corporate Treasury) Limited	5949
245	Industrial and Commercial Bank of China (Asia) Limited	5686
246	Industrial and Commercial Bank of China (Asia) Limited	5976
247	Industrial and Commercial Bank of China (Macau) Limited	5797
248	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
249	JIC Zhixin Limited	5031
250	JIC Zhixin Limited	5032
251	Jinan West City Investment and Development Group Co., Ltd.	4588
252	Jinshine International Co., Ltd.	4451
253	Jiuding Group Finance Co., Ltd	5246
254	Keen Idea Global Limited	5393
255	King Power Capital Ltd.	5822
256	King Power Capital Ltd.	5823
257	King Talent Management Limited	5026
258	Korean Reinsurance Company	5815
259	Kunzhi Limited	4464
260	Kunzhi Limited	5100
261	Lai Fung Bonds (2018) Limited	5087
262	Legend Fortune Limited	5128
263	Logo Star Limited	5996
264	LS Finance (2022) Limited	4571
265	LS Finance (2025) Limited	5535
266	LSD Bonds (2017) Limited	5270
267	Luso International Banking Limited	5078
268	Lvqi Holdings Co., Ltd.	4456
269	Malaysia Sovereign Sukuk Berhad	5894
270	Malaysia Sovereign Sukuk Berhad	5895
271	Malaysia Sukuk Global Berhad	5633
272	Malaysia Sukuk Global Berhad	5634
273	MCC Holding (Hong Kong) Corporation Limited	4483
274	MCC Holding (Hong Kong) Corporation Limited	5210
275	Meiya Power Company Limited	5964
276	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
277	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
278	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
279	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689

280	Minmetals Land Capital Limited	5933
281	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
282	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
283	Nanyang Commercial Bank, Limited	5214
284	New Lion Bridge Company Limited	5290
285	New Rose Investments Limited	5344
286	Nuoxi Capital Limited	4401
287	Nuoxi Capital Limited	4402
288	Nuoxi Capital Limited	5436
289	NWD Finance (BVI) Limited	4561
290	Oceanwide Holdings International 2015 Co., Limited	5557
291	Oceanwide Holdings International 2017 Co., Limited	5035
292	Oceanwide Holdings International 2017 Co., Limited	5251
293	Oceanwide Real Estate International Holding Company Limited	5798
294	Orient Huizhi Limited	5041
295	Oriental Capital Company Limited	5305
296	Oversea-Chinese Banking Corporation Limited	85912
297	OVPH Limited	5614
298	PB Issuer (No.4) Limited	5525
299	Peixian State-owned Assets Management Company Limited	5336
300	Petron Corporation	5905
301	PETRONAS Global Sukuk Ltd.	5882
302	PHBS Limited	4325
303	Phoenix Charm International Investment Limited	5332
304	Phoenix Lead Limited	5262
305	Poly Real Estate Finance Ltd	4417
306	Poly Real Estate Finance Ltd.	5730
307	Poly Real Estate Finance Ltd.	5963
308	Press Metal (Labuan) Ltd.	5299
309	Profit Fast Limited	5578
310	Prosperous Ray Limited	5993
311	Prosperous Ray Limited	5994
312	Proven Honour Capital Limited	5516
313	Proven Honour Capital Limited	5641
314	PTT Public Company Limited	2527
315	Pulai Capital Limited	4540
316	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
317	Qinghai Province General Aviation Group Co., Ltd.	5064
318	Qinghai Provincial Investment Group Co., Ltd.	4450
319	Qinghai Provincial Investment Group Co., Ltd.	5289
320	Qinghai Provincial Investment Group Co., Ltd.	5380
321	Radiant Access Limited	5205
322	Rail Transit International Investment Company Limited	5643
323	Rail Transit International Investment Company Limited	5644
324	Reward International Investment Limited	5360
325	RKI Overseas Finance 2016 (A) Limited	5695
326	RKI Overseas Finance 2016 (B) Limited	4309
327	Rongshi International Finance Limited	5448
328	Rongshi International Finance Limited	5449
329	Rosy Delta Investments Limited	5097
330	SDSC Global Finance Limited	5303
331	SDSC International Finance Limited	5827
332	SF Holding Investment Limited	5130
333	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
334	Shandong Energy Australia Pty Ltd	5248
335	Shandong Gold International Mining Investment Holding Limited	5572
336	Shandong Iron and Steel Xinheng International Company Limited	4453
337	Shandong Iron and Steel Xinheng International Company Limited	5063
338	Shandong Iron and Steel Xinheng International Company Limited	5601
339	Shanghai Commercial Bank Limited	5043
340	Shanghai Electric Power Finance Limited	5558
341	Shanghai Port Group (BVI) Holding Co., Limited	5255
342	Shanghai Port Group (BVI) Holding Co., Limited	5256
343	Shangrao Investment Holdings International Company Limited	4429
344	Shanghai (Hong Kong) International Investments Limited	5435
345	Shine Power International Limited	5777
346	Silver Sparkle Limited	5697
347	Sino Trendy Investment Limited	4407
348	Sinochem Global Capital Co., Ltd.	5935
349	Sinochem Overseas Capital Company Limited	4501
350	Sinochem Overseas Capital Company Limited	4502
351	Sino-Ocean Land Treasure Finance I Limited	5781
352	Sino-Ocean Land Treasure Finance I Limited	5782
353	Sino-Ocean Land Treasure Finance II Limited	5868
354	Sino-Ocean Land Treasure Finance II Limited	5869
355	Sino-Ocean Land Treasure III Limited	5276
356	Sino-Ocean Land Treasure IV Limited	5131
357	Skyland Mining (BVI) Limited	5228
358	Skysea International Capital Management Limited	4529
359	SmarTone Finance Limited	5917
360	Societe Generale	5947
361	Societe Generale	5959
362	Societe Generale	5960
363	Societe Generale	5961
364	Societe Generale	5962
365	SPIC 2016 US dollar Bond Company Limited	5324
366	SPIC 2016 US dollar Bond Company Limited	5325
367	State Grid Overseas Investment (2013) Limited	5954
368	State Grid Overseas Investment (2013) Limited	5955
369	State Grid Overseas Investment (2014) Limited	5741
370	State Grid Overseas Investment (2014) Limited	5742
371	State Grid Overseas Investment (2014) Limited	5743
372	State Grid Overseas Investment (2016) Limited	5649
373	State Grid Overseas Investment (2016) Limited	5650

