

## 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	2018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	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	2019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 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	US\$3,000,000,000 Guaranteed Medium Term Note Programme
25	China Cinda Finance (2017) I Limited and China Cinda Finance	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 Limited,	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	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	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.,	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	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	Baosteel Financing 2015 Pty Ltd	5866
24	Baosteel Hong Kong Investment Company Limited	5584
25	Bao-Trans Enterprises Limited	6004
26	BCEG (HongKong) Company Limited	5145
27	Beijing Enterprises Water Capital Management Limited	4480
28	Beijing Gas Singapore Capital Corporation	5213
29	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
30	Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
31	Blue Skyview Company Limited	5364
32	Bluestar Finance Holdings Limited	4550
33	Bluestar Finance Holdings Limited	4556
34	Bluestar Finance Holdings Limited	5089
35	Bluestar Finance Holdings Limited	5599
36	Boom Up Investments Limited	5544
37	Bright Galaxy International Limited	5927
38	Cable and Wireless International Finance B.V.	1077
39	Cable and Wireless International Finance B.V.	1078
40	Caiyun International Investment Limited	5682
41	CALC Bond 1 Limited	5642
42	CALC Bond 2 Limited	4300
43	CALC Bond 3 Limited	5390
44	CALC Bond 3 Limited	5391
45	CCB Life Insurance Company Limited	5437
46	CCBL (Cayman) Corporation Limited	5548
47	CCCI Treasure Limited	5893
48	CCTI 2017 Ltd	5258
49	CDBL Funding 1	5849
50	CDBL Funding 1	5850
51	Central Plaza Development Ltd.	5919
52	CGNPC International Limited	5058
53	CGNPC International Limited	5059
54	CGNPC International Limited	5153
55	CGNPC International Limited	5154
56	CGNPC International Limited	5519
57	Chalco Hong Kong Investment Company Limited	5151
58	Chalco Hong Kong Investment Company Limited	5727
59	Chalco Hong Kong Investment Company Limited	5920
60	Chalco Hong Kong Investment Company Limited	5985
61	Chalieco Hong Kong Corporation Limited	5321
62	Chalieco Hong Kong Corporation Limited	5702
63	Chang Development International Limited	5090
64	Chang Development International Limited	5345
65	Change Urban Construction and Investment Group Co., Ltd.	5328
66	Changsha Pilot Investment Holdings Co., Ltd.	5315
67	Charter Style International Limited	85993
68	Chengdu Communications Investment Group Corporation Limited	5062
69	Chengdu Hi-tech Investment Group Co., Ltd.	5206
70	Chengdu Xingcheng Investment Group Co., Ltd.	5314
71	Cheung Kong Bond Securities (02) Limited	4559
72	Cheung Kong Bond Securities (03) Limited	4595
73	Cheung Kong Infrastructure Finance (BVI) Limited	5060
74	China Cinda Finance (2014) Limited	5747
75	China Cinda Finance (2014) Limited	5748
76	China CITIC Bank International Limited	4594
77	China CITIC Bank International Limited	5199
78	China CITIC Bank International Limited	5728
79	China CITIC Bank International Limited	5992
80	China Clean Energy Development Limited	5568
81	China Development Bank Corporation	85904
82	China Development Bank Corporation	85905
83	China Development Bank Corporation	85934
84	China Energy Reserve and Chemicals Group Holding Limited	5639
85	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
86	China Huadian Overseas Development 2018 Limited	4491
87	China Life Insurance (Overseas) Co., Ltd	5250
