



## MARKET ANNOUNCEMENT

3 July 2014

### ASX Compliance Monthly Activity Report – June 2014

#### Listings

Listed Entities	June 2014
Listed entities at month start	2184
New listings	12
De-listings	4
Listed entities at month end	2192

New listings for the month were Asaleo Care Limited (AHY), Blue Sky Alternative Access Fund Limited (BAF), Gentrack Group Limited (GTK), Isentia Group Limited (ISD), Managed Accounts Holdings Limited (MGP), Mantra Group Limited (MTR), Medallion Trust Series 2014-1P (MPZ), Monash IVF Group Limited (MVF), RTG Mining Inc (RTG), The PAS Group Limited (PGR), Westfield Corporation Limited (WFD) and WFD Trust (WFD).

De-listings for the month were Aurora Oil & Gas Limited (AUT), Emerging Leaders Investment Limited (ELI), Mindoro Resources Limited (MDO) and Sierra Mining Limited (SRM).

Key Listings Statistics	June 2014
Total company announcements	8282
Price queries by ASX <sup>1</sup>	44
Other continuous disclosure queries by ASX <sup>2</sup>	13
Aware letters sent by ASX <sup>3</sup>	1
Announcements made following a price query	34
Trading halts at the listed entity's request	85
Trading halts following a query by ASX	6
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>	June 2014
Market/Clearing/Settlement Participants at month start	122
New admissions	1
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	122

ASX 24 Participants	June 2014
Trading/Clearing Participants at month start	59
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	60

During the month of June, Jump Pacific Pte Limited was admitted as both an ASX Participant and ASX 24 Participant, and Invia (Custodian) Pty Ltd resigned as an ASX Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	June 2014
Continuous disclosure referrals	1
Other referrals	1
Total referrals to ASIC	2

Enforcement Matters	June 2014
Open ASX enforcement matters at month start	0
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	0
Fines imposed during the month (excl GST)	0

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

## ASX Rule Changes, Waivers and Exemptions

The ASX Operating Rule Procedures with respect to ETOs were updated with effect on 23 June 2014 to remove the prescribed strategies around acceptable Tailor Made Combinations (TMCs). The changes did not remove the TMC ratio requirement of 4 to 1 or the maximum of four instruments allowed in a TMC instrument. The ASX

<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> ASIC 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.

Operating Rule Procedures were also updated on 4 June to reflect the new ASX Bookbuild Trading Session States.

Following on from ASX's decision to cease to offer trading in CFDs, Procedures 2.81.1 to 2.81.4, 2.81.6, 2.81.7 and 2.82 were removed from the ASX 24 Operating Rules Appendices. The final trading day of CFDs was 6 June 2014.

Effective on 6 June, the ASX24 Operating Rules Procedures were updated to permit Trading Participants to effect an EFP between more than two parties where the physical transaction has complied with the requirements of Part B of ASX Operating Rules Procedures 4810 (Part B allows ASX Trading Participants to facilitate an ASX XJO Options transaction by aggregating one side of the transaction against a Special Size on the other side of the transaction).

With effect from 23 June, the close out netting rules in the ASX Clear Operating Rules were amended to give Clearing Participants the right to terminate novated contracts in the event of ASX Clear's default. The amendment was introduced in response to feedback from Clearing Participants and delivers capital efficiencies to Clearing Participants that are part of banking groups.

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

There were 63 waivers granted in relation to the ASX Listing Rules and four waivers in relation to ASX Operating Rules and ASX 24 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the Waivers tab.