



## MARKET ANNOUNCEMENT

7 April 2015

### ASX Compliance Monthly Activity Report – March 2015

#### Listings

| Listed Entities                | March 2015 |
|--------------------------------|------------|
| Listed entities at month start | 2,207      |
| New listings                   | 9          |
| De-listings                    | 4          |
| Listed entities at month end   | 2,212      |

New listings for the month were Aeeris Ltd (AER), Driver Australia Two Trust (DAO), Genetic Signatures Limited (GSS), OtherLevels Holdings Limited (OLV), PUMA Series 2015-1 (PUU), Skydive The Beach Group Limited (SKB), Spring FG Limited (SFL), The A2 Milk Company Limited (A2M) and Touchcorp Limited (TCH).

De-listings for the month were Atlantic Gold Corporation (AGB), Goodman Fielder Limited (GFF), Orbis Gold Limited (OBS) and Republic of Austria (ROA).

| Key Listings Statistics                                    | March 2015 |
|--|------------|
| Total company announcements                                | 9,161      |
| Price queries by ASX <sup>1</sup>                          | 16         |
| Other continuous disclosure queries by ASX <sup>2</sup>    | 30         |
| Aware letters sent by ASX <sup>3</sup>                     | 2          |
| Announcements made following a price query                 | 16         |
| Trading halts at the listed entity's request               | 135        |
| Trading halts following a query by ASX                     | 6          |
| Suspensions at the listed entity's request                 | 24         |
| Suspensions imposed by ASX for breach of the Listing Rules | 19         |

<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 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                          | March 2015 |
|--|------------|
| Trading/Clearing Participants at month start | 56         |
| New admissions                               | 0          |
| Resignations and removals                    | 0          |
| Trading/Clearing Participants at month end   | 56         |

There were no admissions or resignations in the month of March.

## Enforcement

| Referrals to ASIC <sup>5</sup>  | March 2015 |
|---------------------------------|------------|
| Continuous disclosure referrals | 2          |
| Other referrals                 | 0          |
| Total referrals to ASIC         | 2          |

| Enforcement Matters                                | March 2015 |
|--|------------|
| Open ASX enforcement matters at month start        | 2          |
| New enforcement matters commenced during the month | 1          |
| Enforcement matters concluded during the month     | 0          |
| Open ASX enforcement matters at month end          | 3          |
| 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

On 16 March 2015 the ASX 24 Operating Rules Procedures were amended to change the minimum thresholds for block trades in ASX Grain Futures Contracts from 500 lots to 250 lots and ASX Grain Options Contracts from 200 lots to 100 lots.

<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.

In preparation for the new deliverable swap futures to be listed later this year, ASX delisted the existing cash settled 3 and 10 Year Swap Futures on Friday 20 March, effective Trade Date 23 March 2015.

On 31 March, ASX published new ASX Operating Rules Guidance Note 14 *Maintenance of an Orderly Market When Executing Index Arbitrage Orders*. The new Guidance Note replaced the previous version issued under the former ASX Market Rules as Guidance Note 32.

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 74 waivers granted in relation to the ASX Listing Rules, one waiver granted in relation to the ASX Operating Rules, six waivers granted in relation to ASX Settlement Operating Rules and no waivers in relation to the ASX Clear, ASX Clear (Futures) and ASX 24 Operating Rules or the Austraclear Regulations during March. 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.