

ASX Limited

2009 Full-Year Results

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20 August 2009
Sydney, Australia



Markets Supervision Highlights - Monitoring

- Responses to market events triggered by the global financial crisis
 - Reporting of short sales
 - T+3 settlement
 - ASX Compliance focus on prevention and remediation
- Oversight of ASX /ACH Participants' capital requirements
- Reinforcing listed entity disclosure
 - Continuous disclosure monitoring
 - Disclosure of material changes in financial results
 - Monitoring of financial positions
 - Compliance with the JORC Code
 - Disclosure of directors' interests
 - Corporate governance disclosure

Markets Supervision Highlights - Enforcement

- 88 referrals to ASIC (in line with pcp) including:
 - 31 possible breaches of insider trading
 - 20 possible breaches of continuous disclosure
 - 14 possible breaches of market manipulation
 - Disciplinary Tribunal finalised 20 matters and imposed \$948,750 in fines against 17 Participants for 34 rule contraventions
 - Tricom disciplinary action heard by Tribunal in FY09 and record fine of \$1.35m imposed. Made public in Jul 09

Markets Supervision Highlights – Expansion of Supervisory Resources

- 7% (7 FTE) increase in headcount for FY09
- Successful implementation of Issuers Activity Solution in Nov 08
- Successful implementation of ASX Compliance Monitor in Mar 09
- SMARTS Upgrade went 'live' in May 09
- Other technology projects (ASX TRACE and Capital Monitoring) on track for completion in FY10

Markets Supervision Highlights – ASXMS Education and Research Program

- Fines imposed by the Disciplinary Tribunal used to fund education and compliance programs
- \$611,332 spent by ASXMS Education and Research Program in FY09
- 65 events held nationwide attended by approximately 3,500 attendees
- Events included seminars and courses on/for:
 - Listed company directors
 - Mining entity reporting
 - Market manipulation
 - Financial reporting
 - Analyst forecasts and continuous disclosure
 - Compliance for futures Participants
- Research programs on capital monitoring and corporate governance
- CRO Conference in Sydney in Sept 08