

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 哈薩克礦業有限公司 - S	0847	
5 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	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 I Limited	US\$500,000,000 Medium Term Note Programme

17	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
18	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
19	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
20	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
21	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
22	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
23	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
24	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
25	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$10,000,000,000 Medium Term Note Programme
26	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
27	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
28	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
29	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
30	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
31	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
32	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
33	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
34	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
35	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
36	DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited	U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme
37	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
38	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 Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
51	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
52	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
53	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
54	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
55	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
56	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
57	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
58	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
59	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
60	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
61	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
62	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
63	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
64	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
65	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
66	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
67	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
68	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
69	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
70	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
71	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
72	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
73	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
74	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
75	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
76	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
77	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
78	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
79	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
80	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
81	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
82	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
83	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
84	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
85	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
86	Wing Lung Bank, Limited Yuexiu REIT MTN Company Limited	U.S. \$2,000,000,000 Euro Medium Term Note Programme 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 Anhui Transportation Holding Group (H.K.) Limited	5529
11 Asia View Limited	5788
12 AVIC International Finance & Investment Limited	4497
13 AVIC International Finance & Investment Limited	5965
14 AVIC International Finance & Investment Limited	5966
15 Axiata SPV1 (Labuan) Limited	4320
16 Azure Orbit III International Finance Limited	5620
17 Azure Orbit III International Finance Limited	5621
18 Azure Orbit International Finance Limited	5909
19 Bank of China (Hong Kong) Limited	4316
20 Baosteel Financing 2015 Pty Ltd	5866
21 Baosteel Hong Kong Investment Company Limited	5584
22 Bao-Trans Enterprises Limited	6004
23 BCEG (HongKong) Company Limited	5532
24 Beijing Enterprises Water Capital Management Limited	4480
25 Beijing Gas Singapore Capital Corporation	5213
26 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
27 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
28 Blue Skyview Company Limited	5364
29 Bluestar Finance Holdings Limited	4550
30 Bluestar Finance Holdings Limited	4556
31 Bluestar Finance Holdings Limited	5599
32 Boom Up Investments Limited	5544
33 Bright Galaxy International Limited	5927
34 Cable and Wireless International Finance B.V.	1077
35 Cable and Wireless International Finance B.V.	1078
36 Caiyun International Investment Limited	5682
37 CALC Bond 1 Limited	5642
38 CALC Bond 2 Limited	4300
39 CALC Bond 3 Limited	5390
40 CALC Bond 3 Limited	5391
41 CCB Life Insurance Company Limited	5437
42 CCBL (Cayman) Corporation Limited	5548
43 CCCI Treasure Limited	5893
44 CCTI 2017 Ltd	5258
45 CDBL Funding 1	5849
46 CDBL Funding 1	5850
47 Central Plaza Development Ltd.	5919
48 Century Master Investment Co. Ltd.	5968
49 CGNPC International Limited	5058
50 CGNPC International Limited	5059
51 CGNPC International Limited	5519
52 Chalco Hong Kong Investment Company Limited	5727
53 Chalco Hong Kong Investment Company Limited	5920
54 Chalco Hong Kong Investment Company Limited	5985
55 Chalieco Hong Kong Corporation Limited	5321
56 Chalieco Hong Kong Corporation Limited	5702
57 Chang Development International Limited	5345
58 Changde Urban Construction and Investment Group Co., Ltd.	5328
59 Changsha Pilot Investment Holdings Co., Ltd.	5315
60 Charter Style International Limited	85993
61 Chengdu Communications Investment Group Corporation Limited	5062
62 Chengdu Xingcheng Investment Group Co., Ltd.	5314
63 Cheung Kong Bond Securities (02) Limited	4559
64 Cheung Kong Bond Securities (03) Limited	4595
65 Cheung Kong Infrastructure Finance (BVI) Limited	5060
66 China Cinda Finance (2014) Limited	5747
67 China Cinda Finance (2014) Limited	5748
68 China CITIC Bank International Limited	4594
69 China CITIC Bank International Limited	5728
70 China CITIC Bank International Limited	5992
71 China Clean Energy Development Limited	5568
72 China Development Bank Corporation	85904
73 China Development Bank Corporation	85905
74 China Development Bank Corporation	85933
75 China Development Bank Corporation	85934
76 China Energy Reserve and Chemicals Group Holding Limited	5639
77 China Energy Reserve and Chemicals Group Overseas Company Limited	5503
78 China Great Wall International Holdings II Limited	5533
79 China Huadian Overseas Development 2018 Limited	4491
80 China Life Insurance (Overseas) Co., Ltd	5250
81 China Merchants Finance Company Limited	4548
82 China Merchants Finance Company Limited	5554
83 China Merchants Finance Company Limited	5555
84 China Minmetals Corporation	4442

85	China Minmetals Corporation	5009
86	China Oceanwide International Financial Management Co., Ltd	5623
87	China Overseas Finance (Cayman) II Limited	4503
88	China Overseas Finance (Cayman) III Limited	5987
89	China Overseas Finance (Cayman) III Limited	5988
90	China Overseas Finance (Cayman) III Limited	5989
91	China Overseas Finance (Cayman) V Limited	4579
92	China Overseas Finance (Cayman) V Limited	4580
93	China Overseas Finance (Cayman) VI Limited	5745
94	China Overseas Finance (Cayman) VI Limited	5746
95	China Overseas Finance (Cayman) VI Limited	5760
96	China Overseas Finance (Cayman) VII Limited	4475
97	China Overseas Finance (Cayman) VII Limited	4476
98	China Overseas Finance Investment (Cayman) V Limited	5600
99	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