88	China Merchants Finance Company Limited	4548
89	China Merchants Finance Company Limited	5554
90	China Merchants Finance Company Limited	5555
91	China Minmetals Corporation	4442
92	China Minmetals Corporation	5009
93	China Oceanwide International Financial Management Co., Ltd	5623
94	China Overseas Finance (Cayman) II Limited	4503
95	China Overseas Finance (Cayman) III Limited	5988
96	China Overseas Finance (Cayman) III Limited	5989
97	China Overseas Finance (Cayman) V Limited	4579
98	China Overseas Finance (Cayman) V Limited	4580
99	China Overseas Finance (Cayman) VI Limited	5745
100	China Overseas Finance (Cayman) VI Limited	5746
101	China Overseas Finance (Cayman) VI Limited	5760
102	China Overseas Finance (Cayman) VII Limited	4475
103	China Overseas Finance (Cayman) VII Limited	4476

104	China Overseas Finance Investment (Cayman) V Limited	5600
105	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
106	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
107	China Overseas Land International (Cayman) Limited	5541
108	China Railway Resources Huitung Limited	5904
109	China Railway XunJie Co., Limited	5244
110	China Railway XunJie Co., Limited	5692
111	China Resources Power East Foundation Co., Ltd.	4516
112	China Shenhua Overseas Capital Company Limited	5862
113	China Shenhua Overseas Capital Company Limited	5863
114	China Shipping Overseas Finance 2013 Limited	6020
115	China Southern Power Grid International Finance (BVI) Co., Limited	4583
116	China Southern Power Grid International Finance (BVI) Co., Limited	4598
117	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
118	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
119	China State Construction Finance (Cayman) I Limited	5462
120	China State Construction Finance (Cayman) II Limited	5037
121	China State Construction Finance (Cayman) II Limited	5038
122	China Taiping Capital Limited	4582
123	China Taiping New Horizon Limited	5984
124	China Yangtze Power International (BVI) 1 Limited	5300
125	China Yangtze Power International (BVI) 2 Limited	5301
126	Chinalco Capital Holdings Limited	4301
127	Chinalco Capital Holdings Limited	5438
128	Chinalco Finance Holdings Limited	5854
129	Chiyu Banking Corporation Limited	5034
130	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
131	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
132	Chouzhou International Investment Limited	5056
133	CITIC Telecom International Finance Limited	5908
134	CLP Power HK Finance Ltd.	5740
135	CLP Power Hong Kong Financing Limited	4306
136	CLP Power Hong Kong Financing Limited	4318
137	CMHI Finance (BVI) Co., Ltd	5134
138	CMHI Finance (BVI) Co., Ltd	5135
139	CNI Capital Limited	85725
140	CNMC International Capitals Company Limited	5608
141	CNOOC Curtis Funding No. 1 Pty Ltd	5972
142	CNOOC Curtis Funding No. 1 Pty Ltd	5973
143	CNOOC Finance (2003) Limited	2568
144	CNOOC Finance (2011) Limited	4506
145	CNOOC Finance (2011) Limited	4507
146	CNOOC Finance (2012) Limited	4546
147	CNOOC Finance (2012) Limited	4547
148	CNOOC Finance (2013) Limited	5941
149	CNOOC Finance (2013) Limited	5942
150	CNOOC Finance (2015) Australia Pty Ltd	5506
151	CNOOC Finance (2015) Australia Pty Ltd	5507
152	CNOOC Finance (2015) U.S.A. LLC	4478
153	CNOOC Finance (2015) U.S.A. LLC	4479
154	CNOOC Finance (2015) U.S.A. LLC	5508
155	CNOOC Nexen Finance (2014) ULC	5738
156	CNOOC Nexen Finance (2014) ULC	5739
157	CNPC (HK) Overseas Capital Ltd.	4513
158	CNPC (HK) Overseas Capital Ltd.	4514
159	CNPC General Capital Limited	4544
160	CNPC General Capital Limited	5750
161	CNPC General Capital Limited	5923
162	Coastal Emerald Limited	4438
