



# MARKET ANNOUNCEMENT

3 September 2015

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – AUGUST 2015

### LISTINGS

Listed Entities	August 2015
Listed entities at month start	2,224
New listings	9
De-listings	26
Listed entities at month end	2,207

New listings for the month were Adherium Limited (ADR), Australian Masters Yield Fund No 5 Limited (AYZ), Beston Global Food Company Limited (BFC), Contango Income Generator Limited (CIE), Glennon Small Companies Limited (GC1), MyFiziq Limited (MYQ), National Veterinary Care Ltd (NVL), Paradigm Biopharmaceuticals Limited (PAR) and TPI Enterprises Limited (TPE).

De-listings for the month were Alcyone Resources Limited (AYN), Allmine Group Limited (AZG), Besra Gold Inc (BEZ), Bluestone Global Limited (BUE), Buccaneer Energy Limited (BCC), CommStrat Limited (COJ), Compass Resources Limited (CMR), Consolidated Global Investments Limited (CGI), Direct Nickel Limited (DIR), Discovery Metals Limited (DML), IFS Construction Services Limited (IFS), Kupang Resources Limited (KPR), MBD Corporation Limited (MBD), NewSat Limited (NWT), Norseman Gold plc (NGX), Northwest Resources Limited (NWR), OGL Resources Limited (OGL), Platinum Australia Limited (PLA), Rutila Resources Limited (RTA), Sabina Corporation Limited (SAP), Sino Strategic International Limited (SSI), Tandou Limited (TAN), The Ark Fund Limited (ARJ), Tiaro Coal Limited (TCM), TWT Group Limited (TWT) and Western Desert Resources Limited (WDR).

Key Listings Statistics	August 2015
Total company announcements	10,956
Price queries by ASX <sup>1</sup>	15

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<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.



Key Listings Statistics	August 2015
Other continuous disclosure queries by ASX <sup>2</sup>	29
Aware letters sent by ASX <sup>3</sup>	3
Announcements made following a price query	11
Trading halts at the listed entity's request	95
Trading halts following a query by ASX	3
Suspensions at the listed entity's request	18
Suspensions imposed by ASX for breach of the Listing Rules	4

## PARTICIPANTS

ASX Participants <sup>4</sup>	August 2015
Market/Clearing/Settlement Participants at month start	119
New admissions	1
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	August 2015
Trading/Clearing Participants at month start	55
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	55

<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.

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



During the month of August, APP Securities Limited was admitted as an ASX Participant.

## ENFORCEMENT

Referrals to ASIC <sup>5</sup>	August 2015
Continuous disclosure referrals	3
Other referrals	0
Total referrals to ASIC	3

Enforcement Matters	August 2015
Open ASX enforcement matters at month start	2
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	2
Open ASX enforcement matters at month end	0
Fines imposed during the month (excluding GST)	\$50,000 plus GST

One Enforcement Notice was released by ASX during the month. A copy of this Notice is available online at: <http://www.asx.com.au/communications/notices/2015/0982.15.08.pdf>.

## ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

ASX categorises stocks into tiers for the purposes of delayed reporting of FSSBSC<sup>6</sup>/Large Principal Transactions. From 18 August, ASX simplified the methodology and frequency for categorising products for delayed reporting purposes by aligning its categorisation with ASIC's block trade thresholds. Procedure 4810 of the ASX Operating Rules was amended to reflect this change.

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<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.

<sup>6</sup> Facilitated Specified Size Block Special Crossing.



Procedure 2.77.3 in the ASX 24 Operating Rules was amended so that GTA Wheat Standard APW1 (Standard Reference number CSG-103) would be the deliverable grade that would apply to the March 2016 contract expiry and all subsequent expiries of the WA Wheat futures contract. The deliverable grade for contract expiries prior to March 2016 is unchanged ie GTA Wheat Standard APW2 (Standard Reference number CSG-104).

Following on from ASX Clear's decision to seek EU recognition, the Reserve Bank of Australia required ASX Clear to establish an independent risk committee. Amendments made on 17 August to the ASX Clear Operating Rules and Procedures reflect the membership and operation of the new ASX Clear Risk Consultative Committee.

The ASX Clear (Futures) Operating Rules with respect to client accounts were amended on 31 August to comply with regulatory guidance from the Reserve Bank of Australia. These rule changes, the 'client account enhancements', enable clearing participants to hold excess client collateral with ASX for individual client accounts, as well as to instruct ASX to attribute specific cash and non-cash collateral to an individual client account.

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 64 waivers granted in relation to the ASX Listing Rules, one waiver in relation to the AQUA Product Rules in the ASX Operating Rules, and two waivers of the ASX Settlement 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.