

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	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\$3,000,000,000 Medium Term Note Programme
10 Beijing Capital Polaris Investment Co. Ltd.	U.S.\$1,000,000,000 Medium Term Note Programme
11 Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
12 CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
13 Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
14 Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
15 CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
16 CDBI Treasury 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	Everbright SHK (BVI) Limited	US\$1,000,000,000 Medium Term Note Programme
39	Franshion Brilliant Limited	US\$2,000,000,000 Medium Term Note Programme
40	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
41	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
42	Greenland Global Investment Limited	US\$5,000,000,000 Guaranteed Medium Term Notes Programme
43	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
44	HLP Finance Limited	US\$3 billion Medium Term Note Programme
45	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
46	Horse Gallop Finance Limited	US\$2,000,000,000 Guaranteed Medium Term Note Programme
47	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
48	Huarong Finance 2017 Co., Ltd.	U.S.\$14,500,000,000 Medium Term Note Programme
49	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
50	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
51	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
52	Industrial and Commercial Bank of Asia (China) Limited	U.S.\$6,000,000,000 Medium Term Note Programme
53	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
54	Inventive Global Investments Limited	U.S.\$3,500,000,000 Medium Term Note Programme
55	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
56	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
57	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
58	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
59	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
60	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
61	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
62	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
63	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
64	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
65	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
66	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
67	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
68	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
69	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
70	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
71	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
72	Soar Wise Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
73	Splendid International Investment Limited	U.S.\$1,500,000,000 Medium Term Note Programme
74	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
75	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
76	State Grid Overseas Investment (2016) Limited	US\$10,000,000,000 Medium Term Note Programme
77	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
78	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
79	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
80	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
81	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
82	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
83	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
84	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
85	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
86	Vanke Real Estate (Hong Kong) Company Limited	US\$7,000,000,000 Medium Term Note Programme
87	Westwood Group Holdings Limited	US\$3,000,000,000 Medium Term Note Programme
88	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd., Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$7 billion Medium Term Note Programme
89	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
90	Wheelock Finance (BVI) Limited. Wheelock MTN (BVI) Limited	US\$5 billion Medium Term Note Programme
91	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（并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	85737
4 Airvessel Finance Holding Limited	5789
