



## MARKET ANNOUNCEMENT

3 May 2013

### ASX Compliance Monthly Activity Report – April 2013

#### Listings

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

New listings for the month were IPB Petroleum Limited (IPB); Laramide Resources Ltd (LAM); Series 2013-1 WST Trust (WSQ); Swala Energy Limited (SWE); Tlou Energy Limited (TOU); and US Select Private Opportunities Fund II (USG).

De-listings for the month were Canada Land Limited (CDL); China JXY Group Limited (CJG); LinQ Resources Fund (LRF); SMART Series 2009-1 Trust (SMQ); Skywest Airlines Ltd (SXR); and Ultrapay Limited (ULT).

Key Listings Statistics	April 2013
Total company announcements	9,517
Price queries by ASX <sup>1</sup>	20
Other continuous disclosure queries by ASX <sup>2</sup>	24
Aware letters sent by ASX <sup>3</sup>	4
Announcements made following a price query	12
Trading halts at the listed entity's request	114
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	26
Suspensions imposed by ASX for breach of the Listing Rules	5

<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.

## Participants

ASX Participants <sup>4</sup>	April 2013
Market/Clearing/Settlement Participants at month start	125
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	126

ASX 24 Participants	April 2013
Trading/Clearing Participants at month start	45
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	46

During the month, Canaccord Genuity (Australia) Limited was admitted as an ASX Participant and World Financial Desk LLC was admitted as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	April 2013
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	April 2013
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	Nil

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month.

## ASX Rule Changes, Waivers and Exemptions

With effect from 15 April 2013, ASX modified the following Operating Rules Procedures so as to be consistent with the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 (MIRs):

<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.

- Procedures 3500 and 4060 were modified to make it clear that overseas transactions (crossings) are only permitted during the Pre-Open Session State up to 15 minutes prior to the commencement of the Open Session State Session State (i.e. from 7:00am to 9:45am). This is consistent with MIR 4.2.5.
- Appendix 4013 Part 2 was amended so that the market will move from the Adjust Session State to the Adjust On Session State at 16:42 (rather than at 17:00). This is consistent with MIRs 4.2.4 and 4.2.6.

On 15 April, ASX 24 announced that from March 2014 onwards, the deliverable grade for Eastern Australia Canola (VC) becomes CSO1-a. Up to and including January 2014, the delivery grade will be CSO1. On the same day, ASX 24 announced that the approved locations with respect to Australian sorghum will be determined on a natural terminal port basis. That is, sites will only be acceptable for delivery if they have rail and road outloading capability and Brisbane or Newcastle is described as the natural terminal port for that location. This will take effect from September 2013 onward.

A number of other miscellaneous changes to the Procedures for all existing grain futures and options contracts will come into effect from 15 May 2013.

The stapled securities of Goodman Group (ASX Code: GMG) were removed as a FOR Financial Product<sup>6</sup> under the ASX Settlement Operating Rules on 3 April 2013.

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

There were 50 waivers granted in relation to the ASX Listing Rules, three in relation to ASX Settlement Operating Rules and no waivers in relation to ASX 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.