

ASX Limited

2009 Half-Year Results

Eric Mayne, Chief Supervision Officer
ASX Markets Supervision

17 February 2009
Sydney, Australia



ASX Markets Supervision

Eric Mayne
Chief Supervision Officer

Markets Supervision Highlights

- ASXMS manages all core ASX supervisory activities
- ASXMS Board restructured on 1 Aug 08
 - Alan Cameron assumed chairmanship
 - 4 out of 5 ASXMS directors do not sit on the ASX Ltd Board
- ASXMS activities
 - Joint action with ASIC on market matters
 - Responses to market events triggered by the global financial crisis
 - Continued focus on trading by directors
 - Ongoing Education & Research Programme
 - Hosted 2008 Chief Regulatory Officers' Conference in Sydney
- Expansion of supervisory resources
 - 8% (8 FTE) increase in headcount for FY09
 - Successful implementation of Issuers Activity Solution in Nov 08
 - Successful implementation of ASX Compliance Monitor in Feb 09
 - SMARTS upgrade on track for completion in 2H09
 - Other technology projects on track for completion in FY10

Markets Supervision Highlights

- Monitoring and enforcement activity for 1H09
 - 65,604 company announcements processed (down 7% on pcp)
 - 180 price queries issued (down 18% on pcp)
 - 45 referrals to ASIC (up 22% on pcp) including:
 - 11 possible breaches of insider trading
 - 11 possible breaches of continuous disclosure
 - 8 possible breaches of market manipulation
 - Disciplinary Tribunal finalised 14 matters and imposed \$492,500 [plus GST] in fines against 13 participants for 26 rule contraventions
 - Review underway of corporate governance reporting in 1,890 annual reports of companies and trusts. Entities with 31 Dec balance date included for the first time

ASX Limited

2009 Half-Year Results

Eric Mayne, Chief Supervision Officer
ASX Markets Supervision

17 February 2009
Sydney, Australia