5 Alibaba Group Holding Limited	5842
6 Alibaba Group Holding Limited	5843
7 Alibaba Group Holding Limited	5844
8 Alibaba Group Holding Limited	5845
9 Amber Circle Funding Limited	4586
10 Amber Treasure Ventures Limited	5209
11 Amber Treasure Ventures Limited	5243
12 Anhui Provincial Investment Group Holding Co., Ltd.	5186
13 Anhui Transportation Holding Group (H.K.) Limited	5158
14 Asia View Limited	5788
15 AVIC International Finance & Investment Limited	4497
16 AVIC International Finance & Investment Limited	5966
17 Axiata SPV1 (Labuan) Limited	4320
18 Azure Orbit III International Finance Limited	5620
19 Azure Orbit III International Finance Limited	5621
20 Azure Orbit International Finance Limited	5909
21 Bank of China (Hong Kong) Limited	4316
22 Baosteel Financing 2015 Pty Ltd	5866
23 Baosteel Hong Kong Investment Company Limited	5584
24 Bao-Trans Enterprises Limited	6004
25 BCEG (HongKong) Company Limited	5145
26 Beijing Enterprises Water Capital Management Limited	4480
27 Beijing Gas Singapore Capital Corporation	5213
28 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
29 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
30 Blue Skyview Company Limited	5364
31 Bluestar Finance Holdings Limited	4550
32 Bluestar Finance Holdings Limited	4556
33 Bluestar Finance Holdings Limited	5599
34 Boom Up Investments Limited	5544
35 Bright Galaxy International Limited	5927
36 Cable and Wireless International Finance B.V.	1077
37 Cable and Wireless International Finance B.V.	1078
38 Caiyun International Investment Limited	5682
39 CALC Bond 1 Limited	5642
40 CALC Bond 2 Limited	4300
41 CALC Bond 3 Limited	5390
42 CALC Bond 3 Limited	5391
43 CCB Life Insurance Company Limited	5437
44 CCBL (Cayman) Corporation Limited	5548
45 CCCI Treasure Limited	5893
46 CCTI 2017 Ltd	5258
47 CDBL Funding 1	5849
48 CDBL Funding 1	5850
49 Central Plaza Development Ltd.	5919
50 CGNPC International Limited	5058
51 CGNPC International Limited	5059
52 CGNPC International Limited	5153
53 CGNPC International Limited	5154
54 CGNPC International Limited	5519
55 Chalco Hong Kong Investment Company Limited	5151
56 Chalco Hong Kong Investment Company Limited	5727
57 Chalco Hong Kong Investment Company Limited	5920
58 Chalco Hong Kong Investment Company Limited	5985
59 Chalieco Hong Kong Corporation Limited	5321
60 Chalieco Hong Kong Corporation Limited	5702
61 Chang Development International Limited	5345
62 Changde Urban Construction and Investment Group Co., Ltd.	5328
63 Changsha Pilot Investment Holdings Co., Ltd.	5315
64 Charter Style International Limited	85993
65 Chengdu Communications Investment Group Corporation Limited	5062
66 Chengdu Xingcheng Investment Group Co., Ltd.	5314
67 Cheung Kong Bond Securities (02) Limited	4559
68 Cheung Kong Bond Securities (03) Limited	4595
69 Cheung Kong Infrastructure Finance (BVI) Limited	5060
70 China Cinda Finance (2014) Limited	5747
71 China Cinda Finance (2014) Limited	5748
72 China CITIC Bank International Limited	4594
73 China CITIC Bank International Limited	5728
74 China CITIC Bank International Limited	5992
75 China Clean Energy Development Limited	5568
76 China Development Bank Corporation	85904
77 China Development Bank Corporation	85905
78 China Development Bank Corporation	85933
79 China Development Bank Corporation	85934
80 China Energy Reserve and Chemicals Group Holding Limited	5639
81 China Energy Reserve and Chemicals Group Overseas Company Limited	5503
82 China Huadian Overseas Development 2018 Limited	4491
83 China Life Insurance (Overseas) Co., Ltd	5250
84 China Merchants Finance Company Limited	4548
85 China Merchants Finance Company Limited	5554
86 China Merchants Finance Company Limited	5555
87 China Minmetals Corporation	4442
88 China Minmetals Corporation	5009

89	China Oceanwide International Financial Management Co., Ltd	5623
90	China Overseas Finance (Cayman) II Limited	4503
91	China Overseas Finance (Cayman) III Limited	5988
92	China Overseas Finance (Cayman) III Limited	5989
93	China Overseas Finance (Cayman) V Limited	4579
94	China Overseas Finance (Cayman) V Limited	4580
95	China Overseas Finance (Cayman) VI Limited	5745
96	China Overseas Finance (Cayman) VI Limited	5746
97	China Overseas Finance (Cayman) VI Limited	5760
98	China Overseas Finance (Cayman) VII Limited	4475
