



## MARKET ANNOUNCEMENT

4 February 2015

### ASX Compliance Monthly Activity Report – January 2015

#### Listings

Listed Entities	January 2015
Listed entities at month start	2,208
New listings	7
De-listings	7
Listed entities at month end	2,208

New listings for the month were Appen Limited (APX), Arowana Australasian Value Opportunities Fund Limited (AWO), Phytotech Medical Limited (PYL), PINE Capital Limited (PCD), Series 2014-2 WST Trust (WEK), Torrens Series 2014-2 Trust (TOZ) and Yancoal SCN Limited (YCN).

De-listings for the month were Bella Trust No.2 Series 2011-1 (BNI), Crowe Horwath Australasia Ltd (CRH), Folkestone Social Infrastructure Trust (FST), Indophil Resources NL (IRN), Nexus Energy Limited (NXS), Roc Oil Company Limited (ROC) and Vantage Goldfields Limited (VGO).

Key Listings Statistics	January 2015
Total company announcements	6,851
Price queries by ASX <sup>1</sup>	41
Other continuous disclosure queries by ASX <sup>2</sup>	8
Aware letters sent by ASX <sup>3</sup>	1
Announcements made following a price query	29
Trading halts at the listed entity's request	49
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	15
Suspensions imposed by ASX for breach of the Listing Rules	2

<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>	January 2015
Market/Clearing/Settlement Participants at month start	122
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	January 2015
Trading/Clearing Participants at month start	57
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	57

During the month of January, Bestex Pty Ltd was admitted as an ASX Market Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	January 2015
Continuous disclosure referrals	0
Other referrals	1
Total referrals to ASIC	1

Enforcement Matters	January 2015
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	0
Fines imposed during the month (excl GST)	\$180,000

ASX Compliance released a disciplinary circular on Friday 30 January 2015. A copy of the circular is available online at:

[https://www.asxonline.com/intradoc-cgi/groups/participant\\_services/documents/communications/asx\\_043032.pdf](https://www.asxonline.com/intradoc-cgi/groups/participant_services/documents/communications/asx_043032.pdf)

## ASX Rule Changes, Waivers and Exemptions

On 30 January, ASX released updated Listing Rules Guidance Notes 27 *Trading Policies* and 30 *Applying for Quotation of Additional Securities* as well as two new Listing Rules Guidance Notes relating to debt securities: Guidance Notes 29 *ASX Debt Listings* and 34 *Naming Conventions for Debt and Hybrid Securities*.

<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.

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

There were 27 waivers granted during January 2015 in relation to the ASX Listing Rules and no waivers in relation to ASX Operating Rules, ASX Settlement Operating Rules, ASX Clear Operating Rules, ASX Clear (Futures) 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.