



MARKET ANNOUNCEMENT

5 June 2013

ASX Compliance Monthly Activity Report – May 2013

Listings

Listed Entities	May 2013
Listed entities at month start	2,184
New listings	6
De-listings	4
Listed entities at month end	2,186

New listings for the month were Classic Minerals Limited (CLZ), Mighty River Power Limited (MYT), Primero Mining Corp (PPM), Santana Minerals Limited (SMI), Shine Corporate Ltd (SHJ) and SML Corporation Limited (SHJ).

De-listings for the month were Cerro Resources NL (CJO), Lochard Energy Group PLC (LHD), Peters MacGregor Investments Limited (PET) and Sunshine Heart, Inc (SHC).

Key Listings Statistics	May 2013
Total company announcements	9,446
Price queries by ASX ¹	24
Other continuous disclosure queries by ASX ²	17
Aware letters sent by ASX ³	2
Announcements made following a price query	17
Trading halts at the listed entity's request	90
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	20
Suspensions imposed by ASX for breach of the Listing Rules	1

¹ 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.

² 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.

³ 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 ⁴	May 2013
Market/Clearing/Settlement Participants at month start	126
New admissions	0
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	125

ASX 24 Participants	May 2013
Trading/Clearing Participants at month start	46
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	47

During the month of May, IMC Pacific Pty Ltd was admitted as an ASX 24 Participant. HUB24 Custodial Services Limited resigned as an ASX Participant.

Enforcement

Referrals to ASIC ⁵	May 2013
Continuous disclosure referrals	1
Other referrals	4
Total referrals to ASIC	5

Enforcement Matters	May 2013
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)	Nil

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

ASX Rule Changes, Waivers and Exemptions

A package of disclosure-related Listing Rule amendments was published and came into effect on 1 May 2013, in conjunction with the revised version of Guidance Note 8 *Continuous Disclosure: Listing Rules 3.1 – 3.1B*.

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

⁵ 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.

Amendments were made to various Rules and Procedures to cater for the commencement of trading on ASX of Exchange-traded Australian Government Bonds (AGBs) on 21 May 2013. A new *Schedule 11 Government Bonds* was added to the ASX Operating Rules and ASX Operating Rules Procedures. The ASX Settlement Procedure Guidelines were updated to include a new *Section 29: Exchange-traded Australian Government Bonds*, with consequential amendments being made to *Section 7: Glossary* and *Section 19: CHES Depository Interests*. Amendments were also made to Schedule 1 of the ASX Clear Operating Rules and the ASX Operating Rules Procedures to reflect amendments to the ASIC Market Integrity Rules relating to AGBs.

Various amendments to the ASX Operating Rules and related Procedures were made on 26 May to reflect amendments made by ASIC to the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 and the removal by ASIC of some existing waivers that had been provided to ASX for its extreme price movements regime under those rules.

Amendments were made to ASX 24 Operating Rules and Procedures to support a new Base Load Calendar Month Electricity Futures Contract that commenced trading on 8 May 2013.

The ASX 24 Operating Rule Procedures relating to ASX Grain Futures trading were amended to reflect the removal from trading of November contracts for NSW Wheat, WA Wheat and Eastern Australia Canola. A number of other changes were also made to the Procedures applying to all existing grain futures and options contracts.

Procedure 4800 of the ASX 24 Operating Rules Procedures was amended to reflect revised cut-off times for Exchange for Physical transactions that came into effect on 31 May.

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

There were 87 waivers granted in relation to the ASX Listing Rules and two in relation to ASX Settlement and 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.