



## MARKET ANNOUNCEMENT

4 October 2012

### ASX Compliance Monthly Activity Report – September 2012

#### Listings

Listed Entities	September 2012
Listed entities at month start	2,192
New listings	6
De-listings	7
Listed entities at month end	2,191

New listings for the month were Alicanto Minerals Limited (AQI), APT Pipelines Limited (AQH), Etherstack PLC (ESK), Fosse Master Issuer PLC (FOB), iCar Asia Limited (ICQ) and Series 2012-1E REDS EHP Trust (RFA).

De-listings for the month were Allied Gold Mining PLC (ALD), APN European Retail Property Holdings Trust (AEZ), APN European Retail Property Management Trust (AEZ), Castlemaine Goldfields Limited (CGT), PUMA Masterfund S-2 (PUM), Q10 Trust (QTT) and Talent2 International Limited (TWO).

Key Listings Statistics	September 2012
Total company announcements	10,012
Price queries by ASX <sup>1</sup>	30
Other continuous disclosure queries by ASX <sup>2</sup>	24
Aware letters sent by ASX <sup>3</sup>	6
Announcements made following a price query	29
Trading halts at the listed entity's request	88
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	6
Suspensions imposed by ASX for breach of the Listing Rules	3

<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.

In accordance with listing rule 17.5, ASX suspended three entities from the commencement of trading on 3 September 2012 for failing to lodge their Preliminary Final Report or their Half-Yearly Reports and Half-Year Accounts for the period ended 30 June 2012.

## Participants

<b>ASX Participants<sup>4</sup></b>	<b>September 2012</b>
Market/Clearing/Settlement Participants at month start	132
New admissions	1
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	131

<b>ASX 24 Participants</b>	<b>September 2012</b>
Trading/Clearing Participants at month start	48
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	48

During the month of September, BGC (Securities) Australia Pty Limited was admitted as an ASX Participant, and Veritas Securities Limited and State Trustees Limited resigned as ASX Participants.

## Enforcement

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

<b>Enforcement Matters</b>	<b>September 2012</b>
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	2
Enforcement matters concluded during the month	2
Open ASX enforcement matters at month end	3
Fines imposed during the month (excl GST)	\$30,000

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>.

<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**

Entitlements offered by Straights Resources Limited (SRQR) were included as a 'FOR Financial Product'<sup>6</sup> effective from 11 September 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>.

During the month, there were 42 waivers granted in relation to the ASX Listing Rules and two waivers granted in relation to the ASX Settlement 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>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.