



## MARKET ANNOUNCEMENT

4 November 2010

### ASX Compliance Monthly Activity Report – October 2010

#### Issuers

Listings	October 2010
Listed entities at month start	2,184
New listings	13
De-listings	5
Listed entities at month end	2,192

Average monthly new listings for FY11 year-to-date stand at 10 (compared to 8 listings per month on average for the whole of FY10).

The 13 new listings for the month were AusNiCo Ltd (ANW), Brighton Mining Group Ltd (BTN), GRG International Ltd (GRG), Kagera Nickel Ltd (KNL), Metaliko Resources Ltd (MKO), MACA Ltd (MLD), Minbos Resources Ltd (MNB), New Horizon Minerals Ltd (NHO), PUMA Masterfund P-16 (PUB), PUMA Masterfund S-8 (PUG), Series 2010-2 REDS Trust (RDA), West Peak Iron Ltd (WPI) and White Rock Minerals Ltd (WRM).

The 5 de-listings for the month were Healthscope Ltd (HSP), Lihir Gold Ltd (LGL), Macarthurcook Industrial Property Fund (MIF), Mosaic Oil NL (MOS) and Tutt Bryant Group Limited (TBG).

Key Issuer Statistics	October 2010
Total company announcements	12,746
Continuous disclosure queries made by ASX <sup>1</sup>	53
Price queries <sup>2</sup> by ASX	80
Aware letters <sup>3</sup> sent by ASX	12
Announcements made following a price query	76
Trading halts at the issuer's request	126
Trading halts following a price query by ASX	11
Suspensions at the issuer's request	3

<sup>1</sup> Excluding price queries.

<sup>2</sup> Price queries are enquiries made by ASX (either by letter or verbally) to a listed entity if it detects unusual movements in the listed entity's security price or trading volumes to ask if the listed entity is aware of any information that has not been announced which, if known, might explain the movements.

<sup>3</sup> Aware letters are sent by ASX following an announcement by a listed entity and ask for details of when the listed entity became aware of the material information contained in the announcement.

Key Issuer Statistics	October 2010
Suspensions imposed by ASX for breach of the Listing Rules	24

A total of 23 entities failed to lodge their full-year accounts for the period ended 30 June 2010 by 30 September 2010, and consequently were suspended on 1 October 2010 in accordance with Listing Rule 17.5. The remaining company was suspended pursuant to Listing Rule 17.3 for not providing ASX with an announcement that would lift its trading halt.

### Participants

ASX Participants	October 2010
Market/Clearing/Settlement Participants at month start <sup>4</sup>	171
New admissions	6
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	176

All 6 new participants admitted in October were Special Settlement Participants set up to effect a specific corporate action and are not named because participation is temporary. Navigator Australia Limited resigned as an ASX Settlement Participant.

ASX 24 Participants	October 2010
Market/Clearing Participants at month start	41
New admissions	0
Resignations and removals	0
Market/Clearing Participants at month end <sup>5</sup>	41

### Enforcement

Referrals to ASIC <sup>6</sup>	October 2010
Continuous disclosure referrals	1
Other referrals	3
Total referrals to ASIC	4

<sup>4</sup> This total includes Special Settlement Participants (SSPs) in September 2010.

<sup>5</sup> Includes active and inactive Participants.

<sup>6</sup> ASX is required, under section 792B(2)(c) of the Corporations Act 2001, to refer a matter to ASIC if it has reason to suspect that a person has committed, is committing, or is about to commit a significant contravention of the ASX Group's operating rules or the Corporations Act. It should be noted that a single referral may relate to more than one potential contravention. It should also be noted that the fact a matter has been referred to ASIC does not necessarily mean that a contravention has been committed or that ASIC will take enforcement proceedings in relation to it.

Pre 1 August 2010 Enforcement Matters <sup>7</sup>	October 2010
Open ASX Enforcement matters at month start	20
New enforcement matters commenced during the month	3
Enforcement matters concluded during the month	1
Open ASX Enforcement matters at month end	22
Fines imposed during the month (excl GST)	\$60,000

To date there have been no enforcement matters commenced in respect of potential contraventions of the ASX and ASX 24 Operating Rules that have occurred after 1 August 2010.

One Circular was released by the ASX Disciplinary Tribunal during the month. Copies of the Disciplinary Circulars are available online at: <http://www.asx.com.au/asx/research/disciplinaryAnnouncements.do?by=all>.

### ASX Rule Changes, Waivers and Exemptions

There were no changes made to the operating rules and procedures of the ASX markets and clearing and settlement facilities during the month.

A total of 56 waivers of the ASX Listing Rules and 2 waivers of the ASX Clear (Futures) Operating Rules were granted during the month. No other waivers were granted in respect of other rules of the ASX Group during the month. Details of the Listing Rules waivers can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX website: [http://www.asx.com.au/compliance/rules\\_guidance/index.htm](http://www.asx.com.au/compliance/rules_guidance/index.htm).

### Education and Research Program

In the last week of October ASX Compliance commenced its national Corporate Governance Roadshow covering the latest amendments to the ASX Corporate Governance Council Principles and Recommendations and the Listing Rules. While the focus of the Roadshow was on the new diversity amendments, the presentations also included recent Listing Rule amendments to trading policy and remuneration committee requirements.

A web page entitled [Diversity: resources for listed companies](#) was also launched at the end of October. This web page contains a webcast of the Sydney Roadshow event, a video on the background to the diversity amendments, and a range of resources to help listed entities implement the diversity measures.

A half-day workshop on Capital Monitoring Fundamentals for participants was held in Brisbane on 28 October 2010. Similar workshops will be held in Perth, Adelaide, Melbourne and Sydney in November.

### Other Matters

The ASX Markets Supervision Quarterly Activity Report for the Quarter Ended June 2010, released to the market on 5 July 2010, included on page 2 a graph of real-time surveillance alerts. The "Percentage of Alerts to Trades" figures plotted in that graph were incorrect. There is no change to the number of Surveillance Alerts. The corrected graph appears below:

<sup>7</sup> Prior to 1 August 2010, ASX was responsible for supervising real-time trading on Australian Securities Exchange markets and for participants on those markets, and for monitoring and enforcing compliance with the market rules for those markets. This responsibility was transferred from ASX to ASIC on 1 August 2010 pursuant to the Corporations Amendment (Financial Market Supervision) Act 2010, and the ASX and ASX 24 market rules were effectively split into market integrity rules administered by ASIC and Operating Rules administered by ASX. However, ASX remains responsible for enforcing any breaches of the former market rules that occurred prior to 1 August 2010.

