



MARKET ANNOUNCEMENT

6 December 2011

ASX Compliance Monthly Activity Report – November 2011

Listings

Listed Entities	November 2011
Listed entities at month start	2,227
New listings	8
De-listings	8
Listed entities at month end	2,227

Average monthly new listings for FY11 year-to-date stand at 9 (compared to 13 listings per month on average for FY10).

New listings for the month were Aziana Limited (AZK), Bligh Resources Limited (BGH), Chorus Limited (CNU), County Coal Limited (CCJ), Discovery Resources Limited (DIS), Minrex Resources NL (MRR), RXP Services Limited (RXP) and Series 2011-3 WST Trust (WSN).

De-listings for the month were ConnectEast Holding Trust (CEU), ConnectEast Investment Trust (CEU), Conquest Mining Limited (CQT), Eastern Star Gas Limited (ESG), Infochoice Limited (ICH), Macquarie Fortress Australia Notes Trust (MFN), Telezon Limited (TLZ) and WOT CMBS Pty Limited Series 1 (WOC).

Key Listings Statistics	November 2011
Total company announcements	12,454
Price queries ¹ by ASX	38
Other continuous disclosure queries by ASX ²	53
Aware letters ³ sent by ASX	3
Announcements made following a price query	30
Trading halts at the listed entity's request	106
Trading halts following a query by ASX	5

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.

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.

Key Listings Statistics	November 2011
Suspensions at the listed entity's request	15
Suspensions imposed by ASX for breach of the Listing Rules	5

Participants

ASX Participants ⁴	November 2011
Market/Clearing/Settlement Participants at month start	136
New admissions	0
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	136

ASX 24 Participants	November 2011
Trading/Clearing Participants at month start	45 ⁵
New admissions	2
Resignations and removals	0
Trading/Clearing Participants at month end	47

During the month of November, BNP Paribas and Royal Bank of Scotland Plc were admitted as ASX 24 Participants.

Enforcement

Referrals to ASIC ⁶	November 2011
Continuous disclosure referrals	1
Other referrals	2
Total referrals to ASIC	3

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

⁵ Getco Australia Pty Ltd was admitted as an ASX 24 Trading Participant in May 2011. It was not included in figures reported previously.

⁶ 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 ⁷	November 2011
Open ASX enforcement matters at month start	6
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	5
Fines imposed during the month (excl GST)	\$45,000

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.

One Disciplinary Circular was released by the ASX Disciplinary Tribunal during the month. Copies of the Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

ASX Rule Changes, Waivers and Exemptions

The ASX Operating Rules Procedures were amended on 23 November 2011 to allow for crossings at or within the spread in Equity Market Products, in accordance with rule 4.2.3(1)(b) of the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 or paragraph 5 of the ASIC Class Rule Waiver [CW 11/1103]. The changes also require Trading Participants to immediately report these crossings to the Trading Platform using the condition code NX.

On 28 November 2011, the ASX Operating Rules and Procedures were amended to support PureMatch, ASX's new tailored, high speed/low latency order book for trading the most liquid ASX-listed stocks and domestic exchange-traded funds.

A number of amendments to the ASX and ASX 24 Operating Rules and Procedures with respect to trade cancellations came into effect progressively on 31 October, 23 November and 28 November 2011. Apart from addressing the impact arising from the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 on trade cancellations, these changes were implemented to provide market users with greater certainty, minimise the impact of cancellations on the market, streamline the cancellation process, more closely align ASX's policies with overseas jurisdictions, and harmonise the ASX and ASX 24 trade cancellation policies as far as possible.

Fixed Price Tender Rules were incorporated in ASX 24 Operating Rules Procedure 4820 for the limited purpose of the Fixed Price Tender that was held to enable market users to re-establish positions in the Grain and Wool Futures and Options markets in an orderly and timely manner following the default of MF Global. The Tender closed at 6pm (AEDT) on 10 November 2011.

Effective 1 November 2011, the requirement for the lodgement of the original Registered Holder Collateral Cover Authorisation (RHCCA) Forms was removed from Annexure 1 of the ASX Clear Operating Rules. ASX Clear Participants are now able to lodge a copy of the RHCCA Forms on behalf of their clients with ASX Clear via fax or email.

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

There were 69 waivers from the ASX Listing Rules and 4 waivers or exemptions from other ASX rule books 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>.

⁷ 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.