99	China Overseas Finance (Cayman) VII Limited	4476
100	China Overseas Finance Investment (Cayman) V Limited	5600
101	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
102	China Overseas Grand Oceans Finance IV (Cayman) Limited	5106
103	China Overseas Land International (Cayman) Limited	5541
104	China Railway Resources Huitung Limited	5904
105	China Railway XunJie Co., Limited	5244
106	China Railway XunJie Co., Limited	5692
107	China Resources Power East Foundation Co., Ltd.	4516
108	China Shenhua Overseas Capital Company Limited	5862
109	China Shenhua Overseas Capital Company Limited	5863
110	China Shipping Overseas Finance 2013 Limited	6020
111	China Southern Power Grid International Finance (BVI) Co., Limited	4583
112	China Southern Power Grid International Finance (BVI) Co., Limited	4598
113	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5166
114	China Southern Power Grid International Finance (BVI 2018) Co., Limited	5167
115	China State Construction Finance (Cayman) II Limited	5037
116	China State Construction Finance (Cayman) II Limited	5038
117	China Taiping Capital Limited	4582
118	China Taiping New Horizon Limited	5984
119	China Yangtze Power International (BVI) 1 Limited	5300
120	China Yangtze Power International (BVI) 2 Limited	5301
121	Chinalco Capital Holdings Limited	4301
122	Chinalco Capital Holdings Limited	5438
123	Chinalco Finance Holdings Limited	5854
124	Chiyu Banking Corporation Limited	5034
125	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
126	Chongqing Wansheng Economic and Technological Development Zone Development & Investment Group Co., Ltd.	5157
127	Chouzhou International Investment Limited	5056
128	CITIC Telecom International Finance Limited	5908
129	CLP Power HK Finance Ltd.	5740
130	CLP Power Hong Kong Financing Limited	4306
131	CLP Power Hong Kong Financing Limited	4318
132	CMHI Finance (BVI) Co., Ltd	5134
133	CMHI Finance (BVI) Co., Ltd	5135
134	CNI Capital Limited	85725
135	CNMC International Capitals Company Limited	5608
136	CNOOC Curtis Funding No. 1 Pty Ltd	5972
137	CNOOC Curtis Funding No. 1 Pty Ltd	5973
138	CNOOC Finance (2003) Limited	2568
139	CNOOC Finance (2011) Limited	4506
140	CNOOC Finance (2011) Limited	4507
141	CNOOC Finance (2012) Limited	4546
142	CNOOC Finance (2012) Limited	4547
143	CNOOC Finance (2013) Limited	5941
144	CNOOC Finance (2013) Limited	5942
145	CNOOC Finance (2015) Australia Pty Ltd	5506
146	CNOOC Finance (2015) Australia Pty Ltd	5507
147	CNOOC Finance (2015) U.S.A. LLC	4478
148	CNOOC Finance (2015) U.S.A. LLC	4479
149	CNOOC Finance (2015) U.S.A. LLC	5508
150	CNOOC Nexen Finance (2014) ULC	5738
151	CNOOC Nexen Finance (2014) ULC	5739
152	CNPC (HK) Overseas Capital Ltd.	4513
153	CNPC (HK) Overseas Capital Ltd.	4514
154	CNPC General Capital Limited	4544
155	CNPC General Capital Limited	5750
156	CNPC General Capital Limited	5923
157	Coastal Emerald Limited	4438
158	COSCO Pacific Finance (2013) Company Limited	5900
159	COSL Finance (BVI) Limited	4563
160	Cosmos Boom Investment Limited	5534
161	CRCC Yupeng Limited	5778
162	CRCC Yuxiang Limited	5945
163	Crotone Assets Limited	5724
164	CSCEC Finance (Cayman) I Limited	5574
165	CSCEC Finance (Cayman) II Limited	5232
166	CSCEC Finance (Cayman) II Limited	5233
167	CSCEC Finance (Cayman) II Limited	5668
168	CSCEC Finance (Cayman) II Limited	5669
169	CSCI Finance (2015) Co. Ltd	5564
170	CSSC Capital One Limited	5181
171	CSSC Capital Two Limited	5182
172	Dah Sing Bank, Limited	5316
173	Dah Sing Bank, Limited	6021
174	Dangdai International Investments Ltd	5027
175	Dianjian Haixing Limited	5816
176	Double Rosy Limited	5829
177	DYNAMIC MISSION INVESTMENTS LIMITED	5386
178	Ease Trade Global Limited	4458
179	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
180	Eastern Creation Investment Holdings Ltd.	5714

181	eHi Car Services Limited	5594
182	Excel Capital Global Limited	4496
183	Expand Lead Limited	5165
184	Fita International Limited	4315
185	FPC Capital Limited	5107
186	FPC Treasury Limited	5924
187	Franshion Brilliant Limited	5030
188	Franshion Brilliant Limited	5229
189	Franshion Brilliant Limited	5347
190	Franshion Brilliant Limited	5385
191	Franshion Brilliant Limited	5713
192	Franshion Brilliant Limited	85732
193	Fujian Zhanglong Group Co., Ltd.	5331
194	Full Dragon (Hong Kong) International Development Limited	4428