374	State Grid Overseas Investment (2016) Limited	5651
375	State Grid Overseas Investment (2016) Limited	5652
376	Strategic International Group Limited	5241
377	Sunshine Life Insurance Corporation Limited	5627
378	Sunshine Life Insurance Corporation Limited	5628
379	Sunshine Life Insurance Corporation Limited	5629
380	Suqian Economic Development (BVI) Co., Limited	5302
381	Taikang Insurance Group Inc.	5349
382	The Hongkong and Shanghai Banking Corporation Limited	4323
383	Tianfang Jincheng (BVI) Limited	4403
384	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
385	Tianjin Lingang Investment Holding Co., Ltd	5281
386	Tianjin Real Estate Group Co., Ltd	5286
387	Tianqi Finco Co., Ltd	5036
388	Tongfang Aqua 2017 Limited	4454
389	Top Luxury Investment Limited	5598
390	Top Wise Excellence Enterprise Co., Ltd.	5402
391	Top Yield Ventures Limited	5102
392	Towngas (Finance) Limited	6018
393	Trade Horizon Global Limited	5133
394	Treasure Generator Limited	5709
395	Triceratops Capital Co., Limited	4408
396	Tsinghua Unic Limited	4413
397	Tsinghua Unic Limited	4414
398	Tsinghua Unic Limited	4415
399	Tuspark Forward Ltd.	5581
400	Tuspark Forward Ltd.	5735
401	TVB Finance Limited	4577
402	Unigroup International Holdings Ltd.	5596
403	Unigroup International Holdings Ltd.	5597
404	Union Life Insurance Co., Ltd.	4322
405	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
406	Vertex Capital Investment Limited	4471
407	Wakala Global Sukuk Berhad	4519
408	Wanda Properties International Co. Limited	6023
409	Wanda Properties Overseas Limited	5997
410	Want Want China Finance Limited	5446
411	Wise Source International Limited	5309
412	Wuhan Metro Group Co., Ltd.	5939
413	Wuhan State-owned Assets Management Limited Company	5070
414	Xiangxing Overseas Investment Co., Ltd.	5329
415	Xiangyu Investment (BVI) Co., Ltd.	5683
416	Xihui Haiwai I Investment Holdings Co., Limited	5679
417	Xingang International Holding Limited	5330
418	Xinhu (BVI) Holding Company Limited	5382
419	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
420	Xinxing Industry Investment Company Limited	5065
421	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
422	Yancoal International Resources Development Co., Limited	4552
423	Yancoal International Resources Development Co., Limited	5424
424	Yancoal International Trading Co., Limited	5753
425	Yango (Cayman) Investment Limited	4470
426	Yango (Cayman) Investment Limited	5414
427	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
428	Yankuang Group (Cayman) Limited	5044
429	Yihua Overseas Investment Ltd	5293
430	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
431	Yingde Gases Investment Limited	5793
432	YONGDA Investment Limited	5543
433	Yunnan Energy Investment Finance Company Ltd.	5632
434	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
435	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
436	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
437	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
438	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
439	Zhaohai Investment (BVI) Limited	5547
440	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
441	ZHIYUAN Group (BVI) Co., Ltd.	5603
442	Zhongtai International Bond 2017 (BVI) Company Limited	5263
443	Zhongtai International Finance (BVI) Company Limited	4418
444	Zhongyuan Sincere Investment Co. Ltd.	5095
445	Zhuzhou City Construction Development Group Co., Ltd.	5710
446	Zoucheng Limin Construction Development Company Limited	5079

### 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