



## MARKET ANNOUNCEMENT

3 February 2011

### ASX Compliance Monthly Activity Report – January 2011

#### Listings

Listed Entities	January 2011
Listed entities at month start	2,216
New listings	13
De-listings	9
Listed entities at month end	2,220

Average monthly new listings for FY11 year-to-date stand at 14 (compared to 8 listings per month on average for the whole of FY10).

The 13 new listings for the month were Algae.Tec Limited (AEB), Bioniche Life Sciences Inc. (BNC), Centius Gold Limited (CNS), Cove Resources Limited (CVE), Daton Group Australia Ltd (DTG), Dicker Data Limited (DDR), Glory Resources Limited (GLY), Incremental Oil and Gas Limited (IOG), Invictus Gold Limited (IVG), Kidman Resources Limited (KDR), My ATM Holdings Limited (MYA), Riedel Resources Limited (RIE) and Wah Nam International Holdings Limited (WNI).

The 9 de-listings for the month were Andean Resources Limited (AND), Citadel Resource Group Limited (CGG), Crusade ABS Series 2008-1 Trust (CSO), itX Group Limited (ITX), Pelorus Property Group Limited (PPI), Provet Holdings Limited (PVT), Spark Infrastructure Holdings No.1 Limited (SKI), Spark Infrastructure Holdings No.2 Limited (SKI) and Spark Infrastructure Holdings International Limited (SKI).

Key Listings Statistics	January 2011
Total company announcements	8,359
Price queries <sup>1</sup> by ASX	94
Other continuous disclosure queries by ASX <sup>2</sup>	35
Aware letters <sup>3</sup> sent by ASX	6
Announcements made following a price query	77

<sup>1</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>2</sup> 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.

<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.

Trading halts at the issuer's request	51
Trading halts following a query by ASX	6
Suspensions at the issuer's request	3
Suspensions imposed by ASX for breach of the Listing Rules	0

## Participants

ASX Participants <sup>4</sup>	January 2011
Market/Clearing/Settlement Participants at month start	136 <sup>5</sup>
New admissions	0
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	134

Resignations during January included All Options Pty Ltd (from ASX) and ACS Securities Pty Ltd (from ASX Settlement).

ASX 24 Participants	January 2011
Trading/Clearing Participants at month start	42
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	43

Jump Trading International Ltd was admitted as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>6</sup>	January 2011
Continuous disclosure referrals	2
Other referrals	0
Total referrals to ASIC	2

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

<sup>5</sup> The "Market/Clearing/Settlement Participants at month end" figure was inadvertently reported as 135 in the previous month.

<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>	January 2011
Open ASX enforcement matters at month start	23
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	22
Fines imposed during the month (excl GST)	\$50,000

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.

There were two referrals made to ASIC during the month, both relating to possible continuous disclosure breaches of the Corporations Act 2001.

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

The changes to the Listing Rules requiring listed entities to adopt a trading policy for key management personnel came into effect on 1 January 2011. At the same time, consequential amendments to the Appendix 3Y Change of Director's Interests Notice come into effect. The amended version of the Appendix 3Y is to be used from 1 January 2011.

On 24 January 2011, an amendment to Listing Rule 8.14 came into effect that permits listed entities and their registries to charge a reasonable fee for registering paper-based off-market transfers. A listed entity must notify ASX Listings of the amount which it proposes to charge and provide sufficient evidence to enable ASX Listings to determine if the fee proposed is reasonable, before it may start charging the fee.

Amendments were also made to the ASX Operating Rules in relation to the documents required to be given to a client, and client agreements, to remove duplication with the ASIC Market Integrity Rules.

Further details of these Listing and ASX Operating Rule changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

There were 41 waivers from the ASX Listing Rules granted during the month. Details of those waivers can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX Group website: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

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<sup>7</sup> 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.