



MARKET ANNOUNCEMENT

4 October 2013

ASX Compliance Monthly Activity Report – September 2013

Listings

Listed Entities	September 2013
Listed entities at month start	2,162
New listings	5
De-listings	2
Listed entities at month end	2,165

New listings for the month were Series 2013-1 Harvey Trust (HTB), Kin Mining NL (KIN), Linktone Ltd (LTL), Regeneus Ltd (RGS) and Smartpay Holdings Limited (SMP).

De-listings for the month were Heatware International, Inc (HIN) and Quoin (Int) Limited (QIL).

Key Listings Statistics	September 2013
Total company announcements	9,932
Price queries by ASX ¹	29
Other continuous disclosure queries by ASX ²	23
Aware letters sent by ASX ³	1
Announcements made following a price query	25
Trading halts at the listed entity's request	86
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	14
Suspensions imposed by ASX for breach of the Listing Rules	5

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	September 2013
Market/Clearing/Settlement Participants at month start	121
New admissions	1
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	120

ASX 24 Participants	September 2013
Trading/Clearing Participants at month start	49
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	50

During September, One Management Investment Funds was admitted as an ASX Settlement Participant and Commonwealth Bank of Australia was admitted as an ASX Clear Futures Participant.

Perpetual Trustee Consolidated Limited and Investec Securities (Australia) Pty Ltd resigned as an ASX Settlement Participant and ASX Market Participant respectively.

Enforcement

Referrals to ASIC ⁵	September 2013
Continuous disclosure referrals	2
Other referrals	3
Total referrals to ASIC	5

Enforcement Matters	September 2013
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
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>.

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

A new contract, Average Rate Options over Base Load Calendar Quarter Electricity Futures (BN, BV, BQ, BS), was added to the ASX 24 market on 9 September 2013.

From 6 September, the CHESSE Depository Interests of Universal Biosensors, Inc (UBI) were removed as a FOR Financial Product⁶ under the ASX Settlement Operating Rules. The CHESSE Depository Interests of Linktone Ltd (LTL) were included as a FOR Financial Product on 13 September 2013.

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

There were 81 waivers granted in relation to the ASX Listing Rules, two waivers of the ASX Settlement Operating Rules and seven waivers of the ASX Clear (Futures) Operating Rule. 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.

⁶ 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.