



## MARKET ANNOUNCEMENT

5 November 2014

### ASX Compliance Monthly Activity Report – October 2014

#### Listings

Listed Entities	October 2014
Listed entities at month start	2,188
New listings	10
De-listings	8
Listed entities at month end	2,190

New listings for the month were Anantara Lifesciences Ltd (ANR), Australian Dairy Farms Trust (AHF), Ellerston Global Investments Limited (EGI), GPT Metro Office Fund (GMF), Huon Aquaculture Group Limited (HUO), Regis Healthcare Limited (REG), Rewardle Holdings Limited (RXH), RF Active (RFF), Think Childcare and Education Limited (TNK), and WEA Finance LLC and Westfield UK & Europe Finance PLC (WEF).

De-listings for the month were Ambassador Oil and Gas Limited (AQO), Bullabulling Gold Limited (BAB), Dart Energy Limited (DTE), Envestra Limited (ENV), Iron Ore Holdings Limited (IOH), Papillon Resources Limited (PIR), Transpacific SPS Trust (TPA) and Series 2005-1 TORRENS Trust (TRW).

Key Listings Statistics	October 2014
Total company announcements	12,071
Price queries by ASX <sup>1</sup>	28
Other continuous disclosure queries by ASX <sup>2</sup>	21
Aware letters sent by ASX <sup>3</sup>	2
Announcements made following a price query	26
Trading halts at the listed entity's request	112
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	27
Suspensions imposed by ASX for breach of the Listing Rules	20

<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>	October 2014
Market/Clearing/Settlement Participants at month start	123
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	October 2014
Trading/Clearing Participants at month start	57
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	58

During the month of October OFE Trading LLC was admitted as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	October 2014
Continuous disclosure referrals	1
Other referrals	0
Total referrals to ASIC	1

Enforcement Matters	October 2014
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 the Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

## ASX Rule Changes, Waivers and Exemptions

The ASX 24 Operating Rules were amended on 13 October to remove the ASX 3 Month Overnight Index Swap Futures from Appendix 2.35.1 and again on 27 October to include the S&P/ASX 200 Australian Real Estate Investment Trust (A-REIT) Index Futures in Schedule 2.49, Appendix 2.49 and Procedures 2500, 3200 and 4820.

<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.

The latter change was to facilitate the shift of the S&P/ASX 200 Australian Real Estate Investment Trust (A-REIT) Index Futures from the ASX market to the ASX 24 market.

A new Austraclear Guidance Note on Business Continuity and Disaster Recovery was published on 20 October.

ASX Operating Rules Procedure 7100 was amended on 20 October to update the reference to "Channel Islands Stock Exchange" to "Channel Islands Securities Exchange" in the definition of Recognised Stock Exchange.

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

There were 75 waivers granted in relation to the ASX Listing Rules, two waivers in relation to Aqua ASX Settlement Operating Rules and four waivers in relation to 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.