



## MARKET ANNOUNCEMENT

3 February 2012

### ASX Compliance Monthly Activity Report – January 2012

#### Listings

Listed Entities	January 2012
Listed entities at month start	2,222
New listings	6
De-listings	7
Listed entities at month end	2,221

New listings for the month were Blue Sky Alternative Investments Limited (BLA); Cassini Resources Limited (CZI); Cohiba Minerals Limited (CHK); IDOL 2011-2 Trust (IDJ); Red Gum Resources Limited (RGX) and Sunbird Energy Limited (SNY).

De-listings for the month were Adelaide Energy Limited (ADE); Bow Energy Limited (BOW); Geothermal Resources Limited (GHT); Hunnu Coal Limited (HUN); QMASTOR Limited (QML); Souls Private Equity Limited (SOE) and Southern Cross Airports Corporation Holdings Limited (SAK).

Key Listings Statistics	January 2012
Total company announcements	7,816
Price queries <sup>1</sup> by ASX	35
Other continuous disclosure queries by ASX <sup>2</sup>	37
Aware letters <sup>3</sup> sent by ASX	8
Announcements made following a price query	28
Trading halts at the listed entity's request	65
Trading halts following a query by ASX	4
Suspensions at the listed entity's request	2
Suspensions imposed by ASX for breach of the Listing Rules	1

<sup>1</sup> Price queries are enquiries made by ASX (either by letter or phone) to a listed entity if ASX 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.

<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.

## Participants

ASX Participants <sup>4</sup>	January 2012
Market/Clearing/Settlement Participants at month start	134
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	134

ASX 24 Participants	January 2012
Trading/Clearing Participants at month start	47
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	47

During the month of January 2012 there were no admissions or resignations.

## Enforcement

Referrals to ASIC <sup>5</sup>	January 2012
Continuous disclosure referrals	1
Other referrals	3
Total referrals to ASIC	4

Pre 1 August 2010 Enforcement Matters <sup>6</sup>	January 2012
Open ASX enforcement matters at month start	4
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	3
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$170,000.00

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.

<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> ASX is required, under sections 792B(2)(c) and 821B(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.

<sup>6</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.

Three Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of the Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

### **ASX Rule Changes, Waivers and Exemptions**

Amendments were made to ASX's Listing Rules with effect on 1 January 2012 to introduce a requirement that an applicant for ASX listing satisfy ASX that its directors or proposed directors at the date of listing are of good fame and character. A number of minor amendments were also made on that date to the ASX Listing Rules and to the ASX, ASX 24, ASX Clear, ASX Clear (Futures) and ASX Settlement Operating Rules in order to correct various minor oversights and typographical and numbering errors. Further amendments were made with effect on 9 January 2012 to the ASX Operating Rules to allow AQUA Products over underlying debentures or bonds and to change the trading hours for the BetaShares Crude Oil Index ETF – Currency Hedged (synthetic) issued by BetaShares Capital Limited. Details of these changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>

A total of 25 waivers from the ASX Listing Rules were granted during the month. ASX rule books 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>.