



# MARKET ANNOUNCEMENT

3 September 2014

## ASX Compliance Monthly Activity Report – August 2014

### Listings

Listed Entities	August 2014
Listed entities at month start	2,194
New listings	12
De-listings	20
Listed entities at month end	2,186

New listings for the month were Ashley Services Group Limited (ASH), Barrack St Investments Limited (BST), Bellamy's Australia Limited (BAL), Duketon Mining Limited (DKM), Orthocell Limited (OCC), PUMA Series 2014-2 (PUO), QV Equities Limited (QVE), SMART ABS Series 2014-2E Trust (SAB), SpeedCast International Limited (SDA), Spur Ventures Inc (AGB), Vista Group International Limited (VGI) and 8common Limited (8CO).

De-listings for the month were Apex Minerals NL (AXM), Atlantic Gold NL (ATV), CMA Corporation Limited (CMV), Cobar Consolidated Resources Limited (CCU), Crusade Trust Series A (CTV), David Jones Limited (DJS), EL Corporation Limited (EIM), Forge Group Limited (FGE), Global Strategic Metals NL (GSZ), Healthscope Notes Limited (HLN), Imagine UN Limited (IUL), Kagara Limited (KZL), Macro Corporation Limited (MAC), Magna Mining NL (MAN), Penrice Soda Holdings Limited (PSH), Pentagon Capital Limited (LSB), Series 2007 - 1G WST Trust (WSB), SFG Australia Limited (SFW), Sherwin Iron Limited (SHD) and TriAusMin Limited (TRO).

Key Listings Statistics	August 2014
Total company announcements	10,079
Price queries by ASX <sup>1</sup>	28
Other continuous disclosure queries by ASX <sup>2</sup>	11
Aware letters sent by ASX <sup>3</sup>	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.

Key Listings Statistics	August 2014
Announcements made following a price query	24
Trading halts at the listed entity's request	83
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	22
Suspensions imposed by ASX for breach of the Listing Rules	4

## Participants

ASX Participants <sup>4</sup>	August 2014
Market/Clearing/Settlement Participants at month start	123
New admissions	0
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	122

ASX 24 Participants	August 2014
Trading/Clearing Participants at month start	59
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	59

During the month of August, Suncorp Custodians Services Pty Ltd resigned as an ASX Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	August 2014
Continuous disclosure referrals	2
Other referrals	0
Total referrals to ASIC	2

<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.

Enforcement Matters	August 2014
Open ASX enforcement matters at month start	0
New enforcement matters commenced during the month	1
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$5,000

The [ASX Quarterly Enforcement Circular for the period 1 June 2014 to 31 August 2014](#) was released on 29 August 2014.

### ASX Rule Changes, Waivers and Exemptions

Non-bank clearing participants wishing to clear cash market transactions or options market transactions for third parties (called “general participants” in the Rules) must comply with the risk-based capital requirements set out in Schedule 1 of the ASX Clear Operating Rules. From 1 August, the requirement for general participants to hold core capital of \$20 million has been replaced with a tiered table of core capital amounts based on the number of participants for whom the general participant provides clearing services. These changes allow for a graduated approach to minimum core capital requirements for general participants and reflect the principle that minimum core capital should be associated with the nature and level of clearing activity being undertaken.

From 1 August, ASX also amended the ASX Clear (Futures) Operating Rules to reflect ASX’s obligation to report creation data and continuation date (including valuation data) as a condition of ASX’s CFTC no-action relief.

As a result of the increase in night session liquidity, block trading arrangements for the 30 Day Interbank Cash Rate Futures and the 90 Day Bank Bill Futures traded during the night session Block Trade Facility provided by the ASX 24 market were changed from 14 August. Block trade thresholds for the 90 Day Bank Bill futures were also changed from that date.

To ensure that the Austraclear facility is FATCA (US Foreign Account Tax Compliance Act) compliant, ASX amended the Austraclear Operating Rules, effective 25 August, to require existing and prospective participants holding security records to certify their status under the intergovernmental agreement (IGA) signed by the Australian and US governments and to notify Austraclear of any change in that status, and to require participants to provide information periodically to Austraclear if IGA reporting obligations apply.

Also on 25 August, the entitlements of AGL Energy Limited (AGKRA) were included in Schedule 1 of the ASX Settlement Operation Rules as a FOR<sup>6</sup> Financial Product.

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

There were 80 waivers granted in relation to the ASX Listing Rules and no waivers in relation to the ASX Operating Rules, ASX Settlement Rules, ASX Clear Operating Rules, ASX Clear (Futures), ASX 24 Operating Rules or the Austraclear Regulations. 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

<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.