195	FWD Group Limited	5019
196	FWD Group Limited	5221
197	FWD Limited	4416
198	FWD Limited	5351
199	FWD Limited	5803
200	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
201	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5132
202	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
203	Gaoxin International Investment Co., Ltd	5335
204	GOHL Capital Limited	5352
205	GRAM International Limited	5587
206	Granda Century Limited	5152
207	Green Fortune Capital Limited	5288
208	Greenland Global Investment Limited	5768
209	Greenland Global Investment Limited	5769
210	Guang Ying Investment Limited	4492
211	Guangxi Communications Investment Group Corporation. Ltd	5921
212	Guangxi Financial Investment Group Co., Ltd.	5098
213	GUANGZHOU Silk Road Investment Limited	5323
214	Guotai Junan Financial Holdings (BVI) Limited	5754
215	Haichuan International Investment Co., Ltd.	4538
216	Haitian (BVI) International Investment Development Limited	5061
217	Haitong International Finance 2014 Limited	5801
218	Haitong International Finance 2015 Limited	5867
219	Haitong International Finance Holdings 2015 Limited	5892
220	Hanrui Overseas Investment Co Ltd	5081
221	Hanrui Overseas Investment Co Ltd	5680
222	Harvest International Company	5024
223	Henson Finance Limited	4312
224	Hesteel Hong Kong Co., Limited	5417
225	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
226	Hong Kong Sukuk 2014 Limited	4223
227	Hong Kong Sukuk 2015 Limited	4226
228	Hong Kong Sukuk 2017 Limited	4233
229	Hong Seng Limited	4484
230	Hongkong Baorong Development Limited	5595
231	Hongkong Electric Finance Limited	4505
232	Hongkong International (Qingdao) Company Limited	5023
233	Hongkong International (Qingdao) Company Limited	5048
234	Hongkong International (Qingdao) Company Limited	5191
235	Hongkong International (Qingdao) Company Limited	5874
236	Hongkong International (Qingdao) Company Limited	5875
237	HongKong Xiangyu Investment Co., Limited	4409
238	Huafa Group 2018 I Company Limited	5150
239	Huai'an Traffic Holding Co., Ltd.	5784
240	Huaneng Hong Kong Capital Limited	5000
241	Huantaihu International investment Co., Ltd	5413
242	Huarong Finance Co., Ltd.	5774
243	Huarui Investment Holding Company Limited	85721
244	Huasing International Holdings Co., Limited	4448
245	Huasing International Holdings Co., Limited	4449
246	Huatai International Finance I Limited	5812
247	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	4447
248	Huaxing Investment Holding Company Limited	5363
249	Huayi Finance I Ltd.	5847
250	Hubei Science & Technology Investment Group (Hong Kong) Company Limited	4431
251	Huzhou City Investment Development Group Co., Ltd.	5074
252	ICBCIL Finance Co. Limited	5884
253	IFC Development (Corporate Treasury) Limited	5715
254	IFC Development (Corporate Treasury) Limited	5756
255	IFC Development (Corporate Treasury) Limited	5757
256	IFC Development (Corporate Treasury) Limited	5949
257	Industrial and Commercial Bank of China (Asia) Limited	5686
258	Industrial and Commercial Bank of China (Asia) Limited	5976
259	Industrial and Commercial Bank of China (Macau) Limited	5797
260	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
261	JIC Zhixin Limited	5031
262	JIC Zhixin Limited	5032
263	Jinan West City Investment and Development Group Co., Ltd.	4588
264	Jinshine International Co., Ltd.	4451
265	Jiuding Group Finance Co., Ltd	5246
266	Keen Idea Global Limited	5393
267	King Power Capital Ltd.	5822
268	King Power Capital Ltd.	5823
269	King Talent Management Limited	5026
270	Korean Reinsurance Company	5815
271	Kunzhi Limited	4464
272	Kunzhi Limited	5100
273	Lai Fung Bonds (2018) Limited	5087

274	Legend Fortune Limited	5128
275	Lingang Wings Inc	5149
276	Logo Star Limited	5996
277	LS Finance (2022) Limited	4571
278	LS Finance (2025) Limited	5535
279	LSD Bonds (2017) Limited	5270
280	Luso International Banking Limited	5078
281	Lvqi Holdings Co., Ltd.	4456
282	Malaysia Sovereign Sukuk Berhad	5894
283	Malaysia Sovereign Sukuk Berhad	5895
284	Malaysia Sukuk Global Berhad	5633
285	Malaysia Sukuk Global Berhad	5634
286	MCC Holding (Hong Kong) Corporation Limited	4483
287	MCC Holding (Hong Kong) Corporation Limited	5210
288	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
289	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
