



## MARKET ANNOUNCEMENT

4 July 2012

### ASX Compliance Monthly Activity Report – June 2012

#### Listings

Listed Entities	June 2012
Listed entities at month start	2,222
New listings	7
De-listings	18
Listed entities at month end	2,211

New listings for the month were A1 Consolidated Gold Limited (AYC), Crest Minerals Limited (CTT), Ingenia Communities Holdings Limited (INA), Kingform Health Hometextile Group Limited (KFG), Newfield Resources Limited (NWF), Series 2012-1 WST Trust (WSO) and Yancoal Australia Limited (YAL)

De-listings for the month were Austofix Group Limited (AYX), Brockman Resources Limited (BRM), Contango Capital Partners Limited (CCO), Crusade ABS Series 2008-2 Trust (CZC), Dexus Rents Trust (DXR), Eyecare Partners Limited (EPL), Luminus Systems Limited (LSL), Magma Metals Limited (MMW), National Can Industries Limited (NCI), Pearl Healthcare Limited (PHL), Pepper Residential Securities Trust No.6 (PRJ), Rift Valley Resources Limited (RFV), Scandinavian Resources Limited (SCR), SMART Series 2008-2 Trust (SMK), SMART Series 2008-3 Trust (SMW), Somerton Energy Limited (SNE), Tishman Speyer Office Fund (TSO) and Warehouse Group Limited (WHS).

Key Listings Statistics	June 2012
Total company announcements	8,559
Price queries by ASX <sup>1</sup>	29
Other continuous disclosure queries by ASX <sup>2</sup>	37
Aware letters sent by ASX <sup>3</sup>	3
Announcements made following a price query	8
Trading halts at the listed entity's request	88
Trading halts following a query by ASX	4
Suspensions at the listed entity's request	17

<sup>1</sup> 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.

<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.

Key Listings Statistics	June 2012
Suspensions imposed by ASX for breach of the Listing Rules	1

## Participants

ASX Participants <sup>4</sup>	June 2012
Market/Clearing/Settlement Participants at month start	133
New admissions	0
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	131

ASX 24 Participants	June 2012
Trading/Clearing Participants at month start	47
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	46

During the month of June, JDV Limited and Religare Securities Australia Pty Limited resigned as ASX Participants and Sean Taberner Trading Pty Limited resigned as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	June 2012
Continuous disclosure referrals	0
Other referrals	3
Total referrals to ASIC	3

Pre 1 August 2010 Enforcement Matters <sup>6</sup>	June 2012
Open ASX enforcement matters at month start	2
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$100,000.00

<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.

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.

One Disciplinary Circular was 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**

Entitlements offered by Brambles Limited (BXB) were included as a 'FOR Financial Product'<sup>7</sup> effective from 7 June 2012. This effectively precludes certain ineligible foreign investors from acquiring or exercising the entitlement offers. Details of this change can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

A revised version of Listing Rule Guidance Note 20 *ASX Online* has been released. It can be accessed at: [http://www.asxgroup.com.au/media/PDFs/gn20\\_asx\\_online.pdf](http://www.asxgroup.com.au/media/PDFs/gn20_asx_online.pdf)

Waivers granted in June included 66 waivers in relation to the ASX Listing Rules, 3 waivers of the ASX Settlement Operating Rules and 1 waiver of the ASX Clear Operating Rules. Details of waivers and exemptions granted by ASX can be accessed online by clicking on the relevant rule book on the Rules, Guidance Notes and Waivers page on the ASX website (<http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

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<sup>7</sup> FOR Financial Products means a class of Approved Financial Products included in Schedule 1 that are subject to aggregate foreign ownership restrictions pursuant to legislation or under the Issuer's constitution.