



MARKET ANNOUNCEMENT

3 October 2014

ASX Compliance Monthly Activity Report – September 2014

Listings

Listed Entities	September 2014
Listed entities at month start	2,186
New listings	4
De-listings	2
Listed entities at month end	2,188

New listings for the month were BPS Technology Limited (BPS); Industrial and Commercial Bank of China Limited (ICB); Urbanise.com Limited (UBN) and Winchester Energy Ltd (WEL).

De-listings for the month were Country Road Limited (CTY) and Westside Corporation Limited (WCL).

Key Listings Statistics	September 2014
Total company announcements	10,007
Price queries by ASX ¹	34
Other continuous disclosure queries by ASX ²	24
Aware letters sent by ASX ³	3
Announcements made following a price query	28
Trading halts at the listed entity's request	104
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	24
Suspensions imposed by ASX for breach of the Listing Rules	16

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	September 2014
Market/Clearing/Settlement Participants at month start	122
New admissions	2
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	September 2014
Trading/Clearing Participants at month start	59
New admissions	0
Resignations and removals	2
Trading/Clearing Participants at month end	57

During the month of September, Platinum Investment Management Limited and State Street Australia Limited were admitted as ASX Settlement Participants.

Jump Trading International Limited and Jump Trading LLC resigned as ASX 24 Participants, and Merrill Lynch (Australia) Automated Markets Ltd resigned as an ASX Market Participant.

Enforcement

Referrals to ASIC ⁵	September 2014
Continuous disclosure referrals	1
Other referrals	0
Total referrals to ASIC	1

Enforcement Matters	September 2014
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 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.

ASX Rule Changes, Waivers and Exemptions

ASX released updated versions of Guidance 1 *Applying for Admission – ASX Listings*, Guidance Note 4 *Foreign Entities Listing on ASX*, Guidance Note 12 *Significant Changes to Activities*, and Guidance Note 17 *Waivers and In-Principle Advice*. Most of the changes are editorial in nature but the updated Guidance Notes also provide additional guidance in a number of areas. A summary of these changes can be found [here](#).

ASX and ASX 24 Operating Rules Procedure 1400(e) was amended to increase the timeframe for notification of a change in director and align the requirement with the same obligations under the ASX Clear Operating Rules. These changes came into effect on 8 September.

Also on 8 September, ASX Operating Rules Procedures 1000(g) and 1401(a), in respect of notifications around Automated Order Processing (AOP) systems, were amended to reflect the changes ASIC made to its AOP notification requirements. From that date, notifications are to be made annually and material change notifications are no longer required.

The new process to determine the expiry settlement price for the 3 and 10 Year Bond Futures was implemented for the September expiry. The new process replaces the polling of interbank dealers for buy and sell quotes with a National Best Bid and Offer (NBBO) approach.

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

There were 68 waivers granted in relation to the ASX Listing Rules, one waiver granted in relation to the ASX Operating Rules and no waivers in relation to the ASX Settlement Rules, ASX Clear Operating Rules, ASX Clear (Futures), ASX 24 Operating Rules or the Austraclear Regulations. 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.