290	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
291	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
292	Minmetals Land Capital Limited	5933
293	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
294	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
295	Nanyang Commercial Bank, Limited	5214
296	New Lion Bridge Company Limited	5290
297	New Rose Investments Limited	5344
298	Nimble City Limited	5144
299	Nuoxi Capital Limited	4401
300	Nuoxi Capital Limited	4402
301	Nuoxi Capital Limited	5436
302	NWD Finance (BVI) Limited	4561
303	Oceanwide Holdings International 2015 Co., Limited	5557
304	Oceanwide Holdings International 2017 Co., Limited	5035
305	Oceanwide Holdings International 2017 Co., Limited	5251
306	Oceanwide Holdings International Development III Co., Ltd.	5196
307	Oceanwide Real Estate International Holding Company Limited	5798
308	Orient Huizhi Limited	5041
309	Oriental Capital Company Limited	5305
310	Oversea-Chinese Banking Corporation Limited	85912
311	OVPH Limited	5614
312	PB Issuer (No.4) Limited	5525
313	Peixian State-owned Assets Management Company Limited	5336
314	Petron Corporation	5905
315	PETRONAS Global Sukuk Ltd.	5882
316	PHBS Limited	4325
317	Phoenix Charm International Investment Limited	5332
318	Phoenix Lead Limited	5262
319	Poly Real Estate Finance Ltd	4417
320	Poly Real Estate Finance Ltd	5164
321	Poly Real Estate Finance Ltd.	5730
322	Press Metal (Labuan) Ltd.	5299
323	Profit Fast Limited	5578
324	Prosperous Ray Limited	5993
325	Prosperous Ray Limited	5994
326	Proven Honour Capital Limited	5516
327	Proven Honour Capital Limited	5641
328	PTT Public Company Limited	2527
329	Pulai Capital Limited	4540
330	Qingdao Jiaozhou Bay Development Co., Ltd.	5117
331	Qinghai Province General Aviation Group Co., Ltd.	5064
332	Qinghai Provincial Investment Group Co., Ltd.	4450
333	Qinghai Provincial Investment Group Co., Ltd.	5380
334	Radiant Access Limited	5205
335	Rail Transit International Investment Company Limited	5643
336	Rail Transit International Investment Company Limited	5644
337	Reward International Investment Limited	5360
338	RKI Overseas Finance 2016 (A) Limited	5695
339	RKI Overseas Finance 2016 (B) Limited	4309
340	Rongshi International Finance Limited	5448
341	Rongshi International Finance Limited	5449
342	Rosy Delta Investments Limited	5097
343	SCIG International Financial Limited	5174
344	SDG FINANCE I LIMITED	5192
345	SDSC Global Finance Limited	5303
346	SDSC International Finance Limited	5827
347	SF Holding Investment Limited	5130
348	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
349	Shandong Energy Australia Pty Ltd	5248
350	Shandong Gold International Mining Investment Holding Limited	5572
351	Shandong Iron and Steel Xinheng International Company Limited	4453
352	Shandong Iron and Steel Xinheng International Company Limited	5063
353	Shandong Iron and Steel Xinheng International Company Limited	5601
354	Shanghai Commercial Bank Limited	5043
355	Shanghai Electric Power Finance Limited	5558
356	Shanghai Port Group (BVI) Holding Co., Limited	5255
357	Shanghai Port Group (BVI) Holding Co., Limited	5256
358	Shangrao Investment Holdings International Company Limited	4429
359	Shanghai (Hong Kong) International Investments Limited	5435
360	Shine Power International Limited	5777
361	SIHC International Capital Ltd	5176
362	SIHC International Capital Ltd	5177
363	Silver Sparkle Limited	5697
364	Sino Trendy Investment Limited	4407
365	Sinochem Global Capital Co., Ltd.	5935
366	Sinochem Overseas Capital Company Limited	4501
367	Sinochem Overseas Capital Company Limited	4502

368	Sino-Ocean Land Treasure Finance I Limited	5781
369	Sino-Ocean Land Treasure Finance I Limited	5782
370	Sino-Ocean Land Treasure Finance II Limited	5868
371	Sino-Ocean Land Treasure Finance II Limited	5869
372	Sino-Ocean Land Treasure III Limited	5276
373	Sino-Ocean Land Treasure IV Limited	5131
374	Skyland Mining (BVI) Limited	5228
375	Skysea International Capital Management Limited	4529
376	SmarTone Finance Limited	5917
377	Societe Generale	5947
378	Societe Generale	5959
379	Societe Generale	5960
380	Societe Generale	5961
381	Societe Generale	5962
382	SPIC 2016 US dollar Bond Company Limited	5324
383	SPIC 2016 US dollar Bond Company Limited	5325
384	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5193