163	COSCO Pacific Finance (2013) Company Limited	5900
164	COSL Finance (BVI) Limited	4563
165	Cosmos Boom Investment Limited	5534
166	CRCC Yupeng Limited	5778
167	CRCC Yuxiang Limited	5945
168	Crotana Assets Limited	5724
169	CSCEC Finance (Cayman) I Limited	5574
170	CSCEC Finance (Cayman) II Limited	5232
171	CSCEC Finance (Cayman) II Limited	5233
172	CSCEC Finance (Cayman) II Limited	5668
173	CSCEC Finance (Cayman) II Limited	5669
174	CSCI Finance (2015) Co. Ltd	5564
175	CSSC Capital One Limited	5181
176	CSSC Capital Two Limited	5182
177	Dah Sing Bank, Limited	5316
178	Dah Sing Bank, Limited	6021
179	Dangdai International Investments Ltd	5027
180	Dianjian Haixing Limited	5816
181	Double Rosy Limited	5829
182	DYNAMIC MISSION INVESTMENTS LIMITED	5386
183	Ease Trade Global Limited	4458
184	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
185	Eastern Creation Investment Holdings Ltd.	5714
186	eHi Car Services Limited	5594
187	Excel Capital Global Limited	4496
188	Expand Lead Limited	5165
189	First FZ Bond Limited	5275
190	Fita International Limited	4315
191	FPC Capital Limited	5107
192	FPC Treasury Limited	5924
193	Franshion Brilliant Limited	5030
194	Franshion Brilliant Limited	5229

195	Franshion Brilliant Limited	5347
196	Franshion Brilliant Limited	5385
197	Franshion Brilliant Limited	5713
198	Franshion Brilliant Limited	85732
199	Fujian Zhanglong Group Co., Ltd.	5331
200	Full Dragon (Hong Kong) International Development Limited	4428
201	FWD Group Limited	5019
202	FWD Group Limited	5221
203	FWD Limited	4416
204	FWD Limited	5351
205	FWD Limited	5803
206	Gansu Province Electric Power Investment Group Co., Ltd.	5466
207	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
208	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
209	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
210	Gaoxin International Investment Co., Ltd	5335
211	GOHL Capital Limited	5352
212	GRAM International Limited	5587
213	Granda Century Limited	5152
214	Green Fortune Capital Limited	5288
215	Greenland Global Investment Limited	5768
216	Greenland Global Investment Limited	5769
217	Guang Ying Investment Limited	4492
218	Guangsha Holding Group Co., Ltd.	5456
219	Guangxi Communications Investment Group Corporation. Ltd	5921
220	Guangxi Financial Investment Group Co., Ltd.	5098
221	GUANGZHOU Silk Road Investment Limited	5323
222	Guotai Junan Financial Holdings (BVI) Limited	5754
223	Haichuan International Investment Co., Ltd.	4538
224	Haichuan International Investment Co., Ltd.	5460
225	Haitian (BVI) International Investment Development Limited	5061
226	Haitong International Finance 2014 Limited	5801
227	Haitong International Finance 2015 Limited	5867
228	Haitong International Finance Holdings 2015 Limited	5892
229	Hangzhou Fuyang Chengtou Group (HK) Limited	5469
230	Hanrui Overseas Investment Co Ltd	5081
231	Hanrui Overseas Investment Co Ltd	5680
232	Harvest International Company	5024
233	Henson Finance Limited	4312
234	Hesteel Hong Kong Co., Limited	5417
235	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
236	Hong Kong Sukuk 2014 Limited	4223
237	Hong Kong Sukuk 2015 Limited	4226
238	Hong Kong Sukuk 2017 Limited	4233
239	Hong Seng Limited	4484
240	Hongkong Baorong Development Limited	5465
241	Hongkong Baorong Development Limited	5595
242	Hongkong Electric Finance Limited	4505
243	Hongkong International (Qingdao) Company Limited	5023
244	Hongkong International (Qingdao) Company Limited	5048
245	Hongkong International (Qingdao) Company Limited	5191
246	Hongkong International (Qingdao) Company Limited	5874
247	Hongkong International (Qingdao) Company Limited	5875
248	HongKong Xiangyu Investment Co., Limited	4409
