



## MARKET ANNOUNCEMENT

3 July 2015

### ASX Compliance Monthly Activity Report – June 2015

#### Listings

Listed Entities	June 2015
Listed entities at month start	2,216
New listings	12
De-listings	8
Listed entities at month end	2,220

New listings for the month were 1st Available Ltd (1ST), Adairs Limited (ADH), AusNet Services Limited (AST), AirXpanders, Inc (AXP), BauMart Holdings Limited (BMH), Flexiroam Limited (FRX), GARDA Diversified Property Fund (GDF), Gateway Lifestyle Operations Limited (GTY), QMS Media Limited (QMS), Residential Parks No.2 Trust (GTY), Shriro Holdings Limited (SHM) and Superloop Limited (SLC).

De-listings for the month were Coalspur Mines Limited (CPL), Marengo Mining Limited (MMC), Nexus Bonds Limited (NXB), Novion Limited (NVN), Novion Trust (NVN), PanAust Limited (PNA), Singapore Telecommunications Limited (SGT) and U&D Coal Limited (UND).

Key Listings Statistics	June 2015
Total company announcements	8,848
Price queries by ASX <sup>1</sup>	17
Other continuous disclosure queries by ASX <sup>2</sup>	36
Aware letters sent by ASX <sup>3</sup>	2
Announcements made following a price query	13
Trading halts at the listed entity's request	103
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>	June 2015
Market/Clearing/Settlement Participants at month start	120
New admissions	1
Resignations and removals	3
Market/Clearing/Settlement Participants at month end	118

ASX 24 Participants	June 2015
Trading/Clearing Participants at month start	56 <sup>5</sup>
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	55

During the month of June, CIP Licensing Limited was admitted as an ASX Participant. Bestex Pty Ltd, Capricorn Investment Limited and RBS Securities (Aust) Limited resigned as ASX Participants and Silkroad Capital Limited resigned as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>6</sup>	June 2015
Continuous disclosure referrals	1
Other referrals	2
Total referrals to ASIC	3

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

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

<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> Star Beta Pty Ltd (admitted as an ASX 24 Participant in April 2015) was inadvertently omitted from previous months' reports. The June month start figure has been adjusted to reflect this omission.

<sup>6</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.

## ASX Rule Changes, Waivers and Exemptions

On 1 June, changes were made to the ASX Trade AOT and Regulatory Halt Procedures to enable the AOT reference price to be updated every minute (rather than every three minutes, as previously) and to allow ASX to halt the market to reset the AOT/NCR reference price when required.

On the same date, the ASX Trade 24 AOT and Regulatory Halt Procedures were also amended to expand the AOT range on some ASX 24 equity index futures from 0.5% to 1% (having the effect of reducing the number of regulatory halts which occur on these contracts) and to allow ASX to halt the market to reset the AOT/NCR reference price when required.

After a nine-month consultation process that began in October 2014, ASX's *Reducing Red Tape* changes to the ASX, ASX 24, ASX Clear, ASX Clear (Futures) and ASX Settlement Operating Rules and Procedures came into effect on 15 June. The changes simplify and align the admission and notification requirements across the ASX and ASX 24 markets, and the clearing and settlement facilities that service those markets. Important new Guidance Notes on applying for admission (Guidance Note 1) and offshoring and outsourcing arrangements (Guidance Note 9) have been issued for each of these rulebooks. A substantial number of existing Operating Rule Guidance Notes have also been updated and consequential changes have been made to the ASX Enforcement and Appeals Rulebook to reflect the various Rule and Procedure changes.

On 25 June, ASX Operating Rules Procedure 10A.4.6 setting out the additional requirements for OTC derivative-based based ETFs and Managed Funds was amended to include the United Kingdom as a specified jurisdiction for the purposes of Rule 10A.4.6(b)(iii).

On 29 June, Appendices 3A.1 – 3A.5 of the ASX Listing Rules were amended to reflect changes to the wording of the forms in those Appendices required to support the implementation of ASX's online forms for announcing corporate actions.

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 72 waivers granted in relation to the ASX Listing Rules, one waiver in relation to ASX Settlement Operating Rules and one waiver in relation to 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.