



MARKET ANNOUNCEMENT

5 November 2012

ASX Compliance Monthly Activity Report – October 2012

Listings

Listed Entities	October 2012
Listed entities at month start	2191
New listings	6
De-listings	13
Listed entities at month end	2184

New listings for the month were Boadicea Resources Limited (BOA), BP Capital Markets PLC (BPB), Emerging Markets Masters Fund (EMF), Magnolia Resources Limited (MGB), Metals of Africa Limited (MTA) and Victory Mines Limited (VIC).

De-listings for the month were Aurium Resources Limited (AGU), Bella Trust Series 2009-1 (BNY), Brookfield Australian Opportunities Fund (BAO), DSQ Holdings Limited (DSQ), ENK PLC (ENK), Gerard Lighting Group Limited (GLG), Little World Beverages Limited (LWB), Plan B Group Holdings Limited (PLB), Rocklands Richfield Limited (RCI), Series 2005-2(S) TORRENS Trust (TRZ), Thakral Holdings Limited (THG), Thakral Holdings Trust (THG) and Westgold Resources Limited (WGR).

Key Listings Statistics	October 2012
Total company announcements	12,746
Price queries by ASX ¹	37
Other continuous disclosure queries by ASX ²	27
Aware letters sent by ASX ³	4
Announcements made following a price query	25
Trading halts at the listed entity's request	121
Trading halts following a query by ASX	10
Suspensions at the listed entity's request	7

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	October 2012
Suspensions imposed by ASX for breach of the Listing Rules	22

In accordance with Listing Rule 17.5, ASX suspended 22 entities from the commencement of trading on 1 October 2012 for failing to lodge their full year accounts for the period ended 30 June 2012.

Participants

ASX Participants ⁴	October 2012
Market/Clearing/Settlement Participants at month start	131
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	132

ASX 24 Participants	October 2012
Trading/Clearing Participants at month start	48
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	49

During the month of October, Citadel Securities HK Limited was admitted as an ASX and ASX24 Participant. There were no resignations during the month.

Enforcement

Referrals to ASIC ⁵	October 2012
Continuous disclosure referrals	1
Other referrals	1
Total referrals to ASIC	2

Enforcement Matters	October 2012
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	3
Fines imposed during the month (excl GST)	Nil

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

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.

No Disciplinary Circulars were 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

Effective 8 October 2012, amendments were made to the ASX Operating Rule Procedures to increase the limits for quote requests that a trading participant can issue per class of options markets contracts.

Consequential changes were made to the ASX Operating Rules and Procedures, with effect from 22 October 2012, to reflect changes to the specification of the “extreme trade range”⁶ (ETR) in the ASIC Competition Market Integrity Rules (MIR). As a result of a change in the MIR expressing the ETR in tick sizes rather than in cents, it was necessary for ASX to apply rounding to ensure the ETR is applied to an applicable tick value. Other consequential changes to the Procedures applying to “anomalous order thresholds” were also required as a result of the amendments to the MIRs.

In addition, following participant feedback, the “no cancellation range” (NCR) was removed for warrants and structured products so that there will now only be a “qualifying cancellation range” (QCR) and “extreme trade range” (ETR). At the same time, amendments were made to Procedures that govern the time taken to request cancellation of QCR trades, the time limit on cancellation of ETR trades, cancellation of trade reports and crossings. These changes also took effect from 22 October 2012.

Changes were made to the ASX 24 Operating Rule Procedures to reflect the replacement of SFEIN system (the current off-market trade registration facility provided to ASX24 Market Participants for the lodgement of EFPs and block trades) with ASX Trade Accept. This change went live on 29 October 2012.

The ASX 24 Rules and Procedures were also updated to reflect the delisting of ordinary options over peak period electricity futures contracts (PN, PV, PQ, PS), d-cyphaTrade ASX off-peak futures strip (ON, OV, OQ, OS) and the 90 day bank bill futures strip (ST) from ASX Trade 24.

Details of these procedure changes can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

There were 56 waivers granted in relation to the ASX Listing Rules, 2 waivers in relation to ASX Settlement Operating Rules and 5 waivers in relation to ASX and 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.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

⁶ Previously known as the “extreme cancellation range”.