100	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
101	China Overseas Land International (Cayman) Limited	5541
102	China Railway Resources Huitung Limited	5904
103	China Railway XunJie Co., Limited	5244
104	China Railway XunJie Co., Limited	5692
105	China Resources Power East Foundation Co., Ltd.	4516
106	China Shenhua Overseas Capital Company Limited	5862
107	China Shenhua Overseas Capital Company Limited	5863
108	China Shipping Overseas Finance 2013 Limited	6020
109	China Southern Power Grid International Finance (BVI) Co., Limited	4583
110	China Southern Power Grid International Finance (BVI) Co., Limited	4598
111	China State Construction Finance (Cayman) II Limited	5037
112	China State Construction Finance (Cayman) II Limited	5038
113	China Taiping Capital Limited	4582
114	China Taiping New Horizon Limited	5984
115	China Uranium Development Company Limited	5971
116	China Yangtze Power International (BVI) 1 Limited	5300
117	China Yangtze Power International (BVI) 2 Limited	5301
118	Chinalco Capital Holdings Limited	4301
119	Chinalco Capital Holdings Limited	5438
120	Chinalco Finance Holdings Limited	5854
121	Chiyu Banking Corporation Limited	5034
122	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
123	Chouzhou International Investment Limited	5056
124	CITIC Telecom International Finance Limited	5908
125	CLP Power HK Finance Ltd.	5740
126	CLP Power Hong Kong Financing Limited	4306
127	CLP Power Hong Kong Financing Limited	4318
128	CMHI Finance (BVI) Co., Ltd.	4302
129	CNI Capital Limited	85725
130	CNMC International Capitals Company Limited	5608
131	CNOOC Curtis Funding No. 1 Pty Ltd	5972
132	CNOOC Curtis Funding No. 1 Pty Ltd	5973
133	CNOOC Finance (2003) Limited	2568
134	CNOOC Finance (2011) Limited	4506
135	CNOOC Finance (2011) Limited	4507
136	CNOOC Finance (2012) Limited	4546
137	CNOOC Finance (2012) Limited	4547
138	CNOOC Finance (2013) Limited	5941
139	CNOOC Finance (2013) Limited	5942
140	CNOOC Finance (2015) Australia Pty Ltd	5506
141	CNOOC Finance (2015) Australia Pty Ltd	5507
142	CNOOC Finance (2015) U.S.A. LLC	4478
143	CNOOC Finance (2015) U.S.A. LLC	4479
144	CNOOC Finance (2015) U.S.A. LLC	5508
145	CNOOC Nexen Finance (2014) ULC	5738
146	CNOOC Nexen Finance (2014) ULC	5739
147	CNPC (HK) Overseas Capital Ltd.	4513
148	CNPC (HK) Overseas Capital Ltd.	4514
149	CNPC General Capital Limited	4544
150	CNPC General Capital Limited	5750
151	CNPC General Capital Limited	5923
152	Coastal Emerald Limited	4438
153	COSCO Pacific Finance (2013) Company Limited	5900
154	COSL Finance (BVI) Limited	4563
155	Cosmos Boom Investment Limited	5534
156	CRCC Yupeng Limited	5778
157	CRCC Yuxiang Limited	5945
158	Crotone Assets Limited	5724
159	CSCEC Finance (Cayman) I Limited	5574
160	CSCEC Finance (Cayman) II Limited	5232
161	CSCEC Finance (Cayman) II Limited	5233
162	CSCEC Finance (Cayman) II Limited	5668
163	CSCEC Finance (Cayman) II Limited	5669
164	CSCI Finance (2015) Co. Ltd	5564
165	Dah Sing Bank, Limited	5316
166	Dah Sing Bank, Limited	6021
167	Dangdai International Investments Ltd	5027
168	Dawn Victor Limited	5524
169	Dianjian Haixing Limited	5816
170	Double Rosy Limited	5829
171	DYNAMIC MISSION INVESTMENTS LIMITED	5386
172	Ease Trade Global Limited	4458
173	Eastern Air Overseas (Hong Kong) Corporation Limited	5022

174	Eastern Creation Investment Holdings Ltd.	5714
175	eHi Car Services Limited	5594
176	e-Sun International Finance Limited	85978
177	Excel Capital Global Limited	4496
178	Fita International Limited	4315
179	FPC Capital Limited	5107
180	FPC Treasury Limited	5924
181	Franshion Brilliant Limited	5030
182	Franshion Brilliant Limited	5229
183	Franshion Brilliant Limited	5347
184	Franshion Brilliant Limited	5385
185	Franshion Brilliant Limited	5713
186	Franshion Brilliant Limited	5977
187	Franshion Brilliant Limited	85732
188	Fujian Zhanglong Group Co., Ltd.	5331
189	Full Dragon (Hong Kong) International Development Limited	4428
190	FWD Group Limited	5019
191	FWD Group Limited	5221
192	FWD Limited	4416
193	FWD Limited	5351
