



MARKET ANNOUNCEMENT

6 October 2015

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – SEPTEMBER 2015

LISTINGS

Listed Entities	September 2015
Listed entities at month start	2,207
New listings	12
De-listings	8
Listed entities at month end	2,211

New listings for the month were Contact Energy Limited (CEN), CV Check Ltd (CV1), Ellerston Asian Investments Limited (EAI), Future Generation Global Investment Company Limited (FGG), iBosses Corporation Limited (IB8), Knosys Limited (KNO), MainstreamBPO Limited (MAI), Platinum Asia Investments Limited (PAI), Ryder Capital Limited (RYD), Timah Resources Limited (TML), Traditional Therapy Clinics Limited (TTC) and Vitaco Holdings Limited (VIT).

De-listings for the month were Bella Trust No. 2, Series 2011-3 (BNJ), Black Range Minerals Limited (BLR), Ecosave Holdings Limited (ECV), iiNet Limited (IIN), Lemur Resources Limited (LMR), Multiplex European Property Fund (MUE), PUMA Masterfund S-4 (PUA) and Sirius Resources NL (SIR).

Key Listings Statistics	September 2015
Total company announcements	10,974
Price queries by ASX ¹	21
Other continuous disclosure queries by ASX ²	38

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.



Key Listings Statistics	September 2015
Aware letters sent by ASX ³	9
Announcements made following a price query	18
Trading halts at the listed entity's request	76
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	10

PARTICIPANTS

ASX Participants ⁴	September 2015
Market/Clearing/Settlement Participants at month start	120
New admissions	0
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	September 2015
Trading/Clearing Participants at month start	55
New admissions	2
Resignations and removals	1
Trading/Clearing Participants at month end	56

During the month of September, DRW Investment LLC and DV Capital LLC were admitted as ASX 24 Participants, and FC Stone Australia Pty Ltd resigned as an ASX Participant.

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.

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



ENFORCEMENT

Referrals to ASIC ⁵	September 2015
Continuous disclosure referrals	4
Other referrals	2
Total referrals to ASIC	6

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

The ASX Compliance Quarterly Enforcement Circular was released on 31 August 2015. A copy of this Circular is available online at: https://www.asxonline.com/intradoc-cgi/groups/participant_services/documents/communications/asx_045178.pdf

ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

Following a period of consultation, ASX received regulatory approval for amendments of its Listing Rules that facilitate dual listings by New Zealand companies with a primary listing on the main board of the New Zealand Exchange (NZX). An entity with its primary listing on NZX that is currently admitted as an ASX Listing may be able to apply to change its admission category to an ASX Foreign Exempt Listing if it meets the conditions set out in Rules 1.11 to 1.15 of the ASX Listing Rules. These new rules came into effect on 8 September.

ASX has updated ASX Listing Rules Guidance Note 4 *Foreign entities listing on ASX* to reflect the new rules for NZX entities and to simplify the materials on CHESS. It has also made some conforming changes to

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.



Guidance Notes 1 *Applying for admission – ASX listings* and 29 *Applying for Admission – ASX Debt Listings*. The revised Guidance Notes were published on 7 September.

ASX has also made minor changes to the notes on the Appendix 1C *ASX Foreign Exempt Listing Application and Agreement* and updated the related Information Form and Checklist to introduce two annexures – one for entities with an NZX main board listing and one for all other foreign entities. The new forms are available on the ASX website at:

<http://www.asx.com.au/regulation/compliance/compliance-downloads.htm>

ASX launched the 20 Year Treasury Bond Futures contracts on 21 September with the first contract months available to trade being the December 2015 and March 2016 expiries. The 20 Year Treasury Bond Futures contract has received regulatory clearance and may be traded by offshore customers.

The US Commodity Futures Trading Commission issued an Order of Exemption from registration as a Derivatives Clearing Organisation to ASX Clear (Futures) on 18 August 2015. To satisfy conditions (2) and (3) of the Order of Exemption, ASX Clear (Futures) amended its OTC Handbook to:

- impose certain limitations on swap clearing services for US Persons;
- confirm that all cleared swaps of a given product type with the same terms and conditions are economically equivalent; and
- provide for non-discriminatory clearing of swaps that were executed bilaterally or on unaffiliated electronic matching platforms or trade execution facilities.

These amendments to the OTC Handbook took effect from 25 September.

Details of these rule and guidance note changes can be accessed online at:

<http://www.asx.com.au/regulation/rules/recent-rule-amendments.htm>

During the month of September, there were 71 waivers granted in relation to the ASX Listing Rules, two waivers of the AQUA Rules and four waivers of the ASX Settlement Operating Rules. No waivers were granted in relation to the ASX Operating Rules, ASX Clear Operating Rules, ASX24 Operating Rules, ASX Clear (Futures) Operating Rules or the Austraclear Regulations. 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.