



## MARKET ANNOUNCEMENT

3 April 2014

### ASX Compliance Monthly Activity Report – March 2014

#### Listings

Listed Entities	March 2014
Listed entities at month start	2,183
New listings	4
De-listings	4
Listed entities at month end	2,183

New listings for the month were CFX Co Limited (CFX), Puma Series 2014-1 (PUK), SG Fleet Group Limited (SGF) and Torrens Series 2014-1 Trust (TNH).

De-listings for the month were Bank of Scotland plc (BNS), Bella Trust Series 2010-1 Trust (BNN), CFS Retail Property Trust 2 (CFX) and Glory Resources Limited (GLY).

Key Listings Statistics	March 2014
Total company announcements	9,124
Price queries by ASX <sup>1</sup>	45
Other continuous disclosure queries by ASX <sup>2</sup>	37
Aware letters sent by ASX <sup>3</sup>	4
Announcements made following a price query	42
Trading halts at the listed entity's request	116
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	9

<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>	March 2014
Market/Clearing/Settlement Participants at month start	119
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	119

ASX 24 Participants	March 2014
Trading/Clearing Participants at month start	54
New admissions	2
Resignations and removals	0
Trading/Clearing Participants at month end	56

During the month of March, Tyler Capital Partners LLP and XR Trading Pacific LLC were admitted as ASX 24 Participants.

## Enforcement

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

Enforcement Matters	March 2014
Open ASX enforcement matters at month start	2
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$0 <sup>6</sup>

One Disciplinary Circular was 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>.

<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.

<sup>6</sup> Corrigendum – a fine of \$30,000 was imposed in the month of February 2014 but was not correctly reported in February's Monthly Activity Report as being "1".

## ASX Rule Changes, Waivers and Exemptions

Changes were made to the ASX Operating Rules, ASX Operating Rules Procedures, ASX Settlement Rules and ASX Settlement Rules Procedures to support ASX's new mFund settlement service with effect on 21 March 2014. This service, when launched, will enable investors to buy and sell (apply for and redeem) units in unlisted managed funds through ASX participants.

As part of a larger project to replace all of its existing guidance notes (GN) and adopt a new system of numbering that is consistent across the various ASX rulebooks, new or updated guidance notes covering resigning a participation (GN2), suspension and termination of participants (GN5), privacy matters (GN6) and notification obligations (GN8) were released on 11 March. These apply to the ASX, ASX 24, ASX Clear and ASX Settlement Operating Rules. An updated guidance note for ASX participants on obligations on the expiry of a warrant (GN11) was also released on the same day.

On 21 March, ASX announced that it would cease to offer trading in CFDs in June 2014 and provided details of the staggered closure of CFD trading that will commence on Monday 2 June and to be completed by Friday 6 June.

From 19 March 2014, the CHESS Depository Interests of Spark Infrastructure Group (SKI) were included as a FOR<sup>7</sup> Financial Product.

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

There were 46 waivers granted in relation to the ASX Listing Rules, four waivers in relation to the ASX Operating and Settlement Rules and three waivers in relation to the 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.

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<sup>7</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.