



## MARKET ANNOUNCEMENT

6 August 2013

### ASX Compliance Monthly Activity Report – July 2013

#### Listings

| Listed Entities                | July 2013 |
|--------------------------------|-----------|
| Listed entities at month start | 2,185     |
| New listings                   | 7         |
| De-listings                    | 8         |
| Listed entities at month end   | 2,184     |

New listings for the month were DUET Company Limited (DUE), Hyundai Capital Services, Inc (HCS), Inabox Group Limited (IAB), SPI Electricity & Gas Australia Holdings Pty Ltd (SPE), Summerset Group Holdings Limited (SNZ), TORRENS Series 2013-2 Trust (TNF) and Watermark Market Neutral Fund Limited (WMK).

De-listings for the month were Apollo Series 2005-1E Trust (AOZ), Avocet Resources Limited (AYE), Azimuth Resources Limited (AZH), Endocoal Limited (EOC), Macquarie CPS Trust (MQC), National RMBS Trust 2006-1 (NAA), Signature Capital Investments Limited (SGI) and TORRENS Series 2004-2 (W) Trust (TRR).

| Key Listings Statistics                                    | July 2013 |
|--|-----------|
| Total company announcements                                | 9,692     |
| Price queries by ASX <sup>1</sup>                          | 41        |
| Other continuous disclosure queries by ASX <sup>2</sup>    | 30        |
| Aware letters sent by ASX <sup>3</sup>                     | 5         |
| Announcements made following a price query                 | 30        |
| Trading halts at the listed entity's request               | 89        |
| Trading halts following a query by ASX                     | 7         |
| Suspensions at the listed entity's request                 | 22        |
| 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

| <b>ASX Participants<sup>4</sup></b>                    | <b>July 2013</b> |
|--|------------------|
| Market/Clearing/Settlement Participants at month start | 123              |
| New admissions   | 0                |
| Resignations and removals                              | 0                |
| Market/Clearing/Settlement Participants at month end   | 123              |

| <b>ASX 24 Participants</b>                   | <b>July 2013</b> |
|--|------------------|
| Trading/Clearing Participants at month start | 49               |
| New admissions                               | 0                |
| Resignations and removals                    | 0                |
| Trading/Clearing Participants at month end   | 49               |

## Enforcement

| <b>Referrals to ASIC<sup>5</sup></b> | <b>July 2013</b> |
|--------------------------------------|------------------|
| Continuous disclosure referrals      | 0                |
| Other referrals                      | 1                |
| Total referrals to ASIC              | 1                |

| <b>Enforcement Matters</b>                         | <b>July 2013</b> |
|--|------------------|
| Open ASX enforcement matters at month start        | 1                |
| New enforcement matters commenced during the month | 1                |
| Enforcement matters concluded during the month     | 1                |
| Open ASX enforcement matters at month end          | 1                |
| Fines imposed during the month (excl GST)          | Nil              |

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of previous Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

## ASX Rule Changes, Waivers and Exemptions

ASX has received regulatory clearance to launch the ASX OTC Interest Rate Derivatives Clearing Service. Revised ASX Clear (Futures) Operating Rules came into effect on 1 July 2013 for this service. The revised Operating Rules, including the OTC Rulebook and OTC Handbook, can be found at [OTC Interest Rate Derivatives Clearing](#). Other information relevant to this service can be found in [ASX 24 Notice No 120/13](#).

<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.

ASX Listing Rules Guidance Notes 15 *Listing Fees* and 15A *Schedule of Listing Fees* have been amended to reflect changes to initial, annual and subsequent listing fees, effective 1 July 2013.

From 1 July 2013, the day session of ASX 24's Block Trade Facility was extended to include the 3 Month Overnight Index Swap Futures contract, and the night session of the same facility was extended to include both the NZ 90 Bank Bill Futures contract and the 3 Month Overnight Index Swap Futures contract.

From 1 July 2013, the entitlements of AGL Energy Limited (AGKR), Brambles Limited (BXBR), Goodman Fielder Limited (GFFR), Straits Resources Limited (SRQR) and Sunshine Heart Inc (SHC) were removed as FOR Financial Products<sup>6</sup> under the ASX Settlement Operating Rules. The entitlements of ALS Limited (ALQR) were included as a FOR Financial Product on 19 July 2013.

ASX Collateral is a centralised collateral management service that will operate in the Austraclear System. In support of this service the Austraclear Regulations and the Austraclear Procedures, Determinations and Practice Notes have been amended, effective on 5 July 2013. These new rules apply only to the Collateral Manager<sup>7</sup> and to Austraclear Participants who are ASX Collateral customers under an agreement with the Collateral Manager. The new rules do not directly affect other Austraclear Participants.

To simplify the thresholds for Block Special Crossings across different Cash Market Products, the minimum thresholds for crossings (other than for "Tier 1 Equity Market Products" and "Tier 2 Equity Market Products" for which ASIC has prescribed a higher \$1,000,000 or \$500,000 crossing threshold) have been reduced to \$200,000. ASX Operating Rules Procedures amendments to reflect these changes became effective on 8 July 2013.

Procedure 6510 in both the ASX Operating Rule Procedures and ASX 24 Operating Rule Procedures has been amended to require participants to submit their list of authorised signatories using ASX Online.

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

There were 64 waivers granted in relation to the ASX Listing Rules and no 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.

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<sup>6</sup> FOR Financial Products means a class of Approved Financial Products included in Schedule 1 that are subject to aggregate foreign ownership restrictions pursuant to legislation or under the Issuer's constitution.

<sup>7</sup> The Collateral Manager for the service is ASX Collateral Management Services Pty Limited, a wholly owned subsidiary of ASX Limited.