



MARKET ANNOUNCEMENT

4 November 2011

ASX Compliance Monthly Activity Report – October 2011

Listings

Listed Entities	October 2011
Listed entities at month start	2,229
New listings	7
De-listings	9
Listed entities at month end	2,227

Average monthly new listings for FY11 year-to-date stand at 9 (compared to 13 listings per month on average for FY10).

New listings for the month were Bella Trust Series 2011-1 (BNI), BlackWall Property Funds Limited (BWF), Energy Action Limited (EAX), Ezeatm Limited (EZA), P-REIT (PXT), Stratum Metals Limited (SXT) and Volta Mining Limited (VTM).

De-listings for the month were Australian Rural Group Limited (ASR), DKN Financial Group Limited (DKN), Ferraus Limited (FRS), Generator Income Trust (GIN), Minara Resources Limited (MRE), Northern Energy Corporation Limited (NEC), Oaks Hotels & Resorts Limited (OAK), Qube Logistics (QUB) and TMA Group of Companies Limited (TMA).

Key Listings Statistics	October 2011
Total company announcements	12,562
Price queries ¹ by ASX	16
Other continuous disclosure queries by ASX ²	36
Aware letters ³ sent by ASX	5
Announcements made following a price query	15
Trading halts at the listed entity's request	82

¹ Price queries are enquiries made by ASX (either by letter or phone) to a listed entity if it detects unusual movements in a 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.

² Other continuous disclosure queries are queries (other than price queries) raised by ASX with listed entities when ASX has concerns the entity may not be in compliance with its continuous disclosure obligations under Listing Rules 3.1, 3.1A and 3.1B. Examples include a query made following a media report or an announcement lodged with ASX.

³ 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 Listings Statistics	October 2011
Trading halts following a query by ASX	10
Suspensions at the listed entity's request	10
Suspensions imposed by ASX for breach of the Listing Rules	16

A total of 16 entities failed to lodge their full-year accounts for the period ended 30 June 2011 by the due date of 30 September 2011, and consequently were suspended on 3 October 2011 in accordance with Listing Rule 17.5.

Participants

ASX Participants ⁴	October 2011
Market/Clearing/Settlement Participants at month start	135
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	136

ASX 24 Participants	October 2011
Trading/Clearing Participants at month start	43
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	44

During the month of October, Liquidnet Australia Pty Ltd was admitted as an ASX Participant and FC Stone Australia Pty Ltd was admitted as an ASX 24 Trading Participant.

Enforcement

Pre 1 August 2010 Enforcement Matters ⁵	October 2011
Open ASX enforcement matters at month start	6
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	6
Fines imposed during the month (excl GST)	Nil

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

⁴ Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary.

⁵ Prior to 1 August 2010, ASX was responsible for supervising the ASX and ASX 24 markets and their participants and for monitoring and enforcing compliance with the market rules for those markets. The responsibility for supervising the ASX and ASX 24 markets and their participants was transferred from ASX to ASIC on 1 August 2010 pursuant to the Corporations Amendment (Financial Market Supervision) Act 2010, and the market rules for the ASX and ASX 24 markets 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.

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of previous Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

ASX Rule Changes, Waivers and Exemptions

On 24 October 2011, the trading and clearing of NSW Wheat, WA Wheat, Eastern Australia Feed Barley, Australian Sorghum and Eastern Australia Canola futures and options contracts transferred from ASX to ASX 24 and from ASX Clear to ASX Clear (Futures) respectively. Details of the changes to the ASX 24 and ASX Clear (Futures) Operating Rules and Procedures that enabled this transfer can be accessed online at: <http://www.asx.com.au/products/asx-grain-futures-and-options-migrating.htm>.

A number of ASX Operating Rule and Procedure amendments came into effect on 31 October 2011 to reflect changes required by the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011. These amendments deal with the execution and reporting of transactions, special crossings and transactions outside of trading hours. Details of these changes can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

There were 75⁶ waivers from the ASX Listing Rules and two waivers or exemptions from other ASX rule books granted during the month. Details of those waivers and exemptions can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX website: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

⁶ This figure includes 4 waivers that were granted in September but published in October.