



MARKET ANNOUNCEMENT

5 May 2015

ASX Compliance Monthly Activity Report – April 2015

Listings

Listed Entities	April 2015
Listed entities at month start	2,212
New listings	5
De-listings	5
Listed entities at month end	2,212

New listings for the month were Eclipx Group Limited (ECX), Proteomics International Laboratories Ltd (PIQ), Scentre Group Trust 1 and Scentre Group Trust 2 (SCA), 360 Capital Total Return Passive Fund (TOT) and 360 Capital Total Return Active Fund (TOT).

De-listings for the month were Chandler Macleod Group Limited (CMG), CVC Property Fund (CJT), Fifth Element Resources Limited (FTH), Forte Energy NL (FTE) and Illawarra Series 2005-1 RMBS Trust (ILW).

Key Listings Statistics	April 2015
Total company announcements	8,866
Price queries by ASX ¹	27
Other continuous disclosure queries by ASX ²	26
Aware letters sent by ASX ³	1
Announcements made following a price query	24
Trading halts at the listed entity's request	82
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	28
Suspensions imposed by ASX for breach of the Listing Rules	9

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.

Participants

ASX Participants ⁴	April 2015
Market/Clearing/Settlement Participants at month start	123
New admissions	0
Resignations and removals	2
Market/Clearing/Settlement Participants at month end	121

ASX 24 Participants	April 2015
Trading/Clearing Participants at month start	56
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	57

During the month of April, G. H. Financials Limited was admitted as an ASX 24 Participant and J.P. Morgan Markets Australia Pty Limited and AG Stockbroking Ltd resigned as ASX Participants.

Enforcement

Referrals to ASIC ⁵	April 2015
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	April 2015
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	\$10,000

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 Austraclear Regulations relating to Special Purpose Participants and Foreign Currency Settlement Banks were amended on 1 April.

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.

On 7 April, four new natural gas futures contracts (Wallumbilla Natural Gas Calendar Quarter Futures, Wallumbilla Natural Gas Calendar Month Futures, New Zealand Natural Gas Calendar Quarter Futures, and New Zealand Natural Gas Calendar Month Futures) commenced trading on ASX 24 markets. The ASX 24 Operating Rules and Operating Rules Procedures were amended to support the introduction of these new contracts.

On 20 April, the Centre Point-related rules in the ASX Operating Rules and Operating Rules Procedures were amended to support block trading at prices at or outside the national best bid or offer (Centre Point Any Price Block Orders).

On 30 April, ASX released revised versions of Listing Rules Guidance Notes 3 *Cooperatives and Mutuals Listing on ASX*, 23 *Appendix 4C Cash Flow Reports* and 26 *Management Agreements*. On the same date, Listing Rules Guidance Note 25 *Exercise of Discretions* was withdrawn on the basis that the guidance it contains was outdated and largely replaced by more specific guidance in the updates ASX has made to other Guidance Notes. These changes are part of ASX's ongoing project to refresh all its Listing Rules Guidance Notes.

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 48 waivers granted in relation to the ASX Listing Rules, two in relation to the ASX 24 Operating Rules and one in relation to the ASX Clear Futures 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.