249	Huafa Group 2018 I Company Limited	5150
250	Huai'an Traffic Holding Co., Ltd.	5784
251	Huaneng Hong Kong Capital Limited	5000
252	Huantaihu International investment Co., Ltd	5413
253	Huarong Finance Co., Ltd.	5774
254	Huasing International Holdings Co., Limited	4448
255	Huasing International Holdings Co., Limited	4449
256	Huatai International Finance I Limited	5812
257	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
258	Huaxing Investment Holding Company Limited	5363
259	Huayi Finance I Ltd.	5847
260	Huayuan Property Co., Ltd.	5239
261	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
262	Hunan Xiangjiang New Area Development Group Co Ltd	5223
263	Huzhou City Investment Development Group Co., Ltd.	5074
264	ICBCIL Finance Co. Limited	5884
265	IFC Development (Corporate Treasury) Limited	5715
266	IFC Development (Corporate Treasury) Limited	5756
267	IFC Development (Corporate Treasury) Limited	5757
268	IFC Development (Corporate Treasury) Limited	5949
269	Industrial and Commercial Bank of China (Asia) Limited	5686
270	Industrial and Commercial Bank of China (Asia) Limited	5976
271	Industrial and Commercial Bank of China (Macau) Limited	5797
272	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
273	JIC Zhixin Limited	5031
274	JIC Zhixin Limited	5032
275	Jinan West City Investment and Development Group Co., Ltd.	4588
276	Jinshine International Co., Ltd.	4451
277	Jiuding Group Finance Co., Ltd	5246
278	Keen Idea Global Limited	5393
279	King Power Capital Ltd.	5822
280	King Power Capital Ltd.	5823
281	King Talent Management Limited	5026
282	Korean Reinsurance Company	5815
283	Kunzhi Limited	4464
284	Kunzhi Limited	5100
285	Lai Fung Bonds (2018) Limited	5087
286	Legend Fortune Limited	5128

287	Lingang Wings Inc	5149
288	LS Finance (2022) Limited	4571
289	LS Finance (2025) Limited	5535
290	LSD Bonds (2017) Limited	5270
291	Luso International Banking Limited	5078
292	Lvqi Holdings Co., Ltd.	4456
293	Malaysia Sovereign Sukuk Berhad	5894
294	Malaysia Sovereign Sukuk Berhad	5895
295	Malaysia Sukuk Global Berhad	5633
296	Malaysia Sukuk Global Berhad	5634
297	MCC Holding (Hong Kong) Corporation Limited	4483
298	MCC Holding (Hong Kong) Corporation Limited	5210
299	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
300	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
301	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
302	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
303	Minmetals Land Capital Limited	5933
304	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
305	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
306	Nanyang Commercial Bank, Limited	5214
307	New Lion Bridge Company Limited	5290
308	New Rose Investments Limited	5344
309	Nimble City Limited	5144
310	Nuoxi Capital Limited	4401
311	Nuoxi Capital Limited	4402
312	Nuoxi Capital Limited	5436
313	NWD Finance (BVI) Limited	4561
314	Oceanwide Holdings International 2015 Co., Limited	5557
315	Oceanwide Holdings International 2017 Co., Limited	5035
316	Oceanwide Holdings International 2017 Co., Limited	5251
317	Oceanwide Holdings International Development III Co., Ltd.	5196
318	Oceanwide Real Estate International Holding Company Limited	5798
319	Orient Huizhi Limited	5041
320	Oriental Capital Company Limited	5305
321	Oversea-Chinese Banking Corporation Limited	85912
322	OVPH Limited	5614
323	PB Issuer (No.4) Limited	5525
324	Peixian State-owned Assets Management Company Limited	5336
325	Petron Corporation	5905
326	PETRONAS Global Sukuk Ltd.	5882
327	PHBS Limited	4325
328	Phoenix Charm International Investment Limited	5332
329	Phoenix Lead Limited	5262
330	Poly Real Estate Finance Ltd	4417
