



## MARKET ANNOUNCEMENT

4 December 2013

### ASX Compliance Monthly Activity Report – November 2013

#### Listings

Listed Entities	November 2013
Listed entities at month start	2,173
New listings	7
De-listings	7
Listed entities at month end	2,173

New listings for the month were Aquaint Capital Holdings Limited (AQU), Freelancer Limited (FLN), McAleese Limited (MCS), PS&C Limited (PSZ), Series 2013-2 WST Trust (WSD), Sunbridge Group Limited (SBB) and Sydney Airport Limited (SYD).

De-listings for the month were Biodiem Limited (BDM), Breakaway Resources Limited (BRW), Challenger Millennium Series 2008-1 Trust (CHW), Challenger Millennium Series 2008-2 Trust (CLG), Greencap Limited (GCG), Inova Resources Limited (IVA) and PrimeAg Australia Limited (PAG).

Key Listings Statistics	November 2013
Total company announcements	11,506
Price queries by ASX <sup>1</sup>	42
Other continuous disclosure queries by ASX <sup>2</sup>	22
Aware letters sent by ASX <sup>3</sup>	7
Announcements made following a price query	31
Trading halts at the listed entity's request	96
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	21
Suspensions imposed by ASX for breach of the Listing Rules	0

<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.

## Participants

ASX Participants <sup>4</sup>	November 2013
Market/Clearing/Settlement Participants at month start	119
New admissions	0
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	119

ASX 24 Participants	November 2013
Trading/Clearing Participants at month start	50
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	49

During the month of November, First Prudential Markets Pty Limited resigned as an ASX 24 Trading Participant

## Enforcement

Referrals to ASIC <sup>5</sup>	November 2013
Continuous disclosure referrals	1
Other referrals	0
Total referrals to ASIC	1

Enforcement Matters	November 2013
Open ASX enforcement matters at month start	5
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	5
Fines imposed during the month (excl GST)	Nil

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

Minor amendments to ASX Procedures 3200 and 3260 with respect to regulatory halts came into effect on 25 November. These procedures set out the circumstances where ASX will apply a 'regulatory halt' session state.

<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.

Changes to ASX Procedures 4022 (instructions to enter an iceberg order) and 4024 (amendment of Centre Point limit orders to Centre Point market orders and vice versa) in connection to ASX's Centre Point sweep offering also came into effect on 25 November.

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

There were 90 waivers granted in relation to the ASX Listing Rules and one waiver in relation to the ASX 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.