



## MARKET ANNOUNCEMENT

5 August 2014

### ASX Compliance Monthly Activity Report – July 2014

#### Listings

Listed Entities	July 2014
Listed entities at month start	2,192
New listings	11
De-listings	9
Listed entities at month end	2,194

New listings for the month were 3P Learning Limited (TPN), American Patriot Oil & Gas Limited (AOW), China Construction Bank Corporation (CCB), Elanor Investment Fund (ENN), Elanor Investors Limited (ENN), Global Value Fund Limited (GVF), Healthscope Limited (HSO), Metro Performance Glass Limited (MPP), OneVue Holdings Limited (OVH), Series 2014-1 WST Trust (WSZ) and Smartgroup Corporation Ltd (SIQ).

De-listings for the month were Aquila Resources Limited (AQA), Bella Trust Series 2010-2 (BNH), Challenger Diversified Property Trust 1 (CDI), Challenger Diversified Property Trust 2 (CDI), Hudson Resources Limited (HRS), Murchison Metals Ltd (MMX), Progress 2005-1 Trust (POG), Sterihealth Limited (STP) and TORRENS Series 2011-1(E) Trust (TRA).

Key Listings Statistics	July 2014
Total company announcements	9,760
Price queries by ASX <sup>1</sup>	58
Other continuous disclosure queries by ASX <sup>2</sup>	29
Aware letters sent by ASX <sup>3</sup>	4
Announcements made following a price query	52
Trading halts at the listed entity's request	119
Trading halts following a query by ASX	6

<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.

Key Listings Statistics	July 2014
Suspensions at the listed entity's request	19
Suspensions imposed by ASX for breach of the Listing Rules	5

## Participants

ASX Participants <sup>4</sup>	July 2014
Market/Clearing/Settlement Participants at month start	122
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	July 2014
Trading/Clearing Participants at month start	59 <sup>5</sup>
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	59

OneVue Fund Serviced Limited was admitted as an ASX Product Issuer Settlement Participant on 7 July.

## Enforcement

Referrals to ASIC <sup>6</sup>	July 2014
Continuous disclosure referrals	1
Other referrals	1
Total referrals to ASIC	2

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

<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> Commonwealth Securities Limited resigned on 20 June 2014 as an ASX 24 Participant. This was inadvertently omitted in last month's report and therefore the figure at the start of the month should be 59 rather than 60 as per the June 2014 report.

<sup>6</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.

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

### ASX Rule Changes, Waivers and Exemptions

Various changes to the ASX Listing Rules (including those giving effect to reforms in the 3rd edition of the ASX Corporate Governance Council's *Corporate Governance Principles and Recommendations*), a new Appendix 4G *Key to Disclosures - Corporate Governance Council Principles and Recommendations* and an updated Guidance Note 9 *Disclosure of corporate governance practices* came into effect on 1 July 2014. Updated versions of Listing Rules Guidance Note 15 *ASX Listing Fees* and Guidance Note 15A *Schedule of ASX Listing Fees* were also issued on that date.

The ASX and ASX Settlement Operating Rules Procedures that apply to the mFund Settlement Service were amended to facilitate the provision of reports pursuant to the US Foreign Account Tax Compliance Act (FATCA) by brokers to managed fund issuers through CHESS. These changes took effect from 1 July 2014.

Also on 1 July, ASX issued separate versions of new Guidance Note 9 *Business Continuity and Disaster Recovery* for the ASX Clear and ASX Clear (Futures) Operating Rules.

Various changes to the ASX Clear (Futures) Operating Rules and Handbook to facilitate the further extension of ASX's OTC Clearing service came into effect on 7 July. These included changes to the OTC eligibility criteria and changes that enable the service to be made available to clients based in prescribed jurisdictions outside of Australia.

On 11 July, Blackthorn Resources Limited was removed from Schedule 1 of the ASX Settlement Operation Rules as a FOR<sup>7</sup> Financial Product.

The Austraclear Regulations and the Austraclear Procedures, Determinations and Practice Notes were amended with effect on 25 July to allow participants to instruct cash transfers in approved foreign currencies through the Austraclear system. The Chinese Renminbi has been approved for these purposes and the Austraclear-Bank of China Renminbi Settlement Service commenced operation on 28 July.

Amendments to the ASX Operating Rules and Procedures to support various enhancements to ASX Trade came into effect on 28 July. These included enhancements to Centre Point, ASX OUCH and ASX ITCH; real-time short selling reporting; derivatives crossing changes; and a number of other technical improvements. All of these changes were contained in the ASX Trade Q3 2014 release.

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

There were 61 waivers granted in relation to the ASX Listing Rules and one waiver 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.

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<sup>7</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.