331	Poly Real Estate Finance Ltd	5164
332	Poly Real Estate Finance Ltd.	5730
333	Press Metal (Labuan) Ltd.	5299
334	Prosperous Ray Limited	5994
335	Proven Honour Capital Limited	5516
336	Proven Honour Capital Limited	5641
337	PTT Public Company Limited	2527
338	Pulai Capital Limited	4540
339	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
340	Qinghai Province General Aviation Group Co., Ltd.	5064
341	Qinghai Provincial Investment Group Co., Ltd.	4450
342	Qinghai Provincial Investment Group Co., Ltd.	5380
343	Radiant Access Limited	5205
344	Rail Transit International Investment Company Limited	5643
345	Rail Transit International Investment Company Limited	5644
346	Reward International Investment Limited	5360
347	RKI Overseas Finance 2016 (A) Limited	5695
348	RKI Overseas Finance 2016 (B) Limited	4309
349	Rongshi International Finance Limited	5448
350	Rongshi International Finance Limited	5449
351	Rosy Delta Investments Limited	5097
352	SCIG International Financial Limited	5174
353	SDG FINANCE I LIMITED	5192
354	SDSC Global Finance Limited	5303
355	SDSC International Finance Limited	5827
356	SF Holding Investment Limited	5130
357	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
358	Shandong Energy Australia Pty Ltd	5248
359	Shandong Iron and Steel Xinheng International Company Limited	4453
360	Shandong Iron and Steel Xinheng International Company Limited	5063
361	Shandong Iron and Steel Xinheng International Company Limited	5601
362	Shanghai Commercial Bank Limited	5043
363	Shanghai Electric Power Finance Limited	5558
364	Shanghai Port Group (BVI) Holding Co., Limited	5255
365	Shanghai Port Group (BVI) Holding Co., Limited	5256
366	Shangrao Investment Holdings International Company Limited	4429
367	Shanghai (Hong Kong) International Investments Limited	5435
368	Shine Power International Limited	5777
369	Sichuan Communications Overseas Development Co., Ltd.	5399
370	SIHC International Capital Ltd	5176
371	SIHC International Capital Ltd	5177
372	Silver Sparkle Limited	5697
373	Sino Trendy Investment Limited	4407
374	Sinochem Global Capital Co., Ltd.	5935
375	Sinochem Overseas Capital Company Limited	4501
376	Sinochem Overseas Capital Company Limited	4502
377	Sino-Ocean Land Treasure Finance I Limited	5781
378	Sino-Ocean Land Treasure Finance I Limited	5782

379	Sino-Ocean Land Treasure Finance II Limited	5868
380	Sino-Ocean Land Treasure Finance II Limited	5869
381	Sino-Ocean Land Treasure III Limited	5276
382	Sino-Ocean Land Treasure IV Limited	5131
383	Skyland Mining (BVI) Limited	5228
384	Skysea International Capital Management Limited	4529
385	SmarTone Finance Limited	5917
386	Societe Generale	5947
387	Societe Generale	5959
388	Societe Generale	5960
389	Societe Generale	5961
390	Societe Generale	5962
391	SPIC 2016 US dollar Bond Company Limited	5324
392	SPIC 2016 US dollar Bond Company Limited	5325
393	SPIC 2018 USD Senior Perpetual Bond Company Limited	5453
394	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
395	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
396	State Grid Overseas Investment (2013) Limited	5954
397	State Grid Overseas Investment (2013) Limited	5955
398	State Grid Overseas Investment (2014) Limited	5741
399	State Grid Overseas Investment (2014) Limited	5742
400	State Grid Overseas Investment (2014) Limited	5743
401	State Grid Overseas Investment (2016) Limited	5649
402	State Grid Overseas Investment (2016) Limited	5650
403	State Grid Overseas Investment (2016) Limited	5651
404	State Grid Overseas Investment (2016) Limited	5652
405	Strategic International Group Limited	5241
406	Sunshine Life Insurance Corporation Limited	5627
