



MARKET ANNOUNCEMENT

7 January 2013

ASX Compliance Monthly Activity Report – December 2012

Listings

Listed Entities	December 2012
Listed entities at month start	2,189
New listings	9
De-listings	10
Listed entities at month end	2,188

New listings for the month were 360 Capital Industrial Fund (TIX), Crescent Resources Corp (CYY), Enterprise Uranium Limited (ENU), Fortunis Resources Limited (FOT), Krakatoa Resources Limited (KTA), Mandalong Resources Limited (MDD), MYOB Finance Australia Limited (MYB), Paringa Resources Limited (PNL) and Tungsten Mining NL (TGN).

De-listings for the month were Aircruising Australia Limited (AIG), CathRx Limited (CXD), CCK Financial Solutions Limited (CCK), CIF Investment Trust 1 (CIF), CIF Investment Trust 2 (CIF), Credit Suisse PL100 - Emerging Markets Infrastructure Development Trust (CSU), Industrea Limited (IDL), Inter-American Development Bank (IDB), Macquarie Winton Global Opportunities Trust (MWG) and Viterro Inc (VTA).

Key Listings Statistics	December 2012
Total company announcements	8,620
Price queries by ASX ¹	31
Other continuous disclosure queries by ASX ²	24
Aware letters sent by ASX ³	2
Announcements made following a price query	15
Trading halts at the listed entity's request	86
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	37

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	December 2012
Suspensions imposed by ASX for breach of the Listing Rules	0

Participants

ASX Participants ⁴	December 2012
Market/Clearing/Settlement Participants at month start	131
New admissions	0
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	129

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

During the month of December – FW Holst and Co Pty Ltd and Custody Execution and Clearing Services (Australia) Pty Ltd resigned as ASX Participants.

Enforcement

Referrals to ASIC ⁵	December 2012
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	December 2012
Open ASX enforcement matters at month start ⁶	2
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	\$50,000

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>.

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.

⁶ This figure includes post 1 August 2010 matters.

ASX Rule Changes, Waivers and Exemptions

The wording describing "Adjustment Factors" for the WA Wheat Futures Contract in Procedure 2.77.3 in the ASX 24 Market Rules has been amended to reflect revised industry practice regarding "Zone Weighted Average Quality" information.⁷

Section 14 of the ASX Clear Operating Rules Procedures has been amended to reflect changes to the calculation of capital based position limit (CBPL) additional cover.⁸ These changes came into effect on 7 December 2012.

ASX has advised that effective from 1 January 2013, the ASX Gold CFD would not be available until further notice and that any open positions in the ASX Gold CFD as at 31 December 2012 would be terminated and cash settled at the daily settlement price on that date.

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

There were 30 waivers granted in relation to the ASX Listing Rules and nil 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.

⁷ Deliveries made against the WA Wheat contract are settled based on the protein average for the applicable grade as recorded in the Zone Weighted Average Quality Report.

⁸ CBPL is a long standing risk management control designed to limit the potential for a Clearing Participant to maintain a derivatives exposure beyond its financial capacity. A Participant's financial capacity is deemed to be breached when the calculated CBPL Risk Margin is greater than twice their Liquid Capital/Net Tangible Assets. Should a breach occur, ASX Clear requires the Clearing Participant to lodge additional Cover in accordance with ASX Clear Operating Rules Procedures Section 14.