



# MARKET ANNOUNCEMENT

5 December 2012

## ASX Compliance Monthly Activity Report – November 2012

### Listings

Listed Entities	November 2012
Listed entities at month start	2,184
New listings	12
De-listings	7
Listed entities at month end	2,189

New listings for the month were AMPCI Macquarie Infrastructure Management No.1 Limited (DUE), AMPCI Macquarie Infrastructure Management No.2 Limited (DUE), Asaplus Resouces Limited (AJY), Australian Masters Yield Fund No.1 Limited (AYD), Australian Masters Yield Fund No.2 Limited (AYH), Dacian Gold Limited (DCN), Fonterra Shareholders' Fund (FSF), Shopping Centres Australasia Property Management Trust (SCP), Shopping Centres Australasia Property Retail Trust (SCP), TTG Mobile Coupon Services Limited (TUP), Windward Resources Ltd (WIN) and Xero Limited (XRO).

De-listings for the month were Biota Holdings Limited (BTA), Bremer Park Limited (BPK), Brookfield Secured Bonds Series B Issuer Limited (BZB), Consolidated Media Holdings Limited (CMJ), Fisher & Paykel Appliances Holdings Limited (FPA), Global Mining Investments Limited (GMI) and Mesbon China Nylon Limited (MES).

Key Listings Statistics	November 2012
Total company announcements	11,939
Price queries by ASX <sup>1</sup>	39
Other continuous disclosure queries by ASX <sup>2</sup>	16
Aware letters sent by ASX <sup>3</sup>	5
Announcements made following a price query	25
Trading halts at the listed entity's request	102
Trading halts following a query by ASX	10

<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	November 2012
Suspensions at the listed entity's request	31
Suspensions imposed by ASX for breach of the Listing Rules	6

#### Participants

ASX Participants <sup>4</sup>	November 2012
Market/Clearing/Settlement Participants at month start	132
New admissions	0
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	131

ASX 24 Participants	November 2012
Trading/Clearing Participants at month start	49
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	49

During the month of November, Mosaic Risk Management Pty Ltd resigned as an ASX Market Participant.

#### Enforcement

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

Enforcement Matters	November 2012
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	2
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$35,000

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

<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.

## ASX Rule Changes, Waivers and Exemptions

After a three month transitional period, amendments to the spread and asset tests in the admission requirements for all listed entities came into effect on 1 November 2012.

The following procedures and appendices related to ASX audit and financial reporting requirements were deleted from the ASX and ASX 24 Operating Rules as they are no longer applicable following the transfer of non-clearing participant capital requirements to ASIC on 1 August 2011:

ASX Operating Rules Procedures	Section 8 Transitional Provisions: Accounts and Audit Procedure 8510, Procedure 8510 (a) and Procedure 8510 (b)
Appendices to ASX Operating Rules Procedures	Section 8: Capital Requirements: Appendix 8510 (B) -1 and Appendix 8510 (B) - 2
ASX 24 Operating Rules Procedures	Section 8 Transitional Provisions: Financial Statements – Procedure 8510
Appendices to ASX 24 Operating Rules Procedures	Section 8 Appendix 8510 (b): Form 1 and Form 2 Pro Forma Auditors Reports and Directors Declaration

These were in addition to a number of other minor amendments to the ASX 24 and ASX Clear (Futures) Operating Rules Procedures primarily to reflect business unit name changes within ASX.

Universal Biosensors Inc (ASX Code: UBI) was removed as a FOR Financial Product<sup>6</sup> under the ASX Settlement Operating Rules.

Details of these rule changes can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

There were 96 waivers granted in relation to the ASX Listing Rules and two waivers in relation to ASX Settlement Operating Rules granted during the month. 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>6</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.