



5 July 2016

Australian Securities and Investments Commission  
Mr Oliver Harvey  
Senior Executive Leader, Financial Market Infrastructure  
Level 5, 100 Market Street  
SYDNEY NSW 2000

ASX Market Announcements Office  
ASX Limited  
20 Bridge Street  
SYDNEY NSW 2000

**ASX COMPLIANCE MONTHLY ACTIVITY REPORT – JUNE 2016**

Attached is a copy of the ASX Compliance Monthly Activity Report for June 2016.

Amanda J. Harkness  
Group General Counsel & Company Secretary



# MARKET ANNOUNCEMENT

5 July 2016

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – JUNE 2016

### LISTINGS

Listed Entities	June 2016
Listed entities at month start	2,206
New listings	11
De-listings	13
Listed entities at month end	2,204

New listings for the month were 9 Spokes International Limited (9SP), ApplyDirect Limited (AD1), Australian Unity Office Fund (AOF), ChimpChange Limited (CCA), DroneShield Limited (DRO), Graphex Mining Limited (GPX), GTN Limited (GTN), Lithium Power International Limited (LPI), LiveHire Limited (LVH), NZME Limited (NZM) and Shaver Shop Group Limited (SSG).

De-listings for the month were Bank of China Limited (BKC), Broadspectrum Limited (BRS), Braziron Limited (BZL), Coats Group PLC (CGW), Ethane Pipeline Income Trust (EPX), Ethane Pipeline Income Financing Trust (EPX), Flat Glass Industries Limited (FGI), Nederlandse Waterschapsbank N.V. (NWB), PUMA Masterfund H-1 (PUH), Shinhan Bank (SHB), Sphere Minerals Limited (SPH), Unity Mining Limited (UML) and Westpac TPS Trust (WCT).

Key Listings Statistics	June 2016
Total company announcements	8,877
Price queries by ASX <sup>1</sup>	43
Other continuous disclosure queries by ASX <sup>2</sup>	24
Aware letters sent by ASX <sup>3</sup>	9
Announcements made following a price query	29

<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.



Key Listings Statistics	June 2016
Trading halts at the listed entity's request	118
Trading halts following a query by ASX	12
Suspensions at the listed entity's request	22
Suspensions imposed by ASX for breach of the Listing Rules	3

## PARTICIPANTS

ASX Participants <sup>4</sup>	June 2016
Market/Clearing/Settlement Participants at month start	120
New admissions	1
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	June 2016
Trading/Clearing Participants at month start	51
New admissions	1
Resignations and removals	1
Trading/Clearing Participants at month end	51

During the month of June, Velocity Trade Limited was admitted as an ASX Participant and Rigel Cove LLC was admitted as an ASX 24 Participant, while Prescott Securities Limited resigned as an ASX Participant and OFE Trading LLC resigned as an ASX 24 Participant.

---

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



## ENFORCEMENT

Referrals to ASIC <sup>5</sup>	June 2016
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	June 2016
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)	Nil

## ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

On 1 June, minor miscellaneous amendments were made to ASX Recovery Rules 1, 2 and 3.

ASX Operating Rules Procedure 10.A.3.3(c)(ii) was amended on 3 June to include the Markit iBoxx USD Liquid Investment Grade Index as a specified index.

ASX Operating Rule Procedure 4025(c) was amended on 16 June to increase the limit for request for quotation that a trading participant can issue per class of options market contracts from 3,500 to 6,000 per trading day.

ASX introduced a number of minor amendments to Schedule 10A (AQUA Products and AQUA Trading Market) of the ASX Operating Rules and procedures on 27 June. The amendments included changes to the types of entities that may be AQUA Product Issuers, updated requirements for admission for underlying instruments traded on a non-ASX Market, and the removal of the application form for Admission to Trading Status.

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

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

---

<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.



There were 89 waivers granted in relation to the ASX Listing Rules and no waivers in relation to the ASX Operating Rules, ASX Settlement 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.