



MARKET ANNOUNCEMENT

4 March 2015

ASX Compliance Monthly Activity Report – February 2015

Listings

Listed Entities	February 2015
Listed entities at month start	2,208
New listings	5
De-listings	6
Listed entities at month end	2,207

New listings for the month were Fiducian Group Limited (FID), Martin Aircraft Limited (MJP), Premiere Eastern Energy Limited (PEZ), US Residential Ltd (USR) and US Residential Trust (USR).

De-listings for the month were Fiducian Portfolio Services Limited (FPS), Mutiny Gold Limited (MYG), Outback Metals Limited (OUM), PUMA Masterfund P-11 (PUP), The Royal Bank of Scotland N.V (ABO) and Verizon Global Funding Corp (VGF).

Key Listings Statistics	February 2015
Total company announcements	8,793
Price queries by ASX ¹	43
Other continuous disclosure queries by ASX ²	15
Aware letters sent by ASX ³	0
Announcements made following a price query	31

¹ 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.

² 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.

³ 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	February 2015
Trading halts at the listed entity's request	78
Trading halts following a query by ASX	0
Suspensions at the listed entity's request	14
Suspensions imposed by ASX for breach of the Listing Rules	5

Participants

ASX Participants ⁴	February 2015
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	February 2015
Trading/Clearing Participants at month start	57
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	56

During the month of February, HTG Capital Partners (Singapore) Pte Limited resigned as an ASX 24 Trading Participant.

Enforcement

Referrals to ASIC ⁵	February 2015
Continuous disclosure referrals	1
Other referrals	0
Total referrals to ASIC	1

Enforcement Matters	February 2015
Open ASX enforcement matters at month start	0
New enforcement matters commenced during the month	2
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	Nil

⁴ Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary.

⁵ 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.

An ASX quarterly enforcement circular was released during the month. A copy of the circular is available online at:

https://www.asxonline.com/intradoc-cgi/groups/participant_services/documents/communications/asx_043271.pdf

ASX Rule Changes, Waivers and Exemptions

On 17 February 2015, ASX released minor updates of Listing Rule Guidance Notes 1, 4, 29 and 30 which corrected the Swift Code for payments by overseas customers.

On 27 February 2015, ASX released the following new Operating Rule Guidance Notes:

- ASX Operating Rules Guidance Note 12 *Warrant and AQUA Product Liquidity Requirements*
- ASX Operating Rules Guidance Note 13 *Maintenance of an Orderly Market When Closing Out Settlement Failures*
- ASX Operating Rules Guidance Note 15 *ASX Managed Fund Service*
- ASX Settlement Operating Rules Guidance Note 11 *Accessing Holdings in Error*
- ASX Settlement Operating Rules Guidance Note 12 *Using a Settlement or Accumulation Account for Custodial Purposes*
- ASX Settlement Operating Rules Guidance Note 13 *Financial Products Subject to Foreign Ownership Restrictions*
- ASX Clear (Futures) Operating Rules Guidance Note 2 *Resigning a Participation*
- ASX Clear (Futures) Operating Rules Guidance Note 4 *Waivers and In Principle Advice*
- ASX Clear (Futures) Operating Rules Guidance Note 6 *Privacy Matters*

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

During the month there were 53 waivers granted in relation to the ASX Listing Rules, 19 waivers granted in relation to the Settlement Operating/AQUA Rules and nil 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.