



MARKET ANNOUNCEMENT

3 December 2014

ASX Compliance Monthly Activity Report – November 2014

Listings

Listed Entities	November 2014
Listed entities at month start	2,190
New listings	15
De-listings	12
Listed entities at month end	2,193

New listings for the month were APN Outdoor Group Limited (APO), Bailador Technology Investments Limited (BTI), Ecargo Holdings Limited (ECG), Emperor Range Group Limited (ERX), IPH Limited (IPH), Medibank Private Limited (MPL), Mustera Property Group Limited (MPX), NAOS Absolute Opportunities Company Limited (NAC), Orion Health Group Limited (OHE), Pacific Smiles Group Limited (PSQ), PUMA Series 2014-4P (PUQ), Simonds Group Limited (SIO), The Citadel Group Limited (CGL), Tian Poh Resources Limited (TPO) and UIL Energy Limited (UIL).

De-listings for the month were APOLLO Series 2006-1E Trust (APJ), Australand Assets Trust (AAZ), Australand Holdings Limited (ALZ), Australand Property Trust (ALZ), Australand Wholesale Property Trust No.4 (ALZ), Australand Wholesale Property Trust No.5 (ALZ), Cape Alumina Limited (CBX), Federation Centres Trust No.2 (FDC), Federation Centres Trust No.3 (FDC), Oakton Limited (OKN), Robust Resources Limited (ROL) and Wotif.com Holdings Limited (WTF).

Key Listings Statistics	November 2014
Total company announcements	10,557
Price queries by ASX ¹	27
Other continuous disclosure queries by ASX ²	23
Aware letters sent by ASX ³	3
Announcements made following a price query	21
Trading halts at the listed entity's request	95

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.

Key Listings Statistics	November 2014
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	19
Suspensions imposed by ASX for breach of the Listing Rules	3

Participants

ASX Participants ⁴	November 2014
Market/Clearing/Settlement Participants at month start	123
New admissions	1
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	November 2014
Trading/Clearing Participants at month start	58
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	57

During the month of November, Ascot Securities Pty Limited was admitted as an ASX Market Participant and Optiver Australia Pty Limited resigned as an ASX and ASX 24 Participant.

Enforcement

Referrals to ASIC ⁵	November 2014
Continuous disclosure referrals	2
Other referrals	0
Total referrals to ASIC	2

Enforcement Matters	November 2014
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	1
Fines imposed during the month (excl GST)	0

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 Compliance released its quarterly enforcement circular on 28 November. A copy of the circular is available online at:

https://www.asxonline.com/intradoc/cgi/groups/participant_services/documents/communications/asx_042552.pdf

ASX Rule Changes, Waivers and Exemptions

Procedure 4910 and Appendix 4910 of the ASX Operating Rules were amended on 10 November to reflect the changes to the roles and responsibilities of the various ASX business units involved in monitoring the BookBuild process.

On 14 November, Procedure 10A.3.3 of the ASX Operating Rules was amended to reflect the recent name change of the UBS Composite Bond Index to the Bloomberg AusBond Composite Bond Index.

Following market consultation, the Block Trade Parameters in the ASX 24 Operating Rules applying to Sector Futures (S&P/ASX 200 Resources Index Futures, S&P/ASX 200 Financial-x-A-REIT Index Future and S&P/ASX 200 A-REIT Index Futures) and S&P/ASX200 A-VIX Futures were amended effective from trade date 24 November.

The ASX Clear Operating Rules with respect to LEPO settlement were amended on 21 November to allow for payments of the consideration following the exercise of a LEPO over a financial product (exercise price and outstanding balance of the premium) to be settled through CHESS on a DvP basis.

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

There were 79 waivers granted in relation to the ASX Listing Rules, one waiver in relation to the ASX Operating Rules and two waivers in relation to the 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.