194	FWD Limited	5803
195	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
196	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
197	Gaoxin International Investment Co., Ltd	5335
198	GOHL Capital Limited	5352
199	Goldwind New Energy (HK) Investment Limited	5545
200	GRAM International Limited	5587
201	Green Fortune Capital Limited	5288
202	Greenland Global Investment Limited	5768
203	Greenland Global Investment Limited	5769
204	Guang Ying Investment Limited	4492
205	Guangxi Communications Investment Group Corporation. Ltd	5921
206	Guangxi Financial Investment Group Co., Ltd.	5098
207	GUANGZHOU Silk Road Investment Limited	5323
208	Guotai Junan Financial Holdings (BVI) Limited	5754
209	Haichuan International Investment Co., Ltd.	4538
210	Haitian (BVI) International Investment Development Limited	5061
211	Haitong International Finance 2014 Limited	5801
212	Haitong International Finance 2015 Limited	5867
213	Haitong International Finance Holdings 2015 Limited	5892
214	Hanrui Overseas Investment Co Ltd	5081
215	Hanrui Overseas Investment Co Ltd	5680
216	Harvest International Company	5024
217	Henson Finance Limited	4312
218	Hesteel Hong Kong Co., Limited	5417
219	HKCG (Finance) Limited	4303
220	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
221	Hong Kong Sukuk 2014 Limited	4223
222	Hong Kong Sukuk 2015 Limited	4226
223	Hong Kong Sukuk 2017 Limited	4233
224	Hong Seng Limited	4484
225	Hongkong Baorong Development Limited	5595
226	Hongkong Electric Finance Limited	4505
227	Hongkong International (Qingdao) Company Limited	5023
228	Hongkong International (Qingdao) Company Limited	5048
229	Hongkong International (Qingdao) Company Limited	5874
230	Hongkong International (Qingdao) Company Limited	5875
231	HongKong Xiangyu Investment Co., Limited	4409
232	Huai'an Traffic Holding Co., Ltd.	5784
233	Huaneng Hong Kong Capital Limited	5000
234	Huaneng Hong Kong Capital Limited	5957
235	Huantaihu International investment Co., Ltd	5413
236	Huarong Finance Co., Ltd.	5774
237	Huarui Investment Holding Company Limited	85721
238	Huasing International Holdings Co., Limited	4448
239	Huasing International Holdings Co., Limited	4449
240	Huatai International Finance I Limited	5812
241	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
242	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
243	Huaxing Investment Holding Company Limited	5363
244	Huayi Finance I Ltd.	5847
245	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
246	Huzhou City Investment Development Group Co., Ltd.	5074
247	ICBCIL Finance Co. Limited	5884
248	IFC Development (Corporate Treasury) Limited	5715
249	IFC Development (Corporate Treasury) Limited	5756
250	IFC Development (Corporate Treasury) Limited	5757
251	IFC Development (Corporate Treasury) Limited	5949
252	Industrial and Commercial Bank of China (Asia) Limited	5686
253	Industrial and Commercial Bank of China (Asia) Limited	5976
254	Industrial and Commercial Bank of China (Macau) Limited	5797
255	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
256	JIC Zhixin Limited	5031
257	JIC Zhixin Limited	5032
258	Jinan West City Investment and Development Group Co., Ltd.	4588
259	Jinshine International Co., Ltd.	4451
260	Jiuding Group Finance Co., Ltd	5246
261	Keen Idea Global Limited	5393
262	King Power Capital Ltd.	5822

263	King Power Capital Ltd.	5823
264	King Talent Management Limited	5026
265	Korean Reinsurance Company	5815
266	Kunzhi Limited	4464
267	Kunzhi Limited	5100
268	Lai Fung Bonds (2018) Limited	5087
269	Lai Sun Garment International Finance (2014) Limited	85986
270	Logo Star Limited	5996
271	LS Finance (2022) Limited	4571
272	LS Finance (2025) Limited	5535
273	LSD Bonds (2017) Limited	5270
274	Luso International Banking Limited	5078
275	Lvqi Holdings Co., Ltd.	4456
276	Malaysia Sovereign Sukuk Berhad	5894
277	Malaysia Sovereign Sukuk Berhad	5895
278	Malaysia Sukuk Global Berhad	5633
279	Malaysia Sukuk Global Berhad	5634
280	MCC Holding (Hong Kong) Corporation Limited	4483
281	MCC Holding (Hong Kong) Corporation Limited	5210
