



MARKET ANNOUNCEMENT

6 January 2015

ASX Compliance Monthly Activity Report – December 2014

Listings

Listed Entities	December 2014
Listed entities at month start	2,193
New listings	19
De-listings	4
Listed entities at month end	2,208

New listings for the month were 8I Holdings Ltd (8IH), Aconex Limited (ACX), Arena REIT Limited (ARF), Australian Careers Network Limited (ACO), Catapult Group International Ltd (CAT), CBG Capital Limited (CBC), Centuria Metropolitan REIT No. 1 (CMA), Centuria Metropolitan REIT No. 2 (CMA), DTI Group Ltd (DTI), Enverro Ltd (ERR), Estia Health Limited (EHE), Evolve Education Group Limited (EVO), Godfreys Group Limited (GFY), LatAm Autos Limited (LAA), Lovisa Holdings Limited (LOV), oOh!Media Limited (OML), Perpetual Equity Investment Company Limited (PIC), SMART ABS Series 2014-4 Trust (SSE) and Surfstitch Group Limited (SRF).

De-listings for the month were Blackthorn Resources Limited (BTR), Calliden Group Limited (CIX), Electrometals Technologies Limited (EMM) and Mirvac Industrial Trust (MIX).

Key Listings Statistics	December 2014
Total company announcements	9,168
Price queries by ASX ¹	14
Other continuous disclosure queries by ASX ²	19
Aware letters sent by ASX ³	1
Announcements made following a price query	12
Trading halts at the listed entity's request	79
Trading halts following a query by ASX	7
Suspensions at the listed entity's request	29

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	December 2014
Suspensions imposed by ASX for breach of the Listing Rules	14

Participants

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

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

During the month of December, Austock Financial Services Limited resigned as an ASX Participant.

Enforcement

Referrals to ASIC ⁵	December 2014
Continuous disclosure referrals	1
Other referrals	2
Total referrals to ASIC	3

Enforcement Matters	December 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)	Nil

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>.

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

On 1 December 2014, ASX launched Pack and Bundle product functionality for the 90 Day Bank Bill Futures contract. A Pack product is a futures strip that enables participants to trade four successive Bank Bill Futures contract months as a single average price without the legging risk inherent with trading each Bank Bill Futures contract separately. Similarly, a Bundle will enable participants to trade all successive Bank Bill contracts in the next two or three years.

ASX 24 Operating Rule Procedure Appendices were amended on 8 December to reflect the change in opening time (from 9am to 10am) for the ASX 24 Australian Electricity Futures and Options market. From that date, the new market hours across all regions will be 10am to 4pm.

Also on 8 December, the ASX 24 Operating Rule Procedures were amended to reflect the introduction of a reduced tick size (from 0.5bps to 0.25bps) for the 10 Year Bond Futures and the related Overnight and Intraday Options contracts for the five day period of the bond roll.

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

There were 60 waivers granted in relation to the ASX Listing Rules and one waiver in relation to 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.