



MARKET ANNOUNCEMENT

6 November 2013

ASX Compliance Monthly Activity Report – October 2013

Listings

Listed Entities	October 2013
Listed entities at month start	2,165
New listings	12
De-listings	4
Listed entities at month end	2,173

New listings for the month were Australian Industrial REIT (ANI), Australian Masters Yield Fund No 3 Limited (AYJ), Australian Masters Yield Fund No 4 Limited (AYK), Dome Gold Mines Limited (DME), Enege NL (ENX), Korea South-East Power Co Ltd (KOP), Medallion Trust Series 2013-2 (MBJ), Meridian Energy Limited (MEZ), Metlifecare Limited (MEQ), OzForex Group Limited (OFX), Sealink Travel Group Limited (SLK) and 99 Wuxian Limited (NNW).

De-listings for the month were Australian Power and Gas Company Limited (APK), Bravura Solutions Limited (BVA), Moby Oil & Gas Limited (MOG) and Trafalgar Opportunity Fund No. 4 (TGP).

Key Listings Statistics	October 2013
Total company announcements	13,091
Price queries by ASX ¹	56
Other continuous disclosure queries by ASX ²	28
Aware letters sent by ASX ³	7
Announcements made following a price query	37
Trading halts at the listed entity's request	97
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	16
Suspensions imposed by ASX for breach of the Listing Rules	21

¹ 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.

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	October 2013
Market/Clearing/Settlement Participants at month start	120
New admissions	0
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	119

Berndale Securities Limited resigned as a participant (ASX Market, ASX Clear and ASX Settlement).

ASX 24 Participants	October 2013
Trading/Clearing Participants at month start	50
New admissions	2
Resignations and removals	2
Trading/Clearing Participants at month end	50

Goldman Sachs Australia Pty Ltd (ASX 24 and ASX Clear (Futures)) and Hyena Pty Ltd (ASX 24) were admitted as participants.

Goldman Sachs Australia Futures Pty Ltd (ASX 24) and Goldman Sachs Australia Capital Markets Pty Ltd (ASX Clear (Futures)) resigned as participants.

Enforcement

Referrals to ASIC ⁵	October 2013
Continuous disclosure referrals	2
Other referrals	2
Total referrals to ASIC	4

Enforcement Matters	October 2013
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	2
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	5
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>.

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.

ASX Rule Changes, Waivers and Exemptions

New ASX Operating Rules (new Annexure A1: ASX BookBuild Rules) and Procedures (new Annexure B1: ASX BookBuild Procedures), plus a number of other consequential changes to existing ASX Operating Rules and Procedures, associated with the ASX BookBuild service came into effect on 8 October 2013.

Changes were made to the ASX 24 Procedures to reflect the removal of the ASX Nufarm CFD (NF) and the ASX Dow Jones CFD (IU) from trading. These changes came into effect on 2 October. In addition, procedures were amended to reflect the termination of open positions, if any, in these CFDs as well as the change of trading hours for the ASX S&P/ASX 200 CFD (IQ).

The specifications of two Sector Futures contracts (i.e. the S&P/ASX 200 Resources Index Futures and S&P/ASX 200 Financials-x-A-REIT Index Futures) and the VIX Futures contracts were added to Subsection 2B (Equity Contracts) in Schedule 1 (ASX 24 Individual Contract Specifications) of the ASX 24 Operating Rules. The Sector Futures contracts commenced trading on 14 October 2013 and the S&P/ASX 200 VIX Futures commenced trading on 21 October 2013. A number of Procedures were also amended to support the launch of these products.

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

There were 102 waivers granted in relation to the ASX Listing Rules, one waiver in relation to the ASX Settlement Operating Rules, three waivers in relation to the ASX 24 Operating Rules and two waivers in relation to the ASX Clear (Futures) 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.