282	Meiya Power Company Limited	5964
283	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
284	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
285	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
286	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
287	Minmetals Land Capital Limited	5933
288	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
289	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
290	Nanyang Commercial Bank, Limited	5214
291	New Lion Bridge Company Limited	5290
292	New Rose Investments Limited	5344
293	Nuoxi Capital Limited	4401
294	Nuoxi Capital Limited	4402
295	Nuoxi Capital Limited	5436
296	NWD Finance (BVI) Limited	4561
297	Oceanwide Holdings International 2015 Co., Limited	5557
298	Oceanwide Holdings International 2017 Co., Limited	5035
299	Oceanwide Holdings International 2017 Co., Limited	5239
300	Oceanwide Holdings International 2017 Co., Limited	5251
301	Oceanwide Real Estate International Holding Company Limited	5798
302	Orient Huizhi Limited	5041
303	Oriental Capital Company Limited	5305
304	Oversea-Chinese Banking Corporation Limited	85912
305	OVPH Limited	5614
306	PB Issuer (No.4) Limited	5525
307	Peixian State-owned Assets Management Company Limited	5336
308	Petron Corporation	5905
309	PETRONAS Global Sukuk Ltd.	5882
310	PHBS Limited	4325
311	Phoenix Charm International Investment Limited	5332
312	Phoenix Lead Limited	5262
313	Poly Real Estate Finance Ltd	4417
314	Poly Real Estate Finance Ltd.	5730
315	Poly Real Estate Finance Ltd.	5963
316	Press Metal (Labuan) Ltd.	5299
317	Profit Fast Limited	5578
318	Prosperous Ray Limited	5993
319	Prosperous Ray Limited	5994
320	Proven Honour Capital Limited	5516
321	Proven Honour Capital Limited	5641
322	PTT Public Company Limited	2527
323	Pulai Capital Limited	4540
324	Qinghai Province General Aviation Group Co., Ltd.	5064
325	Qinghai Provincial Investment Group Co., Ltd.	4450
326	Qinghai Provincial Investment Group Co., Ltd.	5289
327	Qinghai Provincial Investment Group Co., Ltd.	5380
328	Radiant Access Limited	5205
329	Rail Transit International Investment Company Limited	5643
330	Rail Transit International Investment Company Limited	5644
331	Reward International Investment Limited	5360
332	RKI Overseas Finance 2016 (A) Limited	5695
333	RKI Overseas Finance 2016 (B) Limited	4309
334	Rongshi International Finance Limited	5448
335	Rongshi International Finance Limited	5449
336	Rosy Capital Global Limited	85719
337	Rosy Delta Investments Limited	5097
338	SDSC Global Finance Limited	5303
339	SDSC International Finance Limited	5827
340	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
341	Shandong Energy Australia Pty Ltd	5248
342	Shandong Gold International Mining Investment Holding Limited	5572
343	Shandong Iron and Steel Xinheng International Company Limited	4453
344	Shandong Iron and Steel Xinheng International Company Limited	5063
345	Shandong Iron and Steel Xinheng International Company Limited	5601
346	Shanghai Commercial Bank Limited	5043
347	Shanghai Electric Power Finance Limited	5558
348	Shanghai Port Group (BVI) Holding Co., Limited	5255
349	Shanghai Port Group (BVI) Holding Co., Limited	5256
350	Shangrao Investment Holdings International Company Limited	4429
351	Shanghai (Hong Kong) International Investments Limited	5435
352	Shine Power International Limited	5777

353	Silver Sparkle Limited	5697
354	Sino Trendy Investment Limited	4407
355	Sinochem Global Capital Co., Ltd.	5935
356	Sinochem Overseas Capital Company Limited	4501
357	Sinochem Overseas Capital Company Limited	4502
358	Sino-Ocean Land Treasure Finance I Limited	5781
359	Sino-Ocean Land Treasure Finance I Limited	5782
360	Sino-Ocean Land Treasure Finance II Limited	5868
361	Sino-Ocean Land Treasure Finance II Limited	5869
362	Sino-Ocean Land Treasure III Limited	5276
363	Skyland Mining (BVI) Limited	5228
364	Skysea International Capital Management Limited	4529
365	SmarTone Finance Limited	5917
366	Societe Generale	5947
367	Societe Generale	5959
368	Societe Generale	5960
