



## MARKET ANNOUNCEMENT

5 May 2011

### ASX Compliance Monthly Activity Report – April 2011

#### Listings

Listed Entities	April 2011
Listed entities at month start	2,234
New listings	11
De-listings	7
Listed entities at month end	2,238

Average monthly new listings for FY11 year-to-date stand at 13 (compared to 8 listings per month on average for FY10).

New listings for the month were Antipa Minerals Limited (AZY), Australian Unity Limited (AYU), Credo Resources Limited (CRQ), Forte Consolidated Limited (FRC), GR Engineering Services Limited (GNG), Meridien Resources Limited (MRJ), Musgrave Minerals Limited (MGV), Navaho Gold Limited (NVG), Nemex Resources Limited (NXR), Plymouth Minerals Limited (PLH) and Polymetals Mining Limited (PLY).

De-listings for the month were Alinta Energy Trust (AEJ), Essa Australia Limited (ESS), Giralia Resources NL(GIR), Impress Energy Limited (ITC), ING Industrial Fund (IIF), Liberty Series 2006-2 Trust (LIA) and Sylvania Resources Limited (SLV).

Key Listings Statistics	April 2011
Total company announcements	9,832
Price queries <sup>1</sup> by ASX	71
Other continuous disclosure queries by ASX <sup>2</sup>	47
Aware letters <sup>3</sup> sent by ASX	4
Announcements made following a price query	49
Trading halts at the issuer's request	92
Trading halts following a query by ASX	10

<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	April 2011
Suspensions at the issuer's request	3
Suspensions imposed by ASX for breach of the Listing Rules	0

## Participants

ASX Participants <sup>4</sup>	April 2011
Market/Clearing/Settlement Participants at month start	132
New admissions	1
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	132

ASX 24 Participants	April 2011
Trading/Clearing Participants at month start	42
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	43

During the month of April, Eclipse Futures (HK) Limited was admitted as an ASX Participant, MW Market Pty Limited was admitted as an ASX 24 Participant and Blue Shark Trading Pty Ltd resigned as an ASX Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	April 2011
Continuous disclosure referrals	2
Other referrals	7
Total referrals to ASIC	9

<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> 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.

Pre 1 August 2010 Enforcement Matters <sup>6</sup>	April 2011
Open ASX enforcement matters at month start	15
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	15
Fines imposed during the month (excl GST)	\$0

To date there have been no enforcement matters commenced in respect of potential contraventions of the ASX and ASX 24 Operating Rules occurring after 1 August 2010.

### ASX Rule Changes, Waivers and Exemptions

On 4 April 2011, the Wholesale Client Agreement (Options Market Contract Only) contained in Appendix 3803 to ASX Operating Rules Procedures was amended so that customers of a United States "Eligible Broker-Dealer or Eligible Institution", as defined in ASX Operating Rule 7100, can use multi-brokers to execute ASX Exchange-Traded Options and then give these trades up to their designated Clearer.

Effective from 11 April 2011, Section 14 of the ASX Clear Operating Rules Procedures was amended to clarify the inclusion of spread margin in the calculation of Capital Based Position Limit (CBPL) Additional Cover.

Details of these changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>

There were 39 waivers from the ASX Listing Rules and 2 from the ASX Operating Rules granted during the month. Details of those waivers and exemptions can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX website: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

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<sup>6</sup> Prior to 1 August 2010, ASX was responsible for supervising the ASX and ASX 24 markets and their participants and for monitoring and enforcing compliance with the market rules for those markets. The responsibility for supervising the ASX and ASX 24 markets and their participants was transferred from ASX to ASIC on 1 August 2010 pursuant to the Corporations Amendment (Financial Market Supervision) Act 2010, and the market rules for the ASX and ASX 24 markets were effectively split into market integrity rules administered by ASIC and Operating Rules administered by ASX. However, ASX remains responsible for enforcing any breaches of the former market rules that occurred prior to 1 August 2010.