407	Sunshine Life Insurance Corporation Limited	5628
408	Sunshine Life Insurance Corporation Limited	5629
409	Suqian Economic Development (BVI) Co., Limited	5302
410	Taikang Insurance Group Inc.	5349
411	Taizhou Infrastructure Construction Investment Group Co., Ltd	5197
412	The Hongkong and Shanghai Banking Corporation Limited	4323
413	Tianfang Jincheng (BVI) Limited	4403
414	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
415	Tianjin Lingang Investment Holding Co., Ltd.	5148
416	Tianjin Real Estate Group Co., Ltd	5286
417	Tianqi Finco Co., Ltd	5036
418	Tongfang Aqua 2017 Limited	4454
419	Top Luxury Investment Limited	5598
420	Top Wise Excellence Enterprise Co., Ltd.	5402
421	Top Yield Ventures Limited	5102
422	Towngas (Finance) Limited	6018
423	Trade Horizon Global Limited	5133
424	Treasure Generator Limited	5709
425	Triceratops Capital Co., Limited	4408
426	Tsinghua Unic Limited	4413
427	Tsinghua Unic Limited	4414
428	Tsinghua Unic Limited	4415
429	Tuspark Forward Ltd.	5143
430	Tuspark Forward Ltd.	5735
431	TVB Finance Limited	4577
432	Unigroup International Holdings Ltd.	5596
433	Unigroup International Holdings Ltd.	5597
434	Union Life Insurance Co., Ltd.	4322
435	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
436	Vertex Capital Investment Limited	4471
437	Wakala Global Sukuk Berhad	4519
438	Wanda Properties International Co. Limited	6023
439	Want Want China Finance Limited	5446
440	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
441	Wuhan Metro Group Co., Ltd.	5939
442	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
443	Wuhan State-owned Assets Management Limited Company	5070
444	Xiangxing Overseas Investment Co., Ltd.	5329
445	Xiangyu Investment (BVI) Co., Ltd.	5683
446	Xihui Haiwai I Investment Holdings Co., Limited	5679
447	Xingang International Holding Limited	5330
448	Xingsheng (BVI) Company Limited	5172
449	Xinhu (BVI) Holding Company Limited	5382
450	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
451	Xinxing Industry Investment Company Limited	5065
452	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
453	Yancoal International Resources Development Co., Limited	4552
454	Yancoal International Resources Development Co., Limited	5424
455	Yancoal International Resources Development Co., Ltd	5461
456	Yancoal International Trading Co., Limited	5753
457	Yango (Cayman) Investment Limited	4470
458	Yango (Cayman) Investment Limited	5414
459	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
460	Yankuang Group (Cayman) Limited	5044
461	Yihua Overseas Investment Ltd	5293
462	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
463	Yingde Gases Investment Limited	5793
464	YONGDA Investment Limited	5543
465	Yunnan Energy Investment Finance Company Ltd.	5632
466	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
467	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
468	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
469	Yunnan Energy Investment Overseas Finance Company Ltd.	5327

470	Yunnan Energy Investment Overseas Finance Company Ltd.	5457
471	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
472	Zhaohai Investment (BVI) Limited	5547
473	Zhejiang Baron (BVI) Company Limited	5146
474	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319
475	ZHIYUAN Group (BVI) Co., Ltd.	5603
476	Zhongtai International Bond 2017 (BVI) Company Limited	5263
477	Zhongtai International Finance (BVI) Company Limited	4418
478	Zhongyuan Sincere Investment Co. Ltd.	5095
479	Zhuzhou City Construction Development Group Co., Ltd.	5710
480	Zijin International Capital Company Limited	5188
481	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