369	Societe Generale	5961
370	Societe Generale	5962
371	SPIC 2016 US dollar Bond Company Limited	5324
372	SPIC 2016 US dollar Bond Company Limited	5325
373	State Grid Overseas Investment (2013) Limited	5954
374	State Grid Overseas Investment (2013) Limited	5955
375	State Grid Overseas Investment (2014) Limited	5741
376	State Grid Overseas Investment (2014) Limited	5742
377	State Grid Overseas Investment (2014) Limited	5743
378	State Grid Overseas Investment (2016) Limited	5649
379	State Grid Overseas Investment (2016) Limited	5650
380	State Grid Overseas Investment (2016) Limited	5651
381	State Grid Overseas Investment (2016) Limited	5652
382	Strategic International Group Limited	5241
383	Sunshine Life Insurance Corporation Limited	5627
384	Sunshine Life Insurance Corporation Limited	5628
385	Sunshine Life Insurance Corporation Limited	5629
386	Suqian Economic Development (BVI) Co., Limited	5302
387	Taikang Insurance Group Inc.	5349
388	The Hongkong and Shanghai Banking Corporation Limited	4323
389	Tianfang Jincheng (BVI) Limited	4403
390	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
391	Tianjin Lingang Investment Holding Co., Ltd	5281
392	Tianjin Real Estate Group Co., Ltd	5286
393	Tianqi Finco Co., Ltd	5036
394	Tongfang Aqua 2017 Limited	4454
395	Top Luxury Investment Limited	5598
396	Top Wise Excellence Enterprise Co., Ltd.	5402
397	Top Yield Ventures Limited	5102
398	Towngas (Finance) Limited	6018
399	Treasure Generator Limited	5709
400	Triceratops Capital Co., Limited	4408
401	Tsinghua Unic Limited	4413
402	Tsinghua Unic Limited	4414
403	Tsinghua Unic Limited	4415
404	Tuspark Forward Ltd.	5581
405	Tuspark Forward Ltd.	5735
406	TVB Finance Limited	4577
407	Unigroup International Holdings Ltd.	5596
408	Unigroup International Holdings Ltd.	5597
409	Union Life Insurance Co., Ltd.	4322
410	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
411	Vertex Capital Investment Limited	4471
412	Wakala Global Sukuk Berhad	4519
413	Wanda Properties International Co. Limited	6023
414	Wanda Properties Overseas Limited	5997
415	Want Want China Finance Limited	5446
416	Wise Source International Limited	5309
417	Wuhan Metro Group Co., Ltd.	5939
418	Wuhan State-owned Assets Management Limited Company	5070
419	Xiangxing Overseas Investment Co., Ltd.	5329
420	Xiangyu Investment (BVI) Co., Ltd.	5683
421	Xihui Haiwai I Investment Holdings Co., Limited	5679
422	Xingang International Holding Limited	5330
423	Xinhu (BVI) Holding Company Limited	5382
424	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
425	Xinxing Industry Investment Company Limited	5065
426	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
427	Yancoal International Resources Development Co., Limited	4552
428	Yancoal International Resources Development Co., Limited	5424
429	Yancoal International Trading Co., Limited	5753
430	Yango (Cayman) Investment Limited	4470
431	Yango (Cayman) Investment Limited	5414
432	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
433	Yankuang Group (Cayman) Limited	5044
434	Yihua Overseas Investment Ltd	5293
435	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
436	Yingde Gases Investment Limited	5793
437	YONGDA Investment Limited	5543
438	Yunnan Energy Investment Finance Company Ltd.	5632
439	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
440	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
441	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
442	Yunnan Energy Investment Overseas Finance Company Ltd.	5327

443	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
444	Zhaohai Investment (BVI) Limited	5546
445	Zhaohai Investment (BVI) Limited	5547
446	Zhejiang Cultural Tourism Industry Group Co., Ltd.	5319
447	ZHIYUAN Group (BVI) Co., Ltd.	5603
448	Zhongtai International Bond 2017 (BVI) Company Limited	5263
449	Zhongtai International Finance (BVI) Company Limited	4418
450	Zhongyuan Sincere Investment Co. Ltd.	5095
451	Zhuzhou City Construction Development Group Co., Ltd.	5710
452	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