



MARKET ANNOUNCEMENT

5 February 2014

ASX Compliance Monthly Activity Report – January 2014

Listings

Listed Entities	January 2014
Listed entities at month start	2,195
New listings	3
De-listings	9
Listed entities at month end	2,189

New listings for the month were Anglo American Capital PLC (AQM), Crusade ABS Series 2013-1 Trust (CUF) and Valence Industries Limited (VXL).

De-listings for the month were Beacon Hill Resources PLC (BHU), CBD Energy Limited (CBD), Central Australian Phosphate Limited (CEN), Gold One International Limited (GDO), Invictus Gold Limited (IVG), Jupiter Mines Limited (JMS), Kuth Energy Limited (KEN), Progress 2005-2 Trust (POI) and RHG Limited (RHG).

Key Listings Statistics	January 2014
Total company announcements	7,509
Price queries by ASX ¹	52
Other continuous disclosure queries by ASX ²	16
Aware letters sent by ASX ³	9
Announcements made following a price query	39
Trading halts at the listed entity's request	29
Trading halts following a query by ASX	41
Suspensions at the listed entity's request	14
Suspensions imposed by ASX for breach of the Listing Rules	1

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.

Participants

ASX Participants ⁴	January 2014
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	January 2014
Trading/Clearing Participants at month start	53
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	53

Enforcement

Referrals to ASIC ⁵	January 2014
Continuous disclosure referrals	2
Other referrals	2
Total referrals to ASIC	4

Enforcement Matters	January 2014
Open ASX enforcement matters at month start	2
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	\$0

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

Guidance Note 33 *Removal of entities from the Official List*, which deals with when and how ASX may de-list an entity, either at the request of the listed entity or at the instigation of ASX, was issued on 1 January 2014. New Guidance Note 33 gives effect to a change in policy under which ASX will automatically de-list long-term suspended entities if their securities have been suspended from trading for a continuous period of three years.

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.

Also on 1 January 2014, ASX released amendments to section 4.23 of Guidance Note 8 *Continuous Disclosure: Listing Rules 3.1 – 3.1B*, dealing with the disclosures ASX expects an entity to make if its securities are suspended from quotation.

Amendments to the single session options cancellation ranges in Procedure 3200 of the ASX 24 Operating Rules came into effect on 20 January 2014. The cancellation ranges were amended to reflect current trading ranges after analysis showed that there had been very few instances where erroneous trades fell within the previous qualifying cancellation range.

The definition of 'Approved Market Operator' in the ASX Settlement Operating Rules was also amended with effect from 20 January 2014 to include the Corporate Actions Service as an additional service that would be available to a market licensee as part of the Settlement Facilitation Service.

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

There were 39 waivers granted in relation to the ASX Listing Rules and eight waivers in relation to the ASX Settlement 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.