385	SPIC Luxembourg Latin America Renewable Energy Investment Company S.à r.l.	5194
386	State Grid Overseas Investment (2013) Limited	5954
387	State Grid Overseas Investment (2013) Limited	5955
388	State Grid Overseas Investment (2014) Limited	5741
389	State Grid Overseas Investment (2014) Limited	5742
390	State Grid Overseas Investment (2014) Limited	5743
391	State Grid Overseas Investment (2016) Limited	5649
392	State Grid Overseas Investment (2016) Limited	5650
393	State Grid Overseas Investment (2016) Limited	5651
394	State Grid Overseas Investment (2016) Limited	5652
395	Strategic International Group Limited	5241
396	Sunshine Life Insurance Corporation Limited	5627
397	Sunshine Life Insurance Corporation Limited	5628
398	Sunshine Life Insurance Corporation Limited	5629
399	Suqian Economic Development (BVI) Co., Limited	5302
400	Taikang Insurance Group Inc.	5349
401	The Hongkong and Shanghai Banking Corporation Limited	4323
402	Tianfang Jincheng (BVI) Limited	4403
403	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
404	Tianjin Lingang Investment Holding Co., Ltd.	5148
405	Tianjin Real Estate Group Co., Ltd	5286
406	Tianqi Finco Co., Ltd	5036
407	Tongfang Aqua 2017 Limited	4454
408	Top Luxury Investment Limited	5598
409	Top Wise Excellence Enterprise Co., Ltd.	5402
410	Top Yield Ventures Limited	5102
411	Towngas (Finance) Limited	6018
412	Trade Horizon Global Limited	5133
413	Treasure Generator Limited	5709
414	Triceratops Capital Co., Limited	4408
415	Tsinghua Unic Limited	4413
416	Tsinghua Unic Limited	4414
417	Tsinghua Unic Limited	4415
418	Tuspark Forward Ltd.	5143
419	Tuspark Forward Ltd.	5581
420	Tuspark Forward Ltd.	5735
421	TVB Finance Limited	4577
422	Unigroup International Holdings Ltd.	5596
423	Unigroup International Holdings Ltd.	5597
424	Union Life Insurance Co., Ltd.	4322
425	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
426	Vertex Capital Investment Limited	4471
427	Wakala Global Sukuk Berhad	4519
428	Wanda Properties International Co. Limited	6023
429	Wanda Properties Overseas Limited	5997
430	Want Want China Finance Limited	5446
431	Weifang Urban Construction and Development Investment Group Co., Ltd.	5189
432	Wise Source International Limited	5309
433	Wuhan Metro Group Co., Ltd.	5939
434	Wuhan Real Estate Development & Investment Group Co., Ltd.	5139
435	Wuhan State-owned Assets Management Limited Company	5070
436	Xiangxing Overseas Investment Co., Ltd.	5329
437	Xiangyu Investment (BVI) Co., Ltd.	5683
438	Xihui Haiwai I Investment Holdings Co., Limited	5679
439	Xingang International Holding Limited	5330
440	Xingsheng (BVI) Company Limited	5172
441	Xinhu (BVI) Holding Company Limited	5382
442	Xinjiang Transportation Construction Investment Holding Co. Ltd.	4472
443	Xinxing Industry Investment Company Limited	5065
444	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
445	Yancoal International Resources Development Co., Limited	4552
446	Yancoal International Resources Development Co., Limited	5424
447	Yancoal International Trading Co., Limited	5753
448	Yango (Cayman) Investment Limited	4470
449	Yango (Cayman) Investment Limited	5414
450	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
451	Yankuang Group (Cayman) Limited	5044
452	Yihua Overseas Investment Ltd	5293
453	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
454	Yingde Gases Investment Limited	5793
455	YONGDA Investment Limited	5543
456	Yunnan Energy Investment Finance Company Ltd.	5632
457	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
458	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
459	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
460	Yunnan Energy Investment Overseas Finance Company Ltd.	5327

461	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
462	Zhaohai Investment (BVI) Limited	5547
463	Zhejiang Baron (BVI) Company Limited	5146
464	Zhejiang Cultural Tourism Industry Group Co., Ltd.	5319
465	ZHIYUAN Group (BVI) Co., Ltd.	5603
466	Zhongtai International Bond 2017 (BVI) Company Limited	5263
467	Zhongtai International Finance (BVI) Company Limited	4418
468	Zhongyuan Sincere Investment Co. Ltd.	5095
469	Zhuzhou City Construction Development Group Co., Ltd.	5710
470	Zijin International Capital Company Limited	5188
471	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